

PD ISO/TR 24971:2013



BSI Standards Publication

Medical devices — Guidance on the application of ISO 14971

bsi.

...making excellence a habit.™

National foreword

This Published Document is the UK implementation of ISO/TR 24971:2013.

The UK participation in its preparation was entrusted to Technical Committee CH/210/4, Risk analysis for Medical Devices.

A list of organizations represented on this committee can be obtained on request to its secretary.

This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application.

© The British Standards Institution 2013. Published by BSI Standards Limited 2013

ISBN 978 0 580 75270 4

ICS 11.040.01

Compliance with a British Standard cannot confer immunity from legal obligations.

This Published Document was published under the authority of the Standards Policy and Strategy Committee on 31 July 2013.

Amendments issued since publication

Date	Text affected
------	---------------

TECHNICAL
REPORT

PD ISO/TR 24971:2013

ISO/TR
24971

First edition
2013-07-01

**Medical devices — Guidance on the
application of ISO 14971**

Dispositifs médicaux — Directives relatives à l'ISO 14971



Reference number
ISO/TR 24971:2013(E)

© ISO 2013



COPYRIGHT PROTECTED DOCUMENT

© ISO 2013

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

Published in Switzerland

Contents

Page

Foreword	iv
Introduction	v
1 Scope	1
2 The role of international product safety and process standards in risk management	1
2.1 Overview	1
2.2 Use of international product safety standards in risk management	2
2.3 International process standards and ISO 14971	4
3 Developing the policy for determining the criteria for risk acceptability	6
4 Production and post-production feedback loop	6
4.1 Overview	6
4.2 Observation and transmission	7
4.3 Assessment.....	9
4.4 Action	9
5 Differentiation of information for safety and disclosure of residual risk	10
5.1 Difference between “information for safety” and “disclosure of residual risk”	10
5.2 Information for safety.....	10
5.3 Disclosure of residual risk.....	10
6 Evaluation of overall residual risk	11
6.1 Overview	11
6.2 Inputs and other considerations for overall residual risk evaluation	11

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2. www.iso.org/directives

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received. www.iso.org/patents

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

ISO/TR 24971 was prepared jointly by Technical Committee ISO/TC 210, *Quality management and corresponding general aspects for medical devices*, and Technical Committee IEC/SC 62A, *Common aspects of electrical equipment used in medical practice*. The draft was circulated for voting to the national bodies of both ISO and IEC.

Introduction

Experience indicates that manufacturers have difficulty with practical implementation of some clauses of the risk management International Standard, ISO 14971:2007, *Medical devices — Application of risk management to medical devices*. This Technical Report provides guidance to assist in the development, implementation and maintenance of risk management for medical devices that aim to meet the requirements of ISO 14971. It provides guidance for specific aspects of ISO 14971 for a wide variety of medical devices. These medical devices include active, non-active, implantable, and non-implantable medical devices and *in vitro* diagnostic medical devices.

This Technical Report is not intended to be an overall guidance document on the implementation of ISO 14971 for organizations. It supplements the guidance contained in the informative annexes of ISO 14971 related to the following areas.

- Guidance on the role of international product safety and process standards in risk management
- Guidance on developing the policy for determining the criteria for risk acceptability
- Guidance on how the production and post-production feedback loop can work
- Guidance on the differentiation of information for safety as a risk control measure and disclosure of residual risk
- Guidance on the evaluation of overall residual risk

This Technical Report provides some approaches that an organization can use to implement and maintain some aspects of a risk management system that conforms to ISO 14971. Alternative approaches can be used if these satisfy the requirements of ISO 14971.

When judging the applicability of the guidance in this Technical Report, one should consider the nature of the medical device(s) to which it will apply, the risks associated with the use of these medical devices, and the applicable regulatory requirements.

Medical devices — Guidance on the application of ISO 14971

1 Scope

This Technical Report provides guidance in addressing specific areas of ISO 14971 when implementing risk management.

The guidance is intended to assist manufacturers and other users of the standard to:

- understand the role of international product safety and process standards in risk management;
- develop the policy for determining the criteria for risk acceptability;
- incorporate production and post-production feedback loop into risk management;
- differentiate between “information for safety” and “disclosure of residual risk”; and
- evaluate overall residual risk.

2 The role of international product safety and process standards in risk management

2.1 Overview

International product safety and process standards play a significant role in risk management as described by ISO 14971. In principle, these standards are developed using a type of risk management that can include identifying hazards and hazardous situations, estimating risks, evaluating risks, and specifying risk control measures. More information on a process for developing medical device standards using a type of risk management can be found in documents such as ISO/IEC Guide 51 and ISO/IEC Guide 63. International product safety and process standards are developed by experts in the field and represent the generally accepted state of the art (see D.4 of ISO 14971:2007).

These standards can have an important role in risk management. When performing risk management, the manufacturer first needs to consider the medical device being designed, its intended use and the hazards/hazardous situations related to it. Manufacturers can, if they choose, identify standard(s) that contain specific requirements that help manage the risks related to those hazards/hazardous situations.

