



## Biochemical Services

### Policy

<b>Title:</b>	<b>UKAS Flexible Scope</b>
<b>Subject:</b>	<b>Management of UKAS Flexible Scope</b>

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Author                    Malinie Naidoo/Fiona Denham

Authorised by          Rachel Carling

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## 1. Introduction

### 1.1 Principle

This document describes the processes for maintaining the accreditation of pathology tests to ISO-15189 within flexible scope for the Biochemical Sciences Department, Viapath Analytics, St. Thomas' Hospital, London, UK (UKAS accreditation reference 9093). See Biochemical Sciences Quality Manual (SLM-QM-1) for further details. The department must demonstrate competency, impartiality and consistency, and comply with ISO-15189 in order to maintain flexible scope.

The flexible scope detailed herein applies only to mass spectrometry based techniques which the department has established competence in developing and performing (see section 2). Flexible scope does not cover new analytical principles which the department has no prior experience in performing. Flexible scope is set out within the bounds of ISO/IEC 17025 and provides a basis for ensuring tests which have been transferred to an alternative analytical instrument remain within the scope of accreditation during the transfer, subject to processes described in this document. It also applies to new tests developed using the same technology or new analytes added to existing assays. This flexibility can only apply to tests utilising technologies which have previously been successfully validated and introduced within the department in line with ISO 15189 and have successfully been accredited within the scope of the standard. For a test to be successfully accredited via the flexible scope, the process must be documented and controlled to ensure a full audit trail. Only those activities and locations listed under the flexible scope will be covered.

### 1.2 Limitations to the Flexible scope

Only tests utilising mass spectrometry and associated technologies previously validated within Biochemical Sciences at St. Thomas' Hospital and accredited to ISO15189 may be accredited via flexible scope. Tests can only be accredited under flexible scope if they include established mass spectrometry based techniques.

Examples of mass spectrometry technologies which have never been utilised in the department include time of flight (TOF) analysis and accelerator mass spectrometry (AMS).

#### 1.2.1 Activities covered:

Flexible scope covers areas where the department has established expertise and a track record of successfully establishing methods which meet ISO 15189 standards and are accredited by UKAS. All tests must utilise mass spectrometry technologies to be covered under flexible scope.

Flexible scope covers tests falling in to the following categories

- New analytes not previously measured within the Biochemical Sciences department;
- Analytes detectable during analysis using established assays but not previously quantified/reported;
- Analytes already measured and reported within Biochemical Sciences but which have been transferred to a different mass spectrometer

Analytes already measured within the department but measured in a different matrix i.e. serum, blood, urine etc. The flexible scope therefore covers the following:

#### 1.2.2 Mass spectrometry technologies

- Single quadrupole mass spectrometry (MS)
- Triple quadrupole mass spectrometry (MS/MS)

#### 1.2.3 Associated technologies

- Flow injection analysis (FIA)
- Liquid chromatography (LC)
- Ultra and high performance liquid chromatography (UHPLC and HPLC)
- Gas chromatography (GC)
- Automated sample preparation technologies

#### 1.2.4 Locations

- Performance of established or new tests at the Biochemical Sciences Department, St. Thomas' Hospital.

