An Introduction to FDA’s Regulation of Medical Devices

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Learning Objectives

• Explain FDA’s role in regulating medical devices
• Define a medical device and review basics about device classification
• Describe five steps to get a new product to market
• Identify different types of premarket submissions
• Identify three actions after watching this module
FDA Regulation of Medical Devices
FDA’s Role

• Oldest comprehensive consumer protection government agency

• Promote and protect health

• Covers foods, drugs, biologics, cosmetics, animal and veterinary medicine, and tobacco

• CDRRH regulates medical devices and radiation-emitting products
CDRH’s Role

• Evaluate safety and effectiveness of medical devices
  – Before and after reaching market

• Patients and providers have timely, continued access
FDA Device Regulatory Authority: Laws

• 1976: Medical Device Amendments to Federal Food, Drug, and Cosmetic Act (FD&C Act)

• Subsequent Laws

• 2002 - present: User Fee Programs

www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/Overview/ucm618375.htm
Is My Product a Medical Device?
Medical Device, defined

- Instrument, apparatus, machine, implant, in vitro reagent, including component, part, or accessory
- Diagnoses, cures, mitigates, treats, or prevents disease or condition
- Affects structure or function of body
- Doesn’t achieve purpose as a drug
- Excludes certain software functions
  - data storage, administrative support, electronic patient records

Section 201(h) of FD&C Act
Combination Products

- Involves at least two regulatory component types:
  - Example: Drug-Eluting Cardiovascular Stent
  - Regulatory responsibilities from involved component types
  - One Center usually takes lead
  - Office of Combination Products facilitates jurisdiction

www.fda.gov/CombinationProducts/JurisdictionalInformation/ucm148279.htm
Device Regulations

• 21 Code of Federal Regulations (CFR): Parts 800-1050
  – 800-861: cross-cutting device requirements
    • Example: 812 - Investigational Device Exemption
  – 862-1050: device-specific requirements
    • Example: 876 - Gastroenterology and Urology Devices

• 21 CFR: Parts 1-99
  – general medical requirements that also apply to medical devices
Device Guidance Documents

• Non-binding
• Elaborate on applicable laws, regulations
• Types
  – **Draft:** Agency’s proposed thinking; public comment period
  – **Final:** Agency’s thinking; may incorporate public comment

www.fda.gov/RegulatoryInformation/Guidances/default.htm
Device Classification

• Based on device description and intended use
• Determines extent of regulatory control
• Class I, II, or III
  – increases with degree of risk
• Product Codes: three-letter coding to group similar devices and intended use
# Classes of Medical Devices

<table>
<thead>
<tr>
<th>Class</th>
<th>Risk</th>
<th>Controls</th>
<th>Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>Lowest</td>
<td>General</td>
<td>• Exempt*</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• 510(k)</td>
</tr>
<tr>
<td>II</td>
<td>Moderate</td>
<td>General and Special (if available)</td>
<td>• 510(k)*</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Exempt</td>
</tr>
<tr>
<td>III</td>
<td>Highest</td>
<td>General and PMA</td>
<td>• PMA</td>
</tr>
</tbody>
</table>

* More common submission requirement of this Class
Regulatory Controls

• Requirements that apply to a product area (product code)
• Provide consistent requirements to foster predictably safe and effective medical devices
• With appropriate level of regulatory burden/oversight
• Generally broad, but may be specific
# General Controls: Examples

<table>
<thead>
<tr>
<th>Control</th>
<th>Regulation (21 CFR Part)</th>
<th>Brief Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labeling</td>
<td>801</td>
<td>provide information for users</td>
</tr>
<tr>
<td>Medical Device Reporting</td>
<td>803</td>
<td>report device-related injuries and deaths</td>
</tr>
<tr>
<td>Establishment Registration</td>
<td>807</td>
<td>register business with FDA</td>
</tr>
<tr>
<td>Device Listing</td>
<td>807</td>
<td>identify devices</td>
</tr>
<tr>
<td>Quality System</td>
<td>820</td>
<td>ensure safe, effective finished devices</td>
</tr>
<tr>
<td>Adulteration</td>
<td>FD&amp;C Act 501</td>
<td>provide device not proper for use</td>
</tr>
<tr>
<td>Misbranding</td>
<td>FD&amp;C Act 502</td>
<td>provide false or misleading labeling</td>
</tr>
</tbody>
</table>

