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**Ophthalmic implants — Intraocular  
lenses —**

**Part 7:  
Clinical investigations**

*Implants ophtalmiques — Lentilles intraoculaires —  
Partie 7: Investigations cliniques*

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## 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](http://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](http://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.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

The committee responsible for this document is ISO/TC 172, *Optics and photonics*, Subcommittee SC 7, *Ophthalmic optics and instruments*.

This second edition cancels and replaces the third edition (ISO 11979-7:2006), which has been technically revised. It also incorporates the Amendment ISO 11979-7:2006/Amd1:2012.

ISO 11979 consists of the following parts, under the general title *Ophthalmic implants — Intraocular lenses*:

- *Part 1: Vocabulary*
- *Part 2: Optical properties and test methods*
- *Part 3: Mechanical properties and test methods*
- *Part 4: Labelling and information*
- *Part 5: Biocompatibility*
- *Part 6: Shelf-life and transport stability testing*
- *Part 7: Clinical investigations*
- *Part 8: Fundamental requirements*
- *Part 9: Multifocal intraocular lenses*
- *Part 10: Phakic intraocular lenses*

# Ophthalmic implants — Intraocular lenses —

## Part 7: Clinical investigations

### 1 Scope

This part of ISO 11979 specifies particular requirements for clinical investigations for posterior and anterior chamber intraocular lenses (IOLs).

### 2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 11979-1, *Ophthalmic implants — Intraocular lenses — Part 1: Vocabulary*

ISO 11979-10, *Ophthalmic implants — Intraocular lenses — Part 10: Phakic intraocular lenses*

ISO 14155, *Clinical investigation of medical devices for human subjects — Good clinical practice*

ISO 14971, *Medical devices — Application of risk management to medical devices*

### 3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 11979-1 and ISO 14155 apply.

### 4 Justification for a clinical investigation

If the need for a clinical investigation is identified, the requirements of ISO 14155 shall apply, with additional requirements given below.

If a new IOL model is a modification of a model for which the safety and performance have been established through clinical investigation in accordance with this part of ISO 11979 no or limited clinical investigation is needed. ISO/TR 22979<sup>[1]</sup> provides guidance in determining whether or not a modification is minor.

### 5 Ethical considerations

For clinical investigations of medical devices for human subjects, the requirements in ISO 14155 shall apply.

### 6 General requirements

#### 6.1 General

The requirements for a clinical investigation given in ISO 14155 shall apply, with additional requirements given below.

## 6.2 Design

### 6.2.1 General

A clinical investigation shall be designed to compare results to historical data on adverse events and visual acuity rates. [Annex A](#) provides general guidance for the design of a clinical investigation. Historical data can be found in [Annex B](#).

### 6.2.2 Additional requirements for toric IOLs

For all toric IOLs, the rotational stability of a non-toric version that is mechanically and geometrically equivalent to the toric IOL shall be demonstrated.

The following performance criteria for rotational stability shall be fulfilled: the rotation of the meridian defined by the IOL axis indicator as measured and compared between Day 0 (the day of surgery) post-operative examination and the form 4 examination shall be less than 10° in 90 % of the cases, less than 20° in 95 % of the cases, and less than 30° in 99 % of the cases.

Then, if necessary due to risk analysis, a clinical investigation shall be performed using the toric version of the model.

In the event that a toric IOL clinical investigation is required due to risk analysis, the subjects that undergo secondary surgery to correct IOL axis mark rotation shall have their clinical results prior to the secondary surgery carried forward as the final results for that subject. In the case of examinations scheduled to be performed later in the clinical investigation, the sponsor shall consider requiring each of these examinations to be performed prior to the secondary surgery, if possible.

Additional elements for toric IOLs are outlined in [Annex C](#).

### 6.2.3 Additional requirements for accommodating IOLs

A controlled clinical investigation of an accommodating IOL shall evaluate the additional safety and performance concerns, specifically including the evaluation of accommodative amplitude using at least one objective method. Guidance on clinical investigation of accommodating IOLs is outlined in [Annex D](#). It shall consist of two phases, with phase two beginning only after the first phase has demonstrated that the accommodating IOL provides an average of at least 1 D of objective accommodation. The overall study shall demonstrate that the accommodating IOL also provides 1 D of objective accommodation at the point of stabilization.

## 6.3 Characteristics

The clinical investigational plan shall provide information regarding characteristics to be studied, and instructions regarding the grading and documentation of these characteristics. Whenever possible, objective methods shall be used, such as photographic imaging.

The following characteristics shall be considered. If additional claims are to be made, additional corresponding characteristics shall be studied.

### 6.3.1 General characteristics

- a) best spectacle corrected visual acuity (BSCVA);
- b) subjective refraction;
- c) intraocular pressure;
- d) corneal status;

- e) signs of inflammation:
  - 1) anterior chamber cells;
  - 2) anterior chamber flare;
  - 3) cystoid macular oedema;
  - 4) hypopyon;
  - 5) endophthalmitis;
- f) pupillary block;
- g) retinal detachment;
- h) status of anterior and posterior capsule;
- i) IOL decentration;<sup>[2]</sup>
- j) IOL tilt;<sup>[2]</sup>
- k) IOL discoloration;
- l) IOL opacity.

#### 6.3.2 Toric IOL characteristics

- a) uncorrected visual acuity;
- b) keratometry;
- c) IOL mark axis rotation.

#### 6.3.3 Accommodating IOL characteristics

- a) uncorrected visual acuity at distance, intermediate and near;
- b) visual acuity at near and intermediate with best distance correction;
- c) best corrected near visual acuity;
- d) additional refraction (over best distance subjective correction) required to achieve best corrected near acuity;
- e) objective accommodative amplitude;
- f) contrast sensitivity;
- g) subject questionnaire;
- h) pupil size.

#### 6.3.4 Additional characteristics

If justified by the risk analysis, these additional characteristics shall be considered.

- a) cycloplegic refraction;
- b) specular microscopy;
- c) gonioscopic examination;
- d) pupil size;

e) anterior chamber depth measurement.

#### 6.4 Investigation duration

The minimum duration of the clinical investigations shall be one year (see [Annex A](#) for visit window tolerance) for aphakic posterior chamber IOLs which are not modifications of a model for which safety and performance data have been established through clinical investigation.

The minimum duration of the clinical investigations shall be three years (see [Annex A](#) for visit window tolerance) for aphakic anterior chamber IOLs which are not modifications of a model for which safety and performance data have been established through clinical investigation.

For all toric IOLs, a six-month study of the non-toric version of the IOL shall be performed to ensure rotational stability. Then for toric IOLs that are a modification of an IOL that has met the requirements of all parts of ISO 11979, risk analysis may require that this rotational stability study is followed by a clinical investigation of the actual toric IOL for six months. Toric IOLs that are not a modification of an IOL that has met the requirements of all parts of ISO 11979 shall require a full clinical investigation of one year duration.

The minimum study duration for accommodating IOLs through clinical investigation shall be one year but may require up to three years based on the risk analysis.

Consult ISO/TR 22979<sup>[1]</sup> for guidance on investigation duration for modifications of lens models for which safety and performance have been established through clinical investigation.

All subjects in a clinical investigation that have not been discontinued shall complete all visits of the investigation. The clinical investigation shall be considered completed when all subjects that have been enrolled in the investigation, including subjects whose IOL was removed or replaced, have reached the final reporting period.

#### 6.5 Enrollment

To minimize the risks associated with the clinical investigation of a new IOL, subject enrollment shall occur in stages. The subject data from each stage shall be evaluated and found acceptable by the sponsor and the coordinating investigator (and by the regulatory body, if applicable) prior to the continuation of the clinical investigation. Guidance on phased enrollment is included in [Annex A](#) (monofocal IOL), [Annex C](#) (toric IOL) and [Annex D](#) (accommodating IOL).

Risk analysis should be used to determine if an earlier phase than the phase 1 listed in the Annexes above is needed to address safety issues associated with the IOL design.

#### 6.6 Bilateral implantation

Any plans for fellow eye implantation shall be described in the clinical investigation plan. Bilateral implantation shall not be implemented until initial safety and performance data have been collected, evaluated and confirmed by the sponsor and coordinating investigator (and by the risk analysis, if applicable). Only the first eye of each subject shall be included in the primary statistical analysis.

When implantation of fellow eye is permitted, the clinical investigation plan shall specify time period between implantation of first eye and of fellow eye, based upon risk analysis.

NOTE The review of data from at least 50 eyes with six months of follow-up is recommended prior to fellow eye implantation. Risk analysis might allow an earlier implantation in fellow eyes if sufficiently justified by previous clinical experience.

#### 6.7 Surgical technique

The clinical investigation plan shall contain descriptions of the surgical technique, the intraoperative use of ophthalmic viscosurgical devices, and the use of preoperative, intraoperative and postoperative medications. Any deviation shall be recorded on the case report forms.

