

醫療儀器的規管

Regulation of
Medical Devices

Guidance Notes for Listing Class II/III Medical Devices

Guidance Notes: GN-05



中華人民共和國

香港特別行政區政府衛生署

Department of Health

The Government of the Hong Kong Special Administrative Region
of the People's Republic of China

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1. Introduction

This booklet is to provide guidance to applicants applying for inclusion of Class II/III medical devices into the List of Medical Devices under the Medical Device Administrative Control System (MDACS). It provides detailed information to the applicants for preparing the application submission. Applicants should read this booklet in conjunction with the “Overview of Medical Device Administrative Control System (Guidance Notes GN-01)” to have a thorough understanding of the MDACS before making the submission. Applicants applying for listing medical devices of classes other than Class II/III shall make reference to the corresponding Guidance Notes accordingly.

2. Definitions and Abbreviations

Please refer to Section 2 of Guidance Notes GN-01 for the definitions and abbreviations of the terms that appear in this document.

3. The Way to Determine if a Medical Device is a Class II/III Medical Device

3.1 Classification of medical devices

By the classification rules of the MDACS (which are in line with those promulgated by the Global Harmonization Task Force), medical devices other than *in vitro* diagnostic medical devices are classified into four categories (Classes I to IV) according to their risk levels, Class IV being the category of the highest risk and Class I the lowest. The classification rules for defining the class of a medical device are given in Appendix 1 of Guidance Notes GN-01.

3.2 Determining Class II/III devices by the classification rules

3.2.1 The applicant must take into consideration all the classification rules given in Appendix 1 of the Guidance Notes GN-01 in order to establish the proper classification for the device. If more than one rule is applicable to the device, the rules resulting in the highest classification of the device shall apply. The examples given in Table 1 and Table 2 illustrate the application of the rules to determine whether a medical device is of Class II or Class III respectively.

Table 1 – Examples of Class II medical devices

Devices	Class	Rule
Anaesthesia breathing circuit	II	Rule 2
Device to warm or cool blood	II	Rule 3
Non-medicated impregnated gauze dressing	II	Rule 4
Orthodontic wire	II	Rule 5
Single-use scalpel	II	Rule 6
Infusion cannula	II	Rule 7
Dental filling material	II	Rule 8
Muscle stimulator	II	Rule 9
Electronic thermometer	II	Rule 10
Feeding pump	II	Rule 11
Washer disinfectant	II	Rule 15

Table 2 – Examples of Class III medical devices

Devices	Class	Rule
Haemodialyzer	III	Rule 3
Dressing for chronic ulcerated wounds	III	Rule 4
Urethral stent	III	Rule 5
Insulin pen for self-administration	III	Rule 6
Brachytherapy device	III	Rule 7
Maxilla-facial implant	III	Rule 8
Lung ventilator	III	Rule 9
Apnoea monitor	III	Rule 10
Dialysis equipment	III	Rule 11
Contact lens solution	III	Rule 15
Condom	III	Rule 16

- 3.2.2 The examples shown in Table 3 are either not medical devices or not Class II/III medical devices according to the classification rules.

Table 3 – Examples of not Class II/III medical devices

Devices	Class	Rule
Urine collection bottle	I	Rule 1
Administration set for gravity infusion	I	Rule 2
Simple wound dressing	I	Rule 4
Dental impression material	I	Rule 5
Manually operated surgical drill	I	Rule 6
Cardiovascular catheter	IV	Rule 7
Vascular stent	IV	Rule 8
Examination lamp	I	Rule 12
Heparin-coated catheter	IV	Rule 13
Catgut suture	IV	Rule 14
Intrauterine contraceptive device	IV	Rule 16
Syringe preloaded with vaccine/drug	N.A. (Medicinal Product)	Rule 13 not applicable (the action of the medicinal product not ancillary to that of the device)

4. Persons Eligible to Apply for the Inclusion of a Class II/III Medical Device into The List of Medical Devices

Only the Local Responsible Person (LRP) in relation to the device can make the application. Please see Sections 3, 4 and 5 of the Guidance Notes GN-01 for the requirements and obligations of an LRP.

5. Application Procedures

5.1 Application form

All the application forms and guidance notes related to the MDACS can be obtained from the Medical Device Control Office (MDCO) or downloaded from the website <http://www.mdco.gov.hk>. A sample of the Form MD-C2&3 for Class II/III medical devices is given in Appendix 1.

5.2 Submission of applications (hardcopies)

An application for inclusion of a Class II/III medical device into The List of Medical Devices must be made on the Form MD-C2&3. The completed form shall be submitted together with a submission folder containing copies of all the required documents indexed in accordance with the column “Encl.” shown in the application form. *The originals of these documents are only required for validation when requested and they shall not be submitted together with the application form or enclosed in the submission folder.* The application form and all documents submitted including enclosures in the submission folder will not be returned. The submission shall be made by hand or by recorded delivery mail to the MDCO.

5.3 Submission of applications (softcopies)

The applicants are encouraged to use softcopies in CD-ROM format for making the application submission as far as possible. If softcopies are used, only the duly signed Application Form MD-C2&3 and Essential Principles Conformity Checklist (Form MD-CCL) (if applicable) have to be submitted in paper format. The signed forms, together with duplicated copies of other required documents recorded in two separate CD-ROMs, shall be submitted by hand or by recorded delivery mail to the MDCO. Alternatively, an applicant with Hongkong Post e-Cert may submit an application entirely by softcopies (both the completed forms and the other documents in softcopies) to the email address *mdco_app@dh.gov.hk* of the MDCO, provided that the total file size of these softcopies is less than 5MB.

5.4 Acknowledgement of application

On receiving an application the MDCO will acknowledge the receipt of it. If an applicant does not receive the acknowledgement within 2 weeks after sending in an application, he may contact the MDCO to check if the submission has reached the MDCO.

6. Guide to Application Form MD-C2&3

The following table explains how to fill in the application form MD-C2&3 for Class II/III medical devices. Given in Appendix 1 is a sample of a completed form MD-C2&3. The number under the leftmost column “Note” in the form is used as an identifier for the notes given below (Table 4), while the rightmost column “Encl.” indicates the indexes in the submission folder where the required documents shall be enclosed. Under an item in the form where more than one box is applicable, all the applicable boxes should be selected and checked and all the related documents should be provided. Where under an item both the prompts “in English” and “in Chinese” appear, the entry for that item shall be given in both languages wherever applicable such that they could be recorded accordingly for the reference of the public.

Table 4 – Guidance for completing the application form MD-C2&3

Note	Explanation
A001	<ul style="list-style-type: none"> ◆ Particulars of the manufacturer including the name (in English and/or Chinese), address of head office (in English and/or Chinese), post code, country, contact person, telephone number, fax number, email address and the website shall be provided. This information is considered essential for the application.
A002	<ul style="list-style-type: none"> ◆ If the manufacturer has a registered place of business in Hong Kong, both boxes shall be checked with a copy of the business registration enclosed under index (A1) in the submission folder. The contact person, telephone number, fax number and email address of the Hong Kong office shall be provided.
A003	<ul style="list-style-type: none"> ◆ If the manufacturer has implemented a quality management system, the appropriate box shall be checked to indicate whether it is a full quality management system or a partial system. If it is a partial system, the processes covered shall be specified. The boxes corresponding to the relevant standards and, where appropriate, the box corresponding to the item on certification body of the quality management system shall also be checked, and a copy of the certificate(s) issued by the certification body shall be enclosed under index (A2) in the submission folder. This information is considered essential for the application.
A004	<ul style="list-style-type: none"> ◆ Please check the appropriate box(es) to indicate any procedures established and documented by the manufacturer for the device. ◆ The manufacturer is required to establish and document procedures for managing recalls. A copy of the documented procedures for managing recalls shall be enclosed under index (A3) in the submission folder. This information is considered essential for the application.
A005	<ul style="list-style-type: none"> ◆ The Local Responsible Person (LRP) must either be a legal person incorporated in Hong Kong or a natural or legal person with a registered place of business in Hong Kong e.g. a company, a solicitor firm. ◆ If the manufacturer has a registered place of business in Hong Kong, it could decide either to be the LRP by itself or to designate another body to be the LRP. If the manufacturer has no registered place of business in Hong Kong, it must designate another body meeting the requirements of an LRP to make the application.
B001	<ul style="list-style-type: none"> ◆ The details of the LRP including the name (in English and/or Chinese), address (in English and/or Chinese), contact person, telephone numbers, fax number and email address shall be provided. The details must include, among other things, a telephone number that the public may call for enquiries, as well as a telephone number through which the LRP may be contacted by the MDCO after office hours. This information is considered essential for the application. ◆ A copy of the Hong Kong business registration, if any, shall be enclosed under index (B1) of the submission folder.
B002	<ul style="list-style-type: none"> ◆ The date of designation as the LRP of the device shall be quoted and a copy of the corresponding letter issued by the manufacturer shall be enclosed under index (B2) of the submission folder. This information is considered essential for the application.
B003	<ul style="list-style-type: none"> ◆ If the LRP has implemented any quality management system, the system and the certification body shall be specified. A copy of the certificate of the quality management system shall be enclosed under index (B3) of the submission folder.
B004	<ul style="list-style-type: none"> ◆ If the LRP has developed documented procedures (no matter under the quality management system or not) for distribution records; complaints handling; maintenance and service arrangements; alerts and modifications; and/or reportable adverse incidents in Hong Kong, the corresponding boxes shall be checked. This information is considered essential for the application.

