
**Sterilization of health care
products — Radiation —
Part 2:
Establishing the sterilization dose**

Stérilisation des produits de santé — Irradiation —

Partie 2: Établissement de la dose stérilisante

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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.

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 11137-2 was prepared by Technical Committee ISO/TC 198, *Sterilization of health care products*.

This third edition cancels and replaces the second edition (ISO 11137-2:2012), of which it constitutes a minor revision with the following changes:

- addition of the word “and” in [9.1](#), second paragraph, third sentence;
- addition of the word “not” in [10.3.4.1](#), third paragraph;
- correction of the language used to describe requirements for interpretation of results during a verification dose experiment in the second paragraph in [7.2.6.2](#), [7.3.7.2](#), [9.2.6.3](#), [9.3.7.3](#), [9.4.6.3](#), and [9.5.7.3](#).

ISO 11137 consists of the following parts, under the general title *Sterilization of health care products — Radiation*:

- *Part 1: Requirements for development, validation and routine control of a sterilization process for medical devices*
- *Part 2: Establishing the sterilization dose*
- *Part 3: Guidance on dosimetric aspects*

Introduction

This part of ISO 11137 describes methods that can be used to establish the sterilization dose in accordance with one of the two approaches specified in 8.2 of ISO 11137-1:2006. The methods used in these approaches are:

- dose setting to obtain a product-specific dose;
- dose substantiation to verify a preselected dose of 25 kGy or 15 kGy.

The basis of the dose setting methods described in this part of ISO 11137 (Methods 1 and 2) owe much to the ideas first propounded by Tallentire^{[19][20][21]}. Subsequently, standardized protocols were developed^{[10][11]}, which formed the basis of the dose setting methods detailed in the AAMI Recommended Practice for Sterilization by Gamma Radiation^{[6][8]}.

Methods 1 and 2 and the associated sterilization dose audit procedures use data derived from the inactivation of the microbial population in its natural state on product. The methods are based on a probability model for the inactivation of microbial populations. The probability model, as applied to bioburden made up of a mixture of various microbial species, assumes that each such species has its own unique D_{10} value. In the model, the probability that an item will possess a surviving microorganism after exposure to a given dose of radiation is defined in terms of the initial number of microorganisms on the item prior to irradiation and the D_{10} values of the microorganisms. The methods involve performance of tests of sterility on product items that have received doses of radiation lower than the sterilization dose. The outcome of these tests is used to predict the dose needed to achieve a predetermined sterility assurance level (SAL).

Methods 1 and 2 can also be used to substantiate 25 kGy if, on performing a dose setting exercise, the derived sterilization dose for an SAL of 10^{-6} is less than or equal to 25 kGy. The basis of the method devised specifically for substantiation of 25 kGy, Method VD_{max} , was put forward by Kowalski and Tallentire^[16]. Subsequent evaluations involving computational techniques demonstrated that the underlying principles were soundly based^[15] and field trials confirmed that Method VD_{max} is effective in substantiating 25 kGy for a wide variety of medical devices manufactured and assembled in different ways^[18].

A standardized procedure for the use of VD_{max} for substantiation of a sterilization dose of 25 kGy has been published in the AAMI Technical Information Report *Sterilization of health care products — Radiation sterilization — Substantiation of 25 kGy as a sterilization dose — Method VD_{max}* ^[7], a text on which the method described herein is largely based. Method VD_{max} is founded on dose setting Method 1 and, as such, it possesses the high level of conservativeness characteristic of Method 1. In a similar manner to the dose setting methods, it involves performance of tests of sterility on product items that have received a dose of radiation lower than the sterilization dose. The outcomes of these tests are used to substantiate that 25 kGy achieves an SAL of 10^{-6} .

To link the use of VD_{max} for the substantiation of a particular preselected sterilization dose, the numerical value of the latter, expressed in kilograys, is included as a superscript to the VD_{max} symbol. Thus, for substantiation of a sterilization dose of 25 kGy, the method is designated Method VD_{max}^{25} .

