MDS – REQ 2

Requirements for
Clinical Trials of Medical Devices

Version Number: 4.1
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"Translated Copy"

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Introduction

Purpose

The purpose of this document is to specify and clarify the requirements for conducting clinical trials of medical devices within KSA.

Scope

This document applies to contract research organization (CRO) or other parties wishing to conduct clinical investigations of medical devices or clinical performance studies of in vitro diagnostics medical devices within KSA.

For the purpose of this document, the term “clinical trial” is synonymous with “clinical study”, “clinical investigation” and “clinical performance study”.

Background

SFDA has issued this document in reference to the following:

- Articles (Seven) and (Twenty-Eight) of the "Medical Devices Law" issued by the Royal Decree No. (M/54) dated 6/7/1442 AH.
- Articles (7/1), (7/2), (7/3), (7/4), (7/5), (7/6), (7/7), (7/8) and (28/2) of the "Implementing Regulation of Medical Devices Law" issued by Saudi Food and Drug Authority Board of Directors decree No. (3-29-1443) dated 19/2/1443 AH.

Requirements

General	1	SFDA establishment license shall be obtained by any Clinical Research Organizations (CRO) conducting clinical trials within KSA.
	2	A full-time Saudi national in charge of clinical trials shall be appointed, with an appropriate academic qualification not less than a bachelor's degree, and with an experience of not less than (3) years in the field of clinical trials.
	3	SFDA import permission shall be obtained for all medical devices intended to be imported for clinical trials in accordance with the Requirements for Importation, Exportation and Shipment Clearance of Medical Devices (MDS-REQ 5).
	4	The labelling or the instructions for use shall indicate that the medical device is exclusively for use in a clinical trial, and shall adhere to the requirements referred to in "Requirements for Medical Devices Marketing Authorization (MDS-REQ 1)"
Regulatory References and Standards	5	The clinical trial shall comply with the following: – Implementing Regulations of the Law of Ethics of Research on Living Creatures. – Declaration of Helsinki. – The standard of good clinical practice for clinical investigation of medical devices (ISO 14155) or any other similar standard. – The standard of good study practice for clinical performance studies of in vitro diagnostics medical devices (ISO 20916) or any other similar standard.

Procedures

Submitting the Application	1	Applicant can be a local sponsor, an authorised representative (in the case of sponsor located outside KSA), or a Contract Research Organisation (CRO).
	2	All required documents shall be submitted by email to MDCI@sfda.gov.sa as follows: A. Prior to conducting the clinical trial, as specified in section (A) of "Required Documents". ▪ In case of missing documents, SFDA will notify the applicant within (5 days). ▪ The application will considered "Void" in case the required documents is not completed within (60 days) from the date of submitting the application. ▪ After completion of the required documents, the SFDA will evaluate the application within (60 days) and take a decision as follow: o Once conditions and requirements are satisfied, SFDA will issue a "No Objection Letter". o If conditions and requirements are not satisfied, SFDA will issue an "Objection Letter" with justifications. In this case, the applicant is entitled to lodge an objection to the decision within (30 days). B. During the clinical trial, as specified in section (B) of "Required Documents". C. After completing the clinical trial, as specified in section (C) of "Required Documents".
Inspection of the Study Site	3	SFDA may conduct an inspection of the study site without any prior notice.
Deviations in a Clinical Trial	4	SFDA shall be notified within (5 days) of any occurrence of a major deviation from the approved clinical investigation plan (CIP) that could have a substantial impact on the safety and rights of subjects.

Reporting and Investigating Serious Adverse Events or Device Deficiencies Related to Clinical Trial	5	• The National Center for Medical Devices Reporting (NCMDR) shall be provided with the "Form of Reporting Serious Adverse Events and Device Deficiency of Medical Devices Used in Conducting the Clinical Trial" regarding any serious adverse events (SAE) within (10 days) or device deficiency (DD) within (30 days). • The investigation shall be conducted and the investigation's final report shall be submitted to the National Center for Medical Devices Reporting (NCMDR) in accordance with what is mentioned in "Reporting and Investigating Medical Devices Incidents and Complaints" within the Requirements for Post-Market Surveillance for Medical Devices (MDS-REQ 11).
Suspension of a Clinical Trial	6	SFDA may suspend the clinical trial in case of serious breaches in the approved CIP that would lead to a substantial impact on the safety and rights of subjects.
Completion of a Clinical Trial	7	SFDA shall be notified about completion of the clinical trial within (10 days) of last patient follow-up.

