Three People, One Dream

Two years ago, Dr. Art Sartgen, a heart surgeon well-known for inventing and developing cardiovascular devices, and Dr. Flex Mater, a biomedical engineer specializing in materials science, founded a start-up company called ABC Stent Systems, Inc. (ABC). Together, they designed the Novel Bare Metal Coronary Stenting System (NBMCSS). An inventor with many patents, Dr. Mater had created a special alloy material that he and his partner believed would outperform existing stents in flexibility and shape retention, thereby reducing incidences of thrombosis (blood clotting) and restenosis (narrowing of the affected artery) in patients after stent implantation.

ABC recently hired a Regulatory Manager, Dr. Mary Laws, who has worked for 10 years in the medical device industry. Throughout her career, she has helped innovators of biomedical products market their inventions with minimal delay by adhering to the U.S. Food and Drug Administration’s (FDA) Application Integrity Policy, which helps assure companies maintain ethical standards and provide sound scientific data when applying for premarket approval of a medical device. For this venture, Dr. Laws’ major responsibility will be to help get the NBMCSS to market by guiding ABC through the FDA regulatory process defined in the Federal Food, Drug, and Cosmetic Act (FD&C Act).

A Meeting of the Minds

The three executives of ABC convened in their new conference room to discuss the business side of their venture.

“There’s a huge need for coronary stents here in the United States” Dr. Sartgen began. “In 2009, nearly 800,000 Americans died of cardiovascular diseases. In conjunction with medication, treatment options to reopen heart vessels damaged by coronary heart disease include coronary artery bypass grafting, balloon angioplasty, or stent implantation. The coronary stent market was estimated to be over $6 billion in 2010.

“In 2009, nearly 800,000 Americans died of cardiovascular diseases.”

“Ideally, a stent procedure will improve blood flow to diseased heart muscles, reviving their normal function. However,” Dr. Sartgen continued, “today’s coronary stents have some serious limitations. There’s a 10 to 40 percent incidence of restenosis within 6 to 12 months after a stent is implanted, and about 1 to 2 percent of stent patients develop thrombosis at the stent site, which can cause a heart attack, stroke, or other serious problems.”

“And that’s where we come in,” Dr. Mater interjected. “Our early lab experiments have shown that the NBMCSS addresses those issues through its superior material characteristics, which allow the stent to sustain repeating or pulsating stresses. It can also reduce restenosis and thrombosis. I think this innovative device can make us a major part of that billion-dollar market!”
Stent Procedure

In an angiogram procedure, a cardiologist injects a special dye inside the patient’s arteries to determine where they are narrowed or blocked by cholesterol-containing deposits (plaque). A stent is placed in the event that a blockage is identified in a vessel. The interventional cardiologist will then move a stent delivery system using a guide catheter to the lesion and inflate the balloon where the implantable stent is mounted. As the balloon inflates, it pushes the plaque against the artery wall and deploys the stent, widening the artery and helping restore blood flow. The implantable stent remains in the artery to keep it open. The balloon is deflated and pulled out along with the guide catheter. Over time, cells in the artery grow to cover the struts of the stent.

Legend:

A The location of the heart and coronary arteries.
B Deflated balloon catheter and closed stent inserted into the narrowed coronary artery. Inset image: cross-section of the artery with the inserted balloon catheter and closed stent.
C The balloon is inflated, expanding the stent and compressing the plaque against the artery wall.
D Stent-widened artery. Inset image: cross-section of the compressed plaque and stent-widened artery.

Restenosis of a Stent-Widened Coronary Artery

Legend:

A Coronary arteries located on the surface of the heart.
B Stent-widened artery with normal blood flow. Inset image: cross-section of the stent-widened artery.
C Tissue growing through and around the stent over time. This causes a partial blockage of the artery and abnormal blood flow. This process is called restenosis. Inset image: cross-section of the tissue growth around the stent.

“You’re right to be excited, Flex,” said Dr. Laws. “If this device has the properties you think it does, the NBMCSS could be a major breakthrough in medical care. But remember, all you’ve got right now is preliminary information. Before we can market the stent, we’ll have to scientifically demonstrate to the FDA that it’s safe, effective, and performs as we’re all hoping it will.”

“Absolutely,” Dr. Sartgen nodded. “It would be disastrous to cut any corners in the development of what could be a historical life-saving device. Mary, what will we need to submit to FDA to get the NBMCSS to market?”

“I’m happy to hear that Art,” Dr. Laws smiled. Activating the projector screen at the end of the conference room table, she quickly pulled up a presentation entitled “FDA Premarket Approval of Class III Medical Devices.”

“I’m going to give you a roadmap that will take us through the process of getting FDA approval,” Dr. Laws continued. “But as I walk you through the details, I want you to keep in mind that the underlying purpose of these requirements is threefold: to ensure that our stent works as intended, fulfills the claims we’re making for it, and doesn’t subject patients to undue risk.”

**DR. LAWS’ ROAD MAP**

### Major Milestones Before Marketing: Pre-Submissions, IDE, and PMA Applications

“To determine the appropriate regulatory pathway for a product,” Dr. Laws explained, “the first thing you’ll need to know is how FDA classifies your device. Before our meeting, I visited the FDA Web site and checked the Center for Devices and Radiological Health (CDRH) Product Classification database. The NBMCSS is a coronary stent (product code MAF), which is considered a Class III device.”

“What are Class III devices?” asked Dr. Mater.

“FDA has created three regulatory classes for medical devices: Class I, II, and III. The assigned classification is based on the level of controls (regulations) necessary to assure the safety and effectiveness of the device. Regulatory control increases from Class I to III. Class III devices support or sustain human life, are of substantial importance in preventing impairment of human health, or, can present a potential, unreasonable risk of illness or injury when used.”

“I see,” said Dr. Matter. “So, the NBMCSS is a Class III device because it is a cardiovascular implant: a high risk device that will support or sustain a patient who has restricted coronary vessels, but permanent implantation includes the risks of heart attack or even death.”

“Additionally,” said Dr. Laws. “Due to the level of risk, all Class III devices are subject to general controls and require a Premarket Approval (PMA) application (Title 21 CFR Part 814). However, there are two steps we’ll need to take before submitting the PMA application: one highly suggested, and one required.