	<ul style="list-style-type: none"> ◆ The LRP is required to establish and develop procedures for managing recalls. A copy of the documented procedures for managing recalls shall be enclosed under index (B4) of the submission folder. This information is considered essential for the application.
B005	<ul style="list-style-type: none"> ◆ If the LRP is also an importer of the device, the box shall be checked.
B006	<ul style="list-style-type: none"> ◆ If, to the knowledge of the LRP, the device has already been listed (albeit with another LRP), the box shall be checked with the known existing Listing Number of the device given.
C001	<ul style="list-style-type: none"> ◆ The make and model of the medical device, medical device family, medical device series or medical device system shall be specified in English and/or Chinese and they will be used as the identifier of the device. This information is considered essential for the application.
C002	<ul style="list-style-type: none"> ◆ The appropriate box shall be checked to indicate whether it is an application for a single medical device, a medical device family, a medical device series or a medical device system. ◆ A medical device family is a group of medical devices having the same intended use, design, construction and performance e.g. catheters of different diameters and lengths. ◆ For each member of the medical device family, please provide its identifier(s) (e.g. product number), a brief account of its characteristics that distinguish it from other members (e.g. dimensions of its various parts), and, if any, its Universal Product Number. ◆ A medical device series is a group of medical devices belonging to the same model series and having the same intended use, but differing only in minor features that do not present significantly different safety and efficacy issues. As a principle the designs, labelling, manufacturing processes and performance specifications cannot be significantly different between members of a series. ◆ For each member of a medical device series, please provide its identifier(s) (e.g. model number), a brief account of its minor features that distinguish it from other members, and if any, its Universal Product Number. ◆ A medical device system is a medical device comprising a number of medical devices (component medical devices) intended to be used <u>together</u> to fulfil some or all of the system's intended use. All component medical devices shall be placed on the market under the name of the same manufacturer. ◆ For each component medical device of a medical device system, please provide its GMDN term (if a GMDN term is not available for a particular component, a short description shall be provided) and the corresponding GMDN code, its identifier(s) (e.g. model number), a brief description of its intended use, and if any, its Universal Product Number. A short description on how the component medical devices are used together to achieve the intended purpose of the medical device system shall also be provided. ◆ When needed, information concerning the medical device family, medical device series or medical device system could be provided on separate sheets enclosed under index (C1) of the submission folder.
C003	<ul style="list-style-type: none"> ◆ If the device has other identifiers (including any Universal Product Number), these shall be specified.
C004	<ul style="list-style-type: none"> ◆ The Global Medical Device Nomenclature (GMDN) term of the device together with the corresponding GMDN code shall be specified. If there is no applicable GMDN term, a short description of the device shall be entered. The GMDN is available at the MDCO website (http://www.mdco.gov.hk) for reference by applicants.
C005	<ul style="list-style-type: none"> ◆ If there is any commonly used description of the device, it shall also be provided.
C006	<ul style="list-style-type: none"> ◆ The intended use of the device shall be specified in English and/or Chinese and it shall be in agreement with the information provided in the labelling and the marketing approvals obtained from the GHTF founding members.

C007	<ul style="list-style-type: none"> ◆ All accessories for the device shall be specified. ◆ For a medical device series or medical device system, please indicate the member/component medical device with which each accessory is intended to work together to achieve the intended use. ◆ When needed, the details of all the accessories of a device including their identifier(s) (e.g. part number), descriptions and, if any, Universal Product Numbers could be provided on separate sheets enclosed under index (C1) of the submission folder.
C008	<ul style="list-style-type: none"> ◆ Universal Product Numbers of the accessories, if any, shall be provided.
C009	<ul style="list-style-type: none"> ◆ Please check the appropriate box(es) to indicate the relevant characteristics of the device.
C010	<ul style="list-style-type: none"> ◆ The class of the medical device shall be specified. The reasons for classifying the device as a Class II/III medical device shall also be provided. The applicant shall refer to Appendix 1 under the Guidance Notes GN-01 for the Classification Rules for Medical Devices.
C011	<ul style="list-style-type: none"> ◆ All the manufacturing sites for the medical device with corresponding scopes under this application shall be specified. For a medical device system, all manufacturing sites for the medical device system as well as component medical devices shall be provided. Those manufacturing sites of the same manufacturer but not used for the production of the device to be marketed in Hong Kong need not be quoted. ◆ When needed, information on the manufacturing sites could be provided on separate sheets enclosed under index (C1) of the submission folder.
C012	<ul style="list-style-type: none"> ◆ If there is any history of the device related to recalls, reportable adverse incidents, banning of the device in other countries or post-market surveillance studies, a summary of the events shall be provided under index (C2) of the submission folder. ◆ Where there are any recalls in progress or completed, details and current status of the recalls shall be provided. ◆ Where there are any adverse incidents involving the same device or a design so close to the device reported to overseas regulatory authorities, the following information shall be provided: <ul style="list-style-type: none"> i. Dates of the incidents; ii. To which regulatory agencies, and when, the incidents were reported; iii. Causes of the incidents; iv. Number of deaths and the serious injuries in these incidents; and v. Corrective actions taken (including those taken to prevent recurrence of similar incidents). ◆ Where there is any banning of the device, the dates, causes and related regulatory agents shall be provided. ◆ Where there are any proactive post-market surveillance studies conducted, details and results of those studies shall be provided.
C013	<ul style="list-style-type: none"> ◆ If the device is for single use, supplied as sterile product, or requires special precautions for disposal, the appropriate boxes shall be checked. The information shall be identical to the specifications in the labelling.
C014	<ul style="list-style-type: none"> ◆ If the device is non-repairable, the appropriate box shall be checked. ◆ If the device requires regular servicing, testing, checking or calibration, the appropriate box shall be checked. ◆ Where there is no repair or servicing provided, the appropriate box shall be checked. ◆ Where repairs and servicing are provided by the applicant or other parties appointed, please specify whether all or only some of the services are performed in Hong Kong. ◆ If technical support from the manufacturer is provided, the appropriate box shall be checked. ◆ This information is considered essential for the application.

C015	<ul style="list-style-type: none"> ◆ If the instructions for use are available in either English, Chinese, or both languages, the appropriate boxes shall be checked. ◆ All labelling samples including instructions and manuals as specified under Appendix 3 of Guidance Notes GN-01 shall be submitted under index (C3) of the submission folder. Where the labelling is provided on the packaging and there is no separate instruction manual, the packaging or a photograph showing all the labelling information is acceptable as an alternative. ◆ The locations in the labelling samples where the Indications for use; Contraindications against use; Cleansing, disinfection and/or sterilization procedures; User precautions; and Disposal precautions shall be quoted in the appropriate space.
C016	<ul style="list-style-type: none"> ◆ If the device complies with any international or national standards, the standards shall be specified in the space provided. ◆ Where there are any type tests performed by the manufacturer or any other party, the test reports or certificates shall be provided under index (C4) of the submission folder. ◆ There shall be a risk analysis conducted and the report or the summary shall be provided under index (C4) of the submission folder. This information is considered essential for the application.
C017	<ul style="list-style-type: none"> ◆ Clinical evaluation is the review of relevant scientific literature and/or the review and assessment of data collected through clinical investigation (please refer to Guidance Notes GN-01 for the definition of clinical investigation). It is a process to establish conformity of the device with the pertinent Essential Principles in Appendix 2 of Guidance Notes GN-01 and to demonstrate that the device performs as intended by the manufacturer. It establishes the acceptability of risks and side effects when weighed against the intended benefits of the device. The clinical evaluation and its outcome must be documented in a clinical evaluation report. ◆ Please check the appropriate box(es) and enclose the relevant documents under index (C5) of the submission folder. The clinical evaluation report shall be provided upon request.
D001	<ul style="list-style-type: none"> ◆ If there are approvals for the device to be marketed in any of the GHTF founding members namely Australia, Canada, the European Union, Japan and the USA, the appropriate boxes shall be checked and the approval documents shall be provided under index (D1) of the submission folder. ◆ Where any of these approvals have been obtained on or before 31 December 2004, submission of the Essential Principles Conformity Checklist (Form MD-CCL) is <u>not</u> required. Otherwise, the duly completed Essential Principles Conformity Checklist (Form MD-CCL) shall also be provided under index (D1) of the submission folder. ◆ Where no such approval has been obtained, the application will not be processed until a list of acceptable Conformity Assessment Bodies (CAB) for the MDACS has been promulgated by the Department of Health.

