



Policy Title: GUIDING PRINCIPLES FOR AUDIT OF THIRD-PARTY SERVICES		Policy Section: I General Policies	Policy Number: I-02
Approved By: CAMLPR Board of Directors	Date Approved: Apr 10, 2019	Date Reviewed/ Revised: TBD	Board Chair's Signature: John Tzountzouris

1.0 POLICY

The Canadian Alliance of Medical Laboratory Professionals Regulators (CAMLPR) may require an audit of third-party services provided to members to ensure that they meet quality standards.

According to ISO 19011:2011, audits should be based on these six principles:

1. Integrity: foundation of professionalism.
2. Fair presentation: obligation to report truthfully and accurately.
3. Due professional care: application of diligence and judgment in auditing.
4. Confidentiality: security of information.
5. Independence: basis for impartiality of audit and objectivity of audit conclusions.
6. Evidence-based approach: rational method for reaching reliable and reproducible audit conclusions in a systematic audit process.

1. Integrity

- Perform audits with honesty, diligence, and responsibility
- Observe and comply with applicable legal requirements
- Demonstrate your competence while performing audits
- Perform audits in an impartial manner
- Remain fair and unbiased in all your dealings
- Be sensitive to any influences exerted on your judgment during an audit

2. Fair Presentation

- Ensure audit findings, conclusions, and reports truthfully and accurately reflect the audit activities
- Report any significant obstacles encountered in the audit
- Report any unresolved diverging opinions between the auditee and audit team
- Ensure communication is truthful, accurate, objective, timely, clear, and complete



3. Due Professional Care

- Exercise due care based on importance of task and confidence placed in you by audit client
- Make reasoned judgments in all audit situations

4. Confidentiality

- Exercise discretion in use and protection of information acquired during your audit duties
- Do not use audit information for personal gain or in detrimental way to legitimate interests of auditee
- Properly handle sensitive or confidential information

5. Independence

- Remain independent of the activity being audited (see Note 1).
- Be free from bias and conflict of interest (See Note 2)
- Maintain objectivity throughout the audit process
- Ensure findings and conclusions are based only on evidence
- Note 1: For small organizations, it may not be possible for internal auditors to be fully independent, but make every effort to remove bias and encourage objectivity. Note 2: Internal auditors should be independent from the operating managers of the function being audited.

6. Evidence-Based Approach

- Collect audit evidence that is verifiable
- Base the evidence on samples of available information
- Use samples since audit is conducted during a finite period of time and with finite resources
- Sample appropriately to contribute to confidence that can be placed on audit conclusions

These six audit principles are from ISO 19011:2011, clause 4.a through clause 4.f.

While CAMLPR members endorse these six guiding principles for the audit of third-party service providers, further delineation of external quality standards / benchmarks for each services will also be prescribed by CAMLPR.

CAMLPR further recognizes that in some situations, external quality standards / benchmarks do not currently exist for certain third-party services. In these cases, CAMLPR will endeavor to create and approve quality standards, based on best-practice literature.



2.0 SCOPE

This policy applies to all third-party services used by CAMLPR members to fulfill their statutory obligations. Currently, this includes the following for three disciplines: General Medical Laboratory Technology, Clinical Genetics, and Diagnostic Cytology:

- CSMLS Competency Profiles
- CSMLS Certification Examinations
- CSMLS Prior Learning Assessments for MLTs

3.0 DEFINITIONS

N/A

4.0 REFERENCES AND RELATED STATEMENTS OF POLICY/PROCEDURE

- CAMLPR Policy I-01: Quality Assurance of Third-Party Services
- ISO 19011: 2018: Guidelines for Auditing Management Systems
- NCCA Standards for the Accreditation of Certification Programs: 2016
- ISO 17024: General requirements for bodies operating certification of persons
- CAPLA: Quality Assurance for the Recognition of Prior Learning (RPL) in Canada

5.0 DOCUMENT HISTORY

Date	Action(s) Taken
Nov 13, 2018	Policy drafted
Apr 10, 2019	Policy approved