For toric IOLs, the clinical investigation plan shall specify the type and location of the incision. The estimated effect of the incision on the corneal astigmatism shall be used in the protocol for choosing the appropriate cylindrical power.

## 6.8 Examination and treatment of subjects

The reporting periods are described in [Annex A](#).

The clinical investigation plan shall describe how subject visits and ophthalmic adverse events that occur between standard reporting periods will be handled in the data analyses.

## 6.9 Adverse events reports

Serious adverse events and all adverse device effects shall be reported using a special case report form and forwarded to the sponsor as required. All other ophthalmic adverse events shall be reported using either the standard visit case report form or specific adverse event forms and be collected during monitoring. Non-ophthalmic events that are non-serious are not required to be reported.

## 6.10 Inclusion and exclusion criteria

### 6.10.1 General

The following inclusion/exclusion criteria shall be considered. Additional criteria shall be included depending on the risk analysis for the particular IOL model.

#### 6.10.1.1 Inclusion criteria

- a) adult;
- b) cataract (does not apply for phakic IOL);
- c) best corrected visual acuity projected to be 0,2 logMAR or lower;
- d) calculated IOL power is within the range of the investigational IOL;
- e) signed informed consent form.

#### 6.10.1.2 Exclusion criteria

- a) previous intraocular and corneal surgery;
- b) traumatic cataract;
- c) pregnancy and lactation;
- d) concurrent participation in another drug or device investigation.

### 6.10.2 Additional criteria for toric IOL

#### 6.10.2.1 Inclusion criteria

- a) corneal cylindrical error within the range defined in the clinical investigation plan (CIP);
- b) stability of the cornea has been demonstrated by keratometry;
- c) expected dilated pupil size at least large enough to visualize the axis markings.

#### 6.10.2.1.1 Additional inclusion criteria for phakic toric IOLs

a) the inclusion criteria described in ISO 11979-10 shall be considered.

**6.10.2.2 Exclusion criteria**

**6.10.2.2.1 Additional exclusion criteria for phakic toric IOLs**

The exclusion criteria described in ISO 11979-10 shall be considered.

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## Annex A (informative)

### Elements of a clinical investigation

#### A.1 General

The following are elements of a clinical investigation plan which can assist in collecting data for the purpose of determining the safety and performance of IOLs.

#### A.2 Number of subjects

The clinical investigation includes a minimum of 300 subjects when the results are compared to the safety and performance end points in [Annex B](#). In the case of an investigation with a concurrent control group, calculate the number of subjects sufficient to detect differences in the safety and performance end points in [Annex B](#) with similar statistical power to the investigation mentioned above. Any additional claims, beyond those for safety and performance, require calculation of a sample size for that purpose.

To take into account that some subjects are lost during the course of the clinical investigation (including deceased subjects and subjects who have the IOL explanted), enrol about:

- a) 390 subjects in the one-year investigation;
- b) 500 subjects in the three-year investigation.

Significantly larger numbers of subjects are not to be enrolled in order to minimize exposure to the risks of a new IOL.

To assist in achieving a balance in the number of subjects from each investigator, each surgeon contributes a minimum of 20 subjects, but no more than 25 % of the subjects in the investigation.

If the risk analysis determines that a limited clinical investigation is sufficient (see ISO/TR 22979<sup>[1]</sup>), then enroll 125 subjects.

#### A.3 Phased enrolment

To minimize the potential risks, the clinical investigation consists of two phases:

- a) phase 1: a maximum of 100 subjects are included. After at least 50 of those have reached case report form 4, their data are evaluated. If the results are acceptable, the next phase can begin;
- b) phase 2: the remainder of the subjects are included.

#### A.4 Reporting periods

The time frames for the reporting periods are defined below:

- a) case report form 0: pre-operative/operative reporting;
- b) case report form 1: 1 or 2 days post-operatively;
- c) case report form 2: 7 to 14 days post-operatively;
- d) case report form 3: 30 to 60 days post-operatively;

- e) case report form 4: 120 to 180 days post-operatively;
- f) case report form 5: 330 to 420 days post-operatively.
- g) case report form 6: 630 to 780 days post-operatively;
- h) case report form 7: 990 to 1 140 days post-operatively.

The minimum sample size needs to be achieved at each of the reporting periods.

## **A.5 Standardization of the clinical evaluation**

Define criteria for evaluation of all studied variables. Define testing conditions for all measurements. Before commencing the investigation instruct and train all investigators to use these, in order to obtain data that can be combined for the purpose of statistical analysis.

## **A.6 Data analysis**

Consider the following analyses for both the first eye group and the total eye group:

- a) visual acuity (VA) stratified by age;
- b) VA for best-case subjects;
- c) VA stratified by adverse event;
- d) VA stratified by pre-operative ocular pathology;
- e) VA stratified by investigator;
- f) subject-by-subject analysis of reasons why subject failed to achieve 0,3 logMAR VA;
- g) frequency of, and the cause of loss of 10 letters or more on an EDTRS chart (or equivalent) compared to best post-op visual acuity;
- h) frequency of cumulative adverse events stratified by age;
- i) frequency of persistent adverse events stratified by age;
- j) adverse event stratified by investigator;
- k) IOL related adverse events (two-sided 95 % confidence interval).

## **A.7 Subject accountability**

The general requirement for accountability of subjects is given in ISO 14155. More specific guidance for subject accountability at each of the post-operative visits in IOL clinical investigations is provided in [Table A.1](#).

**Table A.1 — Accountability by post-operative visit**

	Total number			
Enrolled (N)		—	—	—
Subject status	—	Form 1 [n, % (n/N)]	Form 2, etc. [n, % (n/N)]	Final form [n, % (n/N)]
Available for analysis	—			
Missing subjects:	—			
Discontinued	—			
Missing at scheduled visit but seen later	—			
Not seen but accounted for	—			
Lost to follow-up	—			
Active	—			
<p>where</p> <p>Enrolled: represents the total number of subjects enrolled in the investigation.</p> <p>Available for analysis: represents the total number of subjects for whom data are available at the form.</p> <p>Discontinued: represents the total number of subjects that have discontinued treatment prior to the form for any reason (e.g. death or device replacement). This category does not include subjects that are lost to follow-up.</p> <p>Missing at scheduled visit but seen later: represents the total number of subjects that were seen outside the time window associated with the form.</p> <p>Not seen but accounted for: represents the total number of subjects that were missing at the scheduled visit but were accounted for by being contacted (e.g. by phone).</p> <p>Lost to follow-up: represents the total number of subjects that have missed the form and there is no information available about them.</p> <p>Active: represents the total number of subjects that have not reached the time associated with the form. The investigation at the form is considered completed when the number of active subjects is zero.</p> <p>The following formula is used to determine the percentage of accountability for the investigation:</p> $\%Accountability = \frac{Available\ for\ Analysis}{(Enrolled - Discontinued - Active)}$				

Depending upon the clinical investigation, the total number of subjects is not necessarily the total number of eyes. For the purposes of this guidance, it is assumed that treatment is unilateral and that the total number of subjects is equivalent to the total number of eyes.

To minimize the uncertainty in the data, the lost to follow-up subjects in the three-year investigation should be less than 30 % and the lost to follow-up in one-year investigation should be less than 10 %.

### A.8 Clinical case report forms

The following pages provide examples of case report forms for investigations of monofocal, spherical, non-accommodating IOLs to correct aphakia:

- a) pre-operative/operative case report form — posterior chamber lenses (Table A.2);
- b) post-operative case report form — posterior chamber lenses (Table A.3);
- c) pre-operative/operative case report form — anterior chamber lenses (Table A.4);
- d) post-operative case report form — anterior chamber lenses (Table A.5);
- e) adverse event case report form (Table A.6).

