

CDRH's Digital Health Center of Excellence

Empowering digital health stakeholders to advance public health

FDA



FDA PERSPECTIVE ON SOFTWARE AS A MEDICAL DEVICE

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Patients are at the Heart of What We Do



CDRH Vision

Patients in the U.S. have access to high-quality, safe, and effective medical devices of public health importance first in the world

CDRH's Digital Health Center of Excellence



is advancing health care by fostering responsible and high-quality digital health innovation.

Digital Health Technologies are TRANSFORMING health care.



AI-enabled device for
skin cancer evaluation



Digital therapy device
to reduce sleep
disturbance for
psychiatric conditions



Virtual reality
behavioral therapy
device for pain relief



Digital therapy device
for Attention Deficit
Hyperactivity Disorder



Electrocardiograph
software for over-the-
counter use

In 2023, the DHCoE focused on ...

Fostering Responsible Innovation



CDRH has authorized more than
**700 AI/ML-enabled medical
devices**, and more are under
development.

Published "**Frequently Asked
Questions**" resource for
developers / innovators.

Ensuring Safe & Effective Digital Health Technology



Issued draft guidance on
**Predetermined Change Control
Plans** for Artificial Intelligence–
enabled devices.

Issued final guidance to support
stakeholders with **premarket
submissions for device software
functions**.

Collaborating Across the Ecosystem



Created a **Digital Health Advisory
Committee** to solicit views from
subject matter experts to improve
FDA's understanding of DHTs.

Became a Federal Observer to the
Coalition for Health AI (CHAI); and
international collaboration with
IMDRF, DH think tank, Health
Canada, MHRA, among others.

Increasing Digital Health Literacy and Advancing Equity



Released infographics to support
patients & health care professionals
considering **Augmented Reality or
Virtual Reality** in health care.

Issued final guidance to support
the use of **DHTs for remote data
collection** in clinical investigations.

... And more is on the horizon.



Publish final guidance on **Predetermined
Change Control Plans** for AI-enabled devices
and draft guidance on **AI/ML Content and
Lifecycle Management**.



Continue developing educational digital health
resources for innovators / developers /
patients.



Hold our first **Digital Health Advisory
Committee meeting**. Continue engaging
nationally and internationally to explore
regulatory approaches to digital health
technologies.



Continue to **develop software and digital
health technical expertise**.



Continued focus on health equity in how **DHTs
can support decentralized trials and remote
patient monitoring**, which will help
underserved populations access health care.

We foster digital-health focused collaborations and interactions that advance public health

CERSIs

FDA's Centers of Excellence in Regulatory Science and Innovation

Collaborations between FDA and academic institutions through innovative research, training, and scientific exchanges.



Collaborative Communities

Continuing forums in which private- and public-sector members work together on medical device challenges. These groups can invite CDRH to participate.



Public-Private Partnerships

Initiatives that promote the development of new tools, methods and approaches to foster innovation and efficiency into FDA regulated product development.

NoDEx

FDA Network of Digital Health Experts

A pool of vetted experts who share knowledge and experience regarding digital health issues with FDA staff on an as-needed basis.



FDA Digital Health Inbox

Help navigating the FDA's current policies on digital health products and providing informal feedback.

What is a device?

Not a device

Not a device

Device

defined in 201(h) of the FD&C Act

21st Century Cures amended the definition of “device” to exclude certain software functions pursuant to section 520(o)

Not a device

Not a device

Changes resulting from 21st Century Cures Act



December 13, 2016, the Cures Act amended the definition of “device” in the Federal Food, Drug, and Cosmetic Act to **exclude certain software functions**, pursuant to section 520(o), intended for...

Certain software functions intended for administrative support of a health care facility;

Certain software functions intended for maintaining or encouraging a healthy lifestyle with no reference to any disease or condition;

Certain software functions intended to serve as electronic patient records;

Certain software functions intended for transferring, storing, converting formats, or displaying data and results;

Certain software functions that are intended for clinical decision support.

Changes to Existing Medical Software Policies Resulting from Section 3060 of the 21st Century Cures Act

<https://www.fda.gov/regulatory-information/search-fda-guidance-documents/changes-existing-medical-software-policies-resulting-section-3060-21st-century-cures-act>

Definitions



Function	A distinct purpose of a product 
Device Function	A function that meets the definition of a device under section 201(h)(1) of the FD&C Act
Device Software Function	Software function that meets the device definition in section 201(h) of the FD&C Act.
Other Function	A function that: – does not meet the definition of a device; – meets the definition of device, but is not subject to premarket review (e.g., 510(k)-exempt); or – meets the definition of device, but for which FDA has expressed its intention not to enforce compliance with applicable regulatory controls.
Device Function-Under-Review	A function for which FDA is conducting a premarket review
Multiple Function Device Product	A product that contains at least one device function and at least one other function.

Function could be the intended use or a subset of the intended use of the product.

Examples

A product with an intended use to analyze data has one function: analysis.

A product with an intended use to store, transfer, and analyze data has three functions: (1) storage, (2) transfer, and (3) analysis.

Intended Use (21 CFR 801)

- [Final rule](#) amended 21 CFR 801.4 (effective September 1, 2021)
- **Provides more clarity and direction regarding the types of evidence relevant to determining a product's intended use, such as:**
 - Express Claims and Representations
 - Implied Claims
 - Circumstances of the Sale or Distribution
 - Design or Composition
 - **Any relevant source of evidence may be considered**
- Better reflects the Agency's current practices in evaluating whether a product is intended for use as a device

What is the Regulatory Pathway?



Examples of Software Function Regulatory Approach

Not a Device



Software functions that are intended for individuals to log, record, track, evaluate, or make decisions or behavioral suggestions related to developing or maintaining general fitness, health or wellness, with no reference to a disease or condition

Intention to Exercise Enforcement Discretion



Software functions that provide periodic educational information, reminders, or motivational guidance to smokers trying to quit, patients recovering from addiction, or pregnant women

Focus of FDA's Oversight



Software functions that use a sensor or lead that is connected to a mobile platform to measure and display the electrical signal produced by the heart (electrocardiograph or ECG)

Increasing Risk

We provide digital health stakeholders ongoing clarity through guidance

15 Digital Health Guidance Documents Published Since FY2018

GUIDANCE DOCUMENT Content of Premarket Submissions for Device Software Functions	GUIDANCE DOCUMENT DRAFT Marketing Submission Recommendations for a Predetermined Change Control Plan for Artificial Intelligence/Machine Learning (AI/ML)-Enabled Device Software Functions	GUIDANCE DOCUMENT Cybersecurity in Medical Devices: Refuse to Accept Policy for Cyber Devices and Related Systems Under Section 524B of the FD&C Act
GUIDANCE DOCUMENT Clinical Decision Support Software	GUIDANCE DOCUMENT Policy for Device Software Functions and Mobile Medical Applications	GUIDANCE DOCUMENT Medical Device Data Systems, Medical Image Storage Devices, and Medical Image Communications Devices
GUIDANCE DOCUMENT Cybersecurity in Medical Devices: Quality System Considerations and Content of Premarket Submissions	GUIDANCE DOCUMENT Digital Health Technologies for Remote Data Acquisition in Clinical Investigations	GUIDANCE DOCUMENT Multiple Function Device Products: Policy and Considerations
GUIDANCE DOCUMENT Changes to Existing Medical Software Policies Resulting from Section 3060 of the 21st Century Cures Act	GUIDANCE DOCUMENT General Wellness: Policy for Low Risk Devices	GUIDANCE DOCUMENT Off-The-Shelf Software Use in Medical Devices
GUIDANCE DOCUMENT Medical Device Accessories - Describing Accessories and Classification Pathways	GUIDANCE DOCUMENT Software as a Medical Device (SAMD): Clinical Evaluation	GUIDANCE DOCUMENT Deciding When to Submit a 510(k) for a Software Change to an Existing Device

Notable Digital Health Device Policy Guidance Documents*

- Changes to Existing Medical Software Policies Resulting from Section 3060 of the 21st Century Cures Act
- Policy for Device Software Functions and Mobile Medical Applications (**DSF-MMA**)
- General Wellness: Policy for Low Risk Devices
- Medical Device Data Systems (**MDDS**), Medical Image Storage Devices, and Medical Image Communications Devices
- Clinical Decision Support (**CDS**) Software
- Multiple Function Device Products: Policy and Considerations

*We encourage you to visit the Guidances with Digital Health Content webpage (<https://www.fda.gov/medical-devices/digital-health-center-excellence/guidances-digital-health-content>) for a full list of guidances involving digital health policy.