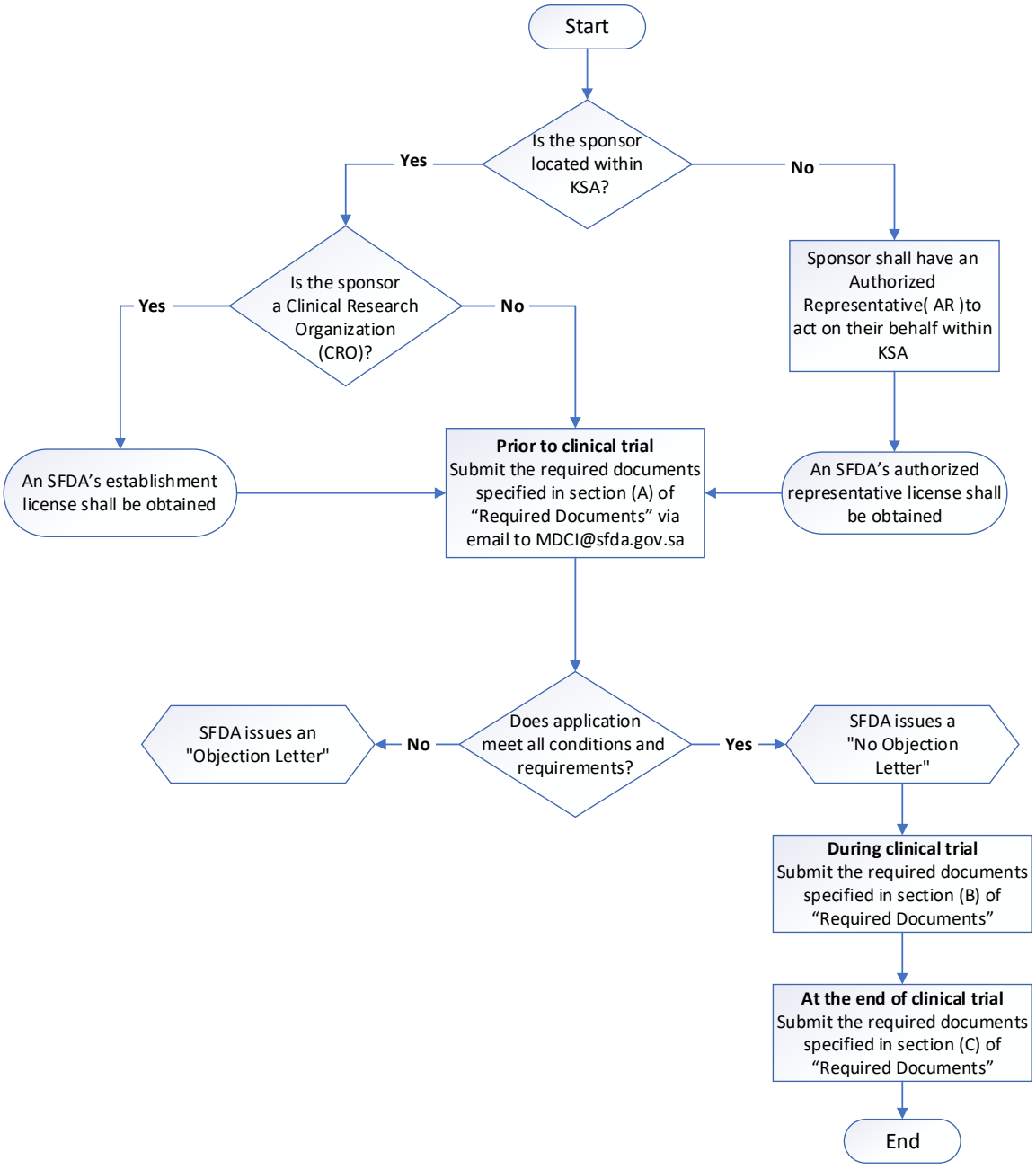
Required Documents

	Required Documents	Note
(A) Required documents prior to conducting the clinical trial		
1	Application Form for Clinical Trials of Medical Device	See Annex (1).
2	Labelling of the Medical Device	It shall include a clear indication that the medical device is exclusively for use in a clinical trial.
3	Agreement between sponsor/authorized representative and study site/principal investigator	– It shall include the agreed upon collaboration and responsibilities. – It shall be signed and dated.
4	Agreement between sponsor/authorized representative and Contract Research Organization (CRO)	– It is required in case a CRO is contracted to perform one or more of the clinical trial-related duties and functions. – It shall specifies all duties and functions delegated to the CRO. – It shall be signed and dated.

5	Local Research Ethics Committee (REC) Approval Letter	- The REC shall be registered at the National Committee of Bio Ethics (NCBE). - It shall be signed and dated.
6	Clinical Investigation Plan (CIP) or Clinical Study Protocol (CSP)	It shall be the latest version approved by the local Research Ethics Committee.
7	Investigator's Brochure (IB)	It is only required for pre-market clinical trials.
8	Informed consent	It shall be in Arabic and English.
9	Medical insurance policy	It is only required for medical devices interventional studies.
10	CV and qualifications of Principal Investigator(s) and Investigator(s)	A CV or any other qualifications including certificates of education, training and experience.
11	Disclosure of Principal Investigator Conflict of Interests	See Annex (2).
12	Authorized Representative (AR) Licence	It is only required for sponsors located outside KSA.
13	CRO Establishment Licence	It is only required in case a CRO is contracted by the sponsor/authorized representative.