**Table A.2 — Pre-operative/operative case report form for posterior chamber lens clinical investigation**

Investigator name: \_\_\_\_\_  
 Patient number: \_\_\_\_\_ Patient initials: \_\_\_\_\_

Clinical trial number: \_\_\_\_\_  
 Sex: Male:  Race: Caucasian   
 Female:  Black   
 Asian   
 Other   
 Mixed

Date of birth: \_\_\_\_\_  
YY MM DD

<b>Pre-operative report</b>			<b>Irrigating solution used</b>	
<small>YY MM DD</small>			yes <input type="checkbox"/> no <input type="checkbox"/>	
<b>Operative eye</b>	right <input type="checkbox"/>	left <input type="checkbox"/>	If yes, specify _____	
<b>Best corrected visual acuity</b>	Operative eye	Fellow eye	<b>Periocular medication</b> yes (specify, if appropriate) no	
or check one:	_____	_____	Anaesthetic <input type="checkbox"/> _____ <input type="checkbox"/>	
finger count	<input type="checkbox"/>	<input type="checkbox"/>	Antibiotic <input type="checkbox"/> _____ <input type="checkbox"/>	
hand movement	<input type="checkbox"/>	<input type="checkbox"/>	Corticosteroid <input type="checkbox"/> _____ <input type="checkbox"/>	
light perception	<input type="checkbox"/>	<input type="checkbox"/>	Other (specify) <input type="checkbox"/> _____ <input type="checkbox"/>	
no light perception	<input type="checkbox"/>	<input type="checkbox"/>	<b>Incision</b>	
<b>IOP (applanation):</b>	Op. eye: ___ mmHg	Fellow eye: ___ mmHg	Size _____ mm	
<b>Corneal status</b> (check yes or no for each)		yes no	Type (e.g., corneal, limbal, scleral tunnel) _____	
Normal		<input type="checkbox"/> <input type="checkbox"/>	<b>Type of lens extraction</b> (check one)	
Guttata		<input type="checkbox"/> <input type="checkbox"/>	Phacoemulsification <input type="checkbox"/>	
Other pathology (specify) _____		<input type="checkbox"/> <input type="checkbox"/>	Other (specify) _____ <input type="checkbox"/>	
<b>Cataract</b>			<b>Type of capsulotomy</b> (check one)	
etiology (check one)	senile <input type="checkbox"/>	other (specify) _____ <input type="checkbox"/>	CCCR (continuous curvilinear capsulorhexis) <input type="checkbox"/>	
<b>Pathology</b> (check yes or no for each)	yes no not assessable		Other (specify) _____ <input type="checkbox"/>	
Pseudoexfoliation	<input type="checkbox"/> <input type="checkbox"/>		<b>Position of the loops</b> (check one)	
Glaucoma	<input type="checkbox"/> <input type="checkbox"/>		in the bag <input type="checkbox"/>	
Previous glaucoma filtering surgery	<input type="checkbox"/> <input type="checkbox"/>		partly in the bag <input type="checkbox"/>	
Poor pupil dilation	<input type="checkbox"/> <input type="checkbox"/>		In the sulcus <input type="checkbox"/>	
Previous uveitis	<input type="checkbox"/> <input type="checkbox"/>		uncertain <input type="checkbox"/>	
Previous retinal detachment	<input type="checkbox"/> <input type="checkbox"/>		<b>Other surgical procedures</b> (check yes or no)	
Diabetic Retinopathy	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	yes <input type="checkbox"/> no <input type="checkbox"/>	
Macular degeneration	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	If yes, specify: _____	
Amblyopia	<input type="checkbox"/> <input type="checkbox"/>		<b>Problems during surgery</b> (check yes or no for each)	
Other (specify) _____	<input type="checkbox"/> <input type="checkbox"/>		Anterior segment bleeding <input type="checkbox"/> <input type="checkbox"/>	
<b>Biometry</b>	K1 _____ D	Axial length _____ mm	Iris damage <input type="checkbox"/> <input type="checkbox"/>	
	K2 _____ D		Posterior capsular opacity remaining <input type="checkbox"/> <input type="checkbox"/>	
Target postoperative refraction _____			Posterior capsular rupture <input type="checkbox"/> <input type="checkbox"/>	
<b>Signed informed consent obtained:</b>	yes <input type="checkbox"/>	<small>DD MM YY</small>	Anterior vitrectomy <input type="checkbox"/> <input type="checkbox"/>	
<b>Operative report</b>	Date of surgery _____		Other (specify) _____ <input type="checkbox"/> <input type="checkbox"/>	
	<small>DD MM YY</small>		<b>If investigation lens not implanted indicate reason:</b>	
<b>Ophthalmic viscosurgical device used</b>	yes <input type="checkbox"/> no <input type="checkbox"/>		_____	
If yes, specify _____			<b>Lens implanted. Place label here:</b>	
<b>Intraocular medication</b> (check yes or no for each)	yes no		_____	
Adrenalin	<input type="checkbox"/> <input type="checkbox"/>		Time incision to closure _____ min.	
Acetylcholine	<input type="checkbox"/> <input type="checkbox"/>		<b>Signature of investigator</b>	
Carbachol	<input type="checkbox"/> <input type="checkbox"/>		_____	
Other (specify) _____	<input type="checkbox"/> <input type="checkbox"/>		<small>YY MM DD</small>	

**Table A.3 — Post-operative case report form for posterior chamber lens clinical investigation**

Investigator name: \_\_\_\_\_ Clinical Trial Number: \_\_\_\_\_  
 Patient number: \_\_\_\_\_ Patient initials: \_\_\_\_\_ Date of birth: \_\_\_\_\_  
 YY MM DD

Post-operative report		YY MM DD		Cont'd: Other pathology and complications		present	absent
<b>Eye</b>		right <input type="checkbox"/> left <input type="checkbox"/>		Fibrin in pupil		<input type="checkbox"/>	<input type="checkbox"/>
Check if the patient is unavailable for this scheduled examination but continuing in the clinical investigation (sign form with all evaluation in form left blank)		<input type="checkbox"/>		Cortical remnants		<input type="checkbox"/>	<input type="checkbox"/>
If the patient is discontinued from the investigation, indicate primary reason:		_____		Nuclear remnants		<input type="checkbox"/>	<input type="checkbox"/>
<b>Refraction</b>		Sphere _____		IOL optic decentration		<input type="checkbox"/>	<input type="checkbox"/>
		cylinder _____		if present: ___ mm			
		axis _____		IOL optic tilt		<input type="checkbox"/>	<input type="checkbox"/>
<b>Keratometry</b>		K1 _____ D		if present: ___ degrees			
		K2 _____ D		IOL dislocation out of the posterior chamber		<input type="checkbox"/>	<input type="checkbox"/>
<b>Best corrected visual acuity</b>		Op. eye _____		IOL optic discoloration		<input type="checkbox"/>	<input type="checkbox"/>
		Fellow eye _____		IOL optic opacities		<input type="checkbox"/>	<input type="checkbox"/>
or check one		Finger count <input type="checkbox"/>		Retinal detachment		<input type="checkbox"/>	<input type="checkbox"/>
		Hand movement <input type="checkbox"/>		Diabetic retinopathy		<input type="checkbox"/>	<input type="checkbox"/>
		Light perception <input type="checkbox"/>		Cystoid macular oedema		<input type="checkbox"/>	<input type="checkbox"/>
		No light perception <input type="checkbox"/>		if present diagnosed:			
<b>IOP (applanation)</b>		_____ mm Hg		clinically		<input type="checkbox"/>	
<b>Medications used up to this visit</b>		topical		by fluorescein angiography		<input type="checkbox"/>	
(check yes or no for each)		yes no		Macular degeneration		<input type="checkbox"/>	<input type="checkbox"/>
Corticosteroids		<input type="checkbox"/> <input type="checkbox"/>		Optic atrophy		<input type="checkbox"/>	<input type="checkbox"/>
Antibiotics		<input type="checkbox"/> <input type="checkbox"/>		Anterior capsular opacification present?		<input type="checkbox"/>	<input type="checkbox"/>
NSAIDs		<input type="checkbox"/> <input type="checkbox"/>		Is the posterior capsule intact?		<input type="checkbox"/>	<input type="checkbox"/>
Glaucoma medication		<input type="checkbox"/> <input type="checkbox"/>		if intact:			
Other (specify) _____		<input type="checkbox"/> <input type="checkbox"/>		posterior capsule fibrosis		<input type="checkbox"/>	<input type="checkbox"/>
<b>Corneal stromal oedema</b>		wound central		Elschnig's pearls		<input type="checkbox"/>	<input type="checkbox"/>
none		<input type="checkbox"/> <input type="checkbox"/>		if not intact:			
mild/moderate		<input type="checkbox"/> <input type="checkbox"/>		has the capsule been opened since			
severe		<input type="checkbox"/> <input type="checkbox"/>		the last reported visit?		<input type="checkbox"/>	<input type="checkbox"/>
<b>Iritis (check one)</b>		none mild moderate severe		Other pathology?		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		specify: _____			
<b>Other pathology and complications</b>		present absent		If visual acuity less than 0,5 (20/40, 6/12) indicate main reason:			
(check present or absent for each)				_____			
Wound leak		<input type="checkbox"/> <input type="checkbox"/>		Has the operated eye undergone any surgical			
Flat anterior chamber		<input type="checkbox"/> <input type="checkbox"/>		reintervention since last reported visit?			
Hyphema		<input type="checkbox"/> <input type="checkbox"/>		yes no			
Endophthalmitis		<input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/>			
if present				If yes, specify:			
infectious		<input type="checkbox"/>		_____			
sterile		<input type="checkbox"/>		Has the patient experienced any adverse event			
Vitreous in anterior chamber		<input type="checkbox"/> <input type="checkbox"/>		or ophthalmic adverse device effect?			
Vitreous to wound		<input type="checkbox"/> <input type="checkbox"/>		yes no			
Raised IOP requiring treatment		<input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/>			
Pupillary block		<input type="checkbox"/> <input type="checkbox"/>		If yes, fill in the adverse event/ adverse device effect report form.			
Anterior synechiae		<input type="checkbox"/> <input type="checkbox"/>		If serious, also contact the sponsor in accordance with local regulations.			
Posterior synechiae		<input type="checkbox"/> <input type="checkbox"/>		<b>Signature of investigator</b>			
Deposits on IOL		<input type="checkbox"/> <input type="checkbox"/>		_____			
				YY MM DD			

