

# IVDR Conformity Assessment Routes

Notified Body Assessments





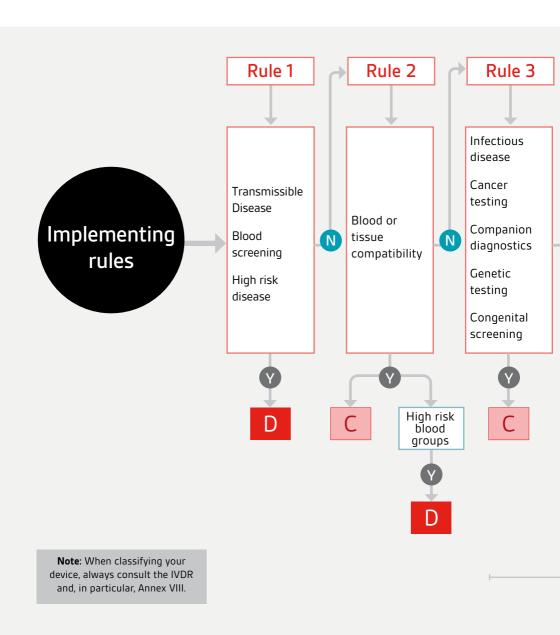
#### Contents

Illustration of the classification rules as per Annex VIII of the IVDR	4
Useful definitions	6
Class A devices (excluding class A sterile)	7
Class A sterile devices	8
Class B devices (excluding self-testing and near-patient testing (NPT) devices)	10
Class B self-testing and NPT devices	12
Class C devices (excluding self-testing, NPT and companion diagnostics (CDx))	14
Class C self-testing and NPT devices	16
Class C companion diagnostic (CDx) devices	18
Class D (excluding CDx), with Common Specification	20
Class D (excluding CDx), with no Common Specification	22
Class D CDx devices	24

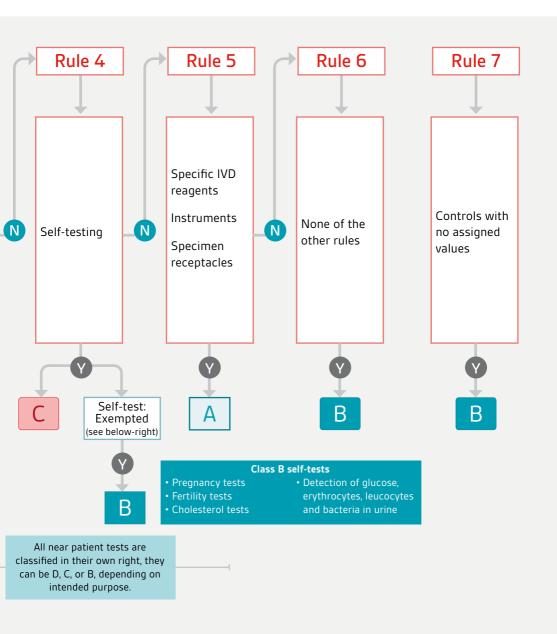
#### Disclaimers:

- The information presented in this brochure is based on our current understanding of the IVDR requirements at the time of publishing and is subject to change
- The tables do not cover assessments under the conformity route of Annex XI (Production Quality Assurance). BSI is not designated to Annex X (Type Examination)
- The Competent Authority may ask for verification testing by the EU Reference Laboratory for devices other than Class D

# Illustration of the Classification rules as per



# Annex VIII of the IVDR



## Useful definitions

#### **CE 2797**

Throughout this guide, our Notified Body is referenced using its assigned Notified Body number: BSI The Netherlands (2797).

#### **Common Specifications**

The European Commission provides Common Specifications to the IVDR as a means of complying with the legal obligations applicable to a device, process or system, such as the General Safety and Performance Requirements (GSPRs), the requirements for performance studies and performance evaluation, and/or post-market surveillance.

#### CA and EMA

In the case of companion diagnostics, the Competent Authority (CA) or the European Medicines Agency (EMA) will be consulted regarding the associated medicinal product.

