

applicable for ☒ MDR ☐ IVDR

NBOG F 2017-1

Application form to be submitted by a conformity assessment body when applying for designation as notified body under the medical devices Regulation (MDR)

This NBOG form describes the information to be submitted by notified bodies when applying for designation under the MDR. Numbers in brackets refer to the relevant sections of Annex VII to Regulation (EU) 2017/745.

All of the supporting documents that will be provided for each of the numbered sections should be listed in a separate line indicating the identification number, the title and the date or revision of the document. When only a section or page of a document is relevant for the specific requirement, reference should be done to such section and/or page. If a requirement listed in a numbered section is considered as not applicable, applicant conformity assessment bodies should write "NA" in the line below. If possible, applicant conformity assessment bodies should use hyperlinks and a file structure.

The grey coloured column on the right side should be used only by designating authorities for recording their completeness check (as per Art. 39 to the MDR). If the tick box shows "X" or (manually) "✓" the designating authority confirms that the supporting documentation have been provided for the specific requirement. In case any tick box stays empty but the application is considered complete, a brief justification should be included in the box provided in the last page.

BASIC INFORMATION	
Name of the national authority responsible for notified bodies (DA)	
Name of the applicant conformity assessment body (CAB)	
If applicable, notified body's identification number ¹	
Address of the CAB	
Contact person	
E-mail	
Telephone	
Company registration number and company register	
Date of application (not before 26 Nov 2017)	

¹ In case of new applicants, please insert « new »

No	Information requested	FOR DA USE
	Supporting documentation provided	

1. ORGANISATIONAL AND GENERAL REQUIREMENTS

General documentation

1.1	Scope of designation requested under the MDR (NBOG F 2017-3 Notification form to be appended)	<input type="checkbox"/>
1.2	Authorisation to represent the conformity assessment body by the person who has submitted the application on behalf of the body, unless such authorisation follows from the documentation specified in point 1.5.	<input type="checkbox"/>
1.3	Valid accreditation certificate and the corresponding evaluation report as referred to in Article 38 (2) of Regulation (EU) 2017/745	<input type="checkbox"/>
1.4	Compliance strategy explaining how the requirements set out in Annex VII of Regulation (EU) 2017/745 have been fulfilled, including, in the case of notified bodies designated under Council Directive 90/385/EEC/Council Directive 93/42/EEC, a gap analysis explaining how the alignment to the new requirements of the Regulations has been achieved	<input type="checkbox"/>

Legal status and organisational structure

1.5	Documentation detailing the conformity assessment body's legal personality and its status, including information about ownership and the legal or natural persons exercising control over the conformity assessment body (1.1.1)	<input type="checkbox"/>
1.6	Documentation detailing the activities of the organisation to which the conformity assessment body belongs, the organisational structure and governance of that organisation, and its relationship with the conformity assessment body (1.1.2)	<input type="checkbox"/>
1.7	Documentation detailing the activities and responsibilities of any legal entity which is wholly or partly owned by the conformity assessment body or which wholly or partly owns the conformity assessment body, and the legal and operational relationships with the conformity assessment body (1.1.3)	<input type="checkbox"/>
1.8	Documentation describing the organisational structure, the allocation of responsibilities, reporting lines and the operational management of the conformity assessment body (1.1.4)	<input type="checkbox"/>
1.9	Documentation detailing the functions, responsibilities and authorities of the top-level management, including the individual having overall responsibility for all conformity assessment activities in relation to devices (head of the notified body) (1.1.5, 1.1.6 and 3.1.1)	<input type="checkbox"/>

No	Information requested	FOR DA USE
	Supporting documentation provided	

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Independence, impartiality and confidentiality