Guidance Document: Policy for Device Software Functions and Mobile Medical Applications



GUIDANCE HIGHLIGHTS

Policies described in this guidance are independent of the platform on which they might run, are function-specific, and apply across platforms

Regulatory oversight focused on those software functions that are medical devices and whose functionality could pose a risk to a patient's safety if the device were to not function as intended

The guidance includes examples of software functions:

- (1) that are NOT medical devices
- (2) for which the FDA intends to exercise enforcement discretion
- (3) that are the focus of FDA's regulatory oversight

EXAMPLES



Example - Not a medical device

Software functions that provide patients with simple tools to organize and track their health information



Example - FDA intends to exercise enforcement discretion

Software functions that guide a user through a questionnaire of signs and symptoms to provide a recommendation for the type of health care facility most appropriate to their needs



Example - Focus of FDA's regulatory oversight

Software functions that connect to an existing device type for purposes of controlling its operation, function, or energy source

Guidance Document: General Wellness Policy



CDRH does not intend to examine low risk general wellness products to determine whether they are devices within the meaning of the FD&C Act or, if they are devices, whether they comply with the premarket review and post-market regulatory requirements for devices under the FD&C Act.

CDRH defines general wellness products as products that meet the following two factors:

- (1) are intended for only general wellness use, as defined in this guidance;
- (2) and present a low risk to the safety of users and other persons

There are two categories that describe the low-risk general wellness uses:



Category One

Products that have claims about sustaining or offering general improvement to functions associated with a general state of health that **do not** make any reference to diseases or conditions



Category Two

Relates to sustaining or offering general improvement to functions associated with a general state of health while **making reference to diseases or conditions**.

What is Clinical Decision Support (CDS)?

Clinical Decision Support (CDS) is a tool that provides health care professionals and patients with knowledge and person-specific information, intelligently filtered or presented at appropriate times, to enhance health and health care.¹

CDS includes:²

- computerized alerts and reminders for providers and patients;
- clinical guidelines;
- condition-specific order sets;
- focused patient data reports and summaries;
- documentation templates;
- diagnostic support;
- contextually relevant reference information.