For medical devices that satisfy the requirements and compliance criteria of these standards, the residual risks related to those hazards/hazardous situations can be considered acceptable unless there is objective evidence to the contrary. Some potential sources of objective evidence to the contrary can include reports of adverse events, product recalls and complaints. The requirements of International Standards, such as engineering or analytical processes, specific output limits, warning statements, or design specifications, can be considered risk control measures established by the standards writers that are intended to address the risks of specific hazardous situations that have been identified and evaluated as needing risk control.

In many cases, the standards writers have taken on and completed elements of risk management and provided manufacturers with answers in the form of design requirements and test methods for establishing conformity. When performing risk management activities, manufacturers can take advantage of the work of the standards writers and need not repeat the analyses leading to the requirements of the standard. International standards, therefore, provide valuable information on risk acceptability that has been validated during a worldwide evaluation process, including multiple rounds of review, comment, and voting.

2.2 Use of international product safety standards in risk management

An international product safety standard can establish requirements that, when implemented, result in acceptable risk for specific hazardous situations (e.g. safety limits). The manufacturer can apply these requirements in the following way when managing risk.

- a) Where an international product safety standard specifies technical requirements addressing particular hazards or hazardous situations, together with specific acceptance criteria, compliance with those requirements is presumed to establish that the residual risks have been reduced to acceptable levels unless there is objective evidence to the contrary. For example, in IEC 60601-1, *Medical electrical equipment — Part 1: General requirements for basic safety and essential performance*, leakage current must be controlled to achieve an acceptable level of risk. IEC 60601-1 provides leakage current limits that are considered to result in an acceptable level of risk when measured under the conditions stated in 8.7 of IEC 60601-1:2005. For this example, further risk management would not be necessary. The following steps need to be taken in this case.
- 1) Implement 4.2 and 4.3 of ISO 14971:2007 to identify characteristics related to safety and identify hazards and hazardous situations associated with the device as completely as possible.
 - 2) Identify those hazards and hazardous situations relevant to the particular medical device that are exactly covered by the international product safety standard.
 - 3) For those identified hazards and hazardous situations exactly covered by the international product safety standard, the manufacturer may choose not to estimate (4.4 of ISO 14971:2007) or evaluate (Clause 5 of ISO 14971:2007) the risks so identified but rather rely on the requirements contained in the international standard to demonstrate the completion of risk estimation and risk evaluation.
 - 4) To the extent possible, the manufacturer should identify the design specifications that satisfy the requirements in the standard and serve as risk control measures (6.2 of ISO 14971:2007).
- NOTE For some international product safety standards, the possibility of identifying all the specific risk control measures is limited. One example is electromagnetic compatibility testing in IEC 60601-1-2, *Medical electrical equipment — Part 1-2: General requirements for basic safety and essential performance* — Collateral standard: *Electromagnetic compatibility — Requirements and tests*, for complex medical devices.
- 5) Verification of the implementation of the risk control measures for these hazardous situations is obtained from the design documents. Verification of the effectiveness of the risk control measures is obtained from the tests and test results demonstrating that the device meets the relevant requirements of the international product safety standard.
 - 6) If the relevant requirements are met, the associated residual risk is considered acceptable.
- b) Where an international product safety standard does not completely specify technical requirements and associated tests and test acceptance criteria, the situation is more complex. In some cases, the standard directs the manufacturer to perform specific tests related to known hazards or hazardous situations but does not provide specific test acceptance criteria (e.g. IEC 60601-2-16, *Medical electrical equipment — Part 2-16: Particular requirements for basic safety and essential performance of haemodialysis, haemodiafiltration and haemofiltration equipment*). In some other cases, the standard can simply direct the manufacturer to investigate specific hazards or hazardous situations in their risk analysis (e.g. 10.2 of IEC 60601-1:2005). The range of alternatives is too large to provide specific guidance on how to use such standards in the risk management process. Manufacturers are encouraged, however, to use the content of such standards in their risk management of the particular medical device.
- c) For hazards or hazardous situations that are identified for the particular medical device but are not specifically addressed in any standard, the manufacturer needs to address those hazards or hazardous situations in the risk management process. The manufacturer is required to estimate and evaluate the risks and, if necessary, control these risks (see 4.4 and Clauses 5 and 6 of ISO 14971:2007).

See [Figure 1](#) for a flowchart and an example outlining the use of international product safety standards.

