

# FDA Update

FDA-Industry IVD Roundtable Meeting  
November 29, 2017

**Elizabeth Hillebrenner, M.S.E.**

Associate Director for Programs and Performance

Office of In Vitro Diagnostics and Radiological Health (OIR)

# Overview



- Organizational changes
- Implementation of Recent Legislation
  - 21<sup>st</sup> Century Cures
  - FDARA and MDUFA IV
- Least Burdensome
- CLIA Waiver Program
- Recent Authorizations

# Alberto Gutierrez, PhD

FDA

genomeweb

Business & Policy Technology Research

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**Retired September 2017  
after 25 years of service at FDA**

## Gutierrez Leaving FDA After Leading Dx Regulatory Efforts During Precision Medicine Revolution

Aug 29, 2017 | Turna Ray

*This article has been updated to correct Don St. Pierre's title. He is currently deputy director in the Office of In Vitro Diagnostics and Radiological Health, not associate director.*

NEW YORK – Alberto Gutierrez, director of the US Food and Drug Administration's Office of In Vitro Diagnostics and Radiological Health, is leaving the agency after 25 years of public service.

Gutierrez joined the agency in 1992 as a researcher at the FDA's Center for Biologics Evaluation and Research working on methods of determining the purity and structure of vaccine components, and eventually became director of OIVD within FDA's device center in 2009. He will retire from the FDA at the end of September to explore other opportunities in the healthcare sector, but hasn't yet decided what his next steps will be.



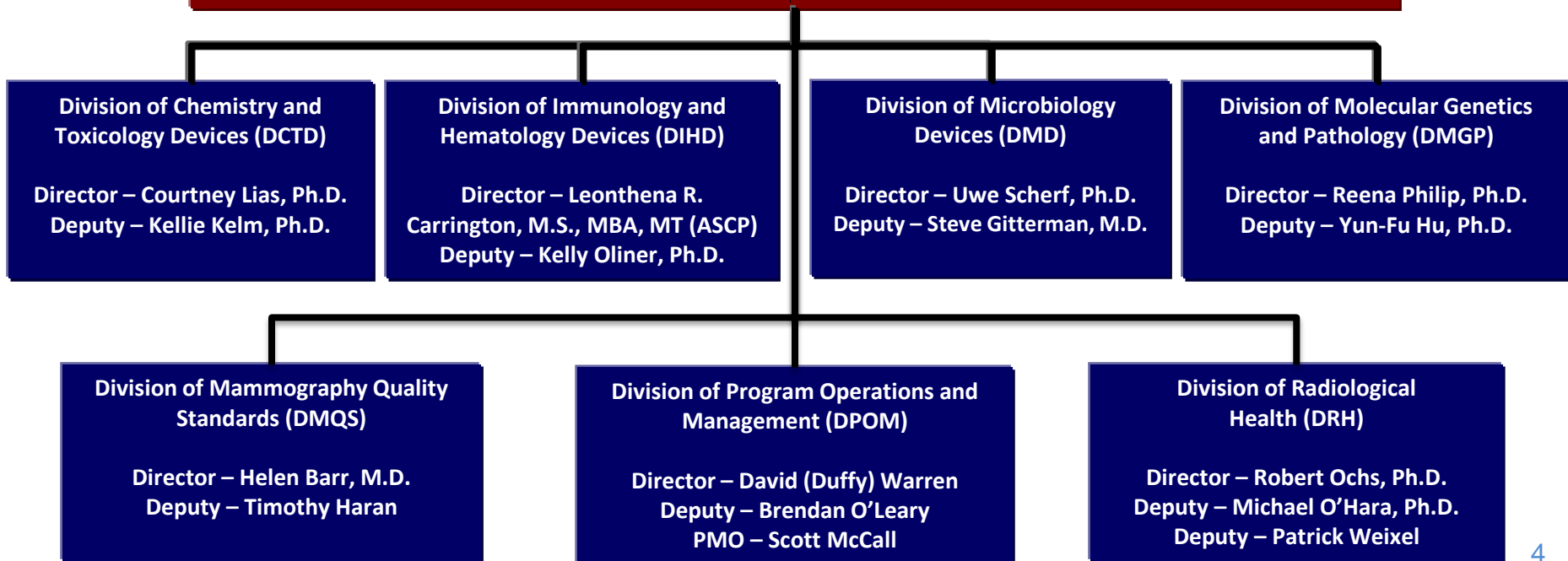
*Alberto Gutierrez; credit, Michael Ermarth, FDA*

<https://www.genomeweb.com/molecular-diagnostics/gutierrez-leaving-fda-after-leading-dx-regulatory-efforts-during-precision>

# Office of In Vitro Diagnostics and Radiological Health (OIR)



**Director – Donald St. Pierre (Acting)**  
**Deputy Director, New Product Evaluation – Donald St. Pierre**  
**Deputy Director, Patient Safety and Product Quality – Patrick Weixel (Acting)**  
**Deputy Director, Personalized Medicine – Donald St. Pierre (Acting)**  
**Deputy Director, Radiological Health – Robert Ochs (Acting)**  
**Associate Director for Programs and Performance – Elizabeth Hillebrenner**  
**Chief Medical Officer – Robert L. Becker, Jr., M.D.**  
**Chief Medical Officer for Radiological Health – Donald L. Miller, M.D.**



# Overview



- Organizational changes
- **Implementation of Recent Legislation**
  - **21<sup>st</sup> Century Cures**
  - **FDARA and MDUFA IV**
- Least Burdensome
- CLIA Waiver Program
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# 21<sup>st</sup> Century Cures

## One Hundred Fourteenth Congress of the United States of America

AT THE SECOND SESSION

*Begun and held at the City of Washington on Monday,  
the fourth day of January, two thousand and sixteen*

### An Act

To accelerate the discovery, development, and delivery of 21st century cures, and  
for other purposes.

*Be it enacted by the Senate and House of Representatives of  
the United States of America in Congress assembled,*

SECTION 1. SHORT TITLE; TABLE OF CONTENTS.

(a) SHORT TITLE.—This Act may be cited as the “21st Century Cures Act”.

(b) TABLE OF CONTENTS.—The table of contents for this Act is as follows:

- 1 § 3051: Breakthrough devices
- 2 § 3052: Humanitarian device exemption
- 3 § 3053: Recognition of standards
- 4 § 3054: Certain class I and class II devices
- 5 § 3055: Classification panels
- 6 § 3056: Institutional review board flexibility
- 7 § 3057: CLIA waiver improvements
- 8 § 3058: Least burdensome device review
- 9 § 3059: Cleaning instructions and validation data
- 10 § 3060: Clarifying medical software regulation

# FDA Reauthorization Act

## One Hundred Fifteenth Congress of the United States of America

### AT THE FIRST SESSION

*Begun and held at the City of Washington on Tuesday,  
the third day of January, two thousand and seventeen*

## An Act

To amend the Federal Food, Drug, and Cosmetic Act to revise and extend the user-fee programs for prescription drugs, medical devices, generic drugs, and biosimilar biological products, and for other purposes.

*Be it enacted by the Senate and House of Representatives of  
the United States of America in Congress assembled,*

### SECTION 1. SHORT TITLE.

This Act may be cited as the “FDA Reauthorization Act of 2017”.

### SEC. 2. TABLE OF CONTENTS.

The table of contents for this Act is as follows:

## MDUFA PERFORMANCE GOALS AND PROCEDURES, FISCAL YEARS 2018 THROUGH 2022

### General

The performance goals and procedures agreed to by the Center for Devices and Radiological Health (CDRH) and the Center for Biologics Evaluation and Research (CBER) of the United States Food and Drug Administration (“FDA” or “the Agency”) for the medical device user fee program in the Medical Device User Fee Amendments of 2017, are summarized below.

FDA and the industry are committed to protecting and promoting public health by providing timely access to safe and effective medical devices. Nothing in this letter precludes the Agency from protecting the public health by exercising its authority to provide a reasonable assurance of the safety and effectiveness of medical devices. Both FDA and the industry are committed to the spirit and intent of the goals described in this letter.

