

**Table of Contents [ToC]**

**Product dossier checklist**

*Prequalification of in vitro diagnostics*

The attached Product Dossier contains information in support of the previously submitted Prequalification of in vitro diagnostics *-* Pre-submission form (Document PQDx\_015) for the following product:

|  |  |
| --- | --- |
| **Application Number:** |  |
| **Product Name:** |  |
| **Manufacturer Name:** |  |

Table of Contents [ToC] Product dossier checklist – Prequalification of In Vitro Diagnostics

WHO/MHP/RPQ/PQT/2022.03

**© World Health Organization 2022**

Some rights reserved. This work is available under the Creative Commons Attribution-NonCommercial-ShareAlike 3.0 IGO licence (CC BY-NC-SA 3.0 IGO; <https://creativecommons.org/licenses/by-nc-sa/3.0/igo>).

Under the terms of this licence, you may copy, redistribute and adapt the work for non-commercial purposes, provided the work is appropriately cited, as indicated below. In any use of this work, there should be no suggestion that WHO endorses any specific organization, products or services. The use of the WHO logo is not permitted. If you adapt the work, then you must license your work under the same or equivalent Creative Commons licence. If you create a translation of this work, you should add the following disclaimer along with the suggested citation: *“*This translation was not created by the World Health Organization (WHO). WHO is not responsible for the content or accuracy of this translation. The original English edition shall be the binding and authentic edition”.

Any mediation relating to disputes arising under the licence shall be conducted in accordance with the mediation rules of the World Intellectual Property Organization.

**Suggested citation**. Table of Contents [ToC] Product dossier checklist- Prequalification of In Vitro Diagnostic version 4. Geneva: World Health Organization; 2022. Licence: [CC BY-NC-SA 3.0 IGO](https://creativecommons.org/licenses/by-nc-sa/3.0/igo/).

**Cataloguing-in-Publication (CIP) data.** CIP data are available at [http://apps.who.int/iris](http://apps.who.int/iris/).

**Sales, rights and licensing.** To purchase WHO publications, see <http://apps.who.int/bookorders>. To submit requests for commercial use and queries on rights and licensing, see <http://www.who.int/about/licensing>.

**Third-party materials.** If you wish to reuse material from this work that is attributed to a third party, such as tables, figures or images, it is your responsibility to determine whether permission is needed for that reuse and to obtain permission from the copyright holder. The risk of claims resulting from infringement of any third-party-owned component in the work rests solely with the user.

**General disclaimers.** The designations employed and the presentation of the material in this publication do not imply the expression of any opinion whatsoever on the part of WHO concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. Dotted and dashed lines on maps represent approximate border lines for which there may not yet be full agreement.

The mention of specific companies or of certain manufacturers’ products does not imply that they are endorsed or recommended by WHO in preference to others of a similar nature that are not mentioned. Errors and omissions excepted, the names of proprietary products are distinguished by initial capital letters.

# Instructions for the reader:

The information in this checklist is used in the screening for completeness and dossier review phase of the prequalification assessment. WHO requires that a product dossier is submitted in the “Table of Contents” (ToC) format, described in the IMDRF document IMDRF/RPS WG/N13 FINAL:2019 (Edition 3). In this document sections are numbered according to IMDRF ToC format. As the IMDRF ToC is comprehensive in nature, not all headings are required for WHO prequalification and are excluded.

* All sections listed in the table are required to be submitted as part of the product dossier for full assessment unless indicated “if applicable”. Some additional information may be required – please refer to the Technical Specifications Series (TSS) document that corresponds to the product that is the subject of the application. Please add document references, as described below, accordingly.
* The requirements for an abridged dossier submission are noted in the column “Abridged requirements” (R= required, NR= not required).
* Insert **Yes or No** in the “Provided” column whether each section is supplied. Where information is not available or the field is not applicable, type in **N/A**.
* In the “Location” column, state the associated page numbers and volume or section number as required for each field.
* The manufacturer is requested to submit this form as a searchable PDF file. The Manufacturer Declaration on page 16 of this document may be signed electronically.