#### **EU Reference Laboratory**

These have been introduced under the IVDR and are laboratories designated by the European Commission to support with the assessment of Class D IVD devices. An EU Reference Laboratory is responsible for verifying the performance of Class D IVD devices and the ongoing verification of manufactured devices.

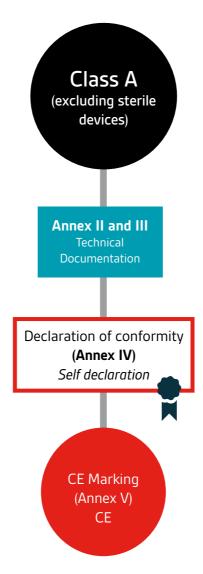
The Competent Authority may ask for verification testing by the EU Reference Laboratory for devices other than Class D.

#### Notified Body (NB)

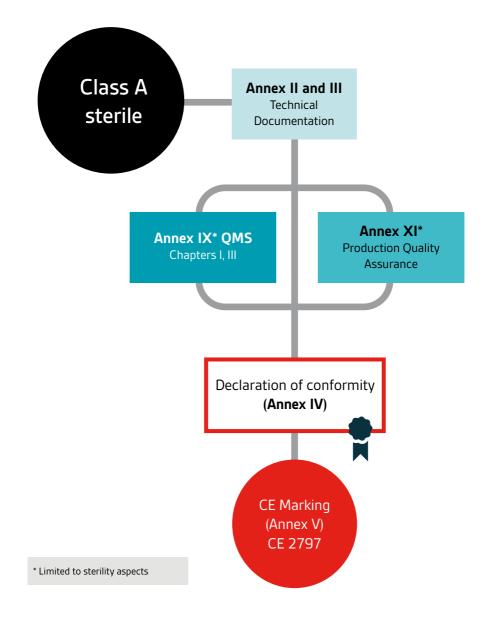
The role of BSI as a Notified Body is to conduct a conformity assessment under the IVDR. This usually requires an audit of the manufacturer's quality management system and, depending on the particular classification of the device, a review of the relevant Technical Documentation in support of the safety and performance claims for the device. The Technical Documentation is assessed against the General Safety and Performance Requirements (GSPR) within the IVDR.

# Class A devices

Note: No Notified Body involvement



# Class A sterile devices



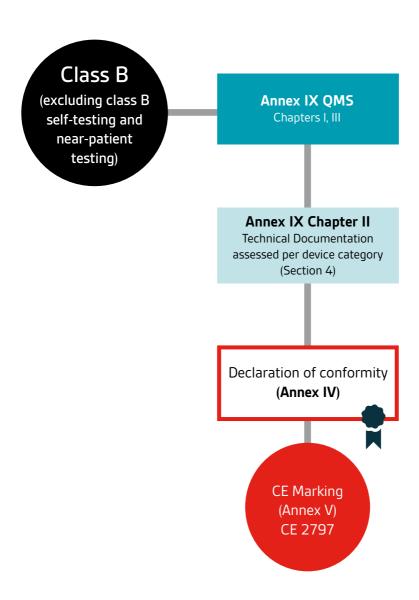
#### Class A sterile devices

Class A	Initial Conformity		Surveillance				
sterile devices	Assessment	Y1	Y2	Y3	Y4	Y5	
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes	
Microbiology Audits	Yes	N/A	Yes	N/A	Yes	N/A	
Technical Documentation Assessment	N/A	N/A	N/A	N/A	N/A	N/A	
Competent Authority or EMA consultation (Annex IX, Section 5.2)	N/A	N/A	N/A	N/A	N/A	N/A	
Experts consultations (article 48(6))	N/A	N/A	N/A	N/A	N/A	N/A	
Verification by EU reference laboratory (Annex IX, section 4.9)	N/A	N/A	N/A	N/A	N/A	N/A	
Summary of Safety and Performance (Article 29)	N/A	N/A	N/A	N/A	N/A	N/A	
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Not required for NB assessment					
Post Market Performance Follow-up ( Evaluation Report (Article 56 and Ar	· / •	Not required for NB assessment					
Post Market Surveillance (PMS) Report (Article 80)		Updated when necessary and made available to the NB upon request.					
Periodic Safety Update Report (PSUR) (Article 81)		N/A	N/A	N/A	N/A	N/A	
Unannounced Audits	At least once every 5 years						

QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3
 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary
 and re-certification may not always occur at Y3.

