ANNEX C

Technical Requirements for the Initial Registration of CLASS B, C, and D IVD

1. EXECUTIVE SUMMARY

1.1. Overview

1.1.1. Introductory descriptive information on the medical device, the intended use and indications for use of the device.

1.1.2. Information on the use of the device, if any, such as targeted patient population, user profile (e.g. specific trained users), specific disease status or clinical condition (e.g. monitoring of a disease), assay principle (e.g. immunoassay) etc.

1.1.3. If the medical device has any unique or novel feature or characteristic (e.g. nanotechnology), a description must be provided.

1.1.4. Any high-level background information or details that the product owner wishes to highlight in relation to the device, its history or relation to other approved devices (e.g. predicate devices) or previous submissions (provides context to submission).

1.1.5. Risk classification of the device and the rule it is based on as listed in Annex 3 of the AMDD

1.2. Commercial Marketing History

1.2.1. List of countries where the medical device is marketed.

1.2.2. Date and country where the device was first introduced for commercial distribution, globally.

1.3. List of Regulatory Approval

1.3.1. Registration status (i.e. submitted, not submitted, pending approval, rejected or withdrawn), registration certificate number and approved intended use and indications of the medical device, in a tabular format. If device is withdrawn/ rejected by any reference agencies, reason for rejection or withdrawal shall be provided.

1.4. Important Safety and Performance Related Information

1.4.1. To include a summary of reportable adverse events (AEs) and field safety corrective actions (FSCAs) for the medical device since its first introduction on the global market, in a tabular format.

2. ESSENTIAL PRINCIPLES CHECKLIST

2.1. Include in the dossier an Essential Principles checklist in the form of a table that lists:

2.1.1. The Essential Principles of Safety and Performance of Medical Devices applicable to IVDs (See Annex 1 of ASEAN Medical Device Directive).

2.1.2. Whether each Essential Principle applies to the IVD and if not, provide a justification as to why not.

2.1.3. The method used to demonstrate conformity with each Essential Principle that applies, as well as the reference for the method used.

2.1.4. A reference for the manufacturer's actual technical documentation that provides evidence of conformity with each method used.

2.1.5. Where that technical documentation is located, both within the full technical documentation held by the manufacturer (e.g., the names of documents) and within the dossier (when such documentation is specifically required for inclusion in the dossier as outlined in this instructions).

3. DEVICE DESCRIPTION

3.1. The intended use of the diagnostic.

3.1.1. What the product detects.

3.1.2. The function of the product (e.g., screening, monitoring, diagnostic or aid to diagnosis, staging or aid to staging of disease).

3.1.3. The specific disorder, condition or risk factor of interest that the product is intended to detect, define or differentiate.

3.1.4. Whether the product is automated or manually operated.

3.1.5. Whether the test is qualitative or quantitative.

3.1.6. The type of specimen(s) required (e.g. serum, plasma, whole blood, sputum, urine, etc.).

3.2. The intended testing population (e.g. neonates, antenatal women, symptomatic individuals, etc.).

3.3. The intended user (laboratory professional and/or health care worker at point-of-care).

3.4. The intended setting of use (laboratory, point-of-care).

3.5. A general description of the principle of the assay method or instrument principles of operation.

3.6. A description of the components of the assay (e.g., reagents, assay controls and calibrators), and, where appropriate, a description of the reactive ingredients of relevant components (e.g., antibodies, antigens, nucleic acid primers).

3.7. A description of the specimen collection and transport materials are provided with the product or descriptions of specifications recommended for use.

3.8. For instruments of automated assays: a description of the appropriate assay characteristics or dedicated assays.

3.9. For automated assays: a description of the appropriate instrumentation characteristics or dedicated instrumentation.

3.10. If applicable, a description of any software to be used with the product.

3.11. If applicable, a description or complete list of the various configurations/variants of product that will be made available.

3.12. If applicable, a description of the accessories, and other products that are intended to be used in combination with the diagnostic.

3.13. Where safety and effectiveness data of similar or previous generation devices are used in the current submission, the following information is to be provided:

3.13.1. A list of such devices and specific information on the registration status of these devices are to be included (e.g. Registration number).

3.13.2. A comparison, preferably in a table, of the design, specifications and intended use/indications for use between the subject device in the current submission and the comparator devices (similar and/or previous generation). To include labelled pictorial representation (diagrams, photos, drawings) where necessary

3.14. Materials

3.14.1. For each of the ingredients, provide formulation/composition information. For example, include information such as nucleic acid sequences for primers, ingredient lists for buffers, amino acid sequence details for recombinant proteins, etc.