1.10	Documentation detailing the structures, policies and procedures the conformity assessment body has in place to safeguard and promote the principles of independence, impartiality and objectivity throughout its organisation, personnel and activities, including procedures providing for the identification, investigation and resolution of any case in which a conflict of interest may arise (1.2.1, 1.2.2, 1.2.3, 1.2.7, 2.4, 4.5.1 and 4.5.3)	<input type="checkbox"/>
1.11	Documentation detailing how the conformity assessment body ensures that the activities of its owners, its subsidiaries and subcontractors (including external experts), or of any associated body do not affect its independence and impartiality or the objectivity of its conformity assessment activities (1.2.7, 2.4 and 3.4.2)	<input type="checkbox"/>
1.12	If the conformity assessment body is owned by a public entity or institution, documentation detailing how independence and absence of any conflict of interest with the authority responsible for notified bodies and/or the competent authority is ensured (1.2.6)	<input type="checkbox"/>
1.13	Documentation detailing involvement of personnel in consultancy services in the field of devices prior to taking up employment with the conformity assessment body and detailing monitoring and resolution of potential conflicts of interest (1.2.4)	<input type="checkbox"/>
1.14	Documentation detailing the conditions governing the remuneration of all employees (including top-level management and contracted staff) (1.2.5)	<input type="checkbox"/>
1.15	Documentation detailing how the conformity assessment body ensures that its personnel, committees, subsidiaries, subcontractors, and any associated body or personnel of external bodies respect the confidentiality of the information (including proprietary rights) which comes into their possession when carrying out their tasks (1.3.1, 1.3.2 and 2.4) and documentation on professional secrecy arrangements (3.4.2)	<input type="checkbox"/>

Liability insurance and financial resources

1.16	Documentation on the liability insurance covering conformity assessment activities, including its scope and overall financial value (1.4)	<input type="checkbox"/>
1.17	Documentation detailing the conformity assessment body's financial resources, including its financial capacity and long-term economic viability (1.5)	<input type="checkbox"/>

2. QUALITY MANAGEMENT REQUIREMENTS

No	Information requested	FOR DA USE
	Supporting documentation provided	

#	Documentation on the quality management system addressing at least the following:	
2.1	– management system structure and the list of all quality management system documents, and the sequence and interrelation of processes (2.2)	<input type="checkbox"/>
2.2	– the quality manual and policies and objectives for the conformity assessment body's activities (2.2)	<input type="checkbox"/>
2.3	– control of documents including verification that the documents have the same content where documents are used in different languages (2.2)	<input type="checkbox"/>
2.4	– control of records (2.2)	<input type="checkbox"/>
2.5	– management reviews (2.2)	<input type="checkbox"/>
2.6	– internal audits (2.2) and monitoring of the conformity assessment activities and performance of personnel and subcontractors (3.5.1)	<input type="checkbox"/>
2.7	– corrective and preventive actions (2.2)	<input type="checkbox"/>
2.8	– complaints and appeals (2.2)	<input type="checkbox"/>
2.9	– Documentation relating to the implementation and maintenance of the quality management system throughout the conformity assessment body's organisation, including subsidiaries and subcontractors involved in conformity assessment activities (2.3)	<input type="checkbox"/>
2.10	– Model declaration of commitment of the conformity assessment body's personnel to comply with the procedures defined by the body (2.4)	<input type="checkbox"/>

3. RESOURCE REQUIREMENTS

Liability insurance and financial resources

3.1	Matrix based on the established (specific) qualification criteria in accordance with section 3.4 of this document, detailing the authorisations (including any limitations) and responsibilities in respect of conformity assessment activities, and functions, fields of competence, employment status (e.g. full-time, external, etc.) and location of all internal and external personnel referred to in Sections 3.2.3-3.2.7 of Annex VII of Regulation (EU) 2017/745; the authorisations and responsibilities in respect of conformity assessment activities shall be specified by using the codes set out in the Commission Implementing	<input type="checkbox"/>
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	Regulation on codes and corresponding types of devices , see NBOG F-2017-3 (3.3.2)	
3.2	List of any additional personnel (other than referred to in 3.1) supporting conformity assessment activities, detailing the duties, responsibilities and level of authorisation (job descriptions), employment status (e.g. full-time, external, etc.) and location of each individual (3.1.1, 3.1.3 and 3.4.1)	<input type="checkbox"/>
3.3	Templates of employment and other contracts used for the conformity assessment body's personnel	<input type="checkbox"/>
3.4	Documentation detailing the established (specific) qualification criteria for each function within the conformity assessment process, as well as the types of devices, technologies and areas within the subdivisions of the scope of designation applied for (3.2). The qualification criteria shall be specified at least for each of the following roles and function categories:	
	– personnel responsible for establishing qualification criteria and authorising personnel to conformity assessment activities (3.2.3)	<input type="checkbox"/>
	– personnel with relevant clinical expertise (3.2.4)	<input type="checkbox"/>
	– product reviewer (3.2.5)	<input type="checkbox"/>
	– site auditor (3.2.6)	<input type="checkbox"/>
	– personnel with overall responsibility for final reviews and decision-making on certification (3.2.7)	<input type="checkbox"/>
3.5	Documentation relating to the procedures for the selection and authorisation of persons involved in conformity assessment activities, including the procedures to document the qualification of each person and the satisfaction of the qualification criteria (3.2.1 and 3.3.1)	<input type="checkbox"/>
3.6	Representative sample of records (at least one per function) demonstrating compliance with the qualification criteria for the authorisation of the personnel member (3.3.2)	<input type="checkbox"/>