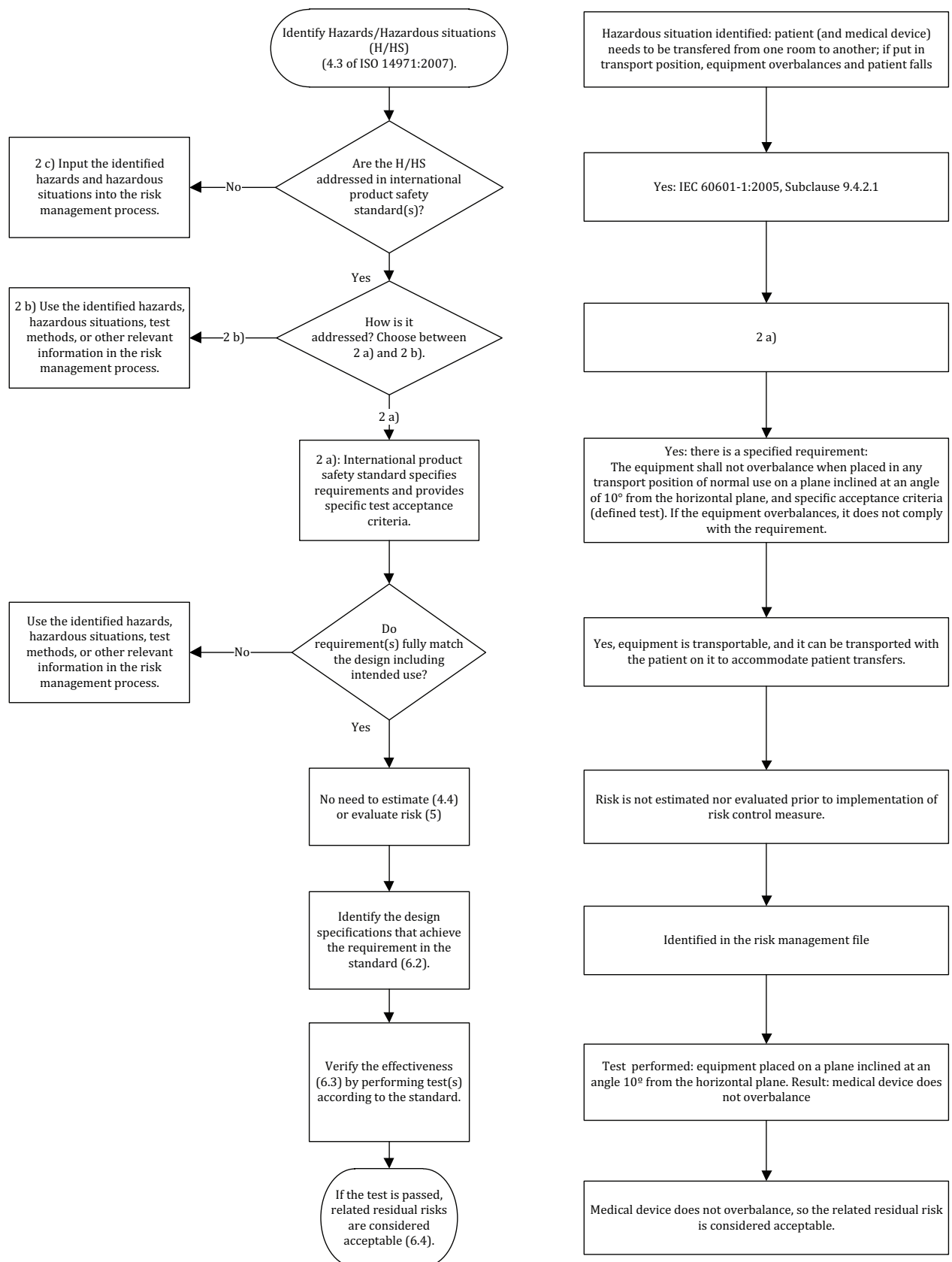


Figure 1 — Use of international product safety standards and example of such standard that specifies requirements and provides specific test acceptance criteria

2.3 International process standards and ISO 14971

International process standards, as shown in the examples below, can often be used in conjunction with ISO 14971. This is performed in one of two ways:

- The international process standard requires application of ISO 14971 as part of the implementation of the international process standard, e.g. IEC 62304 on software life cycle processes; or
- The international process standard is intended to be used in risk management, e.g. IEC 62366 on usability engineering and the ISO 10993 series on biological evaluation.

In either case, proper use of the international process standard requires attention to the interfaces between that standard and ISO 14971 in order to achieve acceptable levels of risk for the medical device. The two standards should work together such that inputs, outputs and their timing are optimized. Three examples are given below to demonstrate this ideal situation.

a) IEC 62304, *Medical device software — Software life cycle processes*

The relationship between IEC 62304 and ISO 14971 is well-described in the introduction to IEC 62304:

As a basic foundation it is assumed that MEDICAL DEVICE SOFTWARE is developed and maintained within a quality management system (see 4.1 of IEC 62304:2006) and a RISK MANAGEMENT process (see 4.2 of IEC 62304:2006). The RISK MANAGEMENT PROCESS is already very well addressed by the International Standard ISO 14971. Therefore IEC 62304 makes use of this advantage simply by a normative reference to ISO 14971. Some minor additional RISK MANAGEMENT requirements are needed for software, especially in the area of identification of contributing software factors related to HAZARDS. These requirements are summarized and captured in Clause 7 of IEC 62304:2006 as the software RISK MANAGEMENT PROCESS.

Whether software is a contributing factor to a HAZARD is determined during the HAZARD identification ACTIVITY of the RISK MANAGEMENT PROCESS. HAZARDS that could be indirectly caused by software (for example, by providing misleading information that could cause inappropriate treatment to be administered) need to be considered when determining whether software is a contributing factor. The decision to use software to control RISK is made during the RISK CONTROL ACTIVITY of the RISK MANAGEMENT PROCESS. The software RISK MANAGEMENT PROCESS required in this standard has to be embedded in the device RISK MANAGEMENT PROCESS according to ISO 14971.