Method VD_{max}^{15} is based on the same principles as Method VD_{max}^{25} . The test procedure is similar to that of Method VD_{max}^{25} , but Method VD_{max}^{15} is limited to product with an average bioburden less than or equal to 1,5. The outcomes of the associated tests of sterility are used to substantiate that 15 kGy achieves a sterility assurance level of 10^{-6} .

This part of ISO 11137 also describes methods that can be used to carry out sterilization dose audits in accordance with ISO 11137-1:2006, Clause 12. Following establishment of the sterilization dose, sterilization dose audits are performed routinely to confirm that the sterilization dose continues to achieve the desired SAL.

Sterilization of health care products — Radiation —

Part 2: Establishing the sterilization dose

1 Scope

This part of ISO 11137 specifies methods for determining the minimum dose needed to achieve a specified requirement for sterility and methods to substantiate the use of 25 kGy or 15 kGy as the sterilization dose to achieve a sterility assurance level, SAL, of 10^{-6} . This part of ISO 11137 also specifies methods of sterilization dose audit used to demonstrate the continued effectiveness of the sterilization dose.

This part of ISO 11137 defines product families for sterilization dose establishment and sterilization dose audit.

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 11137-1:2006, *Sterilization of health care products — Radiation — Part 1: Requirements for the development, validation and routine control of a sterilization process for medical devices*

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

ISO 11737-2, *Sterilization of medical devices — Microbiological methods — Part 2: Tests of sterility performed in the definition, validation and maintenance of a sterilization process*

3 Terms, definitions, and abbreviated terms

For the purposes of this document, the terms and definitions given in ISO 11137-1 and the following apply.

3.1 Terms and definitions

3.1.1

batch

defined quantity of product, intended or purported to be uniform in character and quality, which has been produced during a defined cycle of manufacture

[ISO/TS 11139:2006, definition 2.1]

3.1.2

bioburden

population of viable microorganisms on or in product and/or sterile barrier system

[ISO/TS 11139:2006, definition 2.2]

3.1.3

false positive

test result interpreted as growth arising from the product, or portions thereof, tested when either growth resulted from extraneous microbial contamination or turbidity occurred from interaction between the product, or portions thereof, and the test medium

3.1.4

fraction positive

quotient in which the number of positive tests of sterility is given by the numerator and the number of tests performed is given by the denominator

3.1.5

incremental dose

dose within a series of doses applied to a number of product, or portions thereof, and used in a dose setting method to obtain or confirm the sterilization dose

3.1.6

negative test of sterility

test result for which there is no detectable microbial growth from product, or portions thereof, subjected to a test of sterility

3.1.7

packaging system

combination of the sterile barrier system and protective packaging

[ISO/TS 11139:2006, definition 2.28]

3.1.8

positive test of sterility

test result for which there is detectable microbial growth from product, or portions thereof, subjected to a test of sterility

3.1.9

sample item portion

SIP
defined portion of a health care product that is tested

3.1.10

standard distribution of resistances

SDR

reference set of resistances of microorganisms and corresponding probabilities of occurrence

3.1.11

sterile barrier system

minimum package that prevents ingress of microorganisms and allows aseptic presentation of product at the point of use

3.1.12

sterility assurance level

SAL

probability of a single viable microorganism occurring on an item after sterilization

Note 1 to entry: The term SAL takes a quantitative value, generally 10^{-6} or 10^{-3} . When applying this quantitative value to assurance of sterility, an SAL of 10^{-6} has a lower value but provides a greater assurance of sterility than an SAL of 10^{-3} .

