

FDA, European Union and Health Canada Regulatory/QMS Checklist

The intent of this checklist is to aid self-assessment of your medical device commercialization readiness relating to regulatory requirements. Compare the answers you provide with stages from the StarFish Product Development Process at the end of the checklist to identify how ready you are for applicable regulatory requirements.

Intended Use

Things to consider when specifying the intended use:

- Nature of device: diagnostic, therapeutic, prophylactic, tool
- Target patient population: elderly, adults, children, neonates
- Disease: single or related groups
- Diagnostic nature: does the device actually diagnose or a tool to aid in diagnosis along with traditional methods such as signs and symptoms
- Nature of treatment: temporary, permanent
- Contraindications: not to be used on broken skin, around the eyes, etc.
- Predicate Requirements: specific indications required to more closely match a possible predicate (more below)

Intended Use: (one only)

- Not yet Defined / Don't know
- Working Draft
- Fully defined (e.g. mandated by predicate)

Target Market

Have you defined the target market?

Note: Different regulatory standards, guidances and pathways apply in different markets.

Target Markets (Tick all that apply):

- USA – FDA regulatory required
 Other:
- Canada – Health Canada Regulatory Required
- Medical Device Directive Required
- EU Medical Device Regulation or IVD regulation

Device Risk Class & Product Code

The device risk class usually prescribes the regulatory pathway, with Class 1 being lowest.

[Health Canada](#) and the [EU](#) use rule-based classification systems. Whereas the FDA has a more complex classification process. Where a product code exists then this will indicate the potential classification of the device in development. If the device is novel then the FDA will need to be approached for a determination of the class.

FDA (one only:)

- Unclassified
- Class I
- Class II
- Class III
- Product Code: _____
- Not a target market

European Union (one only:)

- Class I
- Class I (s/m/r)
- Class IIa
- Class IIb
- Class III
- Not a target market

Health Canada (one only:)

- Class 1
- Class 2
- Class 3
- Class 4
- Not a target market

Regulatory Pathway

Is the regulatory pathway investigated and defined?

If going for a 510(k), have you selected an appropriate predicate, with justification?

FDA (one only:)

- Exempt
 - Class I Exempt
 - Class II exempt
- 510(k)
 - Unclassified Device
 - Class I (Special)
 - Class II
 - Class III
 - Predicate: K _____
- PMA
 - Class II
 - Class III
- DeNovo
- Don't know
- Not a target market

European Union CE (one only:)

- Class I - self declare
- Class I s/m/r, IIa, IIb - ISO13485 + MDR requirements QMS, Technical file, Notified Body Review
- Class III - as above but with Expert panel opinion
- Combination device (device lead) - as above with EMA opinion
- Combination device (drug lead) - EMA submission and notified body opinion

Or alternative pathways:

- Manufacturing QMS, technical file and notified body sample testing
- Technical file, notified body 100% testing
- Don't know
- Not a target market

Health Canada (one only:)

- Medical Device Establishment
- License (typical for Class 1)
- Medical Device License
 - ISO13485 Manufacturing & Attestation (typical for Class 2)
 - Full ISO13485 and Premarket Review (typical for Class 3 & 4)
- Don't know
- Not a target market

Quality Management System

Is a Quality Management system required for your target markets?

In Canada, Class II devices must be manufactured under an ISO13485 QMS but Product Realization (similar to FDA Design Controls) may be excluded, and similarly in Europe some Class I (typically supplied sterile or with a measuring function) require ISO13485 QMS for their particular functionality. For ISO13485, scope must also be described, and [Health Canada has some good advice](#). Knowing whether you need GMP, full QSR, ISO 13485 for manufacturing or full ISO13485 is essential, as this affects the design process (due to generation of appropriate documentation) and the manufacturing resources required. Note that for the European Union, you must have a quality system that complies with the MDR for Class II device Quality Management System and above, but you must also demonstrate you are in compliance with the MDR. Simply having an ISO 13485 quality system is not sufficient. Also note the FDA have their own requirements for [PMA Quality Systems](#).

Tick all that apply:

- | | | |
|---|--|--|
| <input type="radio"/> None | <input type="radio"/> ISO13485 – Product Realization Scope | <input type="radio"/> Demonstrate meet MDR General Safety & Performance Requirements |
| <input type="radio"/> GMP | <input type="radio"/> FDA CFR §820.30 Design Control | |
| <input type="radio"/> ISO13485 – Manufacturing only Scope | <input type="radio"/> FDA PMA Quality System (CFR §820 & §814) | <input type="radio"/> Don't know |

Consensus Standards

Do you know which consensus standards apply to your medical device?

Are there any FDA, HC or EU MDCG guidance documents which are applicable? Of note, IEC60601-1 is a standard for electro-medical devices with a patient applied part which covers both performance and processes, including usability and risk management. Other 60601, and more recently 80601, collateral standards prescribe specific performance requirements or testing conditions for a particular device type, such as ISO80601-2-61 for Pulse Oximeters, IEC60601-2-37 for Ultrasound Diagnostic and monitoring equipment. The FDA Guidance Documents for these are ucm341718 and ucm070911, respectively. There are Consensus standards also product specific standards, such as IEC60825 for laser safety & ISO5840 for implantable heart valve substitutes. [Health Canada has a list](#) of recognized standards, the [FDA also has a list of recognized standards](#) and [EU publish harmonized standards](#) in the Official Journal of the European Union (OJEU).

Consensus Standards and FDA Guidance (tick all that apply):

- IEC60601-1 Basic safety and essential performance for electrical medical devices
- IEC60601-1-2 EMC
- Other 60601 or 80601 performance and safety related collateral standard

- IEC10993 Biocompatibility standard or sub-part
- Applicable FDA guidance documents

- Product specific standards

Essential Performance

Is your essential performance statement defined?

This is particularly relevant to 60601-1 testing and CE marking.

(one only:)

- Not Required
- Don't know
- Yes - Proprietary
- Yes - defined in IEC60601-1 collateral standard
- Not a target market

Interpreting Your Results

Compare the answers you provided with stages from the [StarFish Product Development Process](#) at the end of the checklist to identify how ready you are for applicable regulatory requirements.

- **Technology Development**

No particular regulatory requirements (apart from safety) are required provided experiments are not performed on humans or animals. However, consideration of Intended Use and Device Risk Class is advisable.

- **Proof of Concept**

Target Markets, Intended Use, Device Risk Class and Regulatory Pathway should be well understood before the end of this phase of work. These items fill out the Business Plan, and it is at the end of this stage that some clients seek Series A funding.

- **Alpha & Beta Device Development**

The implementation of a Quality Management System that covers Design Controls is required at the start of the product realization phase. This demonstrates a design process has been followed, with the output being an appropriate DHF at the end of Beta development. Furthermore, review of consensus standards and essential performance will also be required in addition to the items above. It is at the end of this stage that some clients apply for a 510(k).

- **Transfer, Pre-Production Units, Pilot Manufacturing**

A full QMS will be required, which includes GMP/manufacturing controls. Anecdotal evidence demonstrates it can be difficult to CE mark before this stage, since, although you may have an ISO13485 QMS in place, there are insufficient manufacturing records in place to demonstrate compliance with the MDR.

The above interpretation results are only a guide: for example, if you are developing class III devices, you may want to review consensus standards at the technology development stage.



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