“First, I strongly recommend that we reach out to the FDA for preliminary guidance through a ‘Pre-Submission.’ FDA encourages manufacturers (sponsors), to ask for early guidance through meetings, e-mails, or telephone calls. This way, we can get the FDA’s advice on the nonclinical testing proposal and clinical protocol design required for the next step in our PMA process: the Investigational Device Exemption (IDE) application (Title 21 CFR Part 812). I’ll explain Pre-Submissions, PMAs, and IDEs more as we go along, but I wanted to familiarize you with the terms.”

“This is starting to sound very complicated,” Dr. Mater sighed.

Dr. Laws chuckled. “Don’t worry, Flex; I’ve done this a few times. And let me reassure you, it will not only improve our stent, but will..."
help us stay true to the business philosophy we created for ABC Stent Systems:

- Become the best-in-class among our competitors.
- Create products that save and improve the quality of human life.
- Design, manufacture, and market products as if intended for our loved ones.
- Adhere to all national and international rules and regulations that govern what we do.”

“I’m sold,” said Dr. Mater. “Take us through the steps we’ll need to obtain a PMA for our miracle stent.”

Steps to Obtain Premarket Approval

“In a nutshell,” said Dr. Laws, “our PMA application must submit valid scientific evidence proving the safety and effectiveness of our stent (21 CFR Part 860.7). Our PMA will include the final design concepts for the NBMCSS and our strategy for how we have tested and evaluated the device. Testing will occur in three phases:

- Nonclinical studies of in vitro bench testing
- Nonclinical studies of in vivo animal testing
- Clinical investigations of human subjects

We’ll submit the data we gather in the nonclinical testing steps in our IDE application. The IDE is what will allow us to test the stent in human subjects, the last phase of testing needed before we submit our PMA.”

Data Integrity and Best Practices

While planning our testing and evaluation strategy and going...
through the steps needed to complete our PMA, we should follow basic regulatory standards. It's vital that the FDA knows our data were generated using the best scientific practices, that our results are presented clearly and honestly, and that we haven’t cut any corners. To achieve that, we’ll follow published FDA guidance in three areas: Current Good Manufacturing Practices (CGMP), Good Laboratory Practices (GLP), and Good Clinical Practices (GCP). These practices lay out the FDA's expectations for the kind of data quality and integrity they’ll want to see in our applications. By demonstrating that we’ve adhered to these guidelines, we’ll bolster FDA’s confidence in our findings and increase the chance that our PMA will be accepted.

Pre-Submission

Laws pulled up the next slide in her presentation. “Now, before we begin nonclinical engineering testing, we’ll need to detail the materials (generic chemical compositions and formulations) that make up our stenting system, as well as how the NBMCSS is constructed (the stent and its delivery system parts). We’ll also provide documentation certifying that all incoming raw materials conform to specifications.

Once we’ve gathered this information in addition to any data we had previously, we should start putting together our Pre-Submission. A Pre-Submission is a formal written request for feedback from FDA in writing or, if we choose, a meeting or teleconference. While it is not required, it is highly recommended, particularly in our case since our stent contains novel, never-before-seen technology that will make it a “first-of-its-kind” device. We can ask FDA for guidance throughout our testing stages. Doing so will not only familiarize the agency with our stenting system and its ongoing development, it may expedite our PMA process and improve our chances of getting the NBMCSS to market as quickly as possible.”

Examples of Shelf Life Tests on Stent and Delivery System Materials

<table>
<thead>
<tr>
<th>Delivery System Dimensional and Functional Attributes</th>
<th>Stent Dimensional and Functional Attributes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dimensional Verification</td>
<td>Dimensional Verification</td>
</tr>
<tr>
<td>Delivery, Deployment, and Retraction</td>
<td>Foreshortening</td>
</tr>
<tr>
<td>Balloon Rated Burst Pressure</td>
<td>Radial Outward Forces</td>
</tr>
<tr>
<td>Balloon Fatigue</td>
<td>Particulate Evaluation</td>
</tr>
<tr>
<td>Balloon Compliance</td>
<td></td>
</tr>
<tr>
<td>Balloon Inflation and Deflation Time</td>
<td></td>
</tr>
<tr>
<td>Catheter Bond Strength</td>
<td></td>
</tr>
<tr>
<td>Tip Pull Test</td>
<td></td>
</tr>
<tr>
<td>Flexibility and Kink Test</td>
<td></td>
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<tr>
<td>Torque Strength</td>
<td></td>
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<tr>
<td>Coating Integrity</td>
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<td>Stent Securement for Unsheathed Stents</td>
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</tr>
</tbody>
</table>

Purpose: Effects of aging on the materials of construction.

Note: For illustration purposes only. For details, please refer to FDA Guidance (2010) Nonclinical Engineering Tests and Recommended Labeling for Intravascular Stents and Associated Delivery Systems, and FDA Guidance (2013) Select Updates for Nonclinical Engineering Tests and Recommended Labeling for Intravascular Stents and Associated Delivery Systems. Draft guidances are subject to change and are not for implementation.

In Vitro Nonclinical Testing

Once we’ve received feedback from FDA, Flex and his team can begin in vitro nonclinical engineering tests on the final design of our stent and its delivery system. These tests will ensure that the NBMCSS meets our design specifications and controls, and provide us with reasonable assurance that our device will pose no harm to humans when we start clinical trials in patients. We’ll want to follow Current Good Manufacturing Practices (CGMP).
throughout this stage of testing. The stent and its delivery system must meet all the predetermined acceptance criteria on all the test attributes (i.e., bench testing) developed as part of the risk analysis. For example, our device must be dimensionally correct, structurally fit, mechanically durable, and perform satisfactorily in its intended use environment. Flex’s team can create these in vitro bench test methods or use FDA-recognized consensus standards (See Exhibits 4 and 5).

To demonstrate that our stent doesn’t cause any harmful or unwanted effects when in contact with a patient’s circulating blood, we’ll conduct biocompatibility tests (See Exhibit 6). These tests may include the use of appropriate in vitro cellular or in vivo animal models to evaluate the possibilities of cell damage, gene mutation, and other adverse effects to patients. We can find additional guidance and standards for the design of these tests on the Product Classification page of the FDA Web site.

**In Vivo Nonclinical Testing**

The next round of nonclinical studies will use animal testing to give us a preliminary understanding of our device’s risks and provide information about local and systemic responses beyond what we can achieve from an in vitro study. In vivo testing will help justify the first human studies we undertake.