[ISO/TS 11139:2006, definition 2.46]

3.1.13

sterilization dose audit

exercise undertaken to confirm the appropriateness of an established sterilization dose

3.1.14**test of sterility**

technical operation performed as part of development, validation, or requalification to determine the presence or absence of viable microorganisms on product or portions thereof

[ISO/TS 11139:2006, definition 2.54]

3.1.15**verification dose**

dose of radiation predicted to give a predetermined SAL greater than or equal to 10^{-2} used in establishing the sterilization dose

3.2 Abbreviated terms**3.2.1**

A

dose to adjust the median ffp dose downwards to the FFP dose

3.2.2

*CD**

number of positive tests of sterility obtained from tests performed individually on 100 product items irradiated in a Method 2 verification dose experiment

3.2.3

*d**

dose derived from an incremental dose experiment performed on product items drawn from a given production batch

3.2.4

*D**

initial estimate of the dose to provide an SAL of 10^{-2} for the test items

Note 1 to entry: Generally, it is the median of the three *d** values derived for a given product.

3.2.5

*D***

final estimate of the dose to provide an SAL of 10^{-2} for the test items, which is used in the calculation of the sterilization dose

3.2.6

*DD**

highest dose delivered in a Method 2 verification dose experiment

3.2.7

DS

estimate of the D_{10} value of microorganisms present on product after exposure to *DD**

3.2.8

D value

D₁₀ value

time or dose required to achieve inactivation of 90 % of a population of the test microorganism under stated conditions

[ISO/TS 11139:2006, definition 2.11]

Note 1 to entry: For the purposes of this part of ISO 11137, D_{10} applies to the radiation dose only and not to time.

3.2.9

first fraction positive dose

ffp

lowest dose of an incremental dose series, applied to product items drawn from a given production batch, at which at least one of the associated 20 tests of sterility is negative

3.2.10

First Fraction Positive dose

FFP

dose at which 19 positives out of the 20 tests of sterility are expected to occur, calculated by subtracting *A* from the median of three ffp doses

3.2.11

First No Positive dose

FNP

estimate of the dose to provide an SAL of 10^{-2} for the test items, that is used in the calculation of *DS*

3.2.12

VD_{\max}^{15}

maximal verification dose for a given bioburden, consistent with the attainment of an SAL of 10^{-6} at a specified sterilization dose of 15 kGy

3.2.13

VD_{\max}^{25}

maximal verification dose for a given bioburden, consistent with the attainment of an SAL of 10^{-6} at a specified sterilization dose of 25 kGy

4 Definition and maintenance of product families for dose setting, dose substantiation, and sterilization dose auditing

4.1 General

The establishment of a sterilization dose and the carrying out of sterilization dose audits are activities that are part of process definition (see Clause 8 of ISO 11137-1:2006) and maintaining process effectiveness (see Clause 12 of ISO 11137-1:2006). For these activities, product may be grouped into families; definition of product families is based principally on the numbers and types of microorganisms present on or in product (the bioburden). The type of microorganism is indicative of its resistance to radiation. Variables such as density and product configuration within its packaging system are not considered in the establishment of these product families because they are not factors that influence bioburden.

In using product families for establishing the sterilization dose and for carrying out sterilization dose audits, it is important to be aware of risks such as reduction in the ability to detect an inadvertent change within the manufacturing process that influences the effectiveness of sterilization. Furthermore, the use of a single product to represent the product family might not detect changes that occur in other members of the product family. The risk associated with a reduction in ability to detect changes in other members of the product family should be evaluated and a plan for maintaining product families developed and implemented before proceeding.

NOTE See ISO 14971 for guidance related to risk management.

4.2 Defining product families

4.2.1 The criteria for defining a product family shall be documented. Product shall be assessed against these criteria and the similarities between potential product family members considered. Consideration shall include all product-related variables that affect bioburden, including, but not limited to:

- a) nature and sources of raw materials, including the effect, if any, of raw materials that might be sourced from more than one location;

- b) components;
- c) product design and size;
- d) manufacturing processes;
- e) manufacturing equipment;
- f) manufacturing environment;
- g) manufacturing location.

The outcome of the assessment and considerations shall be recorded (see ISO 11137-1:2006, 4.1.2).

4.2.2 Product shall only be included in a product family if it is demonstrated that the product-related variables (see 4.2.1) are similar and under control.