### I. Shared Outcome Goals

The program and initiatives outlined in this document are predicated on significant interaction between the Agency and applicants. FDA and representatives of the industry agree that the process improvements outlined in this letter, when implemented by all parties as intended, should reduce the average Total Time to Decision for PMA applications and 510(k) submissions, provided that the total funding of the device review program adheres to the assumptions underlying this agreement. FDA and applicants share the responsibility for achieving this objective of reducing the average Total Time to Decision, while maintaining standards for safety and effectiveness. Success of this program will require the cooperation and dedicated efforts of FDA and applicants to reduce their respective portions of the total time to decision.

FDA will be reporting total time performance quarterly as described in Section VI. FDA and industry will participate in the independent assessment of progress toward this outcome, as described in Section V below. As appropriate, key findings and recommendations from this assessment will be implemented by FDA.

### A. PMA

FDA will report on an annual basis the average Total Time to Decision as defined in Section VII.H for the three most recent closed receipt cohorts.

# New and Revised Guidances for

FDA

## MDUFA IV

*Contains Nonbinding Recommendations*

### Developing and Responding to Deficiencies in Accordance with the Least Burdensome Provisions

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on September 29, 2017.

Document originally issued on November 2, 2000

For questions about this document regarding CDHR-regulated devices, contact the Office of Device Evaluation, Program Operations Staff (POS) at 301-796-5560.

For questions about Communication,

*Contains Nonbinding Recommendations*

### User Fees and Refunds for Premarket Notification Submissions (510(k)s)

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

Document originally issued on May 28, 2004.

This document supersedes "User Fees and Refunds for Premarket Notification Submissions (510(k)s)" issued on April 2, 2013.

For questions regarding submissions to the Center for Devices and Radiological Health (CDRH), contact the Premarket Notification (510(k)) Staff at 301-796-5640.

For questions about this document regarding CBER-regulated devices, contact the Office of Communication, Outreach and Development (OCOD) at 1-800-835-4709 or 240-402-8010.

*Contains Nonbinding Recommendations*

### Requests for Feedback on Medical Device Submissions: The Pre-Submission Program and Meetings with Food and Drug Administration Staff

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on September 29, 2017

Document originally issued on February 18, 2014

For questions regarding this document, contact the CDHR Program Operations Staff (POS) at 301-796-5640. For questions regarding submissions to the Center for Biologics Evaluation and Research (CBER), contact CBER's Office of Communication, Outreach and Development at 1-800-835-4709 or 240-402-8010.

U.S. Department of Health and Human Services  
Food and Drug Administration

Center for Devices and Radiological Health  
Center for Biologics Evaluation and Research

FDA U.S. FOOD & DRUG  
ADMINISTRATION

*Contains Nonbinding Recommendations*

### Administrative Procedures for CLIA Categorization

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

This document supersedes the Administrative Procedures categorization guidance issued on March 12, 2014.

document or sponsor, and a person unless it displays a currently valid OMB control number. The OMB control number for this information collection is 0910-0705 (expires 5/31/2018).

document in Section IV of the document, contact Peter T. or contact the Office of

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*Contains Nonbinding Recommendations*

### User Fees and Refunds for De Novo Classification Requests

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

*Contains Nonbinding Recommendations*

### FDA and Industry Actions on De Novo Classification Requests: Effect on FDA Review Clock and Goals

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

For questions about this document, contact CDHR's Division of Industry and Consumer Affairs (DICA) at 301-796-5640 or 240-402-8010.

*Contains Nonbinding Recommendations*

### FDA and Industry Actions on Premarket Notification (510(k)) Submissions: Effect on FDA Review Clock and Goals

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

Document originally issued on May 21, 2004.

This document supersedes "FDA and Industry Actions on Premarket Notification (510(k)) Submissions: Effect on FDA Review Clock and Goals" issued October 15, 2012.

For questions about this document regarding CDHR-regulated devices, contact the 510(k) Program at (301) 796-5640, or by email to [510k\\_program@fda.hhs.gov](mailto:510k_program@fda.hhs.gov).

For questions about this document regarding CBER-regulated devices, contact the Office of Communication, Outreach and Development (OCOD) at 1-800-835-4709 or 240-402-8010.

FDA U.S. FOOD & DRUG  
ADMINISTRATION

U.S. Department of Health and Human Services  
Food and Drug Administration  
Center for Devices and Radiological Health  
Center for Biologics Evaluation and Research

Division of Industry and Consumer Affairs (DICA) at 301-796-5640 or 240-402-8010.

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### FDA and Industry Actions on Premarket Approval Applications (PMAs): Effect on FDA Review Clock and Goals

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

Document originally issued on October 8, 2003.

This document supersedes "FDA and Industry Actions on Premarket Approval Applications (PMAs): Effect on FDA Review Clock and Goals" issued October 15, 2012.

For questions about this document regarding CDHR-regulated devices, contact the Premarket Approval Staff at 301-796-5640.

*Contains Nonbinding Recommendations*

### User Fees and Refunds for Premarket Approval Applications and Device Biologics License Applications

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

*Contains Nonbinding Recommendations*

### User Fees for 513(g) Requests for Information

#### Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

Document originally issued on April 6, 2012.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this information collection is 0910-0705 (expires 5/31/2018). See additional PRA statement in Section III of this guidance.

For questions for the Center for Devices and Radiological Health regarding this document contact the Premarket Notification (510(k)) Section at 301-796-5640.

For questions for the Center for Biologics Evaluation and Research regarding this document contact the Office of Communication, Outreach and Development at 1-800-835-4709 or 240-402-8010.

FDA U.S. FOOD & DRUG  
ADMINISTRATION

U.S. Department of Health and Human Services  
Food and Drug Administration  
Center for Devices and Radiological Health  
Center for Biologics Evaluation and Research

Division of Industry and Consumer Affairs (DICA) at 301-796-5640 or 240-402-8010.

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# New and Revised Guidances for MDUFA IV



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For questions about this document regarding CBER-regulated devices, contact the Office of Communication, Outreach, and Development (OCOD) at 1-800-835-4709 or 240-402-8010.

 **U.S. FOOD & DRUG ADMINISTRATION**


U.S. Department of Health and Human Services  
Food and Drug Administration  
Center for Devices and Radiological Health

*Contains Nonbinding Recommendations*

## User Fees and Refunds for De Novo Classification Requests Guidance for Industry and Food and Drug Administration Staff

Document issued on October 2, 2017.

For questions about this document, contact CDRH's Division of Industry and Consumer Education (DICE) at 1-800-638-2041, 301-796-7100, or [DICE@fda.hhs.gov](mailto:DICE@fda.hhs.gov), or CBER's Office of Communication, Outreach and Development at 1-800-835-4709, 240-402-8010 or [ocod@fda.hhs.gov](mailto:ocod@fda.hhs.gov).

 **U.S. FOOD & DRUG ADMINISTRATION**

U.S. Department of Health and Human Services  
Food and Drug Administration  
Center for Devices and Radiological Health  
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An agency may not conduct or sponsor, and a person may not participate in, a collection of information unless it displays a current OMB control number for this information (0154-0047-0181-0199).

See additional PRA statement in Section IV of the document.

For questions about this document, contact Peter T. Johnson at [peterjohnson@fda.hhs.gov](mailto:peterjohnson@fda.hhs.gov), or contact the Office of Regulatory Affairs at 301-796-5711.



U.S.

