IMDRF International Medical Device Regulators Forum

Final Document

Title: In Vitro Diagnostic Medical Device Market Authorization Table of Contents (IVD MA ToC)

Authoring Group: Regulated Product Submissions Table of Contents Working Group

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PREFACE

The document herein was produced by the International Medical Device Regulators Forum (IMDRF), a voluntary group of global medical device regulators from around the world. The document has been subject to consultation throughout its development.

There are no restrictions on the reproduction, distribution or use of this document; however, incorporation of this document, in part or in whole, into any other document, or its translation into languages other than English, does not convey or represent an endorsement of any kind by the International Medical Device Regulators Forum. It is also worth noting that it is the intent of IMDRF is to continue to monitor use of this structure and work to continually improve the documents.

INTRODUCTION

The Regulated Product Submission (RPS) proposal was endorsed as a New Work Item (NWI) by IMDRF at its inaugural meeting in Singapore (March 2012). The proposal, as endorsed, included the objective of establishing a comprehensive harmonized structure for premarket medical device submissions.

This document provides an internationally harmonized, modular, format for use when filing medical device submissions to regulatory authorities for market authorization. This document is comprehensive in scope in that it defines the location of both common (IMDRF) and regional content for all submission types. As a consequence, not all headings are required for all submission types and/or IMDRF jurisdictions.

This ToC document has been developed with consideration of public comments and experience gained from the pilot testing of the draft ToC version.

The ToC documents are intended to work together with a separate document created for each participating jurisdiction – a classification matrix. The classification matrix defines whether for the given submissions type a heading is required, not required, optional, conditionally required, etc. The classification matrices are the published under the authority of participating authorities and are not products of IMDRF, please consult regional regulator websites for further information.

The release of the first version of the final ToC document makes available harmonized formats for use in filing IVD medical device submissions for market authorization.

IMDRF will monitor the use of these structures and work to continually improve the documents at appropriate intervals based on sufficient use and experience. Comments or questions associated with these documents will be accepted in the prescribed format (Feedback form – excel spreadsheet) and can be submitted to imdrf.toc@gmail.com with the following subject line: IMDRF IVD ToC MA Feedback.

SCOPE

This document was developed for in-vitro diagnostics medical device (IVD) market authorization submissions. Market authorization submissions for combination products are out of scope; refer to each specific regulator for guidance regarding combination products. Submissions to request approval to conduct clinical trials are not within the scope of this document.

The document is intended to provide guidance for industry with flexibility to adapt to the variety of products and future products.

PURPOSE

To create a comprehensive submission structure that can be used as a harmonized international electronic submission format while minimizing regional divergences and indicating where regional variation exists. This document is intended to provide guidance regarding the location of submission elements. This document is intended to work together with a separate document created for each participating jurisdiction – a classification matrix.

This document is not intended to introduce any new regulatory requirements; however, by virtue of being more transparent, it may appear to be introducing new requirements.

CLASSIFICATION MATRICES

As this document is comprehensive in nature, not all headings are required for all submission types and/or jurisdictions. This document is intended to work together with a separate document created for each participating jurisdiction – a classification matrix. The classification matrix defines whether for the given submissions type a heading is required, not required, optional, conditionally required, etc. The classification matrices are to be made available on regional regulators websites.

DEFINITIONS

FULL REPORT - Typically includes a complete, detailed description of the objective of the assessment, the methods and procedures, study endpoint(s), pre-defined pass/fail criteria, deviations, results summary, discussion and conclusions, and may include data. Complete, detailed support of method selection, study endpoint selection, and pass/fail criteria should be included.

SUMMARY - Typically includes a brief synopsis of the assessment (1) purpose, (2) methods and (3) results and (4) discussion and conclusions. Outliers and deviations should be reported with the results. The purpose of the assessment and description of methods should address:

1. Why the characteristic being evaluated is of interest; and
2. why the particular methods are being used to evaluate the characteristic, if applicable including why a regional or harmonized/recognized standard has or has not been complied with.

HEADING CLASS **-** Headings are classified as either **IMDRF; IMDRF, RF; or Regional**.

Heading classification is provided in this document to provide an indication of the relevance of any given heading to a particular jurisdiction. The classification matrices provide further requirement classification by jurisdiction and submission type and should be used as the final reference for information of this type.

IMDRF headings are used by most regulators and are therefore considered an IMDRF heading. Content of IMDRF heading contain common elements and may contain regional elements in addition to the common elements.

- **Regional Focus (IMDRF, RF) –** content needs to be considered with the specific region in mind and will likely need to be adapted for that region (e.g. regional approval numbers or regulatory history, regional variation in approved or requested intended use/indications for use)

- In cases where not all regulators use the heading, the applicable jurisdictions are listed following the heading classification **(e.g. IMDRF (USFDA, HC, JP)).**

Regional headings are those that contain no common elements. In this case the heading name is consistent amongst IMDRF members, but the content will be specific and different for each region. Headings are also classified as Regional if they are required by only one jurisdiction.

SUBMISSION – A regulatory submission can be any type of information related to a medical device regulatory process. This includes but is not limited to a request for approval/authorization to market a device, any communications relating to the original submission, and any request for modification to an existing approval. The submission types that will be accepted in the format described in this document will be dictated by regional policy.

NUMBERING OF HEADINGS

Numbering should remain consistent regardless of whether the heading is required or not. For example, if Heading CH1.02 is not required for the submission type or jurisdiction, but Headings CH1.01 and CH1.03 are, then the numbering would remain CH1.01 followed by CH1.03.

Letters should be added to the numbering of custom headings to indicate the sequence of presentation. For example, under stability of samples, CH3.5.01.1 is a custom heading; it should be presented as shown below.

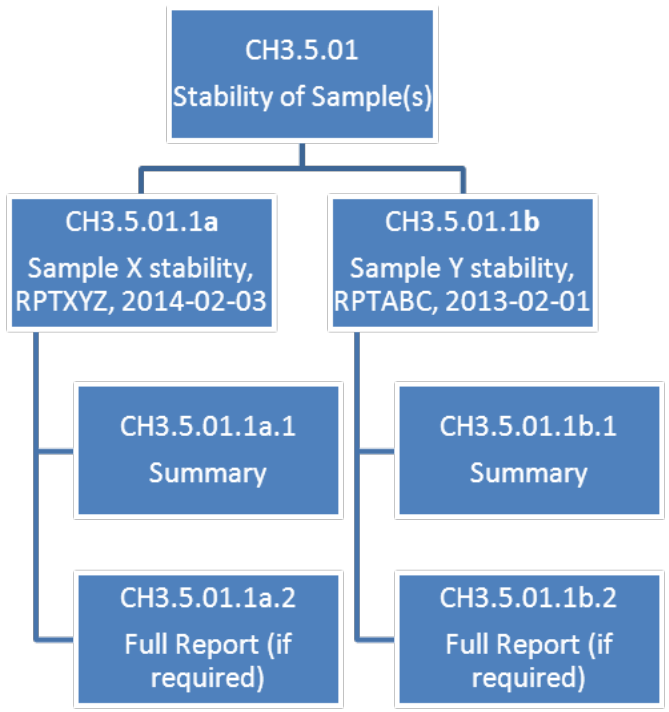

Figure 1 - Numbering of Custom Headings

QUALITY MANAGEMENT SYSTEM CHAPTERS (6A & 6B)

Chapter 6A & B of the ToC is written in terms of the quality management system language employed in ISO 13485-2003. **Chapter 6A** is where the company places the standard operating procedures (SOPs) the company utilizes to implement its overall high level quality management system. **Chapter 6B** is where the company places the documents and records the company utilizes to implement the quality management system SOPs described in Chapter 6A.

LANGUAGE REQUIREMENTS

Each jurisdiction has its own language requirements. Regional guidance should be sought to ensure that content is provided in a language that is acceptable for the jurisdiction to which the submission will be submitted. Any translated material submitted should be verified for accuracy.

PAGINATION

Pages of the submission should be numbered in such a manner that information can be referenced by page number. This may be done either by consecutively numbering the entire submission, or numbering the pages within a section or chapter (e.g., CH2.4.1-1, CH2.4.1-2).

OTHER GENERAL NOTES

This outline of documentation is to support a smooth documentation process. It remains the applicant's responsibility to ensure all regulatory requirements are met, and that clear and transparent evidence of conformity to these requirements are provided.

Regional regulatory guidance will vary between the IMDRF member regulators and can be found in a variety of locations including the individual regulator's laws, directives, regulations, guidance documents, etc. When any requirements are conflicting between this document and regional documents (e.g. the regional laws, directives, regulations, guidance documents), the regional requirement will take precedence.

For the USFDA and ANVISA, regional regulatory guidance include the categories (1) special controls in a device specific regulation, (2) device-specific guidance document, (3) special controls guidance, (4) special controls guideline, and/or (5) statutory or regulatory criteria.

When submitting to the USFDA please refer to the current version of the following MDUFA III guidance documents to ensure the content for each heading and the overall electronic format of the submission is sufficient to be accepted for review by the USFDA. For example:

1. Refuse to Accept Policy for 510(k)s: Guidance for Industry and Food and Drug Administration Staff
2. Acceptance and Filing Reviews for Premarket Approval Applications (PMAs): Guidance for Industry and Food and Drug Administration Staff
3. eCopy Program for Medical Device Submissions: Guidance for Industry and Food and Drug Administration Staff

For the EU, the latest EN ISO version and related Annex Z should be taken as reference to verify the correct presumption of conformity with the essential requirement of medical Devices Directives.

ACRONYMS

ANVISA	National Health Surveillance Agency - Brazil
CAPA	Corrective Action and Preventive Action
EU	European Union
GMDN	Global Medical Device Nomenclature
HC	Health Canada
IMDRF	International Medical Device Regulators Forum
JP	Japan
MDUFA	Medical Device User Fee Amendments
NB	Notified Body
PMDA	Pharmaceuticals and Medical Devices Agency, Japan
RF	Regional Focus
TGA	Therapeutic Goods Administration - Australia
ToC	Table of Contents
USFDA	United States Food and Drug Administration

HIERARCHY PRESENTATION

The following is a hierarchical presentation of the submission structure. More detailed guidance regarding where elements belong is provided following this table.