**Table A.4 — Pre-operative/operative case report form for anterior chamber lens clinical investigation**

Investigator name: \_\_\_\_\_

Clinical trial number: \_\_\_\_\_

Patient number: \_\_\_\_\_ Patient Initials: \_\_\_\_\_

Sex: Male:  Female:  Race: Caucasian  Black  Asian  Other  Mixed

Date of birth: \_\_\_\_\_  
YY MM DD

<b>Pre-operative report</b>		<b>Irrigating solution used</b>	
Operative eye right <input type="checkbox"/> left <input type="checkbox"/>		yes <input type="checkbox"/> no <input type="checkbox"/>	
Best corrected visual acuity or checkone: finger count <input type="checkbox"/> hand movement <input type="checkbox"/> light perception <input type="checkbox"/> no light perception <input type="checkbox"/>		If yes, specify _____	
Operative eye _____ Fellow eye _____		Periocular medication yes (specify, if appropriate) _____ no <input type="checkbox"/>	
IOP(applanation): Op. eye: ___ mmHg Fellow eye: ___ mmHg		Anaesthetic <input type="checkbox"/> Antibiotic <input type="checkbox"/> Corticosteroid <input type="checkbox"/> Other (specify) <input type="checkbox"/>	
Corneal status (check yes or no for each) yes no Normal <input type="checkbox"/> <input type="checkbox"/> Guttata <input type="checkbox"/> <input type="checkbox"/> Other pathology (specify) _____ <input type="checkbox"/> <input type="checkbox"/> Endothelial cell count (if done): ___ cells/mm <sup>2</sup> Corneal thickness (if measured): _____ mm		Incision Size _____ mm Type (e.g., corneal, limbal, scleral tunnel) _____	
Cataract Etiology (check one) senile _____ other (specify) _____ <input type="checkbox"/>		Type of lens extraction (check one) Phacoemulsification _____ <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/>	
Pathology (check yes or no for each) yes no not assessable Pseudoexfoliation <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Glaucoma <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Previous glaucoma filtering surgery <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Poor pupil dilation <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Previous uveitis <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Previous retinal detachment <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Diabetic Retinopathy <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Macular degeneration <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Amblyopia <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		Type of capsulotomy (check one) CCCR (continuous curvilinear capsulorhexis) _____ <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/>	
Biometry K1 _____ D Axial length _____ mm K2 _____ D Target postoperative refraction _____		Other surgical procedures (check yes or no) yes no If yes, specify: _____ <input type="checkbox"/> <input type="checkbox"/>	
Signed informed consent obtained: yes <input type="checkbox"/> _____ YY MM DD		Problems during surgery (check yes or no for each) yes no Anterior segment bleeding <input type="checkbox"/> <input type="checkbox"/> Iris damage <input type="checkbox"/> <input type="checkbox"/> Posterior capsular opacity remaining <input type="checkbox"/> <input type="checkbox"/> Posterior capsular rupture <input type="checkbox"/> <input type="checkbox"/> Anterior vitrectomy <input type="checkbox"/> <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> <input type="checkbox"/>	
<b>Operative report</b>		If investigation lens not implanted indicate reason: _____	
Date of surgery _____ YY MM DD		Lens implanted. Place label here: _____	
Implantation primary <input type="checkbox"/> secondary <input type="checkbox"/> if secondary, specify reason _____		Lens orientation _____	
Ophthalmic viscosurgical device used yes <input type="checkbox"/> no <input type="checkbox"/> If yes, specify _____		Time to incision closure _____ minutes	
Intraocular medication (check yes or no for each) yes no Adrenalin <input type="checkbox"/> <input type="checkbox"/> Acetylcholine <input type="checkbox"/> <input type="checkbox"/> Carbachol <input type="checkbox"/> <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> <input type="checkbox"/>		Signature of investigator _____ YY MM DD	

**Table A.5 — Post-operative case report form for anterior chamber lens clinical investigation**

Investigator name: \_\_\_\_\_

Clinical trial number: \_\_\_\_

Patient number: \_\_\_\_

Patient initials: \_\_\_\_

Date of birth: \_\_\_\_\_

YY MM DD

Post-operative report		YY MM DD		Cont'd: Other pathology and complications		present	absent
<b>Eye</b>		right <input type="checkbox"/>	left <input type="checkbox"/>	Posterior synechiae		<input type="checkbox"/>	<input type="checkbox"/>
Check if the patient is unavailable for this scheduled examination but continuing in the clinical investigation (sign form with all evaluation in form left blank). If the patient is discontinued from the investigation, indicate primary reason: _____		<input type="checkbox"/>		Incorrect lens size		<input type="checkbox"/>	<input type="checkbox"/>
<b>Refraction</b>		sphere _____		Iris tuck		<input type="checkbox"/>	<input type="checkbox"/>
		cylinder _____		Deposits on IOL		<input type="checkbox"/>	<input type="checkbox"/>
		axis _____		Fibrin in pupil		<input type="checkbox"/>	<input type="checkbox"/>
<b>Keratometry</b>		K1 _____ D		Cortical remnants		<input type="checkbox"/>	<input type="checkbox"/>
		K2 _____ D		Nuclear remnants		<input type="checkbox"/>	<input type="checkbox"/>
<b>Best corrected visual acuity</b>		Op. eye	Fellow eye	IOL optic decentration		<input type="checkbox"/>	<input type="checkbox"/>
or check one:				if present: _____ mm			
Finger count		<input type="checkbox"/>	<input type="checkbox"/>	IOL tilt		<input type="checkbox"/>	<input type="checkbox"/>
Hand movement		<input type="checkbox"/>	<input type="checkbox"/>	if present: _____ degrees			
Light perception		<input type="checkbox"/>	<input type="checkbox"/>	IOL optic discoloration		<input type="checkbox"/>	<input type="checkbox"/>
No light perception		<input type="checkbox"/>	<input type="checkbox"/>	IOL optic opacities		<input type="checkbox"/>	<input type="checkbox"/>
<b>IOP (applanation)</b>		_____ mm Hg		IOL dislocation out of the anterior chamber		<input type="checkbox"/>	<input type="checkbox"/>
<b>Medication used up to this visit</b>		topical systemic		Retinal detachment		<input type="checkbox"/>	<input type="checkbox"/>
(check yes or no for each)		yes	no	Diabetic retinopathy		<input type="checkbox"/>	<input type="checkbox"/>
Corticosteroids		<input type="checkbox"/>	<input type="checkbox"/>	Cystoid macular oedema		<input type="checkbox"/>	<input type="checkbox"/>
Antibiotics		<input type="checkbox"/>	<input type="checkbox"/>	if present diagnosed:			
NSAIDs		<input type="checkbox"/>	<input type="checkbox"/>	clinically		<input type="checkbox"/>	
Glaucoma medication		<input type="checkbox"/>	<input type="checkbox"/>	by fluorescein angiography		<input type="checkbox"/>	
Other (specify) _____				Macular degeneration		<input type="checkbox"/>	<input type="checkbox"/>
<b>Corneal stromal oedema</b>		wound	central	Optic atrophy		<input type="checkbox"/>	<input type="checkbox"/>
none		<input type="checkbox"/>	<input type="checkbox"/>	Is the posterior capsule intact?			
mild/moderate		<input type="checkbox"/>	<input type="checkbox"/>	if intact:		<input type="checkbox"/>	<input type="checkbox"/>
severe		<input type="checkbox"/>	<input type="checkbox"/>	posterior capsular fibrosis		<input type="checkbox"/>	<input type="checkbox"/>
<b>Iritis (check one)</b>		none	<input type="checkbox"/>	Elschnig's pearls		<input type="checkbox"/>	<input type="checkbox"/>
		mild	<input type="checkbox"/>	If not intact:			
		moderate	<input type="checkbox"/>	has the capsule been opened since		<input type="checkbox"/>	<input type="checkbox"/>
		severe	<input type="checkbox"/>	last reported visit?			
<b>Other pathology and complications</b>		present	absent	Other pathology?		<input type="checkbox"/>	<input type="checkbox"/>
(check present or absent for each)				specify: _____			
Wound leak		<input type="checkbox"/>	<input type="checkbox"/>	If visual acuity less than 0,5 (20/40, 6/12) indicate main reason: _____			
Flat anterior chamber		<input type="checkbox"/>	<input type="checkbox"/>	Lens orientation _____			
Hyphema		<input type="checkbox"/>	<input type="checkbox"/>	Has the operated eye undergone any surgical re-intervention since last reported visit?		yes	no
Vitreous in anterior chamber		<input type="checkbox"/>	<input type="checkbox"/>	If yes, specify: _____		<input type="checkbox"/>	<input type="checkbox"/>
Vitreous to wound		<input type="checkbox"/>	<input type="checkbox"/>	Has the patient experienced any adverse event or ophthalmic adverse device effect?		<input type="checkbox"/>	<input type="checkbox"/>
Hypopyon		<input type="checkbox"/>	<input type="checkbox"/>	If yes, fill in the adverse event/adverse device effect report form.			
Iris atrophy		<input type="checkbox"/>	<input type="checkbox"/>	If serious, also contact the sponsor in accordance with local regulations.			
Eversion of the pupillary margin		<input type="checkbox"/>	<input type="checkbox"/>	<b>Signature of investigator</b>			
Endophthalmitis		<input type="checkbox"/>	<input type="checkbox"/>	_____			
if present: infectious <input type="checkbox"/>				_____			
sterile <input type="checkbox"/>				YY MM DD			
Raised IOP requiring treatment		<input type="checkbox"/>	<input type="checkbox"/>				
Pupillary block		<input type="checkbox"/>	<input type="checkbox"/>				
Anterior synechiae		<input type="checkbox"/>	<input type="checkbox"/>				



## Annex B (informative)

### Evaluation of post-operative adverse event and visual acuity rates

#### B.1 General

In order to allow for an uncontrolled investigation, rates of adverse events and visual acuity were taken from data in US studies to derive safety and performance end points (SPE).