Office of Regulatory Affairs

*Contains Nonbinding Recommendations*

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U.S. Department of Health and Human Services  
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U.S. Department of Health and Human Services  
Food and Drug Administration  
Center for Devices and Radiological Health  
Center for Biologics Evaluation and Research

# MDUFA IV Performance Goals



In FDA days from receipt of accepted submission, unless otherwise noted

Pre-Submissions	Acceptance	Scheduling	Missed Scheduling	Written Feedback	Meeting
Pre-Submissions (No Meeting)	15	-	-	70	-
Pre-Submissions (Meeting)	15	30	40	5 prior to meeting, NLT 70	2 options NLT 75

Marketing Submissions	Acceptance	Filing	Substantive Interaction	Decision	Missed Decision
510(k)s	15	-	60	90	100
De Novos	-	-	-	150	180
Original PMAs + Panel Track Supplements (No Panel)	15	45	90	180	200
Original PMAs + Panel Track Supplements (Panel)	15	45	90	320	340
Response to PMA Approvable	-	-	-	60	-
180 Day PMA Supplements	-	-	90	180	-
Real Time PMA Supplements	-	-	-	90	-

CLIA Submissions	Acceptance	Filing	Substantive Interaction	Decision	Missed Decision
CLIA Waiver by Applications (No Panel)	-	-	90	150	170
CLIA Waiver by Applications (Panel)	-	-	90	320	340
Dual 510(k) & CLIA Waiver by Applications (No Panel)	15	-	90	180	200
Dual 510(k) & CLIA Waiver by Applications (Panel)	15	-	90	320	340

*Refer to Commitment Letter for percent of submissions from each year that should meet each milestone*

# MDUFA IV Performance Goals



In FDA days from receipt of accepted submission, unless otherwise noted

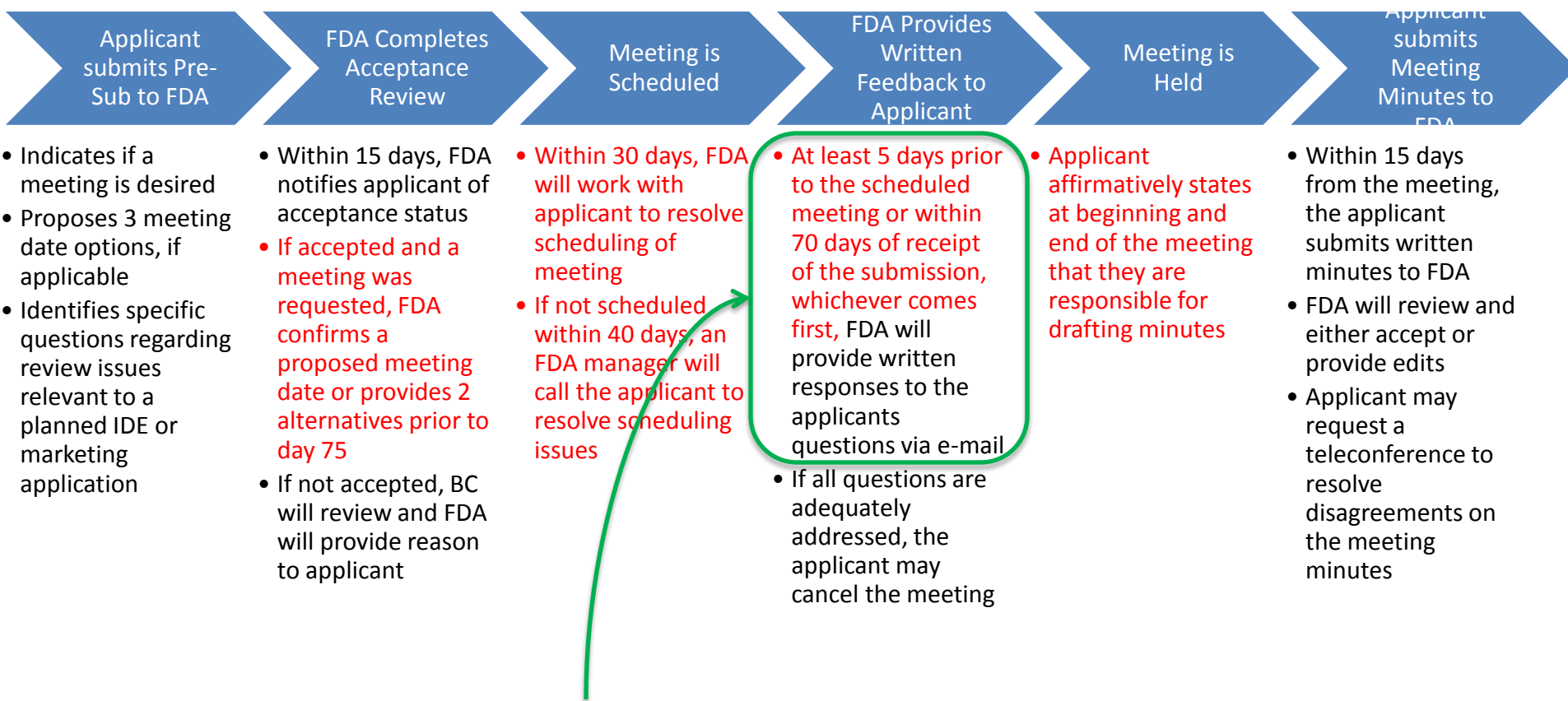
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Pre-Submissions (No Meeting)	15	-	-	70	-
Pre-Submissions (Meeting)	15	30	40	5 prior to meeting, NLT 70	2 options NLT 75

Marketing Submissions	Acceptance	Filing	Substantive Interaction	Decision	Missed Decision
510(k)s	15	-	60	90	100
De Novos	-	-	-	150	180
Original PMAs + Panel Track Supplements (No Panel)	15	45	90	180	200
Original PMAs + Panel Track Supplements (Panel)	15	45	90	320, 60 from meeting	340
Response to PMA Approvable	-	-	-	60	-
180 Day PMA Supplements	-	-	90	180	-
Real Time PMA Supplements	-	-	-	90	-

CLIA Submissions	Acceptance	Filing	Substantive Interaction	Decision	Missed Decision
CLIA Waiver by Applications (No Panel)	-	-	90	150	170
CLIA Waiver by Applications (Panel)	-	-	90	320	340
Dual 510(k) & CLIA Waiver by Applications (No Panel)	15	-	90	180	200
Dual 510(k) & CLIA Waiver by Applications (Panel)	15	-	90	320	340

*Refer to Commitment Letter for percent of submissions from each year that should meet each milestone*

# MIV Pre-Sub Process



**Performance  
Goal**

# Overview



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- **Least Burdensome**
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- Recent Authorizations