IEC 62304 makes a normative reference to ISO 14971 and specifically requires:

- software development planning (5.1 of IEC 62304:2006) that is consistent with the risk management plan required by ISO 14971; and
- a software risk management process (Clause 7 of IEC 62304:2006) based upon ISO 14971.

b) IEC 62366, *Medical devices — Application of usability engineering to medical devices*

The flow diagram in Figure A.1 of IEC 62366:2007 demonstrates the relationship and interconnection of the two parallel and interconnecting processes. In addition to making a normative reference to ISO 14971, IEC 62366:2007 identifies three specific clauses where the usability engineering process can supplement and interact with risk management as described in ISO 14971:

- 5.3.1 of IEC 62366:2007 requires: “An identification of characteristics related to SAFETY (part of a RISK ANALYSIS) that focuses on USABILITY shall be performed according to ISO 14971:2007, 4.2.”
- 5.3.2 of IEC 62366:2007 requires: “The MANUFACTURER shall identify known or foreseeable HAZARDS (part of a RISK ANALYSIS) related to USABILITY according to ISO 14971:2007, 4.3.”
- 5.9 of IEC 62366:2007 on Usability Validation makes several references to activities that would be undertaken as part of risk management.

c) ISO 10993 (all parts), *Biological evaluation of medical devices*

The introduction to ISO 10993-1 states that ISO 10993-1 is intended to be a guidance document for the biological evaluation of medical devices within risk management, as part of the overall evaluation and development of each device.

Annex B of ISO 10993-1:2009 applies ISO 14971 to provide guidance on the risk management approach for identification of biological hazards associated with medical devices, estimation and evaluation of the risks, control of the risks, and monitoring the effectiveness of the risk control measures.

This approach combines the review and evaluation of existing data from all sources, with the selection and application of additional tests (where necessary), thus enabling a full evaluation to be made of the biological responses to each medical device, relevant to its safety in use.

ISO 10993-1:2009 aligns itself explicitly within risk management as described in ISO 14971.

The biological evaluation should be conducted in a manner similar to that used for other product risks, and should include:

- Risk analysis (What are the hazards and associated risks?)
- Risk evaluation (Are they acceptable?)
- Risk control (How will they be controlled?)
- Overall residual risk/benefit evaluation

Following the processes defined in ISO 14971, if the overall residual risk evaluation concludes from existing data that the identified risks are acceptable, no further risk control is needed. Otherwise, appropriate measures should be taken to further evaluate or mitigate the risks.

The output of this evaluation is a Biological Evaluation Report.

Application

- Conditions identified as hazards in ISO 10993-1 include:
 - Acute toxicity
 - Chronic toxicity
 - Irritation (skin, eye, mucosal surfaces)
 - Hypersensitivity
 - Genotoxicity
 - Carcinogenicity
- Do the proposed materials in the particular medical device cause such conditions?

Methods that are used to determine if a material in the particular medical device can result in the conditions listed above include:

- Chemical characterization and assessment
- Literature review
- Testing (*in vitro/in vivo*, non-clinical)
- Field experience
- Are the exposure levels acceptable?

According to ISO 10993-1, expert assessors should determine if the available information/data are sufficient to determine if the overall residual risk associated with biological hazards is acceptable. This conclusion is documented in the Biological Evaluation Report, which becomes an element of the risk management file.

3 Developing the policy for determining the criteria for risk acceptability

According to 3.2 of ISO 14971:2007, top management is required to define and document the policy for determining the criteria for risk acceptability. This policy is intended to ensure that criteria:

- a) are based upon applicable national or regional regulations;
- b) are based upon relevant International Standards;
- c) take into account available information such as the generally accepted state of the art and known stakeholder concerns.

NOTE Other relevant information can also be included.

The policy could cover the entire range of a manufacturer's medical devices or it can take different forms depending on whether the medical devices are similar to each other, or whether the differences between groups of medical devices are significant.

When developing or maintaining the policy the following should be taken into consideration:

- The applicable regulatory requirements in the regions where the medical device is to be marketed.
- The relevant International Standards for the particular medical device or an intended use of the medical device that can help identify principles for setting the criteria for risk acceptability (see [2.2](#)).
- Information on the state of the art can be obtained from review of the literature and other information on similar medical devices the manufacturer has marketed, as well as those from competing companies.
- The validated and comprehensive concerns from the main stakeholders. Some potential sources of information on the patient and clinician perspective can include news media, social media, patient forums, as well as input from internal departments with expert knowledge of stakeholder concerns such as the clinical department.

The manufacturer should provide guidelines for developing the actual criteria for risk acceptability to be used in the risk management plan for the particular medical device being considered (see 3.4 of ISO 14971:2007).

The review of the suitability of the risk management process at planned intervals, as required by 3.2 of ISO 14971:2007, can demonstrate the appropriateness of previously used criteria for risk acceptability or lead to changes in the policy. Such changes can also lead to reviewing the appropriateness of previous risk acceptability decisions.

