



CSA Z11138-7:21
(ISO 11138-7:2019, MOD)
National Standard of Canada



CSA Z11138-7:21
Sterilization of health care products —
Biological indicators — Part 7: Guidance for the
selection, use and interpretation of results
(ISO 11138-7:2019, MOD)



Legal Notice for Standards

Canadian Standards Association (operating as “CSA Group”) develops standards through a consensus standards development process approved by the Standards Council of Canada. This process brings together volunteers representing varied viewpoints and interests to achieve consensus and develop a standard. Although CSA Group administers the process and establishes rules to promote fairness in achieving consensus, it does not independently test, evaluate, or verify the content of standards.

Disclaimer and exclusion of liability

This document is provided without any representations, warranties, or conditions of any kind, express or implied, including, without limitation, implied warranties or conditions concerning this document’s fitness for a particular purpose or use, its merchantability, or its non-infringement of any third party’s intellectual property rights. CSA Group does not warrant the accuracy, completeness, or currency of any of the information published in this document. CSA Group makes no representations or warranties regarding this document’s compliance with any applicable statute, rule, or regulation.

IN NO EVENT SHALL CSA GROUP, ITS VOLUNTEERS, MEMBERS, SUBSIDIARIES, OR AFFILIATED COMPANIES, OR THEIR EMPLOYEES, DIRECTORS, OR OFFICERS, BE LIABLE FOR ANY DIRECT, INDIRECT, OR INCIDENTAL DAMAGES, INJURY, LOSS, COSTS, OR EXPENSES, HOWSOEVER CAUSED, INCLUDING BUT NOT LIMITED TO SPECIAL OR CONSEQUENTIAL DAMAGES, LOST REVENUE, BUSINESS INTERRUPTION, LOST OR DAMAGED DATA, OR ANY OTHER COMMERCIAL OR ECONOMIC LOSS, WHETHER BASED IN CONTRACT, TORT (INCLUDING NEGLIGENCE), OR ANY OTHER THEORY OF LIABILITY, ARISING OUT OF OR RESULTING FROM ACCESS TO OR POSSESSION OR USE OF THIS DOCUMENT, EVEN IF CSA GROUP HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES, INJURY, LOSS, COSTS, OR EXPENSES.

In publishing and making this document available, CSA Group is not undertaking to render professional or other services for or on behalf of any person or entity or to perform any duty owed by any person or entity to another person or entity. The information in this document is directed to those who have the appropriate degree of experience to use and apply its contents, and CSA Group accepts no responsibility whatsoever arising in any way from any and all use of or reliance on the information contained in this document.

CSA Group is a private not-for-profit company that publishes voluntary standards and related documents. CSA Group has no power, nor does it undertake, to enforce compliance with the contents of the standards or other documents it publishes.

Intellectual property rights and ownership

As between CSA Group and the users of this document (whether it be in printed or electronic form), CSA Group is the owner, or the authorized licensee, of all works contained herein that are protected by copyright, all trade-marks (except as otherwise noted to the contrary), and all inventions and trade secrets that may be contained in this document, whether or not such inventions and trade secrets are protected by patents and applications for patents. Without limitation, the unauthorized use, modification, copying, or disclosure of this document may violate laws that protect CSA Group’s and/or others’ intellectual property and may give rise to a right in CSA Group and/or others to seek legal redress for such use, modification, copying, or disclosure. To the extent permitted by treaty or by law, CSA Group reserves all intellectual property rights in this document.

Patent rights

Attention is drawn to the possibility that some of the elements of this standard may be the subject of patent rights. CSA Group shall not be held responsible for identifying any or all such patent rights. Users of this standard are expressly advised that determination of the validity of any such patent rights is entirely their own responsibility.

Authorized use of this document

This document is being provided by CSA Group for informational and non-commercial use only. The user of this document is authorized to do only the following:

If this document is in electronic form:

- load this document onto a computer for the sole purpose of reviewing it;
- search and browse this document; and
- print this document if it is in PDF form.

Limited copies of this document in print or paper form may be distributed only to persons who are authorized by CSA Group to have such copies, and only if this Legal Notice appears on each such copy.

In addition, users may not and may not permit others to

- alter this document in any way, or remove this Legal Notice from the attached standard;
- sell this document without authorization from CSA Group; or
- make an electronic copy of this document.