| **Dossier Content Requirement**  | **Provided** | **Location** | **Abridged requirements** |
| --- | --- | --- | --- |
| DOSSIER FORMAT |  |  |  |
| Product Dossier Submission Format |  |  |  |
| One electronic copy of the product dossier submitted |  |  | R |
| Layout and Order |  |  |  |
| Proper formatting of page numbers for example page *1 of 2*, *2 of 2*, etc., used |  |  | R |
| The submission is clearly divided into sections as described and all pages are numbered |  |  | R |
| Font sizes are easily legible |  |  | R |
| Electronic Copy Requirements |  |  |  |
| The electronic copy is in PDF form with no password required |  |  | R |
| The name of the file is descriptive and doesn’t contain any of the noted special characters |  |  | R |
| Language and Units of Measurement |  |  |  |
| English language and International System of Units of measure used |  |  | R |
| Any translations have been carried out by a certified translator (if applicable) |  |  | R |
| **1. ADMINISTRATIVE** |  |  |  |
| **1.1 Cover letter** |  |  |  |
| The Letter of Agreement is attached to the front page of the dossier  |  |  | R |
| The information concerning the product in the dossier provided is the same in the Letter of Agreement and the Prequalification Dossier  |  |  | R |
| **1.2 Submission table of contents** |  |  |  |
| This table of contents appears at the beginning of the product dossier |  |  | R |
| Each section is numbered and named according to the Product Dossier Checklist |  |  | R |
| The physical pages of the dossier and the page numbers in this checklist correspond; all applicable TSS-related sections are clearly indicated |  |  | R |
| **1.3 List of terms/Acronyms** |  |  |  |
| Abbreviations and acronyms used in the submission are defined |  |  | R |
| **1.4 Application form/Administrative information** |  |  |  |
| A copy of the completed PQDx\_015 *Pre-Submission Form* to which this submission relates is included  |  |  | R |
| The information in the product dossier is consistent with the completed PQDx\_015 *Pre-submission Form*: if not, any differences are explained and supporting evidence provided |  |  | R |
| **1.5 Listing of devices** |  |  |  |
| A list of configurations is included, if applicable |  |  | R |
| A list of accessories and/or other products to be used with the IVD is included, if applicable |  |  | R |
| **1.6 QMS or other regulatory certificates** |  |  |  |
| A certified copy of the manufacturer’s quality management system certificate is included |  |  | R |
| **1.7 Free sale certificate / Certificate of marketing authorisation** |  |  |  |
| If applicable, a list of National Regulatory Authorities that have provided current regulatory approval for the supply of the IVD and the type of regulatory approval obtained is included |  |  | R |
| Certificates provided by National Regulatory Authorities where the IVD is approved for use are included, if applicable |  |  | R |
| Information relating to export-only regulatory approvals are clearly identified |  |  | R |
| **1.8 User fees** |  |  |  |
| Attestation of payment is the second page of the dossier |  |  | R |
| **1.12 Statements/Certifications/Declarations of conformity** |  |  |  |
| *1.12.5 Truthful and accurate statement* |  |  | R |
| The Manufacturer Declaration at the end of this checklist, that all the information provided in the product dossier is current and correct, has been signed and dated |  |  | R |
| **2. SUBMISSION CONTEXT** |  |  |  |
| **2.4 Device description** |  |  |  |
| *2.4.1 Comprehensive device description and principle of operation* |  |  |  |
| A description of the principle of the assay method/instrument principles of operation are provided |  |  | R |
| A description of the components and reactive ingredients are included |  |  | R |
| Photographs of all kit components, both packaged and individual, are included |  |  | R |
| A description and photographs of the specimen collection and transport materials are provided |  |  | R |
| A statement as to whether the test output is qualitative, semi-quantitative or quantitative |  |  | R |
| A statement as to whether the product is automated, semi-automated or manually operated |  |  | R |
| For automated and semi-automated assays: a description of the dedicated instrumentation, or for assays that do not require dedicated instrumentation; a description of the appropriate instrumentation characteristics; and a description of the dedicated consumables. |  |  | R |
| If applicable, there is a description of software to be used with the product |  |  | R |
| *2.4.1 (g) Biological material* |  |  |  |
| A table of all biological materials is provided that includes: identity of each material, origin, source (e.g. blood, tissue etc) and where it is used in the product a  |  |  | NR |
