Medical Device Administrative Control System (MDACS)

Guidance Notes for Listing Class II/III/IV General Medical Devices

Guidance Notes: GN-02

中華人民共和國
香港特別行政區政府衞生署

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

Revision History

Edition Number	Date of Revision	Summary of Revision	Reference Number
0	2004	• First issue of GN-02 (Guidance Notes for Listing Class IV Medical Devices)	GN-02:2004(E)
1	7 July 2011	• Issue of revised GN-02 (Jul 2011 Edition) (Guidance Notes for Listing Class II/III/IV Medical Devices) • The revised GN-02 supersedes the existing GN-02 (Guidance Notes for Listing Class IV Medical Devices) and GN-05 (Guidance Notes for Listing Class II/III Medical Devices). • Application Form for Listing of Class II/III/IV Medical Devices is revised to MD-C2&3&4 (Jul 2011 Edition) • Reference is made to GN-00 for definitions and to TR-003 for classification of medical devices • Appendix 3 Sample Essential Principles Declaration of Conformity is added	GN-02:2011(E)
2	19 April 2021	• Update document format; • Rename of Medical Device Control Office to Medical Device Division; • Clause 5.3 (Submission of applications) has been updated;	GN-02:2021(E)

		• Clause 6 (Guide to Application Form MD-C2&3&4) has been updated; • Appendix 1 Sample Application Form for Listing of Class II/III/IV Medical Devices has been updated to MD-C2&3&4 (2021 Edition); and • Appendix 2 Sample Essential Principles Conformity Checklist has been updated to MD-CCL (2021 Edition)	
2.1	30 August 2021	• Appendix 1 Sample Application Form for Listing of Class II/III/IV Medical Devices has been updated to MD-C2&3&4 (2021 2nd Edition)	GN-02:2021(E)
3	1 January 2022	• Appendix 1 Sample Application Form for Listing of Class II/III/IV Medical Devices has been updated to MD-C2&3&4 (2022 Edition); • Note A003 and D001 in Clause 6 (Guide to Application Form MD-C2&3&4) has been updated; • Updated document format.	GN-02:2022(E)

Table of Contents

1. Introduction

This document is to provide guidance to applicants applying for inclusion of Class II/III/IV general 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. It supersedes the existing "Guidance Notes for Listing Class IV Medical Devices" (Guidance Notes GN-02) and "Guidance Notes for Listing Class II/III Medical Devices" (Guidance Notes GN-05) as it incorporates and updates the contents of these two guidance documents. Applicants should read this document in conjunction with the "Overview of Medical Device Administrative Control System" (Guidance Notes GN-01), "Guidance Notes for Definitions and Abbreviations for Medical Device Administrative Control System" (Guidance Notes GN-00) and "Classification Rules for Medical Devices" (Technical Reference TR-003) to have a thorough understanding of the MDACS before making the submission. Applicants applying for listing medical devices other than Class II/III/IV general medical devices shall make reference to the corresponding Guidance Notes accordingly.

2. Definitions and Abbreviations

Please refer to "Guidance Notes for Definitions and Abbreviations for Medical Device Administrative Control System" (Guidance Notes GN-00) 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/IV General Medical Device

3.1 Classification of general medical devices

Based on the classification rules of the MDACS (which are in line with those promulgated by the International Medical Device Regulators Forum (IMDRF) (previously Global Harmonization Task Force (GHTF))), general 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 general medical device are given in "Classification of General Medical Devices" (Technical Reference TR- 003).

3.2 Determining Class II/III/IV general medical devices by the classification rules

3.2.1 The applicant must take into consideration all the classification rules given in "Classification of General Medical Devices" (Technical Reference TR-003) 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, Table 2 and Table 3 illustrate the application of the rules to determine whether a general medical device is of Class II, Class III and Class IV respectively.

Table 1 – Examples of Class II general medical devices

Devices	Class	Rule
Non-medicated impregnated gauze dressing	II	Rule 1
Anaesthesia breathing circuit	II	Rule 2
Device to warm or cool blood	II	Rule 3
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 disinfector	II	Rule 15

Table 2 – Examples of Class III general medical devices

Devices	Class	Rule
Dressing for chronic ulcerated wounds	III	Rule 1
Hemodialyzer	III	Rule 3
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

Table 3 – Examples of Class IV general medical devices

Devices	Class	Rule
Angioplasty balloon catheter	IV	Rule 6
Neurological catheter	IV	Rule 7
Cardiovascular catheter	IV	Rule 7
Vascular stent	IV	Rule 8
Implantable pacemaker	IV	Rule 8
Breast implant	IV	Rule 8
Heparin-coated catheter	IV	Rule 13
Catgut suture	IV	Rule 14
Intrauterine contraceptive device	IV	Rule 16

3.2.2 The examples shown in Table 4 are either not medical devices or not Class II/III/IV general medical devices according to the classification rules.

Table 4 – Examples of non Class II/III/IV general medical devices

Devices	Class	Rule
Simple wound dressing	I	Rule 1
Administration set for gravity infusion	I	Rule 2
Urine collection bottle	I	Rule 4
Dental impression material	I	Rule 5
Manually operated surgical drill	I	Rule 6
Examination lamp	I	Rule 12
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/IV General 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 Clauses 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 Division (MDD) or downloaded from the MDD website. A sample of the Form MD-C2&3&4 for Class II/III/IV general medical devices is given in Appendix 1.