If you do not agree with any of the terms and conditions contained in this Legal Notice, you may not load or use this document or make any copies of the contents hereof, and if you do make such copies, you are required to destroy them immediately. Use of this document constitutes your acceptance of the terms and conditions of this Legal Notice.



Standards Update Service

CSA Z11138-7:21

May 2021

Title: *Sterilization of health care products — Biological indicators — Part 7: Guidance for the selection, use and interpretation of results*

To register for e-mail notification about any updates to this publication

- go to www.csagroup.org/store/
- click on **Product Updates**

The **List ID** that you will need to register for updates to this publication is **129 45**.

If you require assistance, please e-mail techsupport@csagroup.org or call 416-747-2233.

Visit CSA Group's policy on privacy at www.csagroup.org/legal to find out how we protect your personal information.

Canadian Standards Association (operating as “CSA Group”), under whose auspices this National Standard has been produced, was chartered in 1919 and accredited by the Standards Council of Canada to the National Standards system in 1973. It is a not-for-profit, nonstatutory, voluntary membership association engaged in standards development and certification activities.

CSA Group standards reflect a national consensus of producers and users — including manufacturers, consumers, retailers, unions and professional organizations, and governmental agencies. The standards are used widely by industry and commerce and often adopted by municipal, provincial, and federal governments in their regulations, particularly in the fields of health, safety, building and construction, and the environment.

Individuals, companies, and associations across Canada indicate their support for CSA Group’s standards development by volunteering their time and skills to Committee work and supporting CSA Group’s objectives through sustaining memberships. The more than 7000 committee volunteers and the 2000 sustaining memberships together form CSA Group’s total membership from which its Directors are chosen. Sustaining memberships represent a major source of income for CSA Group’s standards development activities.

CSA Group offers certification and testing services in support of and as an extension to its standards development activities. To ensure the integrity of its certification process, CSA Group regularly and continually audits and inspects products that bear the CSA Group Mark.

In addition to its head office and laboratory complex in Toronto, CSA Group has regional branch offices in major centres across Canada and inspection and testing agencies in eight countries. Since 1919, CSA Group has developed the necessary expertise to meet its corporate mission: CSA Group is an independent service organization whose mission is to provide an open and effective forum for activities facilitating the exchange of goods and services through the use of standards, certification and related services to meet national and international needs.

For further information on CSA Group services, write to
CSA Group
178 Rexdale Boulevard
Toronto, Ontario, M9W 1R3
Canada

A National Standard of Canada is a standard developed by a Standards Council of Canada (SCC) accredited Standards Development Organization, in compliance with requirements and guidance set out by SCC. More information on National Standards of Canada can be found at www.scc.ca.

SCC is a Crown corporation within the portfolio of Innovation, Science and Economic Development (ISED) Canada. With the goal of enhancing Canada’s economic competitiveness and social well-being, SCC leads and facilitates the development and use of national and international standards. SCC also coordinates Canadian participation in standards development, and identifies strategies to advance Canadian standardization efforts.

Accreditation services are provided by SCC to various customers, including product certifiers, testing laboratories, and standards development organizations. A list of SCC programs and accredited bodies is publicly available at www.scc.ca.

Standards Council of Canada
600-55 Metcalfe Street
Ottawa, Ontario, K1P 6L5
Canada



Cette Norme Nationale du Canada est disponible en versions française et anglaise.

Although the intended primary application of this Standard is stated in its Scope, it is important to note that it remains the responsibility of the users to judge its suitability for their particular purpose.

**A trademark of the Canadian Standards Association, operating as “CSA Group”*

National Standard of Canada

CSA Z11138-7:21

**Sterilization of health care products —
Biological indicators — Part 7: Guidance for the
selection, use and interpretation of results
(ISO 11138-7:2019, MOD)**

Prepared by
International Organization for Standardization



Reviewed by



Registered trademark of the Canadian Standards Association,
operating as "CSA Group"



Published in May 2021 by CSA Group
A not-for-profit private sector organization
178 Rexdale Boulevard, Toronto, Ontario, Canada M9W 1R3

To purchase standards and related publications, visit our Online Store at www.csagroup.org/store/
or call toll-free 1-800-463-6727 or 416-747-4044.