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CH6B.6.4	Control of monitoring and measuring devices information
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CH6B.8	Other Device Specific Quality Management System Information

CHAPTER 1 – REGIONAL ADMINISTRATIVE

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH1.01	IMDRF, RF	1	Cover Letter	a) The cover letter should state applicant or sponsor name and/or their authorized representative, the type of submission, the common name of the device (if applicable), device trade name or proprietary name (both of the base device and a new name if one is given to the new version/model of the device) and include the purpose of the application, including any changes being made to existing approvals. b) If applicable and accepted by the regulator, it should include information pertaining to any Master Files referenced by the submission. c) If applicable, acknowledgement that a device sample has been submitted or offered alternatives to allow the regulator to view or access the device (when the regulator requests a sample). d) If the submission is requesting approval of a change that is the result of CAPA due to a recall, this should be stated. e) If the submission is in response to a request for information from the regulator this should be stated and the date of that letter should be included as well as any reference number(s). f) If the submission is unsolicited information (where accepted), this should be stated and any related reference number(s) provided. **NOTE:** The cover letter should not contain any detailed scientific information.	**USFDA PMA and 510(k)** a) mailing address, b) official correspondent(s), c) phone/fax number(s), d) email address(s e) cover letter shall be signed by applicant and an authorized rep (if the applicant does not reside or have a place of business in US) – 21 CFR 814.20(a) **(PMA Only)** f) Device class and panel or classification regulation or statement that the device has not been classified with rationale for that conclusion **(510(k) only)** **TGA** The covering letter of application needs to be prepared on company letterhead and to also include; a) Submission ID that is generated electronically when completing the application form in eBusiness b) Contact details of the person authorised to liaise with TGA during the evaluation process c) Signed by the authorised person for the company
CH1.02	IMDRF	1	Submission Table of Contents	a) Includes at least level 1 & 2 headings for the entire submission b) Specifies the page number for each item referred to in the table. **NOTE:** Refer to the Pagination Section of this document for information about submission pagination.	
CH1.03	IMDRF	1	List of Terms/Acronyms	Terms or acronyms used in the submission that require definition, should be defined here.	
CH1.04	IMDRF, RF	1	Application Form/Administrative Information		**ANVISA** ANVISA´s "Manufacturer or Importer Form" (form available at www.anvisa.gov.br), containing general information related to the application. **EU** Notified Bodies (NBs) will each have their own application form and company information form, including details on the submission type (new, renew, changes), administrative data of the manufacturer, overview of subcontractors and their QMS certification documentation, underlying CE certificates in case of Own Brand labelling, general information of the product, including sterilisation method where applicable, nature of selected starting materials (e.g. drugs, animal tissue), applicable directive and classification. Consult relevant NB N.B. Under EU legislation, the Own Brand Labeller is to be considered as the legal manufacturer and bears the regulatory responsibility of a manufacturer including the need to dispose of the entire technical documentation (see the EU Guideline on OBL: http://ec.europa.eu/health/medical-devices/files/guide-stds-directives/interpretative_fiche_obl_en.pdf) **HC** Health Canada's "Application and Fee Form" for the risk class and type of application - from www.hc-

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
					sc.gc.ca **JP** PMDA's "Application form" – from http://www.pmda.go.jp/ **TGA** Application forms to include administrative data of the applicant, application scope (including applicable conformity assessment procedure and type of application (new, change or recertification)), current certification details, manufacturer details, critical supplier details and device details including classification. Refer to www.tga.gov.au for the most up to date information. **USFDA PMA and 510(k)** CDRH Coversheet Form 3514
CH1.05	IMDRF, RF (ANVISA, EU, TGA, USFDA)	1	Listing of Device(s)	A table listing each variant/model/configuration/component/accessory that is the subject of the submission and the following information for each: a) the identifier (e.g. bar code, catalogue, model or part number, UDI) b) a statement of its name/description (e.g. Trade name, size, intended use) **NOTE:** i. A model/variant/configuration/component/accessory of a device has common specifications, performance and composition, within limits set by the applicant. ii. Typically each item listed should be available for sale. For example, if everything is sold as part of a kit, then this list would only include the kit. You do not need to list all components that may be sold within a kit/set, unless the component is available for sale independently of the kit. iii. This is classified as RF in recognition that identification numbers may vary from jurisdiction to jurisdiction.	**ANVISA** The grouping (family and systems) of medical devices shall be in compliance with ANVISA´s requirements which specify the conditions to establish family or system of medical devices. **EU** The listing should include the relevant Global Medical Device Nomenclature (GMDN) Code and Term **Russia NOTE:** Any model/variant/configuration of device(s) listed should be limited (covered) by a single Global Medical Device Nomenclature (GMDN) Code and Term. The components within a kit/set can have their own GMDN Codes/Terms. **TGA** For all classes of devices the applicant needs to include: a) The Global Medical Device Nomenclature (GMDN) Code and Term b) The classification and the applicable classification rule For Class 4 IVDs (other than Class 4 Immunonohaematology reagents) this table should also identify the following: a) Unique Product Identifiers; and b) any variants (see Regulation 1.6 of the Therapeutic Goods (Medical Devices) Regulations 2002)
CH1.06	Regional (ANVISA, EU, HC, TGA)	1	Quality Management System, Full Quality System or other Regulatory Certificates		**ANVISA** Good Manufacturing Practice Certificate (GMPC) issued by ANVISA, covering the scope of products. NOTES: a) Device registration or amendment request to change/include manufacturer of Class III or IV devices requires a valid GMP Certificate issued by ANVISA. However, submission review may be initiated prior to GMP certification. In these cases, the document proving that the application for the GMP Certification has been submitted to ANVISA should be presented, identifying the manufacturer name, the address of the site to be certified and the identification number of the GMP Cert application to ANVISA. The registration or amendment will only be approved after the GMP certificate has been issued. b) Device registration renewal submissions of Class III or IV devices, also requires a valid GMP Certificate issued by ANVISA. The document proving that the GMP Certification was requested from ANVISA will be accepted if the GMP Certificate has not yet been issued. However, if the final result of the GMP certification process leads to a refusal, the device registration will be

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
					canceled. **EU** EN ISO 13485 certificate in case it is issued by another Notified Body or registrar. CE full quality system certificates (QMS and annex IV.3 IVDD) covering the scope of products when issued by another Notified Body. **HC** This subsection includes a copy of the quality management system certificate certifying that the quality management system under which the device is designed and manufactured satisfies CAN/CSA ISO 13485:2003, Medical devices - Quality management systems - Requirements for regulatory purposes. Health Canada will only accept quality system certificates that have been issued by special third party auditing organizations called Canadian Medical Devices Conformity Assessment System (CMDCAS) recognized registrars or other recognized registrars. **TGA** Copies of any current TGA or other regulatory authority certification referenced within the submission or required for the submission type. The reference certificates requirements will vary based on the submission type, refer to TGA guidance for these requirements.
CH1.07	Regional (ANVISA)	1	Free Sale Certificate		**ANVISA** Provide the document/certificate issued by the Regulatory Authority where the medical device is marketable, attesting that the device is marketable, without any restriction at their jurisdiction. Alternatively, provide a copy of the Inspection Report issued by ANVISA.
CH1.08	Regional (ANVISA, EU, USFDA)	1	User Fees		**ANVISA** Receipt of the User Fee payment. Information about User Fee available at: http://s.anvisa.gov.br/wps/s/r/n8 **EU** Signed quote and agreement for dossier review /audits **USFDA PMA and 510(k)** FDA User Fee Form (https://userfees.fda.gov/OA_HTML/mdufmaCAcdLogin.jsp?legalsel=2&ref=)
CH1.09	IMDRF, RF	1	Pre-Submission Correspondence and Previous Regulator Interactions	a) During the product lifecycle, pre-submission correspondence, including teleconferences or meetings, may be held between the regulator and the applicant. Further, the specific subject device may have been subject to previous regulatory submissions to the regulator. The contents should be limited to the subject device as similar devices are addressed in other areas of the submission. If applicable, the following elements should be provided: i. List prior submissions or pre-submissions where regulator feedback was provided ii. For previous regulatory submission, include identification of applicable submission reference number. iii. For any pre-submission activities that have not previously been assigned any tracking/reference number, include the information package that is submitted prior to pre-submission meetings, the meeting agenda, any presentation slides, final meeting minutes, responses to any action items arising from the meetings, responses to any action items arising from the meetings, and any email correspondence related to specific aspects of the application. iv. Issues identified by the regulator in prior submissions (i.e., clinical study	**EU** a) A statement is required that the product to be reviewed is not under application with another Notified Body, and has not previously been refused or cancelled by another notified body. b) For "borderline products", where applicable, any rationale, supportive documentation and key documentation on communication with an EU Competent Authority and/or COM services, relating to the qualification/classification decision on such product. c) In case of transfer from another Notified Body, that status, including any open Non-conformity, and the associated dossier review reports, the latest audit report and for QMS transfer all audit reports from the existing certification cycle, will need to be submitted along with a letter of access from the new notified body to contact the old notified body to confirm any open issue. This will allow a specific date of transfer of application and CE marking.

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
				applications, withdrawn/deleted/denied marketing submission) for the subject device v. Issues identified and advice provided by the regulator in pre-submission interactions between the regulator and the applicant/sponsor. vi. Explain how and where the prior advice was addressed within the submission **OR** a) Affirmatively state there has been no prior submissions and/or pre-submission interactions for the specific device that is the subject of the current submission. **NOTE** The scope of this section is limited to the particular regulator to which the submission is being submitted (i.e. Health Canada does not need pre-submission information relating to interactions with ANVISA).	
CH1.10	Regional (TGA, USFDA)	1	Acceptance for Review Checklist		**USFDA PMA** Complete the checklist and provide section and pages numbers indicating where every item on the check is addressed in the submission. See Appendix A of the ***Acceptance and Filing Reviews for Premarket Approval Applications (PMAs): Guidance for Industry and Food and Drug Administration Staff Guidance*** **USFDA 510(k)** Complete the checklist by answering the preliminary questions and providing the pages numbers indicating the locations of each item on the check is addressed in the submission See the Acceptance Checklist for Traditional 510(k)s in ***Refuse to Accept Policy for 510(k)s : Guidance for Industry and Food and Drug Administration Staff*** **TGA** Includes the Supporting data checklists
CH1.11	Regional (ANVISA, HC, EU, TGA, USFDA)	1	Statements/Certifications/Declarations of Conformity	**NO CONTENT AT THIS LEVEL**	**NO CONTENT AT THIS LEVEL**
CH1.11.1	Regional (USFDA)	2	Performance and Voluntary Standard		**USFDA** **Note to RPS Team:** USFDA wants this information displayed here in the admin section but will request it in Chapter 3 where standards information other IMDRF members request (List of Standards)
CH1.11.2	Regional (USFDA)	2	Environmental Assessment		**USFDA PMA** a) If claiming categorical exclusion, information to justify the exclusion **OR** b) Provide the environmental assessment (only required for devices that present new environmental concerns
CH1.11.3	Regional (USFDA)	2	Clinical Trial Certifications		**USFDA PMA and 510(k)** a) Certification of Compliance with Requirements of ClinicalTrials.gov (Form FDA 3674) b) Financial Certification or Disclosure Statement (Form FDA 3454 and Form FDA 3455)
CH1.11.4	Regional (USFDA)	2	Indications for Use Statement with Rx and/or OTC designation		**USFDA 510(k)** A suggested format for enclosure can be found at http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/GuidanceDocuments/ucm080276.htm

