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Aseptic processing of health care products —

Part 4: Clean-in-place technologies

Traitement aseptique des produits de santé —
Partie 4: Technologies de nettoyage sur place

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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 13408-4 was prepared by Technical Committee ISO/TC 198, *Sterilization of health care products*.

ISO 13408 consists of the following parts, under the general title *Aseptic processing of health care products*:

— *Part 1: General requirements*

— *Part 2: Filtration*

— *Part 3: Lyophilization*

— *Part 4: Clean-in-place technologies*

— *Part 5: Sterilization in place*

— *Part 6: Isolator systems*

Introduction

During the process of preparing ISO 13408-1 several items, e.g. filtration, lyophilization drying and sterilization-in-place technologies, were found to be in need of supplementary information that was too voluminous to be given in corresponding annexes.

This part of ISO 13408 includes requirements and guidance that are to be observed during clean-in-place processes. The purpose of this part of ISO 13408 is to achieve standardization in the field of validation and routine control of clean-in-place processes used in the manufacture of health care products.

Clean-in-place processes allow parts of the equipment or an entire process system to be cleaned without being dismantled, reducing the need for disassembling and connections under clean conditions. For example, tanks, vessels, freeze-dryers piping and other processing equipment used for manufacture may be cleaned in place.

The clean-in-place process is in most instances followed by sterilization-in-place process (described in ISO 13408-5). While clean-in-place and sterilization-in-place methods differ considerably in technology, the concept of *in situ* treatment is similar.

Design considerations of all systems are critical to ensure that clean-in-place technologies can be successfully applied to clean manufacturing equipment to the desired level of cleanliness.

Aseptic processing of health care products —

Part 4:
Clean-in-place technologies

1 Scope

This part of ISO 13408 specifies the general requirements for clean-in-place (CIP) processes applied to product contact surfaces of equipment used in the manufacture of sterile health care products by aseptic processing and offers guidance on qualification, validation, operation and control.

This part of ISO 13408 is applicable to processes where cleaning agents are delivered to the internal surfaces of equipment designed to be compatible with CIP, which may come in contact with the product.

This part of ISO 13408 is not applicable to processes where equipment is dismantled and cleaned in a washer.

This part of ISO 13408 does not supersede or replace national regulatory requirements, such as Good Manufacturing Practices (GMPs) and/or compendial requirements that pertain to particular national or regional jurisdictions.

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 13408-1, *Aseptic processing of health care products — Part 1: General requirements*

ISO/IEC 90003, *Software engineering — Guidelines for the application of ISO 9001:2000 to computer software*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 13408-1 and the following apply.

3.1
cleaning agent
organic or inorganic chemical including water, detergent or mixture thereof, used as an aid in the cleaning process for cleaning equipment

3.2
clean-in-place
CIP
method of cleaning of the internal surfaces of parts of the equipment or an entire process system without or with minimal disassembly

NOTE CIP also includes the removal of remaining residual cleaning agent to an acceptable level which is defined based on the nature of the product and the process tolerance.

3.3
dead leg
location which, by design, does not permit adequate accessibility of the cleaning agent

3.4
design qualification
documented verification that the proposed design of the facilities, equipment, or system is suitable for the intended use

3.5
material safety data sheet
document specifying the properties of a material, its potential hazardous effects for humans and the environment, and the precautions necessary to handle and dispose of the material safely

3.6
worst-to-clean
most difficult conditions for cleaning

EXAMPLES Materials to be removed, surface types to be cleaned, process parameters to be met or position(s) to be reached.

4 Quality system elements

4.1 General

4.1.1 The requirements of ISO 13408-1 shall apply.

4.1.2 Documented procedures for each phase of the development, validation, routine monitoring and control of the CIP process shall be prepared and implemented.

4.1.3 Documents required by this part of ISO 13408 shall be reviewed and approved by designated personnel.

4.1.4 Records of development, validation, routine control and monitoring shall be maintained to provide evidence of conformity to the requirements of this part of ISO 13408.

4.2 Management responsibility

4.2.1 The responsibilities and authority for implementing and performing the procedures described in this part of ISO 13408 shall be specified.

4.2.2 If the requirements of this part of ISO 13408 are undertaken by organizations with separate quality management systems, the responsibilities and authority of each party shall be specified.

4.3 Design control

Characterization of the cleaning agent(s), cleaning method, equipment to deliver CIP and the equipment subject to CIP, shall be undertaken in accordance with a documented plan. At defined stages, design reviews shall be planned, conducted and documented.

4.4 Measuring instruments and measuring systems

4.4.1 A documented system shall be specified for the calibration of all measuring instruments or measuring systems.

4.4.2 The accuracy and tolerance of the measuring instrument shall be justified for the process to be measured.

5 Process and equipment characterization

5.1 General concepts

5.1.1 The specification for the CIP process shall include but not be limited to:

a) physical and chemical properties of the material to be removed and the strength of its adherence to the surface from which it is to be removed;

b) physical and chemical properties and mechanism of action of cleaning agent(s);

c) compatibility of the equipment with the cleaning agents and processing conditions;

d) pre-cleaning period and conditions prior to cleaning;

e) the number of passes (single-pass cleaning, and/or multi-pass cleaning);

f) filling and immersing period with cleaning agent(s);

g) agitation or spraying of cleaning agent(s);

h) cleaning agent(s) elimination;

i) post-cleaning drying;

j) post-cleaning protection of the cleanliness of the equipment;

k) maximum post-cleaning hold period and conditions.

5.1.2 Cleaning agent(s) shall be reproducibly delivered in effective quantities and concentrations to all parts of the system.