One of our first steps will be to choose an appropriate animal model that closest simulates conditions in the human body for testing the stent. In vivo test data will demonstrate to FDA that our stent is sufficiently safe to be used for early human experiments. Animal testing is costly and can take months to perform, so we should ask FDA for guidance on our proposed animal study protocol models and testing protocols in our ongoing Pre-Submission process before we begin.

We must identify and evaluate the potential risks posed by the device using information from literature reviews, our competitors, FDA’s post-market databases, and our own in vitro testing (See decision tree on page 7). We’ll also want to make sure we follow Good Laboratory Practices (GLP) once we’ve decided our protocols.

**Preparing for a Clinical Investigation: The IDE**

When we’re satisfied with the nonclinical testing and we’ve collected all the necessary data, we’ll almost be ready to conduct the clinical investigations needed to prove that the NBMCSS is safe and effective when implanted in humans. Our next step will be to apply to the FDA for an Investigational Device Exemption (IDE), which will allow the stent to be used in a clinical study with human participants in the United States.

As part of our IDE application, we’ll have to comply with the Report of Prior Investigation requirement (21 CFR Part 812.27). This is where we report on those in vitro and in vivo nonclinical tests Flex’s team will have performed to demonstrate to FDA that our stent will function as intended in bench testing and in the animal model. This data will give the FDA assurance of the safety, sterility, and biocompatibility of our stent, as well as present risk mitigation strategies for potential catastrophic failures like stent fractures.

**The First in Human (FIH) study and the Institutional Review Board (IRB)**

Because the NBMCSS is unique in many ways, we don’t have previous safety and effectiveness experience to rely on for clinical testing. We should sponsor an early feasibility study under a First in Human Study Investigational Device Exemption (FIH IDE) application. This type of IDE focuses on insights rather than data to support further IDE studies and the eventual PMA.

Since our stent is so novel, we’ll need to protect the people enrolled in our study as detailed in the Protection of Human Subjects regulation (Title 21 CFR Part 50) and identify and work with an established Institutional Review Board (IRB) (Title 21 CFR Part 56). An IRB is a committee of experts a company can formally designate to review, approve the initiation of, and conduct periodic review of their clinical investigations. We’ll submit our investigational plan and a report of prior investigations to the IRB, which will decide whether our stent
BRINGING AN INNOVATIVE DEVICE TO MARKET: PREMARKET APPROVAL (PMA) OF MEDICAL DEVICES CONTINUED

DECISION TREE FOR ANIMAL STUDIES IN NBMCSS

1. Conduct risk analysis

2. Risks evaluated on bench-top using final design?

   Yes

   3. Do established animal model(s) exist for the device?

      Yes

      4. Are there new indications suggesting different time points or methods?

         Yes

         5. Anything known to effect high variability of animal responses that result in significant training curve?

            Yes

            5b. Conduct feasibility animal studies to evaluate the issue prior to pivotal animal studies

            No

            4b. Use time points reported for similar devices

   No

   2b. Evaluate risk by bench-top testing

   No

   3b. Contact FDA or consult with animal veterinarian expert for alternatives

   Yes

   6. Submit Pre-Submission with GLP animal study proposal

is a significant or non-significant risk device (See Exhibit 7). Remember, the NBMCSS is a Class III device, so the board will find that implanting an investigational stent is a significant risk and we’ll have to prepare to fulfill all IDE requirements for conducting a study in the United States (See risk determination figure above).

Our clinical investigations will have to be approved by both the FDA and the IRB before we begin. As the sponsor of the investigation, we are responsible for complying with many elements of the IDE regulation, including labeling, distribution, informed consent, prohibitions, records, and reports (See Exhibit 8). We’ll monitor the investigation and initiate frequent reviews by the IRB to gain information on potential risks to protect the participants. We may also consider creating a Data Monitoring Committee to keep track of the ongoing validity and scientific merit of the trial. However, this is not required by FDA for every trial except in the case of waived informed consent (21 CFR Part 50.24). Monitoring procedures and other oversight of the clinical investigations are required (21 CFR Part 812.25[e]).

**Informed Consent**

To provide basic protection for our clinical trial participants, we will adhere to the requirements described in the regulation on Informed Consent of Human Subjects for an early feasibility study (21 CFR Part 50.25). This means that we must explain the purpose of our study to participants, making it clear that we’re doing a small study because there’s not enough nonclinical data to support a larger investigation, and make participants aware of potential unforeseeable risks. We should be conservative when presenting the possible immediate and future benefits of using the device. The information in the consent form should not lead the participants to overestimate their chance of personal benefit. This approach is ethically correct, and the regulations require it.

**Accommodating Change: The IDE Supplement**

After we obtain clinical information from our first human studies, our subsequent clinical evaluations will depend on the stability of our stent’s design, the availability of adequate data to justify the next study, and the purpose of that clinical study. As we learn more about the stent, we may want to make changes in the design to increase its safety and effectiveness. If we’re going to use a modified device in a subsequent clinical study, we must submit an IDE Supplement to the FDA documenting the changes that were made. Once the IDE Supplement is approved, we may enroll additional participants in the early feasibility study.

If the design of our stent is near-final or final, and the results of the early feasibility study support...
appropriate for us to pursue either a traditional feasibility study (a clinical investigation used to gather preliminary safety and effectiveness information on a near-final or final device design to plan an appropriate pivotal study) or a pivotal study (a clinical investigation designed to collect definitive evidence of the safety and effectiveness of a device for a specified intended use). At that point, it will be very important to communicate with the FDA in an additional round of Pre-Submission guidance to help determine the most appropriate study to pursue.

THE WRAP-UP

"Any questions?" asked Dr. Laws. Pausing to take a much needed sip of water, she noted that her colleagues looked a bit shell-shocked. Dr. Sartgen was the first to respond.

"To be honest with you, Mary," said Dr. Sartgen, "All those requirements in the roadmap are making my head spin."

Dr. Mater spoke up. "And yet they make sense. At the most fundamental level, we present the FDA with scientific data that demonstrate that our stent is safe and that it works as we say it will. They evaluate what we give them and decide whether or not the device can be marketed."