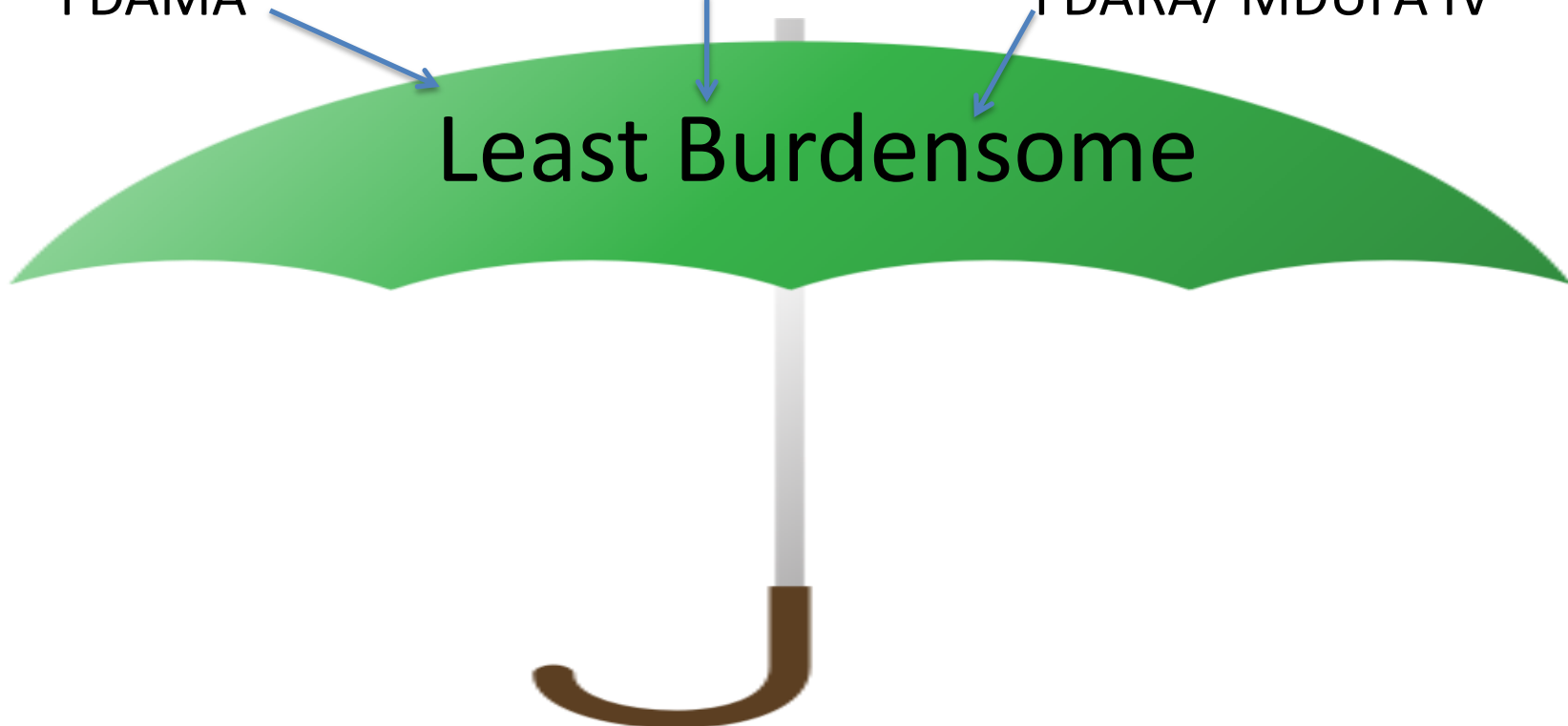
FDAMA

21<sup>st</sup> Century Cures

FDARA/ MDUFA IV



Least Burdensome



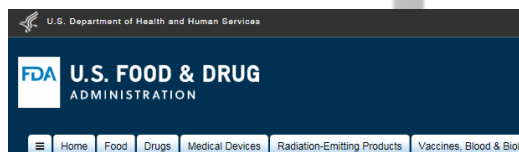
FDAMA

21<sup>st</sup> Century Cures

FDARA/ MDUFA IV



Least Burdensome



#### News & Events

Home > News & Events > Newsroom > Press Announcements

#### FDA News Release

### FDA allows marketing of first direct-to-consumer tests that provide genetic risk information for certain conditions

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For Immediate Release

April 6, 2017

Release

[Español](#)

The U.S. Food and Drug Administration today allowed marketing of 23andMe Personal Genome Service Genetic Health Risk (GHR) tests for 10 diseases or conditions. These are the first direct-to-consumer (DTC) tests authorized by the FDA that provide information on an individual's genetic predisposition to certain medical diseases or conditions, which may help to make decisions about lifestyle choices or to inform discussions with a health care professional.

"Consumers can now have direct access to certain genetic risk information," said Jeffrey Shuren, M.D., director of the FDA's Center for Devices and Radiological Health. "But it is important that people understand that genetic risk is just one piece of the bigger puzzle, it does not mean they will or won't ultimately develop a disease."

regulations.gov

Your Voice in Federal Decision-Making



Medical Devices: Exemptions From Premarket Notification: Class II Devices: Request for Comments

This Notice document was issued by the Food and Drug Admin

For related information, [Open Docket Folder](#)

#### Action

Notice; request for comments.

#### Summary

The Food and Drug Administration (FDA or Agency) has identified a list of class II devices that, when finalized, will be exempt from premarket notification requirements. FDA is publishing this notice of that determination and requesting public comment in accordance with procedures established by the 21st Century Cures Act. This final determination with respect to the class II devices included in this document. FDA will review any comments submitted within the 60-day comment period and the devices should be modified prior to publication of its final determination in the Federal Register.

#### Dates

Exemptions from  
premarket review for ~200  
Class 1 and 2 IVD Procodes

#### Inquiries

##### Media

[Tara Goodin](#)  
240-402-3157

##### Consumers

888-INFO-FDA

#### Related Information

- FDA: Medical Devices
- FDA: Office of In Vitro Diagnostics and Radiological Health
- NIH: Direct-to-Consumer Genetic Testing
- NIH: Genetic Predisposition to Disease

#### Follow FDA

[Follow @US\\_FDA](#)

[Follow FDA](#)

FDAMA

21<sup>st</sup> Century Cures

FDARA/ MDUFA IV



# Least Burdensome

Developing and Responding to  
Deficiencies in Accordance with  
the Least Burdensome Provisions

Guidance for Industry and

Food

Deciding When to Submit a 510(k) for  
a Change to an Existing Device

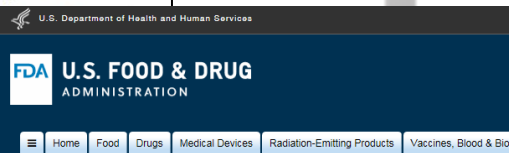
Guidance for Industry  
Food and Drug Administration

Document issued on October 25,

This document supersedes *Deciding When to Submit  
an Existing Device*, dated January

For questions about this document regarding CDRH-regulated de  
301-796-5640.

For questions about this document regarding CBER-regulated de  
Communication, Outreach, and Development (OCOD) at 1-800-1



## News & Events

Home > News & Events > Newsroom > Press Announcements

### FDA News Release

**FDA allows marketing of first direct-to-consumer  
tests that provide genetic risk information for  
certain conditions**

f SHARE TWEET LINKEDIN PIN IT EMAIL PRINT

U.S. Department of Food  
& Drug Administration



Center for Devices and Radiological  
Center for Biological Products

For Immediate  
Release

April 6, 2017

Release

regulations.gov

Your Voice in Federal Decision-Making



Medical Devices: Exemptions From Premarket Notification: Class II Devices: Request for Comments

This Notice document was issued by the Food and Drug Admin

For related information, [Open Docket Folder](#)

## Action

Notice; request for comments.

## Summary

The Food and Drug Administration (FDA or Agency) has identified a list of class II devices that, when finalized, will be exempt from premarket notification requirements. FDA is publishing this notice of that determination and requesting public comment in accordance with procedures established by the 21st Century Cures Act. This final determination with respect to the class II devices included in this document. FDA will review any comments submitted within the 60-day comment period and the devices should be modified prior to publication of its final determination in the Federal Register.

## Dates

## Inquiries

### Media

Tara Goodin  
240-402-3157

### Consumers

888-INFO-FDA

## Related Information

- FDA: Medical Devices
- FDA: Office of In Vitro Diagnostics and Radiological Health
- NIH: Direct-to-Consumer Genetic Testing
- NIH: Genetic Predisposition to Disease

## Follow FDA

Follow @US\_FDA  
Follow FDA

Exemptions from  
premarket review for ~200  
Class 1 and 2 IVD Procodes

Coming soon:

- new RR guidance

The U.S. Food and Drug Administration today allowed marketing of 23andMe Personal Genome Service Genetic Health Risk (GHR) tests for 10 diseases or conditions. These are the first direct-to-consumer (DTC) tests authorized by the FDA that provide information on an individual's genetic predisposition to certain medical diseases or conditions, which may help to make decisions about lifestyle choices or to inform discussions with a health care professional.

"Consumers can now have direct access to certain genetic risk information," said Jeffrey Shuren, M.D., director of the FDA's Center for Devices and Radiological Health. "But it is important that people understand that genetic risk is just one piece of the bigger puzzle, it does not mean they will or won't ultimately develop a disease."

FDAMA

21<sup>st</sup> Century Cures

FDARA/ MDUFA IV



Least Burdensome

Developing and Responding to  
Deficiencies in Accordance with  
the Least Burdensome Provisions

Guidance for Industry and

Food

Deciding When to Submit a 510(k) for  
a Change to an Existing Device

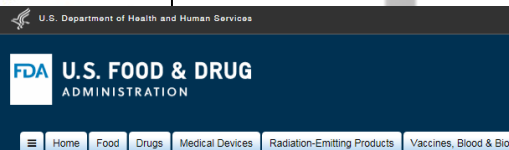
Guidance for Industry  
Food and Drug Administration

Document issued on October 25,

This document supersedes *Deciding When to Submit  
an Existing Device*, dated January

For questions about this document regarding CDRH-regulated de  
301-796-5640.

For questions about this document regarding CBER-regulated de  
Communication, Outreach, and Development (OCOD) at 1-800-1



News & Events

Home > News & Events > Newsroom > Press Announcements

FDA News Release

**FDA allows marketing of first direct-to-consumer  
tests that provide genetic risk information for  
certain conditions**

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U.S. Department of Food



Center for Device  
Center for Biologics

For Immediate  
Release

April 6, 2017

Release

regulations.gov

Your Voice in Federal Decision-Making

N Medical Devices: Exemptions From Premarket Notification: Class II Devices: Request for Comments

This Notice document was issued by the Food and Drug Admin

For related information, [Open Docket Folder](#)

Action

Notice; request for comments.

