

Technical Information Report

AAMI TIR28: 2009/(R)2013

Product adoption
and process equivalence
for ethylene oxide
sterilization

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Product adoption and process equivalence for ethylene oxide sterilization

Approved 17 March 2009 and reaffirmed 20 May 2013 by
Association for the Advancement of Medical Instrumentation

Abstract: This technical information report provides guidance for the adoption of new or modified products into an existing validated sterilization process and for the determination of equivalence of a sterilization process as conducted with different equipment. Guidance is intended to augment the ANSI/AAMI/ISO 11135 series in the areas of product adoption and process equivalence.

Keywords: sterilization, ethylene oxide, product adoption, process equivalence, product family

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Glossary of equivalent standards

International Standards adopted in the United States may include normative references to other International Standards. For each International Standard that has been adopted by AAMI (and ANSI), the table below gives the corresponding U.S. designation and level of equivalency to the International Standard. NOTE: Documents are sorted by international designation.

Other normatively referenced International Standards may be under consideration for U.S. adoption by AAMI; therefore, this list should not be considered exhaustive.

International designation	U.S. designation	Equivalency
IEC 60601-1-1:2005	ANSI/AAMI ES60601-1-1:2005	Major technical variations
IEC 60601-1-2:2007	ANSI/AAMI/IEC 60601-1-2:2007	Identical
IEC 60601-2-2:2009	ANSI/AAMI/IEC 60601-2-2:2009	Identical
IEC 60601-2-4:2002	ANSI/AAMI DF80:2003	Major technical variations
IEC 60601-2-19:2009	ANSI/AAMI/IEC 60601-2-19:2009	Identical
IEC 60601-2-20:2009	ANSI/AAMI/IEC 60601-2-20:2009	Identical
IEC 60601-2-21:2009	ANSI/AAMI/IEC 60601-2-21:2009	Identical
IEC 60601-2-24:1998	ANSI/AAMI ID26:2004	Major technical variations
IEC 60601-2-47:2001	ANSI/AAMI EC38:2007	Major technical variations
IEC 60601-2-50:2009	ANSI/AAMI/IEC 60601-2-50:2009	Identical
IEC 80601-2-58:2008	ANSI/AAMI/IEC 80601-2-58:2008	Identical
IEC/TR 60878:2009	ANSI/AAMI/IEC TIR60878:2003	Identical
IEC/TR 62296:2009	ANSI/AAMI/IEC TIR62296:2009	Identical
IEC 62304:2006	ANSI/AAMI/IEC 62304:2006	Identical
IEC/TR 62348:2006	ANSI/AAMI/IEC TIR62348:2006	Identical
ISO 5840:2005	ANSI/AAMI/ISO 5840:2005	Identical
ISO 7198:1998	ANSI/AAMI/ISO 7198:1998/2001/(R)2004	Identical
ISO 7199:2009	ANSI/AAMI/ISO 7199:2009	Identical
ISO 8637:2004	ANSI/AAMI RL16:2007	Major technical variations
ISO 8638:2004	ANSI/AAMI RL17:2007	Major technical variations
ISO 10993-1:2003	ANSI/AAMI/ISO 10993-1:2003	Identical
ISO 10993-2:2006	ANSI/AAMI/ISO 10993-2:2006	Identical
ISO 10993-3:2003	ANSI/AAMI/ISO 10993-3:2003	Identical
ISO 10993-4:2002 and Amendment 1:2006	ANSI/AAMI/ISO 10993-4:2002/(R)2009 and Amendment 1:2006/(R)2009	Identical
ISO 10993-5:1999	ANSI/AAMI/ISO 10993-5:1999	Identical
ISO 10993-6:2007	ANSI/AAMI/ISO 10993-6:2007	Identical
ISO 10993-7:2008	ANSI/AAMI/ISO 10993-7:2008	Identical
ISO 10993-9:1999	ANSI/AAMI/ISO 10993-9:1999/(R)2005	Identical
ISO 10993-10:2000 and Amendment 1:2006	ANSI/AAMI BE78:2002/(R)2008 ANSI/AAMI BE78:2002/A1:2006/(R)2008	Minor technical variations Identical
ISO 10993-11:2006	ANSI/AAMI/ISO 10993-11:2006	Identical
ISO 10993-12:2007	ANSI/AAMI/ISO 10993-12:2007	Identical
ISO 10993-13:1998	ANSI/AAMI/ISO 10993-13:1999/(R)2004	Identical
ISO 10993-14:2001	ANSI/AAMI/ISO 10993-14:2001/(R)2006	Identical
ISO 10993-15:2000	ANSI/AAMI/ISO 10993-15:2000/(R)2006	Identical
ISO 10993-16:1997	ANSI/AAMI/ISO 10993-16:1997/(R)2009	Identical
ISO 10993-17:2002	ANSI/AAMI/ISO 10993-17:2002/(R)2008	Identical
ISO 10993-18:2005	ANSI/AAMI BE83:2006	Major technical variations
ISO/TS 10993-19:2006	ANSI/AAMI/ISO TIR10993-19:2006	Identical
ISO/TS 10993-20:2006	ANSI/AAMI/ISO TIR10993-20:2006	Identical