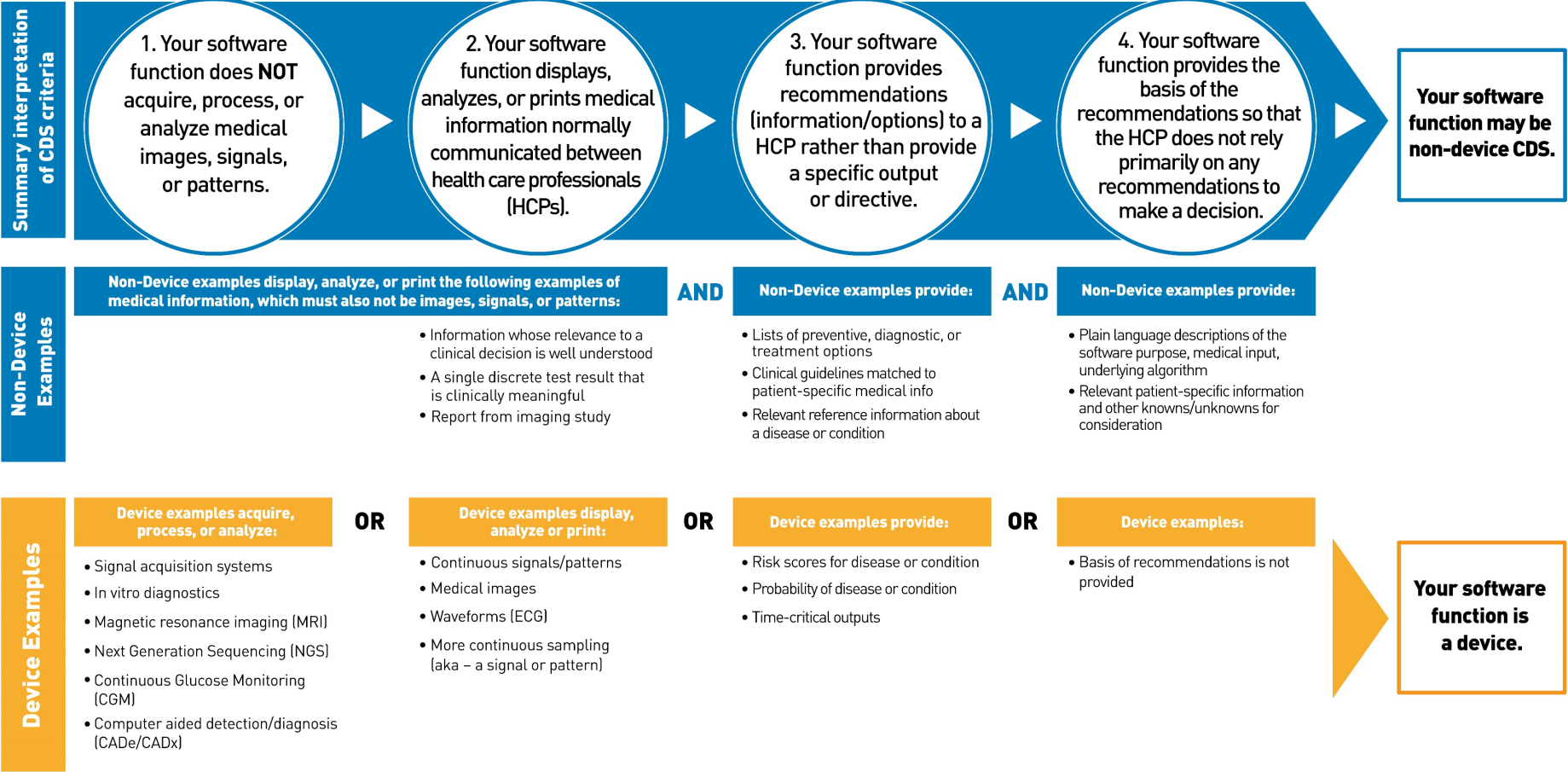
¹See Office of the National Coordinator for Health Information Technology, “What is Clinical Decision Support (CDS)?” at www.healthit.gov/topic/safety/clinical-decision-support

²FDASIA Health IT Report, April 2014, available at www.fda.gov/about-fda/cdrh-reports/fdasia-health-it-report
www.fda.gov/digitalhealth

Your Clinical Decision Support Software: Is It a Device?

The FDA issued a guidance, Clinical Decision Support Software, to describe the FDA’s regulatory approach to Clinical Decision Support (CDS) software functions. This graphic gives a general and summary overview of the guidance and is for illustrative purposes only. Consult the guidance for the complete discussion and examples. Other software functions that are not listed may also be device software functions. *

Your software function must meet all four criteria to be Non-Device CDS.



***Disclaimer:** This graphic gives a general overview of Section IV of the guidance (“Interpretation of Criteria in Section 520(o)(1)(E) of the FD&C Act”). Consult the guidance for the complete discussion. The device examples identified in this graphic are illustrative only and are not an exhaustive list. Other software functions that are not listed may also be device software functions.

Interpretation of Criteria in Section 520(o)(1)(E) of the FD&C Act

A software function must meet all of the four statutory criteria in section 520(o)(1)(E) of the FD&C Act to be excluded from the device definition.

- The functions excluded from the device definition are independent of the platform on which they might run.
- The term **Non-Device CDS** is used to refer to decision support software functions that do not meet the definition of device in section 201(h) of the FD&C Act.

Policy: Premarket Review of Multiple Function Device Products



- “Other functions” are not the subject of the FDA’s review simply because they are part of a multiple function device product.
- However, the FDA may assess the impact of “other functions” when assessing the safety and effectiveness of the device functions-under-review of a multiple function device product.¹

Other Function

- does not meet the definition of a device;
- meets the definition of device, but is not subject to premarket review (for example, 510(k)-exempt); or
- meets the definition of device, but for which the FDA has expressed its intention not to enforce compliance with applicable regulatory controls.