3.14.2. Identify the sources of the materials from which the IVD components are constructed.

3.14.3. Provide a table or list of all biological components included in the product under assessment. This should include material of bacterial, viral, parasitic, animal, or human origin, such as plasma, cells, tissues, or their derivatives. The table or list should include:
3.14.3.1. the name of the biological component
3.14.3.2. details of the use of the biological component in the product
3.14.3.3. a description of steps taken for the reduction of transmission or infection risk

3.15. Declaration from the legal manufacturer and/or importer and/or distributor for the following:
3.15.1. Storage conditions
3.15.2. Shelf life
3.15.3. Packaging material
3.15.4. Commercial presentation (i.e. kit contents, No. of tests/package)
3.15.5. Suggested retail price

4. SUMMARY OF DESIGN VERIFICATION AND VALIDATION DOCUMENTS

For each study to be submitted, the following must be provided:

4.1 Study description, study identifier, product identifier (for example, lot numbers), IFU version used, the date of initiation and the date of completion

4.2 A summary of the study findings including a conclusion that clarifies how the study objectives have been met

4.3 The study protocol and full report, which incorporates at a minimum, the following information:
4.3.1 study objectives, study design, the methodology used and data collected
4.3.2 the site where the study was performed (for example, Manufacturers R&D laboratory, hospital laboratory, health care clinic)
4.3.3 operator of the assay
4.3.4 the reference standard, if applicable
4.3.5 specimen acceptance criteria, specimen characterization
4.3.6 specimen type (serum, plasma, finger stick whole blood, venous whole blood) and numbers of each type
4.3.7 actual test result summaries with their acceptance criteria and not just pass/fail statements
4.3.8 all data is clearly labeled, and clearly linked to the study report
4.3.9 details of statistical methods, estimations and calculations applied
4.3.10 the study conclusion
4.3.11 when performed by a party other than the manufacturer, details of this party and the relationship to the manufacturer

4.4 If using other brand name
4.4.1 Analytical studies
4.4.1.1 Specimen type
4.4.1.1.1 Detailed information for each matrix and anticoagulant, when applicable
4.4.1.1.2 Provide studies and information supporting the use of each specimen type (and where applicable, anticoagulant).
4.4.1.1.3 Provide studies and information in support of stability claims, storage claims and, where applicable, claims for

transport conditions for each applicable specimen type, including:

4.4.1.1.3.1 Duration

4.4.1.1.3.2 Temperatures

4.4.1.1.3.3 Number of allowable freeze/thaw cycles

4.4.1.1.3.4 Specimen stability claims

4.4.1.2 Analytical performance characteristics

4.4.1.2.1 Accuracy of measurement

4.4.1.2.1.1 Trueness of measurement

4.4.1.2.1.2 Precision of measurement

4.4.1.2.1.2.1 Repeatability

For products to be used at point-of-care, where the testing may be undertaken by non-laboratory trained personnel (for example, clinic nurses), repeatability should be established in two steps, first, with professional laboratory personnel to establish the optimal repeatability of the IVD under controlled laboratory conditions then followed by a consumer field evaluation to determine the product's performance when used by non-laboratory trained personnel, unassisted, following instructions provided with the product.

4.4.1.2.1.2.2 Reproducibility

For products to be used at point-of-care, where the testing may be undertaken by non-laboratory trained personnel (for example, clinic nurses), repeatability should be established in two steps, first, with professional laboratory personnel to establish the optimal repeatability of the IVD under controlled laboratory conditions then followed by a consumer field evaluation to determine the product's performance when used by non-laboratory trained personnel, unassisted, following

instructions provided with the product.

4.4.1.2.2 Analytical sensitivity

4.4.1.2.2.1 For a quantitative assay, identify the following parameters and provide details on how they were derived:

4.4.1.2.2.1.1 Limit of blank (LoB)

4.4.1.2.2.1.2 Limit of detection (LoD)

4.4.1.2.2.1.3 Limit of quantitation (LoQ)

4.4.1.2.3 Analytical specificity

4.4.1.2.3.1 Interference studies

4.4.1.2.3.2 Cross reactivity studies

4.4.1.2.4 Traceability of calibrators and control material values

4.4.1.2.5 Measuring range of the assay

4.4.1.2.6 Validation of assay cut-off

4.4.1.2.7 Validation of assay procedure – reading time

4.5 Stability (excluding specimen stability)

4.5.1 Claimed shelf life

4.5.1.1 Testing is done on at least three different lots manufactured under conditions that are equivalent to routine production conditions

4.5.1.2 Accelerated studies or extrapolated data from real time data are acceptable for initial shelf life claim but need to be followed up with real time stability studies. Results derived from testing three different lots is required.

4.5.1.3 The conclusions must clearly identify claimed shelf life stability.

4.5.2 In-use stability

4.5.2.1 Studies should be submitted for each assay component (for example, test cartridge, buffer, conjugate, substrate, acid).