(B) Required documents during the clinical trial		
14	Progress report	- It shall be submitted within (One year) from the start of conducting a clinical trial. - It shall include a summary of all adverse events whether related or not related to the investigational medical device or the procedure, including a discussion of the severity, resolution and relevant principal investigator's judgment concerning the causal relationship with the investigational devices or procedure.
15	Amendment form	- See Annex (3). - It shall be submitted within (10) days from the occurrence of amendment to any documents approved by SFDA.
16	Change of Principal Investigator (PI)	SFDA shall be notified with the following documents:

		○ CV of alternate PI. ○ Local Research Ethics Committee approval for PI change. ○ Document and agreements signed by the alternate PI.
17	Withdrawal of local Research Ethics Committee (REC) approval	SFDA shall be notified within (5 days) of receiving the withdrawal notice.
18	Suspension or premature termination of a clinical trial	SFDA shall be notified within: ○ (5 days) in case of suspension or premature termination due to safety reasons. ○ (15 days) in case of reasons other than safety. ○ Justification shall be provided in case of suspension, premature termination, or resuming after suspension.
19	Clinical trial deviations report	- Deviations that have a substantial impact on the safety and rights of subjects or on the robustness and reliability of the clinical data. - It shall be reported within (5 days) from the occurrence of deviation.
(C) Required documents after completing the clinical trial		
20	Clinical trial completion notification	It shall be provided to SFDA within (10 days) of last patient follow-up.
21	Clinical trial final report.	It shall be submitted to SFDA within (One year) from the clinical trial completion notification.