4 Production and post-production feedback loop

4.1 Overview

Typically, the initial risk assessment is based on experience with similar medical devices or applications on the market, or on assumptions when new medical devices are released to the market. Information received after market entry is valuable for confirming or correcting assumptions and estimates (both overestimates and underestimates), or identifying omissions made during the risk analysis and risk control phases. Clause 9 of ISO 14971:2007 requires that a feedback loop is established in the

manufacturer's organization to collect and evaluate such information for potential relevance to medical device safety (see [Figure 2](#)). The feedback loop should consist of the following steps:

- Observation and transmission
- Assessment
- Action

For the feedback loop to be effective, it is necessary that the responsibility for maintaining the risk management file is defined.

4.2 Observation and transmission

An observation provides information on, or experience with, a medical device that should be compared against the current risk management file. The observation can come from a number of different sources each of which can have a bearing on the safety of the medical device. For example:

- Information from manufacturing or research and development (R&D) activities within or contracted by the manufacturer;
- Information from installation, servicing and/or training personnel within or contracted by the manufacturer;
- Information from the use/users of the medical device (e.g. customer complaints, user surveys);
- Information from experience with competitor's medical devices through incident reports (for example, from databases provided by local regulatory agencies to collect and generate an overview of device experience);
- Clinical information (e.g. post-market clinical trials on the manufacturer's own medical devices or other published clinical literature on competitors' and similar medical devices);
- Information on new or amended standards and regulations;
- For combination products with a drug constituent part, consider also drug related information.

For information to be relevant to a manufacturer's medical device it need not be directly related to their own or a competitor's product. Information relating to similar medical devices with similar intended use or similar principles of operation can yield useful post-market information on the relevance of the risks of the manufacturer's medical device.

When designing a means of acquiring or detecting post-market information, manufacturers should be careful not to introduce bias into the process. The means of acquiring or asking for feedback should be neutral with regard to achieving negative or positive feedback. Furthermore, feedback should include events that have occurred (including corrective action) as well as events that could occur (including preventive action).

For any post-market information to be useful it has to be communicated to the persons or department within the organization that have the responsibility and authority to compare against the current risk management file and enact change where necessary.

