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| **Details of the proficiency testing provider** |
| Name: |  |
| Address: |       |
| File number: |       |       |  |
| Case number | Phase |  |
| Date of assessment: |       |
| Accreditation process: |  |
| Assessment type[[1]](#endnote-1) : |       |
| Proficiency testing provider with several locations: | [ ]  Yes | [ ]  No |
| Name / Address of assessed locations: |

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| Area: | [ ]  Within the permanent facilities | [ ]  On-site | [ ]  Mobile facilities |
| Technical management: |       |
| Deputy:  |       |
| Quality manager: |       |
| Deputy: |       |
| **Details of the assessor** |
| Name: |       |
| Status[[2]](#endnote-2) : | [ ]  LA | [ ]  SA | [ ]  TA | [ ]  TAstat | [ ]  TE | [ ]  O |
| **Assessed area** (technical fields of DAkkS, testing fields, sectorspecific requirements, directives/modules) |

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**NOTES on usage by the proficiency testing provider (blue colored sectors):**

* On the second page only the name and address of the proficiency testing provider shall be entered.
* Please enter the following information in the column “Reference documents“:
Where is the implementation of the requirement documented?
(State the specific reference documents, e.g. specification of the document/chapter/section)
Requirements of the standard that are not applicable shall be shall be indicated accordingly.

No further entries shall be made by the proficiency testing provider.

**NOTES on usage by the assessor (orange colored sectors):**

* The column „Responsible“ indicates the assessor responsible to evaluate a section of the standard.
* The column “Appraisal” and “No of NC” shall be entered by the assessor (evaluation key see final marks)
* The appraisal in the first row of a section of the standard (e.g. 4.2 Personnel) indicates the overall appraisal after the assessment, including the prior review of documents and records. The appraisal in the first row of a section suffice, if no non-conformity was identified for the relevant section of the standard.

# 4 Technical Requirements

## 4.2 Personnel

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|  | SA + TA |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records: [[3]](#endnote-3)** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:[[4]](#endnote-4)**  |
| No. | OE[[5]](#endnote-5) | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 4.2.1 | The proficiency testing provider shall have managerial and technical personnel with the necessary authority, resources and technical competence required to perform their duties. |       |  | [ ]  | [ ]  |       |
| 4.2.2 | The proficiency testing provider's management shall define the minimum levels of qualification and experience necessary for the key positions within its organization and ensure those qualifications are met. |       |  | [ ]  | [ ]  |       |
| 4.2.3 | The proficiency testing provider shall use personnel who are either employed by, or under contract to it. Where contracted and additional technical and key support personnel are used, the proficiency testing provider shall ensure that such personnel are supervised and competent and that they work in accordance with the management system. [🡺NOTE]  |       |  | [ ]  | [ ]  |       |
| 4.2.4 | The proficiency testing provider shall authorize specific personnel to: 1. select appropriate proficiency test items;
2. plan proficiency testing schemes;
3. perform particular types of sampling;
4. operate specific equipment;
5. conduct measurements to determine stability and homogeneity, as well as assigned values and associated uncertainties of the measurands of the proficiency test item;
6. prepare, handle and distribute proficiency test items;
7. operate the data processing system;
8. conduct statistical analysis;
9. evaluate the performance of proficiency testing participants;
10. give opinions and interpretations; and
11. authorize the issue of proficiency testing reports.
 |       |  | [ ]  | [ ]  |       |
| 4.2.5 | The proficiency testing provider shall maintain up-to-date records of the relevant authorization(s), competence, educational and professional qualifications, training, skills and experience of all technical personnel, including contracted personnel. This information shall be readily available and shall include the date on which competence to perform their assigned tasks was assessed and confirmed. |       |  | [ ]  | [ ]  |       |
| 4.2.6 | The proficiency testing provider shall formulate the objectives with respect to the education, training, and skills for each staff member involved with the operation of the proficiency testing scheme. The proficiency testing provider shall have a policy and procedures for identifying training needs and providing training of personnel. The training programme shall be relevant to the present and anticipated needs of the proficiency testing provider. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.2.7 | The proficiency testing provider shall ensure that staff receive the necessary training to ensure competent performance of measurements, operation of equipment and any other activities which affect the quality of the proficiency testing scheme. The effectiveness of training activities shall be evaluated. [🡺NOTE]  |       |  | [ ]  | [ ]  |       |