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
			Enclosure		
CH1.11.5	Regional (ANVISA, HC, TGA, USFDA)	2	Truthful and Accurate Statement		**<u>ANVISA</u>** a) A declaration (per text below), dated and signed by the legal representative and technical manager of the company: "We declare that the information provided at this submission are truthful and accurate, and can be proven by documental evidence. We also declare that: i. The device will be marketed observing all requirements established by the Brazilian Legislation; ii. The labelling (e.g. labels, instructions of use, promotional material) of the device complies with the Brazilian regulatory requirements, and will be maintained up to date during all the period that it will be available on the Brazilian market; iii. The device and accessories that accompany the device were designed and are manufactured attending the Essential Requirements of Safety and Efficacy and the Good Manufacturing Practices established by ANVISA; iv. All the reasonably foreseeable risks were identified and promptly mitigated. The residual risk is acceptable in relation to the benefits obtained by the use of the devices; v. The devices delivered to the market will be continuously monitored in order to identify new risks that have not been already addressed, according to the Risk Management Plan established by the manufacturer. The company is aware that if the Brazilian regulatory requirements were not fulfilled, administrative sanctions established on federal law (Lei nº 6437/1977) shall be applied. The legal representative and technical manager of the company are aware that they are answerable to the court by any infraction indicated on art. 273 – Decreto Lei nº 2848/1940 (Criminal Code – Chapter III: Crime against Public Health)." **<u>HC</u>** When applicable, a Letter of Attestation should be provided on the manufacturer's letterhead confirming that the content of the electronic submission is identical to that of the paper-based submission (i.e. Letter of Attestation for Electronic Copy Submission). **<u>TGA Conformity Assessment - Manufacturer's statutory declaration</u>** a) A statutory declaration is a written statement allowing a person to declare something to be true. The declaration is signed in the presence of a witness. Giving false or misleading information as part of a statutory declaration is a criminal offence under the Criminal Code. http://www.tga.gov.au/industry/manuf-statutory-declarations.htm#forms Statements of undertaking by the manufacturer as required by conformity assessment procedures set in the Therapeutic Goods (Medical Devices) Regulations 2002 **<u>USFDA 510(k)</u>** a) Truthful and Accurate statement per 21 CFR 807.97(k). Text: *I certify that, in my capacity as (the position held in company) of (company name), I believe to the best of my knowledge, that all data and information submitted in the premarket notification are truthful and accurate and that no material fact has been omitted.*

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
					NOTE: Signed by a responsible person of the firm (not a consultant)
CH1.11.6	IMDRF (EU, JP, TGA)	2	Declaration of Conformity	As part of the conformity assessment procedures, the manufacturer of a medical device is required to make a Declaration of Conformity that declares that the device complies with: a) the applicable provisions of the Essential Principles/Requirements b) the classification rules c) an appropriate conformity assessment procedure	**JP** Declaration and/or certificate that the relevant product is manufactured to conform to the essential principles and/or the quality management system. **NOTE:** The applicant is advised to prepare the declaration of conformity according to ISO 17050-1 "Conformity Assessment - Supplier's Declaration of Conformity - Part 1: General Requirement." **TGA** The wording of the Declaration of Conformity will depend on the conformity assessment procedure chosen by the manufacturer. Templates for each of the four possible types of Declarations of Conformity under Schedule 3 of the Therapeutic Goods (Medical Devices) Regulations 2002 are available at <http://www.tga.gov.au>.
CH1.12	IMDRF	1	Letters of Reference for Master Files	Letter from any Master File owner granting access to the information in the master file. The letter should specify the scope of access granted.	
CH1.13	Regional (ANVISA)	1	Letter of Authorization		**ANVISA** Letter issued by the manufacturer allowing the importer to submit the application to ANVISA on his behalf, and to market his product on the Brazilian market.
CH1.14	IMDRF	1	Other Regional Administrative Information	Heading for other information that may be important to the submission but that does not fit in any of the other headings of this chapter.	

CHAPTER 2 – SUBMISSION CONTEXT

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH2.1	IMDRF	1	Chapter Table of Contents	a) Includes all headings and sub-headings for the chapter. b) Specifies the page number for each item referred to in the table.	
CH2.2	IMDRF, RF	1	General Summary of Submission	a) Statement of the device type (e.g. Tacrolimus test system, blood specimen collection device, calibrator) and name (e.g. trade name, proprietary name), its general purpose, and a high-level summary of key supporting evidence (i.e. studies that are unique to the risks of this device type). b) Summary of submission, including i. The type of submission (e.g. new, amendment, change of existing application, renewal); ii. if amendment/supplement, the reason of the amendment/supplement; iii. if a change to existing approval, description of the change requested (e.g., changes in design, performance, indications, changes to manufacturing processes, manufacturing facilities, suppliers); iv. any high-level background information or unusual details that the manufacturer wishes to highlight in relation to the device, its history or relation to other approved devices or previous submissions (provides context to submission).	**ANVISA:** If renewal, amendment or change, identification of the registration/notification number issued by ANVISA for the device, family, system or set of devices and the number of the original application must be informed. **EU** If renewal, amendment or change, identification of product (family) currently Marketed under CE mark and related certificate of IVDD annex. **HC** If amendment or new submission based on currently licenced device(s), the Canadian Medical Device Licence Number(s) should be provided along with the description of the change requested. **TGA** If recertification or change to a conformity assessment certificate, identification of the affected TGA certificate numbers must be detailed. **USFDA 510(k)** Executive Summary
CH2.3	Regional (USFDA)	1	Summary and Certifications for Premarket Submissions		**USFDA PMA** a) Summary of the Content of the Whole PMA per 21 CFR 814.20(b)(3) **USFDA 510(k)** a) 510(k) Summary contains all elements per 21 CFR 807.92 **OR** b) 510(k) Statement contains all elements per 21 CFR 807.93
CH2.4	IMDRF	1	Device Description	**NO CONTENT AT THIS LEVEL**	
CH2.4.1	IMDRF, RF	2	Comprehensive Device Description and Principle of Operation	a) A general description of the device, including: i. A statement of the device name. ii. What does it detect? iii. Who uses it and for what? (high level statement) iv. Where to use it? (places/environment where the device is intended to be used) v. General description of the principle of the assay method or instrument principles of operation. vi. Description of the components (e.g. reagents, assay controls and calibrators) and where appropriate, a description of the reactive ingredients of relevant components (such as antibodies, antigens, nucleic acid primers). vii. If applicable, labelled pictorial representation (diagrams, photos, drawings). viii. If system, how the components relate? ix. If applicable, identify if the device incorporates software/firmware and its role. b) Product specification, including: i. Physical characteristics of relevance to the end user (dimensions, weight) ii. If applicable, technical features and operating modes	**ANVISA:** a) Some accessories may request independent submission at ANVISA. Especially when it is considered a medical device by itself and is not of exclusive use of the medical device to be used in combination. For this accessories shall be identified and heir registration/notification number in ANVISA provided. **HC and USFDA** Components or accessories that can be sold separately should be identified. **JP:** Explain that the established product specifications are necessary and sufficient to ensure the efficacy, safety, and quality of the product. **USFDA PMA:** Color Additive information per item A 6.a.ii in Appendix A of the ***Acceptance and Filing Reviews for Premarket Approval Applications (PMAs): Guidance for Industry and Food and Drug Administration Staff Guidance***; 21CFR 814.20(f)

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
				iii. If applicable, operating specifications and performance characteristics (e.g. electrical power requirements, settings and associated allowable ranges/limits, temperature and humidity limits, number of tests per hour, sensitivity/specificity) iv. If applicable, a complete list of the configurations/models of the devices and a summary of the differences in specifications (comparison table and/or pictures/diagrams with supporting text). c) If applicable, engineering diagrams/prints/schematics of the device. d) Describe the different sample types that can be used for this device (e.g. serum, plasma, urine, cerebrospinal fluid), including any additives that are required (e.g. anticoagulant). e) Describe the use of controls. If applicable, a list of compatible control materials or control material specifications. f) Description of the accessories, other IVD or non-IVD medical devices and other products, which are intended to be used in combination with the IVD medical device. g) If approved by the regulator, provide the approval number and identification for each of the accessories, other IVD or non-IVD medical devices and other products, which are intended to be used in combination with the IVD medical device. h) If applicable, indication of biological material or derivate used in the medical device, including: origin (human, animal, recombinant or fermentation products or any other biological material) and source (e.g. blood, bone, heart, any other tissue or cells). Where a significant risk is identified, a brief summary of evaluations performed to minimize biological risks, in particular, with regard to viruses and other transmissible agents. i) If the device contains an active pharmaceutical ingredient (API) or drug, an indication of the substance, should be provided. This should include its identity and source, and the intended reason for its presence and its primary mode of action. j) Description of the collection and/or transport container(s) provided with the IVD medical device or a description of specifications or recommended collection and/or transport container(s). k) If applicable, a listing of assays that are compatible with the instrument. l) If applicable, a listing of compatible instruments. m) A list of any software to be used with the IVD medical device and a description of its role in the delivery of the intended purpose. **NOTE**: The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the comprehensive device description and principles of operations provided in this section regarding the subject device.	
CH2.4.2	IMDRF (HC, JP)	2	Material Specifications	**HC and JP** a) Details of relevant material identifications and specifications, including critical raw materials and components should be provided. Information should include complete chemical and physical characterization of all component materials. **NOTE:** If applicable, chemicals should be identified using either the IUPAC (International Union of Pure and Applied Chemistry) or the CAS (Chemical Abstract Service) Registry number. Reference to applicable material standards may also be useful in this description.	
CH2.4.3	IMDRF (ANVISA, EU, HC, TGA,	2	Description of Device Packaging	a) A brief description of the packaging of the devices, including the packaging configuration and materials involved. This is not intended to include shipping/transport packaging. b) Specific packaging of accessories marketed together with the IVD medical devices shall	