#### B.2 Background

The data for the SPE rates were derived from weighted averages of the data from large clinical investigations of anterior and posterior chamber IOLs.

The data for posterior chamber IOLs were taken from eight clinical investigations of posterior chamber IOLs that were approved in the US (December 1989 to December 1997). The pooled sample size for these clinical investigations was 4 210 for adverse events and overall BCVA, and 3 035 for best-case BCVA.

The data for anterior chamber IOLs were taken from five clinical investigations for anterior chamber IOLs that were approved in the US (March 1988 to June 1991). The pooled sample size for these clinical investigations was 952 for adverse events and overall BCVA, and 635 for best-case BCVA.

#### B.3 Adverse event and visual acuity rates

The adverse event and visual acuity rates are provided in [Tables B.1](#), [B.2](#), [B.3](#), and [B.4](#). The terms used in the tables in this annex are defined as follows:

- SPE rate: safety and performance end point (rate derived from analysis of the data from clinical investigations of IOLs approved in the US).
- Maximum number of cases allowed before SPE rate exceeded: this is the maximum number of subjects with that adverse event that can occur in a clinical investigation before the rate in that investigation becomes statistically significantly greater than the SPE rate (see [Tables B.1](#) and [B.2](#)).
- Minimum number of cases allowed before less than SPE rate: this is the minimum number of subjects with BCVA 0,3 logMAR or better that can occur in a clinical investigation before the rate in that investigation becomes statistically significantly less than the SPE rate (see [Tables B.3](#) and [B.4](#)).

For adverse events not included in [Annex B](#), comparison with published literature, previous clinical experience and the investigators' clinical judgement, will determine acceptability.

**Table B.1 — Anterior chamber IOL adverse event rates**

Adverse event	SPE rate	Number of subjects = 100	Number of subjects = 300
	%	Max. number of cases allowed before SPE rate exceeded	Max. number of cases allowed before SPE rate exceeded
<u>Cumulative:</u>			
Cystoid macular oedema	10,0	15	39
Hypopyon	0,2	1	2
Endophthalmitis <sup>a</sup>	0,2	1	2
Lens dislocated from anterior chamber	1,1	3	6
Pupillary block	2,0	5	10
Retinal detachment	1,2	3	7
Secondary surgical intervention <sup>b</sup>	2,6	5	13
<u>Persistent:</u>			
Corneal stroma oedema	0,5	2	4
Cystoid macular oedema	3,8	7	17
Iritis	0,9	3	6
Raised IOP requiring treatment	2,1	5	11
<sup>a</sup> Endophthalmitis is defined as inflammatory reaction (sterile or infectious) involving the vitreous body. <sup>b</sup> Excludes posterior capsulotomies.			

**Table B.2 — Posterior chamber IOL adverse event rates**

Adverse event	SPE rate	Number of subjects = 100	Number of subjects = 300
	%	Max. number of cases allowed before SPE rate exceeded	Max. number of cases allowed before SPE rate exceeded
<u>Cumulative:</u>			
Cystoid macular oedema	3,0	6	14
Hypopyon	0,3	1	3
Endophthalmitis <sup>a</sup>	0,1	1	1
Lens dislocated from posterior chamber	0,1	1	1
Pupillary block	0,1	1	1
Retinal detachment	0,3	1	3
Secondary surgical intervention <sup>b</sup>	0,8	2	5
<u>Persistent:</u>			
Corneal stroma oedema	0,3	1	3
Cystoid macular oedema	0,5	2	4
Iritis	0,3	1	3
Raised IOP requiring treatment	0,4	2	3
<sup>a</sup> Endophthalmitis is defined as inflammatory reaction (sterile or infectious) involving the vitreous body. <sup>b</sup> Excludes posterior capsulotomies.			

**Table B.3 — Overall post-operative BCVA 0,3 logMAR or better**

Lens type	SPE rate	Number of subjects = 100	Number of subjects = 300
	%	Min. number of cases allowed before less than SPE rate	Min. number of cases allowed before less than SPE rate
Anterior chamber IOL	80,4	74	230
Posterior chamber IOL	92,5	88	270

**Table B.4 — Best case post-operative BCVA 0,3 logMAR or better**

Lens type	SPE rate	Number of subjects = 100	Number of subjects = 300
	%	Min. number of cases allowed before less than SPE rate	Min. number of cases allowed before less than SPE rate
Anterior chamber IOL	90,1	85	262
Posterior chamber IOL	96,7	94	285

For example, in the case of “pupillary block” in [Table B.1](#) for a 300 subject investigation, the SPE rate is 2,0 % and the minimum rates detectable as statistically significantly greater is 4,5 % with 10 as the maximum number of subjects allowed before the rate is significantly greater than the SPE rate.

For example, in the case of BCVA 0,3 logMAR or better in [Table B.3](#) for a 300 subject investigation, the anterior chamber SPE rate is 80,4 % and the maximum rate detectable as statistically significantly less is 74,3 %, with 230 subjects as the minimum number of subjects necessary for the rate to be not statistically significantly less than the SPE rate.

#### B.4 Additional guidance

For [Tables B.1](#) and [B.2](#), observed clinical investigation rates will be slightly less than the rates detectable as significantly higher than the SPE rates because any statistical comparison has a margin of sampling error built into it. Similarly, the required success rates in [Tables B.3](#) and [B.4](#) will be slightly higher than the rates detectable as significantly lower because of the allowance for sampling error. The power in all tables is only 80 % to detect differences as far from the SPE rate as the listed threshold rate. If a threshold rate closer to the SPE rate is felt to be clinically different, the power for the given sample sizes will be less than 80 %, hence resulting in a possibly large type II error, if the null hypothesis is not rejected.

The following assumptions were used for all the following tables: type I error = 0,05; 80 % power; one-sided alternative. The calculated results for the adverse events ([Tables B.1](#) and [B.2](#)) are based on using the binomial distribution, as mathematically described below, to test the null hypothesis that the true adverse event rate is less than or equal to the SPE rate. The alternative hypothesis would be that an adverse event rate is greater than the SPE rate. Similarly, for the best corrected visual acuity ([Tables B.3](#) and [B.4](#)), the null hypothesis is that the true rate of cases with visual acuity 0,3 logMAR or better is greater than or equal to the SPE rate. The alternative hypothesis is that the “success” rate is less than the SPE rate. The “threshold rate” (i.e. alternative hypothesis value) in all tables represents the minimum or

maximum theoretical rate that would be considered statistically significantly lower or higher than the SPE rate. This “threshold” rate is a function of the sample size and power.

$$\Pr\{X \geq x / n, p\} = 1 - \sum_{i=0}^{x-1} \binom{n}{i} p^i (1-p)^{n-i} \leq 0,05 \tag{B.1}$$

where

- $p$  is the rate for the SPE;
- $n$  is the sample size;
- $x$  is the observed number from the investigation.

The maximum of allowable events, “x”, can be obtained using an inverse-input binomial probability calculator, by setting the left-tail probability value equal to 0,95, for the given sample size ( $n$ ) and control rate ( $p$ ). Similarly, the minimum number required with BCVA 0,3 logMAR or better can be obtained using an inverse-input binomial calculator, by setting the left-tail probability value equal to 0,05, for the given sample size ( $n$ ) and control rate ( $p$ ). In this case (see [Tables B.3](#) and [B.4](#)), the right-hand side of Formula (B.1) above would be “ $\geq 0,95$ ”,  $p$  would represent the control rate for BCVA 0,3 logMAR or better and  $x$  would be the observed number of success in the investigation.

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## Annex C (informative)

### Additional elements for toric IOLs

#### C.1 General

The following additional elements of a toric IOL clinical investigation plan can assist in collecting data for the purpose of determining the safety and performance of this device.