Dr. Sartgen nodded, "Right. Okay, let me see if I can remember the sequence. We start with in vitro, nonclinical bench testing, and then proceed to in vivo tests using animals. We submit that data along with a proposed clinical trial design in our application for an Investigational Device Exemption, or IDE, which will enable us to test the device in humans for the pivotal study. And since our device is so unique, we’ll use a First in Human IDE application. To oversee the ethical dimensions of our human studies and ensure informed consent, we’ll locate and work with an established Institutional Review Board. If we have to make changes in the device as our studies proceed, we’ll inform the FDA using an IDE Supplement. And finally, we’ll submit our Premarket Approval application, or PMA, using overall guidance supplied by the FDA. How’s that, Mary? Do I have the basics under my belt?"

"Nice job, Art" said Dr. Laws. "But remember, our roadmap just skinned the surface. We’ll need more information as we go through this process, and our best source is the FDA itself. We should start communicating with them formally through a Pre-Submission as soon as possible so we can be sure we understand their expectations. We don’t want to fail to generate the information FDA needs to establish the safety and effectiveness of the NBMCSS or do a lot of work that’s not relevant to what the agency needs. Let’s get started on the right foot."

"I’m still feeling a bit overwhelmed, but I’m also excited," replied Dr. Sartgen.

"As you should be," Dr. Mater smiled. "We’ve got a great product here that’s going to be a real breakthrough in treating cardiac patients, and it’s going to put this company on the map. Now we’ve got to go out and prove it. Let’s get to work!"
## EXHIBITS

### Exhibit 1. Quality System Information for Premarket Application—CFR References

#### Design Control Information

<table>
<thead>
<tr>
<th>21 CFR Part</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>820.30(a)</td>
<td>Design Controls, General</td>
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<tr>
<td>820.30(b)</td>
<td>Design and Development Planning</td>
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<td>820.30(c)</td>
<td>Design Input</td>
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<td>820.30(d)</td>
<td>Design Output</td>
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<td>820.30(e)</td>
<td>Design Review</td>
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<td>Design Verification</td>
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<td>Design Validation</td>
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<td>820.30(h)</td>
<td>Design Transfer</td>
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<td>820.30(i)</td>
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<td>820.30(j)</td>
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#### Manufacturing Information

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<tr>
<td>820.20(e)</td>
<td>Quality System Procedures</td>
</tr>
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<td>820.50</td>
<td>Production Flow, Use of Standards</td>
</tr>
<tr>
<td>820.70</td>
<td>Purchasing Controls</td>
</tr>
<tr>
<td>820.72</td>
<td>Production and Process Controls</td>
</tr>
<tr>
<td>820.75</td>
<td>Inspection, Measuring, and Test Equipment</td>
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<tr>
<td>820.75(a)</td>
<td>Process Validation—Master Plan</td>
</tr>
<tr>
<td>820.80(b)</td>
<td>Process Validation—Procedure(s)</td>
</tr>
<tr>
<td>820.80(d)</td>
<td>Receiving Acceptance Activities</td>
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<tr>
<td>820.90</td>
<td>Final Acceptance Activities</td>
</tr>
<tr>
<td>820.100</td>
<td>Nonconforming Products</td>
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<tr>
<td>820.198</td>
<td>Corrective and Preventive Action</td>
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<tr>
<td>820.200</td>
<td>Complaint Files</td>
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<td>820.200</td>
<td>Servicing</td>
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</table>

*Notes: Design control and manufacturing information are key parts of a Premarket submission. This table shows examples of those requirements. For details, please refer to FDA Guidance (2003) Quality System Information for Certain Premarket Application Reviews.*
Exhibit 2. Good Laboratory Practices—CFR References
(21 CFR Part 58)

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<thead>
<tr>
<th>Selected Section</th>
<th>Area</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subpart B. 29 – .35</td>
<td>Organization and Personnel</td>
<td>Qualification, experience, training, sanitation, and health precautions and independency of quality assurance unit from the study unit to assure the integrity of the conduct and results of the study</td>
</tr>
<tr>
<td>Subpart C. 41 – .51</td>
<td>Facility</td>
<td>Proper design to prevent adverse effect on the study</td>
</tr>
<tr>
<td>Subpart D. 61 – .63</td>
<td>Equipment</td>
<td>Design, maintenance, calibration</td>
</tr>
<tr>
<td>Subpart E. 29 – .35</td>
<td>Testing Facilities Operation</td>
<td>Standard operating procedures, consumables, and animal care</td>
</tr>
<tr>
<td>Subpart F. 105 – .113</td>
<td>Test and Control Articles</td>
<td>Characterization and handling of articles</td>
</tr>
<tr>
<td>Subpart G. 29 – .35</td>
<td>Protocol</td>
<td>Handling of contents, specimen, data, and their changes</td>
</tr>
<tr>
<td>Subpart J. 185 – .195</td>
<td>Records and Reports</td>
<td>Reporting contents, storage, retrieval, and retention of records and specimen</td>
</tr>
<tr>
<td>Subpart K. 200 – .219</td>
<td>Disqualification of Testing Facilities</td>
<td>Failure to comply with GLP requirements, communications, actions, and reinstatement</td>
</tr>
</tbody>
</table>

Note: GLP describes the required practices for sponsors to ensure data integrity and quality of animal studies. This table shows examples of GLP requirements.


<table>
<thead>
<tr>
<th>Section</th>
<th>Area</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Scope</td>
<td>Explains the purpose, principles, general requirements, and applicability of the standard</td>
</tr>
<tr>
<td>2</td>
<td>Normative Reference</td>
<td>References ISO 14971:2007</td>
</tr>
<tr>
<td>3</td>
<td>Terms and Definitions</td>
<td>Defines terminology involved in clinical practices</td>
</tr>
<tr>
<td>4</td>
<td>Ethical Considerations</td>
<td>Describes ethical principles and guidelines for the protection of human subjects of research based on the Declaration of Helsinki</td>
</tr>
<tr>
<td>5</td>
<td>Clinical Investigation Planning (CIP)</td>
<td>Describes clinical investigation activities, tasks, and responsibilities</td>
</tr>
<tr>
<td>6</td>
<td>Clinical Investigation Conduct</td>
<td>Describes how the CIP should be carried out</td>
</tr>
<tr>
<td>7</td>
<td>Suspension, Termination, and Close Out</td>
<td>Describes the roles, responsibilities, and procedures for the suspension, termination, and close out of a clinical investigation</td>
</tr>
<tr>
<td>8</td>
<td>Responsibilities of Sponsor</td>
<td>Describes the full responsibilities of the sponsor</td>
</tr>
<tr>
<td>9</td>
<td>Responsibilities of Principal Investigator</td>
<td>Describes the qualifications and responsibilities of the principal investigator</td>
</tr>
</tbody>
</table>