## 4.3 Equipment, accommodation and environment

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
| No. | OE | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 4.3.1 | The proficiency testing provider shall ensure that there is appropriate accommodation for the operation of the proficiency testing scheme. This includes facilities and equipment for proficiency test item manufacturing, handling, calibration, testing, storage and despatch, for data processing, for communications, and for retrieval of materials and records. |       |  | [ ]  | [ ]  |       |
| 4.3.2 | The proficiency testing provider shall ensure that the environmental conditions do not compromise the proficiency testing scheme or the required quality of operations. Particular care shall be taken when operations are undertaken at sites away from the proficiency testing provider's permanent facilities or are undertaken by subcontractors. The technical requirements for accommodation and environmental conditions that can affect the proficiency testing shall be documented.  |       |  | [ ]  | [ ]  |       |
| 4.3.3 | Access to and use of areas affecting the quality of proficiency testing schemes shall be controlled. The proficiency testing provider shall determine the extent of control based on its particular circumstances. |       |  | [ ]  | [ ]  |       |
| 4.3.4 | The proficiency testing provider shall identify environmental conditions that can significantly influence the quality of the proficiency test items and any testing and calibration carried out, including conditions that are required by relevant specifications and measurement procedures. The proficiency testing provider shall control and monitor these conditions, and shall record all relevant monitoring activities. Relevant proficiency testing activities shall be stopped when the environmental conditions jeopardize the quality or the operations of the proficiency testing scheme. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.3.5 | There shall be effective separation between neighbouring areas in which there are incompatible activities. Action shall be taken to prevent cross-contamination. |       |  | [ ]  | [ ]  |       |
| 4.3.6 | Proficiency testing providers shall ensure that performance characteristics of laboratory methods and equipment used to confirm the content, homogeneity and stability of proficiency testing items are appropriately validated and maintained.  |       |  | [ ]  | [ ]  |       |