If the toric feature is being applied to a previously approved non-toric parent IOL, then a study of rotational stability of the non-toric IOL model is performed.

If the toric IOL is not associated with any previously approved model, a full clinical investigation as described in [Annex A](#) is performed with a substudy of the investigation performed with the zero cylinder power IOLs to assess the rotational stability of the design. This full clinical investigation can include the non-toric IOLs or a combination of the toric and non-toric IOLs, but the first phase of the investigation only includes the non-toric IOLs to confirm the rotational stability of the design prior to the implantation of the toric IOL.

Requirements for rotational stability are given in [6.2.2](#).

If risk assessment indicates the need additional clinical investigation of the toric IOL model is performed as described in [C.3.2](#) to [C.3.8](#).

#### C.2 Rotational stability investigation of non-toric IOL

A rotational stability investigation is performed on a non-toric version of proposed toric IOL model to determine if the design is sufficiently stable to be used as a toric IOL, by using a test sample of non-toric IOLs with orientation marks as intended for the toric design.

For this investigation, at least 100 subjects are enrolled in which all of the following examinations are performed.

- a) Photographic documentation of the implanted IOL, on the day of surgery, with visible IOL axis marks and – on the same picture – visible structures of the eye which are stable in time and allow a determination of the rotational angle of the IOL around the optical axis relative to the said structures of the eye. Preferred structures are limbal vessels. The pupil should be dilated. Methods to measure IOL axis mark rotation are given in References [\[3\]](#), [\[4\]](#) and [\[5\]](#).
- b) Image analysis methods, either subjectively by an examiner or automatically by image analysis software, is provided to quantitatively document changes in the IOL rotation relative to the eye.
- c) The documentation of the IOL rotation relative to the eye is performed on the day of surgery and at the conclusion of the investigation (form 4).
- d) The rotation angle differences between each of the follow-up examinations and at the day of surgery are statistically examined. The criteria to assess rotational stability are given in [6.2.2](#).

If risk analysis indicates that rotational stability may be a function of the angle of implantation, then rotational stability is investigated in several different implanted orientations. This is of particular importance for ciliary sulcus and anterior chamber implantations.

### C.3 Clinical investigation of toric IOLs

#### C.3.1 General

The following clauses describe additional assessments that may be performed if a clinical investigation of the toric IOL is required.

#### C.3.2 Investigation design

The type of clinical investigation recommended is a controlled investigation when the lowest toric IOL cylindrical power is 1,5 D or below (only for the lowest cylindrical power). The clinical investigation of IOL toric cylindrical power above 1,5 D is uncontrolled. This investigation will assess the performance of the toric IOL to reduce preoperative cylinder.

The control IOL is the same IOL model without cylindrical power. A minimum sample size of 65 subjects is recommended with corneal cylinder within the range indicated for the lowest cylindrical power being investigated. The statistical calculation (see [C.3.7.2](#)) demonstrates that a sample size of 65 is often sufficient to demonstrate performance.

#### C.3.3 Investigation duration

The subjects with phakic or aphakic toric IOLs are followed to form 4.

#### C.3.4 Investigational group

In the case of the toric surface added to a parent IOL, a Level B study with a minimum sample size of 100 unilateral eyes should be performed. At least 65 should receive the toric IOL with the lowest cylinder power (see [C.3.8.1](#)). Enrollment should be adjusted to account for the expected lost-to-follow-up rate.

NOTE For the toric IOL with the lowest cylindrical power, the distribution of subject's astigmatism should support the intended range for that toric IOL as defined in the CIP.

#### C.3.5 Clinical tests

Use the clinical tests and schedules outlined in [Table C.1](#).

Table C.1 — Recommended examination schedule

Examination	Preop	Op	Form 1	Form 2	Form 3	Form 4
Distance UCVA	a/p		a/p	a/p	a/p	a/p
Distance BSCVA	a/p			a/p	a/p	a/p
Subjective refraction	a/p			a/p	a/p	a/p
Cycloplegic refraction	p					p
Slit lamp examination	a/p		a/p	a/p	a/p	a/p
Fundus exam. with dilated pupil	a/p		a/p	a/p	a/p	a/p
Keratometry	a/p				a/p	a/p
Pachymetry of corneal thickness	p					p
Axial length	a/p					
Anterior chamber depth	a/p					
Gonioscopic exam.	p					
Intraocular pressure	a/p	p <sup>a</sup>	p	p	p	p
IOL axis orientation		a/p	a/p	a/p	a/p	a/p
Status of crystalline lens	p			p	p	p
Specular microscopy <sup>b</sup>	a/p					a/p
<p><sup>a</sup> Post-surgery operative day IOP measurements are considered if pupillary block is considered a possible complication.</p> <p><sup>b</sup> For subjects with aphakic anterior chamber IOLs and phakic IOLs where specular microscopy was not performed for the parent IOL. Evaluation beyond form 4 may be necessary to adequately characterize endothelial cell changes. See E.4 for additional information.</p> <p><b>Meaning of a and p:</b></p> <p>a = subject with aphakic IOL</p> <p>p = subject with phakic IOL</p>						

### C.3.6 Performance outcomes

#### C.3.6.1 Reduction in cylindrical power of the eye

a) The following are definitions of the reduction in cylindrical power of the eye:

- for studies of aphakic eyes: absolute preoperative magnitude of keratometric or total corneal cylinder minus the absolute postoperative magnitude of subjective refractive cylinder at the corneal plane;
- for studies of phakic eyes: absolute preoperative magnitude of subjective refractive cylinder minus absolute postoperative magnitude of subjective refractive cylinder, both referred to the corneal plane.

b) The following are definitions of the percentage reduction in cylindrical power of the eye:

- for studies of aphakic eyes: absolute preoperative magnitude of keratometric or total corneal cylinder minus the absolute postoperative magnitude of subjective refractive cylinder at the corneal plane expressed as a percentage of the absolute preoperative magnitude of keratometric or total corneal cylinder;
- for studies of phakic eyes: absolute preoperative magnitude of subjective refractive cylinder minus absolute postoperative magnitude of subjective refractive cylinder, both referred to the

corneal plane, expressed as a percentage of the absolute preoperative magnitude of subjective refractive cylinder.

### C.3.6.2 IOL axis mark rotation

“IOL axis mark rotation” is defined as the acute angle difference between the measured meridian positions of the axis mark(s) at form 4 minus the measured meridian position of the axis mark(s) at the day of surgery.

IOL axis mark rotation, using a direct measurement method is determined. The method should have sufficient precision (two standard deviations) to detect a five degree change in rotation. Additionally, the method should adjust for head tilt and ocular torsion; for example, by registration to iris details or limbal vasculature (see [C.2](#)).

### C.3.7 Data analyses

#### C.3.7.1 General

Use the same accountability, safety and performance analyses as outlined in [Annex A](#) for aphakic toric IOLs and in ISO 11979-10 for phakic toric IOLs.

In the event of unanticipated residual or induced astigmatism, the related cause is investigated and reported. If surgical correction of the corneal astigmatism is performed during the investigation period, the refractive error prior to secondary surgery is reported as the final result.

#### C.3.7.2 Safety analyses

Rate of device related secondary surgical interventions and the 95 % confidence interval on this rate.

#### C.3.7.3 Performance analyses

##### C.3.7.3.1 Rotational stability of IOL axis mark

The rotational stability of the meridian defined by the IOL axis mark is assessed by a direct method. Methods to measure IOL axis mark rotation are given in References [3], [4] and [5]. Given the degree of toric IOL axis accuracy suggested in this clinical annex, every effort should be made to include in the direct method reference to unchanging anatomical features, such as the iris, sclera, or conjunctiva.

The rotation angle differences between each of the follow-up examinations and at the day of surgery are statistically examined (refer to examination schedule). The criteria to assess rotational stability are given in [6.2.2](#).

Analysis of IOL axis mark rotation from the day of surgery should include:

- a) absolute value of the rotation (median, maximum);
- b) signed value of the rotation (mean, standard deviation, minimum, maximum).

##### C.3.7.3.2 Reduction in cylindrical power of the eye

Descriptive statistics for the reduction in cylindrical power of the eye (defined in [C.3.6.1](#)) at form 4 should be tabulated separately for each model. These should include the mean, standard deviation, median, maximum and minimum of the change in cylindrical power. Skewed or non-normal data invalidates the use of mean and standard deviation and therefore only the median, maximum and minimum change shall be reported in such a case.

For the model with the lowest IOL cylindrical power:

- a) If the lowest toric IOL cylinder power is  $\leq 1,50$  D (controlled study), statistically compare the mean “reduction in cylindrical power of the eye” to the control mean “reduction in cylindrical power of the eye”;
- b) Characterize the “reduction in cylindrical power of the eye” with the mean and a 95 % confidence interval on the mean.

For this outcome, compare the difference between the test and control arm means and the upper confidence limit of the lower confidence limit on the magnitude of the mean change [b), above] to a minimal clinically significant difference. This should be in addition to the statistical comparison in a) for a controlled study.