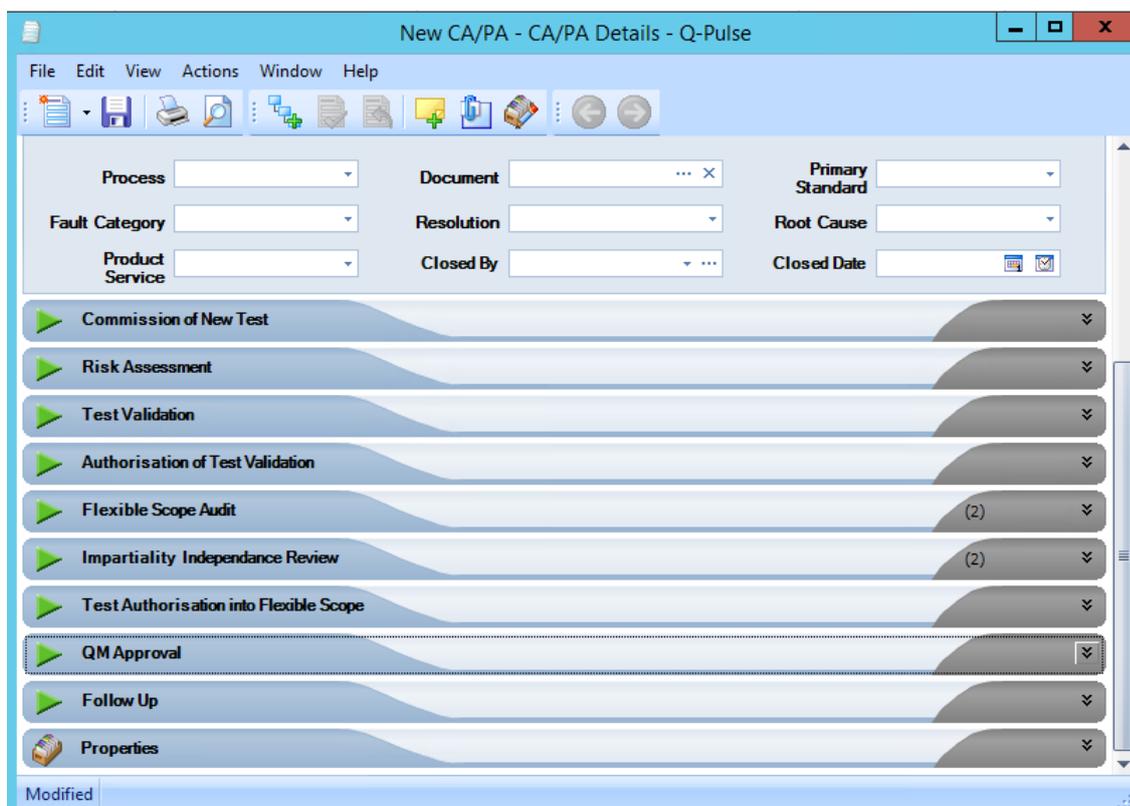
#### 1.2.5 Matrices

- Human serum/plasma
- Human whole blood
- Human dried blood (dried blood collected onto filter paper or with a dried blood collection device as described in the method validation document SLM-QR-55)
- Human urine
- Human cerebrospinal fluid
- Human faeces

## 2. Flexible scope process

The flexible scope process will be managed using a specific change control template on Q-Pulse CAPA module, created to facilitate a process flow for including a new test into flexible scope of accreditation. The stages are detailed below.

Figure 1: Flexible scope Change Control Template



### 2.1 Commissioning of a new test:

Changes in repertoire outlined as stated above are validated according to established procedures (see SLM-MP-13). Justification of new tests introduced is included on the Viapath New Test Form on ServiceNow and changes to IT are requested through the ICT requests section on ServiceNow.

Suggestions for new tests are often internal and may also be received directly from clinical teams and service users. Any member of staff may make suggestions for new test ideas either by raising at their local section meeting or raising an improvement CAPA on Q-Pulse.

Once approved locally by the Director of Biochemical Sciences, the test goes through the new test commissioning process via ServiceNow. The form details criteria and guidance for requesting a new test.

Development and validation of the test cannot go ahead until the tests has been signed off through the new test process. If the test is to be offered to Trust Clinicians the new test must also be signed off by a representative of the Trust.

## 2.2 Risk Assessment

On completion and approval of the new test via the Viapath new test process, the process for introducing a new will be risk assessed. All risk identified must be mitigated or be able to be managed locally before test validation begins. Authorisation to process will be approved by the Quality Manager and Director of Service.

Refer to risk assessment form PATH-Q-FORM28

## 2.3 Test Validation

Development and validation of new tests within flexible scope must be performed by members of staff who have completed and been signed as competent against the validation competency assessment, SLMM-CAF-42. Validation of new tests will include successful completion of the method validation acceptance form SLM-QF-8.

## 2.4 Authorisation of test validation

The Director of Biochemical Sciences is responsible for authorisation of test validation for tests to be included within the flexible scope. The exception to this would be in the event that the Director has personally contributed to the validation process and can no longer be considered independent. In this situation, the test validation will be independently authorised by a Consultant Scientist (BMS or CS).

