



### Technical Assessment Submission Checklist and Questionnaire (GEN-CQD-003-v4)

Please complete the questionnaire below and submit the following relevant information with your dossier as indicated. Include this form with your submission. Please note that all relevant materials must be submitted for a dossier to be considered complete. If you believe that any requested items do not or should not apply, please indicate this and briefly explain why.

**Not all services require additional Technical Assessment documentation.**

**Do not proceed unless additional documentation has been requested via email.**

<b>Applicant/Lab</b>	<b>Test Name</b>	<b>DEX Z-Code®</b>
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#### Test Details Checklist/Questionnaire:

YES NO

1. Is this test based on novel/proprietary technology or algorithms, and/or provides a result based on such technology or algorithms? If checked, Clinical Validity and Clinical Utility must be described. Complete form [GEN-PF-001](#), Technical Assessment Summary Form.

**NOTE:** Only complete this form if your test **DOES NOT** fall into a category listed below

2. Is this a Transplant Related test?  
If yes, please indicate the following, and proceed to **Additional Information**.
  - Allograft Assessment, complete [ALLO-CQ-003](#), [ALLO-PF-009](#)
  - Chimerism by non-STR based method, complete [GEN-PF-001](#)
3. Is this a Pharmacogenomics (PGx) panel/test?  
If yes, complete form [PGX-PF-007](#), and proceed to **Additional Information**.
4. Is this a Molecular Syndromic Infectious Disease (ID) panel test?  
If yes, please indicate the following, then complete form [MID-PF-019](#), and proceed to **Additional Information**.
  - a. Type of panel test: \_\_\_\_\_ If Other, please specify: \_\_\_\_\_
  - b. Methodology: \_\_\_\_\_ If Other, please specify: \_\_\_\_\_
5. Is this a Molecular Risk Stratification test?  
If yes, please indicate the following, then complete forms [MRS-PF-020](#), [GEN-PF-001](#), and proceed to **Additional Information**.
  - a. Is this test for risk stratification of cancer?
  - b. Indication/Organ System: \_\_\_\_\_
  - c. Methodology: \_\_\_\_\_ If Other, please specify: \_\_\_\_\_

Questions continue on next page.



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Test Details Checklist/Questionnaire Continued:

- YES NO
6. Is this test for Somatic Testing?  
If yes, please indicate the following, and proceed to **Additional Information**.
- a. Check if this is for Solid Tumor or Hematopoietic Malignancies:
- Solid Tumor
  - Solid Tumor, plasma-based
  - Hematopoietic Malignancies
- b. Check if this application is a NGS "Targeted" or "Comprehensive Genomic Profile" (CGP) (as defined in Definitions):
- Targeted
- Solid Tumor and Solid Tumor, plasma-based, complete form [NGS-PF-004](#)
  - Hematopoietic Malignancies, complete form [NGS-PF-005](#)
- CGP
- Solid Tumor and Solid Tumor, plasma-based, complete forms [NGS-PF-004](#) and [NGS-PF-002](#)
  - Hematopoietic Malignancies, complete forms [NGS-PF-005](#) and [NGS-PF-002](#)
- c. Check if this test is to detect Minimal Residual Disease (MRD), complete form [MRD-PF-016](#).
- Check if test includes tumor profiling prior to MRD testing, in addition to [MRD-PF-016](#), complete forms [NGS-PF-002](#).
7. Is this test for Inherited Cancer Testing?  
If yes, please complete form [GER-PF-006](#), and proceed to **Additional Information**.
8. Is this test for Hereditary Germline (non-Cancer) Testing?  
If yes, please indicate the following, and proceed to **Additional Information**.
- Inherited Germline Testing, complete form [GER-PF-008](#)
  - Venous Thromboembolism Risk and Hereditary Thrombophilia, complete form [GER-PF-023](#)
  - Whole Exome Sequencing (WES) or Whole Genome Sequencing (WGS), complete form [GER-PF-024](#)
9. Is this test for Reproductive Genetic Screening?  
If yes, please indicate the following, and proceed to **Additional Information**.
- Prenatal cell-free DNA Screening (PCFS), complete form [PCFS-PF-021](#)
  - Reproductive Genetic Carrier Screening, complete form [PSC-PF-022](#)

If the test is not described above, please email for assistance.