The following additional analyses should be performed for the lowest cylindrical power model and control (when a control is used):

- c) For each 0,25 D step of preoperative cylinder (keratometric for aphakic IOLs, refractive for phakic IOLs), tabulate the following for each arm:
  - the proportion of eyes that showed “reduction in cylindrical power of the eye”  $< 0,50$  D
  - the proportion that showed “reduction in cylindrical power of the eye”  $> 0,50$  D
  - the proportion that showed change in absolute “reduction in cylindrical power of the eye”  $\leq \pm 0,50$  D
  - provide side-by-side comparisons of test and control results.
- d) For each 0,25 D bin of preoperative cylinder, tabulate the following for each arm:
  - The descriptive statistics for “change in cylindrical power of the eye” (mean, standard deviation, median, minimum, maximum). Provide side-by-side comparisons of test and control results.
- e) Scatterplots with regression lines (based on form 4 and preop data; separate graphs for each arm of the study): “Reduction in cylindrical power of the eye” (corneal plane) vs. preoperative cylinder (keratometric cylinder for aphakic, refractive cylinder for phakic).

Based on the above, a discussion should be provided assessing the device effectiveness across the range of preoperative cylinder that the label indicates is appropriate for implantation with the lowest cylindrical power model. If it appears that meaningful effectiveness is questionable in portions of this treatment region, the labelled range of preoperative astigmatism that is appropriate for IOL implantation is restricted accordingly.

### C.3.7.3.3 Change in corneal cylindrical power

The surgically induced change in sphere and cylinder are calculated by analysis of the preoperative and postoperative keratometric readings (power and axis of meridians of highest and lowest power), converted to components in dioptric space. Change is defined as postoperative component values minus preoperative component values.

Analyses should include:

- a) analysis of the error in the predicted magnitude of postoperative astigmatism, including the bias, standard deviation, and mean absolute error, and a similar analysis of error in the predicted axis;
- b) plot of the absolute error in predicted keratometric axis as a function of preoperative corneal astigmatism, and tabulation of the proportion of eyes with absolute error in axis by  $5^\circ$  wide bins (e.g.  $0^\circ$  to  $5^\circ$ ,  $>5^\circ$  to  $10^\circ$ ).

**C.3.7.3.4 Additional performance analyses**

Recommended performance analyses specific to characterize the clinical performance of the toric IOLs are described below.

- a) Percentage of eyes that achieve UCVA of
  - 0,0 logMAR or better
  - 0,3 logMAR or better
- b) Mean UCVA stratified by 0,25 D bin of preoperative cylinder
  - overall
  - for each toric IOL cylindrical power model

**C.3.8 Statistical considerations**

**C.3.8.1 Sample size calculation for the analysis of “reduction in cylindrical power of the eye” (see C.3.6.1) for a study without a control (all toric IOL cylindrical powers > 1,50 D)**

As the lowest IOL cylindrical power group should show the lowest “reduction in cylindrical power of the eye”, the sample size for this group should be sufficient for assessment of “reduction in cylindrical power of the eye”.

Calculations have to account for the normality or non-normality of data distribution.

Formula (C.1) may be used to estimate the number of subjects in this “lowest cylinder power” subgroup. The equation provides the sample size necessary to provide 0,20 D precision in the 95 % confidence intervals for the “reduction in cylindrical power of the eye.”

$$n = \sigma^2 \left( \frac{Z_{1-\alpha/2}}{\text{precision}} \right)^2 \tag{C.1}$$

where

- $n$  is the sample size (number of subjects);
- $Z_{1-\alpha/2}$  is the value of standard normal distribution below which exactly the  $(1-\alpha/2)$  proportion of the population falls.  $(1-\alpha)$  is the confidence (probability) that the parameter being estimated ( $p$ ) falls within the confidence interval. Here  $1-\alpha$  is taken to be 0,95 (for a 95 % confidence interval);
- $Z_{1-\alpha/2} = Z_{0,975} = 97,5\text{th percentile of the normal distribution} = 1,96;$
- $\sigma$  is the standard deviation of the “reduction in cylindrical power”;
- precision is half width of confidence interval estimate = 0,20 D.

Experience indicates that for a low cylindrical power toric of about 1,75 D, it is reasonable to assume that the standard deviation for “reduction in cylindrical power” is 0,82 D. Therefore:

$$n = (0,82^2) \left( \frac{1,96}{0,20} \right)^2 = 64,6 \quad (\text{C.2})$$

Thus, for the “lowest toric cylindrical power” subgroup, the minimum recommended sample size should be 65 subjects.

### C.3.8.2 Sample size calculation for statistical comparison of “reduction in cylindrical power of the eye” in controlled study (aphakic and phakic toric IOLs)

For aphakic and phakic toric IOLs, the “reduction in cylindrical power of the eye” (see C.3.6.1) in the toric IOL investigation group and the control (spherical IOL) group is compared at the final visit. This should be done for the “lowest cylindrical power” subgroup. The selection criteria for the control group are the same as for the lowest cylindrical power investigation group. The goal is to demonstrate superiority in “reduction in cylindrical power” in the toric group.

The null hypothesis is:

$$H_0: \text{reduction in cylinder}_{\text{toric}} \leq \text{reduction in cylinder}_{\text{control}}$$

The alternative hypothesis is:

$$H_1: \text{reduction in cylinder}_{\text{toric}} > \text{reduction in cylinder}_{\text{control}}$$

Below is an example of a sample size calculation (two-sample *t*-test). Using the following assumptions:

- $\alpha = 0,025$  [type I error rate] (This is equivalent to 0,05 for a 2-sided test);
- $\beta = 0,10$  [type II error rate];
- The minimum difference in “reduction in cylinder” between the two arms that one is attempting to detect (with 90 % power) is 0,38 D;
- the standard deviation for the “reduction in cylinder” for each arm is 0,66 D;
- use the two-sample *t*-test with equal variances and sample sizes.

Standard statistical software yields a minimum sample size of 65 subjects in each arm.

## Annex D (informative)

### Additional elements for accommodating IOLs

#### D.1 General

The following additional elements of an accommodating IOL (AIOL) clinical investigation plan can assist in collecting data for the purpose of determining the safety and performance of this device.

#### D.2 Investigation design

The investigation consists of two phases:

- a) randomized, comparative investigation to assess objective accommodation. If at least 1 D of accommodation can be demonstrated the second phase can commence.
- b) randomized, comparative investigation to assess the safety and to further study the magnitude and consistency of the accommodative performance.

The study also uses the historical data in [Annex B](#) to investigate the general safety and performance of the accommodating IOL.

The objective accommodative amplitude testing of the control group should be used to verify the test method used in the clinical investigation, and should demonstrate minimal accommodative amplitude for the control group.

The CIP should include a description of the selection of subjects for objective measurement of accommodation and include description of methods used to minimize potential for bias (e.g. age-matching and masking).

##### D.2.1 Enrolment of subjects

Enrolment occurs in the following two phases.

- a) Phase I: enrol 50 subjects, follow to form 4. Assess the objective accommodative amplitudes. If sufficient amplitude is demonstrated, phase II may be initiated.
- b) Phase II: all additional subjects.

#### D.3 Investigation duration

The first phase of the investigation has duration according to form 4.

The total study duration depends on when accommodative amplitude stability is demonstrated, with a minimum duration to form 5 and a maximum duration to form 7. Stability is demonstrated by a less than 25 % decrease or a not statistically significant decrease in the mean of the within eye percentage change in accommodative amplitude measurements taken six months apart. If the pilot data analysis and risk analysis raise long-term safety concerns, longer follow-up may be needed.

The investigational plan should include a statement that a long-term follow-up (e.g. up to three years) may be necessary. It is recommended that an informed consent for a three-year follow-up is obtained.

## D.4 Investigation and control groups

See [Table D.1](#).

**Table D.1 — Sample size requirements for the investigation and control group**

Implantation	Sample size	
	Investigation group	Control group
Unilateral – Phase I	50	50
Unilateral – Phase II	250	72 <sup>a</sup>
Bilateral <sup>b</sup>	100	50
<sup>a</sup> Total number of unilateral control subjects set by number needed for contrast sensitivity subinvestigation.		
<sup>b</sup> This is an optional subset of the total number of subjects.		

## D.5 Clinical tests

Use the clinical tests and schedules outlined in [Table D.2](#).

## D.6 Outcomes

### D.6.1 General

This clause outlines elements considered in the design of a clinical investigation of an accommodating IOL.

### D.6.2 Performance outcomes — Accommodative amplitude

Clinical investigation includes objective assessment of accommodation on investigation eyes and control eyes. A test may be selected from those described in [E.3.2.2](#). The recommended primary effectiveness end point is the amplitude of accommodation. A sample size calculation should be performed to ensure that the proposed number of subjects for the objectively measured amplitude of accommodation testing are sufficient to demonstrate superiority over the control for the outcome at the time point of stability (or final visit, if study is longer than 12 months). In any case, no fewer than 100 eyes in the investigational arm and 50 eyes in the control arm should have objective amplitude testing at the final visit.

