
**Biological evaluation of medical devices —
Part 1:
Evaluation and testing**

*Évaluation biologique des dispositifs médicaux —
Partie 1: Évaluation et essais*

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ISO 10993-1:1997

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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.

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.

International Standard ISO 10993-1 was prepared by Technical Committee ISO/TC 194, *Biological evaluation of medical devices*.

This second edition cancels and replaces the first edition (ISO 10993-1:1992), which has been technically revised.

ISO 10993 consists of the following parts, under the general title *Biological evaluation of medical devices*:

- Part 1: Evaluation and testing
- Part 2: Animal welfare requirements
- Part 3: Tests for genotoxicity, carcinogenicity and reproductive toxicity
- Part 4: Selection of tests for interactions with blood
- Part 5: Tests for cytotoxicity: in vitro methods
- Part 6: Tests for local effects after implantation
- Part 7: Ethylene oxide sterilization residuals
- Part 9: Framework for the identification and quantification of potential degradation products
- Part 10: Tests for irritation and sensitization
- Part 11: Tests for systemic toxicity
- Part 12: Sample preparation and reference materials
- Part 13: Identification and quantification of degradation products from polymers
- Part 14: Identification and quantification of degradation products from ceramics

- *Part 15: Identification and quantification of degradation products from metals and alloys*
- *Part 16: Toxicokinetic study design for degradation products and leachables*

Future parts will deal with other relevant aspects of biological testing.

Annexes A, B and C of this part of ISO 10993 are for information only.

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Introduction

This part of ISO 10993 is a combination/harmonization of numerous International and national Standards and guidelines concerning the biological evaluation of medical devices. It is intended to be the overall guidance document for the selection of tests enabling evaluation of biological responses relevant to the safety of medical devices and materials.

The role of this part of ISO 10993 is to serve as a framework in which to plan such a biological evaluation which minimizes the number and exposure of test animals.

The protection of humans is the primary goal of ISO 10993.

The appropriate selection and interpretation of biological evaluation tests requires an understanding of the rationale behind such testing. An informative rationale for the use of this part of ISO 10993 is provided in annex A. Annex B contains a flow chart to aid in the systematic approach to the biological evaluation of medical devices. Annex C contains an informative bibliography.

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1 Scope

This part of ISO 10993 describes

- a) the general principles governing the biological evaluation of medical devices;
- b) the categorization of devices based on the nature and duration of their contact with the body;
- c) the selection of appropriate tests.

This part of ISO 10993 does not cover testing of materials and devices that do not come into direct or indirect contact with the patient's body, nor does it cover biological hazards arising from any mechanical failure. Other parts of ISO 10993 cover specific tests as indicated in the foreword. (See also the rationale in A.2.)

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2 Definitions

For the purposes of this part of ISO 10993, the following definitions apply.

2.1 medical device: Any instrument, apparatus, appliance, material or other article, including software, whether used alone or in combination, intended by the manufacturer to be used for human beings solely or principally for the purpose of:

- diagnosis, prevention, monitoring, treatment or alleviation of disease;
- diagnosis, monitoring, treatment, alleviation of, or compensation for, an injury or handicap;
- investigation, replacement or modification of the anatomy or of a physiological process;
- control of conception.

and which does not achieve its principal intended action in or on the human body by pharmacological, immunological or metabolic means, but which may be assisted in its function by such means.

NOTES

- 1 Devices are different from drugs, and their biological evaluation requires a different approach.
- 2 Use of the term “medical device” includes dental devices.

2.2 material: Any synthetic or natural polymer, metal, alloy, ceramic, or other nonviable substance, including tissue rendered nonviable, used as a medical device or any part thereof.

2.3 final product: Medical device in its “as-used” state.

Biological evaluation of medical devices —

Part 1: Evaluation and testing

3 General principles applying to biological evaluation of medical devices

3.1 The selection and evaluation of any material or device intended for use in humans requires a structured programme of assessment.

In the design process, an informed decision shall be made and documented that weighs the advantages/disadvantages of the various choices of material and test procedure. To give assurance that the final product will perform as intended and be safe for human use, the programme shall include a biological evaluation.

The biological evaluation shall be planned, carried out, and documented by knowledgeable and experienced individuals capable of making informed decisions based on the advantages and disadvantages of the various materials and test procedures available.

3.2 In the selection of materials to be used in device manufacture, the first consideration should be fitness for purpose with regard to characteristics and properties of the material, which include chemical, toxicological, physical, electrical, morphological and mechanical properties.