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
	USFDA)			also be described.	
CH2.4.4	IMDRF (ANVISA, EU, HC, TGA, USFDA)	2	History of Development	For any device versions/prototypes referenced in the evidence presented in the submission, a table describing the version/name, with 4 columns (Device Name and/or Version; Description of changes from previous row; motivation for the change; list of verification/validation activities, including clinical studies, conducted using this version). For any design verification or validation activities presented in this submission (including clinical studies) performed on any earlier versions of the subject device, include a justification for why the changes do not impact the validity of the data collected under those activities in supporting the safety and effectiveness of the final device design.	**USFDA 510(k)** It is highly recommended that the following be provided for a device that has received prior 510(k) clearance: either a description of all changes made to the device since the last 510(k) clearance.
CH2.4.5	IMDRF, RF	2	Reference and Comparison to Similar and/or Previous Generations of the Device	a) A list of the similar devices (available on local and international market) and/or previous generation of the devices (if existent) relevant to the submission. This should include any similar/previous generation devices that were previously reviewed and refused by the subject regulator. b) Description of why they were selected. c) A key specification comparison, preferably in a table, between the references (similar and/or previous generation) considered and the device.	**HC** a) If the application is an amendment to a licenced device or is based on a modification of a licensed device, a description of the modifications is required (e.g., changes in design, performance, and indications). b) Comparisons can be used to support the safety and effectiveness of the device if they are made to a currently licensed device in Canada. If this method is used, ensure the Canadian Medical Device Licence Number of the comparator is stated. The comparison device does not need to be manufactured by the same manufacturer.
CH2.4.6	Regional (USFDA)	2	Substantial Equivalence Discussion		**USFDA 510(k)** a) Identify the predicate device(s) i. 510(k) number, trade name and model number ii. Ensure the identified predicate device(s) is consistent throughout the submission (i.e., Substantial Equivalence discussion are the same as listed in the 510(k) summary and the same as those used in comparative performance testing). b) Include a comparison of indications for use and the technology (including features materials and principles of operation) between the predicate device(s) and subject device(s). c) Include an analysis of why any differences between the subject device(s) and the predicate device(s) do not render the subject device(s) Not Substantially Equivalent, affect safety or effectiveness or raise different questions of safety and effectiveness.
CH2.5	IMDRF	1	Indications for Use and/or Intended Use	**NO CONTENT AT THIS LEVEL**	
CH2.5.1	IMDRF, RF	2	Intended Use; Intended Purpose; Intended User; Indications for Use	This section should include, **as appropriate:** a) **Intended Use:** The statement of intended use should specify what is detected and the function provided by the device (e.g. screening, monitoring, diagnosis or aid to diagnosis). It should identify i. Instruments on which the device can be used, ii. if the assay is automated or not, iii. is the diagnostic qualitative or quantitative, iv. and the sample types (e.g. serum, plasma, urine, cerebrospinal fluid), including any additives that are required (e.g. anticoagulant) b) **Intended Purpose:** What is the specific disorder, condition or risk factor of interest that it is intended to detect, define or differentiate? c) **Intended user:** Lay person or professional? d) Identify if the device is intended for **single or multiple use** e) **Indications for Use:** i. Disease or medical condition that the device will diagnose, treat, prevent, mitigate, or cure, parameters to be monitored and other considerations related to indication for use.	**USFDA** a) For Intended Use/Indication for Use see 21 CFR 809.10 **HC NOTE** The content of this section should be contained in a single body of text.

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
				ii. If applicable, information about patient selection criteria. iii. If applicable, when/where the use of the medical device should be avoided. iv. If applicable, information about intended patient population (e.g. adults, pediatrics or newborn) or a statement that no subpopulations exist for the disease or condition for which the device is intended. **NOTES:** i. The statements of intended use and indications for use must be **as presented in the labelling**. ii. If more than one device is included, the information should be provided for each device	
CH2.5.2	IMDRF, RF (ANVISA, EU, HC, TGA, USFDA)	2	Intended Environment/Setting for use	a) The setting where the device is intended to be used (e.g. domestic use, self-testing, near-patient/point of care). Multiple options can be indicated. b) If applicable, environmental conditions that can affect the device's safety and/or performance (e.g. temperature, humidity, power, pressure, movement).	**USFDA PMA and 510(k)** FDA includes this information in the indications for use and product labelling
CH2.5.3	Regional (USFDA)	2	Pediatric Use		**USFDA PMA** a) Description of any pediatric subpopulations that suffer from the disease or condition that the device is intended to treat, diagnose or cure, b) The number of affected pediatric patients, as a whole and within each pediatric subpopulation. **OR** c) Statement that no pediatric subpopulation exists for the disease or condition for which the device is intended.
CH2.5.4	Regional (USFDA)	2	Contraindications for Use	If applicable, specify the disease or medical conditions that would make use of the device inadvisable due to unfavorable risk/benefit profile. **NOTE:** The statement if contraindications for the device must be as presented in the labelling.	**USFDA PMA and 510(k)** FDA includes this information in the indications for use and product labelling
CH2.6	IMDRF	1	Global Market History	**NO CONTENT AT THIS LEVEL**	
CH2.6.1	IMDRF	2	Global Market History	a) Up to date indication of the markets (all countries or jurisdictions) where the device is already marketed, including any marketing under compassionate use regulations. b) Should include history of the marketing of the device by any other entity in as much detail as possible, acknowledging that detailed information may not be available in all cases. c) If the subject device is different in any way (e.g. design, labelling, specifications) from those approved or marketed in other jurisdiction, the differences should be described. d) The month and year of market introduction in each country or jurisdiction where the device is marketed. If the device has been marketed for greater than 10 years, a statement of greater than 10 years can be made. e) For each of the markets listed in (a) above, and statement of the commercial names used in those markets OR a clear statement that the commercial names are the same in all jurisdictions. f) State the date of data capture for the market history data g) If the subject device has been the subject of any previous compassionate use and/or clinical studies this should be identified and, if applicable, relevant reference numbers provided.	**ANVISA and HC:** If there is any approval number, given to the device by the regulator authority of the markets (country or jurisdictions) where the device is already marketed, this identification must be informed. **EU** The commercial names used by the Original Equipment Manufacturer in case of Own Brand Labelling should be identified. **HC** a) If applicable, market history should include data for previous generations of the device. b) Information regarding any Canadian Investigational Testing Authorizations should be included. **HC NOTE:** In this context, compassionate use includes **any** Special Access Authorizations. **TGA** Any notifications to foreign regulators of substantial change to the device
CH2.6.2	IMDRF, RF	2	Global Incident	a) List adverse events/incidents associated with the device and a statement of the period	**USFDA 510(k) NOTE**

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
			Reports and Recalls	associated with this data. b) If the number of events is voluminous, provide a summary by event type that state the number of reported events for each event type. c) List of the IVD medical device recalls and/or advisory notice, and a discussion of the handling and solution given by the manufacturer in each case. d) A description of any analysis and/or corrective actions undertaken in response to items listed above. **NOTES** i. It is acknowledged that the definition of recall may vary from one jurisdiction to another; hence this heading is labelled as regionally focused (RF).	Include when submitting a 510(k) to implement a design change to address a recall of a device in the US
CH2.6.3	IMDRF, RF (HC, EU, JP, TGA)	2	Sales, Incident and Recall Rates	a) A summary of the number of units sold in each country/region and a statement of the period associated with this data. b) Provide the rates calculated as follows for each country/region: i. Incident rate = # adverse events/incidents divided by # units sold x 100 ii. Recall rate = # recalls divided by # units sold x 100 Rates may be presented in other appropriate units such as per patient year of use or per use. In this case, methods for determining these rates should be presented and any assumptions supported. c) Critical analyses of the rates calculated (e.g. Why are they acceptable? How do they break down in terms of incidents? Is there some outlier data that has driven the rates up? Are there any trends associated with any sub-groups of the devices that are subject of the submission (e.g. size, version)?). **NOTES** i. It is acknowledged that the definition of recall may vary from one jurisdiction to another; hence this heading is labelled as regionally focused (RF). ii. Sales in this context should be reported as the number of units sold.	
CH2.6.4	Regional (TGA)	2	Evaluation/Inspection Reports		**TGA** Copies of Evaluation/Inspection Reports from other parties (e.g. Notified Body inspection reports).
CH2.7	IMDRF	1	Other Submission Context Information	To inform special/additional data that do not fit on previous headings. **NOTE:** To ensure all elements of your submission are adequately reviewed, please be sure that any content placed here does not belong under any heading described above.	

CHAPTER 3 – ANALYTICAL PERFORMANCE AND OTHER EVIDENCE

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH3.1	IMDRF	1	Chapter Table of Contents	a) Includes major headings for the chapter, to the level of the custom headings. b) Specifies the page number for each item referred to in the table.	
CH3.2	IMDRF	1	Risk Management	a) A summary of the risks identified during the risk analysis process and how these risks have been controlled to an acceptable level. The summary should address i. Possible hazards for the IVD medical device for example, the risk from false positive or false negative results and the risk of delays in availability of results ii. Indirect risks which may result from IVD medical device-associated hazards, for example, risk associated with instability, which could lead to erroneous results **or** user-related hazards, such as reagents containing infectious agents. b) The results of the risk analysis should provide a conclusion with evidence that remaining risks are acceptable when compared to the benefits. c) Where a standard is followed, identify the standard.	**EU** A formal signed statement accepting the residual risk upon completing the risk-benefit analysis before placing product on the EU market.
CH3.3	IMDRF (ANVISA, EU, JP, TGA)	1	Essential Principles (EP) Checklist	a) An EP checklist established for the IVD medical devices, information about method(s) used to demonstrate conformity with each EP that applies, references for the method adopted and identification of the controlled document with evidence of conformity with each method used. b) For the controlled documents indicated which are required for inclusion in the submission: a cross-reference of the location of such evidence within the submission. c) If any EP indicated in the checklist does not apply to the device: a documented rationale of the non-application of each EP that does not apply. **NOTE:** Methods used to demonstrate conformity may include one or more of the following: a) conformity with recognised or other standards; b) conformity with a commonly accepted industry test method(s); c) conformity with an in-house test method(s); d) the evaluation of pre-clinical and clinical evidence; e) comparison to a similar device already available on the market.	
CH3.4	IMDRF (ANVISA, EU, HC, TGA, USFDA)	1	Standards	**NO CONTENT AT THIS LEVEL**	
CH3.4.1	IMDRF, RF (ANVISA, EU, HC, TGA, USFDA)	2	List of Standards	a) List the standards that have been complied with in full or in part in the design and manufacture of the device. b) At a minimum should include the standard organization, standard number, standard title, year/version, and if full or partial compliance. c) If partial compliance, a list the sections of standard that i. Are not applicable to the device, and/or ii. have been adapted, and/or iii. were deviated from for other reasons – discussion to accompany	**EU NOTE** An overview of used standards typically is added in the essential requirements checklist, including rationales for using standards that are non-harmonised or complied with only in part. This information needs only to be presented once in the application. **TGA** This list should include any medical device standard or conformity assessment standard that has been applied to the device; and, if no medical device standard or conformity assessment standard, or part only of such a standard, has been applied to the device — the solutions adopted to ensure that each device complies with the applicable provisions of the essential principles. The information in this section may be presented in the Essential Principle Checklist and, if so, needs only to be presented once in the application. **USFDA PMA and 510(k)**