Staff performing test validation must be signed as competent against

- Method validation competency assessment SLMM-CAF-42
- Flexible scope competency SLMM –CAF-45

## 2.5 Flexible Scope Audit

Once the test validation has been approved, the test will be audited against the flexible scope criteria using SLM-QF-144. Section 1 of the audit will be performed by a Consultant, Principle Scientist or Advanced Practitioner who has been independent of the validation process. Section 2 will be completed by the Quality Manager after the test has been approved into accreditation. Should any non-conformances be identified at this stage, the test will be removed from scope until the non-conformance is rectified. Section 2 of the audit is to ensure that key personnel as identified within this document have been responsible for approval of the test into scope.

The QM must have completed competency in flexible scope relating to QMS aspects (SLMM-CAF-55)

All non-conformances raised for Section 1 of the audit must be addressed and closed prior to the impartiality and independence review being performed.

## 2.6 Impartiality and independence

Personnel holding responsibilities for the development, validation, authorisation and review process for new tests to be included in the scope must be impartial and acting independently, i.e. must not be involved in other key elements of the process. For example, a validation cannot be authorised by the person who has undertaken the analytical process for that validation; the pre-go live audit cannot be performed by an auditor who has been involved in the validation process or authorised the validation. This will be reviewed/assessed in the flexible scope audit conducted.

Prior to final authorisation of the test into accreditation, the audit report will be independently assessed alongside the authorised test validation, by the Chief Scientific Officer (CSO) and GSTT Senior Pathology Quality Manager (SQM). Both parties must be signed as competent against the relevant flexible scope competency: SLMM-CAF-45 for the CSO and SLMM-CAF-55 for the SQM.

The CSO and SQM will sign the validation form (SLM-QR-53) and the audit report (SLM-QF-144) as evidence of review, prior to closing actions set within the impartiality and independence stage within the change control.

## 2.7 Test Authorisation into flexible scope of accreditation

The Director of Biochemical Sciences will be responsible for final sign off and authorisation of the test into accreditation within the flexible scope. This cannot be performed unless stages up to and including the impartiality and independence check are approved and closed.

Once tests have their final authorisation, they are recorded locally using the record of flexible scope (SLM-QF-139). The record must also be made available on the Viapath website at <http://www.viapath.co.uk/departments-and-laboratories/biochemical-sciences>.

## 2.8 QM approval

The Quality Manager is responsible to ensure all stages have been closed appropriately with all the relevant information and evidence attached.

## 2.9 Follow up

A horizontal audit will be scheduled 3-6 months post the go-live. The change control will remain open until after the audit is conducted and the raised non-conformances closed.

The Quality Manager is responsible for closure of the change control.

### 3. Quality management of the flexible scope

Ensuring completion of the quality management aspects of the flexible scope is the responsibility of the Reference Services Quality Manager. This includes scheduling audits to cover the tests included in the scope; reporting any non-conformances arising from audit, together with proposed actions to the senior management team via the monthly governance report; and updating user information and UKAS, as applicable, once tests have been authorised to be included in the flexible scope as described in Section 2

#### 3.1 Competency

As with all tests within Biochemical Sciences, only staff signed off as competent can perform assays and authorise results (see SLM-MP-22). All staff involved in development, review, result validation and result authorisation of tests developed within the flexible scope must be authorised as competent to do so. See Policy for Training on Procedures (SLM-MI-13) and Training Policy (SLM-MP-12). Personnel are authorised to develop, review and validate techniques. See assay validation and verification SOP (SLM-MP-13), Quality Improvement SOP (SLM-QP-6) assay development review and validation competency assessment (SLMM-CAF-42). Competency for validation of tests including those within flexible scope is assessed and personnel are authorised. Competency to review and authorise assay validations within flexible scope is assessed using SLMM-CAF-45. Competency for oversight and review of the QMS elements of the process is assessed using SLMM-CAF-55.

#### 3.2 Quality Control

The Biochemical Sciences department ensures the continuing validity of procedures introduced under flexible scope, see Quality Control procedures (SLM-QP-5) for further details.

#### 3.3 External Quality Assessment

Each test within the flexible scope will be subject to EQA and or an alternative approach if there no EQA available for the test. Refer to EQA SOP SLMM-LP-25 for schemes/alternative approach suitability and operational procedures related to EQA participation.

EQA is performed in accordance with the departmental EQA policy, SLM-QP-2.

#### 3.4 Equipment installation and acceptance

Equipment installation and acceptance testing is managed according to procedures in (SLM-MP-18) using the equipment acceptance form, SLM-QF-68.

