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I ecnnical Information Report

ANSI/AAMI/ISO TIR11135-2:2008



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Sterilization of health care products — Ethylene oxide — Part 2: Guidance on the application of ANSI/AAMI/ISO 11135-1



Association for the Advancement of Medical Instrumentation

Objectives and uses of AAMI standards and recommended practices

It is most important that the objectives and potential uses of an AAMI product standard or recommended practice are clearly understood. The objectives of AAMI's technical development program derive from AAMI's overall mission: the advancement of medical instrumentation. Essential to such advancement are (1) a continued increase in the safe and effective application of current technologies to patient care, and (2) the encouragement of new technologies. It is AAMI's view that standards and recommended practices can contribute significantly to the advancement of medical instrumentation, provided that they are drafted with attention to these objectives and provided that arbitrary and restrictive uses are avoided.

A voluntary *standard* for a *medical device* recommends to the manufacturer the information that should be provided with or on the product, basic safety and performance criteria that should be considered in qualifying the device for clinical use, and the measurement techniques that can be used to determine whether the IEW device conforms with the safety and performance criteria and/or to compare the performance characteristics job different epitiducts an AAMIrglevant to the specific acedis of the user. Some standards emphasize the information that should be provided rchasers to eventual a construct standard for use, warnings and precautions, and other data considered specialized test methods to facilitate uniformity in reporting; reaching consensus on these tests can represent a considerable part of committee work. When a drafting committee determines that clinical concerns warrant the establishment of minimum safety and performance criteria, referee tests must be provided and the reasons for establishing the criteria must be documented in the rationale.

A recommended practice provides guidelines for the use, care, and/or processing of a medical device or system. A recommended practice does not address device performance per se, but rather procedures and practices that will help ensure that a device is used safely and effectively and that its performance will be maintained.

Although a device standard is primarily directed to the manufacturer, it may also be of value to the potential purchaser or user of the device as a frame of reference for device evaluation. Similarly, even though a recommended practice is usually oriented towards healthcare professionals, it may be useful to the manufacturer in better understanding the environment in which a medical device will be used. Also, some recommended practices, while not addressing device performance criteria, provide guidelines to industrial personnel on such subjects as sterilization processing, methods of collecting data to establish safety and efficacy, human engineering, and other processing or evaluation techniques; such guidelines may be useful to health care professionals in understanding industrial practices.

In determining whether an AAMI standard or recommended practice is relevant to the specific needs of a potential user of the document, several important concepts must be recognized:

All AAMI standards and recommended practices are voluntary (unless, of course, they are adopted by government regulatory or procurement authorities). The application of a standard or recommended practice is solely within the discretion and professional judgment of the user of the document.

Each AAMI standard or recommended practice reflects the collective expertise of a committee of health care professionals and industrial representatives, whose work has been reviewed nationally (and sometimes internationally). As such, the consensus recommendations embodied in a standard or recommended practice are intended to respond to clinical needs and, ultimately, to help ensure patient safety. A standard or recommended practice is limited, however, in the sense that it responds generally to perceived risks and conditions that may not always be relevant to specific situations. A standard or recommended practice is an important reference in responsible decision-making, but it should never replace responsible decision-making.

Despite periodic review and revision (at least once every five rears), a standard or recommended practice is necessarily a static document applied to a dynamic technology. Therefore, a standards user must carefully review the reasons why the document was Ginitially developed and the specific rationale for each of its provisions. This review will reveal whether the document remains

with the device, including performance characteristics instantions aking a processing devices and equipment, and in applying a recommended practice to current procedures and practices. While observed or important in ensuring the safe and effective use of the device in the power of this potential risks with existing equipment typically form the basis for clinical environment. Recommending the disclosure AAof | at (877 the 9s afects and performance criteria defined in a standard, performance characteristics often necessitates the developmentisif www.aapriofessional judgment must be used in applying these criteria to existing equipment. No single source of information will serve to identify a particular product as "unsafe". A voluntary standard can be used as one resource, but the ultimate decision as to product safety and efficacy must take into account the specifics of its utilization and, of course, cost-benefit considerations. Similarly, a recommended practice should be analyzed in the context of the specific needs and resources of the individual institution or firm. Again, the rationale accompanying each AAMI standard and recommended practice is an excellent guide to the reasoning and data underlying its provision.

In summary, a standard or recommended practice is truly useful only when it is used in conjunction with other sources of information and policy guidance and in the context of professional experience and judgment.

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Requests for interpretations of AAMI standards and recommended practices must be made in writing, to the AAMI Vice President, Standards Policy and Programs. An official interpretation must be approved by letter ballot of the originating committee and subsequently reviewed and approved by the AAMI Standards Board. The interpretation will become official and representation of the Association only upon exhaustion of any appeals and upon publication of notice of interpretation in the "Standards Monitor" section of the AAMI News. The Association for the Advancement of Medical Instrumentation disclaims responsibility for any characterization or explanation of a standard or recommended practice which has not been developed and communicated in accordance with this procedure and which is not published, by appropriate notice, as an official interpretation in the AAMI News.

An ANSI Technical Report prepared by AAMI

ANSI/AAMI/ISO TIR11135-2:2008 (Partial revision of ANSI/AAMI/ISO 11135:1994) (Identical to corrected copy of ISO/TS 11135-2:2008)



Sterilization of health care products entailethylene oxide — Part 2: Guidance on the application of

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Approved 23 September 2008 by Association for the Advancement of Medical Instrumentation

Registered 9 November 2008 by American National Standards Institute, Inc.

Abstract: AAMI/ISO TIR11135-2 provides guidance for validation and routine control of ethylene oxide sterilization processes for medical devices.

Keywords: EO, industrial sterilization, validation, routine control, medical device, product release, process control, process monitoring

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AAMI Technical Information Report

A technical information report (TIR) is a publication of the Association for the Advancement of Medical Instrumentation (AAMI) Standards Board that addresses a particular aspect of medical technology.

Although the material presented in a TIR might need further evaluation by experts, releasing the information is valuable because the industry and the professions have an immediate need for it.

A TIR differs markedly from a standard or recommended practice, and readers should understand the differences between these documents.

Standards and recommended practices are subject to a formal process of committee approval, public review, and resolution of all comments. This process of consensus is supervised by the AAMI Standards Board and, in the case of American National Standards, by the American National Standards Institute.

A TIR is not subject to the same formal approval process as a standard. However, a TIR is approved for distribution by a technical committee and the AAMI Standards Board.

Another difference is that, although both standards and TIRs are periodically reviewed, a standard must be acted on—reaffirmed, revised, or withdrawn—and the action formally approved usually every five years but at least every 10 years. For a TIR, AAMI consults with a technical committee about five years after the publication date (and periodically thereafter) for guidance on whether the document is still useful—that is, to check that the information is relevant or of historical value. If the information is not useful, the TIR is removed from circulation.

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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 60601-1:2005	ANSI/AAMI ES60601-1:2005	Major technical variations
IEC 60601-1-2:2007	ANSI/AAMI/IEC 60601-1-2:2007	Identical
IEC 60601-2-2:2006	ANSI/AAMI/IEC 60601-2-2:2006	Identical
IEC 60601-2-4:2002	ANSI/AAMI DF80:2003	Major technical variations
IEC 60601-2-19:1990 and A1:1996	ANSI/AAMI 1136:2004	Major technical variations
IEC 60601-2-20:1990 and A1:1996	ANSI/AAMI 1151:2004	Major technical variations
IEC 60601-2-21:1994 and	ANSI/AAMI/IEC 60601-2-21 and	Identical
Amendment 1:1996	Amendment 1:2000 (consolidated texts)	
IEC 60601-2-24:1998	ANSIAAMI 1026:2004. OPY	Major technical variations
IEC 60601-2-47:2001	ANSI/AAMI EC38:2007	Major technical variations
IEC 60601-2-50:2001 This is a pre	/iANSI/AAMI/IEC 60601-2+50:2006 ocument and	i\$dentical
IEC/TR 60878:2003 intended to allo	WARS MATAMINEC TRE0878 2003 to the content o	^f İdêntical
IEC/TR 62296:2003	ANSI/AAMI/IEC TIR62296:2003	Identical
IEC 62304:2006 For	ANSI/AAMI/IEC 62304:2006 document	Identical
IEC/TR 62348:2006	ANSI/AAMI/IEGtT/1862348:2006	Identical
ISO 5840:2005	ANSI/AAMI/ISØ^584012005g	Identical
ISO 7198:1998	ANSI/AAMI/ISO 7198:1998/2001/(R)2004	Identical
ISO 7199:1996	ANSI/AAMI/ISO 7199:1996/(R)2002	Identical
ISO 8637:2004	ANSI/AAMI RD16:2007	Major technical variations
ISO 8638:2004	ANSI/AAMI RD17:2007	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 A1:2006	ANSI/AAMI/ISO 10993-4:2002 and A1:2006	Identical
ISO 10993-5:1999	ANSI/AAMI/ISO 10993-5:1999	Identical
ISO 10993-6:2007	ANSI/AAMI/ISO 10993-6:2007	Identical
ISO 10993-7:1995	ANSI/AAMI/ISO 10993-7:1995/(R)2001	Identical
ISO 10993-9:1999	ANSI/AAMI/ISO 10993-9:1999/(R)2005	Identical
ISO 10993-10:2002 and Amendment	ANSI/AAMI BE78:2002	Minor technical variations
1:2006	ANSI/AAMI BE78:2002/A1:2006	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)2003	Identical
ISO 10993-17:2002	ANSI/AAMI/ISO 10993-17:2002	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
ISO 11135-1:2007	ANSI/AAMI/ISO 11135-1:2007	Identical
ISO/TS 11135-2:2008	ANSI/AAMI/ISO TIR11135-2:2008	Identical