4.2.3 To include product within a product family, it shall be demonstrated that bioburden comprises similar numbers and types of microorganisms.

4.2.4 Inclusion of product from more than one manufacturing location in a product family shall be specifically justified and recorded (see ISO 11137-1:2006, 4.1.2). Consideration shall be given to the effect on bioburden of:

- a) geographic and/or climatic differences between locations;
- b) any differences in the control of the manufacturing processes or environment;
- c) sources of raw materials and processing adjuvants (e.g. water).

4.3 Designation of product to represent a product family for performance of a verification dose experiment or sterilization dose audit

4.3.1 Product to represent a product family

4.3.1.1 The number and types of microorganisms on or in product shall be used as the basis for selecting product to represent a product family.

4.3.1.2 A product family shall be represented by:

- a) the master product (see 4.3.2), or
- b) an equivalent product (see 4.3.3), or
- c) a simulated product (see 4.3.4).

4.3.1.3 A formal, documented assessment shall be undertaken to decide which of the three potential representative products in 4.3.1.2 is appropriate. In this assessment, consideration shall be given to the following:

- a) number of microorganisms comprising the bioburden;
- b) types of microorganisms comprising the bioburden;
- c) environment in which the microorganisms occur;
- d) size of product;
- e) number of components;

- f) complexity of product;
- g) degree of automation during manufacture;
- h) manufacturing environment.

4.3.2 Master product

A member of a product family shall only be considered a master product if assessment (see [4.3.1.3](#)) indicates that the member presents a challenge that is greater than that of all other product family members. In some situations, there can be several products within the product family, each of which could be considered as the master product. In such circumstances, any one of these products may be selected as the master product to represent the family, either a) at random, or b) according to a documented procedure to include the different products that could be considered as master products.

4.3.3 Equivalent product

A group of product shall only be considered equivalent if assessment (see [4.3.1.3](#)) indicates that group members require the same sterilization dose. Selection of the equivalent product to represent the family shall be either a) at random, or b) according to a documented procedure to include different members of the product family. The manufacturing volume and availability of product should be considered in the selection of the equivalent product to represent the product family.

4.3.4 Simulated product

A simulated product shall only represent a product family if it constitutes an equivalent or greater challenge to the sterilization process than that provided by members of the product family. Simulated product shall be packaged in a manner and with materials used for the actual product.

NOTE A simulated product is not intended for clinical use; it is fabricated solely for the establishment or maintenance of the sterilization dose.

A simulated product might be:

- a) one which is similar to the actual product in terms of materials and size and subjected to similar manufacturing processes, e.g. a piece of the material used for implants that goes through the entire manufacturing process, or
- b) a combination of components from product within the product family that would not typically be combined for use, e.g. a tubing set containing multiple filters, clamps, and stopcocks that are components of other products within the product family.

4.4 Maintaining product families

4.4.1 Periodic review

Review shall be performed at a specified frequency to ensure that product families and product used to represent each product family remain valid. Responsibility for reviews of product and/or processes that might affect membership of product families shall be allocated to competent personnel. Such a review shall be performed at least annually. The outcome of the review shall be recorded in accordance with ISO 11137-1:2006, 4.1.2.

4.4.2 Modification to product and/or manufacturing process

Modifications to product, such as raw materials (nature and source), components or product design (including size), and/or modifications to the manufacturing process, such as equipment, environment or location, shall be assessed through a formal, documented change control system. Such modifications can alter the basis on which the product family was defined or the basis on which the selection of product

to represent the product family was made. Significant changes can require definition of a new product family or the selection of a different representative product.

4.4.3 Records

Records of product families shall be retained (see ISO 11137-1:2006, 4.1.2).

4.5 Effect of failure of establishment of sterilization dose or of a sterilization dose audit on a product family

In the event of failure during establishment of the sterilization dose or performance of the sterilization dose audit for a product family, all members of that family shall be considered to be affected. Subsequent actions shall apply to all product comprising the product family.