## 4.4 Design of proficiency testing schemes

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|  | **SA + TA + TA**stat |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
| No. | OE | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| **4.4.1** | **Planning** | **SA + TA** |       |  | [ ]  | [ ]  |       |
| 4.4.1.1 | The proficiency testing provider shall identify and plan those processes which directly affect the quality of the proficiency testing scheme and shall ensure that they are carried out in accordance with prescribed procedures. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.4.1.2 | The proficiency testing provider shall not subcontract the planning of the proficiency testing scheme (see 5.5.2). [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.4.1.3 | The proficiency testing provider shall document a plan before commencement of the proficiency testing scheme that addresses the objectives, purpose and basic design of the proficiency testing scheme, including the following information and, where appropriate, reasons for its selection or exclusion: 1. the name and address of the proficiency testing provider;
2. the name, address and affiliation of the coordinator and other personnel involved in the design and operation of the proficiency testing scheme;
3. the activities to be subcontracted and the names and addresses of subcontractors involved in the operation of the proficiency testing scheme;
4. criteria to be met for participation;
5. the number and type of expected participants in the proficiency testing scheme;
6. selection of the measurand(s) or characteristic(s) of interest, including information on what the participants are to identify, measure, or test for in the specific proficiency testing round;
7. a description of the range of values or characteristics, or both, to be expected for the proficiency test items;
8. the potential major sources of errors involved in the area of proficiency testing offered;
9. requirements for the production, quality control, storage and distribution of proficiency test items;
10. reasonable precautions to prevent collusion between participants or falsification of results, and procedures to be employed if collusion or falsification of results is suspected;
11. a description of the information which is to be supplied to participants and the time schedule for the various phases of the proficiency testing scheme;
12. for continuous proficiency testing schemes, the frequency or dates upon which proficiency test items are to be distributed to participants, the deadlines for the return of results by participants and, where appropriate, the dates on which testing or measurement is to be carried out by participants;
13. any information on methods or procedures which participants need to use to prepare the test material and perform the tests or measurements;
14. procedures for the test or measurement methods to be used for the homogeneity and stability testing of proficiency test items and, where applicable, to determine their biological viability;
15. preparation of any standardized reporting formats to be used by participants;
16. a detailed description of the statistical analysis to be used;
17. the origin, metrological traceability and measurement uncertainty of any assigned values;
18. criteria for the evaluation of performance of participants;
19. a description of the data, interim reports or information to be returned to participants;
20. a description of the extent to which participant results, and the conclusions that will be based on the outcome of the proficiency testing scheme, are to be made public; and
21. actions to be taken in the case of lost or damaged proficiency test items.
 |       |  | [ ]  | [ ]  |       |
| 4.4.1.4 | The proficiency testing provider shall have access to the necessary technical expertise and experience in the relevant field of testing, calibration, sampling or inspection, as well as statistics. This may be achieved, if necessary, by establishing an advisory group (named as appropriate). |       |  | [ ]  | [ ]  |       |
| 4.4.1.5 | Technical expertise shall be used, as appropriate, to determine matters such as the following: 1. planning requirements as listed in 4.4.1.3;
2. identification and resolution of any difficulties expected in the preparation and maintenance of homogeneous proficiency test items, or in the provision of a stable assigned value for a proficiency test item;
3. preparation of detailed instructions for participants;
4. comments on any technical difficulties or other remarks raised by participants in previous proficiency testing rounds;
5. provision of advice in evaluating the performance of participants;
6. comments on the results and performance of participants as a whole and, where appropriate, groups of participants or individual participants;
7. provision of advice for participants (within limits of confidentiality), either individually or within the report;
8. responding to feedback from participants; and
9. planning or participating in technical meetings with participants.
 |       |  | [ ]  | [ ]  |       |
| **4.4.2** | **Preparation of proficiency test items** | **SA + TA** |       |  | [ ]  | [ ]  |       |
| 4.4.2.1 | The proficiency testing provider shall establish and implement procedures to ensure that proficiency test items are prepared in accordance with the plan described in 4.4.1. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.4.2.2 | The proficiency testing provider shall establish and implement procedures to ensure appropriate acquisition, collection, preparation, handling, storage and, where required, disposal of all proficiency test items. The procedures shall ensure that materials used to manufacture proficiency test items are obtained in accordance with relevant regulatory and ethical requirements. |       |  | [ ]  | [ ]  |       |
| 4.4.2.3 | Proficiency test items should match in terms of matrix, measurands and concentrations, as closely as practicable, the type of items or materials encountered in routine testing or calibration. |       |  | [ ]  | [ ]  |       |
| 4.4.2.4 | In proficiency testing schemes that require participants to prepare or manipulate, or both prepare and manipulate, the proficiency test item and submit it to the proficiency testing provider, the proficiency testing provider shall issue instructions for preparation, packaging and transport of the proficiency test item.  |       |  | [ ]  | [ ]  |       |