| For each biological material, a description of the steps taken to reduce transition or infection risk is provided |  |  |  |
| If applicable, a determination of the residual risk of transmission/infection to the user is provided and how the user is informed of any residual risk. |  |  | NR |
| *2.4.2 Material specifications* |  |  |  |
| A list of all critical raw materials and components used in the product is provided |  |  | NR |
| For each identified raw material or component, details of the formulation and composition are provided |  |  | NR |
| Sources of IVD component materials are identified |  |  | NR |
| *2.4.4 History of development* |  |  | NR |
| A table summarizing all versions of the product referred to in the dossier is provided, if applicable |  |  | NR |
|  Date of design lockdown (design freeze) is provided |  |  | NR |
| Any changes to the product have been documented and supporting evidence provided |  |  | NR |
| **2.5 Indications for use and/or intended use** |  |  | R |
| *2.5.1 Intended use; Intended purpose; Intended user; Indications for use* |  |  | R |
| The intended use of the IVD, testing population, user, specimen types, analyte, and clinical indication are included |  |  | R |
| *2.5.2 Intended environment / setting for use* |  |  | R |
| The setting(s) where the device is intended to be used is included |  |  | R |
| **2.6 Global market history** |  |  |  |
| *2.6.1 Global market history* |  |  | R |
| There is a list of all countries in which the product under assessment is currently supplied and the year when supply started |  |  | R |
| All regulatory versions of the product are identified and the version being submitted for assessment is indicated |  |  | R |
| The regulatory version to which the information in the product dossier relates is identified |  |  | R |
| *2.6.2 Global incident reports and recalls* |  |  |  |
| If applicable, a list of all adverse events within the last five years with details of the corrective and preventive action taken is provided |  |  | NR |
|  If applicable, details are provided regarding any situations in which this product was rejected by a National Regulatory Authority or regulatory approval was withdrawn |  |  | NR |
| *2.6.4 Evaluation / inspection reports* |  |  |  |
| The most recent full and subsequent surveillance regulatory inspection reports issued by the certification body are included |  |  | R |
| **2.7 Other submission context information** |  |  |  |
| *2.7.1 Global prices* |  |  |  |
| The minimum and maximum global price of supply for the product for the last financial year are included |  |  | R |
| *2.7.2 Training and support networks* |  |  |  |
| For each country, detailed information about the training and support network is provided, including whether manufacturer representatives are located in the country |  |  | NR |
| **3. NON-CLINICAL EVIDENCE** |  |  |  |
| **3.2 Risk management** |  |  |  |
| There is a summary report of the risks identified during the risk analysis process |  |  | R |
| A description of how risks have been controlled to an acceptable level |  |  | R |
| A signed conclusion with evidence that the remaining risks are acceptable is presented |  |  | R |
| There is evidence that the risk analysis is part of themanufacturer’s risk management plan |  |  | R |
| When applicable, specific standards/guidelines recommended by the WHO are identified |  |  | R |
| **3.3 Essential principles checklist** |  |  |  |
| A checklist in the form of a table that lists all relevant material is included |  |  | NR |
| This checklist is filled in as per the description and examples provided in the instructions and annexes |  |  | NR |
| **3.5 Analytical performance**  |  |  |  |
| Product performance specifications and associated validation and verification studies with the following information provided for each section: a study description, study summary, full study protocol and report |  |  |  |
| *3.5.1 Stability of specimen(s)* |  |  |  |
| Studies and required information to support stability, storage and where applicable transport condition claims for each specimen type are included |  |  | NR |
| *3.5.2 Validation of specimens* |  |  |  |
| The different specimen types that can be used with the product are identified |  |  | NR |
| Studies to support each specimen type are included |  |  | NR |
| *3.5.3 Metrological traceability of calibrator and control material values* |  |  |  |
| Detailed information about the traceability of values assigned to calibrators and control materials supplied with the assay (if applicable) and those used in the manufacturing process. |  |  | NR |
| *3.5.4 Accuracy of measurement* |  |  |  |
| 3.5.4.1 Trueness |  |  | NR |
| Studies to establish trueness of measurement are provided, where applicable |  |  | NR |