7. Enquiries

Enquiries concerning this booklet and the Medical Device Administrative Control System should be directed to:

Medical Device Control Office,
Department of Health,
18/F., Wu Chung House,
213 Queen's Road East,
Wanchai, Hong Kong
Facsimile number: 3157 1286
Telephone number: 2961 8788
Email address: mdco@dh.gov.hk

8. References

[1] Department of Health. Overview of the Medical Device Administrative Control System. Guidance Notes GN-01.



**Medical Device Control Office
Department of Health**

**Medical Device Administrative Control System
Application for the Listing of Class II/III Medical Devices**

For official use only

Date Received: _____ Application No.: _____ Officer: _____

Date Approved/Rejected: _____ Listing No.: _____

PMS Report Required: Y/N

Remarks: _____

Please read this section carefully before completing the form

1. Please note that information included in those parts that are marked with asterisks (*) may be included on The List of Medical Devices if this application is approved. They include (i) the manufacturer's name, address of its head office and its website (A001), (ii) the LRP's name, address in Hong Kong, and contact telephone number for public enquiries (B001), (iii) the make and model of the device (C001), and (iv) the intended use of the device (C006). The details will normally appear on The List of Medical Devices as they appear on this form. Where under an item both the prompts "in English" and "in Chinese" appear, the entry for that item shall be given in both languages wherever applicable such that they could be accordingly recorded on The List of Medical Devices for the reference of the public.
2. Please check the corresponding boxes in the "Encl." column if any document is enclosed under respective indexes of the submission folder.
3. Submitted documents not in Chinese or English shall be accompanied by Chinese or English translations.
4. Please check the boxes as appropriate.

Note	Part A: Particulars of Manufacturer			Encl.
A001	Manufacturer's name*	<i>in English</i>	ABC Medical Ltd.	
		<i>in Chinese</i>	N.A.	
	Address of Head Office*:	<i>in English</i>	1324N. Derby Road, Arlington VA, USA	
		<i>in Chinese</i>	N.A.	
	Post Code: VA 12345-6789		Country: USA	
	Contact person: John Smith		Telephone: 800.332.2354	
	Fax: 703.276.0314	E-mail: jsmith@abcmed.com		
	Website*: http://www.abcmedical.com			

A002	<input type="checkbox"/> Registered place of business in Hong Kong:	(A1) <input type="checkbox"/>
	<input type="checkbox"/> Copy of business registration certificate (with business registration number _____) is enclosed	
	Contact person: _____ Telephone: _____	
	Fax: _____ E-mail: _____	
A003	<u>Established Quality Management System</u> <input checked="" type="checkbox"/> Full quality management system covering device design, production, and post-production processes <input type="checkbox"/> Partial quality management system covering processes: _____ Standards with which the system complies: <input type="checkbox"/> ISO9001:2000 <input type="checkbox"/> ISO13485:1996 <input checked="" type="checkbox"/> ISO13485:2003 <input checked="" type="checkbox"/> GMP <input type="checkbox"/> Others _____ (please specify) <input checked="" type="checkbox"/> System certified by <u>CAB Systems Ltd</u> (certification body), and a copy of the certificate is enclosed	(A2) <input checked="" type="checkbox"/>
	<u>Documented Procedures Established</u> <input checked="" type="checkbox"/> Distribution records <input checked="" type="checkbox"/> Complaint handling <input checked="" type="checkbox"/> Recalls (procedures are enclosed) <input checked="" type="checkbox"/> Alerts and modifications <input checked="" type="checkbox"/> Reportable adverse incidents in Hong Kong	(A3) <input checked="" type="checkbox"/>
A005	Has the manufacturer designated any Local Responsible Person (LRP)? (<i>N.B. If the manufacturer has no registered place of business in Hong Kong, it must designate a legal person incorporated in Hong Kong or a natural or legal person with a registered place of business in Hong Kong as the LRP.</i>) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No, manufacturer itself acts as the LRP	

Part B: Particulars of Local Responsible Person (LRP)			
B001	LRP's name*	<i>in English</i>	CARDIO SUPPLIES LTD.
		<i>in Chinese</i>	心臟儀器供應有限公司
	Address in Hong Kong (Please give the registered place of business, if any)*	<i>in English</i>	32/F., METROPOLITAN CENTRE, 123 MERRY STREET, CAUSEWAY BAY, HONG KONG
		<i>in Chinese</i>	香港銅鑼灣喜樂街123號都市中心32樓
	Contact person: CHAN TAI-MAN		Telephone: 2800 0000
	Fax: 2900 0000		E-mail: tchan@cardio.com.hk
	Contact telephone for public enquiries (if different from the number given above)*: 2000 0000		
	Contact telephone after office hours: 9000 0000		
<input checked="" type="checkbox"/> Copy of business registration certificate (with business registration number: <u>BR123467</u>) is enclosed			(B1) <input checked="" type="checkbox"/>
B002	Date designated as LRP by the manufacturer: <u>30 June 2005</u>		(B2)
	<input checked="" type="checkbox"/> Manufacturer's designation letter is enclosed		<input checked="" type="checkbox"/>
B003	Established Quality Management System <input checked="" type="checkbox"/> ISO9001:2000 <input type="checkbox"/> ISO13485:1996 <input type="checkbox"/> ISO13485:2003 <input type="checkbox"/> none <input type="checkbox"/> Others _____		(B3) <input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/> System certified by <u>ABC Agency</u> (certification body), and a copy of the certificate is enclosed		
B004	<u>Documented Procedures Established</u>		(B4) <input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/> Distribution records		
	<input checked="" type="checkbox"/> Complaint handling		
	<input checked="" type="checkbox"/> Maintenance and service arrangements		
	<input checked="" type="checkbox"/> Recalls (procedures are enclosed)		
	<input checked="" type="checkbox"/> Alerts and modifications		
<input checked="" type="checkbox"/> Reportable adverse incidents in Hong Kong			
B005	<input checked="" type="checkbox"/> The LRP is also an importer of the device named in Part C		
B006	<input type="checkbox"/> The device named in Part C is currently a listed device (under another LRP), with Listing No. _____.		

Part C: Particulars of the Device			
C001	Make*	<i>in English</i>	ABC Medical
		<i>in Chinese</i>	N.A.
	Model*	<i>in English</i>	PMS-123
		<i>in Chinese</i>	N.A.
C002	<input type="checkbox"/> A single medical device; OR <input type="checkbox"/> A medical device family; OR <input type="checkbox"/> A medical device series; OR <input checked="" type="checkbox"/> A medical device system. For a medical device family, medical device series or a medical device system, please provide the additional required information in the following space. Use separate sheets if required. <i>See document of ref.: MDS-01</i> <hr/> <hr/>		(C1) <input checked="" type="checkbox"/>
C003	Universal Product Number (if any): N. A.		
	Other identifiers (if any) of the device: <i>For identifiers of respective component medical devices, please see document of ref.: MDS-01</i>		
C004	Description of the device: <i>(Please enter the appropriate GMDN term. If none of the terms in GMDN appear appropriate, enter a short description of the device.)</i> PATIENT MONITORING SYSTEM, GENERAL PHYSIOLOGY, SINGLE PERSON		
	GMDN Code: <i>(Please enter if known)</i> 33586		
C005	Other common descriptions of the device: PATIENT MONITOR		
C006	Intended use of the device*	<i>in English</i>	<i>A patient monitor intended for monitoring, recording and alarming of multiple physiological parameters depending on which modules are equipped. It is indicated for use in acute care settings in health care facilities by health care professionals whenever there is a need for monitoring physiological parameters of adult, paediatric or neonatal patients.</i>
		<i>in Chinese</i>	病人監護儀用以監察及記錄病人的多項生理參數（視乎裝設哪些組件而定），並在適當時發出警報。醫護專業人員在醫護設施的急症護理環境中，如需監護患病成年人、兒童或初生嬰兒的生理參數，便可使用該監護儀。
C007	Accessories. <i>(For each accessory, please provide its identifier(s) (e.g. part number), description and, if any, Universal Product Number. Use separate sheet if required):</i> <i>Please see document of ref.: MDS-02</i>		(C1) <input checked="" type="checkbox"/>