Flowchart


Start
Is the sponsor located within KSA?
Yes
No
Is the sponsor a Clinical Research Organization (CRO)?
Yes
No
Sponsor shall have an Authorized Representative(AR)to act on their behalf within KSA
An SFDA's establishment license shall be obtained
Prior to clinical trial
Submit the required documents specified in section (A) of "Required Documents" via email to MDCI@sfda.gov.sa
An SFDA's authorized representative license shall be obtained
Does application meet all conditions and requirements?
No
Yes
SFDA issues an "Objection Letter"
SFDA issues a "No Objection Letter"
During clinical trial
Submit the required documents specified in section (B) of "Required Documents"
At the end of clinical trial
Submit the required documents specified in section (C) of "Required Documents"
End

Annexes

Annex (1): Application Form for Clinical Trials of Medical Device

Saudi Food and Drug Authority **Medical Devices Application**	DATE RECEIVED: (For SFDA Use Only) APPLICATION NUMBER: (For SFDA Use Only)

STUDY INFORMATION

Aim of Study	Type of Study	Will the investigational device be imported to KSA?
☐ Pre-market approval for a new device ☐ Pre-market approval for new claims ☐ Post-market study ☐ Non-market study	☐ Observational study ☐ Interventional study	☐ Yes (import permission is required) ☐ No

Is this a first-in-human study?	Is there a Data and Safety Monitoring Committee (DSMC)?
☐ No ☐ Yes, Brief description:	☐ No ☐ Yes

SPONSOR INFORMATION

Type of sponsor		Type of sponsorship	Type of aid
☐ Manufacturer ☐ AR ☐ Hospital ☐ Independent individuals	☐ Foundation ☐ University or Institution ☐ Other, please specify:	☐ Commercial ☐ Non-commercial, specify:	☐ Material support ☐ Funding support ☐ Other, please specify:

Name of sponsor:		
SFDA account:	Phone:	Email:
Address:		
Contact person name:	Contact person phone:	Contact person email:

AUTHORIZED REPRESENTATIVE INFORMATION

Is the sponsor located outside KSA? ☐ No ☐ Yes, complete the following information:

Name of AR:		
SFDA license:	Phone:	Email:
Address:		
Contact person name:	Contact person phone:	Contact person email:

CRO INFORMATION		
Is any part of the clinical study to be conducted by a Contract Research Organization (CRO)? ☐ No ☐ Yes, complete the following information:		
Name of CRO:		
SFDA license:	Phone:	Email:
Address:		
Contact person name:	Contact person phone:	Contact person email:

INVESTIGATIONAL DEVICE INFORMATION	
Is the Investigational device authorized by SFDA? ☐ Yes, Medical Device Marketing Authorization (MDMA) license No.: ☐ No, but registered in: ☐ Australia ☐ Canada ☐ Japan ☐ USA ☐ EU ☐ Other, specify: ☐ Not registered anywhere.	Name of Investigational Device
The intended purpose of the investigational device	

Device category

☐ Active implantable devices
☐ Anesthetic and respiratory devices
☐ Dental devices
☐ Electro mechanical medical devices
☐ Hospital hardware
☐ Non-active implantable devices
☐ Ophthalmic and optical devices
☐ Reusable devices
☐ Single use devices
☐ Assistive products for persons with disability
☐ Diagnostic and therapeutic radiating devices
☐ Complementary therapy devices
☐ Biologically derived devices
☐ Healthcare facility products and adaptations
☐ Laboratory equipment
☐ Other:

Is the device implantable?	Will the device be used for cosmetic rather than medical purposes?
☐ No ☐ Yes, brief description: ☐ Is the device intended to remain permanently in patient? ☐ No ☐ Yes	☐ No ☐ Yes, Select: ☐ A non-corrective contact lens ☐ An implant for augmentation, fixation, or sculpting of body parts ☐ A facial or other skin filler ☐ Equipment for liposuction ☐ Surgical laser equipment

Does the device contain or incorporate an ancillary medicinal substance?	Does the device incorporate tissues or cells, or their derivatives of animal origin?	Does the device incorporate tissue, cells, or their derivatives, of human origin?	Does the device incorporate cells or substances of microbial origin?
☐ No ☐ Yes, name of medicinal substance:	☐ No ☐ Yes, type of tissue, cell, or substance:	☐ No ☐ Yes, type of tissue, cell, or substance:	☐ No ☐ Yes, type of microbial cells or substances:

STUDY INFORMATION

Clinical Investigation Plan (CIP)	Scientific title:
	Abbreviated title:

Clinical Investigation Plan information

CIP number	CIP date	CIP version	Study start date	Study completion date

Study Design

☐ Randomized ☐ Non-randomized	☐ Open-label ☐ Single-blind ☐ Double-blind	☐ Controlled study ☐ Parallel study ☐ Crossover study ☐ Uncontrolled study	☐ Experimental arm ☐ Active comparator arm ☐ Sham comparator arm ☐ No intervention arm

Other study design:

Does this study include vulnerable subjects? ☐ No ☐ Yes

Number of subjects involved in the clinical study in KSA:	Total number of subjects involved in the clinical study:
Is the clinical study conducted in other countries? ☐ No ☐ Yes, please specify:	Is the clinical study conducted in multiple sites in KSA? ☐ No ☐ Yes, a separate application shall be submitted for each study site.

Number of study sites in KSA:

STUDY SITE IN KSA

Name:

Address:

Name of principal investigator:	Email:	Phone:

Name of Ethics committee (EC):

EC Address:

EC email:	EC phone:	EC registration number at National Committee of Bioethics:

DECLARATION

I, the sponsor defined in this application:

- Undertake that I will comply with the Implementing Regulations of the Law of Ethics of Research on Living Creatures.
- Undertake that I will report to the National Center for Medical Devices Reporting (NCMDR) any serious adverse events (SAE) or device deficiencies (DD) related to the clinical trial.
- Undertake to notify RECs and principal investigators in case of suspension of SFDA's approval, or part of it, within (Five days) of receiving the suspension notice.
- Declare that SFDA has the right to inspect the study site at any time without prior notification.
- Declare that the information provided in this application is true and accurate.
- Declare that I will maintain, if applicable, a proper safe return or disposal of investigational devices.

Name:

Position:

Date:

Signature:

Annex (2): Disclosure of Principal Investigator Conflict of Interests

Title of Clinical Investigation Plan/ Clinical Study Protocol	
Date received:	(For SFDA use only)
Application Number:	(For SFDA use only)

I disclose the following regarding any involvement in the clinical study of the submitted application:

- ☐ any significant payments of other type made from the sponsor, including but not limited to a grant to fund ongoing research, compensation in the form of equipment, retainer for ongoing consultation, or honoraria;
- ☐ any proprietary interest in the investigational product held by the clinical investigator;
- ☐ any considerable equity interest (including but not limited to any ownership interest, stock deal, or other financial interest) held by the clinical investigator in the sponsor of the covered study.

Details of the disclosable financial arrangements and interests are attached, along with a description of steps taken to minimize the potential bias of clinical study results by any of the disclosed arrangements or interests.

Name of principal investigator:

Date:

Signature:

Note: In case of multicenter study, a separate form shall be filled for each principal investigator.

Annex (3): Amendment Form

Date:	
Application Number:	
1. The document type where the change occurs	
2. The original statement	
3. The changed statement	
4. Reason for change	

Note: Each change requires a separate amendment form.

Annex (4): Definitions and Abbreviations

KSA	Kingdom of Saudi Arabia
SFDA	Saudi Food and Drug Authority
MDS	Medical Devices Sector
MDMA	Medical Devices Marketing Authorization
NCMDR	National Center for Medical Devices Reporting
NCBE	National Committee of Bio Ethics
Medical device	Any machine, instrument, application device, culture device, laboratory reagents, laboratory calibration materials, software or operating materials for medical devices, or any similar or related device manufactured alone or in combination with other devices. It is used in the diagnosis, prevention, monitor, control, treatment, mitigation, palliation, or compensation of injuries, as well as in an examination, replacement, modification, anatomical support, influence on the functions of body organs, support or enablement of life (vital functions for humans) to continue, organize or assist pregnancy, sterilize medical devices and supplies, and give information - for a medical or diagnostic purpose - extracted from laboratory tests of samples taken from the human body, as well as that cannot achieve the goal for which they were made in or on the human body. It is mediated by the drug or the immune factor or metabolic transformations but only helps achieve their interactions.
Medical Supply	A medical material or product used in diagnosis, treatment, prosthetics, or orthotics; or in disability cases or other medical uses for humans, including medical gases.
Identifying Information	Any statement, information, or illustration printed on a medical device or supply, including identifying information, technical description, method of use, and manner of storage and transportation.
Clinical Trial	An applied research in which a medical device or supply is used on humans to assess its safety and efficacy.
Contract Research Organization (CRO)	Person or organization contracted by the sponsor to perform one or more of the sponsor's clinical trial-related duties and functions.
Study Site	Institution(s) or location(s) where the clinical trial is carried out, under the supervision of a principal investigator.