ICS 11.080.01
ISBN 978-1-4883-3596-9

© 2021 Canadian Standards Association
All rights reserved. No part of this publication may be reproduced in any form whatsoever
without the prior permission of the publisher.

CSA Z11138-7:21

Sterilization of health care products — Biological indicators — Part 7: Guidance for the selection, use and interpretation of results

(ISO 11138-7:2019, MOD)

CSA Preface

This is the first edition of CSA Z11138-7, *Sterilization of health care products — Biological indicators — Part 7: Guidance for the selection, use and interpretation of results*, which is an adoption, with Canadian deviations, of the identically titled ISO (International Organization for Standardization) Standard 11138-7 (first edition, 2019-03). It replaces CAN/CSA-Z14161:11 (adopted ISO 14161:2009), *Sterilization of health care products — Biological indicators — Guidance for the selection, use and interpretation of results*.

For brevity, this Standard will be referred to as “CSA Z11138-7” throughout.

This Standard was reviewed for Canadian adoption by the CSA Technical Committee on Medical Device Reprocessing, under the jurisdiction of the CSA Strategic Steering Committee on Health and Well-being, and has been formally approved by the Technical Committee.

This Standard has been developed in compliance with Standards Council of Canada requirements for National Standards of Canada. It has been published as a National Standard of Canada by CSA Group.

© 2021 Canadian Standards Association

All rights reserved. No part of this publication may be reproduced in any form whatsoever without the prior permission of the publisher. ISO material is reprinted with permission. Where the words “this International Standard” appear in the text, they should be interpreted as “this National Standard of Canada”.

Inquiries regarding this National Standard of Canada should be addressed to

CSA Group
178 Rexdale Boulevard, Toronto, Ontario, Canada M9W 1R3
1-800-463-6727 • 416-747-4000
www.csa-group.org

To purchase standards and related publications, visit our Online Store at www.csagroup.org/store/ or call toll-free 1-800-463-6727 or 416-747-4044.

This Standard is subject to review within five years from the date of publication, and suggestions for its improvement will be referred to the appropriate committee. The technical content of IEC and ISO

**Sterilization of health care products —
Biological indicators —**

**Part 7:
Guidance for the selection, use and
interpretation of results**

Stérilisation des produits de santé — Indicateurs biologiques —

*Partie 7: Directives générales pour la sélection, l'utilisation et
l'interprétation des résultats*



Contents

	Page
Foreword.....	v
Introduction.....	vi
1 Scope.....	1
2 Normative references.....	1
3 Terms and definitions.....	1
4 General.....	4
5 Characteristics of biological indicators.....	6
5.1 General.....	6
5.2 Test organism suspension for direct inoculation of products.....	7
5.3 Inoculated carriers.....	7
5.4 Self-contained biological indicators.....	8
6 Selection of supplier.....	8
6.1 General.....	8
6.2 Documentation.....	9
6.2.1 General.....	9
6.2.2 Manufacturer audit.....	10
7 Biological indicators in process development.....	11
7.1 General.....	11
7.2 Overkill approach.....	11
7.3 Combined biological indicator and bioburden method.....	12
7.4 Bioburden method.....	13
8 Biological indicators in sterilization validation.....	13
8.1 General.....	13
8.2 Placement and handling of biological indicators.....	14
8.3 Sterilizer qualification.....	14
8.4 Performance qualification.....	14
8.5 Review and approval of validation.....	15
8.6 Requalification.....	15
9 Biological indicators in routine monitoring.....	15
9.1 General.....	15
9.2 Placement and handling of biological indicators.....	16
9.3 Process challenge device.....	16
10 Interpretation and acceptance criteria.....	17
10.1 General.....	17
10.2 Interpretation of results.....	17
11 Application of biological indicator standards.....	17
11.1 General assessment of biological indicator performance by the user.....	17
11.2 Nominal population of test organism.....	18
11.3 Resistance determination.....	19
11.3.1 General.....	19
11.3.2 Survivor curve method.....	19
11.3.3 Fraction-negative method.....	19
11.3.4 Survival-kill response characteristics.....	20
11.4 z value determination.....	20
11.4.1 General.....	20
11.4.2 Graphically plotting the z value.....	20
11.4.3 Mathematically calculating the z value.....	21
11.4.4 Correlation coefficient, <i>r</i> , for the z value.....	22
11.5 $F_{(T, z)}$ equivalent sterilization value determination.....	22
11.6 Establishing spore-log-reduction.....	22