# Class B devices

(excluding self-testing and near-patient testing (NPT) devices)

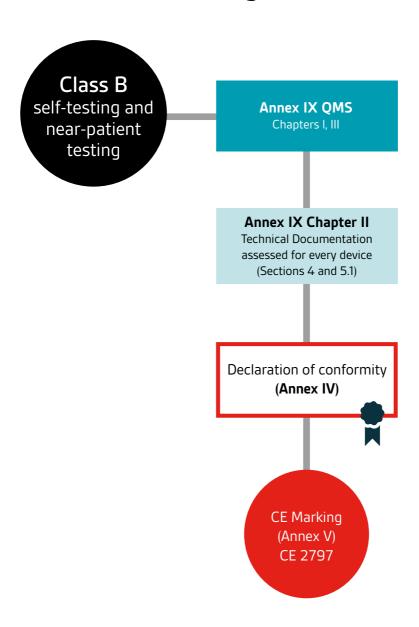


#### Class B devices (excluding self-testing and NPT devices)

Class B devices	Initial	Surveillance					
(excluding self-testing and NPT devices)	Conformity Assessment	Y1	Y2	Y3	Y4	Y5	
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes	
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A	
Technical Documentation Assessment	Sample per device category	As per the Technical Documentation Sampling Plan. A Technical Documentation surveillance audit is required every year whilst there are still devices left to be reviewe under the certificate scope.					
Competent Authority or EMA consultation (Annex IX, Section 5.2)	N/A	N/A	N/A	N/A	N/A	N/A	
Experts consultations (article 48(6))	N/A	N/A	N/A	N/A	N/A	N/A	
Verification by EU reference laboratory (Annex IX, section 4.9)	N/A	N/A	N/A	N/A	N/A	N/A	
Summary of Safety and Performance (Article 29)	N/A	N/A	N/A	N/A	N/A	N/A	
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated as per Manufacturer's Performance Evaluation Plan; NB to review as per Technical Documentation Sampling Plan					
Post Market Performance Follow-up (PMPF) updates Evaluation Report (Article 56 and Annex XIII, Part B)		Updated as per Manufacturer's PMS, PMPF plans; NB to review as per Technical Documentation Sampling Plan. Implementation of the PMPF plan will be verified during annual surveillance visits					
Post Market Surveillance (PMS) Report (Article 80)		Updated when necessary and provided to the CA and/or N upon request				nd/or NB	
Periodic Safety Update Report (PSUR) (Article 81)			N/A	N/A	N/A	N/A	
Unannounced Audits			At le	east once every 5	years		

<sup>\*</sup> QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary and re-certification may not always occur at Y3.

# Class B self-testing and NPT devices



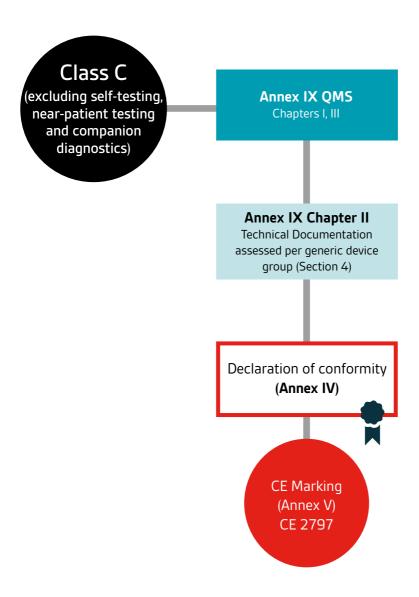
#### Class B devices self-testing and NPT devices