**FD&C Act** = Federal Food Drug, and Cosmetic Act
Special Controls

• Specific to Class II devices
• Not common
• Usually for well-established device types
• Found in “(b) Classification” of regulation
  – example: 21 CFR 876.5860(b)
Special Controls: Examples

- Design, Characteristics or Specifications
- Testing
- Special Labeling
- Guidance Documents
Steps to Get a New Product to Market
1. Establish the Product

- Identify product (device) description

- Identify purpose
  - intended use (usually broad)
  - indications for use (more specific)
  - duration of use
  - target patient population (age range; disease)
2. Verify that Product is Medical Device
3. Identify Classification and Regulatory Pathway

• Identify regulatory classification

• Classification will generally indicate regulatory pathway (premarket submission type) required for device
4. Develop Valid Scientific Evidence

21 CFR 860.7(c)(1)
– requires valid scientific evidence for safety and effectiveness

21 CFR 860.7(c)(2)
– provides definition of valid scientific evidence
5. Prepare Premarket Submission

Each type has own sets of:

• processes
• applicable laws and regulations
• review times
• evidence burden
Types of Premarket Submissions
Premarket Submission Types

- Investigational Device Exemption (IDE)
- Premarket Notification (510(k))
- Premarket Approval Application (PMA)
- De Novo
- Humanitarian Device Exemption (HDE)
Investigational Device Exemption (IDE)

- Clinical research on investigational devices
- Collect safety and effectiveness data for future marketing application
- Requires approval by Institutional Review Board
- Protect human patients
Premarket Notification - 510(k)

Market application for low and moderate risk devices

"Substantial Equivalence" between new device and a legally marketed device

Compare
• intended use
• device features
• performance testing
Premarket Approval Application (PMA)

- Market application for **highest** risk devices
- Reasonable assurance:
  - safety and effectiveness
- Evidence stands on own
  - not equivalence
De Novo

• Device has no existing classification regulation
• Marketing process for **novel** devices
• Creates new classification regulation
• Alternative to PMA
• Reduced regulatory burden/controls based on risk-benefit profile of device
Humanitarian Device Exemption
HDE

- Premarket submission for Humanitarian Use Devices
- 8000 individuals per year in United States
- Exempt from effectiveness
- Reasonable assurance of safety and probable benefit
A Note about Quality Systems
Overview of the Quality System Regulation

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CDRH Learn: Overview of the Quality System Regulation (Postmarket Activities)
fda.yorkcast.com/webcast/Play/4abbbeeb0f76423998cab8c782c3e4181d
What Should You Do Next: Resources for You
1. Device Advice

- Written content
- Hundreds of pages of total product life cycle regulatory information
- Over 30 regulatory categories
- “How to” guides

www.fda.gov/DeviceAdvice
2. CDRH Learn

- Multi-media video training modules
- Presentations, computer-based training, webinars
- Over 100 modules
- Most are less than 20 minutes
- Mobile-friendly

[www.fda.gov/Training/CDRHLearn](http://www.fda.gov/Training/CDRHLearn)
3. Division of Industry and Consumer Education

Phone:  (800) 638-2041
• Hours of operation: 9 am-12:30 pm; 1-4:30 pm

Email:  dice@fda.hhs.gov
• DICE will respond within 2 business days

www.fda.gov/DICE
Summary

- FDA regulates medical devices by evaluating safety and effectiveness
- FDA classifies device types with class, regulatory control, and submission requirements
- General process gets new products to market
- FDA has different types of premarket submissions
- FDA develops resources to help you
Your Call to Action

1. Understand your regulatory responsibilities
2. Stay informed
3. Use FDA resources