Monitoring, training, exchange of experience

3.7	Documentation detailing the initial evaluation, on-going monitoring and periodic review of competence of the internal and external personnel, including the identification of training needs and drawing up of training plans (3.5.1 and 3.5.2)	<input type="checkbox"/>
3.8	Documentation detailing a continuous training and education programme (2.2 and 3.1.2)	<input type="checkbox"/>
3.9	Documentation detailing the implementation of a system for exchange of experience (3.1.2)	<input type="checkbox"/>

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3.10	Documentation detailing how the personnel is informed of any relevant standardisation activities, legislation, guidance, and the activities of the notified body coordination group referred to in Article 49 of Regulation (EU) 2017/745 (1.6.1 and 3.5.2)	<input type="checkbox"/>
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Equipment and facilities

3.11	List of all tests that the conformity assessment body will be able to perform and of the relevant equipment and facilities, including testing facilities, in possession of the conformity assessment body and which are to be used in its conformity assessment activities (3.1.1)	<input type="checkbox"/>
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Subcontractors

3.12	Lists of all subcontractors and subsidiaries as referred to in Article 37 of Regulation (EU) 2017/745, including a description of their functions in relation to conformity assessment activities (e.g. external laboratories) or administrative tasks (e.g. information technologies) and contractual arrangements in place (3.1.1 and 3.4.1)	<input type="checkbox"/>
3.13	Documentation detailing the procedures for selecting, evaluating and monitoring the competence of subcontractors involved in conformity assessment activities (3.5.1)	<input type="checkbox"/>
3.14	Documentation detailing the conditions under which subcontracting may take place (3.4.2)	<input type="checkbox"/>
3.15	Documentation demonstrating internal competence in each product area for the conformity assessment activities for which subcontractors or external experts are used (3.4.3)	<input type="checkbox"/>

4. PROCESS REQUIREMENTS

Quotations, pre-application activities, application review and contract

#	Documentation relating to procedures for quotations and pre-application activities, including:	
4.1	– description of the application procedure by which manufacturers can obtain certification (4.2(a))	<input type="checkbox"/>
4.2	– fees charged and financial conditions (4.2(b))	<input type="checkbox"/>
4.3	– advertising of conformity assessment services (4.2(c))	<input type="checkbox"/>

No	Information requested	FOR DA USE
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4.4	– review of pre-application information (4.2(d))	<input type="checkbox"/>
#	Documentation relating to contractual arrangements between the manufacturer and the conformity assessment body, including	<input type="checkbox"/>
4.5	– template application form (4.3)	<input type="checkbox"/>
4.6	– template contract specifying terms and conditions and obligations of the conformity assessment body in relation to conformity assessment activities (4.3)	<input type="checkbox"/>
4.7	Procedures relating to review of applications(4.3):	
	– the verification of completeness of the application	<input type="checkbox"/>
	– the verification of the qualification and classification of the product	<input type="checkbox"/>
	– the applicability of the conformity assessment procedures chosen by the applicant	<input type="checkbox"/>
	– the ability of the conformity assessment body to assess the application in accordance with the scope of designation applied for	<input type="checkbox"/>
	– the availability of sufficient and appropriate resources	<input type="checkbox"/>
4.8	Procedures to ensure that all contracts relating to the conformity assessment activities are concluded directly between the manufacturer and the conformity assessment body (4.2(e))	<input type="checkbox"/>

Allocation of resources

4.9	Procedures and forms to ensure that conformity assessment activities are conducted by appropriately qualified and authorised personnel, including the identification of one individual responsible for each application, and that allocation of tasks and changes thereto are documented (4.4 and 4.5.1)	<input type="checkbox"/>
#	Documentation relating to project planning (4.5.1), including	
4.10	– planning the conduct of each individual project and specifying the rationale for fixing time limits for completion of the conformity assessment	<input type="checkbox"/>
4.11	– rotation of the members of the assessment team at appropriate intervals	<input type="checkbox"/>