Software Example:

A general-purpose computing platform is not regulated by the FDA.

The FDA may assess its impact on the safety and effectiveness of a device function-under-review, such as a mobile medical application.

Hardware Example:

Product includes an intragastric balloon subject to premarket approval and an endoscope accessory that is 510(k)-exempt (for example, an endoscope guidewire).

The FDA may assess the impact of the endoscope accessory on the safety and effectiveness of the intragastric balloon.

Digital Health Policy Navigator

<https://www.fda.gov/medical-devices/digital-health-center-excellence/digital-health-policy-navigator>



- A public facing tool to help in determining whether a product's software functions are potentially the focus of the FDA's oversight
- The Digital Health Policy Navigator provides considerations for whether a software function is potentially subject to or the focus of FDA's regulatory oversight as a device. The Digital Health Policy Navigator does not address:
 - Considerations on how to design, develop, and test software functions; or
 - Considerations relating to the regulation of software used with other medical products (e.g., drugs, biologics), or software intended for other purposes (e.g., electronic consent forms).
- The Navigator includes seven steps, each with a set of questions intended help guide you through the most relevant FDA medical device regulatory considerations and guidance documents.

Step 6: Is the Software Function Intended to Provide Clinical Decision Support?

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Clinical decision support (CDS) is a software function that provides health care professionals and patients with knowledge and person-specific information, intelligently filtered or presented at appropriate times, to enhance health and health care. Certain CDS software functions are not devices under section 520(o)(1)(E) of the FD&C Act.

Step 6 will help determine if your CDS software function is a device.

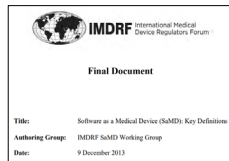
6.A: Is the software function intended to acquire, process, or analyze a medical image or a signal from an in vitro diagnostic device (IVD), or a pattern or signal from a signal acquisition system?

YES

NO

We are Participating in International Harmonization Efforts

2013



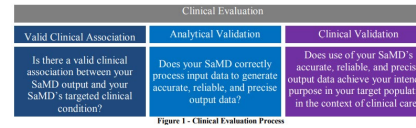
2014

State of Healthcare situation or condition	Significance of information provided by SaMD to healthcare decision		
	Treat or diagnose	Drive clinical management	Inform clinical management
Critical	IV	III	II
Serious	III	II	I
Non-serious	II	I	I

2015



2017



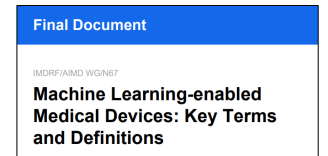
2020



2021

Good Machine Learning Practice for Medical Device Development: Guiding Principles	
Multi-disciplinary expertise are leveraged throughout the product life cycle	Good software engineering and security practices are implemented
Clinical study participants and data sets are representative of the intended population	Training data sets are independent of test sets
Medical device data sets are based upon best available methods	Model design is tailored to the available data and reflects the intended use of the device
Focus is placed on the performance of the machine at hand	Testing demonstrates device performance during clinically relevant conditions
Users are provided clear, essential information	Deployed models are monitored for performance and the training data are managed

2022



Software as a Medical Device (SaMD): Key Definitions

International Medical Device Regulators Forum (IMDRF) SaMD Working Group

SaMD: Risk Framework

IMDRF SaMD Working Group

SaMD: Quality Management System

IMDRF SaMD Working Group

SaMD: Clinical Evaluation

IMDRF SaMD Working Group

Medical Device Cybersecurity: Principles and Practice

IMDRF Medical Device Cybersecurity Working Group

Good Machine Learning Practice for Medical Device Development: Guiding Principles

Collaboration between FDA, Health Canada, and UK Medical and Healthcare products Agency

Machine Learning-Enabled Medical Devices: Key Terms and Definitions

IMDRF Artificial Intelligence Medical Devices Working Group

Ongoing Efforts

- Revise IMDRF's SaMD: Possible Framework for Risk Categorization and Corresponding Considerations, and SaMD: Key Definitions
- Revise IMDRF's Principles and Practices for Cybersecurity of Legacy Medical Devices and Principles and Practices for Software Bill of Materials for Medical Device Cybersecurity
- Joined the Global Harmonization Working Party (GHWP), specifically WG3: Pre-market: Software as a Medical Device Working Group

AI/ML-Enabled Medical Devices

Artificial Intelligence (AI):

A branch of computer science, statistics, and engineering that uses algorithms or models to perform tasks and exhibit behaviors such as learning, making decisions and making predictions.