5.2 Submission of applications (hard copies)

An application for inclusion of a Class II/III/IV general medical device into The List of Medical Devices must be made on the Form MD-C2&3&4. 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 MDD.

5.3 Submission of applications (soft copies)

The applicants are encouraged to use soft copies for making the application submission as far as possible. If soft copies are used, only the duly signed Application Form MD-C2&3&4 and Essential Principles Conformity Checklist (Form MD-CCL) (if applicable) have to be submitted in paper format. The signed forms, together with a portable storage device (PSD) containing soft copy of other required documents, shall be submitted by hand or by recorded delivery mail to the MDD. Alternatively, an applicant with Hongkong Post e-Cert may submit an application entirely by soft copies (both the completed forms and the other documents in soft copies) to the email address mdd_app@dh.gov.hk of the MDD.

5.4 Acknowledgement of application

On receiving an application the MDD 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 MDD to check if the submission has reached the MDD.

6. Guide to Application Form MD-C2&3&4

The following table explains how to fill in the application form MD-C2&3&4 for Class II/III/IV general medical devices. Given in Appendix 1 is a sample of a completed form MD-C2&3&4. The number under the leftmost column “Note” in the form is used as an identifier for the notes given below (Table 5), 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 5 – Guidance for completing the application form MD-C2&3&4

Note	Explanation
A001	♦ 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. The name and address of the manufacturer shall be the same as those stipulated in the marketing approval certificate(s) or MDACS Conformity Assessment Certificate recognized by MDD and the ISO 13485 certificate provided by the applicant. These information are considered essential for the application.
A002	♦ 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) of the submission folder. The contact person, telephone number, fax number and email address of the Hong Kong office shall be provided.
A003	♦ The manufacturer shall implement a quality management system and 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 standard shall be checked and the certification body of the quality management system shall be specified. A copy of the ISO 13485 latest edition (or equivalent) certificate shall be enclosed under index (A2) of the submission folder. This information is considered essential for the application.

A004	♦ 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 act as the LRP 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	♦ The details of the LRP including the name (in English and/or Chinese), address (in English and/or Chinese), contact person, position of 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 mobile telephone number through which the LRP may be contacted by the MDD after office hours. The name and address of the LRP shall be the same as those stipulated in the Hong Kong business registration. This information is considered essential for the application. ♦ A copy of the Hong Kong business registration shall be enclosed under index (B1) of the submission folder.
B002	♦ The date of designation as the LRP of the device shall be quoted and a copy of the designation letter issued by the manufacturer shall be enclosed under index (B2) of the submission folder. This information is considered essential for the application.
B003	♦ If the LRP has implemented any quality management system, the system and, if applicable, 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 if applicable.
B004	♦ A copy of the documented procedures for keeping of supply records, managing product recalls and field safety notices, handling of reportable adverse events in Hong Kong, tracking of specific medical devices (if applicable), complaints handling and maintenance and service arrangements (if applicable) shall be enclosed under index (B4) of the submission folder. This information is considered essential for the application. ♦ In case the applicant already has medical device listed under the MDACS, the LRP number shall be quoted without re-submitting the procedures if the procedures indicated under items (i) to (vi) have been submitted and there is no change to the procedures.
B005	♦ If the LRP is also an importer and/or distributor of the device, the box shall be checked. The Listing No. of the importer and/or distributor shall be quoted (if applicable).
B006	♦ 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	♦ The make, brand name 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. ♦ For the purpose of this listing, make refers to the manufacturer of the device while brand name may cover trade name, family name, series name or system name and model may cover other identification details such as model number or product number.
C002	♦ The appropriate box(es) 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 manufacturer, device description and classification, 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). ♦ **A medical device series** is a group of medical devices belonging to the same model series of a manufacturer and having the same device classification, intended use, but differing only in minor features or functions that do not present significantly different safety, performance and effectiveness issues. In 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), and a brief account of its minor features that distinguish it from other members. ♦ **A medical device system** is a medical device comprising a number of medical devices (component medical devices) intended to be used together to fulfil the system's intended use. All component medical devices shall be placed on the market under the name of the same manufacturer. A short description on how the component medical devices are used together to achieve the intended purpose of the medical device system shall be provided. For each component medical device of a medical device system, please provide its Asian Medical Device Nomenclature System (AMDNS) term (if an AMDNS term is not available for a particular component, a short description shall be provided) and the corresponding AMDNS code, its identifier(s) (e.g. model number), and a brief description of its intended use. ♦ Additional information concerning the medical device family, medical device series or medical device system could be provided on separate sheets in formats similar to MDS-01 and MDS-02 (see C006 and Appendix 1) and enclosed under index (C1) of the submission folder.