Conformity assessment activities

4.12	Documentation relating to the assessment of manufacturers' technical documentation (4.5.1 and 4.5.3), including:	<input type="checkbox"/>
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4.13	– the review of the manufacturer's procedures and documentation relating to the evaluation of pre-clinical aspects of medical devices (4.5.1 and 4.5.4)	<input type="checkbox"/>
4.14	– the review of the manufacturer's procedures and documentation relating to clinical evaluation of medical devices (4.5.1 and 4.5.5)	<input type="checkbox"/>
4.15	– the assessment of the interface between the manufacturer's risk management process and its appraisal and analysis of the pre-clinical and clinical evaluation (4.5.1)	<input type="checkbox"/>
4.16	– assessments of technical documentations for class IIa and class IIb medical devices selected on a representative basis and according to a sampling plan (4.5.1, 4.5.2(a) and 4.10)	<input type="checkbox"/>
4.17	– validation of the summary of safety and clinical performance, in accordance with Article 32 of Regulation (EU) 2017/745	<input type="checkbox"/>
4.18	Documentation relating to quality management system audits according to each specific conformity assessment activity covered by the application and the class of the device (4.5.2)	<input type="checkbox"/>
4.19	Documentation relating to type-examination, including establishment of test plans (4.5.3)	<input type="checkbox"/>
4.20	Documentation relating to verification by examination and testing of every product, including establishment of test plans (4.5.3)	<input type="checkbox"/>
4.21	Documentation relating to carrying out the specific procedures referred to in Sections 5 and 6 of Annex IX, Section 6 of Annex X and Section 16 of Annex XI to Regulation (EU) 2017/745 (4.5.1 and 4.5.6)	<input type="checkbox"/>

Final review and decision making on certification

4.22	Documentation relating to the final review process carried out prior to making a final decision (4.7)	<input type="checkbox"/>
4.23	Documentation relating to the final decision process prior to the issuance, suspension, restriction or withdrawal of a certificate and the communication to the manufacturer (4.8)	<input type="checkbox"/>
4.24	Certificate templates intended to be used for the different types of conformity assessments	<input type="checkbox"/>

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	for which the conformity assessment body seeks designation, in accordance with Annex XII of Regulation (EU) 2017/745 (4.8)	

Post-certification activities

4.25	Documentation detailing the information obligations and communications with the electronic system referred to in Article 57 of Regulation (EU) 2017/745 (4.8)	<input type="checkbox"/>
4.26	Documentation relating to the review of periodic safety update reports referred to in Article 86 of Regulation (EU) 2017/745	<input type="checkbox"/>
4.27	Documentation relating to surveillance and post-certification monitoring (4.10), including	<input type="checkbox"/>
4.28	– screening of relevant sources of scientific and clinical data and post-market information relating to the scope of designation	<input type="checkbox"/>
4.29	– review, documentation and management of vigilance information	<input type="checkbox"/>
4.30	– estimation of the impact of vigilance information on the validity of existing certificates (iv)	<input type="checkbox"/>
4.31	– taking any appropriate actions	<input type="checkbox"/>
4.32	– surveillance audits (4.5 and 4.10)	<input type="checkbox"/>
4.33	– unannounced audits (4.5 and 4.10)	<input type="checkbox"/>
4.34	Documentation relating to sampling of devices (4.5.1 and 4.10)	<input type="checkbox"/>
4.35	Documentation detailing manufacturers' information obligations and the conformity assessment body's assessment of changes (4.9)	<input type="checkbox"/>
4.36	Documentation detailing the conduct of re-certification reviews and the renewal of certificates (4.11)	<input type="checkbox"/>

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	Supporting documentation provided	

4.37	Documentation relating to voluntary changes of a notified body in accordance with Article 58 of Regulation (EU) 2017/745	<input type="checkbox"/>

5. MOCK-UP FILES

5.1	Only to be provided at the beginning of the on-site assessment Please indicate how many mock up (including technical documentation and the assessment thereof) will be made available at the beginning of the onsite assessment, including the type of devices and the conformity assessment activities to be covered.	<input type="checkbox"/>

In case any tick box above stays empty, please provide a brief justification for considering the application complete