Note: GCP describes the required practices for sponsors to ensure the protection of human subjects. This table shows examples of good clinical practices requirements.
### Exhibit 4. Examples of Nonclinical Engineering Tests for the Stent

<table>
<thead>
<tr>
<th>Test/Activity</th>
<th>Purpose of Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dimensional verification</td>
<td>Proper size and accurate placement</td>
</tr>
<tr>
<td>Percent Surface Area</td>
<td>Biologic response of non-contact area</td>
</tr>
<tr>
<td>Foreshortening</td>
<td>Proper length selection and placement</td>
</tr>
<tr>
<td>Recoil for Balloon Expandable Stents</td>
<td>Proper device selection and long-term clinical outcome</td>
</tr>
<tr>
<td>Stent Integrity</td>
<td>Defects contributing to clinical complications</td>
</tr>
<tr>
<td>Radial Stiffness and Strength</td>
<td>Ability to resist collapse under loads</td>
</tr>
<tr>
<td>Radial Outward Forces</td>
<td>Effects of low or excessive radial forces</td>
</tr>
<tr>
<td>Mechanical Properties</td>
<td>Thermo-mechanical (temperature) effects on clinical performance</td>
</tr>
<tr>
<td>Stress/Strain Analysis</td>
<td>Device durability—loss of radial support, perforation of vessel by stent struts</td>
</tr>
<tr>
<td>Fatigue Analysis</td>
<td>Device durability—loss of radial support, perforation of vessel by stent struts, thrombus (blood clot) formation, focal restenosis</td>
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<tr>
<td>Accelerated Durability</td>
<td>Validation of fatigue analysis and evaluation of failure modes</td>
</tr>
<tr>
<td>Particulate Evaluation</td>
<td>Effects of embolic risk (blockage [e.g., clot, gas bubble] floating loose in a blood vessel) to patient</td>
</tr>
<tr>
<td>MRI Safety and Compatibility</td>
<td>Effects of movement, heating, image artifacts</td>
</tr>
<tr>
<td>Radiopacity</td>
<td>Assurance the stent will be visible in radiation imaging (e.g., x-ray)</td>
</tr>
<tr>
<td>In-Stent Restenosis</td>
<td>Effects on the interactions of stent</td>
</tr>
</tbody>
</table>
## Exhibit 5. Examples of Nonclinical Engineering Tests on the Delivery System

<table>
<thead>
<tr>
<th>Test/Activity</th>
<th>Purpose of Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dimensional Verification</td>
<td>Abilities to track across lesions</td>
</tr>
<tr>
<td>Delivery, Deployment, and Retraction</td>
<td>Safe and reliable delivery of stent</td>
</tr>
<tr>
<td>Balloon Rated Burst Pressure</td>
<td>Survivability of balloon delivery system at specified burst pressure</td>
</tr>
<tr>
<td>Balloon Fatigue</td>
<td>Survivability of balloon delivery system at specified burst pressure after repeating specified number of cycles</td>
</tr>
<tr>
<td>Balloon Compliance</td>
<td>Correct size of stent to fit the target lesion</td>
</tr>
<tr>
<td>Balloon Inflation and Deflation Time</td>
<td>Acceptable occlusion time not to prolong ischemia and damage end organ</td>
</tr>
<tr>
<td>Catheter Bond Strength</td>
<td>Reliable catheter for delivery without vessel damage</td>
</tr>
<tr>
<td>Tip Pull Test</td>
<td>Reliable distal tip for delivery without failure and vessel damage</td>
</tr>
<tr>
<td>Flexibility and Kink Test</td>
<td>Ability to go through tortuous (twisting) vasculature without failure and vessel damage</td>
</tr>
<tr>
<td>Torque Strength</td>
<td>Ability to stand torsional (twisting) forces without failure and vessel damage</td>
</tr>
<tr>
<td>Coating Integrity</td>
<td>Ability of coating without delamination or degradation to impact clinical performance</td>
</tr>
<tr>
<td>Stent Securement for Unsheathed Stents</td>
<td>Inability of stent to dislodge from catheter within tortuous anatomy</td>
</tr>
</tbody>
</table>

Notes: These nonclinical engineering tests are performed to demonstrate that the functional and reliability performance of the stent delivery system fulfills specified requirements and intended uses. This table shows examples of such tests. For details, please refer to FDA Guidance (2010) Nonclinical Engineering Tests and Recommended Labeling for Intravascular Stents and Associated Delivery Systems.
Exhibit 6. Examples of Biocompatibility Tests

<table>
<thead>
<tr>
<th>Biologic Effect/Risk of Patient Coming into Contact with Materials</th>
<th>Test Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cytotoxicity</td>
<td>Cytotoxicity tests employing cell culture techniques used to determine the lysis of cells (cell death), the inhibition of cell growth, colony formation, and other effects on cells caused by the device, materials, and/or their extracts (see ISO 10993-5).</td>
</tr>
<tr>
<td>Acute systemic toxicity</td>
<td>Estimate the potential harmful effects of either single or multiple exposures during a period of less than 24 hours to medical devices, materials, and/or their extracts in an animal model (ISO 10993-11).</td>
</tr>
<tr>
<td>Genotoxicity</td>
<td>Test using mammalian or non-mammalian cell culture or other techniques used to determine gene mutations, changes in chromosome structure and number, and other DNA or gene toxicities caused by medical devices, materials, and/or their extracts. If any in vitro tests are positive, either in vivo mutagenicity tests shall be performed or it will be presumed that the material is mutagenic (see ISO 10993-3).</td>
</tr>
</tbody>
</table>

Notes: This battery of biocompatibility tests are performed to demonstrate that the stent system posed no unacceptable risks to humans through the use of animal models. This table shows examples of such tests. For details, please refer to FDA Guidance (2010) Nonclinical Engineering Tests and Recommended Labeling for Intravascular Stents and Associated Delivery Systems, and ISO 10993 Biological Evaluation of Medical Devices.