Machine Learning (ML):

A subset of AI that allows computer algorithms to learn through data, without being explicitly programmed, to perform a task.

AI/ML-Enabled Medical Device:

A medical device that uses machine learning to achieve its intended medical purpose.

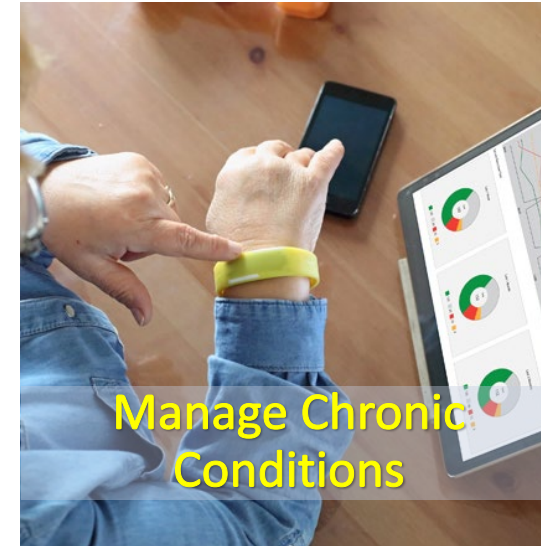
Descriptions adapted from IMDRF Artificial Intelligence Medical Devices Key Terms & Definitions

Proposed document posted for public consultation Sept 2021 through Nov 29, 2021

<http://www.imdrf.org/consultations/cons-aimd-mlmd-ktd.asp>

Advances in AI/ML

Transforming Health Systems and Daily Lives



Some of the greatest benefits are AI/ML's ability to learn from real-world use and experience, and its capability to improve its performance.

AI/ML-Enabled Medical Devices: Opportunities & Challenges

OPPORTUNITIES

- **Significant positive impact on health care**
 - Earlier disease detection
 - More accurate diagnosis
 - New insights into human physiology
 - Personalized diagnostics and therapeutics
- **Applications across all medical fields**
- **Ability to learn, adapt, and improve performance**

CHALLENGES

- **Fit-for-purpose data sets for development and testing, including diversity**
- **Identification and minimization of bias**
- **Opacity of some algorithms**
- **Providing oversight for an adaptive system**
- **Ensuring transparency to users**

Unique Considerations

We recognize the need for careful oversight to **ensure the benefits** of these advanced technologies **outweigh the risks** to patients.



Usability

Trust

Equity

Accountability

Predetermined Change Control Plans for AI/ML-enabled Devices



This draft guidance describes a least burdensome approach to support the iterative improvement of machine learning-enabled device software functions.



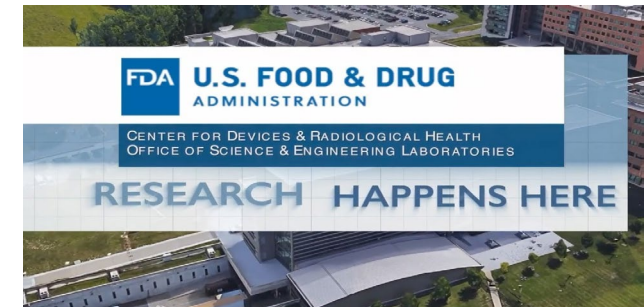
The FDA's proposed approach would:

- Put safe and effective advancements in the hands of health care providers and users faster.
- Ensure that important performance considerations with respect to race, ethnicity, disease severity, gender, age, and geographical consideration are addressed in AI/ML-enabled devices to better meet the needs of diverse populations.