C003	♦ The Asian Medical Device Nomenclature System (AMDNS) term of the device together with the corresponding AMDNS code shall be specified. If there is no applicable AMDNS term, a short description of the device shall be entered. The AMDNS is available at the MDD website for reference by applicants.
C004	♦ If there is any commonly used description of the device, it shall be provided.
C005	♦ 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 or a MDACS Conformity Assessment Certificate obtained from a conformity assessment body recognized by the MDD.
C006	♦ All accessories for the device shall be specified. An accessory is regarded as an article intended specifically by its manufacturer to be used with the device to enable that device to be used in accordance with its intended purpose. ♦ 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. ♦ Where applicable, the details of all the accessories of a medical device including their identifier(s) (e.g. part number) and descriptions should be provided on separate sheets in a format similar to MDS-02 (see Appendix 1) and enclosed under index (C1) of the submission folder.
C007	♦ Please check the appropriate box(es) to indicate the relevant characteristics of the device.
C008	♦ The class of the medical device shall be specified. The reasons in details (including the classification rule number and the corresponding description of the rule with which the medical device compiles) for classifying the device as a Class II/III/IV general medical device shall also be provided. The applicant shall refer to “Classification of General Medical Devices” (Technical Reference TR-003) for the classification rules.
C009	♦ All the manufacturing sites for the medical device(s) within the scope 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. Besides, manufacturing sites or sub-contractors not engaged for production of the whole medical device but just a part of or some constituting components of the medical device need not be included. ♦ Copies of ISO 13485 certificates covering the manufacturing sites shall be provided. The name and address of the manufacturing sites shall be the same as those stipulated in the ISO 13485 certificates. Where applicable, information on the

	manufacturing sites should be provided on separate sheets enclosed under index (C1) of the submission folder.
C010	♦ A summary of all recalls, suspensions, reportable adverse events, banning of the device in other countries or post-market surveillance studies, shall be provided under index (C2) of the submission folder. ♦ Where there are any recalls in progress, details and current status of the recalls shall be provided. ♦ Where there are any adverse events involving the same device or a design close to the device reported to overseas regulatory authorities, the following information shall be provided: (i) Dates of the events; (ii) To which regulatory agencies, and when, the events were reported; (iii) Causes of the events; (iv) Number of deaths and the serious injuries in these events; and (v) Corrective and preventive actions taken (including those taken to prevent recurrence of similar events). ♦ 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.
C011	♦ Specific characteristics of the device shall be indicated by checking the appropriate box(es), including whether the device is for single use, supplied as sterile product, requires special precautions for disposal, intended to be used/operated by healthcare professionals only or by laypersons, and whether it is for self-use. These information shall be identical to the specifications in the labelling.
C012	♦ If the device requires regular servicing, testing, checking or calibration, 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.
C013	♦ If the instructions for use are available in either English, Chinese, or both languages, the appropriate boxes shall be checked. Devices intended for self-use by consumers must be accompanied by instructions for use written in both English and Chinese. ♦ All labelling including instructions, manuals, device and package labels (as specified in the Technical Reference TR-005) and Special Listing Information (as specified in the 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 clear scanned digital colour images or digital

	colour photographs in PDF or JPEG format showing all the labelling information is acceptable as an alternative. However, the LRP may be required to provide a sample of the device for inspection or testing if considered necessary and practicable. ♦ If electronic labelling is included, the corresponding internet linkage shall be provided. ♦ Where the labelling submitted does not include clear images of the device and/or its associated accessories, clear scanned digital colour images or digital colour photographs in PDF or JPEG format showing the front, side and back views of the device and/or its associated accessories should be provided. Device brochures, demonstration video clips and/or animation clips illustrating the usage and applications of the device should be provided as far as possible. ♦ The locations in the submitted samples where the Indications for use; Contraindications against use; Cleansing, disinfection and/or sterilization procedures; User precautions; and Disposal precautions can be found shall be given in the appropriate space.
C014	Please check the appropriate boxes. If the device is subject to the provisions under the Radiation Ordinance (Cap. 303), the Pharmacy and Poisons Ordinance (Cap. 138), the Antibiotics Ordinance (Cap. 137) or the Dangerous Drugs Ordinance (Cap. 134), a copy of the required licence (e.g. Irradiating Apparatus Licence, Wholesale Poisons Licence) shall be enclosed under index (C4) of the submission folder. (Note: The ordinances listed under this item do not mean to be exhaustive. It is the applicant's responsibility to ensure compliance with other relevant ordinances.)
C015	♦ If a MDACS Conformity Assessment Certificate issued by one of the Conformity Assessment Bodies recognized by MDD is available, the appropriate box shall be checked and the Conformity Assessment Body number shall be quoted. A copy of Conformity Assessment Certificate shall be submitted under index (C5) of the submission folder. (Note: If applicants have already acquired the MDACS Conformity Assessment Certificates for their products, they may submit the Conformity Assessment Certificates in lieu of the Essential Principles Conformity Checklists (MD-CCL); Risk Analysis Reports/Summaries; and Clinical Evaluation Documents for the corresponding products. However, the applicants may be required to submit these documents later if deemed necessary. It is the applicants' obligation to prepare these documents and make them available for checking and verification under the MDACS. The unavailability of these documents may render their applications unsuccessful.)
C016	♦ If the device complies with any international or national safety standards, the standards shall be specified in the space provided. ♦ There shall be a risk analysis conducted and the report or the summary shall be provided under index (C6) of the submission folder. This information is considered