Sponsor	Individual or organization taking responsibility and liability for the initiation or implementation of a clinical trial.
Authorized Representative	A legal person based in the Kingdom who has written authorization from a manufacturer located outside the Kingdom to represent it in the Kingdom with regard to the implementation of the "Medical Devices Law and its Regulations.
Principal Investigator (PI)	Qualified person responsible for conducting the clinical trial at a study site Note If a clinical trial is conducted by a team of individuals at a study site, the principal investigator is responsible for leading the team.
Investigator	Individual member of the investigation site team designated and supervised by the principal investigator at a study site to perform critical clinical trial-related procedures or to make important clinical trial-related decisions. Note: An individual member of the investigation site team can also be called "sub-investigator" or "co-investigator".
Investigator's Brochure (IB)	Compilation of the current clinical and non-clinical information on the investigational medical device(s), relevant to the clinical trial.
Subject	Individual who participates in a clinical trial. NOTE A subject can be either a healthy volunteer or a patient.
Ethics Committee (EC)	Independent body whose responsibility is to review clinical trials in the study site in order to protect the rights, safety and well-being of subjects.
Informed Consent	Process by which an individual is provided information and is asked to voluntarily participate in a clinical trial. Note: Informed consent is documented by means of a written, signed and dated informed consent form.
Clinical Investigation Plan (CIP)/Clinical Study Protocol	Document that state(s) the rationale, objectives, design and proposed analysis, methodology, monitoring, conduct and record-keeping of the clinical investigation.
Deviation	Instance(s) of failure to follow, intentionally or unintentionally, the requirements of the CIP.
Investigational medical device	Medical device being assessed for safety or performance in a clinical trail. NOTE 1 This includes medical devices already on the market, that are being evaluated for new intended uses, new populations, new materials or design changes.

	NOTE 2 The terms “investigational medical device” and “investigational device” are used interchangeably.
Adverse event (AE) of Investigational medical device	Any untoward medical occurrence, unintended disease or injury, or untoward clinical signs (including abnormal laboratory findings) in subjects, users or other persons, whether or not related to the investigational medical device or procedure.
Serious Adverse Event (SAE) of Investigational medical device	Adverse event that may directly or indirectly lead to: A. death of a patient, user or other person, B. serious deterioration in the health of patient, user or other person, that either resulted in: o life-threatening illness or injury, or o permanent impairment of a body structure or a body function, or o in-patient or prolonged hospitalization, or o medical or surgical intervention to prevent life-threatening illness or injury or permanent impairment to a body structure or a body function. C. fetal distress, fetal death, congenital abnormality or birth defect
Device Deficiency (DD) of Investigational medical device	Inadequacy of investigational medical device with respect to its identity, quality, durability, reliability, safety or performance. NOTE Device deficiencies include malfunctions, use errors, and inadequate labelling.
Clinical trial final report.	Document describing the design, execution, statistical analysis and results of a clinical investigation.

Annex (5): List of Changes on the Previous Version

Number & Date of the Previous Version	Changes Description
4.0 19/12/2021	• Replace the following document: "Guidance for Post-Market Clinical Follow-Up Studies (MDS-G31)" • Amendment to the "Background" section. • Addition of the requirements of Reporting and Investigating Serious Adverse Events or Device Deficiencies Related to Clinical Trial. • Editorial amendment to the "Procedures" section. • Editorial amendment to the "Required Documents" section. • Update and modify "Definition and Abbreviations" in reference to "Medical Devices Law" and its executive regulation.