Exhibit 7. First in Human Device Evaluation Strategy

<table>
<thead>
<tr>
<th>Device/Procedure Related Attribute</th>
<th>Potential Failure Modes</th>
<th>Potential Effects of Failure: Device</th>
<th>Potential Clinical Effects of Failure</th>
<th>Information Needed to Support Testing to Reduce Risk to Patient</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implant integrity</td>
<td>Structural failure of implant Metallic fracture</td>
<td>✓ Exacerbation of treated problem ✓ Foreign body embolization ✓ Trauma to adjacent structures</td>
<td>✓ Discussion of design concept to optimize integrity ✓ Comparison of design to marketed devices ✓ Strength testing ✓ Stress/strain analysis</td>
<td></td>
</tr>
<tr>
<td>Corrosion</td>
<td>Metallic fracture</td>
<td>✓ Exacerbation of treated problem ✓ Foreign body embolization ✓ Trauma to adjacent structures</td>
<td>✓ Comparison of materials to the sponsor’s own marketed devices</td>
<td></td>
</tr>
<tr>
<td>Appropriate biological response</td>
<td>Loss of device function None</td>
<td>✓ Necrosis</td>
<td>✓ Comparison of design and materials to marketed devices ✓ Acute and medium-term implantation in an appropriate animal model</td>
<td></td>
</tr>
</tbody>
</table>

Notes: The goal of the FIH evaluation strategy is to explore and demonstrate that the stent system poses no unacceptable risks to humans. This table shows examples of some specific tests. For details, please refer to FDA Draft Guidance: IDE for Early Feasibility Medical Device Clinical Studies, Including Certain First in Human Studies
## Exhibit 8. Responsibilities of Sponsors for Significant Risk Device Studies

<table>
<thead>
<tr>
<th>21 CFR Part</th>
<th>Area</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>812.40</td>
<td>General</td>
<td>Select qualified investigators and provide them with the information needed to conduct the investigation properly. Ensure proper monitoring of the investigation and IRB review and approval, submit an IDE application to FDA for significant risk device studies, and inform the IRB and FDA promptly of any significant new information about the investigation.</td>
</tr>
<tr>
<td>812.42</td>
<td>FDA and IRB Approval</td>
<td>Cannot begin an investigation or any part of an investigation until an IRB and FDA have both approved the application or supplemental application.</td>
</tr>
<tr>
<td>812.43</td>
<td>Selecting Investigators</td>
<td>Select qualified, trained, experienced investigators to investigate the device.</td>
</tr>
<tr>
<td>812.43</td>
<td>Selecting Monitors</td>
<td>Select qualified, trained, experienced monitors to monitor the investigational study in accordance with the IDE and other applicable FDA regulations.</td>
</tr>
<tr>
<td>812.43</td>
<td>Device Control</td>
<td>Can ship investigational devices only to qualified investigators participating in the investigation.</td>
</tr>
<tr>
<td>812.43</td>
<td>Investigator Agreements</td>
<td>Must obtain a signed agreement from each participating investigator as required by the regulation.</td>
</tr>
<tr>
<td>812.45</td>
<td>Informing Investigators</td>
<td>Must supply all participating investigators with copies of the investigational plan and a report of prior investigations of the device.</td>
</tr>
<tr>
<td>812.46</td>
<td>Monitoring</td>
<td>Must secure investigator compliance, evaluate unanticipated adverse device effects, and follow up on subsequent actions as required. Must seek IRB and FDA approval for the resumption of terminated studies.</td>
</tr>
<tr>
<td>812.140</td>
<td>Sponsor Records</td>
<td>Must maintain accurate and complete investigation records.</td>
</tr>
<tr>
<td>812.150</td>
<td>Sponsor Reports</td>
<td>Must provide reports in a timely manner to FDA, the IRB, and/or investigators.</td>
</tr>
<tr>
<td>812.5</td>
<td>Labeling</td>
<td>An investigational device or its immediate package must bear a label with the prescribed information.</td>
</tr>
<tr>
<td>812.7</td>
<td>Promotion of Investigational Devices</td>
<td>A sponsor, investigator, or any person acting for or on behalf of a sponsor or investigator cannot promote, test market, commercialize, etc., investigational devices.</td>
</tr>
</tbody>
</table>

Note: Sponsors are responsible for all aspects of a Premarket submission. This table shows some major sponsor responsibilities in device studies.
BRINGING AN INNOVATIVE DEVICE TO MARKET: PREMARKET APPROVAL (PMA) OF MEDICAL DEVICES CONTINUED

GLOSSARY

**Approval**: Approval of a medical device must be obtained from the FDA by demonstrating that the device is reasonably safe and effective, and that the benefits outweigh the risks for the intended patient population before it can be put into commerce.

**Approved Medical Devices**: Approved medical devices are those devices for which FDA has approved a Premarket Approval (PMA) application prior to marketing. This approval process is generally reserved for high-risk medical devices and involves a more rigorous premarket review than the 510(k) pathway. [http://www.fda.gov/AboutFDA/Transparency/Basics/ucm194468.htm](http://www.fda.gov/AboutFDA/Transparency/Basics/ucm194468.htm)

**Clinical Investigation**: A systematic investigation conducted to evaluate the safety and effectiveness of a medical device using human subjects or specimens.

**Current Good Manufacturing Practices (cGMP)**: Production and testing practices that help ensure safe, effective, and quality products. In the United States, cGMP Regulations are promulgated by the FDA under the authority of the FD&C Act (Chapter IV for food; Chapter V, Subchapters A, B, C, D, and E, for drugs and devices). The “c” stands for “current”, reminding manufacturers that they must employ up-to-date technologies and systems to comply with the regulation. It is the manufacturers’ responsibility to be current.

**Declaration of Helsinki**: A set of ethical principles regarding human experimentation developed for the medical community by the World Medical Association (WMA). Widely regarded as the cornerstone document of human research ethics, it is not a legally binding instrument in international law, but instead draws its authority from the degree to which it has been codified in, or influenced, national or regional legislation and regulations.

**Design Controls**: Procedures established to control the design of a medical device in order to ensure that specified design requirements are met (21 CFR Part 820.30).

**Device Classification**: The FDA has established classifications for approximately 1,700 different generic types of devices and grouped them into 16 medical specialties referred to as panels. Each of these generic types of devices is assigned to one of three regulatory classes based on the level of control necessary to reasonably assure the safety and effectiveness of the device. The three classes and the requirements which apply to them are:

1. **Class I General Controls**
   - With Exemptions
   - Without Exemptions
2. **Class II General Controls and Special Controls**
   - With Exemptions
   - Without Exemptions
3. **Class III General Controls and Premarket Approval**

**Federal Food, Drug, and Cosmetic Act (FD&C Act)**: This is a set of laws passed by Congress in 1938 giving authority to the FDA to oversee the safety of food, drugs, and cosmetics. The Act has been amended many times, most recently to add requirements about bioterrorism preparations and user fees.
First in Human (FIH) Study: A study in which a device for a specific indication is evaluated for the first time in human subjects. This case study only discusses FIH studies that meet the definition of an early feasibility study.