	essential for the application. ♦ Where there are any type tests performed by the manufacturer or any other party, the test reports and certificates shall be provided under index (C4) of the submission folder. ♦ For devices containing biological materials or medicinal substances and/or materials that will come into contact with body tissues and/or fluids, further information (e.g. biological safety data, biocompatibility report, and certificates of analysis of the materials/substances, etc.) shall be provided upon request. ♦ For devices emitting ionizing radiation, further information (e.g. radiation source and materials for shielding of radiation) shall be provided upon request.
C017	♦ 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-00 for the definition of clinical investigation). It is a process to establish conformity of the device with the pertinent Essential Principles given in "Essential Principles of Safety and Performance of Medical Devices" (Technical Reference TR-004) 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 (C7) of the submission folder. The clinical evaluation report shall be provided upon request.
D001	If there are approvals for the device to be marketed in any of the GHTF founding members namely Australia, Canada, the European Union (EU), Japan and the USA; and/or Mainland China, the appropriate boxes shall be checked and copy of the approval documents shall be provided under index (D1) of the submission folder. If the medical devices are approved for marketing in EU, a copy of the EC Declaration of Conformity shall also be submitted together with a copy of the EC certificate(s). To facilitate consideration of the application, applicants are advised to submit all relevant marketing approval certificates as far as possible. ♦ Where any of these approvals have been obtained on or before 31 December 2004, the Essential Principles Conformity Checklist (Form MD-CCL) shall be submitted upon request. Otherwise, the duly completed Essential Principles Conformity Checklist (Form MD-CCL) shall also be provided under index (D1) of the submission folder. ♦ Alternatively, if the applicants could provide the Essential Requirements / General Safety and Performance Requirements Checklist in accordance with relevant EU Medical Device directives or regulations and have sufficient evidence that their products also comply with the MDACS requirements, they may submit the Essential Requirements Checklist and an Essential Principles Declaration of Conformity (refer

	to Appendix 3 of this Guidance Notes for sample) in lieu of the MD-CCL. ♦ Where no such marketing approval has been obtained, the application will not be processed unless a MDACS conformity assessment certificate issued by one of the Conformity Assessment Bodies (CAB) recognized by the MDD could be provided.

7. Enquiries

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

Medical Device Division
Department of Health
Telephone number: 3107 8484
Facsimile number: 3157 1286
Email address: mdd@dh.gov.hk
Website: www.mdd.gov.hk/

8. References

8.1 Department of Health. Guidance Notes for Definitions and Abbreviations for Medical Device Administrative Control System. Guidance Notes GN-00.

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

8.3 Department of Health. Classification of General Medical Devices. Technical Reference TR-003.

8.4 Department of Health. Essential Principles of Safety and Performance of Medical Devices. Technical Reference TR-004.

8.5 Department of Health. Additional Medical Device Labelling Requirements. Technical Reference TR-005

Appendix 1

Medical Device Division
Department of Health
Medical Device Administrative Control System
Application for the Listing of
Class II/III/IV General 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 and uploaded to the MDD website 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, brand name and model of the device (C001), and (iv) the intended use of the device (C005). 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 boxes as appropriate and also check the corresponding boxes in the "Encl." column if any document is enclosed under respective indexes of the submission folder.
3. Please note that the submitted information may be forwarded to third parties (such as but not limited to foreign regulatory authority, notified body or conformity assessment body) for validation purposes.
4. Submitted documents not in Chinese or English shall be accompanied by Chinese or English translations.
5. Only submissions with duly completed application forms and required documents will be processed. Materials provided with any submission will not be returned.

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

<table>
<tr><td></td><td colspan="3"></td><td></td></tr>
<tr><td rowspan="4">A002</td><td colspan="3">☐ Registered place of business in Hong Kong (If applicable):</td><td rowspan="4">(A1)
☐</td></tr>
<tr><td rowspan="3"></td><td colspan="2">☐ Copy of business registration certificate (with business registration number
_____) is enclosed</td></tr>
<tr><td>Contact person:</td><td>Telephone:</td></tr>
<tr><td>Fax:</td><td>Email:</td></tr>
<tr><td>A003</td><td colspan="3">Established Quality Management System
☒ Full quality management system covering device design, production, and post-production processes
☐ Partial quality management system covering processes:
_____

Standards with which the system complies:
☒ ISO13485
☒ YY/T 0287
☒ System certified by CAB Systems Ltd. (certification body), and a copy of the certificate is enclosed</td><td>(A2)
☒</td></tr>
<tr><td>A004</td><td colspan="3">Has the manufacturer designated any Local Responsible Person (LRP)? (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.)
☒ Yes ☐ No, manufacturer itself acts as the LRP</td><td></td></tr>
</table>