International designation	U.S. designation	Equivalency
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	ANS <mark>/AAMI/ISO-11737-1:2006</mark>	Identical
ISO 11737-2:1998	ANSI/AAMI/ISO 11737-2:1998	Identical
ISO 11737-3:2004 This is a pre	viANSI/AAMI/ISO A1737332004e document and	isdentical
ISO 13408-1:2008 intended to allo	VANSPATAMPUSO 932408 9 2008 ate the content o	f İdêntical
ISO 13408-2:2003	MANSI/AAMI/180193408-2:20039 decision.	Identical
ISO 13408-3:2006 For	ANSI/AAMI/ISO 13408-3;2006	Identical
ISO 13408-4:2005	ANSI/AAMI/ISQ113498-44208526	Identical
ISO 13408-5:2006	ANSI/AAMI/ISOM3408-5:2006	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	Identical
ISO 14155-2:2003	ANSI/AAMI/ISO 14155-2:2003	Identical
ISO 14160:1998	ANSI/AAMI/ISO 14160:1998	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 15674:2001	ANSI/AAMI/ISO 15674:2001	Identical
ISO 15675:2001	ANSI/AAMI/ISO 15675:2001	Identical
ISO 15882:2003	ANSI/AAMI/ISO 15882:2003	Identical
ISO/TR 16142:2006	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

Committee Representation

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Association for the Advancement of Medical Instrumentation

Industrial Ethylene Oxide Sterilization Working Group

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.

At the time this document was published, the **AAMI Industrial Ethylene Oxide Sterilization Working Group** had the following members:

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Background of Adoption of ISO/TS 11135-2:2008

The International Organization for Standardization (ISO) is a worldwide federation of national standards bodies. The United States is one of the ISO members that took an active role in the development of this standard.

The first edition of ISO 11135 was developed by ISO Technical Committee 198 to fill a need for an international standard for ethylene oxide sterilization of health care products. The standard was published in 1994 and was followed by several technical information reports developed in AAMI to provide guidance on ISO 11135. Resulting from a systematic review of ISO 11135:1994 (adopted in the U.S. as ANŠI/AAMI/ISO 11135:1994), ISO/TC 198 decided to revise the document by splitting it into two parts under the general title Sterilization of health care products-Ethylene oxide. The two parts are:

- Part 1: Requirements for development, validation and routine control of a sterilization process for medical devices; and
- Part 2: Guidance on the application of ISO 11135-1

Concurrent with the development of the U.S. position on the ISO 11135 series, the AAMI Industrial Ethylene Oxide Sterilization Working Group (AAMI ST/WG 01) decided to adopt the two parts verbatim.

The requirements for validation and routine control are contained in the normative section of Part 1, with limited guidance in Annex C while Part 2 is a technical specification that provides the majority of the guidance related to compliance with the requirements in Part 1. The guidance in this Part 2 to the normative Annexes of Part 1 also includespexamples of the calculations for the unlimited Holcomb Spearman-Karber and Stumbo Murphy Cochrandmethods otential purchasers to evaluate the content of the

document before making a purchasing decision. Readers should note that this adoption includes a correction to the original publication by ISO of 11135-2. In the worked example under Equation A 15, third line from the bottom of page 38 of this document, the square root of 0.74 x 0.052 has been corrected to read the square root of 0.74 x 0.0052. As of the date of the AAMI publication, ISO had not yet issued the correction although the ISO working group had agreed on the language in the AAMI adoption and made a request to ISO to issue same as a technical corrigendum.

U.S. participation in ISO/TC 198 is organized through the U.S. Technical Advisory Group for ISO/TC 198, administered by the Association for the Advancement of Medical Instrumentation (AAMI). The United States made a considerable contribution to this technical specification.

This TIR contains guidelines that are not intended to be absolute or to be applicable in all circumstances. Judgment should be used in applying the information in this TIR.

As used within the context of this document, "shall" indicates requirements that are to be followed strictly in order to conform to the TIR; "should" indicates that among several possibilities, one is recommended as particularly suitable, without mentioning or excluding others, 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 is undesirable but not prohibited; "may" indicates that a course of action is permissible within the limits of the technical information report; "can" is used as a statement of possibility and capability; "must" is used only for those situations that cannot be otherwise, as in the example "Monday must follow Sunday."

NOTE-Beginning with the ISO foreword on page xiii, this ANSI Technical Report/AAMI Technical Information Report is identical to the corrected copy of ISO/TS 11135-2:2008.

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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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

This is a preview edition of an AAMI guidance document and is In other circumstances, partigually when there is has wigest market equipment for such documents, a technical committee may decide to publish other types of documentecision.

- an ISO Publicly Available Specification (ISO/PAS) Arebresents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote,"
- an ISO Technical Specification (ISO/TS) represents an agreement between the members of a technical committee and is accepted for publication if it is approved by 2/3 of the members of the committee casting a vote.

An ISO/PAS or ISO/TS is reviewed after three years in order to decide whether it will be confirmed for a further three years, revised to become an International Standard, or withdrawn. If the ISO/PAS or ISO/TS is confirmed, it is reviewed again after a further three years, at which time it must either be transformed into an International Standard or be withdrawn.

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.

ISO/TS 11135-2 was prepared by Technical Committee ISO/TC 198, Sterilization of health care products.

ISO/TS 11135-2, together with ISO 11135-1, cancels and replaces ISO 11135:1994 and ISO 11135/Cor.1:1994, which have been technically revised.

ISO/TS 11135 consists of the following parts, under the general title Sterilization of health care products — Ethvlene oxide:

- Part 1: Requirements for development, validation and routine control of a sterilization process for medical devices
- Part 2: Guidance on the application of ISO 11135-1

Introduction

This Technical Specification describes some of the methods that may be employed to achieve the requirements contained in ISO 11135-1. This document is not intended as a checklist for assessing compliance with ISO 11135-1, rather it is intended to promote a uniform understanding and implementation of ISO 11135-1 by providing explanations and possible methods for achieving compliance with specified requirements. It highlights important aspects and provides examples.

This Technical Specification addresses ethylene oxide (EO) sterilization in both the industrial and health care facility settings, and it acknowledges the similarities and differences between the two applications.

Among the similarities are the common need for quality systems, staff training, and proper safety measures. The major differences relate to the unique physical and organizational conditions in health care facilities, and to the initial condition of re-usable devices being presented for sterilization.

Health care facilities differ from medical device manufacturers in the physical design of processing areas, in the equipment used, and in the availability of personnel with adequate levels of training and experience. The primary function of the health care facility is to provide patient care, medical device reprocessing is just one of a myriad of activities that are performed to support that function.

In terms of the initial condition of medical devices, medical device manufacturers generally sterilize large numbers of similar devices that have been produced?from virgin material. Health care facilities, on the other hand, must handle and process both intervine dical devices and re-usable medical devices of different descriptions and with varying levels of bioburden. They are therefore faced with the additional challenges of cleaning, evaluating, preparing and packaging a medical device prior to sterilization. In this document, alternative approaches and guidance specific to health care facilities are identified as such.

In general, moist heat sterilization (also known as steam sterilization) is the method of choice for medical devices and supplies that are sterilized in health care facilities. However, EO gas and its mixtures are effective sterilants that are primarily used for heat- and moisture-sensitive medical devices that cannot be steam sterilized.

For ease of reference, the numbering in this technical specification corresponds to that in ISO 11135-1.

AAMI Technical Information Report

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

1 Scope

This Technical Specification provides guidance for the requirements in ISO 11135-1:2007. It does not repeat the requirements and is not intended to be used in isolation.

The exclusions in ISO 11135-1 apply also to this Technical Specification.

For ease of reference, the islause/inumbering in this Technical Specification corresponds to that in ISO 11135-1:2007. Further equidance promote requirements agiven the ISO 11135-1:2007 and should be used im conjunction with this. Technical Specification.

This guidance document is intended for people who have a basic knowledge of the principles of EO sterilization but may need help in determining how to best meet the requirements contained in ISO 11135-1. This document is not intended for people lacking a basic knowledge of the principles of EO sterilization.

2 Normative references

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

ISO 11135-1:2007, Sterilization of health care products — Ethylene oxide — Part 1: Requirements for development, validation and routine control of a sterilization process for medical devices

ISO 11138-2:2006, Sterilization of health care products — Biological indicators — Part 2: Biological indicators for ethylene oxide sterilization processes

ISO 11140-1:2005, Sterilization of health care products — Chemical indicators — Part 1: General requirements

ISO 11737-1, Sterilization of medical devices — Microbiological methods — Part 1: Determination of a population of microorganisms on products

ISO 13485:2003, Medical devices — Quality management systems — Requirements for regulatory purposes

ISO 17664, Sterilization of medical devices — Information to be provided by the manufacturer for the processing of resterilizable medical devices