					If submission references use of a national or international standard as part of demonstration of substantial equivalence, submission contains Standards Data Report for 510(k)s (FDA Form 3654)
CH3.4.2	Regional (ANVISA, HC, USFDA)	2	Declaration and/or Certification of Conformity		**ANVISA** IVDs for blood bank screening requires pre-submission analyses conducted by an official laboratory (INCQS/FioCruz – Instituto Nacional de Controle de Qualidade em Saúde) in Brazil. The reports of these analyses shall be part of the submission. **HC** The applicant is advised to prepare the Declaration of Conformity to recognized standards using Health Canada's Declaration of Conformity form. Refer to the Guidance Document: Recognition and Use of Standards under the Medical Devices Regulations and the current list of recognized standards for medical devices. **USFDA** Guidance for Industry and FDA Staff - Recognition and Use of Consensus Standards
CH3.5	IMDRF	1	Analytical Performance	**NO CONTENT AT THIS LEVEL**	
CH3.5.01	IMDRF	2	Stability of Sample(s)	Information regarding and studies to support the stability of all of the sample type(s) identified in the labelling, including any and all recommended additives (e.g. anticoagulants) is to be provided in this section. This should include: a) For each sample type identified in the labelling, a description of the recommended storage parameters and when applicable, transport conditions (e.g. duration, temperatures and freeze/thaw cycles). b) A justification on the selection of the studies performed. c) Provide summary of the evidence that falls within this category d) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** e) A discussion of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device	
CH3.5.01 .1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone. For example, the structure will look something like this Level 3: Storage of serum samples for 7 days at 2-8ºC or 4 days at -20ºC.	

				Level 4: Summary Level 4: Full Report Level 3: Validation of 3 freeze/thaw cycles for serum samples Level 4: Summary Level 4: Full Report	
CH3.5.01 .1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.01 .1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.01 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.02	IMDRF	2	Validation of Samples	Studies to support the validity of sample type(s) used in the analytical studies as representative of all of the sample type(s) identified in the labelling, including any and all recommended additives (e.g. anticoagulants), are to be included in this section. This should include: a) A list of the sample type(s) used, including any additives (e.g. anticoagulants), in each of the analytical performance studies. If the same samples are used for all analytical studies this can be stated and the sample type identified. b) For any or all of the analytical studies, if a particular sample type(s) including additives (e.g. anticoagulants), has been chosen as representative of other sample types identified in the labelling, this should be described and supported. c) If the preparation of the sample has not followed the protocol described in the current labelling, this should be identified and validated. d) A justification of the selection of the studies performed. e) Provide summary of the evidence that falls within this category f) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** g) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device	
CH3.5.02 .1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.02 .1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.02	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)**

.1.2					If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.02 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.03	IMDRF	2	Metrological traceability of calibrator and control material values	Evidence that support the metrological traceability of values assigned to calibrators and trueness control materials. This should include: a) A description of all calibrators and trueness control materials associated with the system. b) A justification of the selection of the studies performed. c) Provide summary of the evidence that falls within this category, including for example, methods and acceptance criteria for the metrological traceability to reference materials and/or reference measurement procedures and a description of value assignment and validation. A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTES:** i. Precision control materials used during analytical studies to establish the reproducibility of a measurement procedure do not require the assessment of metrological traceability to a reference material or a reference method. ii. The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	**EU** Where applicable, the accreditation status of laboratories used in physical and mechanical testing.
CH3.5.03 .1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.03 .1.1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.03 .1.2	IMDRF (ANVISA, EU, HC, TGA, USFDA)	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.03 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.**

					NOTE: Do not place PDFs here.
CH3.5.04	IMDRF	2	Accuracy of Measurement	**NO CONTENT AT THIS LEVEL** **NOTE:** The general term measurement accuracy is currently used to cover both trueness and precision, whereas this term was used in the past to cover only the one component now named trueness. While measurement **trueness**, affected by systematic error, is normally expressed in terms of bias, measurement **precision**, affected by random error, is naturally expressed in terms of standard deviation. Accuracy is affected by a combination of systematic and random effects that contribute as individual components of the total error of measurement.	
CH3.5.04 .1	IMDRF	3	Trueness	This section should provide a summary of information and evidence relating to the trueness of the measurement procedure. Trueness measures apply to both quantitative and qualitative assays only when a reference standard or method is available. This should include: a) A rationale for the reference standard or method(s) used b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	**USFDA 510(k)** This is equivalent to a "method comparison study"; 510(k)s can compare to a reference standard OR a predicate device. **JP** Provide comparison studies, if it is investigated by non-clinical samples.
CH3.5.04 .1.1	IMDRF	4	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.04 .1.1.1	IMDRF	5	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.04 .1.1.2	IMDRF	5	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.04 .1.1.3	Regional (USFDA)	5	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.04 .2	IMDRF	3	Precision (Repeatability and Reproducibility)	A summary of evidence that support the precision characteristics of the measurement of the subject device is to be included in this section. This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category, including: i. Repeatability estimates and a brief summary about the studies used to estimate, as appropriate, within-run variability. ii. Reproducibility estimates and a brief summary of the studies used to estimate, as	

				appropriate, variability between days, runs, sites, lots, operators and instruments. Such variability is also known as **"Intermediate Precision".** c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTE:** i. Studies should include the use of specimens that represent the full range of expected analyte (measured) concentrations that can be measured by the product, as claimed by the manufacturer. ii. The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	
CH3.5.04 .2.1	IMDRF	4	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.04 .2.1.1	IMDRF	5	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.04 .2.1.2	IMDRF	5	Full Report	The test report for the test described in the custom heading above.	
CH3.5.04 .2.1.3	Regional (USFDA)	5	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.05	IMDRF	2	Analytical Sensitivity	Evidence that support the analytical sensitivity of the subject device is to be included in this section. This may include studies to establish the limit of blank (LoB), limit of detection (LoD), and/or limit of quantitation (LoQ). This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	**EU** Where applicable, the accreditation status of laboratories used in physical and mechanical testing.
CH3.5.05 .1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	

CH3.5.05 .1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.05 .1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.05 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.06	IMDRF	2	Analytic Specificity	Evidence that support the analytical specificity (interference and cross reactivity) of the subject device is to be included in this section. This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	**EU** Where applicable, the accreditation status of laboratories used in physical and mechanical testing.
CH3.5.06 .1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.06 .1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.06 .1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.06 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.07	IMDRF	2	High Dose Hook Effect	Evidence that supports the absence of a high dose hook effect or prozone effect. This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to	

				support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	
CH3.5.07 .1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.07 .1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.07 .1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.07 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.08	IMDRF	2	Measuring Range of the Assay	Evidence that support the measuring range (linear and non-linear measuring systems). This measuring range should include the lower limit of quantification. This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	**EU** Where applicable, the accreditation status of laboratories used in physical and mechanical testing.
CH3.5.08 .1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.08 .1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.08 .1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of

					Consensus Standards.
CH3.5.08 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.09	IMDRF	2	Validation of Assay Cut-off	Evidence that support the determining assay cut-off is to be included here. This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	**EU** Where applicable, the accreditation status of laboratories used in physical and mechanical testing.
CH3.5.09 .1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.09 .1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.09 .1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.5.09 .1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.5.10	IMDRF	2	Validation of the Assay Procedure	This section should provide a summary of information and evidence supporting the validity of the assay procedure in terms of important reaction conditions (e.g. reaction time, reaction temperature, reagent volume). This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR**	

				d) A statement of why this category of study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the analytical performance study results provided in this section regarding the subject device	
CH3.5.10.1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.5.10.1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.5.10.1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	
CH3.5.10.1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.6	IMDRF	1	Other Studies	**NO CONTENT AT THIS LEVEL**	
CH3.6.1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	2	Electrical Systems: Safety, Mechanical and Environmental Protection, and Electromagnetic Compatibility	Evidence supporting electrical safety, mechanical and environmental protection, and electromagnetic compatibility are to be included in this section. This should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement of why this category of laboratory study is not applicable to this case. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device	
CH3.6.1.1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.6.1.1.1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.6.1.1.2	IMDRF (ANVISA, EU, HC, TGA, USFDA)	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.

CH3.6.1.1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.6.2	IMDRF	2	Software/Firmware	**NO CONTENT AT THIS LEVEL** Studies and supporting information on the software design, development process and evidence of the validation of the software, as used in the finished device, are to be included in this section and the associated sub-sections. It should also address all of the different hardware configurations and, where applicable, operating systems identified in the labelling	
CH3.6.2.01	IMDRF	3	Software/Firmware Description	a) Specify the name of the software b) Specify the version of the software - The version tested must be clearly identified and should match the release version of the software, otherwise justification must be provided. c) Provide a description of the software including the identification of the device features that are controlled by the software, the programming language, hardware platform, operating system (if applicable), use of Off-the-shelf software (if applicable)	**HC** The level of concern associated with the software stated and supported. **USFDA 510(k)** a) Identify the level of concern (minor, moderate, major) and include a description of the rationale for that level. **USFDA NOTE:** For guidance on what specific software documentation to submit, refer to the Guidance For industry and FDA Staff: Guidance for the Content of Premarket Submissions for Software Contained in Medical Devices
CH3.6.2.02	IMDRF	3	Hazard Analysis	The Hazard Analysis should take into account all device hazards associated with the device's intended use, including both hardware and software hazards. **NOTE:** i. This document can be in the form of an extract of the software-related items from a comprehensive risk management documentation, described in ISO 14971. ii. Hazard analysis, should address all foreseeable hazards, including those resulting from intentional or inadvertent misuse of the device.	
CH3.6.2.03	IMDRF	3	Software Requirement Specification	The Software Requirements Specification (SRS) documents the requirements for the software. This typically includes functional, performance, interface, design, developmental, and other requirements for the software. In effect, this document describes what the Software Device is supposed to do. For example, hardware requirements, programming language requirement, interface requirements, performance and functional requirements,	
CH3.6.2.04	IMDRF	3	Architecture Design Chart	Detailed depiction of functional units and software modules. May include state diagrams as well as flow charts.	
CH3.6.2.05	IMDRF	3	Software Design Specification	The Software Design Specification (SDS) describes the implementation of the requirements for the Software Device. The SDS describes how the requirements in the SRS are implemented.	
CH3.6.2.06	IMDRF	3	Traceability Analysis	A Traceability Analysis links together your product design requirements, design specifications, and testing requirements. It also provides a means of tying together identified hazards with the implementation and testing of the mitigations.	
CH3.6.2.07	IMDRF	3	Software Life Cycle Process Description	A summary describing the software development life cycle and the processes that are in place to manage the various life cycle activities.	
CH3.6.2.08	IMDRF	3	Software Verification and Validation	a) Include an overview of all verification, validation and testing performed both in-house and in a simulated or actual user environment prior to final release. b) Discussion to support why the evidence presented is sufficient to support the application.	

