

# APPROVAL ORDER



Food and Drug Administration  
9200 Corporate Boulevard  
Rockville MD 20850

Ms. Yvonne Lysakowski  
Vice President, Clinical and Regulatory Affairs  
St. Francis Medical Technologies, Inc.  
960 Atlantic Ave Ste 102  
Alameda, California 94501

NOV 21 2005

Re: P040001  
X STOP® Interspinous Process Decompression System  
Filed: January 6, 2004  
Amended: April 1, May 20, July 26, August 2, and December 27, 2004, and June 22 and  
November 14, 2005  
Procode: NQO

Dear Ms. Lysakowski:

The Center for Devices and Radiological Health (CDRH) of the Food and Drug Administration (FDA) has completed its review of your premarket approval application (PMA) for the X STOP® Interspinous Process Decompression System ("X STOP"). This device is indicated for treatment of patients aged 50 or older suffering from neurogenic intermittent claudication secondary to a confirmed diagnosis of lumbar spinal stenosis (with X-Ray, MRI, and/or CT evidence of thickened ligamentum flavum, narrowed lateral recess and/or central canal narrowing). The X STOP is indicated for those patients with moderately impaired physical function who experience relief in flexion from their symptoms of leg/buttock/groin pain, with or without back pain, and have undergone a regimen of at least 6 months of nonoperative treatment. The X STOP may be implanted at one or two lumbar levels in patients in whom operative treatment is indicated at no more than two levels. We are pleased to inform you that the PMA is approved. You may begin commercial distribution of the device in accordance with the conditions described below and in the "Conditions of Approval" (enclosed).

The sale, distribution, and use of this device are restricted to prescription use in accordance with 21 CFR 801.109 within the meaning of section 520(e) of the Federal Food, Drug, and Cosmetic Act (the act) under the authority of section 515(d)(1)(B)(ii) of the act. FDA has also determined that, to ensure the safe and effective use of the device, the device is further restricted within the meaning of section 520(e) under the authority of section 515(d)(1)(B)(ii), (1) insofar as the labeling specify the requirements that apply to the training of practitioners who may use the device as approved in this order and (2) insofar as the sale, distribution, and use must not violate sections 502(q) and (r) of the act.

In addition to the postapproval requirements outlined in the enclosure, you have agreed to provide the following data in a postapproval report:

- I. You have agreed to conduct the following studies and to report on these studies every 6 months following PMA approval until completion of the studies:
  - a. You have agreed to conduct a study to evaluate long-term safety and effectiveness of the X STOP® Interspinous Process Decompression System ("X STOP") in the patients who received the X STOP under the IDE. These patients consist of two cohorts to be evaluated: patients who had moderately impaired physical function prior to X STOP implantation (as determined by a baseline score  $> 2.0$  in the Physical Function (PF) domain of the Zurich Claudication Questionnaire), and patients who had mildly impaired physical function prior to X STOP surgery (as determined by a baseline score  $\leq 2.0$  in the PF domain of the Zurich Claudication Questionnaire). Pain and function evaluations will be performed annually using the Zurich Claudication Questionnaire (ZCQ), through the fifth postoperative year. Clinical examination will be performed at each office visit to confirm the absence of neurologic complications. X-Ray films (AP/lateral views) taken during the fifth postoperative year will be analyzed to confirm (a) maintenance of distraction and (b) the absence of radiologic evidence of device-related complications. Secondary endpoints will include mean scores from the SF-36, and incidence rates of adverse events, device failures, and secondary surgeries.
  - b. The pivotal clinical study found differences in effectiveness outcomes between patients with mildly impaired physical function at baseline and patients with moderately impaired physical function at baseline. Based on the study results, the indications for use were modified and limited to patients with moderately impaired physical function and a confirmed diagnosis of lumbar spinal stenosis, with X-Ray, MRI, and/or CT evidence of thickened ligamentum flavum, narrowed lateral recess and/or central canal narrowing. You have agreed to conduct a post-approval study to determine whether patient selection criteria based on the modified indication are adequate and to evaluate whether the clinical study results are generalizable to the patient population meeting the modified indication.

This study is expected to include 240 patients at up to 8 clinical sites where all participating spine surgeons have completed a company-sponsored physician training program. The clinical sites recruited to participate in this study will be comprised of a geographically diverse mix of academic, referral, and/or community based sites.