International designation	U.S. designation	Equivalency
ISO 11135-1:2007	ANSI/AAMI/ISO 11135-1:2007	Identical
ISO/TS 11135-2:2008	ANSI/AAMI/ISO TIR11135-2:2008	Identical
ISO 11137-1:2006	ANSI/AAMI/ISO 11137-1:2006	Identical
ISO 11137-2:2006 (2006-08-01 corrected version)	ANSI/AAMI/ISO 11137-2:2006	Identical
ISO 11137-3:2006	ANSI/AAMI/ISO 11137-3:2006	Identical
ISO 11138-1: 2006	ANSI/AAMI/ISO 11138-1:2006	Identical
ISO 11138-2: 2006	ANSI/AAMI/ISO 11138-2:2006	Identical
ISO 11138-3: 2006	ANSI/AAMI/ISO 11138-3:2006	Identical
ISO 11138-4: 2006	ANSI/AAMI/ISO 11138-4:2006	Identical
ISO 11138-5: 2006	ANSI/AAMI/ISO 11138-5:2006	Identical
ISO/TS 11139:2006	ANSI/AAMI/ISO 11139:2006	Identical
ISO 11140-1:2005	ANSI/AAMI/ISO 11140-1:2005	Identical
ISO 11140-3:2007	ANSI/AAMI/ISO 11140-3:2007	Identical
ISO 11140-4:2007	ANSI/AAMI/ISO 11140-4:2007	Identical
ISO 11140-5:2007	ANSI/AAMI/ISO 11140-5:2007	Identical
ISO 11607-1:2006	ANSI/AAMI/ISO 11607-1:2006	Identical
ISO 11607-2:2006	ANSI/AAMI/ISO 11607-2:2006	Identical
ISO 11737-1: 2006	ANSI/AAMI/ISO 11737-1:2006	Identical
ISO 11737-2:1998	ANSI/AAMI/ISO 11737-2:1998	Identical
ISO 13408-1:2008	ANSI/AAMI/ISO 13408-1:2008	Identical
ISO 13408-2:2003	ANSI/AAMI/ISO 13408-2:2003	Identical
ISO 13408-3:2006	ANSI/AAMI/ISO 13408-3:2006	Identical
ISO 13408-4:2005	ANSI/AAMI/ISO 13408-4:2005	Identical
ISO 13408-5:2006	ANSI/AAMI/ISO 13408-5:2006	Identical
ISO 13408-6:2006	ANSI/AAMI/ISO 13408-6:2006	Identical
ISO 13485:2003	ANSI/AAMI/ISO 13485:2003	Identical
ISO 14155-1:2003	ANSI/AAMI/ISO 14155-1:2003/(R)2008	Identical
ISO 14155-2:2003	ANSI/AAMI/ISO 14155-2:2003/(R)2008	Identical
ISO 14160:1998	ANSI/AAMI/ISO 14160:1998/(R)2008	Identical
ISO 14161:2000	ANSI/AAMI/ISO 14161:2000	Identical
ISO 14937:2000	ANSI/AAMI/ISO 14937:2000	Identical
ISO/TR 14969:2004	ANSI/AAMI/ISO TIR14969:2004	Identical
ISO 14971:2007	ANSI/AAMI/ISO 14971:2007	Identical
ISO 15223-1:2007 and A1:2008	ANSI/AAMI/ISO 15223-1:2007 and A1:2008	Identical
ISO 15225:2000 and A1:2004	ANSI/AAMI/ISO 15225:2000/(R)2006 and A1:2004/(R)2006	Identical
ISO 15674:2009	ANSI/AAMI/ISO 15674:2009	Identical
ISO 15675:2009	ANSI/AAMI/ISO 15675:2009	Identical
ISO 15882:2008	ANSI/AAMI/ISO 15882:2008	Identical
ISO/TR 16142:2005	ANSI/AAMI/ISO TIR16142:2005	Identical
ISO 17664:2004	ANSI/AAMI ST81:2004	Major technical variations
ISO 17665-1:2006	ANSI/AAMI/ISO 17665-1:2006	Identical
ISO 18472:2006	ANSI/AAMI/ISO 18472:2006	Identical
ISO/TS 19218:2005	ANSI/AAMI/ISO 19218:2005	Identical
ISO 22442-1:2007	ANSI/AAMI/ISO 22442-1:2007	Identical
ISO 22442-2:2007	ANSI/AAMI/ISO 22442-2:2007	Identical
ISO 22442-3:2007	ANSI/AAMI/ISO 22442-3:2007	Identical
ISO 25539-1:2003 and A1:2005	ANSI/AAMI/ISO 25539-1:2003 and A1:2005	Identical
ISO 25539-2:2008	ANSI/AAMI/ISO 25539-2:2008	Identical
ISO 81060-1:2007	ANSI/AAMI/ISO 81060-1:2007	Identical

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This technical information report (TIR) was developed by the AAMI Industrial Ethylene Oxide Sterilization Working Group under the auspices of the AAMI Sterilization Standards Committee. Working Group approval of the TIR does not necessarily imply that all committee members voted for its approval.

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NOTE—Participation by federal agency representatives in the development of this technical information report does not constitute endorsement by the federal government or any of its agencies.

Foreword

This document is part of a series of technical information reports (TIRs) intended for use in conjunction with ANSI/AAMI/ISO 11135-1:2007. The other reports in the series are

- AAMI TIR14:2009, Contract sterilization using ethylene oxide;
- AAMI TIR15:1997, Ethylene oxide sterilization equipment, process considerations, and pertinent calculations (currently under revision);
- AAMI TIR16:2000, Process development and performance qualification for ethylene oxide sterilization— Microbiological aspects (currently under revision); and
- ANSI/AAMI/ISO TIR11135-2:2008, Sterilization of health care products - Ethylene oxide - Part 2: Guidance on the application of ANSI/AAMI/ISO 11135-1

The original TIR28, along with other AAMI TIRs, provided additional guidance to the 1994 edition of the industrial EO sterilization standard 11135, which was revised in 2007 under a new designation, ANSI/AAMI/ISO 11135-1:2007, *Sterilization of health care products - Ethylene oxide - Part 1: Requirements for the development, validation and routine control of a sterilization process for medical devices*. In 2008, ISO published its own guidance document for the 11135 standard, ISO/TR 11135-2:2008, *Sterilization of health care products - Ethylene oxide - Part 2: Guidance on the application of ISO 11135-1*, which was based to a great extent on the earlier AAMI technical information reports. Correspondingly, the AAMI Industrial EO sterilization working group is updating its TIRs to take into account changes to the 11135 standard as well as to avoid redundancy with ANSI/AAMI/ISO TIR11135-2:2008.