| **4.4.3** | **Homogeneity and stability** | **TA + TAstat** |       |  | [ ]  | [ ]  |       |
| 4.4.3.1 | Criteria for suitable homogeneity and stability shall be established and shall be based on the effect that inhomogeneity and instability will have on the evaluation of the participants' performance. [🡺NOTE 1 to 4] |       |  | [ ]  | [ ]  |       |
| 4.4.3.2 | The procedures for the assessment of homogeneity and stability shall be documented and conducted, where applicable, in accordance with appropriate statistical designs. Where possible, the proficiency testing provider shall use a statistically random selection of a representative number of proficiency test items from the whole batch of test material in order to assess the homogeneity of the material. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.4.3.3 | The assessment of homogeneity shall normally be performed after the proficiency test items have been packaged in the final form and before distribution to participants unless, for example, stability studies indicate that they should be stored in bulk form. [🡺NOTE 1, 2] |       |  | [ ]  | [ ]  |       |
| 4.4.3.4 | Proficiency test items shall be demonstrated to be sufficiently stable to ensure that they will not undergo any significant change throughout the conduct of the proficiency testing, including storage and transport conditions. When this is not possible, the stability shall be quantified and considered as an additional component of the measurement uncertainty associated with the assigned value of the proficiency test item, and/or taken into account in the evaluation criteria. |       |  | [ ]  | [ ]  |       |
| 4.4.3.5 | When proficiency test items from previous rounds are retained for future use, the property values to be determined in the proficiency testing scheme shall be confirmed by the proficiency testing provider prior to distribution. |       |  | [ ]  | [ ]  |       |
| 4.4.3.6 | In circumstances where homogeneity and stability testing is not feasible, the proficiency testing provider shall demonstrate that the procedures used to collect, produce, package and distribute the proficiency test items are sufficient for the purpose of the proficiency testing.  |       |  | [ ]  | [ ]  |       |
| **4.4.4** | **Statistical design** | **SA + TA + TA**stat |       |  | [ ]  | [ ]  |       |
| 4.4.4.1 | Statistical designs shall be developed to meet the objectives of the scheme, based on the nature of the data (quantitative or qualitative, including ordinal and categorical), statistical assumptions, the nature of errors, and the expected number of results (see B.3.2.2). [🡺NOTE 1 to 4] |       |  | [ ]  | [ ]  |       |
| 4.4.4.2 | The proficiency testing provider shall document the statistical design and data analysis methods to be used to identify the assigned value and evaluate participant results, and shall provide a description of the reasons for their selection and assumptions upon which they are based. The proficiency testing provider shall be able to demonstrate that statistical assumptions are reasonable and that statistical analyses are carried out in accordance with prescribed procedures. |       |  | [ ]  | [ ]  |       |
| 4.4.4.3 | In designing a statistical analysis, the proficiency testing provider shall give careful consideration to the following: 1. the accuracy (trueness and precision) as well as the measurement uncertainty required or expected for each measurand or characteristic in the proficiency testing;
2. the minimum number of participants in the proficiency testing scheme needed to meet the objectives of the statistical design; in cases where there is an insufficient number of participants to meet these objectives or to produce statistically meaningful analysis of results, the proficiency testing provider shall document, and provide to participants, details of the alternative approaches used to assess participant performance;
3. the relevance of significant figures to the reported result, including the number of decimal places;
4. the number of proficiency test items to be tested or measured and the number of repeat tests, calibrations or measurements to be conducted on each proficiency test item or for each determination;
5. the procedures used to establish the standard deviation for proficiency assessment or other evaluation criteria;
6. procedures to be used to identify or handle outliers, or both;
7. where relevant, the procedures for the evaluation of values excluded from statistical analysis; and
8. where appropriate, the objectives to be met for the design and the frequency of proficiency testing rounds.
 |       |  | [ ]  | [ ]  |       |
| **4.4.5** | **Assigned values** | **TA + TAstat** |       |  | [ ]  | [ ]  |       |
| 4.4.5.1 | The proficiency testing provider shall document the procedure for determining the assigned values for the measurands or characteristics in a particular proficiency testing scheme. This procedure shall take into account the metrological traceability and measurement uncertainty required to demonstrate that the proficiency testing scheme is fit for its purpose. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.4.5.2 | Proficiency testing schemes in the area of calibration shall have assigned values with metrological traceability, including measurement uncertainty. |       |  | [ ]  | [ ]  |       |
| 4.4.5.3 | For proficiency testing schemes in areas other than calibration, the relevance, needs and feasibility for metrological traceability and associated measurement uncertainty of the assigned value shall be determined by taking into account specified requirements of participants or other interested parties, or by the design of the proficiency testing scheme. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.4.5.4 | When a consensus value is used as the assigned value (see Annex B), the proficiency testing provider shall document the reason for that selection and shall estimate the uncertainty of the assigned value as described in the plan for the proficiency testing scheme. |       |  | [ ]  | [ ]  |       |
| 4.4.5.5 | The proficiency testing provider shall have a policy regarding the disclosure of assigned values. The policy shall ensure that participants cannot gain advantage from early disclosure.  |       |  | [ ]  | [ ]  |       |