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# Overview



- Organizational changes
- Implementation of Recent Legislation
  - 21<sup>st</sup> Century Cures
  - FDARA and MDUFA IV
- Least Burdensome
- **CLIA Waiver Program**
- Recent Authorizations

# CLIA Waiver Program

- MDUFA IV Performance Goals
  - Shorter times to decision
  - Missed MDUFA decision process
- Central Program Oversight
- Additional Guidance
  - Draft update to Section V. of CLIA Waiver by Application Guidance
  - Draft guidance on Dual 510(k) and CLIA Waiver by Application
- CLIA Waiver Decision Summaries Pilot

# CW Draft Guidances are Available for Comment

*Contains Nonbinding Recommendations*

*Draft – Not for Implementation*

## Select Updates for Recommendations for Clinical Laboratory Improvement Amendments of 1988 (CLIA) Waiver Applications for Manufacturers of In Vitro Diagnostic Devices

### Draft Guidance for Industry and Food and Drug Administration Staff

**DRAFT GUIDANCE**

This draft guidance document is being distributed for comment purposes only.  
Document issued on November 29, 2017.

You should submit comments and suggestions regarding this draft document within 60 days of

*Contains Nonbinding Recommendations*

*Draft – Not for Implementation*

## Recommendations for Dual 510(k) and CLIA Waiver by Application Studies

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Document issued on November 29, 2017.

You should submit comments and suggestions regarding this draft document within 60 days of publication in the *Federal Register* of the notice announcing the availability of the draft guidance. Submit electronic comments to <http://www.regulations.gov>. Submit written comments to the Dockets Management Staff (HFA-305), Food and Drug Administration, 5630

[Federal Register Notice - Draft Sec V](#)

[Federal Register Notice - Draft Dual](#)

- Download drafts from [Recent CDRH Draft Guidance](#)
- [Webinar](#) covering both draft guidances: January 8th, 3-4:30pm
- Comments due by Jan. 28<sup>th</sup>, 2018, <http://www.regulations.gov>

## CDRH Transparency

Overview of CDRH Transparency

CDRH Transparency: Total Product Life Cycle (TPLC)

CDRH Transparency: Premarket Submissions

CDRH Transparency: Postmarket Performance and Safety

CDRH Transparency: Compliance &amp; Enforcement

CDRH Transparency: Science &amp; Research

CDRH Transparency: Educational Resources

CDRH Performance Data

CDRH Transparency Website Feedback Summary

## CLIA Waiver by Application Decision Summaries

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Under the [Clinical Laboratory Improvement Amendments \(CLIA\)](#), the FDA categorizes in vitro diagnostic (IVD) tests by their degree of complexity: waived, moderate complexity, and high complexity.

Tests that are waived by regulation under 42 CFR 493.15(c), or cleared or approved for home use or for over-the-counter use, are automatically categorized as waived following clearance or approval. Otherwise, following clearance or approval, tests may be categorized either as moderate or high complexity according to the CLIA [categorization criteria](#) listed in 42 CFR 493.17.

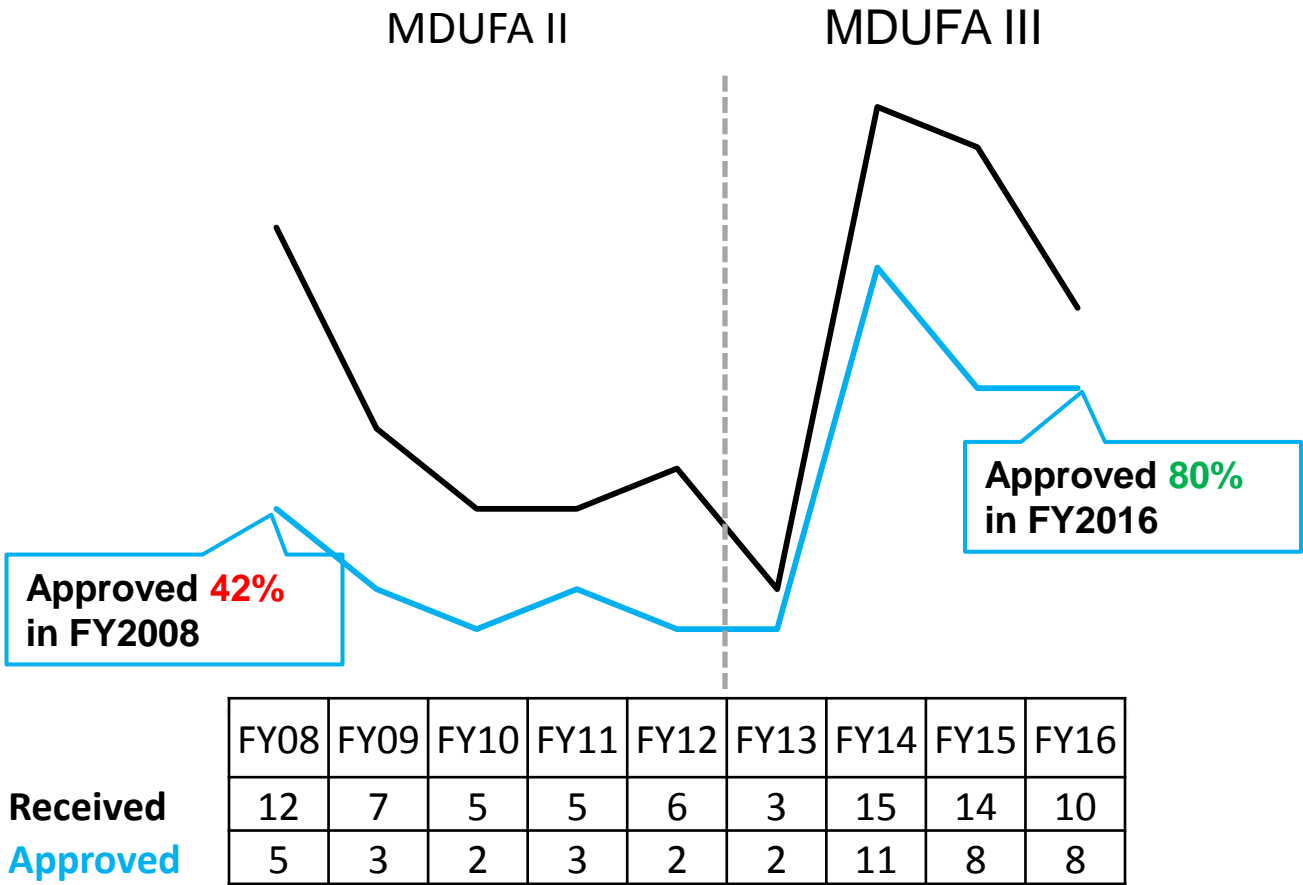
A manufacturer of a test categorized as moderate complexity may request categorization of the test as waived through a [CLIA Waiver by Application \(CW\)](#) submission to FDA. In a CW, the manufacturer provides evidence to FDA that a test meets the CLIA statutory criteria for waiver, 42 U.S.C. § 263a(d)(3).

To increase transparency into FDA's decision-making processes, the FDA is piloting the release of CLIA Waiver by Application (CW) Approval Determination Decision Summaries. Each Decision Summary contains a review of the data submitted by an applicant to support the determination that a test system meets CLIA statutory criteria for waiver, and FDA's justification in approving the CW application. CLIA Waiver Decision Summaries will allow the public to learn how the FDA reviewed an applicant's data to make a CW approval determination and provide information that is useful for manufacturers preparing future CW applications. For example, Decision Summaries allow manufacturers to see what types of flex studies and clinical studies other applicants conducted so that they may conduct similar studies.