C008	Universal Product Numbers (if any) of the accessories: <i>N. A.</i>	
C009	<p>1. If any of the following statements is true, the device may not be (i) a Classes II/III device and/or (ii) under the current scope of the MDACS: True False</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> The device incorporates, as an integral part, a medicinal product which could act on the human body with action ancillary to that of the device</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> The device is manufactured from or incorporating human cells/tissues/derivatives</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> The device is manufactured from or incorporating animal cells/tissues/derivatives</p>	
	<p>2. The device is</p> <p><input checked="" type="checkbox"/> an active device:</p> <p><input type="checkbox"/> intended to control or monitor the performance of active therapeutical devices in Class III, or intended directly to influence the performance of such devices</p> <p><input checked="" type="checkbox"/> intended for monitoring of vital physiological parameters, where the nature of variations is such that it could result in immediate danger to the patient</p> <p><input type="checkbox"/> intended for diagnosing in clinical situations where the patient is in immediate danger</p> <p><input type="checkbox"/> none of the above</p> <p><input type="checkbox"/> a non-active device</p>	
	<p>3. The device is</p> <p><input type="checkbox"/> an invasive device:</p> <p><input type="checkbox"/> invasive with respect to body orifices</p> <p><input type="checkbox"/> intended to connect with Class I devices</p> <p><input type="checkbox"/> intended to have biological effect or be absorbed</p> <p><input type="checkbox"/> intended to undergo chemical change in the body and is intended for (choose one below only)</p> <p><input type="checkbox"/> transient use (< 60 mins)</p> <p><input type="checkbox"/> short-term use (between 60 mins and 30 days)</p> <p><input type="checkbox"/> long-term use (> 30 days)</p> <p><input checked="" type="checkbox"/> a non-invasive device:</p> <p><input type="checkbox"/> intended for modifying the biological or chemical composition of blood, other body liquids or other liquids intended for infusion into the body</p>	
	<p>4. The device is</p> <p><input checked="" type="checkbox"/> connected to a Class II or higher active medical device</p> <p><input type="checkbox"/> a wound dressing (please complete section 4)</p>	
	<p>5. For wound dressing, please indicate the characteristics of the device</p> <p><input type="checkbox"/> Simple mechanical barrier, for compression of wounds or for absorption of exudates. (e.g. simple wound dressing; cotton wool).</p> <p><input type="checkbox"/> To manage the microenvironment of wounds. (e.g. non-medicated impregnated gauze dressings).</p> <p><input type="checkbox"/> Used principally with wounds which have breached the dermis and can only heal by secondary intent. (e.g. dressing for chronic ulcerated wounds).</p> <p><input type="checkbox"/> Impregnated with medicinal products. (e.g. medicated gauze dressings).</p>	

C010	<p>Class of the medical device: <input type="checkbox"/> Class II <input checked="" type="checkbox"/> Class III</p> <p>Reasons for classifying the device as Class II/III device: <i>It is an active device intended for monitoring of vital physiological parameters, where the nature of variations is such that it could result in immediate danger to the patient (Rule 10)</i></p>	
C011	<p>Manufacturing sites (Use separate sheet if required): <i>Please see document of ref.: MDS-03</i></p>	(C1) <input checked="" type="checkbox"/>
C012	<p><u>History</u></p> <p><input type="checkbox"/> No previous recalls, reportable adverse incidents, banning in other countries or post-market surveillance studies</p> <p><input checked="" type="checkbox"/> Yes (Please tick the appropriate boxes and provide details):</p> <p><input type="checkbox"/> Recalls completed or in progress</p> <p><input checked="" type="checkbox"/> Any reportable adverse incidents bearing implications to the device</p> <p><input type="checkbox"/> The device banned previously in other countries</p> <p><input type="checkbox"/> Proactive post-market surveillance studies</p>	(C2) <input checked="" type="checkbox"/>
C013	<p><u>Usage</u></p> <p><input type="checkbox"/> The device is for single use</p> <p><input type="checkbox"/> The device is supplied as sterile product</p> <p><input type="checkbox"/> Disposal of used device or any part thereof (including any used accessories or consumables) requires special precautions.</p>	
C014	<p><u>Repair & Servicing</u></p> <p><input type="checkbox"/> The device is non-repairable</p> <p><input checked="" type="checkbox"/> The device requires regular servicing/testing/checking/calibration</p> <p><input type="checkbox"/> Repairs and servicing not provided</p> <p><input checked="" type="checkbox"/> Repairs and servicing provided by the LRP or appointed party in Hong Kong</p> <p><input type="checkbox"/> All repairs and servicing performed in Hong Kong</p> <p><input checked="" type="checkbox"/> Part of the repairs and servicing performed in Hong Kong</p> <p><input checked="" type="checkbox"/> Technical support provided by the manufacturer</p>	
C015	<p><u>Labelling Requirements</u></p> <p>Instructions for use are available: <input checked="" type="checkbox"/> in English <input type="checkbox"/> in Chinese</p> <p><input checked="" type="checkbox"/> Labelling samples are enclosed.</p> <p>Please indicate where in the samples the following information is given:</p> <p>(1) Indications for use of the device: <u>Pages 4 – 8 of the operator’s manual</u></p> <p>(2) Contraindications against use of the device: <u>Pages 9 – 11 of the operator’s manual</u></p> <p>(3) Cleaning, disinfection and/or sterilization procedures: <u>Pages 45 of the operator’s manual</u></p> <p>(4) User precautions: <u>Pages 24 – 28 of the operator’s manual</u></p> <p>(5) Disposal precautions: <u>N. A.</u></p>	(C3) <input checked="" type="checkbox"/>
C016	<p><u>Performance and Safety</u></p> <p>International or national standards with which the device complies: <u>(1) IEC 60601-1:1988+ A1:1991+A2:1995; (2) IEC 60601-1-2:2004; (3) IEC 60601-1-8:2003; (4) IEC 60601-2-49:2001</u></p> <p><input checked="" type="checkbox"/> Type test performed: report or test certificate is enclosed</p> <p><input checked="" type="checkbox"/> Risk analysis conducted: report or summary is enclosed</p>	(C4) <input checked="" type="checkbox"/>

C017	<u>Clinical Evaluation</u>	(C5) <input checked="" type="checkbox"/>
	<input type="checkbox"/> Clinical investigation report of the device is enclosed	
	<input checked="" type="checkbox"/> Bibliography of references from the Index Medicus concerning the device is enclosed	
	<input type="checkbox"/> Demonstration of equivalence to another device (equivalent device) where safety and efficacy of which are well established:	
	<input type="checkbox"/> Clinical investigation report of the equivalent device and a report of demonstration of equivalence are enclosed	
	<input type="checkbox"/> Bibliography of references from the Index Medicus concerning the equivalent device and a report for demonstration of equivalence are enclosed	
	<input type="checkbox"/> Report demonstrating full equivalence to a well established product is enclosed	

	Part D: Marketing Approvals and Essential Principles	
D001	<u>Marketing Approvals in Foreign Countries</u>	(D1) <input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/> Approval obtained for the medical device to be placed on the market of the following countries:	
	<input type="checkbox"/> Australia (The Therapeutic Goods Administration)	
	<input type="checkbox"/> Canada (Health Canada)	
	<input checked="" type="checkbox"/> Member countries of European Union that have implemented the European Council Directives 90/385/EEC and 93/42/EEC	
	<input type="checkbox"/> Japan (Ministry of Health, Labour and Welfare)	
	<input checked="" type="checkbox"/> United States of America (U.S. Food and Drug Administration)	
<input type="checkbox"/> Earliest approval obtained on or before 31 December 2004		
<input checked="" type="checkbox"/> Earliest approval obtained on or after 1 January 2005		
	<input checked="" type="checkbox"/> Essential Principles Conformity Checklist MD-CCL is attached	