4.5.2.2 For each component, testing is required on a minimum of one lot.

4.5.2.3 Open vial stability and/or on-board stability.

4.5.2.4 If calibration stability is claimed, then supporting data should be included.

4.5.2.5 The conclusions must clearly identify the claimed in-use stability.

4.5.3 Shipping stability

4.5.4 For IVDs that does not have expiry dates, provide the projected useful life of the device.

4.6 Robustness Studies

4.7 Clinical evidence (clinical or diagnostic sensitivity and specificity)

4.7.1 Clinical evaluation – Manufacturer

4.7.2 Clinical evaluation - Independent study

4.7.3 Additional requirements for self-testing and near-patient testing, if applicable

4.8 Declaration of Conformity to the recognized product standards issued by the legal manufacturer/product owner.

4.9 Software Verification and Validation

4.9.1 Specify the version of the software to be supplied.

4.9.2 An overview of all verification, validation and testing performed for the software both in-house and in a simulated or actual user environment prior to final release. Where the software has been validated together with the IVD instruments (e.g.

IVD analysers), reports of such validation addressing the safety and performance considerations for the software is to be provided.

4.9.3 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).

4.10 Electrical Safety and Electromagnetic Compatibility

4.10.1 For example, if a device is claimed to meet the requirements of IEC 60601-1 and IEC 60601-1-2, summary test reports and/or certificates are to be submitted for verification of conformance to these standards.

4.11 Other Evidences

4.11.1 Evidence to support the cybersecurity of connected medical devices such as wireless enabled, internet-connected and network-connected devices. For example, but not limited to:

4.11.1.1 Cybersecurity vulnerabilities and risks analysis

4.11.1.2 Cybersecurity control measures

4.11.1.3 On-going plans, processes or mechanisms for surveillance, timely detection and management of the cybersecurity related threats during the useful life of the device, especially when a breach has been detected.

4.11.2 For non-IVD medical device accessories to be registered with the IVD medical device e.g. a lancet that is provided in the package to the user to perform a test, information on preclinical studies necessary to establish the safety and performance of these medical devices shall be provided e.g. biocompatibility and sterilisation validation studies.

5. CLEAR AND COMPLETE COLORED PICTURES OF LABEL IN ALL ANGLES OF THE PACKAGING

5.1. Photographs of all kit components (packaged and individually).

5.2. Immediate label, secondary packaging, box label and package insert/brochure, whichever is applicable.

5.3. For any additional product claims on the label, submit studies or tests supporting the claims.

5.4. For imported products, if the brand name is the product's local brand, declaration from the manufacturer allowing use of the brand name and Intellectual Property Office (IPO) approval of the said brand name.

5.5. For local manufactured products, IPO approval of the said brand name

5.6. If the CE marking is reflected on the label, submit a valid certificate supporting the placement of the CE mark.

5.7. Pictures and text of the label should be clear and not be pixelated when the view is increased in size.

5.8. Lot No., Batch No., Serial No., whichever is applicable, should be reflected.

5.9. Expiration date, reference codes/sizes/variants/model whichever is applicable should be reflected.

5.10. Storage condition, sterilization method should be reflected if applicable.

5.11. Importer and distributor's name and address should be reflected in the label of the product together with the Registration Number.

5.12. Suggested Retail Price (SRP) in Philippine peso.

6. RISK ANALYSIS/RISK ASSESSMENT

6.1. A summary report of the risks identified during the risk analysis process, including, but not limited to:

6.1.1. Risk to the patient arising from false positive or false negative results

6.1.2. Indirect risks that may result from product-associated hazards, such as instability, which could lead to erroneous results

6.1.3. User-related hazards, such as reagents containing infectious agents

6.1.4. Production-related risks

6.2. Failure Mode Effect Analysis / Risk Benefit Analysis

6.3. A description of how these risks have been controlled to an acceptable level.

6.4. A conclusion with evidence that the remaining risks are acceptable when compared to the benefits. This should be signed by senior management.

6.5. Identification of specific standards or guidelines (for example, ISO 14791:2007 (E) "Medical devices -- Application of risk management to medical devices").

7. PHYSICAL MANUFACTURER INFORMATION

7.1. Manufacturing process, including quality assurance measures. This should include the manufacturing methods and procedures, manufacturing environment or conditions, facilities and controls. The information may be presented in the form of a process flow chart showing an overview of production, controls, assembly, final product testing, and packaging of finished medical device.

7.2. A brief summary of the sterilization method should be included.

7.3. Include sterilization standard parameters, sterilization procedures, validation protocol and results of latest sterilization revalidation.

7.4. If the sterilization of the device is contracted out, submit a copy of valid ISO Certificate of the contracted sterilizing company.

7.5. For non-sterile devices:

7.5.1. Submit Non-sterile declaration from the manufacturer

7.5.2. If the device is required to be sterilized prior to use, submit recommended sterilization guidelines from the manufacturer