Class B devices	Initial	Surveillance				
self-testing and NPT devices	Conformity Assessment	Y1	Y2	Y3	Y4	Y5
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A
Technical Documentation Assessment	Review for every device	N/A	N/A	N/A	N/A	Recertification
Competent Authority or EMA consultation (Annex IX, Section 5.2)	N/A	N/A	N/A	N/A	N/A	N/A
Experts consultations (article 48(6))	N/A	N/A	N/A	N/A	N/A	N/A
Verification by EU reference laboratory (Annex IX, section 4.9)	N/A	N/A	N/A	N/A	N/A	N/A
Summary of Safety and Performance (Article 29)	N/A	N/A	N/A	N/A	N/A	N/A
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated as per Manufacturer's Performance Evalua- tion Plan; NB to review at the time of substantial change reviews				
Post Market Performance Follow-up Evaluation Report (Article 56 and Ar	. , .	Updated as per Manufacturer's PMS, PMPF plans; NB to review at the time of substantial change reviews				
Post Market Surveillance (PMS) Report (Article 80)		Updated when necessary and provided to the CA upon request. NB to review at time of substantial change reviews				
Periodic Safety Update Report (PSUR) (Article 81)			N/A	N/A	N/A	N/A
Unannounced Audits		At least once every 5 years				

<sup>\*</sup> QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary and re-certification may not always occur at Y3.

# Class C devices

(excluding self-testing, NPT and companion diagnostics (CDx))

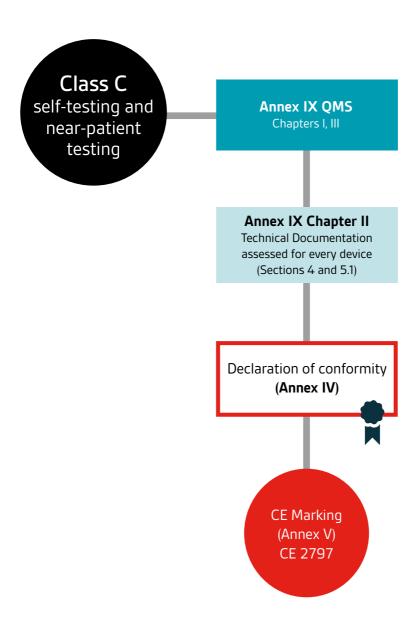


#### Class C devices (excluding self-testing, NPT and companion diagnostics (CDx))

Class C devices	Initial	Surveillance							
(excluding self-testing, NPT and CDx devices)	Conformity Assessment	Y1	Y2	Y3	Y4	Y5			
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes			
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A			
Technical Documentation Assessment	Sample per generic device group	As per the Technical Documentation Sampling Plan.  A Technical Documentation surveillance audit is require every year whilst there are still devices left to be review under the certificate scope							
Competent Authority or EMA consultation (Annex IX, Section 5.2)	N/A	N/A	N/A	N/A	N/A	N/A			
Experts consultations (article 48(6))	N/A	N/A	N/A	N/A	N/A	N/A			
Verification by EU reference laboratory (Annex IX, section 4.9)	N/A	N/A	N/A	N/A	N/A	N/A			
Summary of Safety and Performance (Article 29)	Yes	Up	dated as so	on as possible, w	here necess	ary			
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated at least annually; NB to review as per Technical Documentation Sampling Plan							
Post Market Performance Follow-up (PMPF) updates Evaluation Report (Article 56 and Annex XIII, Part B)		Updated as per Manufacturer's PMS, PMPF plans; NB to review as per Technical Documentation Sampling Plan. NB QMS audits to verify implementation of the plan by sampling complaints, vigilance information etc.							
Post Market Surveillance (PMS) Repo	ort (Article 80)	Post-market surveillance will be captured in the Periodic Safety Update Report							
Periodic Safety Update Report (PSUR) (Article 81)			PSUR update required at least annually. The PSUR should be available to the NB upon request						
Unannounced Audits		At least once every 5 years							

QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3
 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary
 and re-certification may not always occur at Y3.