Safety and effectiveness data will be assessed at baseline and annually through five (5) years postoperatively. Pain and function evaluations will be performed annually using the ZCQ, with secondary endpoints consisting of the Oswestry Disability Index (ODI), Visual Analog Scale (VAS), and SF-36. Subjects will be expected to return for follow-up office visits at 6 weeks, 1 year, 2 years, and 5 years postoperatively. Clinical examination will be performed at each office visit to confirm the absence of neurologic complications. X-Ray films (AP/lateral

views) taken during the 1st, 2nd, and 5th postoperative years will be analyzed to confirm (a) maintenance of distraction and (b) the absence of radiologic evidence of device-related complications. At postoperative years 3 and 4, the ZCQ, SF-36, ODI, and a safety survey will be mailed to the patient.

Secondary endpoints will include scores from the SF-36, ODI, and VAS, as well as incidence rates of adverse events, device failures, and secondary surgeries.

Furthermore, you have agreed to compare the results of the 2-year and 5-year data from this patient cohort with the 2-year and 5-year data from the PMA cohort described in Condition of Approval #1. The post-approval study protocols should be submitted as a PMA supplement within 45 days of the date of this letter.

2. You have agreed to conduct a yearly analysis of adverse events, including the MDR, complaint data on the device, and safety data from the post-approval study; and provide this analysis in the Annual Report. This analysis should include, but not be limited to, evaluation of the major adverse events. The analysis should also include device dislodgements and spinous process fractures that have been observed or reported, and how the incidence rates of these events compare to those observed in previous reporting periods. This trend analysis will help FDA assess patterns in event occurrence. In addition, the analysis should describe how those events have resulted in changes to the device, device labeling, clinical outreach, and clinical training program.

Information should also be provided on total number of products sold and number implanted for the reporting period. This information will help FDA to assess the adverse event data requested.

Please be advised that the results of the post-approval studies, training program assessment, and MDR analysis outlined in items 1-4 above must be reflected in the labeling (via a supplement) when the post-approval study is completed, and/or at earlier timepoints, as needed.

Expiration dating for this device has been established and approved at two years. This is to advise you that the protocol you used to establish this expiration dating is considered an approved protocol for the purpose of extending the expiration dating as provided by 21 CFR 814.39(a)(7).]

CDRH does not evaluate information related to contract liability warranties, however you should be aware that any such warranty statements must be truthful, accurate, and not misleading, and must be consistent with applicable Federal and State laws.

CDRH will notify the public of its decision to approve your PMA by making available a summary of the safety and effectiveness data upon which the approval is based. The information can be found on the FDA CDRH Internet HomePage located at <http://www.fda.gov/cdrh/pmepage.html>. Written requests for this information can also be made to the Dockets Management Branch, (HFA-305), Food and Drug Administration, 5630 Fishers

Lane, Rm. 1061, Rockville, MD 20852. The written request should include the PMA number or docket number. Within 30 days from the date that this information is placed on the Internet, any interested person may seek review of this decision by requesting an opportunity for administrative review, either through a hearing or review by an independent advisory committee, under section 515(g) of the Federal Food, Drug, and Cosmetic Act (the act).

Failure to comply with any postapproval requirement constitutes a ground for withdrawal of approval of a PMA. Commercial distribution of a device that is not in compliance with these conditions is a violation of the act.

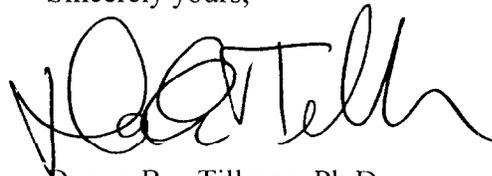
You are reminded that, as soon as possible and before commercial distribution of your device, you must submit an amendment to this PMA submission with copies of all approved labeling in final printed form. The labeling will not routinely be reviewed by FDA staff when PMA applicants include with their submission of the final printed labeling a cover letter stating that the final printed labeling is identical to the labeling approved in draft form. If the final printed labeling is not identical, any changes from the final draft labeling should be highlighted and explained in the amendment.

All required documents should be submitted in triplicate, unless otherwise specified, to the address below and should reference the above PMA number to facilitate processing.