<table>
<tr><th>Note</th><th colspan="4">Part B: Particulars of Local Responsible Person (LRP)</th><th>Encl.</th></tr>
<tr><td rowspan="8">B001</td><td rowspan="2">LRP's name*</td><td>in English</td><td colspan="2">CARDIO SUPPLIES LTD.</td><td rowspan="8">(B1)
☒</td></tr>
<tr><td>in Chinese</td><td colspan="2">心臟儀器供應有限公司</td></tr>
<tr><td rowspan="2">Address in Hong Kong (Please give the registered place of business, if any)*</td><td>in English</td><td colspan="2">32/F., METROPOLITAN CENTRE,
123 MERRY STREET, CAUSEWAY BAY,
HONG KONG</td></tr>
<tr><td>in Chinese</td><td colspan="2">香港銅鑼灣喜樂街123號都市中心32樓</td></tr>
<tr><td colspan="3">Contact person: CHAN TAI-MAN</td><td colspan="2">Telephone: 2800 0000</td></tr>
<tr><td colspan="3">Position: General Manager</td><td colspan="2">Email: tchan@cardio.com.hk</td></tr>
<tr><td colspan="3">Contact telephone for public enquiries * : 2000 0000</td><td colspan="2">Fax : 2900 0000</td></tr>
<tr><td colspan="5">Mobile telephone for urgent use (24 hours) : 9000 0000</td></tr>
<tr><td colspan="5">Business Registration
☒ Copy of business registration certificate (with business registration number: BR123467) is enclosed
☐ Not applicable</td></tr>
<tr><td>B002</td><td colspan="4">Date designated as LRP by the manufacturer: 30 June 2010
☒ Manufacturer's designation letter is enclosed</td><td>(B2)
☒</td></tr>
<tr><td>B003</td><td colspan="4">Established Quality Management System
☒ ISO9001 ☐ ISO13485 ☐ None
☒ System certified by ABC Agency (certification body), and a copy of the certificate is enclosed</td><td>(B3)
☒</td></tr>
<tr><td>B004</td><td colspan="4">Documented Procedures Established and Maintained
☒ The applicant does not have any medical device listed under the Medical Device Administrative Control System
☒ The procedures indicated in items (i) to (vi) below are enclosed
(i) Keeping of transaction records
(ii) Management of product recalls and field safety notices
(iii) Handling of reportable adverse incidents in Hong Kong
(iv) Tracking of specific medical devices (if applicable)
(v) Complaints handling
(vi) Maintenance and service arrangements (if applicable)
☐ The applicant already has one or more medical device listed under the Medical Device Administrative Control System (LRP number: _____)
☐ There is no change to the procedures indicated in items (i) to (vi). (Please go to B005); OR
☐ The procedures indicated in items (i) to (vi) have been updated and enclosed.</td><td>(B4)
☒</td></tr>
<tr><td>B005</td><td colspan="4">☒ The LRP is also an importer and/or distributor of the device named in Part C
Listing No. of Importer (if applicable): IMP0123456
Listing No. of Distributor (if applicable): DIS0345678</td><td></td></tr>
<tr><td>B006</td><td colspan="4">☐ The device named in Part C is currently a listed device (under another LRP), with Listing No. _____.</td><td></td></tr>
</table>

Note	Part C: Particulars of the Device			Encl.
C001	Make*	*in English*	*ABC Medical*	
		in Chinese	*N.A.*	
	Brand Name*	*in English*	*VGOOD*	
		in Chinese	*N.A.*	
	Model*	*in English*	*PMS-123*	
		in Chinese	*N.A.*	
C002	☐ A single medical device ☐ A medical device family ☐ A medical device series ☒ A medical device system For a medical device family, medical device series or a medical device system, please provide the additional information required in a format similar to MDS-01. ☒ Additional information similar to MDS-01 attached			(C1) ☒
C003	Description of the device: *(Please enter the appropriate AMDNS term. If none of the terms in AMDNS appear appropriate, enter a short description of the device.)* *MONITORING SYSTEMS, PHYSIOLOGIC*			
	AMDNS Code*:* *12636*			
	Other Codes *(Please enter if known):*			
C004	Other common descriptions of the device: *PATIENT MONITORING SYSTEM*			
C005	Intended use of the device*	*in English*	*A physiologic monitoring system 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.*	
		in Chinese	*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。*	
C006	Accessories and parts covered by the Marketing Approvals and Essential Principles Conformity Checklist under Note D001 of Part D. *Please provide its identifier(s) (e.g. part number) and description using a format similar to MDS-02.* ☒ Additional information similar to MDS-02 attached			(C1) ☒
C007	1. The device Yes No			

☐ ☒ incorporates, as an integral part, a medicinal product which could act on the human body with action ancillary to that of the device
☐ ☒ is manufactured from or incorporating human cells/tissues/derivatives
☐ ☒ is manufactured from or incorporating animal cells/tissues/derivatives

2. The device
☐ is a **non-active device** *(please go to section 3)*
☒ is an **active device**
- ☐ intended to control or monitor the performance of active therapeutic devices in Class III, or intended directly to influence the performance of such devices
- ☒ intended for monitoring of vital physiological parameters, where the nature of variations is such that it could result in immediate danger to the patient
- ☒ intended for diagnosing in clinical situations where the patient is in immediate danger
- ☐ intended to administer or exchange energy to or from human body in a potentially hazardous way including ionizing radiation
- ☐ none of the above

3. The device
☒ is a **non-invasive device**
- ☐ comes into contact with injured skin (e.g. wound dressings) *(please complete section 4)*
- ☒ connected to an active medical device in Class II or a higher class
- ☐ intended for channelling blood, or storing or channelling other body liquids, or for storing organs, parts of organs or body tissues
- ☐ intended for modifying the biological or chemical composition of blood, other body liquids or other liquids intended for infusion into the body
- ☐ none of the above

☐ is an **invasive device**
- ☐ invasive with respect to body orifices (other than those surgically invasive)
- ☐ intended to be connected to an active medical device in Class II or a higher class
- ☐ intended for use in oral cavity, ear canal or nasal cavity
- ☐ intended to supply energy in the form of ionizing radiation
- ☐ intended to have biological effect or be wholly or mainly absorbed
- ☐ intended to administer medicinal products by means of a delivery system and is potentially hazardous
- ☐ intended for use in direct contact with the central nervous system or to diagnose, monitor or correct a defect of the heart of central circulatory system through direct contact
- ☐ intended to undergo chemical change in the body
- ☐ none of the above

and is intended for *(please check the applicable item only)*
- ☐ transient use (< 60 mins)
- ☐ short-term use (between 60 mins and 30 days)
- ☐ long-term use (> 30 days)