				OR c) A statement of why this category of non-clinical laboratory study is not applicable to this case. **NOTE** i. Discussion should address all of the different hardware configurations and, where applicable, operating systems identified in the labelling. ii. The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the non-clinical study results provided in this section regarding the subject device	
CH3.6.2.08.1	IMDRF	4	[Study description, study identifier, date of initiation]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.6.2.08.1.1	IMDRF	5	Summary	A summary of the specific study described in the custom heading above.	
CH3.6.2.08.1.2	IMDRF	5	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.6.2.08.1.3	Regional (USFDA)	5	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.6.2.09	IMDRF	3	Revision Level History	Revision history log, including release version number and date.	
CH3.6.2.10	IMDRF	3	Unresolved Anomalies (Bugs or Defects)	All unresolved anomalies in the release version of the software should be summarized, along with a justification for acceptability (i.e. the problem, impact on safety and effectiveness, and any plans for correction of the problems).	

CH3.6.3	IMDRF (ANVISA, EU, HC, TGA, USFDA)	2	Cleaning and Disinfection Validation	Contains information on the validation of cleaning and disinfection instructions for reusable devices, including evidence to support maintenance of performance when subject to this procedure over a number of cycles that is representative of the device's expected useful life. Information to be included in this section includes: a) If applicable, a discussion of how the number of cycles that is representative of the device's expected useful life has been determined. b) A justification of the selection of the studies performed. c) A summary of the evidence that falls within this category d) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** e) A statement of why this category of laboratory study is not applicable to this case. **NOTES:** i. This applies most typically in near patient testing involving whole blood. ii. The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device.	
CH3.6.3.1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.6.3.1.1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.6.3.1.2	IMDRF (ANVISA, EU, HC, TGA, USFDA)	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.6.3.1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.6.4	IMDRF	2	Usability/Human Factors	Studies specifically assessing the instructions and/or device design in terms of impact of human behavior, abilities, limitations, and other characteristics on the ability of the device to perform as intended should be included here. This should include: a) State the test environment and relation to the intended use environment b) A justification of the selection of the studies performed. c) A summary of the evidence that falls within this category d) A discussion and conclusion to support why the evidence presented is sufficient to support the application.	

				OR e) A statement of why this category of laboratory study is not applicable to this case. **NOTES:** i. If a clinical study has been conducted that includes usability/human factors endpoints, **reference to the studies and endpoints should be made, but full results do not need to be repeated and should be included in Chapter 4 – Clinical Evidence.** ii. The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device.	
CH3.6.4.1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.6.4.1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above.	
CH3.6.4.1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.6.4.1.3	Regional (USFDA)	4	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.6.5	IMDRF	2	Stability of the IVD	**NO CONTENT AT THIS LEVEL**	
CH3.6.5.1	IMDRF	3	Claimed Shelf-life	Contains details and evidence supporting the claimed shelf-life of device components (e.g. reagents, calibrators/reference materials, control material, any other components susceptible to degradation). Information provided in this section should include: a) A description of recommended environmental conditions for storage of the device (e.g. temperature, pressure, humidity, luminosity). b) A statement of the claimed shelf-life indicated as a period of time or any other means of appropriate quantification. c) An indication of the packaging used in any studies conducted in support of the shelf-life. If the packaging used in the studies differs from the final device packaging, a discussion of why the evidence can be consider valid in support of the claimed shelf-life. d) A justification of the selection of the studies performed. e) A summary of the evidence that falls within this category f) A discussion and a conclusion to support why the evidence presented is sufficient to support the claimed shelf-life. **OR** g) A rationale that, for an indefinite period, the storage conditions could not affect device safety or effectiveness **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device.	**ANVISA, TGA and EU** For devices that do not have an expiration period (e.g. electromedical equipment or other devices of multiple use), information regarding the estimated mean “lifetime”. This mean “lifetime” can be indicated as number of procedures to be performed with the device and/or its accessories, as a period of time or any other means of appropriate quantification.

CH3.6.5.1.1	IMDRF	4	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.6.5.1.1.1	IMDRF	5	Summary	A summary of the specific study described in the custom heading above.	
CH3.6.5.1.1.2	IMDRF	5	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.6.5.1.1.3	Regional (USFDA)	5	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.6.5.2	IMDRF	3	In Use Stability	Contains details and evidence supporting the stability during actual routine use of the device (real or simulated), including all applicable components (e.g. reagents, reaction cartridges). This may include open vial stability and/or, for automated instruments, onboard stability. Information provided in this section should include: a) A justification of the selection of the studies performed. b) A summary of the evidence that falls within this category c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A rationale that, for an indefinite period, the storage conditions could not affect device safety or effectiveness **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device.	**ANVISA, TGA and EU** For devices that do not have an expiration period (e.g. electromedical equipment or other devices of multiple use), information regarding the estimated mean "lifetime". This mean "lifetime" can be indicated as number of procedures to be performed with the device and/or its accessories, as a period of time or any other means of appropriate quantification.
CH3.6.5.2.1	IMDRF	4	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.6.5.2.1.1	IMDRF	5	Summary	A summary of the specific study described in the custom heading above.	
CH3.6.5.2.1.2	IMDRF	5	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.6.5.2.1.3	Regional (USFDA)	5	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.6.5.3	IMDRF	3	Shipping Stability	Contains details and evidence supporting the tolerance of device components (e.g. reagents, calibrators/reference materials) to the specified shipping conditions. Information provided in	**ANVISA, TGA and EU** For devices that do not have an expiration period (e.g. electromedical equipment or other devices of

				this section should include: a) An indication of environmental conditions for correct shipment of the device (temperature, pressure, humidity, luminosity, mechanical protection etc.). b) A justification of the selection of the studies performed. c) A summary of the evidence that falls within this category d) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** e) A rationale that, for an indefinite period, the storage conditions could not affect device safety or effectiveness **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device.	multiple use), information regarding the estimated mean "lifetime". This mean "lifetime" can be indicated as number of procedures to be performed with the device and/or its accessories, as a period of time or any other means of appropriate quantification.
CH3.6.5.3.1	IMDRF	4	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.6.5.3.1.1	IMDRF	5	Summary	A summary of the specific study described in the custom heading above.	
CH3.6.5.3.1.2	IMDRF	5	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.6.5.3.1.3	Regional (USFDA)	5	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.
CH3.7	IMDRF, RF (HC, USFDA)	1	Analytical Performance and Other Evidence Bibliography	a) A listing of published studies relevant to the context of this Chapter that involve this specific device (e.g. analytical specificity, analytical sensitivity) b) A legible copy of key articles, including translation where applicable to meet the regulators language requirements. c) A discussion and a conclusion to support why the evidence presented is sufficient to support the application. **OR** d) A statement that no literature related to the device was found.	
CH3.8	IMDRF	1	Other Evidence	Heading for other information that may be important to the submission but that does not fit in any of the other headings of this chapter. For example, for tests performed to ensure the safety and/or effectiveness of the device that are not delineated in the rest of the Chapter 3. In addition a) Describe the purpose of the test, the risk/safety issue the test is addressing; the test methods and results of the test b) A justification of the selection of the studies performed. c) A summary of the evidence that is being submitted under this heading d) A discussion and a conclusion to support why the evidence presented is sufficient to support the application.	

				NOTE: The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the study results provided in this section regarding the subject device.	
CH3.8.1	IMDRF	2	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **for each study** under the parent heading. The sub headings below would be for this study alone.	
CH3.8.1.1	IMDRF	3	Summary	A summary of the specific study described in the custom heading above.	
CH3.8.1.2	IMDRF	3	Full Report	The test report for the test described in the custom heading above.	**USFDA 510(k)** If referencing a standard, refer to Guidance for Industry and FDA Staff – Recognition and Use of Consensus Standards.
CH3.8.1.3	Regional (USFDA)	3	Statistical Data		This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. **The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here**.

CHAPTER 4 – CLINICAL EVIDENCE

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH4.1	IMDRF	1	Chapter Table of Contents	a) Includes all headings for the chapter. b) Specifies the page number for each item referred to in the table.	
CH4.2	IMDRF	1	Overall Clinical Evidence Summary	a) This should be a brief (1-2 page) summary of the available clinical evidence being presented in support of the submission. The document should list the evidence presented, its characteristics (e.g. well-controlled studies, partially controlled studies, studies and objective trials without matched controls, well-documented case histories conducted by qualified experts, literature review) and provide a discussion of how this is considered sufficient to support request for marketing for the requested indications. A tabular listing of clinical studies may be included in this section. b) If any of the study devices differ from the devices to be marketed, including competitors devices, a description of these differences and their impact on the validity of the evidence in terms of support for the application. c) A discussion of the clinical evidence considered for the device and support for their selection (i.e. what type of evidence was considered and why they were or were not used) d) Discussion to support why the evidence presented is sufficient to support the application. **NOTE:** Human factors testing that include patients should be included here.	**<u>EU and TGA NOTE:</u>** Clinical evidence is always required, regardless of risk class. **<u>HC</u>** a) Provide the Investigational Testing Authorization reference number for any clinical trials conducted under an Investigational Testing Authorization in Canada. b) If applicable, provide the clinicaltrials.gov reference number for any clinical studies registered with clinicaltrials.gov. **<u>USFDA PMA and 510(k)</u>** Does not limit the page number for the summary of the clinical information submitted **<u>USFDA, HC, ANVISA and JP</u>** If no clinical evidence is being provided, discuss why this is acceptable.
CH4.2.1	IMDRF	2	Expected Values/Reference Ranges	This section should include information on what values to expect in healthy normal patients versus affected patients.	
CH4.2.2	IMDRF (EU, TGA)	2	Clinical Evidence Evaluation Report	a) A clinical evidence evaluation report reviewed and signed by an expert in the relevant field that contains an objective critical evaluation of all of the clinical data submitted in relation to the device. b) A complete curriculum vitae, or similar documentation, to justify the manufacturer's choice of the clinical expert.	
CH4.2.3	IMDRF	2	Device Specific Clinical Studies	**NO CONTENT AT THIS LEVEL** Clinical study information under this heading should be grouped by study	
CH4.2.3.1	IMDRF	3	[Study description, protocol #, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created **<u>for each study</u>** under the parent heading. The sub headings below would be for this study alone. For example, the structure will look something like this Level 3: EU Pilot Study, CT4203, 2010-10-10 Level 4: Clinical Study Synopsis Level 4: Clinical Study Report Level 3: NA Controlled Study, CT4584, 2011-01-23 Level 4: Clinical Study Synopsis Level 4: Clinical Study Report	
CH4.2.3.1.1	IMDRF	4	Clinical Study Synopsis	a) A summary of the specific study described in the custom heading above. b) 2-3 page summary document that presents a summary of: i. The key characteristics of the study (e.g. title of study, investigators, sites, study	**<u>USFDA PMA and 510(k)</u>** Does not limit the page number for the summary of the clinical investigations