PMA Document Mail Center (HFZ-401)  
Center for Devices and Radiological Health  
Food and Drug Administration  
9200 Corporate Blvd.  
Rockville, Maryland 20850

If you have any questions concerning this approval order, please contact Mr. Glenn Stiegman at (301) 594-2036, extension 114.

Sincerely yours,

A handwritten signature in black ink, appearing to read "Donna-Bea Tillman". The signature is fluid and cursive, with a large initial "D" and "B".

Donna-Bea Tillman, Ph.D.  
Director  
Office of Device Evaluation  
Center for Devices and  
Radiological Health

Enclosure

## CONDITIONS OF APPROVAL

**PREMARKET APPROVAL APPLICATION (PMA) SUPPLEMENT.** Before making any change affecting the safety or effectiveness of the device, submit a PMA supplement for review and approval by FDA unless the change is of a type for which a "Special PMA Supplement-Changes Being Effectuated" is permitted under 21 CFR 814.39(d) or an alternate submission is permitted in accordance with 21 CFR 814.39(e) or (f). A PMA supplement or alternate submission shall comply with applicable requirements under 21 CFR 814.39 of the final rule for Premarket Approval of Medical Devices.

All situations that require a PMA supplement cannot be briefly summarized; therefore, please consult the PMA regulation for further guidance. The guidance provided below is only for several key instances.

A PMA supplement must be submitted when unanticipated adverse effects, increases in the incidence of anticipated adverse effects, or device failures necessitate a labeling, manufacturing, or device modification.

A PMA supplement must be submitted if the device is to be modified and the modified device should be subjected to animal or laboratory or clinical testing designed to determine if the modified device remains safe and effective.

A "Special PMA Supplement - Changes Being Effectuated" is limited to the labeling, quality control and manufacturing process changes specified under 21 CFR 814.39(d)(2). It allows for the addition of, but not the replacement of previously approved, quality control specifications and test methods. These changes may be implemented before FDA approval upon acknowledgment by FDA that the submission is being processed as a "Special PMA Supplement - Changes Being Effectuated." This procedure is not applicable to changes in device design, composition, specifications, circuitry, software or energy source.

Alternate submissions permitted under 21 CFR 814.39(e) apply to changes that otherwise require approval of a PMA supplement before implementation of the change and include the use of a 30-day PMA supplement or annual postapproval report (see below). FDA must have previously indicated in an advisory opinion to the affected industry or in correspondence with the applicant that the alternate submission is permitted for the change. Before such can occur, FDA and the PMA applicant(s) involved must agree upon any needed testing protocol, test results, reporting format, information to be reported, and the alternate submission to be used.

Alternate submissions permitted under 21 CFR 814.39(f) for manufacturing process changes include the use of a 30-day Notice. The manufacturer may distribute the device 30 days after the date on which the FDA receives the 30-day Notice, unless the FDA notifies the applicant within 30 days from receipt of the notice that the notice is not adequate.

**POSTAPPROVAL REPORTS.** Continued approval of this PMA is contingent upon the submission of postapproval reports required under 21 CFR 814.84 at intervals of 1 year from the date of approval of the original PMA. Postapproval reports for supplements approved under the original PMA, if applicable, are to be included in the next and subsequent annual reports for the original PMA unless specified otherwise in the approval order for the PMA supplement. Two copies identified as "Annual Report" and bearing the applicable PMA reference number are to be submitted to the PMA Document Mail Center (HFZ-401), Center for Devices and Radiological Health, Food and Drug Administration, 9200 Corporate Blvd., Rockville, Maryland 20850. The postapproval report shall indicate the beginning and ending date of the period covered by the report and shall include the following information required by 21 CFR 814.84:

1. Identification of changes described in 21 CFR 814.39(a) and changes required to be reported to FDA under 21 CFR 814.39(b).
2. Bibliography and summary of the following information not previously submitted as part of the PMA and that is known to or reasonably should be known to the applicant:
  - a. unpublished reports of data from any clinical investigations or nonclinical laboratory studies involving the device or related devices ("related" devices include devices which are the same or substantially similar to the applicant's device); and
  - b. reports in the scientific literature concerning the device.

If, after reviewing the bibliography and summary, FDA concludes that agency review of one or more of the above reports is required, the applicant shall submit two copies of each identified report when so notified by FDA.