4. The device is a wound dressing

	☐ intended to be used as a mechanical barrier, for compression of wounds or for absorption of exudates (e.g. simple wound dressing; cotton wool) ☐ intended to manage the microenvironment of wounds (e.g. non-medicated impregnated gauze dressings) ☐ intended to be used principally with wounds which have breached the dermis and can only heal by secondary intent (e.g. dressings for chronic ulcerated wounds). ☐ impregnated with medicinal products (e.g. medicated gauze dressings)	
C008	Class of the medical device: ☐ Class II ☒ Class III ☐ Class IV Reasons for classifying the device as Class II/III/IV device: *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))*	
C009	Manufacturing Site(s) *(Use separate sheet if required)*: *(1) 1324N, Derby Road, Arlington, VA 12345-6789, USA* *(2) 1000 Butler Road, Plymouth Place, PA 12486-1248, USA*	(C1) ☒
C010	History of previous recalls, reportable adverse incidents, banning in other countries or post-market surveillance studies ☐ No ☒ Yes (Please check the appropriate boxes and provide details): ☐ Recalls completed or in progress ☒ Reportable adverse incidents bearing implications to the device ☐ The device banned previously in other countries ☐ Proactive post-market surveillance studies	(C2) ☒
C011	Usage ☐ The device is for single use ☐ The device is supplied as sterile product ☐ Disposal of used device or any part thereof (including any used accessories or consumables) requires special precautions. ☒ The device is intended to be used/operated by healthcare professionals only ☐ The device is intended to be used/operated by laypersons ☐ It is intended for self-use	
C012	Repair and Servicing ☒ The device requires regular servicing/testing/checking/calibration ☒ Repairs and servicing provided by the LRP or appointed party in Hong Kong ☐ All repairs and servicing performed in Hong Kong ☒ Part of the repairs and servicing performed in Hong Kong ☒ Technical support provided by the manufacturer	

C013	Labelling Requirements Instructions for use are available (Note: Devices intended for self-use by consumers must be accompanied by instructions for use written in both English and Chinese): ☒ in English ☐ in Chinese ☒ A set of copies of device labelling is enclosed ☒ Electronic labelling is available: *https://www.abcmedical.com/vgood* ☒ Sample of Special Listing Information is enclosed Please indicate where in the labelling the following information is given: (1) Indications for use of the device: *Pages 4 – 8 of the operator's manual* (2) Contraindications against use of the device: *Pages 9 – 11 of the operator's manual* (3) Cleaning, disinfection and/or sterilization procedures: *Pages 45 of the operator's manual* (4) User precautions: *Pages 24 – 28 of the operator's manual* (5) Disposal precautions: *N.A.*	(C3) ☒
C014	Licencing Requirements The device is subject to provisions under the following ordinances and a copy of the required licence(s) is/are enclosed: Yes No ☐ ☒ Radiation Ordinance (Cap. 303) ☐ ☒ Pharmacy and Poisons Ordinance (Cap. 138) ☐ ☒ Antibiotics Ordinance (Cap. 137) ☐ ☒ Dangerous Drugs Ordinance (Cap. 134)	(C4) ☐
C015	Conformity Assessment ☐ MDACS Conformity Assessment Certificate issued by one of the Conformity Assessment Bodies recognized by MDD MDACS Conformity Assessment Body number: _____	(C5) ☐
C016	Safety and Risk Analysis International or national safety standards with which the device complies: *(1) IEC 60601-1:2005; (2) IEC 60601-1-2:2014; (3) IEC60601-1-8:2006; (4) IEC 60601-2-49:2011* ☒ Risk analysis conducted: report or summary is enclosed ☒ Type test performed: report or test certificate is enclosed	(C6) ☒
C017	Clinical Evaluation ☒ Clinical investigation report of the device is enclosed ☐ Demonstration of equivalence to another device (equivalent device) where safety and efficacy of which are well established: ☐ Clinical investigation report of the equivalent device and a report of demonstration of equivalence are enclosed ☐ Report demonstrating full equivalence to a well established product is enclosed	(C7) ☒

Note	Part D: Marketing Approvals and Essential Principles	Encl.
D001	Marketing Approvals in Mainland China and/or Foreign Countries ☒ Approval(s) obtained for the medical device (with same make and model) to be placed on the market of the following countries: ☒ Mainland China (National Medical Products Administration) ☐ Australia (The Therapeutic Goods Administration) ☐ Canada (Health Canada) ☒ Member countries of European Union that have implemented relevant EU directives or regulations and a copy of the EC Declaration of Conformity is enclosed ☐ Japan (Ministry of Health, Labour and Welfare) ☐ United States of America (U.S. Food and Drug Administration) Essential Principles ☐ Earliest approval obtained on or before 31 December 2004 ☒ Earliest approval obtained on or after 1 January 2005 ☒ Essential Principles Conformity Checklist MD-CCL is enclosed; OR ☐ Essential Requirements Checklist / General Safety and Performance Requirements Checklist in accordance with relevant EU directives or regulations and Essential Principles Declaration of Conformity are enclosed	(D1) ☒

	Part E: Intention to join the Expedited Approval Scheme	Encl.
	☐ We would like to OPT-OUT from joining the Expedited Approval Scheme even if the medical device concerned is/are eligible[#] to join the scheme. *#Eligibility to join the scheme:* *1. Applicant shall be an existing LRP;* *2. There are no reported deaths or serious injuries associated with the device (local and worldwide);* *3. There are no active recalls, field safety corrective actions or adverse events (local and worldwide); and* *4. The device has two or more valid, independent Marketing Approvals from Mainland China, and/or GHTF founding members (Also see Note D001), marketing approvals provided must cover the same make and model of the device concerned.* *For details of the Scheme, please visit our website* *https://www.mdd.gov.hk/filemanager/SchExp_Note_for_Applicant_202201.pdf*	

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: *31 Jul 2020*

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.