DECLARATION

1. To the maximum extent permitted by law and in consideration of the Department of Health of the Government of the Hong Kong Special Administrative Region (“the Government”) processing our application under the MDACS, we, CARDIO SUPPLIES LTD., 32/F., METROPOLITAN CENTRE, 123 MERRY STREET, CAUSEWAY BAY, HONG KONG
[name and address of the Applicant], agree to exempt, relieve, exonerate, indemnify and hold harmless, and to keep indemnified and harmless, as the case may be, the Government from and/or against any and all losses, claims, demands and proceedings (including but not limited to all costs, charges and expenses) whatsoever and howsoever suffered or incurred by, or made or issued against, the Government, as the case may be, by any third party in respect of any loss of or damage to any property or injury to or death of any person arising out of and/or relating and/or incidental to:
 - a. any act, neglect or default on our part or on the part of our employees or agents;
 - b. any defect in the design, material, workmanship or installation of our device or devices;
 - c. any use of any of the information supplied by us or our employees or agents in relation to our device or devices whether or not such information has materially contributed to the inclusion of the device or devices on the List of Medical Devices and whether or not such information is misleading, wrong or inaccurate.
2. We also agree and accept that:
 - a. the Government, its employees or agents shall not be liable to us for any loss of or damage to property caused by the act, default or neglect of the Government or its employees or agents in the processing of our application, the inclusion or non-inclusion of any of our information and/or device or devices on the List of Medical Devices or any cause whatsoever arising out of or in connection with the implementation and management of the MDACS;
 - b. neither the Government nor any of its employees or agents makes any representation, statement, warranty or guarantee, express or implied, that the devices (including any spares or replacement parts) listed or considered for listing under the MDACS, whether or not they are included in the List of Medical Devices, are of merchantable quality or are fit for the purposes for which they are commonly bought and that the spares or replacement parts are readily available.
3. We confirm that the information contained in our application is true and correct and that our device or devices (including any spares or replacement parts) are of merchantable quality and are fit for the purposes for which they are commonly bought.
4. We fully understand and agree that any future changes or additions to the requirements of the Medical Device Administrative Control System (MDACS) can be imposed by the Department of Health without prior notice. We hereby undertake to comply with the latest requirements of the MDACS that are in force. It is one of the current requirements of the MDACS that the LRP will, within two weeks after receiving the request from the Department of Health, produce the originals or certified copies of the documents that, according to the claims in this submission, are within the possession of the LRP or the manufacturer.
5. We confirm that we have neither amended any wording in this form, nor otherwise altered the form in any material manner, apart from filling in the appropriate blanks / boxes.

Signature: _____
Name: CHAN TAI-MAN
Position: GENERAL MANAGER
Contact telephone number: 2800 0000
The Applicant (Local Responsible Person): CARDIO SUPPLIES LTD
Date: 11 July 2005

Personal Data (Privacy) Ordinance
Statement of Purposes

1. Purpose of Collection

The personal data that are provided by you with whom the Department of Health (DH) interacts in connection with the Medical Device Administrative Control System (MDACS) will be used by the DH for the management and implementation of the MDACS.

2. Classes of Transferees

The personal data you provide are mainly for use within the DH but they may also be disclosed to other Government bureaux/departments or relevant parties for the purpose mentioned in para. 1 above, and related matters if required. Apart from this, the data may only be disclosed to parties where you have given consent to such disclosure or where it is allowed under the Personal Data (Privacy) Ordinance.

3. Access to Personal Data

You have a right of access and correction with respect to personal data as provided for in sections 18 and 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance. Your right of access includes the right to obtain a copy of your personal data. A fee may be imposed for complying with a data access request.

4. Enquiries

Enquiries concerning the personal data provided, including the making of access and corrections, should be addressed to the Medical Device Control Office, Department of Health (18/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong; facsimile number: 3157 1286; telephone number: 2961 8788). Please quote your application number when submitting the request.

“ABC Medical / PMS-123” Patient Monitoring System, General Physiology, Single Person comprises a patient monitor (item 1), a remote control keyboard (item 2), a module rack (item 3) and various physiological and printing modules (item 4 to 9). The remote control keyboard and the module rack are connected directly to the patient monitor. Users can plug into the module rack any physiological modules (items 4 to 8) to enable the patient monitor to display, record and alarm respective physiological parameters depending on patient needs. A printing module (item 9) is available to provide print-out of physiological parameters.

Details of the functions of the medical device system and respective component medical devices can be found in the Operator’s Manual.

	GMDN Term	GMDN Code	Identifier	Intended Use
1.	Monitor, VDU, colour	36612	PMS-VDU	For displaying, recording, alarming of physiological parameters, depending which modules are being plugged into the module rack (item 3)
2.	Remote control, keyboard	36861	PMS-RCK	For users to enter data and commands to control the functions of the patient monitoring system
3.	Rack, module	36757	PMS-SMR	For the connection of modules (housing of modules) to the patient monitor. The maximum number of modules that can be plugged into the rack is 8
4.	Patient monitoring system module, electrocardiographic/respiratory	36548	PMS-ECR	Plugged into the module rack (item 3), for measuring patient ECG and respiration rate (using impedance method) to identify episodes of arrhythmia and apnoea
5.	Patient monitoring system module, pulse oximetry	36554	PMS-SPO	Plugged into the module rack (item 3), for measuring transcutaneously oxygen concentration (SpO ₂) in arterial blood (using spectrophotometry method).

6.	<i>Patient monitoring system module, blood pressure, non-invasive</i>	36551	<i>PMS-NBP</i>	<i>Plugged into the module rack (item 3), for measuring blood pressure non-invasively (using oscillometric method)</i>
7.	<i>Patient monitoring system module, blood pressure, invasive</i>	36550	<i>PMS-IBP</i>	<i>Plugged into the module rack (item 3), for measuring invasive blood pressure (direct method)</i>
8.	<i>Patient monitoring system, module, temperature</i>	36562	<i>PMS-TMP</i>	<i>Plugged into the module rack (item 3), for measuring patient's body temperature</i>
9.	<i>Patient monitoring system module, printing</i>	365854	<i>PMS-PRN</i>	<i>Plugged into the module rack (item 3), for providing print-out of patient related data from various physiological modules (items 4 – 8)</i>

Accessories of “ABC Medical / PMS-123” Patient Monitoring System, General Physiology, Single Person

	GMDN Term	GMDN Code	Identifiers	Component Medical Device to be used with
1.	<i>Cable/lead, electrocardiograph</i>	35562	<i>PMS-ACC-ECR-01 PMS-ACC-ECR-02 PMS-ACC-ECR-03 PMS-ACC-ECR-04 PMS-ACC-ECR-05 (Please refer to the catalogue ACC-ECR for details)</i>	<i>“PMS-ECR” ECG/Resp. Module</i>
2.	<i>Probe, oximeter, reusable</i>	37808	<i>PMS-ACC-SPO-01 PMS-ACC-SPO-02 PMS-ACC-SPO-03 PMS-ACC-SPO-04 (Please refer to the catalogue ACC-SPO for details)</i>	<i>“PMS-SPO” SpO₂ Module</i>
3.	<i>Probe, oximeter, single-use</i>	31658	<i>PMS-ACC-SPO-05 PMS-ACC-SPO-06 PMS-ACC-SPO-07 PMS-ACC-SPO-08 PMS-ACC-SPO-09 PMS-ACC-SPO-10 (Please refer to the catalogue ACC-SPO for details)</i>	<i>“PMS-SPO” SpO₂ Module</i>
4.	<i>Cuff, blood pressure, reusable</i>	34978	<i>PMS-ACC-NBP-01 PMS-ACC-NBP-02 PMS-ACC-NBP-03 PMS-ACC-NBP-04 PMS-ACC-NBP-05 PMS-ACC-NBP-06 (Please refer to the catalogue ACC-NPB for</i>	<i>“PMS-NBP” NIBP Module</i>

			<i>details)</i>	
5.	<i>Cuff, blood pressure, single-use</i>	37326	<i>PMS-ACC-NBP-07</i> <i>PMS-ACC-NBP-08</i> <i>PMS-ACC-NBP-09</i> <i>PMS-ACC-NBP-10</i> <i>PMS-ACC-NBP-11</i> <i>PMS-ACC-NBP-12</i> <i>PMS-ACC-NBP-13</i> <i>PMS-ACC-NBP-14</i> <i>(Please refer to the catalogue ACC-NBP for details)</i>	<i>“PMS-NBP” NIBP Module</i>
6.	<i>Probe, thermometer, reusable</i>	37340	<i>PMS-ACC-TMP-01</i> <i>PMS-ACC-TMP-02</i> <i>PMS-ACC-TMP-03</i> <i>(Please refer to the catalogue ACC-TMP for details)</i>	<i>“PMS-TMP” Temperature Module</i>
7.	<i>Probe, thermometer, single-use</i>	35354	<i>PMS-ACC-TMP-04</i> <i>PMS-ACC-TMP-05</i> <i>PMS-ACC-TMP-06</i> <i>PMS-ACC-TMP-07</i> <i>(Please refer to the catalogue ACC-TMP for details)</i>	<i>“PMS-TMP” Temperature Module</i>
8.	<i>Paper, recording</i>	15639	<i>PMS-ACC-PRN-01</i> <i>(Please refer to the catalogue ACC-PRN for details)</i>	<i>“PMS-PRN” Chart Recorder Module</i>