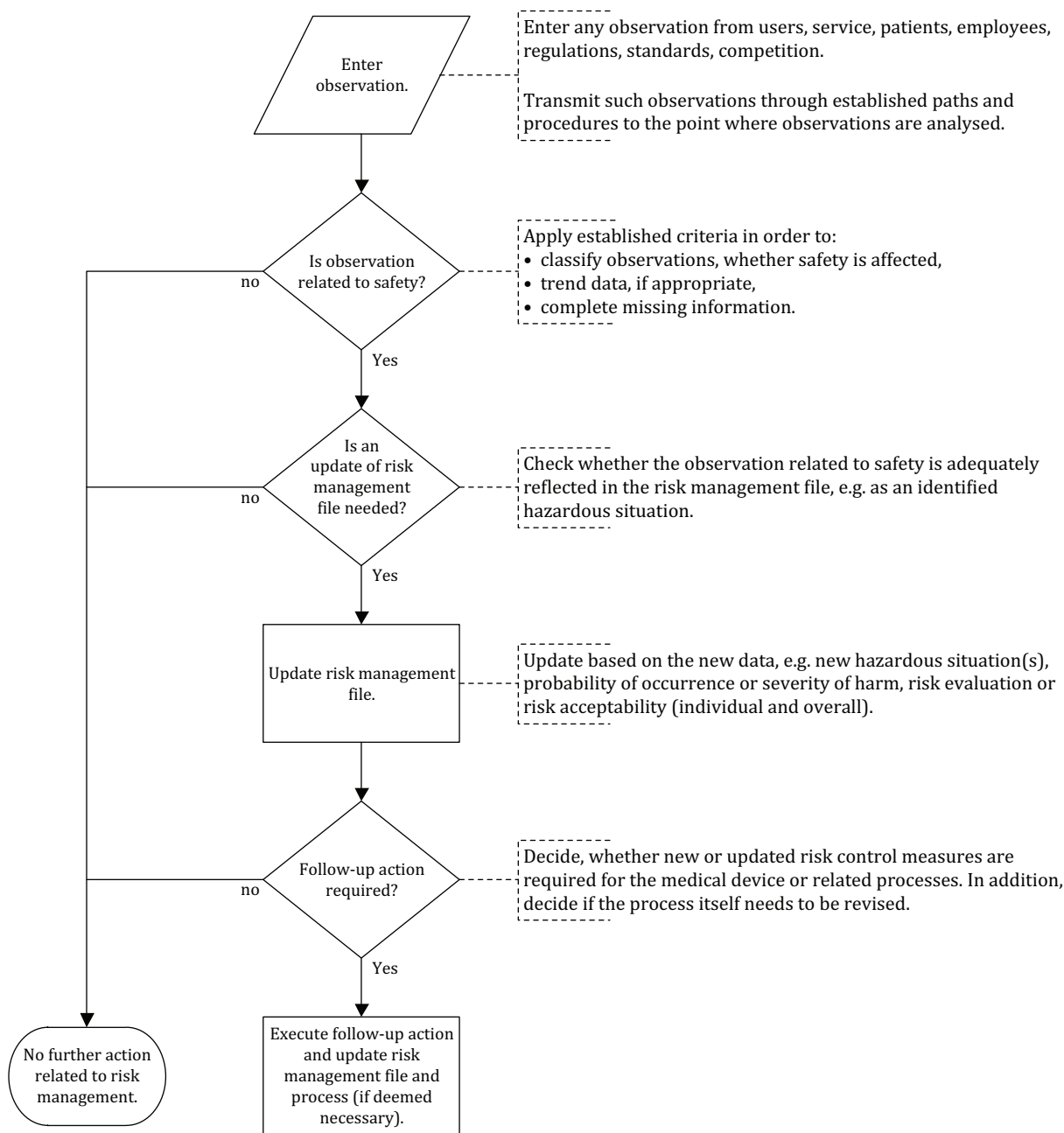


Figure 2 — Production and Post-Production Feedback Loop

The means of transmission of this information will depend on the source of the information. Some information will be pulled (initiated by the manufacturer) and some information will be pushed (initiated by sources like the customer, authorities, or patient). In either case, the organization should ensure that efficient communication channels are planned and established to allow for timely and accurate receipt of information. The rate at which the manufacturer pulls information from the various sources (including users) depends on the maturity of the medical device, its technology and the specific market.

Various departments within the manufacturer’s organization can receive and handle different kinds of information, for example:

- customer complaints or adverse event reports
- service and installation reports

- new or revised regulations, standards or guidance
- production non-conformance reports

It is important that all relevant information from these groups is reviewed and distributed to that part of the manufacturer's organization with the responsibility and authority for the risk assessment (see 4.3).

Where the probability of events (e.g. component failures) is a relevant factor contributing to the evaluation of risk, statistical trending of such events should be considered.

4.3 Assessment

Any revision to the risk assessment based on new observations should be subject to the same level of control and review as the initial risk assessment. This would include any subsequent identification of risk control measures, if required. Such controls should include review and approval by individuals in the same functions or departments as those who signed off originally. Any new safety-related observations are to be assessed using the current criteria for risk acceptability.

New observations related to safety should be compared with the established risk management file to test the validity of any assumptions made. Several questions are suggested below:

- a) Is the intended use still valid?
- b) Is there an increasing trend of off-label use?
- c) Are there occurrences of misuse which were not foreseen in the original risk management process?
- d) Is there evidence of new hazards or hazardous situations not originally identified in the hazard identification process?
- e) Are the severity and probability estimations for a particular risk still valid?
- f) Is there any evidence that the criteria for risk acceptability should be adjusted?
- g) Is the effectiveness of risk control measures proven adequate?
- h) Does the risk/benefit analysis accurately represent the actual market experience?

If data suggest correction or adjustment of the current risk management file, the residual risks need to be evaluated based on the new data. In addition, the overall residual risk of the device should be reviewed.

4.4 Action

In a case where the residual risk based on new data is judged unacceptable and the risk/benefit analysis shows the benefit does not outweigh the risk, further risk control is required in two areas:

- a) The medical devices currently installed and used in the market need to be corrected.
- b) The design of the medical devices manufactured from that point in time or related processes need to be revised and implemented.

For medical devices currently installed and used in the market, the risk control measures can be different from those applied to devices in current production.

For medical devices currently installed and used in the market, immediate information (e.g. a customer letter) can be provided to users before risk control measures are developed and verified for effectiveness. Where modification or replacement of medical devices is necessary, the speed of action contributes to the effectiveness of the risk reduction.

NOTE This immediate information is known as an Advisory Notice in ISO 13485, *Medical devices — Quality management systems — Requirements for regulatory purposes* and as a Field Safety Notice in the European MEDDEV 2.12-1, *Guidelines on a Medical Devices Vigilance System*.

The result of assessing post-production information can serve as input to a review of the suitability of the risk management process at planned intervals to ensure continuing effectiveness of the risk management process (see of 3.2 in ISO 14971:2007).

5 Differentiation of information for safety and disclosure of residual risk

5.1 Difference between “information for safety” and “disclosure of residual risk”

The difference between “information for safety” and “disclosure of residual risk” is explained in Annex J of ISO 14971:2007. However, experience of manufacturers has shown that there is confusion between these two concepts. This guidance document is intended to clarify these differences.

Information for safety is considered to be a risk control measure. It is instructive, and ISO 14971 requires it to be verified for effectiveness. It can be provided in the form of warnings or (pre)cautions.

Residual risk is defined in ISO 14971:2007 as the risk remaining after all risk control measures (which can include information for safety) have been taken.

ISO 14971 requires that all information for safety be traceable in the risk management file. The decision of the manufacturer regarding disclosure of residual risk can be recorded in the risk management file.

5.2 Information for safety

Although information for safety is regarded as a risk control measure in 6.2 c) of ISO 14971:2007, it is the least preferred option after inherent safety by design and protective measures. This means that information for safety should be used after the manufacturer has determined that further risk reduction by making the medical device inherently safe and taking protective measures is not practicable. The text for information for safety can be prescribed by local regulations. The verification of the effectiveness of the information for safety can be performed by the usability engineering process (IEC 62366).