The provision of personal data is voluntary. If you do not provide sufficient information in the application as specified, we may not be able to process your application and assess your eligibility for a listing certificate.

2. Classes of Transferees

The personal data you provided 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 paragraph 1 above, if required. Apart from this, the data may only be disclosed to parties where you have given consent to such disclosure or where such disclosure is allowed under the Personal Data (Privacy) Ordinance.

3. Access to Personal Data

You have a right to request access to and correction of your personal data as provided in accordance with the Personal Data (Privacy) Ordinance (Cap. 486).

Your right of access includes the right to obtain a copy of your personal data provided by you during the occasion as mentioned in paragraph 1 above. A fee may be imposed for complying with a data access request.

4. Enquiries

Enquiries in relation to the personal data, including requests for making access or corrections to the data, should be addressed to:

Executive Officer (Medical Device)
Medical Device Division, Department of Health
Room 604, 6/F, 14 Taikoo Wan Road,
Taikoo Shing, Hong Kong
Telephone number: 3107 8453
Email address: mdd@dh.gov.hk.

Please quote your application number when you make the enquiries.

Ref. MDS-01

Additional information of medical device system

"ABC Medical / VGOOD PMS-123" Monitoring Systems, Physiologic *comprises a physiologic 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 physiologic monitor. Users can plug into the module rack any physiological modules (items 4 to 8) to enable the physiologic 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.

	AMDNS Term / Device Description	***AMDNS Code***	***Identifier***	***Functions/Purpose***
1.	*Monitors, Bedside, Physiologic, Modular*	*20171*	*PMS-VDU*	*For displaying, recording, alarming of physiological parameters, depending which modules are being plugged into the module rack (item 3)*
2.	*Keypads, Computer/Computerized System, Remote Control*	*22858*	*PMS-RCK*	*For users to enter data and commands to control the functions of the physiologic monitoring system*
3.	*Physiologic Monitor Module Housings*	*22856*	*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.	*Physiologic Monitor Modules, Electrocardiography*	*20771*	*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.	*Physiologic Monitor Modules, Pulse Oximetry*	*20781*	*PMS-SPO*	*Plugged into the module rack (item 3), for measuring transcutaneously oxygen concentration (SpO_2) in arterial blood (using spectrophotometry method).*

6.	*Physiologic Monitor Modules, Noninvasive Blood Pressure*	*20773*	*PMS-NBP*	*Plugged into the module rack (item 3), for measuring blood pressure non-invasively (using oscillometric method)*
7.	*Physiologic Monitor Modules, Invasive Blood Pressure*	*20772*	*PMS-IBP*	*Plugged into the module rack (item 3), for measuring invasive blood pressure (direct method)*
8.	*Physiologic Monitor Modules, Temperature*	*20779*	*PMS-TMP*	*Plugged into the module rack (item 3), for measuring patient's body temperature*
9.	*Paper, Recording*	*15639*	*PMS-PRN*	*Plugged into the module rack (item 3), for providing print-out of patient related data from various physiological modules (items 4 – 8)*

Ref. MDS-02

Accessories of "ABC Medical / VGOOD PMS-123" Monitoring Systems, Physiologic

	AMDNS Term / Device Description	***AMDNS Code***	***Identifiers***	***Medical Device/ Component Medical Device to be used with***
1.	*Cables/Leads, Electrocardiography*	*15754*	*PMS-ACC-ECR-01* *PMS-ACC-ECR-02* *PMS-ACC-ECR-03* *PMS-ACC-ECR-04* *PMS-ACC-ECR-05*	*"PMS-ECR" ECG/Resp. Module*
2.	*Probes, Pulse Oximeter*	*17594*	*PMS-ACC-SPO-01* *PMS-ACC-SPO-02* *PMS-ACC-SPO-03* *PMS-ACC-SPO-04*	*"PMS-SPO" SpO_2 Module*
3.	*Physiologic Monitor Modules, Noninvasive Blood Pressure*	*20773*	*PMS-ACC-NBP-01* *PMS-ACC-NBP-02* *PMS-ACC-NBP-03* *PMS-ACC-NBP-04* *PMS-ACC-NBP-05* *PMS-ACC-NBP-06*	*"PMS-NBP" NIBP Module*
4.	*Physiologic Monitor Modules, Invasive Blood Pressure*	*20772*	*PMS-ACC-IBP-07* *PMS-ACC-IBP-08* *PMS-ACC-IBP-09* *PMS-ACC-IBP-10* *PMS-ACC-IBP-11* *PMS-ACC-IBP-12* *PMS-ACC-IBP-13* *PMS-ACC-IBP-14*	*"PMS-IBP" IBP Module*
5.	*Probes, Thermometer*	*13125*	*PMS-ACC-TMP-01* *PMS-ACC-TMP-02* *PMS-ACC-TMP-03*	*"PMS-TMP" Temperature Module*
6.	*Paper, recording*	*15639*	*PMS-ACC-PRN-01*	*"PMS-PRN" Chart Recorder Module*

Appendix 2

Medical Device Division
Department of Health

Medical Device Administrative Control System
Essential Principles Conformity Checklist