Manufacturing Sites of “ABC Medical / PMS-123” Patient Monitoring System, General Physiology, Single Person (including manufacturing sites of component medical devices and their accessories)

	Manufacturing Site	Component Medical Device /Accessory
1.	1324N, Derby Road, Arlington, VA 12345-6789, USA	(i) PMS-VDU (ii) PMS-RCK (iii) PMS-SMR (iv) PMS-ECR (v) PMS-SPO (vi) PMS-NPB (vii) PMS-IPB (viii) PMS-TMP (ix) PMS-PRN
2.	1000 Butler Road, Plymouth Place, PA 12486-1248, USA	(i) PMS-ACC-ECR-01 to 05 (ii) PMS-ACC-SPO-01 to 10 (iii) PMS-ACC-NPB-01 to 14 (iv) PMS-ACC-TMP-01 to 07 (v) PMS-ACC-PRN-01



Essential Principles Conformity Checklist
Medical Device Control Office
Department of Health
Medical Device Administrative Control System

Make: ABC Medical

Model: PMS-123

Clause	Essential Principle	Applicable	Method of Conformity	Identity of Specific Documents
General Requirements				
1.	Medical devices should be designed and manufactured in such a way that, when used under the conditions and for the purposes intended and, where applicable, by virtue of the technical knowledge, experience, education or training of intended users, they will not compromise the clinical condition or the safety of patients, or the safety and health of users or, where applicable, other persons, provided that any risks which may be associated with their use constitute acceptable risks when weighed against the benefits to the patient and are compatible with a high level of protection of health and safety.	Yes	<ol style="list-style-type: none"> 1. <i>The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified</i> 2. <i>The patient monitor is tested to comply with IEC 60601-1, IEC 60601-1-2, IEC 60601-1-8 and IEC 60601-2-49 standards.</i> 3. <i>Risk analysis has been performed in accordance with ISO 14971. It shows that any risks which may be associated with the devices are acceptable when weighed against the benefits to the patient and are compatible with a high level of protection of health and safety.</i> 	<ol style="list-style-type: none"> 1. <i>ISO 13485 Certificate No. 012345</i> 2. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 3. <i>Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard</i> 4. <i>Type Test Certificate No. 34567 to show compliance with IEC 60601-1-8 standard</i> 5. <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> 6. <i>Risk Analysis Report RAR-001</i>

2.	<p>The solutions adopted by the manufacturer for the design and manufacture of the devices should conform to safety principles, taking account of the generally acknowledged state of the art. When risk reduction is required, the manufacturer should control the risks so that the residual risks associated with each hazard is judged acceptable. The manufacturer should apply the following principles in the priority order listed:</p> <ul style="list-style-type: none"> • identify known or foreseeable hazards and estimate the associated risks arising from the intended use and foreseeable misuse, • eliminate risks as far as reasonably practicable through inherently safe design and manufacture, • reduce as far as is reasonably practicable the remaining risks by taking adequate protection measures, including alarms, • inform users of any residual risks. 	Yes	- Ditto -	- Ditto -
3.	Devices should achieve the performance intended by the manufacturer and be designed, manufactured and packaged in such a way that they are suitable for one or more of the functions within the scope of the definition of a medical device.	Yes	- Ditto -	- Ditto -
4.	The characteristics and performances referred to in Clauses 1, 2 and 3 should not be adversely affected to such a degree that the health or safety of the patient or the user and, where applicable, of other persons are compromised during the lifetime of the device, as indicated by the manufacturer, when the device is subjected to the stresses which can occur during normal conditions of use and has been properly maintained in accordance with the manufacturer's instructions.	Yes	- Ditto -	- Ditto -
5.	The devices should be designed, manufactured and packed in such a way that their characteristics and performances during their intended use will not be adversely affected under transport and storage conditions (for example, fluctuations of temperature and humidity) taking account of the instructions and information provided by the manufacturer.	Yes	- Ditto -	- Ditto -
6.	The benefits must be determined to outweigh any undesirable side effects for the performances intended.	Yes	- Ditto -	- Ditto -

Design and Manufacturing Requirements				
7.	Chemical, physical and biological properties			
7.1	<p>The devices should be designed and manufactured in such a way as to ensure the characteristics and performance referred to in Clauses 1 to 6 of the 'General Requirements'. Particular attention should be paid to:</p> <ul style="list-style-type: none"> the choice of materials used, particularly as regards toxicity and, where appropriate, flammability, the compatibility between the materials used and biological tissues, cells, body fluids, and specimens, taking account of the intended purpose of the device. the choice of materials used should reflect, where appropriate, matters such as hardness, wear and fatigue strength. 	Yes	<i>The materials used to manufacture the accessories that may come in contact with skin have been subject to biological evaluation in accordance with ISO 10993 standards.</i>	<i>Biological Evaluation Test Report No. 012345</i>
7.2	The devices should be designed, manufactured and packed in such a way as to minimize the risk posed by contaminants and residues to the persons involved in the transport, storage and use of the devices and to patients, taking account of the intended purpose of the product. Particular attention should be paid to tissues exposed and to the duration and frequency of exposure.	Yes	<i>The materials used to manufacture the accessories that may come in contact with skin have been subject to biological evaluation in accordance with ISO 10993 standards.</i>	<i>Biological Evaluation Test Report No. 012345</i>
7.3	The devices should be designed and manufactured in such a way that they can be used safely with the materials, substances and gases with which they enter into contact during their normal use or during routine procedures; if the devices are intended to administer medicinal products they should be designed and manufactured in such a way as to be compatible with the medicinal products concerned according to the provisions and restrictions governing these products and that their performance is maintained in accordance with the intended use.	Yes	<p>1. <i>The materials used to manufacture the accessories that may come in contact with skin have been subject to biological evaluation in accordance with ISO 10993 standards.</i></p> <p>2. <i>Risk analysis has been performed in accordance with ISO 14971.</i></p>	<p>1. <i>Biological Evaluation Test Report No. 012345</i></p> <p>2. <i>Risk Analysis Report RAR-001</i></p>
7.4	Where a device incorporates, as an integral part, a substance which, if used separately, is considered to be a pharmaceutical and which is liable to act upon the body with action ancillary to that of the device, the safety, quality and usefulness of the substance should be verified, taking account of the intended purpose of the device.	No	<i>Not applicable</i>	<i>Not applicable</i>
7.5	The devices should be designed and manufactured in such a way as to reduce as far as reasonably practicable and appropriate the risks posed by substances that may leach or leak from the device.	Yes	<i>Risk analysis has been performed in accordance with ISO 14971.</i>	<i>Risk Analysis Report RAR-001</i>

7.6	Devices should be designed and manufactured in such a way as to reduce as far as reasonably practicable and appropriate risks posed by the unintentional ingress or egress of substances into or from the device taking into account the device and the nature of the environment in which it is intended to be used.	Yes	<i>Risk analysis has been performed in accordance with ISO 14971.</i>	<i>Risk Analysis Report RAR-001</i>
8.	Infection and microbial contamination			
8.1	The devices and manufacturing processes should be designed in such a way as to eliminate or to reduce as far as reasonably practicable and appropriate the risk of infection to patients, users and, where applicable, other persons. The design should: <ul style="list-style-type: none"> • allow easy handling, and, where necessary: <ul style="list-style-type: none"> • reduce as far as reasonably practicable and appropriate any microbial leakage from the device and/or microbial exposure during use, • prevent microbial contamination of the device, or specimen where applicable, by the patient, user or other person. 	Yes	<i>Risk analysis has been performed in accordance with ISO 14971.</i>	<i>Risk Analysis Report RAR-001</i>
8.2	Where a device incorporates substances of biological origin, the risk of infection must be reduced as far as reasonably practicable and appropriate by selecting appropriate sources, donors and substances and by using, as appropriate, validated inactivation, conservation, test and control procedures.	No	<i>Not applicable</i>	<i>Not applicable</i>
8.3	Where a device incorporates tissues, cells and substances of non-human origin, such tissues, cells and substances should originate from animals that have been subjected to veterinary controls and surveillance adapted to the intended use of the tissues. Information on the geographical origin of the animals should be retained. Processing, preservation, testing and handling of tissues, cells and substances of animal origin should be carried out so as to provide optimal safety. In particular, safety with regard to viruses and other transmissible agents should be addressed by implementation of validated methods of elimination or inactivation in the course of the manufacturing process.	No	<i>Not applicable</i>	<i>Not applicable</i>
8.4	Where a device incorporates human tissues, cells and substances, the selection of sources, donors and/or substances of human origin, the processing, preservation, testing and handling of tissues, cells and substances of such origin should be carried out so as to provide optimal safety. In particular, safety with regard to viruses and other transmissible agents should be addressed by implementation of validated methods of elimination or inactivation in the course of the manufacturing process.	No	<i>Not applicable</i>	<i>Not applicable</i>
8.5	Devices labelled as having a special microbiological state should be designed, manufactured and packed to ensure they remain so when placed on the market and remain so under the transport and storage conditions specified by the manufacturer.	Yes	<i>Risk analysis has been performed in accordance with ISO 14971.</i>	<i>Risk Analysis Report RAR-001</i>

8.6	Devices delivered in a sterile state should be designed, manufactured and packed in a non-reusable pack, and/or according to appropriate procedures, to ensure that they are sterile when placed on the market and remain sterile, under the transport and storage conditions indicated by the manufacturer, until the protective packaging is damaged or opened.	No	Not applicable	
8.7	Devices labelled either as sterile or as having a special microbiological state should have been processed, manufactured and, if applicable, sterilized by appropriate, validated methods.	No	Not applicable	
8.8	Devices intended to be sterilized should be manufactured in appropriately controlled (e.g. environmental) conditions.	No	Not applicable	
8.9	Packaging systems for non-sterile devices should keep the product without deterioration at the level of cleanliness stipulated and, if the devices are to be sterilized prior to use, minimize the risk of microbial contamination; the packaging system should be suitable taking account of the method of sterilization indicated by the manufacturer.	Yes	<i>Risk analysis has been performed in accordance with ISO 14971.</i>	<i>Risk Analysis Report RAR-001</i>
8.10	The packaging and/or label of the device should distinguish between identical or similar products placed on the market in both sterile and non-sterile condition.	No	Not applicable	Not applicable
9.	Manufacturing and environmental properties			
9.1	If the device is intended for use in combination with other devices or equipment, the whole combination, including the connection system should be safe and should not impair the specified performance of the devices. Any restrictions on use applying to such combinations should be indicated on the label and/or in the instructions for use.	Yes	<ol style="list-style-type: none"> 1. <i>The patient monitor is tested to comply with IEC 60601-1, IEC 60601-1-2, IEC 60601-1-8 and IEC 60601-2-49 standards.</i> 2. <i>Risk analysis has been performed in accordance with ISO 14971.</i> 	<ol style="list-style-type: none"> 1. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 2. <i>Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard</i> 3. <i>Type Test Certificate No. 34567 to show compliance with IEC 60601-1-8 standard</i> 4. <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> 5. <i>Risk Analysis Report RAR-001</i>

9.2	<p>Devices should be designed and manufactured in such a way as to remove or reduce as far as reasonably practicable and appropriate:</p> <ul style="list-style-type: none"> the risk of injury, in connection with their physical features, including the volume/pressure ratio, dimensional and where appropriate ergonomic features; risks connected with reasonably foreseeable external influences or environmental conditions, such as magnetic fields, external electrical and electromagnetic effects, electrostatic discharge, pressure, humidity, temperature or variations in pressure and acceleration; the risks connected to their use in conjunction with materials, substances and gases with which they may come into contact during normal conditions of use; the risks of accidental penetration of substances into the device; the risk of incorrect identification of specimens; the risks of reciprocal interference with other devices normally used in the investigations or for the treatment given; risks arising where maintenance or calibration is not possible (as with implants), from ageing of materials used or loss of accuracy of any measuring or control mechanism. 	Yes	<i>Ditto</i>	<i>Ditto</i>
9.3	Devices should be designed and manufactured in such a way as to minimize the risks of fire or explosion during normal use and in single fault condition. Particular attention should be paid to devices whose intended use includes exposure to or use in association with flammable substances or substances which could cause combustion.	Yes	- Ditto -	- Ditto -
9.4	Devices must be designed and manufactured in such a way as to facilitate the safe disposal of any waste substances.	No	<i>Not applicable</i>	<i>Not applicable</i>
10.	Devices with a diagnostic or measuring function			
10.1	Devices with a measuring function, where inaccuracy could have a significant adverse effect on the patient, should be designed and manufactured in such a way as to provide sufficient accuracy, precision and stability for their intended purpose of the device. The limits of accuracy should be indicated by the manufacturer.	Yes	<ol style="list-style-type: none"> <i>The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards.</i> <i>Risk analysis has been performed in accordance with ISO 14971.</i> 	<ol style="list-style-type: none"> <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> <i>Risk Analysis Report RAR-001</i>

10.2	Diagnostic devices should be designed and manufactured in such a way as to provide sufficient accuracy, precision and stability for their intended use, based on appropriate scientific and technical methods. In particular the design should address sensitivity, specificity, trueness, repeatability, reproducibility, control of known relevant interference and limits of detection, as appropriate.	No	Not applicable	Not applicable
10.3	Where the performance of devices depends on the use of calibrators and/or control materials, the traceability of values assigned to such calibrators and/or control materials should be assured through a quality management system.	No	Not applicable	Not applicable
10.4	Any measurement, monitoring or display scale should be designed in line with ergonomic principles, taking account of the intended purpose of the device.	Yes	Risk analysis has been performed in accordance with ISO 14971.	Risk Analysis Report RAR-001
10.5	Wherever possible values expressed numerically should be in commonly accepted, standardised units, and understood by the users of the device.	Yes	All values expressly numerically are in units commonly used by clinical staff in Hong Kong.	Not applicable
11.	Protection against radiation			
11.1	General			
11.1.1	Devices should be designed and manufactured and packaged in such a way that exposure of patients, users and other persons to any emitted radiation should be reduced as far as practicable and appropriate, compatible with the intended purpose, whilst not restricting the application of appropriate specified levels for therapeutic and diagnostic purposes.	Yes	<ol style="list-style-type: none"> The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified The patient monitor is tested to comply with IEC 60601-1 standard. Risk analysis has been performed in accordance with ISO 14971. 	<ol style="list-style-type: none"> ISO 13485 Certificate No. 012345 Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard Risk Analysis Report RAR-001
11.2	Intended radiation			
11.2.1	Where devices are designed to emit hazardous, or potentially hazardous, levels of visible and/or invisible radiation necessary for a specific medical purpose the benefit of which is considered to outweigh the risks inherent in the emission, it should be possible for the user to control the emissions. Such devices should be designed and manufactured to ensure reproducibility of relevant variable parameters within an acceptable tolerance.	No	Not applicable	Not applicable
11.2.2	Where devices are intended to emit potentially hazardous, visible and/or invisible radiation, they should be fitted, where practicable, with visual displays and/or audible warnings of such emissions.	No	Not applicable	Not applicable
11.3	Unintended radiation			

11.3.1	Devices should be designed and manufactured in such a way that exposure of patients, users and other persons to the emission of unintended, stray or scattered radiation is reduced as far as practicable and appropriate.	Yes	<ol style="list-style-type: none"> 1. <i>The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified</i> 2. <i>The patient monitor is tested to comply with IEC 60601-1 standard.</i> 3. <i>Risk analysis has been performed in accordance with ISO 14971.</i> 	<ol style="list-style-type: none"> 1. <i>ISO 13485 Certificate No. 012345</i> 2. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 3. <i>Risk Analysis Report RAR-001</i>
11.4	Instructions for use			
11.4.1	The operating instructions for devices emitting radiation should give detailed information as to the nature of the emitted radiation, means of protecting the patient and the user and on ways of avoiding misuse and of eliminating the risks inherent in installation.	No	<i>Not applicable</i>	<i>Not applicable</i>
11.5	Ionizing radiation			
11.5.1	Devices intended to emit ionizing radiation should be designed and manufactured in such a way as to ensure that, where practicable, the quantity, geometry and energy distribution (or quality) of radiation emitted can be varied and controlled taking into account the intended use.	No	<i>Not applicable</i>	<i>Not applicable</i>
11.5.2	Devices emitting ionizing radiation intended for diagnostic radiology should be designed and manufactured in such a way as to achieve appropriate image and/or output quality for the intended medical purpose whilst minimising radiation exposure of the patient and user.	No	<i>Not applicable</i>	<i>Not applicable</i>
11.5.3	Devices emitting ionizing radiation, intended for therapeutic radiology should be designed and manufactured in such a way as to enable reliable monitoring and control of the delivered dose, the beam type and energy and where appropriate the energy distribution of the radiation beam.\	No	<i>Not applicable</i>	<i>Not applicable</i>
12.	Requirements for medical devices connected to or equipped with an energy source			