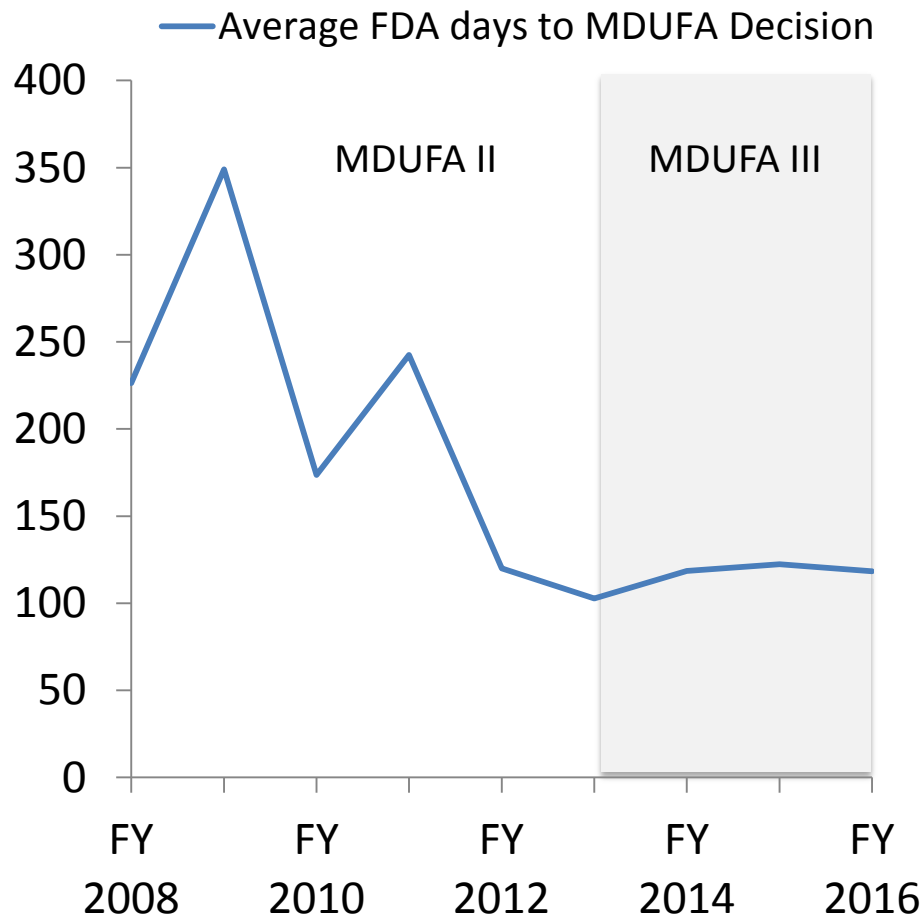
During this pilot, CW Decision Summaries will be posted below as they become available. For questions or comments about the CW Decision Summary Pilot, please contact [CLIA@fda.hhs.gov](mailto:CLIA@fda.hhs.gov).

Test System Name	Document Number	FDA Review Decision Summary	Effective Date (DD/MM/YYYY)
Quidel Sofia 2 (Sofia RSV FIA)	CW170001	<a href="#">CW170001.pdf Decision Summary</a>	06/28/2017
Quidel Sofia 2 (Sofia Influenza A+B FIA)	CW160016	<a href="#">CW160016.pdf Decision Summary</a>	05/30/2017

# The CLIA Waiver Program is Improving



# Average Review Times for CWs Have Dropped Dramatically Since 2008



- Process improvements and performance goals in MDUFA III lead to more efficient CW reviews
- Additional CW resources provided by MDUFA IV will allow FDA to reach faster performance goals and make additional CW program improvements

# Overview



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  - 21<sup>st</sup> Century Cures
  - FDARA and MDUFA IV
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- CLIA Waiver Program
- **Recent Authorizations**

# CLIA Waivers by Application

- Sysmex XW-100 Automated Hematology Analyzer
  - 1st CLIA waived complete blood count (CBC) analyzer
- Alere BinaxNOW Influenza A & B Card 2 with Reader
- Quidel Sofia 2 (Sofia RSV FIA)
- Quidel Sofia 2 (Sofia Influenza A+B FIA)
- Acon Labs Mission U120 Urine Chemistry Test System  
(Microalbumin/Creatinine)

# Sysmex XW-100

- 1st CLIA waived complete blood count (CBC) analyzer
  - Measures 12 hematology parameters including 3-part WBC differential
  - Software modifications support waived use (e.g., reduced number of parameters reported vs. POC model, simplified flagging)
  - Cleared and CLIA Waived through the Dual Submission pathway



Image: [http://pages.sysmex.com/XW-100\\_Waived\\_CBC\\_landing.html](http://pages.sysmex.com/XW-100_Waived_CBC_landing.html)

# 2008/2009 Advisory Panel Concerns Were Systematically Mitigated



## Selected Examples:

Panel Concern w/ HemoCue WBC System	Sysmex XW-100 Mitigation
Affected by interferences such as Nucleated Red Blood Cells (NRBCs) so that erroneous results may be produced	Comprehensive sample challenge data demonstrated the XW-100 appropriately suppressed results and the presence of potentially interfering substances did not result in the reporting of erroneous results
No external control provided	External control provided and must be run every 8 hrs and pass or lockout activated

- Additional details will be available in the K172604 and CW170012 Decision Summaries

# De Novo Classifications

- FilmArray Respiratory Panel 2 plus (RP2plus)
- MSK-IMPACT
- Lynch Syndrome Test System
- ID-FISH Plasmodium Genus Test Kit, ID-FISH Plasmodium falciparum and P. vivax Combo Test Kit
- Philips IntelliSite Pathology Solution (PIPS)
- 23andMe Personal Genome Service (PGS) Genetic Health Risk Test
- ClearLLab Reagents (T1, T2, B1, B2, M)

# MSK-IMPACT



## Intended Use:

The MSK-IMPACT assay is a qualitative in vitro diagnostic test that uses targeted next generation sequencing of formalin-fixed paraffin-embedded tumor tissue matched with normal specimens from patients with solid malignant neoplasms to detect tumor gene alterations in a broad multi gene panel. The test is intended to provide information on somatic mutations (point mutations and small insertions and deletions) and microsatellite instability for use by qualified health care professionals in accordance with professional guidelines, and is not conclusive or prescriptive for labeled use of any specific therapeutic product. MSK-IMPACT is a single-site assay performed at Memorial Sloan Kettering Cancer Center.

## Press release:

<https://www.fda.gov/NewsEvents/Newsroom/PressAnnouncements/ucm585347.htm>

## Decision Summary:

[https://www.accessdata.fda.gov/cdrh\\_docs/reviews/DEN170058.pdf](https://www.accessdata.fda.gov/cdrh_docs/reviews/DEN170058.pdf)

# Three Tiered Approach for Reporting Biomarkers in Tumor Profiling NGS Tests

## Level 1: Companion Diagnostics

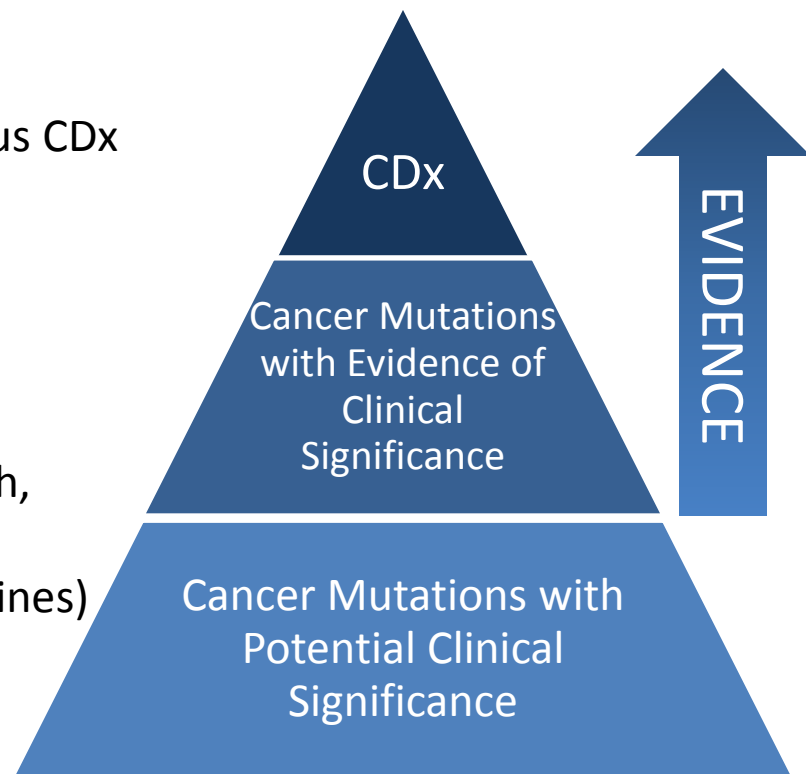
- Claims: prescriptive for a specific therapeutic
- AV: for each specific biomarker
- CV: clinical study or clinical concordance to previous CDx