This TIR provides guidance for the adoption of new or modified products into an existing validated sterilization process and for the determination of equivalence of a sterilization process as conducted with different equipment. These areas are not addressed in depth by ANSI/AAMI/ISO 11135-1:2007 or ANSI/AAMI/ISO 11135-2:2008, but they are important industry practices that are used to reduce the expense and time associated with the validation or requalification of an ethylene oxide sterilization process and are based on accumulated process knowledge.

The adoption of a new or modified product into an existing validated sterilization process involves the determination that the product is no more of a challenge than the product (i.e., master product or representative product) or process challenge device that was used in the performance qualification for the ethylene oxide sterilization process.

The process equivalence section of this TIR will provide guidance on how to establish equivalence between processes performed in separate equipment or sets of equipment and guidance on the level of microbiological performance qualification testing required. It also includes guidance on the maintenance of equivalence and requalification when equivalence has been established.

This TIR contains guidelines that are not intended to be absolute or to apply in all circumstances. One should use judgment in applying the information in this TIR.

As used within the context of this document, “should” indicates that among several possibilities, one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required, or that (in the negative form) a certain possibility or course of action should be avoided but is not prohibited. “May” is used to indicate that a course of action is permissible within the limits of the recommended practice. “Can” is used as a statement of possibility and capability. Finally, “must” is used only to describe “unavoidable” situations, including those mandated by government regulation. See also the NOTE on Page 1.

Suggestions for improving this technical information report are invited. Comments and suggested revisions should be sent to AAMI, 1110 N. Glebe Road, Suite 220, Arlington, VA 22201-4795.

NOTE—This foreword does not contain provisions of the AAMI TIR28:2009 titled *Product adoption and process equivalence for ethylene oxide sterilization*, but it does provide important information about the development and intended use of the document.

Product adoption and process equivalence for ethylene oxide sterilization

NOTE—This technical information report is not a standard and the material contained herein is not normative in nature. The committee has in a few places used the term "shall" based on their knowledge of requirements contained in relevant standards and/or regulatory requirements.

1 Scope

This TIR addresses medical devices that are processed by ethylene oxide (EO) sterilization using conventional or parametric product release. The document applies to the following situations for the sterilization of medical devices:

- a) a new product is being added to the previously validated process,
- b) changes to validated products are being evaluated,
- c) a previously validated process is being moved to a different facility or to different equipment, and
- d) equivalency of a sterilization process is being evaluated.

Although the information presented was developed for application to medical devices, the content of this guideline may also be applied to other relevant products or materials.

2 Terms and definitions

For the purposes of this AAMI TIR, the following terms and definitions apply:

2.1 candidate equipment: New or modified piece of equipment intended to deliver an existing validated process.

2.2 candidate product: New or modified product, including the packaging system, proposed for inclusion in the existing validated sterilization process.

2.3 EO processing group: Collection of products or product families that can be sterilized in the same EO sterilization process.

NOTE—All products within the processing group have been determined to present an equal or lesser challenge to the sterilization process than the challenge device for that group.

[ANSI/AAMI/ISO 11135-2:2008]

2.4 EO product family: Collection of products determined to be similar or equivalent for validation purposes.

[ANSI/AAMI/ISO 11135-2:2008]

2.5 installation qualification (IQ): Process of obtaining and documenting evidence that equipment has been provided and installed in accordance with its specification.

[ANSI/AAMI/ISO TIR11139:2006]

2.6 load configuration: Totality of attributes defining the presentation of the product to the sterilization process. This configuration includes (a) the orientation of the product within the sterile barrier system (primary package); (b) the quantity and orientation of the primary package within the protective packaging (secondary or tertiary package); (c) the quantity, orientation, and placement of the product in the protective packaging on the sterilizer pallets (or within the carriers); and (d) the quantity and placement of the pallets (or carriers) within the vessel or area.

2.7 operational qualification (OQ): Process of obtaining and documenting evidence that installed equipment operates within predetermined limits when used in accordance with its operational procedures.

[ANSI/AAMI/ISO TIR11139:2006]