12.1	Devices incorporating electronic programmable systems, including software, should be designed to ensure the repeatability, reliability and performance of these systems according to the intended use. In the event of a single fault condition in the system, appropriate means should be adopted to eliminate or reduce as far as practicable and appropriate consequent risks.	Yes	<ol style="list-style-type: none"> 1. <i>The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified</i> 2. <i>The patient monitor is tested to comply with IEC 60601-1, IEC 60601-1-2 and IEC 60601-2-49 standards.</i> 3. <i>Risk analysis has been performed in accordance with ISO 14971.</i> 	<ol style="list-style-type: none"> 1. <i>ISO 13485 Certificate No. 012345</i> 2. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 3. <i>Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard</i> 4. <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> 5. <i>Risk Analysis Report RAR-001</i>
12.2	Devices where the safety of the patients depends on an internal power supply should be equipped with a means of determining the state of the power supply.	Yes	<i>Ditto</i>	<i>Ditto</i>
12.3	Devices where the safety of the patients depends on an external power supply should include an alarm system to signal any power failure.	Yes	<i>Ditto</i>	<i>Ditto</i>
12.4	Devices intended to monitor one or more clinical parameters of a patient should be equipped with appropriate alarm systems to alert the user of situations which could lead to death or severe deterioration of the patient's state of health.	Yes	<ol style="list-style-type: none"> 1. <i>The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified</i> 2. <i>The patient monitor is tested to comply with IEC 60601-1, IEC 60601-1-8 and IEC 60601-2-49 standards.</i> 3. <i>Risk analysis has been performed in accordance with ISO 14971.</i> 	<ol style="list-style-type: none"> 1. <i>ISO 13485 Certificate No. 012345</i> 2. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 3. <i>Type Test Certificate No. 34567 to show compliance with IEC 60601-1-8 standard</i> 4. <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> 5. <i>Risk Analysis Report RAR-001</i>

12.5	Devices should be designed and manufactured in such a way as to reduce as far as practicable and appropriate the risks of creating electromagnetic interference which could impair the operation of this or other devices or equipment in the usual environment.	Yes	<i>The patient monitor is tested to comply with IEC IEC 60601-1-2 standard.</i>	<i>Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard</i>
12.6	Devices should be designed and manufactured in such a way as to provide an adequate level of intrinsic immunity to electromagnetic disturbance to enable them to operate as intended.	Yes	<i>- Ditto -</i>	<i>- Ditto -</i>
12.7	Protection against electrical risks Devices should be designed and manufactured in such a way as to avoid, as far as possible, the risk of accidental electric shocks during normal use and in single fault condition, provided the devices are installed and maintained as indicated by the manufacturer.	Yes	<ol style="list-style-type: none"> 1. <i>The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified</i> 2. <i>The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards.</i> 3. <i>Risk analysis has been performed in accordance with ISO 14971.</i> 	<ol style="list-style-type: none"> 1. <i>ISO 13485 Certificate No. 012345</i> 2. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 3. <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> 4. <i>Risk Analysis Report RAR-001</i>
13.	Protection against mechanical risks			
13.1	Devices should be designed and manufactured in such a way as to protect the patient and user against mechanical risks connected with, for example, resistance to movement, instability and moving parts.	Yes	<ol style="list-style-type: none"> 1. <i>The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified</i> 2. <i>The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards.</i> 3. <i>Risk analysis has been performed in accordance with ISO 14971.</i> 	<ol style="list-style-type: none"> 1. <i>ISO 13485 Certificate No. 012345</i> 2. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 3. <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> 4. <i>Risk Analysis Report RAR-001</i>
13.2	Devices should be designed and manufactured in such a way as to reduce to the lowest practicable level the risks arising from vibration generated by the devices, taking account of technical progress and of the means available for limiting vibrations, particularly at source, unless the vibrations are part of the specified performance.	Yes	<i>Ditto</i>	<i>Ditto</i>

13.3	Devices should be designed and manufactured in such a way as to reduce to the lowest practicable level the risks arising from the noise emitted, taking account of technical progress and of the means available to reduce noise, particularly at source, unless the noise emitted is part of the specified performance.	Yes	<i>Ditto</i>	<i>Ditto</i>
13.4	Terminals and connectors to the electricity, gas or hydraulic and pneumatic energy supplies which the user has to handle should be designed and constructed in such a way as to minimize all possible risks.	Yes	<i>Ditto</i>	<i>Ditto</i>
13.5	Accessible parts of the devices (excluding the parts or areas intended to supply heat or reach given temperatures) and their surroundings should not attain potentially dangerous temperatures under normal use.	Yes	<i>Ditto</i>	<i>Ditto</i>
14.	Protection against the risks posed to the patient by supplied energy or substances			
14.1	Devices for supplying the patient with energy or substances should be designed and constructed in such a way that the delivered amount can be set and maintained accurately enough to guarantee the safety of the patient and of the user.	Yes	<ol style="list-style-type: none"> 1. <i>The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified</i> 2. <i>The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards</i> 3. <i>Risk analysis has been performed in accordance with ISO 14971</i> 	<ol style="list-style-type: none"> 1. <i>ISO 13485 Certificate No. 012345</i> 2. <i>Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard</i> 3. <i>Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard</i> 4. <i>Risk Analysis Report RAR-001</i>
14.2	Devices should be fitted with the means of preventing and/or indicating any inadequacies in the delivered amount which could pose a danger. Devices should incorporate suitable means to prevent, as far as possible, the accidental release of dangerous levels of energy from an energy and/or substance source.	Yes	<i>Ditto</i>	<i>Ditto</i>
14.3	The function of the controls and indicators should be clearly specified on the devices. Where a device bears instructions required for its operation or indicates operating or adjustment parameters by means of a visual system, such information should be understandable to the user and, as appropriate, the patient.	Yes	<i>Ditto</i>	<i>Ditto</i>
15.	Protection against the risks posed to the patient for devices for self-testing or self-administration			

15.1	Such devices should be designed and manufactured in such a way that they perform appropriately for their intended purpose taking into account the skills and the means available to users and the influence resulting from variation that can reasonably be anticipated in user's technique and environment. The information and instructions provided by the manufacturer should be easy for the user to understand and apply.	No	Not applicable	Not applicable
15.2	Such devices should be designed and manufactured in such a way as to reduce as far as practicable the risk of use error in the handling of the device and, if applicable, the specimen, and also in the interpretation of results.	No	Not applicable	Not applicable
15.3	Such devices should, where reasonably possible, include a procedure by which the user can verify that, at the time of use, that the product will perform as intended by the manufacturer.	No	Not applicable	Not applicable
16.	Information supplied by the manufacturer			
16.1	Users should be provided with the information needed to identify the manufacturer, to use the device safely and to ensure the intended performance, taking account of their training and knowledge. This information should be easily understood.	Yes	The information supplied with the device complies with the labelling requirements specified under Appendix 3 of Guidance Notes GN-01. In particular, symbols from ISO 15223:2000 and IEC / TR 60878:2003 are used wherever applicable.	Labels and instructions for use enclosed under index (C3) of the submission folder
17.	Performance evaluation including, where appropriate, clinical evaluation			
17.1	All data generated in support of performance evaluation should be obtained in accordance with the relevant requirements applicable in the countries where the data are gathered.	No	Not applicable	Not applicable
17.2	Clinical investigations on human subjects should be carried out in accordance with the spirit of the Helsinki Declaration. This includes every step in the clinical investigation from first consideration of the need and justification of the study to publication of the results.	No	Not applicable	Not applicable

I confirm that I have neither amended the wording in this form, nor otherwise altered the form in any material manner, apart from filling in the blanks.

I declare that the information provided in this form is accurate and correct and the device conforms to all the applicable requirements stipulated above.

Signature: _____
Name: CHAN TAI-MAN
Position: GENERAL MANAGER
The Applicant (Local Responsible Person): CARDIO SUPPLIES LTD
Date: 11 July 2005