**ADVERSE REACTION AND DEVICE DEFECT REPORTING.** As provided by 21 CFR 814.82(a)(9), FDA has determined that in order to provide continued reasonable assurance of the safety and effectiveness of the device, the applicant shall submit 3 copies of a written report identified, as applicable, as an "Adverse Reaction Report" or "Device Defect Report" to the PMA Document Mail Center (HFZ-401), Center for Devices and Radiological Health, Food and Drug Administration, 9200 Corporate Blvd., Rockville, Maryland 20850 within 10 days after the applicant receives or has knowledge of information concerning:

1. A mix-up of the device or its labeling with another article.
2. Any adverse reaction, side effect, injury, toxicity, or sensitivity reaction that is attributable to the device and:
  - a. has not been addressed by the device's labeling; or
  - b. has been addressed by the device's labeling but is occurring with unexpected severity or frequency.

3. Any significant chemical, physical or other change or deterioration in the device, or any failure of the device to meet the specifications established in the approved PMA that could not cause or contribute to death or serious injury but are not correctable by adjustments or other maintenance procedures described in the approved labeling. The report shall include a discussion of the applicant's assessment of the change, deterioration or failure and any proposed or implemented corrective action by the applicant. When such events are correctable by adjustments or other maintenance procedures described in the approved labeling, all such events known to the applicant shall be included in the Annual Report described under "Postapproval Reports" above unless specified otherwise in the conditions of approval to this PMA. This postapproval report shall appropriately categorize these events and include the number of reported and otherwise known instances of each category during the reporting period. Additional information regarding the events discussed above shall be submitted by the applicant when determined by FDA to be necessary to provide continued reasonable assurance of the safety and effectiveness of the device for its intended use.

#### **REPORTING UNDER THE MEDICAL DEVICE REPORTING (MDR) REGULATION.**

The Medical Device Reporting (MDR) Regulation became effective on December 13, 1984. This regulation was replaced by the reporting requirements of the Safe Medical Devices Act of 1990 which became effective July 31, 1996 and requires that all manufacturers and importers of medical devices, including in vitro diagnostic devices, report to the FDA whenever they receive or otherwise become aware of information, from any source, that reasonably suggests that a device marketed by the manufacturer or importer:

1. May have caused or contributed to a death or serious injury; or
2. Has malfunctioned and such device or similar device marketed by the manufacturer or importer would be likely to cause or contribute to a death or serious injury if the malfunction were to recur.

The same events subject to reporting under the MDR Regulation may also be subject to the above "Adverse Reaction and Device Defect Reporting" requirements in the "Conditions of Approval" for this PMA. FDA has determined that such duplicative reporting is unnecessary. Whenever an event involving a device is subject to reporting under both the MDR Regulation and the "Conditions of Approval" for a PMA, the manufacturer shall submit the appropriate reports required by the MDR Regulation within the time frames as identified in 21 CFR 803.10(c) using FDA Form 3500A, i.e., 30 days after becoming aware of a reportable death, serious injury, or malfunction as described in 21 CFR 803.50 and 21 CFR 803.52 and 5 days after becoming aware that a reportable MDR event requires remedial action to prevent an unreasonable risk of substantial harm to the public health. The manufacturer is responsible for submitting a baseline report on FDA Form 3417 for a device when the device model is first reported under 21 CFR 803.50. This baseline report is to include the PMA reference number. Any written report and its envelope is to be specifically identified, e.g., "Manufacturer Report," "5-Day Report," "Baseline Report," etc.

Any written report is to be submitted to:

Food and Drug Administration  
Center for Devices and Radiological Health  
Medical Device Reporting  
PO Box 3002  
Rockville, Maryland 20847-3002

Copies of the MDR Regulation (FOD # 336&1336) and FDA publications entitled “An Overview of the Medical Device Reporting Regulation” (FOD # 509) and “Medical Device Reporting for Manufacturers” (FOD #987) are available on the CDRH WWW Home Page. They are also available through CDRH’s Fact-On-Demand (F-O-D) at 800-899-0381. Written requests for information can be made by sending a facsimile to CDRH’s Division of Small Manufacturers International and Consumer Assistance (DSMICA) at 301-443-8818.