Good Clinical Practices (GCP): A set of guidelines that must be followed when conducting clinical trials to ensure that the rights and well-being of the trial participants are protected and that the data generated in the trial is valid. GCP is an international ethical and scientific quality standard for designing, conducting, recording, and reporting trials involving human participants. The guidelines were developed in order to provide drug clinical trials with a unified standard across the European Union, Japan, and the United States and were labeled ICH-GCP at the International Conference on Harmonization (ICH), 1996. For medical devices, ISO 14155:2011 Clinical Investigation of Medical Devices for Human Subjects–Good Clinical Practice was developed and is the global standard for medical device GCP.

Good Laboratory Practices (GLP): A set of principles that provides a framework within which laboratory studies are planned, performed, monitored, recorded, reported, and archived. GLP helps assure regulatory authorities that the data submitted are a true reflection of the results obtained during the study and can therefore be relied upon when making risk/safety assessments.

Guidance Documents: Documents prepared for FDA staff, applicants/sponsors, and the public that describe the agency’s interpretation of or policy on a regulatory issue. They do not create or confer any rights for or on any person and do not operate to bind FDA or the public. An alternative approach may be used if such approach satisfies the requirements of the applicable statute, regulations, or both. Draft guidance documents are for the public to comment on and suggest changes for, but are not for implementation. (See 21 CFR Part 10.115 [b], [d], and [g])

Implant: A device placed into a surgically or naturally formed cavity of the human body intended to remain there for a period of 30 days or more. In order to protect public health, FDA may determine that devices placed in subjects for shorter periods are also implants.

In vitro: Outside the living body and in an artificial environment.

In vivo: In the living body of a plant or animal.

Indication for Use: The term “indications for use” describes the disease or condition the device will diagnose, treat, prevent, cure, or mitigate, including a description of the patient population for which the device is intended.

Informed Consent: A process by which a subject voluntarily confirms his or her willingness to participate in a particular investigation after having been informed of all aspects of the investigation relevant to the subject’s decision to participate. Documented by means of a written, signed, and dated informed consent form. Informed consent should include elements from 21 CFR Part 50.20.

Institutional Review Board (IRB): A board, committee, or group formally designated by an institution to review, approve the initiation of, and conduct periodic review of biomedical research involving human subjects. The primary purpose of such review is to assure the protection of the rights, safety, and welfare of human subjects. The IRB should be established, operated, and function in conformance with regulation 21 CFR Part 56. The term has the same meaning as “institutional review committee” in Section 520(g) of the FD&C Act.

Intended Use/Purpose: Intended use means the general purpose of the device—or what the device does—and encompasses the indications for use. It is the use for which a product, process or service is intended according to the specifications, instructions, and information provided by the manufacturer.
Investigational Device: An unapproved new device or a currently marketed device being studied for an unapproved use in a clinical investigation or research involving one or more subjects to determine the safety or effectiveness of the device.

Investigational Device Exemption (IDE): IDE refers to the regulations under 21 CFR Part 812. A regulatory submission to study a medical device in human subjects. IDEs are only required for studies performed in the United States. An IDE allows an investigational device to be used in a clinical study to collect the safety and effectiveness data required for a marketing application. An approved IDE means that the IRB (and FDA for significant risk devices) has approved a sponsor’s study application.

Investigator: An individual who conducts a clinical investigation, i.e., under whose immediate direction the investigational device is administered, dispensed to, or used involving a subject. In the event of an investigation being conducted by a team of individuals, “investigator” refers to the responsible leader of that team.

Manufacturing Information: Description of the methods used in, and the facilities and controls used for, the manufacture, processing, packing, storage, and where appropriate, installation of the device.

Medical Device: An instrument, apparatus, implement, machine, contrivance, implant, in vitro reagent, or other similar or related article, including any component, part, ”or accessory” that is the following:

1. Recognized in the official National Formulary, the United States Pharmacopeia, or any supplement to them
2. Intended for use in the diagnosis of disease or other conditions, or in the cure, mitigation, treatment, or prevention of disease in man or other animals
3. Intended to affect the structure or any function of the body of man or other animals
4. Does not achieve its primary intended purposes through chemical action within or on the body of a human or other animals and which is not dependent upon being metabolized for the achievement of its primary intended purposes (Section 201[h] of the FD&C Act).

Monitor: (Noun) An individual designated by a sponsor or contract research organization to oversee the progress of an investigation. The monitor may be an employee of a sponsor, a consultant to the sponsor, or an employee of or consultant to a contract research organization. (Verb) To oversee an investigation.

Pivotal Study: A clinical investigation designed to collect definitive evidence of the safety and effectiveness of a device for a specified intended use, typically in a statistically justified number of subjects. It may or may not be preceded by an early and/or a traditional feasibility study.

Premarket Approval (PMA): The FDA process of scientific and regulatory review to evaluate the safety and effectiveness of Class III medical devices. Any Premarket Approval application for a Class III medical device, including all information submitted with or incorporated by reference therein (21 CFR Part 814.3). Class III devices are those that cannot be classified as Class I or Class II devices because insufficient information exists to determine that general and special controls are sufficient to provide reasonable assurance of the safety and effectiveness of the device, and either (1) are purported to be for a use in supporting or sustaining human life or for a use which is of substantial importance in preventing impairment of human health; or (2) present a potential unreasonable risk of illness or injury.

BRINGING AN INNOVATIVE DEVICE TO MARKET: PREMARKET APPROVAL (PMA) OF MEDICAL DEVICES CONTINUED

Significant and Non-Significant Risk Devices: A “significant risk device” presents a potential for serious risk to the health, safety, or welfare of a subject. These devices are either intended as an implant or are substantially important in diagnosing, curing, mitigating, or treating disease (e.g., dental lasers, embolization devices for urological use, collagen, and bone replacements).

A “non-significant risk device” does not pose a significant risk to the human subjects (e.g., external monitors for insulin reactions, general biliary catheters, MRIs within specified parameters).