See the following page for Additional Information and Definitions.

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**Additional Information:** Please submit the following documentation along with forms described above:

1. A list or table of contents of all materials submitted as part of the dossier.
2. **Executive Summary:** Include name of test, Z-Code assigned, test description including platform, lab providing the test (or manufacturer), NPI, and a brief description of the clinical validity of the test. Provide a summary on the background of the test and its intended use. This includes who should be tested, when, and why. Additionally, any professional society or other clinical guidelines addressing the use of this test or similar tests, if no such guidelines have been published, please indicate this. For example, how does the test change physician behavior and/or improve patient outcomes? Please limit summary to one page.
3. Sample reports.
4. Complete **Analytical and Clinical Validation** documents.
5. A copy of your **test requisition form (TRF)**.
6. Documentation of final test approval by **New York State Department (NYSDOH)** and/or the **US Food and Drug Administration (FDA)**, as well as any written questions from NYSDOH and/or the FDA and your written response(s), if applicable.
7. Full-text **PDF copy of peer-reviewed publications** that demonstrate clinical validity and clinical utility for the intended use of this (or similar) tests in the intended-use population, if applicable. For example, **MID** and **Allograft** TAs both require supporting literature.

### Definitions:

- **Algorithm** – An algorithm may be considered a meaningful and independent component of a laboratory process when ALL the following conditions are met:
  - It is an unambiguous problem-solving operation that includes deploying a set of rules or calculations requiring computer processing;
  - The test result (or a component of the result) is the calculated output of this process, and not an intermediary process;
  - The same or similar test result could not be obtained without the use of this process;
  - The input for the computation is derived from biological samples using analytical processes, and must include data from the sample submitted for the test;
  - The process must:
    - Either be required for the analytical result, OR
    - If adjunct to the analytical result as a post-analytical process, the calculation itself must be independently found to be reasonable and necessary apart from the other components of the test.
- **Comprehensive Genomic Profile (CGP)** – NGS based molecular assays that provide additional insight beyond individual gene hotspots; these assays seek to describe the genomic makeup of a tumor and can help identify underlying mechanisms of disease to guide clinical decision making. These tests include not only mutations in individual relevant genes, but also patterns of mutations across related genes in established cancer pathways and often include an assessment of overall mutational burden. These tests typically involve sequencing of entire exonic regions of genes of interest (within a comprehensive gene panel or whole exome sequencing), and may also include selected intronic regions. CGP can detect multiple types of molecular alterations (i.e., SNVs, small and large INDELS, copy number alterations (CNAs), structural variants (SVs), and splice-site variants) in a single assay. Patterns of mutations seen across multiple genes may be used to infer clinically relevant etiologies, such as DNA mismatch repair deficiency and microsatellite instability, and total mutational load/burden (TMB) may be determined. CGP testing may also include RNA sequencing to detect structural variations, such as translocations or large deletions, and to detect functional splicing mutations.
- **Targeted Panel** – Tests that identify somatic alterations known to occur in certain regions (i.e., 'hotspots') within specific genes of interest for cancer management (i.e., diagnosis, selection of molecularly targeted therapies, prognosis in a context where prognostic classification is essential for treatment selection). Generally, these NGS panels can detect single nucleotide variants (SNVs) and small insertions or deletions (INDELS) within these regions.
- **Sample Level Data** – Expected versus observed results for each unique sample tested. For an example of how this data can be displayed, refer to the Sample-Level Data tab of Technical Assessment Summary Form ([GEN-PF-001](#)).