# Class C self-testing and NPT devices

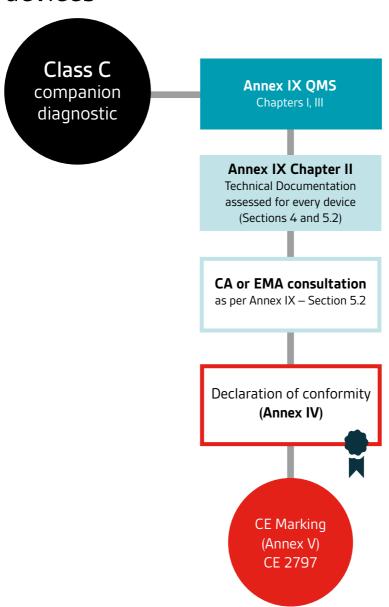


#### Class C devices self-testing and NPT devices

Class C self-testing	Initial Conformity	Surveillance					
and NPT devices	Assessment	Y1	Y2	Y3	Y4	Y5	
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes	
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A	
Technical Documentation Assessment	Review for every device	N/A	N/A	N/A	N/A	Recertification	
Competent Authority or EMA consultation (Annex IX, Section 5.2)	N/A	N/A	N/A	N/A	N/A	N/A	
Experts consultations (article 48(6))	N/A	N/A	N/A	N/A	N/A	N/A	
Verification by EU reference laboratory (Annex IX, section 4.9)	N/A	N/A	N/A	N/A	N/A	N/A	
Summary of Safety and Performance (Article 29)	Yes		Updated a	s soon as possib	le, where n	ecessary	
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated at least annually; NB to review at the time of PSUR reviews or substantial change reviews					
Post Market Performance Follow-up (PMPF) updates Evaluation Report (Article 56 and Annex XIII, Part B)		Updated as per Manufacturer's PMS, PMPF plans; NB to review at the time of PSUR reviews or substantial change reviews					
Post Market Surveillance (PMS) Report (Article 80)		Post-market surveillance will be captured in the Periodic Safety Update Report					
Periodic Safety Update Report (PSU	R) (Article 81)	PSUR update required at least annually. The PSUR should be available to the NB upon request					
Unannounced Audits		At least once every 5 years					

QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3
 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary
 and re-certification may not always occur at Y3.

# **Class C** companion diagnostic (CDx) devices



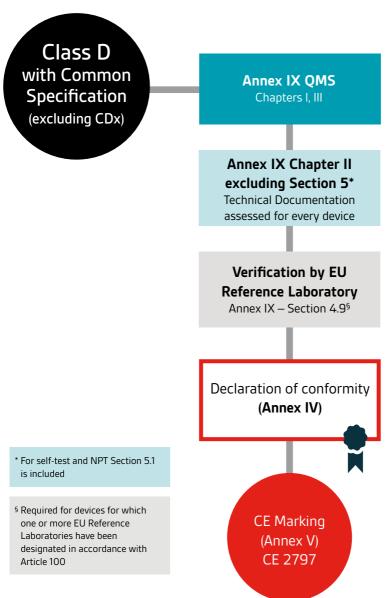
#### Class C companion diagnostic (CDx) devices

Class C companion	Initial		Surveillance			
diagnostic (CDx) devices	Conformity Assessment	Y1	Y2	Y3	Y4	Y5
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A
Technical Documentation Assessment	Review for every device	N/A	N/A	N/A	N/A	Recertification
Competent Authority or EMA consultation (Annex IX, Section 5.2)	Yes	Modifications to the devices may need supplementary consultations (determined on a case-by-case basis taking account the nature of the changes proposed)				
Experts consultations (article 48(6))	N/A	N/A	N/A	N/A	N/A	N/A
Verification by EU reference laboratory (Annex IX, section 4.9)	N/A	N/A	N/A	N/A	N/A	N/A
Summary of Safety and Performance (Article 29)	Yes	ι	Jpdated as	s soon as possible	e, where ne	cessary
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated at least annually; NB to review at the time of PSUR reviews or substantial change reviews				
Post Market Performance Follow-up Evaluation Report (Article 56 and An		Updated as per Manufacturer's PMS, PMPF plans; NB to review at the time of PSUR reviews or substantial change reviews				
Post Market Surveillance (PMS) Report (Article 80)		Post-market surveillance will be captured in the Periodic Safety Update Report				
Periodic Safety Update Report (PSU	PSUR update required at least annually. The PSUR should be available to the NB upon request					
Unannounced Audits		At least once every 5 years				

QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3
 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary
 and re-certification may not always occur at Y3.