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
				period (date of enrollment/date of last completed), objectives, methods, statistical design, interpretation of design, # patients, inclusion/exclusion criteria) and ii. Summary of the results of the analysis iii. Summary of conclusions related to the endpoints **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the components of the clinical study synopsis.	
CH4.2.3.1.2	IMDRF	4	Clinical Study Report	a) A clinical study report of the specific study described in the custom heading above. **NOTES:** i. The clinical study report should include elements such as the investigational plan/study protocol, protocol changes and deviations, description of patients, data quality assurance, analysis/results. ii. The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the components of the clinical study report.	**USFDA PMA and 510(k)** http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/InvestigationalDeviceExemptionIDE/ucm046717.htm#sugforforidepro
CH4.2.2.1.3	Regional (USFDA)	4	Clinical Study Data		**USFDA** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the clinical study and data provided in this section regarding the subject device. In this instance regional regulatory guidance refers to Special Controls in a device specific regulation, device-specific guidance document, special controls guidance, special controls guideline, and Statutory or Regulatory criteria. The Center for Devices and Radiological Health (CDRH) accepts and encourages the inclusion of clinical data in electronic (non-PDF) form as supporting material to a premarket (PMA or 510(k)) submission. http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/PremarketSubmissions/ucm136377.htm
CH4.2.4	IMDRF (HC, JP, TGA, USFDA)	2	Clinical Literature Review and Other Reasonable Known Information	a) Clinical literature review that critically reviews available information that is published, available, or reasonably known to the applicant/sponsor that describes safety and/or effectiveness of the device b) A legible copy of key articles, including translation where applicable to meet the regulators language requirements. **OR** c) A statement that no literature related to the device was found. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the clinical study and data provided in this section regarding the subject device	
CH4.3	Regional (USFDA)	1	IRB Approved Informed Consent Forms		**USFDA** Copies of IRB approved informed consent forms are to be provided here.

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH4.4	Regional (USFDA)	1	Investigators Sites and IRB contact information		**USFDA** Investigators and study administrative structure information should be provided, including (as appropriate): a) Investigators (who signed the Investigator agreement)-name, address, telephone # (contact info), CV b) Sites-Site number as reflected in the study report in reference to the investigator, address if different from the above c) Sponsor-address and regulatory contact information d) Contract Research Organization (CRO), if applicable-name, address, and contact information e) 5. Laboratory facilities (central lab and/or local lab that participated in the study)-name, address, contact information
CH4.5	IMDRF	2	Other Clinical Evidence	**NO CONTENT AT THIS LEVEL** This heading for other information that may be important to the submission but that does not fit in any of the other headings of this chapter.	
CH4.5.1	IMDRF	3	[Study description, study identifier, date of initiation, date of completion]	**NO CONTENT AT THIS LEVEL** This heading should be CUSTOM AND BASED ON STUDY DETAILS and created for each study under the parent heading. The sub headings below would be for this study alone.	
CH4.5.1.1	IMDRF	4	Summary	A summary of the specific study described in the custom heading above. NOTES: i. Should not include market history ii. The sponsor/applicant should explicitly address any existing regional regulatory guidance related to the clinical study and data provided in this section regarding the subject device	
CH4.5.1.2	IMDRF	4	Full Report	The test report for the test described in the custom heading above.	
CH4.5.1.3	Regional (USFDA)	4	Statistical Data		**USFDA** **This is the location for statistical data associated with the test described in the custom heading above. This includes metadata and data line listings in their native formats, such as, but not limited to: SAS; XPORT; XML; SGML; S-Plus; R files; ASCII; Molfiles; and Excel. The applicant is advised to contact the specific review division for further guidance on the specific data format that is preferred.** **NOTE: Do not place PDFs here.**

CHAPTER 5 – LABELLING AND PROMOTIONAL MATERIAL

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH5.1	IMDRF (ANVISA, EU, HC, TGA, USFDA)	1	Chapter Table of Contents	a) Includes all headings for the chapter. b) Specifies the page number for each item referred to in the table.	
CH5.2	IMDRF, RF (ANVISA, EU, HC, TGA, USFDA)	1	Product/Package Labels	Samples of the labels **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to labelling the subject device	**ANVISA** a) According to Brazilian Legislation all information associated with the device, including labelling, shall be in Brazilian-Portuguese. b) Specific requirements of labelling content are established by ANVISA´s regulation. c) (PDFs of) the artwork of the labels will need to be provided for device. d) In case the product is marketed with original labels, (PDFs of) stickers with local information will need to be provided. **EU** a) (PDFs of) labels will need to be provided for device labels as well as labelling of primary and secondary packaging. b) For Own Brand labelling, packaging and IFU of both the OBL and the OEM will need to be provided. **HC NOTES** a) All labelling must be provided in English or French, both official languages are to be available upon request. b) Labelling for near-patient devices must also be provided in French and English **TGA NOTES** The labels and instructions for use (including any package inserts) must a) meet the requirements of Essential Principle 13 b) be in English and legible when viewed on screen and printed c) include the Australian sponsor's contact details to meet Regulation 10.2 If the applicant is including draft labels, artist impression or mock-up labels, the applicant needs to provide: a) the mock-up as full size suitable for A3 printing b) a statement as to where and how the batch/serial number/ date of manufacture/expiry date/ will be displayed **USFDA PMA:** a) Follow device labelling regulations found in 21 CFR Part 801 and 21 CFR 809.10
CH5.3	IMDRF, RF (ANVISA, EU, HC, TGA, USFDA)	1	Package Insert/Instructions for Use	Package Insert/Instructions for Use included in the package, when required or provide support for why this element is not applicable. **NOTE:** The sponsor/applicant should explicitly address any existing regional regulatory guidance related to labelling the subject device	**ANVISA** a) According to Brazilian Legislation all information associated with the device, including labelling, shall be in Brazilian-Portuguese. b) Specific requirements of labelling content are established by ANVISA´s regulation. c) The current version of the instruction for use must be informed. d) (PDFs of) the artwork of the IFU will need to be provided for device.

					EU a) At minimum the IFU in a relevant acceptable language, required by Notified Bodies following their national law, should be provided. Further language version will need to be available for verification during audits. b) (PDFs of) labels will need to be provided for device labels as well as labelling of primary and secondary packaging. c) For Own Brand labelling, packaging and IFU of both the OBL and the OEM will need to be provided. **HC NOTES:** a) All labelling must be provided in English or French, both official languages are to be available upon request. b) Labelling for near-patient devices must also be provided in French and English c) Package inserts include a summary of clinical data d) The current version of the instruction for use must be stated. **TGA NOTES** The labels and instructions for use (including any package inserts) must d) meet the requirements of Essential Principle 13 e) be in English and legible when viewed on screen and printed f) include the Australian sponsor's contact details to meet Regulation 10.2 If the applicant is including draft labels, artist impression or mock-up labels, the applicant needs to provide: c) the mock-up as full size suitable for A3 printing d) a statement as to where and how the batch/serial number/ date of manufacture/expiry date/ will be displayed **USFDA PMA NOTE:** Package inserts include a summary of clinical data
CH5.4	IMDRF, RF (ANVISA, EU)	1	e-labelling	a) For eligible medical devices and stand-alone software, the applicant needs to identify which form of e-labelling is being used in case of e-labelling (e.g. electronic storage system or built-in system, website). b) Provide details of risk management in relation to e-labelling. If this is part of the overall risk management, refer to it here c) A description of the procedure and operations on providing IFU's when requested d) Provide written information for user Information on webpage where IFU and further information can be found in relevant languages. e) Description on how the requirements detailed for the website have been met.	**EU** For fixed installed IVD medical devices provide text message / information which will be given on or with the device itself as well as description of place where it would be placed
CH5.5	IMDRF (HC, USFDA)	1	Patient Labelling	Labelling directed at the patient other than the package insert, such as informational material written to be comprehended by the patient or lay caregiver	
CH5.6	IMDRF (ANVISA, EU, HC, TGA, USFDA)	1	Technical/Operators Manual	Labelling directed to the technical users and operators of medical devices focusing on the proper use and maintenance of the device	
CH5.7	Regional (HC)	1	Product Brochures		**HC** a) Draft product brochures available at the time of application b) The sponsor/applicant should explicitly address any existing regional regulatory guidance related to labelling the subject device

CH5.8	IMDRF (ANVISA, EU, HC, TGA, USFDA)	1	Other Labelling and Promotional Material	Heading for other information that may be important to the submission but that does not fit in any of the other headings of this chapter.	