| 3.5.4.2 Precision of measurement (repeatability and reproducibility) |  |  |  |
| Studies and information needed to establishwithin-run variability are included |  |  | R |
| Studies and information to establish the appropriatetypes of variability (between-run, -lot, -operator, -site, -instrument, etc) are included |  |  | R |
| The use of specimens that represent the full range ofexpected analyte concentration are included |  |  | R |
| If applicable, studies to establish precision undertaken by non-laboratory personnel are provided |  |  | R |
| *3.5.5 Analytical sensitivity* |  |  |  |
| Studies required to establish analytical sensitivity are included  |  |  | NR |
| *3.5.6 Analytical specificity* |  |  |  |
| Studies to evaluate the effects of potentially interfering and cross-reacting substances/agents on the assay are included |  |  | NR |
| *3.5.7 High dose hook effect* |  |  |  |
| Studies to establish the absence of high dose hook effect are provided, if applicable |  |  | NR |
| *3.5.8 Measuring range of the assay* |  |  |  |
| Studies that define the measuring range of the assay, and a description of how this was established are included, if applicable  |  |  | NR |
| *3.5.9 Validation of assay cut-off* |  |  |  |
| Studies on how the assay cut-off is determined are included, if applicable |  |  | NR |
| *3.5.10 Validation of assay procedure* |  |  |  |
| For products where a reading interval is specified, a validation study of the critical time points is included  |  |  | NR |
| **3.6 Other studies** |  |  |  |
| *3.6.4 Usability / Human factors* |  |  |  |
| The test environment and its relation to the intended environment are stated |  |  | R |
| There is a discussion of what tests were considered for the device and why they were/were not performed |  |  | R |
| There is a discussion to support why the evidence presented is sufficient to support the application |  |  | R |
| If performance studies that have been conducted in other sections of the product dossier include human factors/usability end points, reference to the studies and endpoints are made |  |  | R |
| Label comprehension study is provided, if applicable |  |  | R |
| Interpretation of results study is provided, if applicable |  |  | R |
| *3.6.5 Stability of the IVD* |  |  |  |
| *3.6.5.1 Claimed shelf life*  |  |  |  |
| Studies supporting claimed shelf life are provided  |  |  | R |
| Testing intervals and acceptance criteria are described |  |  | R |
| If applicable, the method used for accelerated studies is identified |  |  | R |
| The results and conclusions clearly demonstrate that the product will be effective at the end of its claimed shelf-life after being subjected to a simulated transport challenge |  |  | R |
| *3.6.5.2 In-use stability* |  |  |  |
| Studies are provided for the in-use stability of each labile component |  |  | R |
| Testing intervals and acceptance criteria are described |  |  |  |
| The studies reflect routine use of the device (open vial stability and/or on-board stability for automated instruments, and/or multiple access of reagent bottles) |  |  | R |
| If applicable, supporting data for calibration stability claims is provided |  |  | R |
| Conclusions clearly identify the claimed in-use stability |  |  | R |
| *3.6.5.3 Shipping stability* |  |  |  |
| Studies are provided for drop-shock testing of the product |  |  | R |
| A separate shipping stability study is not necessarily required in this section (real-time shelf-life determination shall be preceded by a simulated transport challenge; see section 3.6.5.1) |  |  | R |
| **3.8 Other evidence** |  |  |  |
| *3.8.1* *Testing in performance panels and other TSS-specific evidence* |  |  |  |
| Studies are provided to fulfil the product’s corresponding technical specification (TSS) requirements, if applicable |  |  | NR |
| **4. CLINICAL EVIDENCE**  |  |  |  |
| **4.2 Overall clinical evidence summary**  |  |  |  |
| *4.2.1 Expected values / reference ranges* |  |  |  |
| The values to expect in healthy normal patients versus affected patients is provided, if applicable |  |  | NR |
| *4.2.3 IVD medical device specific clinical studies* |  |  |  |
| All claims for clinical performance are supported by well-designed performance evaluations. These may include evaluations carried out or coordinated by the manufacturer, as well as evaluations carried out by bodies wholly independent of the manufacturer. |  |  | NR |
| Testimonials are not included as evidence of performance |  |  | NR |
| **4.5 Other clinical evidence** |  |  |  |
| *4.5.1* *Qualification of usability*  |  |  |  |
| A clinical evaluation of the usability of the product is provided to fulfil the product’s corresponding technical specification (TSS) requirements, if applicable |  |  | NR |
| **5 LABELLING AND PROMOTIONAL MATERIAL** |  |  |  |