# Class D with Common Specification

(excluding CDx)



#### Class D with Common Specification (excluding CDx)

Class D with Common	Initial	Surveillance						
Specification (excluding CDx)	Conformity Assessment	Y1	Y2	Y3	Y4	Y5		
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes		
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A		
Technical Documentation Assessment	Review for every device	N/A	N/A	N/A	N/A	Recertification		
Competent Authority or EMA consultation (Annex IX, Section 5.2)	N/A	N/A	N/A	N/A	N/A	N/A		
Experts consultations (article 48(6))	N/A	N/A	N/A	N/A	N/A	N/A		
Verification by EU reference laboratory (Annex IX, section 4.9)	Yes	Modifications to the devices may need supplementary verifications (determined on a case-by-case basis taking into account the nature of the changes proposed)						
Summary of Safety and Performance (Article 29)	Yes		Updated a	s soon as possibl	e, where nec	essary		
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated at least annually. NB to review at the time of PSUR reviews or substantial change reviews						
Post Market Performance Follow-up (PMPF) updates Evaluation Report (Article 56 and Annex XIII, Part B)		Updated as per Manufacturer's PMS, PMPF plans; NB to review at the time of PSUR reviews or substantial change reviews						
Post Market Surveillance (PMS) Report (Article 80)			Post-market surveillance will be captured in the Periodic Safety Update Report					
Periodic Safety Update Report (PSU	R) (Article 81)	PSUR update required at least annually; submitted to the NB via EUDAMED for NB review						
Unannounced Audits		At least once every 5 years						

QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3
 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary
 and re-certification may not always occur at Y3.

# Class D with no Common Specification

(excluding CDx)

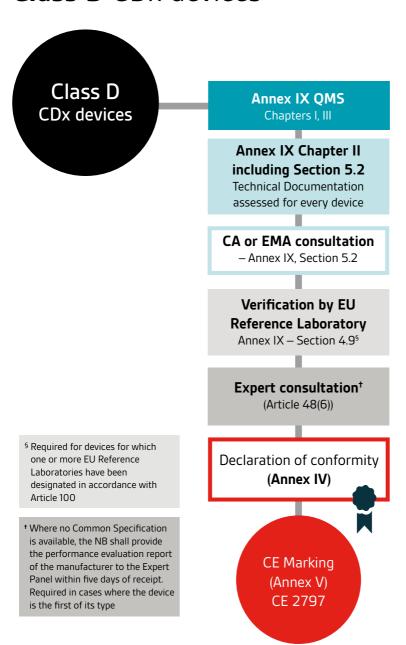


#### Class D with no Common Specification (excluding CDx)

Class D with no	Initial	Surveillance					
Common Specification (excluding CDx)	Conformity Assessment	Y1	Y2	Y3	Y4	Y5	
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes	
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A	
Technical Documentation Assessment	Review for every device	N/A	N/A	N/A	N/A	Recertification	
Competent Authority or EMA consultation (Annex IX, Section 5.2)	N/A	N/A	N/A	N/A	N/A	N/A	
Experts consultations (article 48(6))	Yes, if the device is the first of its type	N/A	N/A	N/A	N/A	N/A	
Verification by EU reference laboratory (Annex IX, section 4.9)	Yes	verificat	ions (dete	he devices may i rmined on a case e of the changes	e-by-case b	asis taking into	
Summary of Safety and Performance (Article 29)	Yes	ı	Jpdated as	s soon as possib	le, where n	ecessary	
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated at least annually. NB to review at the time of PSUR reviews or substantial change reviews					
Post Market Performance Follow-up (PMPF) updates Evaluation Report (Article 56 and Annex XIII, Part B		Updated as per Manufacturer's PMS, PMPF plans; NB to review at the time of PSUR reviews or substantial change reviews					
Post Market Surveillance (PMS) Report (Article 80)		Post-market surveillance will be captured in the Periodic Safety Update Report					
Periodic Safety Update Report (PSU	R) (Article 81)	PSUR update required at least annually; submitted to the NB via EUDAMED for NB review					
Unannounced Audits		At least once every 5 years					