CHAPTER 6A – QUALITY MANAGEMENT SYSTEM PROCEDURES

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH6A.1	Regional (USFDA)	1	Cover Letter		**USFDA PMA** Any PMA submission (including modular PMAs) of quality system information would need a cover letter containing the information described in Chapter 1 under the Cover Letter heading **NOTE:** Quality Management System procedures included in a PMA submission to the USFDA are procedures for the design and manufacture of the specific device that is the subject of the PMA.
CH6A.2	IMDRF (TGA, JP USFDA)	1	Chapter Table of Contents	a) Includes all headings for the chapter. b) Specifies the page number for each item referred to in the table.	
CH6A.3	IMDRF (TGA, JP, USFDA)	1	Administrative	**NO CONTENT AT THIS LEVEL.** Administrative information needed to evaluate the premarket submission related to the QMS	
CH6A.3.1	IMDRF (TGA, JP, USFDA)	2	Product Descriptive Information	Abbreviated description of the device, operating principles and overall manufacturing methods	**USFDA PMA** Description of the device should also include pictures, proprietary name, common name, model numbers, product code and intended use.
CH6A.3.2	IMDRF, RF (ANVISA, HC, JP, TGA, USFDA)	2	General Manufacturing Information	a) Address and contact information for all sites where the device or its components are manufactured. b) Where applicable, addresses for all critical subcontractors, such as outsourced production, critical component or raw material production (e.g. antigens, monoclonal antibodies), and sterilisation, will need to be provided.	**USFDA PMA NOTE** This information is typically submitted to FDA in the Cover Letter.
CH6A.3.3	IMDRF, RF (TGA, USFDA)	2	Required Forms	Any regional specific forms to be completed associated with Quality Management Systems in the premarket review process	
CH6A.4	IMDRF (TGA, USFDA)	1	Quality management system procedures	High level quality management system procedures for establishing and maintaining the quality management system such as the quality manual, quality policy, quality objectives, and control of documents and records ***ISO 13485-2003 Elements– SOPs to satisfy clause 4***	**USFDA PMA** Quality System Procedures (outline of the quality system documentation structure)
CH6A.5	IMDRF (TGA, USFDA)	1	Management responsibilities procedures	Procedures that document the management commitment to the establishment and maintenance of the QMS by addressing quality policy, planning, responsibilities/authority/communication and management review. ***ISO 13485-2003 Elements – SOPs implementing clause 5***	
CH6A.6	IMDRF (TGA, USFDA)	1	Resource management procedures	Procedures that document the adequate provision of resources to implement and maintain the QMS including human resources, infrastructure and work environment. ***ISO 13485-2003 Elements – SOPs implementing clause 6***	
CH6A.7	IMDRF (TGA, USFDA)	1	Product realization procedures	High level product realization procedures such as those addressing planning and customer related processes ***ISO 13485-2003 Elements – SOPs implementing sub clause 7.1 and 7.2***	
CH6A.7.1	IMDRF (TGA, USFDA)	2	Design and development procedures	Procedures that document the systematic and controlled development of the device design from initiation of the project to transfer to production. ***ISO 13485-2003 Elements – SOPs for implementing sub clauses7.3***	**USFDA PMA** 21 CFR 820.30 Design Controls

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH6A.7.2	IMDRF (TGA, USFDA)	2	Purchasing procedures	Procedures that document that purchased products/services conform to established quality and/or product specifications. ***ISO 13485-2003 Elements – SOPs to implement sub clause 7.4***	**USFDA PMA:** a) Purchasing Controls - Procedures b) Acceptance Activities Procedures
CH6A.7.3	IMDRF (TGA, USFDA)	2	Production and service controls procedures	Procedures that document the production and service activities are carried out under controlled conditions. These SOPS address issues such as cleanliness of product and contamination control; installation and servicing activities; process validation; identification and traceability; etc. ***ISO 13485-2003 Elements – SOPs implementing sub clause 7.5***	.**USFDA PMA** a) Production and Process Controls b) Servicing Procedures
CH6A.7.4	IMDRF (TGA, USFDA)	2	Control of monitoring and measuring devices procedures	Procedure that document that monitoring and measuring equipment used in the QMS is controlled and continuously performing per the established requirements. ***ISO 13485-2003 Element- SOPs for implementing sub clause 7.6***	**USFDA PMA** Inspection, Measuring & Test Equipment Procedures
CH6A.8	IMDRF (TGA, USFDA)	1	QMS measurement, analysis and improvement procedures	Procedures that document how monitoring, measurement, analysis and improvement to ensure the conformity of the product and QMS, and to maintain the effectiveness of the QMS. ***ISO 13485-2003 Element – SOPS for implementing clause 8***	***USFDA PMA:*** a) *CAPA Subsystem Procedures* b) *Nonconforming Product Procedure(s)* c) *Complaint Handling Procedures* d) *Quality System Audit Procedures* **TGA** Note that the following should be included in this section: a) Procedures for the notification to TGA and other regulatory authorities of substantial changes to the QMS or to the kinds of medical devices manufactured b) Procedures for the issue of advisory notices, including the required notification to regulatory authorities for product recall c) Procedures for required notification to the TGA and other regulatory authorities of adverse events and changes to the QMS
CH6A.9	IMDRF (TGA, USFDA)	1	Other Quality System Procedures Information	Heading for other information that may be important to the submission but that does not fit in any of the other headings of this chapter.	

CHAPTER 6B – QUALITY MANAGEMENT SYSTEM DEVICE SPECIFIC INFORMATION

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH6B.1	IMDRF	1	Chapter Table of Contents	a) Includes all headings for the chapter. b) Specifies the page number for each item referred to in the table.	
CH6B.2	IMDRF (TGA, USFDA)	1	Quality management system information	Documentation and records specific to the subject device that results from the high level quality management system procedures for establishing and maintaining the quality management system such as the quality manual, quality policy, quality objectives, and control of documents, noted in Chapter 6A ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of clause 4***	
CH6B.3	IMDRF (TGA, USFDA)	1	Management responsibilities information	Documentation and records specific to the subject device that result from the implementation the management responsibilities procedures noted in Chapter 6A ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of clause 5***	
CH6B.4	IMDRF (TGA, USFDA)	1	Resource management information	Documentation and records specific to the subject device that result from the implementation the resource management procedures noted in Chapter 6A. ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of clause 6***	
CH6B.5	Regional (HC)	1	Device Specific Quality Plan		**HC** The review requirement for a quality plan are not met by the ISO 13485 certificate alone, instead refer to ISO 10005. A quality plan should specify "which processes, procedures and associated resources will be applied by whom and when to meet the requirements of a specific project, product, process or contract…". This information may be provided in an application in the form of a flow chart, process map, document matrix, table or text description. A quality plan specific for the subject device should link device requirements to the processes, resources and projects used by the manufacturer in producing that device.
CH6B.6	IMDRF (TGA, USFDA)	1	Product realization information	Documentation and records specific to the subject device that results from the implementation of the high level product realization procedures noted in Chapter 6A. ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of sub clause 7.1 and 7.2***	
CH6B.6.1	Regional (ANVISA, TGA, USFDA)	2	Design and development information	Documentation and records specific to the subject device that results from the implementation of the design and development procedures noted in Chapter 6A. The source of this information is the Design and Development Records (e.g. DHF - Design History File). And "summary of changes" can be sent as a table indicating the change requested and how it impacts on design and process information previously informed. ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of sub clause 7.3***	**USFDA PMA and ANVISA** Design Control Information a) Design Outputs - List of Essential Design Outputs b) Design Validation- Justification for use of non-production units in validation testing, if applicable **ANVISA** a) Receiving and Acceptance Activities defined for critical row materials. “Critical raw materials” are those related with the “essential design outputs” indicated at the Design and Development Control. For example, if among the essential design outputs reference is made to specifications of raw material, this is considered a “critical raw material”.
CH6B.6.2	IMDRF (TGA, USFDA)	2	Purchasing information	Documentation and records specific to the subject device that results from the implementation of purchasing procedures noted in Chapter 6A**.** ***ISO 13485-2003 Elements – documentation specific to the subject device for the***	**TGA** List of suppliers of goods or services that affect product conformity with requirements (critical suppliers) and a description of how purchasing requirements are fulfilled for these suppliers

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
				implementation of sub clause 7.4	**<u>USFDA PMA</u>** a) List of Suppliers for the subject device b) Receiving and Acceptance activities for select suppliers
CH6B.6.3	Regional (ANVISA, HC, JP, TGA, USFDA)	2	Production and service controls information		**<u>ANVISA, HC and TGA:</u>** a) Detailed Manufacturing Flow Diagram b) Summary of in-process acceptance activities for subject device c) Process Validation Master Plan d) List of processes that have not be validated e) For each process validation considered critical to the safety and effectiveness of the device: i. Protocols/Procedures for the validated process ii. Process validation report iii. The procedures for monitoring and controlling the process parameters of a validated process should be fully described. iv. State the frequency of re-validation **HC NOTES:** a) Manufacturing flow diagram should provide a description of the methods used in, and controls used for, the manufacture, processing, packaging, storage and, where appropriate, the installation of the device. Sufficient detail must be provided to enable the judgement of the appropriateness of the controls in place. b) If multiple facilities are involved in the manufacture of a device, the applicable information for each facility must be submitted. If the information is identical for a number of sites, this should be stated. **<u>JP</u>** a) A description of quality control tests and standards in manufacturing for the final product. Examples are following: i. Analytical Sensitivity Test ii. Accuracy Test iii. Repeatability Test b) Explain the rationale for setting the tests and standards. This should include the description why the tests and standards are sufficient to ensure the effectiveness. c) Provide the test reports. **OR** d) A discussion of why this category of study is not applicable to this case. **<u>USFDA PMA</u>** a) Description of the use of standards in manufacturing the PMA device b) Detailed Manufacturing Flow Diagram c) Summary of in-process acceptance activities for subject device (optional) d) Process Validation Master Plan e) List of processes that will not be validated f) Protocols/Procedures for each validated process g) Completed process validation reports (optional/if available) ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of sub clause 7.5***

Row ID	Heading Class & Level		Heading	Common Content	Regional Content
CH6B.6.4	IMDRF (TGA, USFDA)	2	Control of monitoring and measuring devices information	Documentation and records specific to the subject device that results from the implementation of the control of monitoring and measuring device procedures noted in Chapter 6A. ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of sub clause 7.6***	
CH6B.7	IMDRF (TGA, USFDA)	1	QMS measurement, analysis and improvement information	Documentation and records specific to the subject device that results from the implementation of the QMS measurement, analysis and improvement procedures noted in Chapter 6A ***ISO 13485-2003 Elements – documentation specific to the subject device for the implementation of clause 8***	
CH6B.8	IMDRF (TGA, USFDA)	1	Other Device Specific Quality Management System Information	Heading for other information that may be important to the submission but that does not fit in any of the other headings of this Chapter.	

DOCUMENT REVISION HISTORY

Version	Description of Changes	Author	Date
R1	Version for Public Consultation	B. Dowling & IMDRF's RPS ToC WG Members	9 September 2013
R2	Final Version following public consultation and piloting	B. Dowling & IMDRF's RPS ToC WG Members	27 May 2014