

**SCREENING CHECKLIST
FOR ALL PREMARKET NOTIFICATION [510(k)] SUBMISSIONS**

510(k) Number: _____

The cover letter clearly identifies the type of 510(k) submission as (**Check the appropriate box**):

- , Special 510(k) - Do Sections 1 and 2
- , Abbreviated 510(k) - Do Sections 1, 3 and 4
- , Traditional 510(k) or no identification provided - Do Sections 1 and 4

Section 1: Required Elements for All Types of 510(k) submissions:

	Present or Adequate	Missing or Inadequate
Cover letter, containing the elements listed on page 3-2 of the Premarket Notification [510] Manual.		
Table of Contents.		
Truthful and Accurate Statement.		
Device's Trade Name, Device's Classification Name and Establishment Registration Number.		
Device Classification Regulation Number and Regulatory Status (Class I, Class II, Class III or Unclassified).		
Proposed Labeling including the material listed on page 3-4 of the Premarket Notification [510] Manual.		
Statement of Indications for Use that is on a separate page in the premarket submission.		
Substantial Equivalence Comparison, including comparisons of the new device with the predicate in areas that are listed on page 3-4 of the Premarket Notification [510] Manual.		
510(k) Summary or 510(k) Statement.		
Description of the device (or modification of the device) including diagrams, engineering drawings, photographs or service manuals.		
Identification of legally marketed predicate device. *		
Compliance with performance standards. * [See Section 514 of the Act and 21 CFR 807.87 (d).]		
Class III Certification and Summary. **		
Financial Certification or Disclosure Statement for 510(k) notifications with a clinical study. * [See 21 CFR 807.87 (i)]		
510(k) Kit Certification ***		

- * - May not be applicable for Special 510(k)s.
- ** - Required for Class III devices, only.
- *** - See pages 3-12 and 3-13 in the Premarket Notification [510] Manual and the Convenience Kits Interim Regulatory Guidance.

Section 2: Required Elements for a SPECIAL 510(k) submission:

	Present	Inadequate or Missing
Name and 510(k) number of the submitter's own, unmodified predicate device.		
A description of the modified device and a comparison to the sponsor's predicate device.		
A statement that the intended use(s) and indications of the modified device, as described in its labeling are the same as the intended uses and indications for the submitter's unmodified predicate device.		
Reviewer's confirmation that the modification has not altered the fundamental scientific technology of the submitter's predicate device.		
A Design Control Activities Summary that includes the following elements (a-c):		
a. Identification of Risk Analysis method(s) used to assess the impact of the modification on the device and its components, and the results of the analysis.		
b. Based on the Risk Analysis, an identification of the required verification and validation activities, including the methods or tests used and the acceptance criteria to be applied.		
c. A Declaration of Conformity with design controls that includes the following statements:		
A statement that, as required by the risk analysis, all verification and validation activities were performed by the designated individual(s) and the results of the activities demonstrated that the predetermined acceptance criteria were met. This statement is signed by the individual responsible for those particular activities.		
A statement that the manufacturing facility is in conformance with the design control procedure requirements as specified in 21 CFR 820.30 and the records are available for review. This statement is signed by the individual responsible for those particular activities.		

Section 3: Required Elements for an ABBREVIATED 510(k)* submission:

	Present	Inadequate or Missing
For a submission, which relies on a guidance document and/or special control(s), a summary report that describes how the guidance and/or special control(s) was used to address the risks associated with the particular device type. (If a manufacturer elects to use an alternate approach to address a particular risk, sufficient detail should be provided to justify that approach.)		
For a submission, which relies on a recognized standard, a declaration of conformity [For a listing of the required elements of a declaration of conformity, SEE Required Elements for a Declaration of Conformity to a Recognized Standard , which		

is posted with the 510(k) boilers on the H drive.]		
For a submission, which relies on a recognized standard without a declaration of conformity, a statement that the manufacturer intends to conform to a recognized standard and that supporting data will be available before marketing the device.		
For a submission, which relies on a non-recognized standard that has been historically accepted by FDA, a statement that the manufacturer intends to conform to a recognized standard and that supporting data will be available before marketing the device.		
For a submission, which relies on a non-recognized standard that has <u>not</u> been historically accepted by FDA, a statement that the manufacturer intends to conform to a recognized standard and that supporting data will be available before marketing the device <u>and</u> any additional information requested by the reviewer in order to determine substantial equivalence.		
Any additional information, which is not covered by the guidance document, special control, recognized standard and/or non-recognized standard, in order to determine substantial equivalence.		

- * - When completing the review of an abbreviated 510(k), please fill out an Abbreviated Standards Data Form (located on the H drive) and list all the guidance documents, special controls, recognized standards and/or non-recognized standards, which were noted by the sponsor.

Section 4: Additional Requirements for ABBREVIATED and TRADITIONAL 510(k) submissions (If Applicable):

	Present	Inadequate or Missing
a) Biocompatibility data for all patient-contacting materials, OR certification of identical material/formulation:		
b) Sterilization and expiration dating information:		
i) sterilization process		
ii) validation method of sterilization process		
iii) SAL		
iv) packaging		
v) specify pyrogen free		
vi) ETO residues		
vii) radiation dose		
viii) Traditional Method or Non-Traditional Method		
c) Software Documentation:		

Items with checks in the “Present or Adequate” column do not require e additional information from the sponsor. Items with checks in the “Missing or Inadequate” column must be submitted before substantive review of the document.

Passed Screening ____ Yes ____ No

Reviewer: _____

Concurrence by Review Branch: _____

Date: _____

The deficiencies identified above represent the issues that we believe need to be resolved before our review of your 510(k) submission can be successfully completed. In developing the deficiencies, we carefully considered the statutory criteria as defined in Section 513(i) of the Federal Food, Drug, and Cosmetic Act for determining substantial equivalence of your device. We also considered the burden that may be incurred in your attempt to respond to the deficiencies. We believe that we have considered the least burdensome approach to resolving these issues. If, however, you believe that information is being requested that is not relevant to the regulatory decision or that there is a less burdensome way to resolve the issues, you should follow the procedures outlined in the “A Suggested Approach to Resolving Least Burdensome Issues” document. It is available on our Center web page at: <http://www.fda.gov/cdrh/modact/leastburdensome.html>