11.7	Sterility assurance level calculation	23
11.8	Test equipment	23
12	Culture conditions	24
12.1	General	24
12.2	Incubation temperature	24
12.3	Incubation period	24
12.4	Choice of growth medium	25
13	Third-party considerations	25
13.1	General	25
13.2	Minimum requirements from ISO 11138-1 for replicates and total number of biological indicators	26
13.3	Test equipment	26
14	Personnel training	26
15	Storage and handling	27
16	Disposal of biological indicators	27
Annex A (informative)	Microbiological inactivation kinetics and enumeration techniques	28
Annex B (informative)	Process challenge devices	33
Annex C (informative)	Formulae for <i>D</i> value determination by fraction-negativity method	34
Annex D (informative)	Examples of documentation for biological indicators prepared by the user	50
Annex E (informative)	Calculation of <i>z</i> value	54
Annex F (informative)	<i>D</i> value determination by survivor curve method	57
Annex G (informative)	Survival-kill response characteristics	61
Bibliography	63

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.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 198, *Sterilization of health care products*.

This first edition cancels and replaces ISO 14161:2009, which has been technically revised.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

This document provides guidance regarding the selection, use and interpretation of results of biological indicators used to develop, validate and monitor sterilization processes. The procedures described in this document are of a general nature and do not, of themselves, constitute a comprehensive development, validation or monitoring programme with regard to the sterilization of health care products. The intent of this document is not to stipulate the use of biological indicators in a process but, if they are used, to provide guidance for their proper selection and use in order to avoid misleading results.

In this document, users will find guidance on selection of the correct biological indicator for their particular sterilization process (see the ISO 11138 series) and critical parameters as well as guidance on its appropriate use.

The selection of an appropriate biological indicator for the particular process used is critical. There is a wide variety of sterilization processes in common use, and biological indicator manufacturers are not able to foresee all possible uses of their product. Manufacturers, therefore, label biological indicators according to their intended use. It is the responsibility of the users of biological indicators to select, use, recover and interpret the results as appropriate for the particular sterilization process used.

The performance of a biological indicator can be adversely affected by the conditions of storage and transport prior to its use, by inappropriate/non-indicated use of the biological indicator or by the sterilizer process parameters. In addition, the incubation procedure used after exposure to the process, including incubation temperature and culture medium type, supplier and specific batch, can affect measured resistance as a function of recovery and growth. For these reasons, the recommendations of the biological indicator manufacturer for transportation, storage and use should be followed. After exposure, the aseptic transfer (if applicable) and incubation of biological indicators as specified by the biological indicator manufacturer is critical for obtaining correct results.

It is important to note that biological indicators are not intended to indicate that the products in the load being sterilized are sterile. Biological indicators are utilized to test the effectiveness of a given sterilization process and the equipment used, by assessing microbial lethality according to the concept of sterility assurance level. Suitable training is necessary for personnel conducting these studies.

NOTE The general information provided in this document can have useful application for processes and biological indicators not currently addressed by existing International Standards, e.g. new and developing sterilization processes.

Sterilization of health care products — Biological indicators —

Part 7: Guidance for the selection, use and interpretation of results

1 Scope

This document provides guidance for the selection, use and interpretation of results from application of biological indicators when used in the development, validation and routine monitoring of sterilization processes.

It does not consider those processes that rely solely on physical removal of microorganisms, e.g. filtration.

It is not applicable to combination processes using, for example, washer-disinfectors or flushing and steaming of pipelines.

It does not specify requirements for the selection and use of biological indicators intended to monitor vaporised hydrogen peroxide processes for isolator and room biodecontamination processes at atmospheric pressure.

It is not applicable to liquid immersion sterilization processes.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

3.1

aseptic technique

conditions and procedures used to minimize the risk of the introduction of microbial contamination

[SOURCE: ISO 11139:2018, 3.16]

3.2

bioburden

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

[SOURCE: ISO 11139:2018, 3.23]