Supporting Regulatory Science Tools to Assess AI/ML

Regulatory science research efforts are underway to develop methods to evaluate and address algorithmic bias and robustness in AI/ML-enabled devices.

- Investigating the impact of the difference between data used premarket setting and the postmarket deployment in different settings
- Addressing sex bias in AI for severity assessment of COVID-19 disease
- Tool to identify sub-populations over which an AI/ML-enabled medical device may perform poorly
- Tool to effectively monitor ML-based risk prediction algorithms
- Using patient and provider-informed labeling of AI/ML-enabled software to enable transparency and trust
- Using real-world data from the American Academy of Ophthalmology IRIS registry to evaluate the use and impact of approved medical devices and software algorithms for diabetic retinopathy in different patient populations



IMDRF Artificial Intelligence Working Group



<https://www.imdrf.org/sites/default/files/2022-05/IMDRF AIMD WG Final Document N67.pdf>

- Aimed at achieving aligned approach to artificial intelligence (AI) enabled-medical devices
- Final document posted on May 9, 2022:
Machine Learning-enabled Medical Devices: Key Terms and Definitions
 - Defines key terms
 - Discusses key concepts
 - Changes
 - Supervised/Unsupervised/Semi-supervised Learning
 - Validation

Good Machine Learning Practice Principles



We envision these guiding principles may be used to:

- Adopt good practices that have been proven in other sectors;
- Tailor practices from other sectors so they are applicable to medical technology and the health care sector; and
- Create new practices specific for medical technology and the health care sector.

Good Machine Learning Practice for Medical Device Development: Guiding Principles	
Multi-Disciplinary Expertise are Leveraged Throughout the Total Product Life Cycle	Good Software Engineering and Security Practices are Implemented
Clinical Study Participants and Data Sets are Representative of the Intended Population	Training Data Sets are Independent of Test Sets
Selected Reference Datasets are Based Upon Best Available Methods	Model Design is Tailored to the Available Data and Reflects the Intended Use of the Device
Focus is Placed on the Performance of the Human-AI Team	Testing Demonstrates Device Performance during Clinically Relevant Conditions
Users are Provided Clear, Essential Information	Deployed Models are Monitored for Performance and Re-training Risks are Managed

<https://www.fda.gov/medical-devices/software-medical-device-samd/good-machine-learning-practice-medical-device-development-guiding-principles>

Continuing our Collaborative Approach to AI



Milestones

2019	2020	2021	2022	2023	2024 (so far)	Coming Soon
- Published AI/ML-SaMD Discussion Paper - First joined Collaborative Community related to AI/ML	- Public Workshop on AI/ML in Radiological Imaging - Patient Engagement Advisory Committee Meeting on Patient Trust in AI/ML Devices	- Posted List of Currently Marketed AI/ML Devices - Published AI/ML Medical Device Software Action Plan - Public Workshop on Transparency of AI/ML Devices - Published Good Machine Learning Practice Principles	List Updated - Contributed to IMDRF's Key Terms & Definitions: Machine Learning Enabled Medical Devices - Published Clinical Decision Support (CDS) Final Guidance - Recognized new Consensus Standard on AI/ML	List Updated - Published Predetermined Change Control Plan for AI/ML Devices Draft Guidance - Announced formation of Digital Health Advisory Committee - Published PCCP Guiding Principles	- Published AI & Medical Products paper on how CBER, CDER, CDRH, and OCP are working together - Developed AI and Medical Products page centralizing AI resources across FDA.gov - NPJ journal article on Transparency in AI/ML-enabled devices - Draft IMDRF SaMD Risk Characterization Framework	List Update - Final guidance on PCCP for AI-enabled devices - Draft guidance for Content and Lifecycle of AI-enabled devices - First Digital Health Advisory Committee meeting - IMDRF Good Machine Learning Principles

Future Plans (2024+)

AI/ML Medical Device Software Action Plan

- ☐ Develop AI quality assurance plan and infrastructure needs
- ☐ Strengthen FDA's role in harmonizing GMLP
- ☐ Foster a patient-centered approach
- ☐ Support development of regulatory science methods
- ☐ Advance real-world performance pilots

Further Questions or Feedback



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