#### 3.5 Requests, tenders and contracts

New tests set up at the specific requests of users are recorded as part of the New Tests process (see section 2.3). Usually all requirements of clients are covered through the New Test process except in

unusual circumstances e.g. clinical trial work covered under GCP guidelines. In these circumstances requirements are covered by contacts or SLAs, see Viapath SLA policy (PATH-BD-SOP2) for further details. Clients are routinely informed if the tests performed are within the scope of accreditation.

### 3.6 Movement to alternative locations

The decision to change the location of a test is the responsibility of the Director of Biochemical Sciences and is recorded in the departmental senior staff meeting minutes (see SLM-MINS-71). Unlike other aspects of flexible scope UKAS must be informed immediately if a test is to be carried out at a new location. These processes also apply to the removal of a location. Biochemical Sciences flexible scope only covers tests carried out at St. Thomas' Hospital, therefore movement to an alternate location constitutes a change outside of flexible scope which would require a formal extension to scope application and approval by UKAS. Refer to section 3.9 if a test is no longer within the scope of accreditation.

### 3.7 Records

Records of all tests introduced and their validation (including those under flexible scope) are recorded using the Q-Pulse CAPA flexible scope change control record feature according to change control procedures (SLM-MP-13). Records in the form a list of assays introduced under flexible scope are recorded using Biochemical Sciences record of changes within flexible scope (SLM-QF-139) including the following information:

- Analyte/measurand
- Date of authorisation for flexible scope
- Names of staff who have reviewed and authorised the test
- Developed/modified by
- Matrix
- Equipment/technique
- SOP reference
- Change control CAPA reference number (including acceptance form and validation record)
- Risk assessment number (where applicable)
- Date UKAS informed

### 3.8 Audit Management Review

Methods incorporated under flexible scope are audited according to document Internal Audit Procedures (SLM-QP-4). Updates on audit progress and details of tests included under flexible scope are provided to management via the Governance Report (SLM-GR-2) and reviewed at the Biochemical Sciences Senior Staff Meeting. An audit of assay validation and flexible scope is included in the audit schedule (see SLM-QF-13).

QMS aspects of the flexible scope will be audited annual using SLM-QF-156, and will form a part of the audit schedule for the department.

### 3.9 Removing a test from scope of accreditation

UKAS will be informed of any changes to tests within the scope of accreditation. The test repertoire must be updated on the website by completion of the form, PATH-Q-FORM23, and submitted to the Quality Manager.

The record of flexible scope (SLM-QF-139) must be updated and made available on the Viapath website at <http://www.viapath.co.uk/departments-and-laboratories/biochemical-sciences>.

Users will be informed of the change to accreditation via a departmental user letter. A CAPA will be raised on QPulse to capture all the changes above.

### 3.10 Informing UKAS of changes

UKAS will be informed of any changes to methods or scope at regular predefined intervals agreed with UKAS (every three months).

UKAS will be informed of any changes to the key personnel involved in the flexible scope process (as specified in this policy) at the earliest opportunity, i.e. as soon as the change to personnel has been confirmed within Viapath (this may be before the change actually occurs).

The Operations Managers for each laboratory area will be responsible for informing the Quality Manager of such changes, who will in turn be responsible for updating the test list (if required) and informing the UKAS Senior Assessment Manager.

### 3.11 UKAS User reports and information

Where tests fall within flexible scope user results reports must include this information where IT systems allow it. The record of flexible scope (SLM-QF-139) must be kept updated on the Viapath website, see <http://www.viapath.co.uk/departments-and-laboratories/biochemical-sciences>. This policy (SLM-P-3) will also be available on the website in the same location as SLM-QF-139, in order for service users to have access to a full description of the extent and management of the flexible scope.

## 4. References

1. BSI. Medical Laboratories – requirements for quality and competence (ISO15189:2012). November 2012 (incorporating corrigendum October 2014).
2. UKAS. GEN 4 - UKAS policy and general guidance for the implementation and management of flexible scopes of accreditation. Edition 1. October 2019.
3. EA requirements for the accreditation of flexible scopes: <https://european-accreditation.org/wp-content/uploads/2018/10/ea-2-15-m.pdf>



**SLM-P-3: Management of flexible scope of  
accreditation**

**Biochemical Sciences**