Information for safety needs to give the user clear instructions of what actions to take or to avoid, in order to avoid a hazardous situation or harm from occurring. This is usually provided in the form of warnings or (pre)cautions (see J.2 of ISO 14971:2007).

Information for safety can be given in the form of a warning label attached to medical devices or as a warning statement in the instructions for use. Some examples are given below.

- Warning: Do not step on surface.
- Warning: Do not remove cover, risk of electric shock.
- Warning: Use with caution. Serum samples containing more than 60 mg/dl haemoglobin will interfere with the test principle, thereby limiting the diagnostic result.

5.3 Disclosure of residual risk

Disclosure of residual risk is descriptive and can provide background on the residual risks involved in using the medical device. The aim is to disclose in the accompanying documents information to enable the user, and potentially the patient, to make an informed decision that weighs the residual risks against the benefits of using the medical device (see J.3 of ISO 14971:2007).

The manufacturer should consider means and media to disclose the residual risk. This information can be significant in the process of clinical decision making. Within the framework of the intended use, the operator or the user can decide in which clinical settings the medical device can be used to achieve a certain benefit for the patient. The disclosure of the residual risk can also be useful for the operator, the user or the hospital organization to prepare the patient for possible side effects or hazards that can occur during or after the use of the medical device. Note that operator, user and patient can be the same person, for example for medical devices used in the home healthcare environment.

Some examples are given below to illustrate the residual risks associated with using the medical device and such side effects that are normally disclosed.

- Linear accelerators can be used to treat tumours. The residual risks of radiation therapy for tumours can include the possibility of erythema or epilation.
- When patients undergo magnetic resonance imaging (MRI), they sometimes experience anxiety due to: being in an enclosed space, hearing the loud noise generated by the equipment, and needing to remain still during imaging.

6 Evaluation of overall residual risk

6.1 Overview

After the assessment of every identified separate hazardous situation, the manufacturer then considers the combined impact of the individual residual risks, and decides whether the overall residual risk meets or exceeds the criteria for residual risk acceptability stated in the risk management plan. This step is particularly important for complex medical systems and for medical devices with a large number of individual risks. The evaluation can be used for making a case that the product is safe.

Clause 7 of ISO 14971:2007 requires that the overall residual risk be evaluated against the criteria stated in the risk management plan. However, the determination of overall residual risk is a difficult and challenging task that cannot be achieved simply by numerically adding all individual risks. It is even uncertain if adding risks is possible at all, because each probability of occurrence of harm is related to a different severity of that harm. This difficulty also arises for the following reasons:

- Even in the later stages of medical device development, confidence in the probability estimates can vary considerably. Some probabilities are known precisely either from history with similar medical devices or from testing. Other probabilities are only estimates and might be known very imprecisely or not at all, such as the probability of a software failure. Also it is usually not possible to combine the severities of individual harms within the broad categories usually used in risk analysis.
- ISO 14971 does not specify that the criteria for risk acceptability for individual risks need to be the same as the criteria for overall risk acceptability. The criteria used to evaluate individual risks are usually based on the probability of occurrence of particular severities of harm.

D.4 and D.7 of ISO 14971:2007 list some possible general techniques or methods for evaluating overall residual risk along with considerations affecting their selection. Setting criteria based on the policy for determining criteria for risk acceptability is covered by ISO 14971 in general and guidance is found in [Clause 3](#). Both the criteria and the methods associated with them should be stated in the risk management plan. This guidance is intended to help in establishing such criteria and methods.

6.2 Inputs and other considerations for overall residual risk evaluation

The overall residual risk can only be assessed after all risk control measures have been implemented and verified. This means that all identified hazardous situations have been evaluated and that all risks have been reduced to an acceptable level or have been accepted based upon a risk/benefit analysis. Some examples of inputs and their use are presented below. These can be used as input to overall residual risk evaluation and considerations that should be made in determining whether the overall residual risk is acceptable.

- a) The manufacturer can compare the medical device under review to similar marketed medical devices (see D.7.7 of ISO 14971:2007). In order for the manufacturer to make well considered conclusions about the overall residual risk in relation to the medical benefits of the medical device under review, up-to-date information on intended use and associated adverse events of similar marketed medical devices should be reviewed, as well as information from scientific literature, including information about clinical experience. The key question is whether the medical device under review offers the same or better safety as a medical device that can be considered to have an acceptable overall residual risk.

- b) The manufacturer can also use experts outside of the manufacturer's organization to provide input on overall residual risk in relation to the medical benefits of the medical device under review (see D.7.8 of ISO 14971:2007). These experts can come from a variety of disciplines, including those with clinical experience and those who market similar medical devices. They can help the manufacturer to take into account stakeholder concerns. Attention is drawn to the requirements for training and experience described in 3.2 and 3.3, 3.4 b) and c), and A.2.3.3 of ISO 14971:2007.
- c) Even though all individual risks should have been identified and accepted, some risks could need further analysis as part of the overall residual risk evaluation.