| **5.2 Product/package labels** |  |  |  |
| The product dossier contains a complete set of labels associated with the product  |  |  | R |
| **5.3 Package insert/Instructions for use** |  |  |  |
| A copy of the current instructions for use are included and these instructions include all relevant information |  |  | R |
| **5.6 Technical / operators manual** |  |  |  |
| If applicable, there is a copy of the instrument manual/associated operator manuals included |  |  | R |
| **5.8 Other labelling and promotional materials** |  |  |  |
| If applicable, copies of any other instructional materials are provided  |  |  | R |
| **6A QUALITY MANAGEMENT SYSTEM PROCEDURES** |  |  |  |
| **6A.4 Quality management system procedures** |  |  |  |
| There is a copy of the current version of the manufacturer’s quality manual with all required information |  |  | NR |
| A complete list of all current quality management system procedures is included |  |  | NR |
| Documented procedure/s relevant to risk management planning and implementation are included |  |  | NR |
| **6A.6 Resource management procedures** |  |  |  |
| Staff organogram is provided |  |  | NR |
| **6A.7 Product realization procedures** |  |  |  |
| Procedures addressing planning and customer related processes are included |  |  | NR |
| **6A.8 Design and development** |  |  |  |
| Documented procedure/s for the control of design and development changes, and change notification are included |  |  | NR |
| If design takes place at multiple sites, the controlling site is identified |  |  | NR |
| **6A.9 Purchasing procedures** |  |  |  |
| Names and addresses of all critical subcontractors are included, where applicable |  |  | NR |
| Documented procedure/s relevant to the control of key suppliers including procedures for supplier evaluation and control, and verification of purchased product are included |  |  | NR |
| **6A.10 Production and service control procedures** |  |  |  |
| Procedures documenting that production and services activities are carried out under controlled conditions are provided  |  |  | *NR* |
| Documented procedures for the determination of batch/lot criteria are provided |  |  | NR |
| Batch release criteria for the product are provided |  |  | NR |
| **6.A.12 Quality management system measurement, analysis and improvement procedures** |  |  |  |
| Documented procedure/s relevant to control of non-conforming goods including, but not limited to, procedures for complaint handling, vigilance, are included |  |  | NR |
| **6B.9 Production and service controls information** |  |  |  |
| Full addresses and contact information for all sites undertaking manufacture of the IVD are provided |  |  | NR |
| A site master file, with a diagram of the floor plan, is provided |  |  | NR |
| A flow chart of the entire manufacturing process is included  |  |  | NR |
| There are details of each major step (including in –process control points and final product testing and packaging) in the manufacturing process  |  |  | NR |
| List of critical raw materials is provided |  |  | NR |
| There is an overview of verification, validation, and quality control activities for all stages of design and manufacture |  |  | NR |
| List of outsourced processes with direct product impact is supplied |  |  | NR |
| A description of any other manufacturing that occurs at each site |  |  | NR |

# Manufacturer Declaration:

The undersigned authorized contact person for the Manufacturer makes the following declarations on behalf of the Manufacturer and, in signing this product dossier checklist form, declares that he/she has the authority to bind the Manufacturer.

I declare that:

* I am authorized to represent the manufacturer specified in this prequalification product dossier (the "Manufacturer") for the purposes of WHO Prequalification of In Vitro Diagnostics for the product specified in this product dossier (the "Product").
* All the information provided in this product dossier is current and correct.
* This product dossier contains all the information as is prescribed in the *Prequalification of Diagnostics Programme - Instructions for Compilation of a Product Dossier* (Document PQDx\_018).
* The Manufacturer will notify WHO of all changes and variations to the Product prior to implementation of the changes.
* The Manufacturer will notify WHO of any changes to the regulatory approval status for the Product, such as suspension or withdrawal of regulatory approval, in all countries of manufacture and supply.

Name of the Authorized Contact Person for the Manufacturer:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of the Authorized Contact Person for the Manufacturer:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Please Note: The Checklist submitted to WHO must be signed and dated