5.1.3 In order to ensure effective CIP, all parameters necessary to control the cleaning conditions shall be established and documented. These conditions shall be maintained and monitored within specified limits.

5.1.4 When a large system is to be subjected to CIP, by dividing it into several segments, the segments should overlap to ensure that all portions of the system are adequately and effectively cleaned.

NOTE Although the entire processing system can be cleaned as a single entity in CIP, it can be advantageous to divide the system into several parts in order to simplify the cleaning procedures.

5.1.5 Complex sequences of opening and shutting of valves in the pipes of a system could be required. Where this is controlled manually, detailed documentation of individual steps shall be established. Where automation is used, electronic automation systems should be carefully designed and validated.

5.2 Effectiveness of CIP

5.2.1 The necessary level of cleanliness shall be established and documented. Justification of the process parameters and the permitted levels of residual substances shall be included in the documentation. There shall be no residue that poses a significant risk to patient safety.

NOTE Residual substances can include previous product or decomposition products thereof and/or cleaning agents.

5.2.2 Criteria for cleanliness are dependent in part, on the nature of the product that was previously processed in the equipment to be cleaned taking into account potency, toxicity, biocompatibility, carcinogenicity, mutagenicity, potential for tissue sensitization where equipment is not dedicated, etc. Where removal of product is not possible with sufficient efficacy, it may be necessary to use dedicated equipment.

5.3 Equipment

5.3.1 Equipment to be subjected to CIP

5.3.1.1 The equipment shall be designed and manufactured to ensure its cleanability by taking into account ease of cleaning with regard to the characteristics of the products to be processed. Worst-to-clean locations shall be minimized through the use of smooth, impervious, non-grooved, continuous and polished surfaces.

NOTE Dead legs, locations with stagnant liquid in piping, shoulders of tanks, intricate irregular internal surfaces such as gasket interfaces and pump internal parts can usually be regarded as worst-to-clean locations.

5.3.1.2 Design considerations shall include but not be limited to:

a) smoothness of inner surface of equipment;

b) distribution of the cleaning agent(s) to all relevant surfaces (e.g. valves, connections, filter assemblies);

c) necessity to use special equipment such as spray devices, their number, location and coverage;

d) absence of dead legs in piping systems;

e) drainability of the system (e.g. slope of piping to ensure the complete removal of remaining liquid in the system);

f) compatibility of materials of construction (e.g. pipes, tanks, valves, nozzles, filters, gaskets, sensors) with the cleaning agent(s) and process conditions selected;

g) access to allow monitoring of cleaning conditions in appropriate locations;

h) protection of the cleaned equipment from re-contamination.

5.3.1.3 Specification of the equipment shall include but not be limited to:

a) physical description of the equipment, together with any necessary ancillary items, including materials of construction, (including as-built drawings);

b) specifications of the cleaning agent and means by which it is provided, including any additives or precursors necessary for its delivery;

c) description of instrumentation for monitoring and controlling the cleaning process, including sensor characteristics and their locations, indicating and recording instruments;

d) description of safety features, including those for personnel and environmental protection;

e) description of installation requirements, if applicable;

f) documented evidence that the software used to control and/or monitor the process is prepared in accordance with a quality system and that the software meets its design intention;

g) a process flow diagram which outlines the processing equipment layout to be cleaned, including valve sequencing.

5.3.2 Equipment to be used for CIP

5.3.2.1 The equipment shall be designed and manufactured to effectively perform and control CIP of the equipment to be cleaned. Primary functions to be verified in qualification shall include but not be limited to:

a) preparation and storage of cleaning agent(s);

b) admittance of cleaning agent(s) into the equipment to be cleaned in a controlled and safe manner;

c) distribution of cleaning agent(s) within the equipment to be cleaned;

d) maintenance of effective cleaning conditions throughout the equipment to be cleaned, (e.g. delivery pressure and delivery temperature).

5.3.2.2 Specification of the equipment shall include but not be limited to:

a) physical description of the equipment, together with any necessary ancillary items, including materials of construction, (including as-built drawings);

b) specifications of the cleaning agent and means by which it is provided, including any additives or precursors necessary for its delivery;

c) description of instrumentation for monitoring, controlling and recording the cleaning process, including sensor characteristics, and their locations, indicating and recording instruments;

d) description of safety features, including those for personnel and environmental protection;

e) description of installation requirements, if applicable;

NOTE This can include, for example, the location and the environment in which the equipment is to be installed and the services that are required for the CIP and for the area in which the CIP system is installed.

f) documented evidence that the software used to control and/or monitor the process is prepared in accordance with a quality system and that the software meets its design intention.

5.3.3 Failure detection

Means shall be provided to ensure that a failure in a control function does not lead to any failure in recording of process parameters such that an ineffective process appears effective.

6 Cleaning agent characterization

6.1 Selection of cleaning agent(s)

6.1.1 Only cleaning agent(s) that have been shown to be suitable for their intended purpose shall be used. For selection of the most suitable cleaning agent(s) at least the following considerations shall be addressed:

a) physical and chemical characteristics of residual substances to be removed;

b) characteristics of potential cleaning agent(s);

c) compatibility with the manufacturing equipment;

d) ability to remove residual cleaning agent(s) including a method to detect residual cleaning agent(s).

6.1.2 It may be necessary to remove any remaining residuals of cleaning agent(s) by using secondary cleaning agent(s), such as purified water or water for injection as appropriate.

NOTE Examples of cleaning agent(s) include water, hot water, detergents, alkaline solution, hot alkaline solution, organic solvents, or acids.

6.2 Quality of cleaning agent(s)

Quality specifications for the cleaning agents shall be established, justified and documented. In establishing a specification, at least the following shall be considered: