

Microbiology of the food chain - Method validation -
Part 5: Protocol for factorial interlaboratory validation
for non-proprietary methods (ISO 16140-5:2020)

EESTI STANDARDI EESSÕNA

NATIONAL FOREWORD

See Eesti standard EVS-EN ISO 16140-5:2020 sisaldab Euroopa standardi EN ISO 16140-5:2020 ingliskeelset teksti.	This Estonian standard EVS-EN ISO 16140-5:2020 consists of the English text of the European standard EN ISO 16140-5:2020.
Standard on jõustunud sellekohase teate avaldamisega EVS Teatajas.	This standard has been endorsed with a notification published in the official bulletin of the Estonian Centre for Standardisation.
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**Microbiology of the food chain - Method validation - Part 5:
Protocol for factorial interlaboratory validation for non-
proprietary methods (ISO 16140-5:2020)**

Microbiologie de la chaîne alimentaire - Validation des
méthodes - Partie 5: Protocole pour la validation
interlaboratoires de méthodes non commerciales par
plan factoriel (ISO 16140-5:2020)

Mikrobiologie der Lebensmittelkette -
Verfahrensvalidierung - Teil 5: Arbeitsvorschrift für
eine faktorielle Ringversuch-Verfahrensvalidierung
(ISO 16140-5:2020)

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European foreword

This document (EN ISO 16140-5:2020) has been prepared by Technical Committee ISO/TC 34 "Food products" in collaboration with Technical Committee CEN/TC 463 "Microbiology of the food chain" the secretariat of which is held by AFNOR.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by February 2021, and conflicting national standards shall be withdrawn at the latest by February 2021.

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Endorsement notice

The text of ISO 16140-5:2020 has been approved by CEN as EN ISO 16140-5:2020 without any modification.

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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.

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).

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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 34, *Food products*, Subcommittee SC 9, *Microbiology*, in collaboration with the European Committee for Standardization (CEN) Technical Committee CEN/TC 463, *Microbiology of the food chain*, in accordance with the Agreement on technical cooperation between ISO and CEN (Vienna Agreement).

A list of all parts in the ISO 16140 series can be found on the ISO website.

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

0.1 The ISO 16140 series

The ISO 16140 series has been expanded in response to the need for various ways to validate or verify test methods. It is the successor to ISO 16140:2003. The ISO 16140 series consists of six parts with the general title, *Microbiology of the food chain — Method validation*:

- *Part 1: Vocabulary;*
- *Part 2: Protocol for the validation of alternative (proprietary) methods against a reference method;*
- *Part 3: Protocol for the verification of reference methods and validated alternative methods in a single laboratory;*
- *Part 4: Protocol for method validation in a single laboratory;*
- *Part 5: Protocol for factorial interlaboratory validation for non-proprietary methods;*
- *Part 6: Protocol for the validation of alternative (proprietary) methods for microbiological confirmation and typing procedures.*

ISO 17468 is a closely linked International Standard, which establishes technical rules for the development and validation of standardized methods.

In general, two stages are needed before a method can be used in a laboratory.

- The first stage is the validation of the method. Validation is conducted using a study in a single laboratory followed by an interlaboratory study (see ISO 16140-2, ISO 16140-6, and as described in this document). In the case when a method is validated within one laboratory (see ISO 16140-4), no interlaboratory study is conducted.
- The second stage is method verification, where a laboratory demonstrates that it can satisfactorily perform a validated method. This is described in ISO 16140-3. Verification is only applicable to methods that have been validated using an interlaboratory study.

In general, two types of methods are distinguished: reference methods and alternative methods.

A reference method is defined in ISO 16140-1:2016, 2.59, as an “internationally recognized and widely accepted method”. The note to entry clarifies that “these are ISO standards and standards jointly published by ISO and CEN or other regional/national standards of equivalent standing”.

In the ISO 16140 series, reference methods include standardized reference (ISO and CEN) methods as defined in ISO 17468:2016, 3.5, as a “reference method described in a standard”.

An alternative method (method submitted for validation) is defined in ISO 16140-1:2016, 2.4, as a “method of analysis that detects or quantifies, for a given category of products, the same analyte as is detected or quantified using the corresponding reference method”. The note to entry clarifies that: “The method can be proprietary. The term ‘alternative’ is used to refer to the entire ‘test procedure and reaction system’. This term includes all ingredients, whether material or otherwise, required for implementing the method.”.

ISO 16140-4 addresses validation within a single laboratory. The results are therefore only valid for the laboratory that conducted the study. In this case, verification (as described in ISO 16140-3) is not applicable. This document, ISO 16140-5, describes protocols for non-proprietary methods where a more rapid validation is required or when the method to be validated is highly specialized and the number of participating laboratories required by ISO 16140-2 cannot be reached. ISO 16140-4 and this document can be used for validation against a reference method. ISO 16140-4 (regarding qualitative and quantitative methods) and this document (regarding quantitative methods only) can also be used for validation without a reference method.

The flow chart in [Figure 1](#) gives an overview of the links between the different parts mentioned above. It also guides the user in selecting the right part of the ISO 16140 series, taking into account the purpose of the study and the remarks given above.

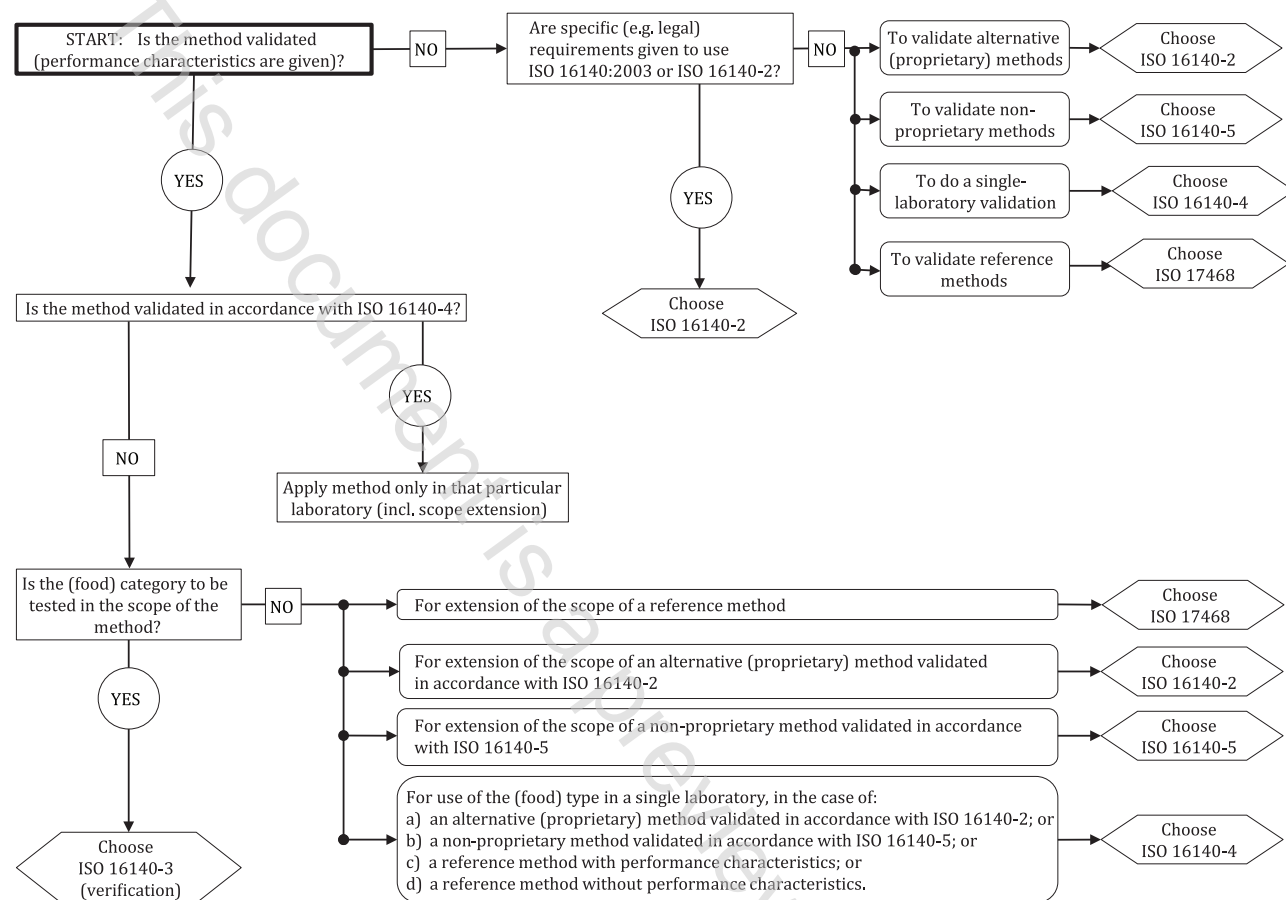
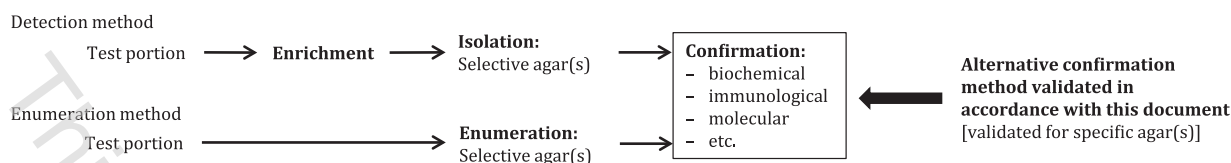
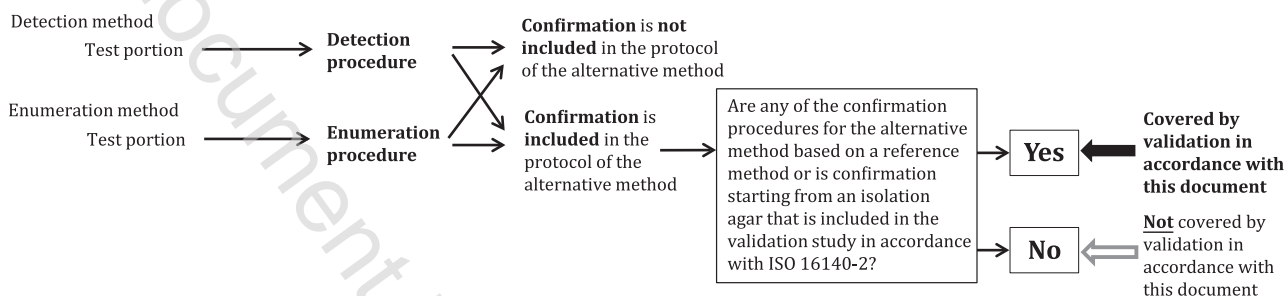


Figure 1 — Flow chart for application of the ISO 16140 series

NOTE In this document, the words “category”, “type” and/or “item” are sometimes combined with “(food)” to improve readability. However, the word “(food)” is interchangeable with “(feed)” and other areas of the food chain as mentioned in [Clause 1](#).

ISO 16140-6 is somewhat different from the other parts in the ISO 16140 series in that it relates to a very specific situation where only the confirmation procedure of a method is to be validated [e.g. the biochemical confirmation of *Enterobacteriaceae* (see ISO 21528-2)]. The confirmation procedure advances a suspected (presumptive) result to a confirmed positive result. The validation of alternative typing techniques (e.g. serotyping of *Salmonella*) is also covered by ISO 16140-6. The validation study in ISO 16140-6 clearly defines the selective agar(s) from which strains can be confirmed using the alternative confirmation method. If successfully validated, the alternative confirmation method can only be used if strains are recovered on an agar that was used and shown to be acceptable within the validation study. [Figure 2](#) shows the possibilities where an alternative confirmation method validated in accordance with ISO 16140-6 can be applied (see text in the boxes).

Reference method**Alternative method validated in accordance with ISO 16140-2****Figure 2 — Use of validated alternative confirmation methods (see ISO 16140-6)**

EXAMPLE An example application of a validated alternative confirmation method is as follows.

An alternative confirmation method based on ELISA has been validated (in accordance with ISO 16140-6) to replace the biochemical confirmation for *Salmonella* as described in ISO 6579-1. In the validation study, XLD (mandatory agar in accordance with ISO 6579-1) plus BGA and a specified chromogenic agar (two optional agars for second plating in accordance with ISO 6579-1) were used as the agars to start the confirmation. The validated confirmation method can be used to replace the biochemical confirmation under the following conditions:

- by laboratories using the ISO 6579-1; or
- by laboratories using an ISO 16140-2 validated alternative method that refers to ISO 6579-1 for confirmation; or
- by laboratories using an ISO 16140-2 validated alternative method that starts the confirmation from XLD and/or BGA agar and/or the specified chromogenic agar.

The validated confirmation method cannot be used under the following conditions:

- by laboratories using an ISO 16140-2 validated alternative method that refers only to agars other than those included in the validation to start the confirmation (e.g. Hektoen agar and SS agar only); or
- by laboratories using an ISO 16140-2 validated alternative method that refers only to a confirmation procedure that does not require isolation on agar.

0.2 Validation protocols in the ISO 16140 series

An interlaboratory validation study, in accordance with ISO 16140-2, requires at least eight laboratories for quantitative methods and at least ten laboratories for qualitative methods.

This document provides a protocol that addresses the special case where the number of laboratories required in an interlaboratory validation of a method by ISO 16140-2 cannot be achieved. The protocol allows a method validation based on a minimum of four laboratories. It applies, for example, in situations where there is an urgent need for a validated method but the in-house and interlaboratory studies in accordance with ISO 16140-2 take too long to complete. This document also addresses the problem of method validation of highly specialized methods, for which only a few laboratories might be available for a validation study. This document can only be used for non-proprietary methods. [Table 1](#) provides an overview of the different protocols.

Table 1 — Overview of different validation protocols described in the ISO 16140 series

Number of participating laboratories	With reference method	Without reference method
1	ISO 16140-4	ISO 16140-4
4 to 7 (quantitative method)/ 4 to 9 (qualitative method)	This document: for non-proprietary methods only	This document: for non-proprietary quantitative methods only
≥ 8 (quantitative method)/ ≥ 10 (qualitative method)	ISO 16140-2: for the interlaboratory study part	Not applicable

In order to reduce the number of required laboratories to a minimum of four, while maintaining the applicability of the validation to all laboratories, the protocol is based on a factorial experimental design. In the factorial design, factors such as the technician or culture medium are altered simultaneously, and the method is used in a range of different factor settings. This approach allows a more detailed analysis of the precision parameters of the method while, at the same time, requiring a smaller number of laboratories and tests.

Microbiology of the food chain — Method validation —

Part 5:

Protocol for factorial interlaboratory validation for non-proprietary methods

1 Scope

This document specifies the general principles and the technical protocols (based on orthogonal, factorial studies) for the validation of non-proprietary methods for microbiology of the food chain.

This document is applicable to the validation of methods used for the analysis (detection or quantification) of microorganisms in:

- products intended for human consumption;
- products intended for animal feeding;
- environmental samples in the area of food and feed production, handling;
- samples from the primary production stage.

This document is, in particular, applicable to bacteria and fungi. Some clauses can be applicable to other (micro)organisms or their metabolites, to be determined on a case-by-case basis.

This document specifies protocols for the validation against a reference method for both quantitative and qualitative methods. This document also provides a protocol for the validation of quantitative methods without a reference method. Qualitative methods cannot be validated without a reference method in accordance with this document.

NOTE ISO 16140-2 specifies the general principle and the technical protocol for the validation of alternative, mostly proprietary, methods against a reference method.

This document is only applicable to the validation of methods that are fully specified with regard to all relevant parameters (including tolerances on temperatures and specifications on culture media) and that have already been optimized.

Methods that have been validated in accordance with this document can be used by the laboratories of the specified population of laboratories.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements 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 7218, *Microbiology of food and animal feeding stuffs — General requirements and guidance for microbiological examinations*

ISO 16140-1:2016, *Microbiology of the food chain — Method validation — Part 1: Vocabulary*

ISO 16140-2:2016, *Microbiology of the food chain — Method validation — Part 2: Protocol for the validation of alternative (proprietary) methods against a reference method*