3.3 The following should be considered for their relevance to the overall biological evaluation of the device:

- a) the material(s) of manufacture;
- b) intended additives, process contaminants and residues;
- c) leachable substances;
- d) degradation products;
- e) other components and their interactions in the final product;
- f) the properties and characteristics of the final product.

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NOTE — If appropriate, identification and quantification of extractable chemical entities of the final product should precede biological evaluation (see ISO 10993-9).

3.4 Tests and their interpretation to be used in biological evaluation should take into account the chemical composition of the materials, including the conditions of exposure as well as the nature, degree, frequency and duration of exposure of the device or its constituents to the body. By following these principles, devices can be categorized to facilitate the selection of appropriate tests (see clause 4). This part of ISO 10993 is concerned with the tests to be carried out on materials and/or the final product.

The range of potential biological hazards is wide and may include:

- a) short-term effects (e.g. acute toxicity, irritation to the skin, eye and mucosal surfaces, sensitization, haemolysis and thrombogenicity);
- b) long-term or specific toxic effects [e.g. subchronic and chronic toxic effects, sensitization, genotoxicity, carcinogenicity (tumorigenicity) and effects on reproduction including teratogenicity].

3.5 All potential biological hazards should be considered for every material and final product, but this does not imply that testing for all potential hazards will be necessary or practical (see clause 6).

3.6 Any *in vitro* or *in vivo* tests shall be based on end-use applications and appropriate good laboratory practice followed by evaluation by competent informed persons. Whenever possible, *in vitro* screening should be carried out before *in vivo* tests are commenced. Test data, complete to the extent that an independent analysis could be made, shall be retained (see A.2, subclause 3.6).

3.7 The materials or final product shall be considered for biological re-evaluation if any of the following occurs:

- a) any change in the source or in the specification of the materials used in the manufacture of the product;
- b) any change in the formulation, processing, primary packaging or sterilization of the product;
- c) any change in the final product during storage;
- d) any change in the intended use of the product;
- e) any evidence that the product may produce adverse effects when used in humans.

3.8 The biological evaluation performed in accordance with this part of ISO 10993 should be considered in conjunction with the nature and mobility of the ingredients in the materials used to manufacture the device and other information, other non-clinical tests, clinical studies, and post-market experience for an overall assessment (see A.2, subclause 3.8).

4 Categorization of medical devices

Following the general principles laid down in clause 3, medical devices can be categorized to facilitate the selection of appropriate tests.

The testing of any device that does not fall into one of the categories described should follow the general principles contained in this part of ISO 10993. Certain devices may fall into more than one category, in which case testing appropriate to each category should be considered.

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4.1 Categorization by nature of body contact

Medical devices shall be categorized according to the nature of body contact as follows:

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4.1.1 Non-contact devices

Medical devices that do not contact the patient's body directly or indirectly are not included in the scope of ISO 10993.

4.1.2 Surface-contacting devices

These include medical devices in contact with the following surfaces:

- a) **skin:** devices that contact intact skin surfaces only; examples include electrodes, external prostheses, fixation tapes, compression bandages and monitors of various types;
- b) **mucosal membranes:** devices that contact intact mucosal membranes; examples include contact lenses, urinary catheters, intravaginal and intrainestinal devices (stomach tubes, sigmoidoscopes, colonoscopes, gastroscopes), endotracheal tubes, bronchoscopes, dental prostheses, orthodontic devices and intrauterine devices;
- c) **breached or compromised surfaces:** devices that contact breached or otherwise compromised body surfaces; examples include dressings or healing devices and occlusive patches, for ulcers, burns, and granulation tissue.

4.1.3 External communicating devices

These include medical devices in contact with the following application sites:

- a) **blood path, indirect:** devices that contact the blood path at one point and serve as a conduit for entry into the vascular system; examples include solution administration sets, extension sets, transfer sets and blood administration sets;

- b) **tissue/bone/dentin:** devices that contact tissue, bone or pulp/dentin systems; examples include laparoscopes, arthroscopes, draining systems, dental cements, dental filling materials and skin staples;
- c) **circulating blood:** devices that contact circulating blood; examples include intravascular catheters, temporary pacemaker electrodes, oxygenators, extracorporeal oxygenator tubing and accessories, dialyzers, dialysis tubing and accessories, haemoadsorbents and immunoadsorbents.

4.1.4 Implant devices

These include medical devices in contact with the following application sites:

- a) **tissue/bone:**
 - 1) devices principally contacting bone; examples include orthopaedic pins, plates, replacement joints, bone prostheses, bone cements and intraosseous devices;
 - 2) devices principally contacting tissue and tissue fluid; examples include pacemakers, drug supply devices, neuromuscular sensors and simulators, replacement tendons, breast implants, artificial larynxes, subperiosteal implants and ligation clips;
- b) **blood:** devices principally contacting blood; examples include pacemaker electrodes, artificial arteriovenous fistulae, heart valves, vascular grafts, internal drug-delivery catheters and ventricular assist devices.

4.2 Categorization by duration of contact

Medical devices shall be categorized according to the duration of contact as follows:

- a) **limited exposure (A):** devices whose single or multiple use or contact is likely to be up to 24 h;
- b) **prolonged exposure (B):** devices whose single, multiple or long-term use or contact is likely to exceed 24 h but not 30 days;
- c) **permanent contact (C):** devices whose single, multiple or long-term use or contact exceeds 30 days.

If a material or device may be placed in more than one duration category, the more rigorous testing requirements should apply. With multiple exposures to the device, the decision into which category a device is placed should take into account the potential cumulative effect, bearing in mind the period of time over which these exposures occur.

5 Testing

5.1 General

In addition to the general principles laid down in clause 3, the following shall apply to biological testing of medical devices.

- a) Testing shall be performed on the final product, or representative samples from the final product or materials.
- b) The choice of test procedures shall take into account:
 - 1) the nature, degree, duration, frequency and conditions of exposure to or contact of humans to the device in the normal intended use;
 - 2) the chemical and physical nature of the final product;
 - 3) the toxicological activity of the chemical elements or compounds in the formulation of the final product;
 - 4) that certain tests (e.g. those designed to assess systemic effects) may not be applicable where the presence of leachable materials has been excluded, or where leachables have a known and acceptable toxicity profile;

- 5) the relationship of device surface area to recipient body size;
 - 6) the existing information based on the literature, experience and non-clinical tests;
 - 7) the protection of humans is the primary goal of this document; a secondary goal is to ensure animal welfare and to minimize the number and exposure of test animals.
- c) If extracts of the devices are prepared, the solvents and conditions of extraction used should be appropriate to the nature and use of the final product.
 - d) Positive and negative controls should be used where appropriate.
 - e) Test results cannot ensure freedom from potential biological hazard, thus biological investigations should be followed by careful observations for unexpected adverse reactions or events in humans during clinical use of the device.

Annex C provides a bibliography of International Standards and guidelines on biological response test methods.

5.2 Initial evaluation tests

The tests that shall be considered for initial biological response are given in 5.2.1 to 5.2.9.

5.2.1 Cytotoxicity

With the use of cell culture techniques, these tests determine the lysis of cells (cell death), the inhibition of cell growth, and other effects on cells caused by medical devices, materials and/or their extracts. Cytotoxicity tests are described in ISO 10993-5.

5.2.2 Sensitization

These tests estimate the potential for contact sensitization of medical devices, materials and/or their extracts, using an appropriate model. These tests are appropriate because exposure or contact to even minute amounts of potential leachables can result in allergic or sensitization reactions. Sensitization tests are described in ISO 10993-10.

5.2.3 Irritation

These tests estimate the irritation potential of medical devices, materials and/or their extracts, using appropriate sites for implant tissue such as skin, eye and mucous membrane in a suitable model. The test(s) performed should be appropriate for the route (skin, eye, mucosa) and duration of exposure or contact to determine irritant effects of devices, materials and potential leachables. Irritation tests are described in ISO 10993-10.

5.2.4 Intracutaneous reactivity

These tests assess the localized reaction of tissue to medical device extracts. These tests are applicable where determination of irritation by dermal or mucosal tests are inappropriate (e.g. medical devices having access to the blood path). These tests may also be useful where extractables are hydrophobic. Intracutaneous reactivity tests are described in ISO 10993-10.

5.2.5 Systemic toxicity (acute toxicity)

These tests estimate the potential harmful effects of either single or multiple exposures, during a period of less than 24 h, to medical devices, materials and/or their extracts in an animal model. These tests are appropriate where contact allows potential absorption of toxic leachables and degradation products.

Pyrogenicity tests are included to detect material-mediated pyrogenic reactions of extracts of medical devices or materials. No single test can differentiate pyrogenic reactions that are material-mediated from those due to endotoxin contamination. Systemic toxicity tests are described in ISO 10993-11.