Make: *ABC Medical*
Brand Name and Model: *VGOOD 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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. 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.* *3. 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.*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard* *4. Type Test Certificate No. 34567 to show compliance with IEC 60601-1-8 standard* *5. Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *6. Risk Analysis Report RAR-001*

2.	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: • 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	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: • 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*	*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.*	*Biological Evaluation Test Report No. 012345*
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*	*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.*	*Biological Evaluation Test Report No. 012345*
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*	*1. 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.* *2. Risk analysis has been performed in accordance with ISO 14971.*	*1. Biological Evaluation Test Report No. 012345* *2. Risk Analysis Report RAR-001*
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*	*Not applicable*	*Not applicable*
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*	*Risk analysis has been performed in accordance with ISO 14971.*	*Risk Analysis Report RAR-001*
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*	*Risk analysis has been performed in accordance with ISO 14971.*	*Risk Analysis Report RAR-001*

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: • allow easy handling, and, where necessary: • 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*	*Risk analysis has been performed in accordance with ISO 14971.*	*Risk Analysis Report RAR-001*
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*	*Not applicable*	*Not applicable*
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*	*Not applicable*	*Not applicable*
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*	*Not applicable*	*Not applicable*
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*	*Risk analysis has been performed in accordance with ISO 14971.*	*Risk Analysis Report RAR-001*

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*	*Risk analysis has been performed in accordance with ISO 14971.*	*Risk Analysis Report RAR-001*
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*	*1. 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.* *2. Risk analysis has been performed in accordance with ISO 14971.*	*1. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *2 Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard* *3. Type Test Certificate No. 34567 to show compliance with IEC 60601-1-8 standard* *4. Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *5. Risk Analysis Report RAR-001*

9.2	Devices should be designed and manufactured in such a way as to remove or reduce as far as reasonably practicable and appropriate: • 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*	*Ditto*	*Ditto*
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*	*Not applicable*	*Not applicable*
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*	*1. The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards.* *2 Risk analysis has been performed in accordance with ISO 14971.*	*1. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *2 Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *3. Risk Analysis Report RAR-001*

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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. The patient monitor is tested to comply with IEC 60601-1 standard.* *3. Risk analysis has been performed in accordance with ISO 14971.*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. 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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. The patient monitor is tested to comply with IEC 60601-1 standard.* *3. Risk analysis has been performed in accordance with ISO 14971.*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. Risk Analysis Report RAR-001*
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*	*Not applicable*	*Not applicable*
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*	*Not applicable*	*Not applicable*
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*	*Not applicable*	*Not applicable*
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*	*Not applicable*	*Not applicable*
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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. The patient monitor is tested to comply with IEC 60601-1, IEC 60601-1-2 and IEC 60601-2-49 standards.* *3. Risk analysis has been performed in accordance with ISO 14971.*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard* *4. Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *5. Risk Analysis Report RAR-001*
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*	*Ditto*	*Ditto*
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*	*Ditto*	*Ditto*
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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. The patient monitor is tested to comply with IEC 60601-1, IEC 60601-1-8 and IEC 60601-2-49 standards.* *3. Risk analysis has been performed in accordance with ISO 14971.*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. Type Test Certificate No. 34567 to show compliance with IEC 60601-1-8 standard* *4. Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *5. Risk Analysis Report RAR-001*

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*	*The patient monitor is tested to comply with IEC IEC 60601-1-2 standard.*	*Type Test Certificate No. 23456 to show compliance with IEC 60601-1-2 standard*
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*	*- Ditto -*	*- Ditto -*
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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards.* *3. Risk analysis has been performed in accordance with ISO 14971.*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *4. Risk Analysis Report RAR-001*
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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards.* *3. Risk analysis has been performed in accordance with ISO 14971.*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *4. Risk Analysis Report RAR-001*
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*	*Ditto*	*Ditto*

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*	*Ditto*	*Ditto*
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*	*Ditto*	*Ditto*
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*	*Ditto*	*Ditto*
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*	*1. The devices are designed and manufactured under a full quality management system in accordance with ISO 13485 and presently certified* *2. The patient monitor is tested to comply with IEC 60601-1 and IEC 60601-2-49 standards* *3. Risk analysis has been performed in accordance with ISO 14971*	*1. ISO 13485 Certificate No. 012345* *2. Type Test Certificate No. 123456 to show compliance with ISO IEC 60601-1 standard* *3. Type Test Certificate No. 45678 to show compliance with IEC 60601-2-49 standard* *4. Risk Analysis Report RAR-001*
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*	*Ditto*	*Ditto*
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*	*Ditto*	*Ditto*
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 and IEC / TR 60878 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: *31 Jul 2020*

Appendix 3

<Name of Manufacturer/Local Responsible Person>
<Address of Manufacturer/Local Responsible Person>
<Date>

Medical Device Division,
Department of Health,
Room 604, 6/F,
14 Taikoo Wan Road,
Taikoo Shing, Hong
Kong

Dear Sirs

Product: <Make> <Brand Name and Model(s)>

<Product Description>

Manufactured by <Manufacturer>
<Address of Manufacturer>

We declare that the captioned product fully complies with all the relevant clauses stipulated under the Essential Principles of Safety and Performance of Medical Devices as required under the Medical Device Administrative Control System. We undertake to provide the necessary evidence to demonstrate the compliance within two weeks upon request.

Yours faithfully

<Signature>
<Name and Title>
<Company Name>