One example could be that there are many risks that are close to being not acceptable. Hence, the overall residual risk acceptability could be suspect and a further investigation can be appropriate for the medical device and the associated risk management file. Another example can be that there are risks that are interdependent with respect to either their causes or the risk control measures applied. Risk control measures should be verified for efficiency, not only individually but also in combination with other risk control measures. This can also be true for risk control measures that are designed to counter multiple risks simultaneously. A Fault Tree or Event Tree Analysis can be a useful tool to demonstrate such connections between the risks and risk control measures used.

- d) Other considerations for overall residual risk evaluation:
 - 1) The results of usability evaluation or clinical experience during design validation testing can provide useful information.
 - 2) Visual representations of the residual risks can be useful. Each individual residual risk can be shown in a risk matrix such as those in Figures D.4 and D.5 of ISO 14971:2007, giving a graphic view of the distribution of the risks. If many of the risks are in the higher severity regions or in the higher probability regions of the risk matrix, or clusters of risks are borderline, then the distribution of the risks can indicate that the overall residual risk is not acceptable, even if each individual risk has been judged acceptable.
 - 3) During overall residual risk evaluation, all individual risk/benefit analyses should be taken into account.
 - 4) When there have been trade-offs between risks in the risk analysis, this might be indicative that the overall residual risk should be analysed more carefully. These are instances where one risk might have been allowed to increase somewhat in order that another risk could be reduced. For example, the risk to one person (the user) is allowed to increase so that the risk to another (the patient) can be reduced. This is called risk parallax. The evaluation can take the form of going through related major risks, describing why the trade-off balance is practical and why the combined risk level of the risks in the trade-off decision is acceptable.

Ultimately, the evaluation of overall residual risk is based on clinical judgement. The results of the overall residual risk evaluation form part of the risk management file. It can be beneficial to document the rationale for the acceptance of the overall residual risk.

British Standards Institution (BSI)

BSI is the national body responsible for preparing British Standards and other standards-related publications, information and services.

BSI is incorporated by Royal Charter. British Standards and other standardization products are published by BSI Standards Limited.

About us

We bring together business, industry, government, consumers, innovators and others to shape their combined experience and expertise into standards-based solutions.

The knowledge embodied in our standards has been carefully assembled in a dependable format and refined through our open consultation process. Organizations of all sizes and across all sectors choose standards to help them achieve their goals.

Information on standards

We can provide you with the knowledge that your organization needs to succeed. Find out more about British Standards by visiting our website at bsigroup.com/standards or contacting our Customer Services team or Knowledge Centre.

Buying standards

You can buy and download PDF versions of BSI publications, including British and adopted European and international standards, through our website at bsigroup.com/shop, where hard copies can also be purchased.

If you need international and foreign standards from other Standards Development Organizations, hard copies can be ordered from our Customer Services team.

Subscriptions

Our range of subscription services are designed to make using standards easier for you. For further information on our subscription products go to bsigroup.com/subscriptions.

With **British Standards Online (BSOL)** you'll have instant access to over 55,000 British and adopted European and international standards from your desktop. It's available 24/7 and is refreshed daily so you'll always be up to date.

You can keep in touch with standards developments and receive substantial discounts on the purchase price of standards, both in single copy and subscription format, by becoming a **BSI Subscribing Member**.

PLUS is an updating service exclusive to BSI Subscribing Members. You will automatically receive the latest hard copy of your standards when they're revised or replaced.

To find out more about becoming a BSI Subscribing Member and the benefits of membership, please visit bsigroup.com/shop.

With a **Multi-User Network Licence (MUNL)** you are able to host standards publications on your intranet. Licences can cover as few or as many users as you wish. With updates supplied as soon as they're available, you can be sure your documentation is current. For further information, email bsmusales@bsigroup.com.

BSI Group Headquarters

389 Chiswick High Road London W4 4AL UK

Revisions

Our British Standards and other publications are updated by amendment or revision.

We continually improve the quality of our products and services to benefit your business. If you find an inaccuracy or ambiguity within a British Standard or other BSI publication please inform the Knowledge Centre.

Copyright

All the data, software and documentation set out in all British Standards and other BSI publications are the property of and copyrighted by BSI, or some person or entity that owns copyright in the information used (such as the international standardization bodies) and has formally licensed such information to BSI for commercial publication and use. Except as permitted under the Copyright, Designs and Patents Act 1988 no extract may be reproduced, stored in a retrieval system or transmitted in any form or by any means – electronic, photocopying, recording or otherwise – without prior written permission from BSI. Details and advice can be obtained from the Copyright & Licensing Department.

Useful Contacts:

Customer Services

Tel: +44 845 086 9001

Email (orders): orders@bsigroup.com

Email (enquiries): cservices@bsigroup.com

Subscriptions

Tel: +44 845 086 9001

Email: subscriptions@bsigroup.com

Knowledge Centre

Tel: +44 20 8996 7004

Email: knowledgecentre@bsigroup.com

Copyright & Licensing

Tel: +44 20 8996 7070

Email: copyright@bsigroup.com



...making excellence a habit.™