<sup>\*</sup> QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary and re-certification may not always occur at Y3.

### Class D CDx devices



#### Class D CDx devices

	Initial	Surveillance					
Class D CDx devices	Class D CDx devices Conformity Assessment		Y2	Y3	Y4	Y5	
QMS Audits	Yes	Yes	Yes	Recertification*	Yes	Yes	
Microbiology Audits	Yes (if sterile)	N/A	Yes (if sterile)	N/A	Yes (if sterile)	N/A	
Technical Documentation Assessment	Review for every device	N/A	N/A	N/A	N/A	Recertification	
Competent Authority or EMA consultation (Annex IX, Section 5.2)	Yes	sultatio	ns (determ	ne devices may ined on a case-be of the changes	oy-case ba	sis taking into	
Experts consultations (article 48(6))	Yes, if no CS and the device is the first of its type	N/A	N/A	N/A	N/A	N/A	
Verification by EU reference laboratory (Annex IX, section 4.9)	Yes	verificat	ions (deter	ne devices may mined on a cas e of the changes	e-by-case l	basis taking into	
Summary of Safety and Performance (Article 29)	Yes	l	Jpdated as	soon as possib	le, where r	necessary.	
Performance Evaluation Report upda (Annex XIII - Part A, Section 1.3.2 and		Updated at least annually; the NB will provide it to the expert panel as needed. NB to review at the time of PSUR reviews or substantial change reviews					
Post Market Performance Follow-up (PMPF) updates Evaluation Report (Article 56 and Annex XIII, Part B		Updated as per Manufacturer's PMS, PMPF plans; NB to review at the time of PSUR reviews or substantial change reviews					
Post Market Surveillance (PMS) Repo	ort (Article 80)	Post-market surveillance will be captured in the Periodic Safety Update Report					
Periodic Safety Update Report (PSUR) (Article 81)			PSUR update required at least annually; submitted to the NB via EUDAMED for NB review				
Unannounced Audits		At least once every 5 years					

<sup>\*</sup> QMS certificates are valid for three years, whilst CE certificates remain valid for a maximum of five years. The Y3 Recertification indicated in the table relates to the EN ISO 13485:2016 certificate cycle. Certification cycles vary and re-certification may not always occur at Y3.

Our website provides a wealth of resources including guidance documents, training courses, webinars and whitepapers.

To find out more, visit

bsigroup.com/IVD



Your EU IVDR

Transition Toolkit

# Notes

# Your resource for excellence

#### Talk to BSI

- We have 4,600 colleagues globally
- · Offices in 31 countries around the world
- Over 84,000 clients operating in 193 countries
- Together our clients account for 75% of the FTSE 100 49% of the Fortune 500 and 77% of the Nikkei 225 listed companies
- · More than 750 colleagues in BSI Medical Devices

#### Additional services

#### Medical device newsletter service

Keep updated on what's happening in the industry and changes in regulatory and quality requirements. You can take advantage of this free service by signing up on our website.

#### Informative webinars

Hear regular updates from our experts on key topics; listen live or listen back.

#### Comprehensive whitepapers

Our technical specialists collaborate with external experts to bring you the latest views and understanding on complex regulatory issues. Download your complimentary copies now.

#### Medical device guidance documents

Our online guidance documents provide assistance in understanding the regulatory requirements for medical devices.

#### Standards

BSI British Standards delivers leading-edge best practice solutions through the development and publication of more than 59,000 Standards and related products.

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