Subjective accommodative testing and biometric testing is optional and may be performed to characterize the AIOL performance.

### D.6.3 Safety outcomes

#### D.6.3.1 Specular microscopy

Specular microscopy is performed in investigation and control patients if warranted by risk analysis. In that case, it is performed preoperatively and at form 4, form 5, form 6 and form 7. Specular microscopy images are taken of the central cornea. In addition, peripheral measurements are taken if warranted by the design or placement of the AIOL. The peripheral locations to be photographed should be specified based on the design and/or placement of the AIOL. See [E.4](#) for additional information.

#### D.6.3.2 Subject questionnaire

Subjects may be given a questionnaire to assess symptoms and quality of life issues related to the accommodating IOL. It is recommended that a self-administered questionnaire be used to avoid bias. At the time of the publication of this part of ISO 11979, there are no published questionnaires that have been specifically validated for use in accommodating IOL investigations. The questionnaire should

include questions regarding glare, halos, double vision, spectacle/contact lens use, night driving and intermediate distance tasks and spectacle independence for defined activities. The time of onset of visual symptoms should also be addressed.

The questionnaire items should have previously been referenced in the peer-reviewed literature and their reliability and validity undergone some degree of evaluation. Alternatively, their reliability and validity can be evaluated in a pilot study. The results of the subject questionnaire are stratified by fellow eye status (untreated, implanted with same accommodating IOL, etc.).

See Reference [6] or Reference [7] for examples of questionnaires that can be used as a starting point.

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Table D.2 — Recommended examination schedule (1 of 2 pages)

Examination	Illumination	Testing performed <sup>a</sup>	Number of AIOL subjects	Number of controls subjects	Pre-op	Op	Reporting period							
							Form 1	Form 2	Form 3	Form 4	Form 5	Form 6	Form 7	
Uncorrected distance visual acuity	Photopic	Monocular	300	122	X		X					X		X
		Binocular	100	50				X				X		X
Best spectacle corrected distance visual acuity	Photopic	Monocular	300	122	X			X				X		X
		Binocular	100	50				X				X		X
Uncorrected near visual acuity (fixed distance)	Photopic	Monocular	300	122				X				X		X
		Binocular	100	50				X				X		X
Near visual acuity with distance correction (fixed distance)	Photopic	Monocular	300	122				X				X		X
		Binocular	100	50				X				X		X
Uncorrected intermediate visual acuity (fixed distance)	Photopic	Monocular	300	122								X		X
		Binocular	100	50								X		X
Intermediate visual acuity with distance correction (fixed distance)	Photopic	Monocular	300	122								X		X
		Binocular	100	50								X		X
Best spectacle corrected near visual acuity (record add power required)	Photopic	Monocular	300	122								X		X
		Binocular	100	50								X		X
Accommodative amplitude (objective)	Photopic	Monocular	TBD <sup>b</sup>	TBD <sup>b</sup>							X		X	X
		N/A	300	122	X			X				X		X
Pupil size <sup>c</sup>	Photopic/mesopic	N/A	300	122	X							X		X
		N/A	300	122	X							X		X
Fundus examination with dilated pupil	N/A	N/A	300	122	X							X		X
		N/A	300	122	X							X		X

Table D.2 — Recommended examination schedule (2 of 2 pages)

Examination	Illumination	Testing performed <sup>a</sup>	Number of AIOL subjects	Number of controls subjects	Pre-op	Reporting period						
						Form 1	Form 2	Form 3	Form 4	Form 5	Form 6	Form 7
Intraocular pressure	N/A	N/A	300	122	X	X	X	X	X	X	X	X
Lens stability (tilt/decentration) <sup>d</sup>	N/A	N/A	300	122		X	X	X	X	X	X	X
Subject questionnaire <sup>e</sup>	N/A	N/A	300	122	X				X	X	X	X
Specular microscopy <sup>f</sup>	N/A	N/A	300	122	X			X	X	X	X	X
Anterior chamber depth <sup>f</sup>	N/A	N/A	300	122	X			X	X	X	X	X
Gonioscopy <sup>f</sup>	N/A	N/A	300	122	X			X	X	X	X	X
<b>Substudies</b>												
Far contrast sensitivity	Mesopic	Monocular	122	122						X	X	X
		Binocular	optional	optional						X	X	X
Far contrast sensitivity	Mesopic with glare	Monocular	122	122						X	X	X
		Binocular	optional	optional						X	X	X
<p><sup>a</sup> The testing is to be performed monocularly or binocularly as specified. If the testing is monocular, the first eye implanted is reported in the primary analysis. Binocular testing is performed on the investigation group subjects who are implanted bilaterally with the AIOL and on the control group subjects who are implanted bilaterally with the control IOL.</p> <p><sup>b</sup> Sample size is determined from a statistical analysis with the minimum number of AIOL subjects being 100.</p> <p><sup>c</sup> Pupil size is assessed for all tests influenced by pupil size at the post-op visits specified in the pupil size row.</p> <p><sup>d</sup> Lens stability is performed according to Reference [2].</p> <p><sup>e</sup> Questionnaire should include subject grading of visual/optical symptoms, ability to perform specific sustained reading tasks, and satisfaction/functioning questions (e.g. need glasses for near tasks).</p> <p><sup>f</sup> This investigation is performed if warranted by risk analysis.</p>												

## D.7 Data analyses

### D.7.1 General

Based on the risk analysis, safety and performance analyses appropriate to the specific AIOL and intended population are selected from the following subclauses.

### D.7.2 Safety analyses

Consider the following safety analyses:

- a) frequency of optical and visual symptoms assessed in a questionnaire;
- b) endothelial cell count analysis (if applicable);
- c) rate of device-related secondary surgical interventions and the 95 % confidence interval on this rate.

### D.7.3 Performance analyses

Consider the following performance analyses:

- a) accommodative amplitude (objective assessment);
- b) percentage of eyes that achieve a change of less than or equal to 1,00 D of spherical equivalent between two refractions performed at least three months apart;
- c) mean change in spherical equivalent between visits as determined by a paired analysis;
- d) mean change in accommodative amplitude between visits at least six months apart as determined by paired analysis;
- e) percentage of eyes that achieve best spectacle corrected distance VA for each line of VA (0,1 log units);
- f) distribution of eyes that achieve near VA with distance correction (fixed distance) between 0,0 logMAR and 0,7 logMAR;
- g) distribution of eyes that achieve best spectacle corrected near VA between 0,0 logMAR and 0,7 logMAR;
- h) post-operative spectacle independence as assessed by the questionnaire;
- i) intermediate VA with distance correction;
- j) percentage that achieve combined uncorrected distance VA and uncorrected near VA of 0,7 logMAR or lower to 0,0 logMAR or lower in 0,1 logMAR decrements;
- k) descriptive comparisons (means and standard deviations) between the AIOL and control groups, for the six-month postoperative distance refraction.

The objectively measured amplitude of accommodation are characterized by descriptive statistics. These include, for both test and control groups mean, standard deviation, 95 % confidence interval, and detailed description of the distribution. Additionally, statistical comparisons can be performed. In order to be considered effective, the investigational AIOL should be statistically superior to the control IOL at the final form for mean objective amplitude of accommodation.

## D.8 Statistical considerations

### D.8.1 Statistical symbols and definitions

Table D.3 lists the statistical symbols used throughout the following statistical analysis methods and gives their definitions.

Table D.3 — Meaning of symbols

Parameters and statistics in normal distribution	
Symbol	Description
$z$	standard normal variable (units of standard deviations)
$\mu$	population mean
$\sigma$	population standard deviation
$n$	sample size
$\bar{x}$	sample mean
$\pi$	population proportion
$p$	sample proportion
Hypothesis testing symbols	
Symbol	Description
$H_0$	null hypothesis
$H_0: \mu \leq 0$	a logical statement to be read "The null hypothesis is that the mean, $\mu$ , is less than or equal to zero"
$H_1$	alternative hypothesis
$\alpha$	the probability of falsely rejecting the null hypothesis. This is also referred to as the "significance level" for the hypothesis test.
$\beta$	the probability of falsely accepting the null hypothesis
$1-\beta$	the statistical "power" of the hypothesis test.
$\delta$	non-inferiority margin - The difference between two population means (e.g. before/after; Treatment A/Treatment B) that can be allowed before this difference is believed to be of clinical significance.
$z_{1-\alpha}$	standard normal quantile. The value of the standard normal variable $Z$ , below which $(1-\alpha)$ of the distribution lies.
$z_{1-\beta}$	standard normal quantile for power
$Pr$	probability - generally given numerically as a fraction between 0 and 1 or as a percentage between 0 % and 100 %
$Pr\{X > x/n\}$	a logical probability statement to be read "the probability that $X$ is greater than $x$ for the condition of sample size $n$ "

Table D.4 provides a convenient list of standard normal quantiles that are used throughout.