## Level 2: Cancer Mutations with Evidence of Clinical Significance

- Claims: For use in accordance with professional guidelines
- AV: either per mutation or representative approach, where appropriate
- CV: publicly available clinical evidence (e.g., guidelines)

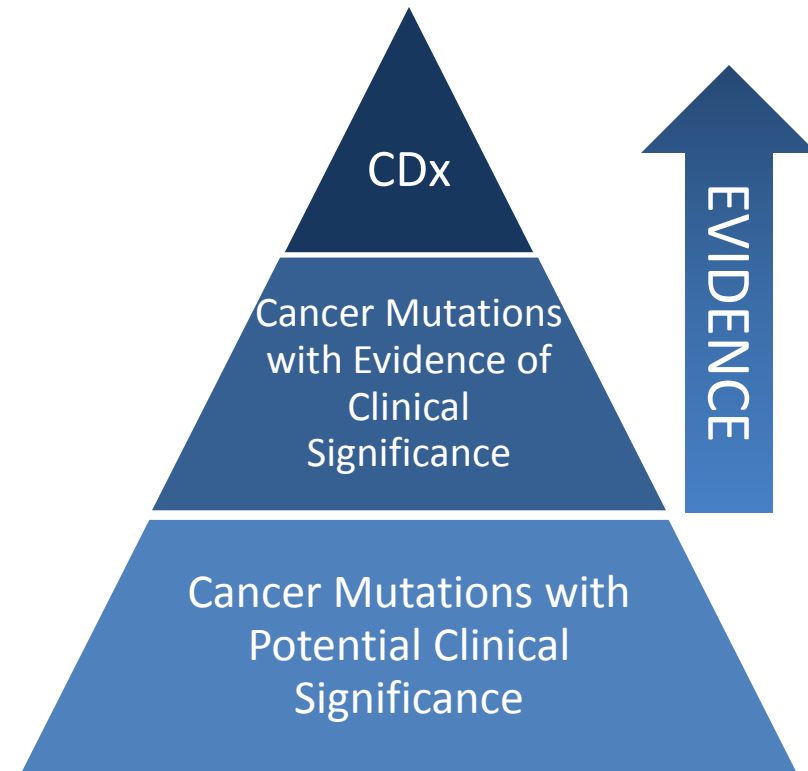
## Level 3: Cancer Mutations with Potential Clinical Significance

- Claims: informational, use for clinical trial enrollment
- AV: representative approach
- CV: clinical or mechanistic rationale for inclusion in panel



# A Fluid Approach to Reporting within Levels 2 and 3

- Clinical evidence regarding mutations accumulates rapidly and may differ based on tumor type.
- Test developers need flexibility in how they report mutations.
- As clinical evidence develops, can move mutations from level 3 to level 2 provided the AV of the test reviewed and established via a submission



## Class II pathway for NGS oncopanels

- Authorization of MSK-IMPACT through the De Novo pathway creates a Class II regulatory pathway for oncopanels that meet the following:
  - Can meet general and special controls described in the authorization
  - Do not make companion diagnostic claims
- Subsequent oncopanels of that type now eligible to use the 510(k) pathway
- Can choose to submit 510(k) to FDA directly or elect to use an accredited FDA third-party reviewer

# Use of Third Party Reviewers

- FDA committed to leveraging a robust third party program for premarket review of IVDs, including LDTs
- 7 accredited third parties for devices, including NYSDOH
  - <https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfthirdparty/accredit.cfm>
- NYSDOH accredited for 145 test types in 5 product areas
- Test developers that want to submit their oncopanels for federal clearance through NYSDOH can request to have their NYSDOH package and review memo forwarded along to FDA
- Following FDA receipt of review package, has 30 days to make a determination

# New IVD specific training for Third Party 510(k) Review Organizations

## Now

- Case studies based on redacted, cleared 510(k) decision memorandum for eligible product codes.
- Hosted on WebEx
- Completed IVD case studies

Magnesium Test	Varicella-Zoster Virus Test
Fibrinogen Test	Vitamin D Test

## Coming Soon

- Studio quality versions
- Accessible on fda.gov
- Broader device-type training
- More device types
- Cross-cutting scientific topics

# PMA<sub>s</sub>

- Freestyle Libre Flash Glucose Monitoring System
- PD-L1 IHC 22C3 pharmDx
- ZEUS ELISA Parvovirus B19 IgM Test System
- ZEUS ELISA Parvovirus B19 IgG Test System
- t:slim X2 Insulin Pump with Dexcom G5 Mobile CGM
- Abbott RealTime IDH2 (somatic gene mutation detection system)
- Praxis Extended RAS Panel (NGS oncology panel, somatic or germline variant detection system)
- Oncomine Dx Target Test (NGS oncology panel, somatic or germline variant detection system)

# Thermo Fisher Oncomine



The Oncomine™ Dx Target Test is a qualitative *in vitro* diagnostic test that uses targeted high throughput, parallel-sequencing technology to detect single nucleotide variants (SNVs) and deletions in 23 genes from DNA and fusions in ROS1 from RNA isolated from formalin-fixed, paraffin-embedded (FFPE) tumor tissue samples from patients with non-small cell lung cancer (NSCLC) using the Ion PGM™ Dx System.

The test is indicated to aid in selecting NSCLC patients for treatment with the targeted therapies listed in Table 1 in accordance with the approved therapeutic product labeling.

*CoDx  
indications  
based on  
clinical data  
with Oncomine  
and Rx*

Table 1 - List of variants for therapeutic use

Gene	Variant	Targeted therapy
BRAF	BRAF V600E	TAFINLAR® (dabrafenib) in combination with MEKINIST® (trametinib)
ROS1	ROS1 fusions	XALKORI® (crizotinib)
EGFR	L858R, Exon 19 deletions	IRESSA® (gefitinib)

Safe and effective use of this test has not been established in tissue types other than NSCLC.

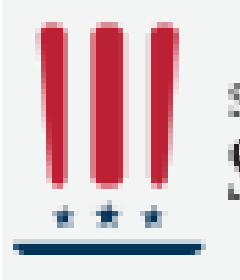
Results other than those listed in Table 1 are indicated for use only in patients who have already been considered for all appropriate therapies (including those listed in Table 1).

Analytical performance using NSCLC specimens has been established for the variants listed in Table 2.

*Not CoDx  
because no  
clinical data  
with Oncomine  
and Rx*

Table 2 - List of variants with established analytical performance only

Gene	Variant ID	Nucleotide change
KRAS	COSM512	c.34_35delGGinsTT
KRAS	COSM516	c.34G>T