5 Selection and testing of product for establishing the sterilization dose

5.1 Nature of product

5.1.1 Product for sterilization can consist of:

- a) an individual health care product in its packaging system;
- b) a set of components presented in a packaging system, which are assembled at the point of use to form the health care product, together with accessories required to use the assembled product;
- c) a number of identical health care products in their packaging system;
- d) a kit comprising a variety of procedure-related health care products.

Product items for the performance of sterilization dose establishment shall be taken in accordance with [Table 1](#).

Table 1 — Nature of product items for establishing the sterilization dose

Product type	Item for bioburden estimation, verification and/or incremental dose experiment	Rationale
Individual health care product in its packaging system	Individual health care product	Each health care product is used independently in clinical practice
Set of components in a packaging system	Combination of all components of the product	Components are assembled as a product and used together in clinical practice
Number of identical health care products in their packaging system	Single health care product taken from the packaging system	Each health care product is used independently in clinical practice; the SAL of an individual health care product within the packaging system meets the selected SAL, although the overall SAL associated with the packaging system might be higher
Kit of procedure-related health care products ^a	Each type of health care product comprising the kit	Each health care product is used independently in clinical practice
NOTE 1 See 5.2 for guidance on the use of SIP for product characterized in 5.1.1 b).		
NOTE 2 See Clause 4 for the use of product families for product characterized in 5.1.1 d).		
^a In dose establishment, the sterilization dose is chosen based on the health care product requiring the highest sterilization dose.		

5.1.2 If the product has a claim of sterility for part of the product, the sterilization dose can be established on the basis of that part only.

EXAMPLE If the product has a label claim of sterility for the fluid path only, the sterilization dose can be established based on bioburden determinations and outcomes of tests of sterility performed on the fluid path.

5.2 Sample item portion (SIP)

5.2.1 For product with an average bioburden greater than or equal to 1,0, whenever practicable, an entire product (SIP equal to 1,0) should be used for testing in accordance with Table 1. When the use of an entire product is not practicable, a selected portion of product (SIP) may be substituted. The SIP should be as large a portion of the item as practicable and should be of a size that can be handled during testing.

5.2.2 For a product with an average bioburden less than or equal to 0,9, an entire product (SIP equal to 1,0) shall be used for testing in accordance with Table 1.

5.2.3 If the bioburden is evenly distributed on and/or in the item, the SIP may be selected from any portion of the item. If the bioburden is not evenly distributed, the SIP shall consist of either a) portions of product selected at random that proportionally represent each of the materials from which the product is made, or b) the portion of the product that is considered to be the most severe challenge to the sterilization process.

The value of SIP can be calculated on the basis of length, mass, volume, or surface area (see Table 2 for examples).

Table 2 — Examples for calculation of an SIP

Basis for SIP	Product
Length	Tubing (consistent diameter) Rolls of bandage
Mass	Powders Gowns
Volume	Liquids
Surface area	Surgical drapes Tubing (variable diameter)

5.2.4 The preparation and packaging of an SIP shall be carried out under conditions that minimize alterations to bioburden. Environmentally controlled conditions should be used for the preparation of SIPs and, whenever possible, packaging materials should be equivalent to those used for the finished product.

5.2.5 The adequacy of a selected SIP shall be demonstrated. The bioburden of the SIP shall be such that either at least 17 of the 20 non-irradiated SIPs yield positive tests of sterility, or a bioburden of 1 or more is found on at least 85 % of 20 or more SIPs. If neither of these criteria is met, an SIP that is different from that examined originally and that meets one of the above criteria shall be used. If an entire product is tested (SIP equal to 1,0), the criteria specified above do not apply.

5.2.6 The same portion of product item (SIP) should be used in the performance of tests of sterility when carrying out the verification dose experiment as that used in the determination of bioburden when obtaining the verification dose.

NOTE If a different portion of product item (SIP) is used in the performance of tests of sterility from that used in the determination of bioburden, caution should be exercised when obtaining the verification and sterilization doses.