Sponsor: An individual, company, institution, or organization that takes responsibility for the initiation, management, and/or financing of a clinical investigation.

Traditional Feasibility Study: A clinical investigation commonly used to capture preliminary safety and effectiveness information on a near-final or final device design to adequately plan an appropriate pivotal study. As compared to an early feasibility study, more nonclinical (or prior clinical) data are necessary for approval to initiate a traditional feasibility study; however, a traditional feasibility study does not necessarily need to be preceded by an early feasibility study.

STUDENT ACTIVITIES

SESSION 1: BEFORE CLASS

I. Review the following materials:

Note: Draft guidances are subject to change and are not for implementation.

1. Dr. Michael Martinelli, Chief of Cardiology at St. Peter's Hospital in Albany, NY, performs a cardiac catheterization via the femoral artery (Video: approximately 11 minutes)
   (Note: Contains images from a live surgery)
   http://www.youtube.com/watch?v=JeH4zPzQgRc

   (Video: approximately 8 minutes)
   http://www.youtube.com/watch?v=-pxRKkAN0uI

3. FDA Safety News: FDA-SHOW33-SEG1-AcculinkCarotidStent
   (Video: approximately 2 minutes)
   http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/psn/transcript.cfm?show=33#1

4. FDA Safety News: FDA-SHOW1-SEG3-CaptureDebris
   (Video: approximately 1 minute)
   http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/psn/transcript.cfm?show=1#3

5. Investigational Device Exemption Process (IDE) Video
   (Video: approximately 11 minutes)
   http://fda.yorkcast.com/webcast/Viewer/?peid=46344ca5abbb465e88404a92eeed542f71d

6. IDEs for Early Feasibility Medical Device Clinical Studies, including Certain First in Human Studies (Mandatory)

7. FDA Decisions for IDE Clinical Investigations (Optional)
8. **Guidance on IDE Policies and Procedures**
   (Optional)
   

9. **Information on Premarket Approval (PMA)**
   (Optional)
   
   [http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/PremarketSubmissions/PremarketApprovalPMA/default.htm](http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/PremarketSubmissions/PremarketApprovalPMA/default.htm)

II. **Answer the following questions—Fundamental concepts:**

1. Describe the intended use of the Novel Bare Metal Coronary Stent System (NBMCSS).
   

2. How do you justify that the PMA application is the correct regulatory pathway for the NBMCSS?
   
   [http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/PremarketSubmissions/PremarketApprovalPMA/default.htm](http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/PremarketSubmissions/PremarketApprovalPMA/default.htm)

III. **Additional References**

   Note: Draft guidances are subject to change and are not for implementation.

1. **Medical Devices: How to Market Your Device**
   

2. **The Federal Food, Drug, and Cosmetic (FD&C) Act**
   

3. **Subchapter II—Definitions § 321 (Page 32, Paragraph h)**
   

**SESSION 2**

I. Review the following materials before class:

   Note: Draft guidances are subject to change and are not for implementation.

   
   (Video: approximately 105 minutes)
   
   [http://fda.yorkcast.com/webcast/Viewer/?peid=d2d4823b14a4e4ca6d60e43c5ac9c](http://fda.yorkcast.com/webcast/Viewer/?peid=d2d4823b14a4e4ca6d60e43c5ac9c)

2. **Nonclinical Engineering Tests and Recommended Labeling for Intravascular Stents and Associated Delivery Systems**
   (Mandatory)
   

3. **Select Updates for Nonclinical Engineering Tests and Recommended Labeling for Intravascular Stents and Associated Delivery Systems**
   (Mandatory)
   
   [http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/GuidanceDocuments/ucm366624.htm](http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/GuidanceDocuments/ucm366624.htm)

4. **Quality System Information for Certain Premarket Application Reviews**
   (Optional)
   

5. **ISO 14155:2011 Clinical Investigation of Medical Devices for Human Subjects—Good Clinical Practice**
   (Optional)
   
BRINGING AN INNOVATIVE DEVICE TO MARKET: PREMARKET APPROVAL (PMA) OF MEDICAL DEVICES CONTINUED

II. Questions for in-class discussion:

1. Discuss the following:
   a. What design controls will ABC Stent Systems, Inc., need to address in their PMA?
   b. What manufacturing information will need to be addressed in the PMA for the NBMCSS?

2. What have you learned about the following aspects of GCP?
   a. Human subject protection
   b. Roles and responsibilities of those involved in clinical investigations

3. Discuss the types of nonclinical testing or studies that should be addressed for the NBMCSS:
   a. Nonclinical engineering tests
   b. Nonclinical in vivo tests

III. References:

Note: Draft guidances are subject to change and are not for implementation.

1. 21 CFR Part 58—Good Laboratory Practices
   http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfr/cfrPart=58&showFR=1

2. 21 CFR Part 820 Preamble—Quality System Regulation
   http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/PostmarketRequirements/QualitySystemsRegulations/

SESSION 3: AFTER CLASS

TEAM PROJECT AND PRESENTATION

I. Review the following materials:

Note: Draft guidances are subject to change and are not for implementation.

1. Acceptance and Filing Reviews for Premarket Approval Applications

2. Medtronic Endeavor Panel Meeting, October 10, 2007 (Reference provided for the educational purpose of illustrating a panel meeting discussion. The panel described in this case study only discusses bare stents, not drug eluting stents.)

3. Abbott XIENCE V Meeting, November 29, 2007

II. After reviewing the materials above, choose one of the options below for your team project:

1. Prepare an overall device evaluation strategy for the NBMCSS.
   Hint: Review IDE for Early Feasibility Medical Device Clinical Studies, including Certain First in Human Studies
2. Create a nonclinical laboratory studies plan for the NBMCSS.
   
   **Hint:** Review Nonclinical Engineering Tests and Recommended Labeling for Intravascular Stents and Associated Delivery Systems
   

3. Create a clinical investigation plan for the NBMCSS.
   
   **Hint:** Review ISO 14155:2011 Clinical Investigation of Medical Devices for Human Subjects—Good Clinical Practice
   

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### III. References:

*Note: Draft guidances are subject to change and are not for implementation.*

1. FDA Decisions for Investigational Device Exemption (IDE) Clinical Investigation
   

2. Information on Premarket Approval (PMA)
   
   [http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/PremarketSubmissions/PremarketApprovalPMA/default.htm](http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/PremarketSubmissions/PremarketApprovalPMA/default.htm)