# SAMUEL J. HEYMAN SERVICE to AMERICA MEDALS



**COURTNEY LIAS, STAYCE  
BECK** and the FDA Artificial Pancreas Team

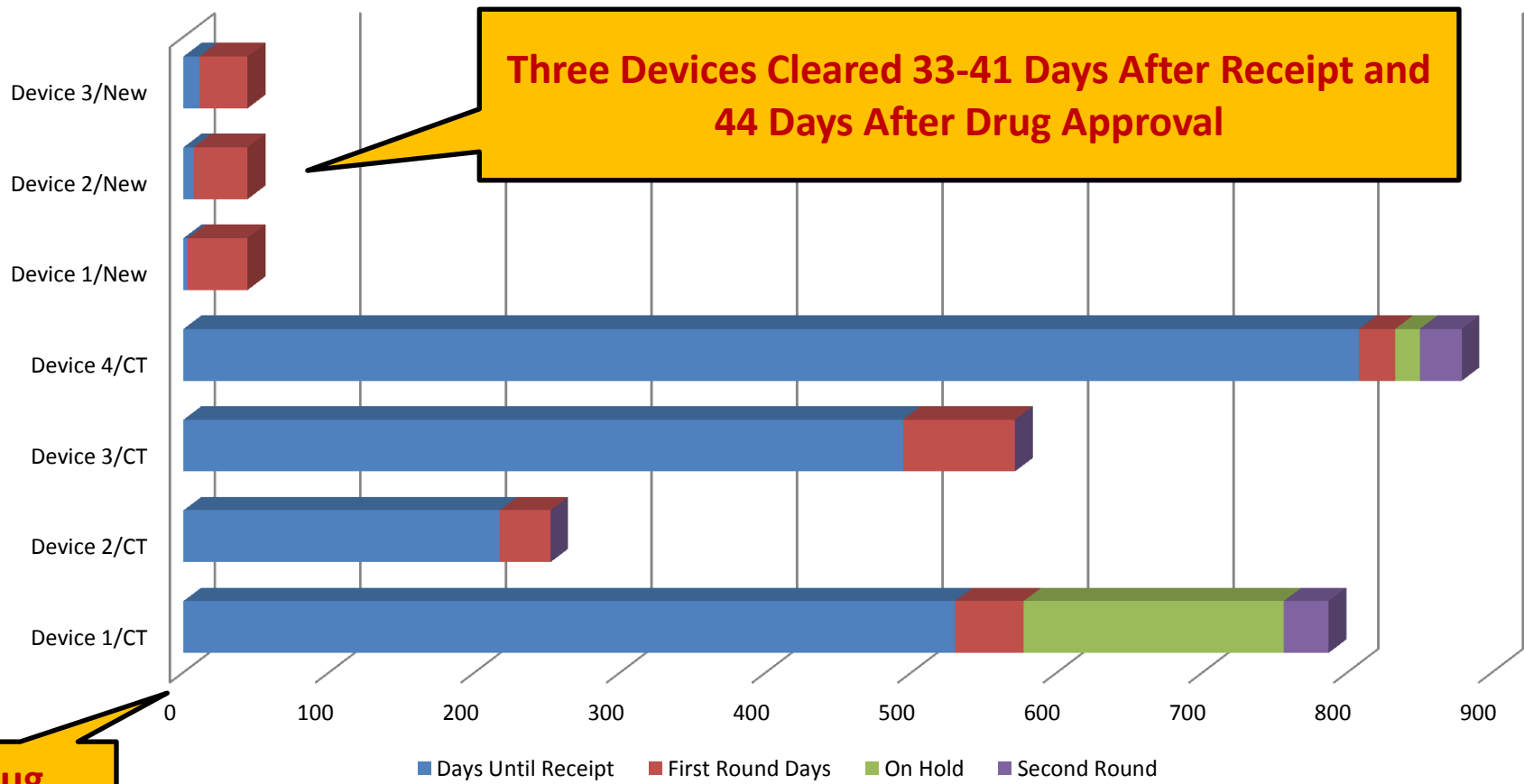
2017 WINNER  
MANAGEMENT EXCELLENCE

# 510(k)s with Novel Features

- XW-100 Automated Hematology Analyzer for CLIA Waived Use
- Embrace MRI System from Aspect Imaging
- LDL-EX “Seiken” from Denka Seiken Co., Ltd.
- GE Healthcare Senograph Pristina
- VIDAS B.R.A.H.M.S. PCT from BioMerieux, Inc.

# AST devices

## Days Until 510(k) Clearance After Drug Approval

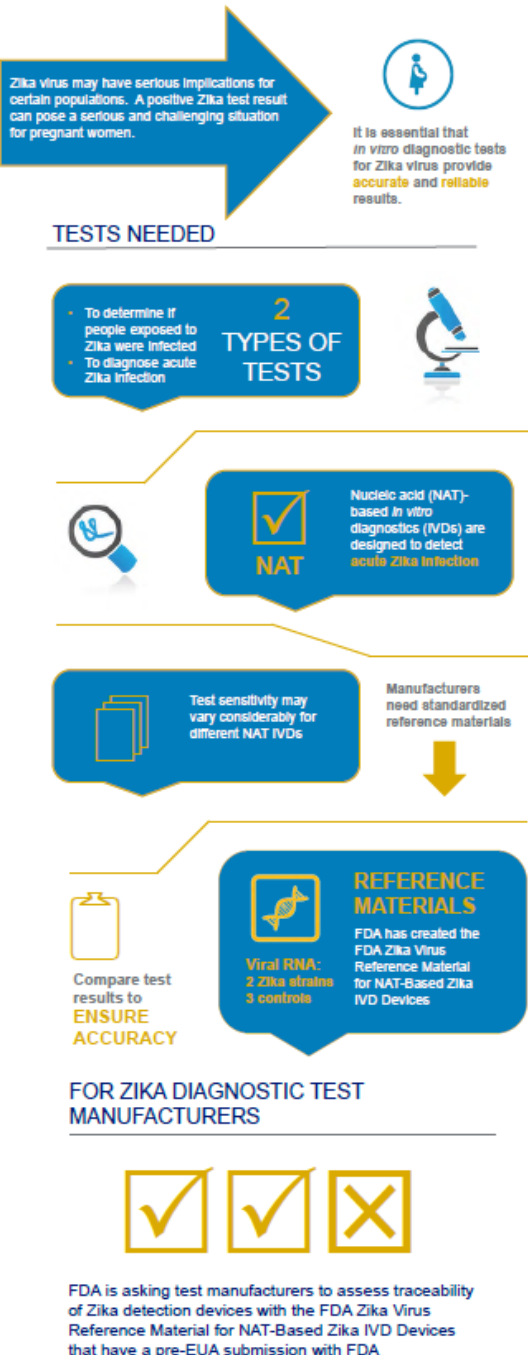


FDA Data On File

**Drug  
Approved**

# Emergency Use Authorizations

- Chembio Diagnostic System, Inc. - DPP Zika IgM Assay System
- Siemens Healthcare Diagnostics Inc. - ADVIA Centaur Zika Test
- Thermo Fisher Scientific - TaqPath Zika Virus Kit (ZIKV)
- Columbia University - CII-ArboViroPlex rRT-PCR Assay



# Combating Zika

- Pre-EUA process for informal consultation with FDA
- Reference materials
  - Commercially available for NAT based tests
  - In July 2017, FDA also made available a panel of human plasma samples to aid in the regulatory evaluation of serological tests to detect recent Zika virus infection
- EUA pathway
  - Secretary's 2/26/2016 Declaration of Emergency
  - Template for review of Zika diagnostics available from [CDRH-ZIKA-Templates@fda.hhs.gov](mailto:CDRH-ZIKA-Templates@fda.hhs.gov)
- 19 EUA approvals for Zika diagnostics to date
- Laboratory personnel using Zika diagnostic assays under EUA are encouraged to report performance concerns directly to FDA at [CDRH-EUA-Reporting@fda.hhs.gov](mailto:CDRH-EUA-Reporting@fda.hhs.gov), in addition to reporting concerns to the manufacturer.
- Laboratories with in-house tests subject to FDA oversight during public health emergencies

Coming Soon



# OIR 2018 Guidance Priorities

- Draft Updates to **Section V of CLIA Waiver** Guidance
- Draft Guidance on **Dual 510(k) and CLIA Waiver** by Applications
- (new) Draft Guidance on **510(k) Third Party Premarket Review** Program
- (new) Draft Guidance on **Replacement Reagents** for Technologically Similar Instruments Policy for In Vitro Diagnostic Devices
- Draft Guidance on **Investigational IVD Devices** Used in Clinical Investigations of Therapeutic Products
- Final Guidance on Considerations for **Design, Development, and Analytical Validation of Next Generation Sequencing (NGS)-Based In Vitro Diagnostics (IVDs)** Used to Aid in the Diagnosis of Suspected Germline Diseases
- Final Guidance on Use of Public Human Genetic Variant **Databases to Support Clinical Validity** for Genetic and Genomic-Based In Vitro Diagnostics
- Final Guidance on Principles for **Codevelopment** of an In Vitro Companion Diagnostic Device with a Therapeutic Product

# Public Meetings & Workshops

- Jan 11, 2018: Self-Collection Devices for Pap Test
- Jan 29, 2018: Variant Classification and Interpretation in Precision Oncology
- March 21-22: Joint CBER/CDRH Advisory Panel Meeting on reclassification of HIV diagnostic assays and HCV diagnostic, viral load, and genotyping assays



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ADMINISTRATION