## 4.5 Choice of method or procedure

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|  | **TA** |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
| No. | OE | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 4.5.1 | Participants shall normally be expected to use the test method, calibration or measurement procedure of their choice, which should be consistent with their routine procedures. The proficiency testing provider may instruct participants to use a specified method in accordance with the design of the proficiency testing scheme. |       |  | [ ]  | [ ]  |       |
| 4.5.2 | Where participants are permitted to use a method of their choice, the proficiency testing provider shall: 1. have a policy and follow a procedure regarding comparison of results obtained by different test or measurement methods;
2. be aware of which different test or measurement methods for any measurand are technically equivalent, and take steps to assess participants' results using these methods accordingly.
 |       |  | [ ]  | [ ]  |       |

## 4.6 Operation of proficiency testing schemes

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|  | **TA** |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| --- |
| Findings / justification of findings / specifics / Notes: |
|  |
| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
| No. | OE | Title / Description | Date / Version |
|  |  |  |  |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| **4.6.1** | **Instructions for participants** |       |  | [ ]  | [ ]  |       |
| 4.6.1.1 | The proficiency testing provider shall give participants sufficient prior notice before sending proficiency test items, providing the date on which the proficiency test items are likely to arrive or to be despatched, unless the design of the proficiency testing scheme makes it inappropriate to do so. |       |  | [ ]  | [ ]  |       |
| 4.6.1.2 | The proficiency testing provider shall give detailed documented instructions to all participants. Instructions to participants shall include: 1. the necessity to treat proficiency test items in the same manner as the majority of routinely tested samples (unless there are particular requirements of the proficiency testing scheme which require departure from this principle);
2. details of factors which could influence the testing or calibration of the proficiency test items, e.g. the nature of the proficiency test items, conditions of storage, whether the proficiency testing scheme is limited to selected test methods, and the timing of the testing or measurement;
3. detailed procedure for preparing or conditioning, or both preparing and conditioning, of the proficiency test items before conducting the tests or calibrations;
4. any appropriate instructions on handling the proficiency test items, including any safety requirements;
5. any specific environmental conditions for the participant to conduct tests or calibrations, or both, and, if relevant, any requirement for the participants to report relevant environmental conditions during the time of the measurement;
6. specific and detailed instructions on the manner of recording and reporting test or measurement results and associated uncertainties. If the instructions include reporting of the uncertainty of the reported result or measurement, this shall include the coverage factor and, whenever practicable, the coverage probability;

[🡺NOTE]1. the latest date for the provider to receive the proficiency testing or measurement results for analysis;
2. information on the contact details of the proficiency testing provider for enquiries; and
3. instructions on return of the proficiency test items, when applicable.
 |       |  | [ ]  | [ ]  |       |
| **4.6.2** | **Proficiency test items handling and storage** |       |  | [ ]  | [ ]  |       |
| 4.6.2.1 | The proficiency testing provider shall ensure that proficiency test items are appropriately identified and segregated and cannot become contaminated or degraded, from the time of preparation to their distribution to participants. |       |  | [ ]  | [ ]  |       |
| 4.6.2.2 | The proficiency testing provider shall provide secure storage areas or stock rooms, or both, which prevent damage or deterioration of any proficiency test item between preparation and distribution. Appropriate procedures for authorizing despatch to, and receipt from, such areas shall be defined. |       |  | [ ]  | [ ]  |       |
| 4.6.2.3 | When appropriate, the condition of stored or stocked proficiency test items, chemicals and materials shall be assessed at specified intervals during their storage life in order to detect possible deterioration. |       |  | [ ]  | [ ]  |       |
| 4.6.2.4 | Where potentially hazardous proficiency test items, chemicals and materials are used, facilities shall be available to ensure their safe handling, decontamination and disposal.  |       |  | [ ]  | [ ]  |       |
| **4.6.3** | **Packaging, labelling and distribution of proficiency test items** |       |  | [ ]  | [ ]  |       |
| 4.6.3.1 | The proficiency testing provider shall control packaging and labelling processes to the extent necessary to ensure conformity with relevant national, regional, or international safety and transport requirements. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.6.3.2 | The proficiency testing provider shall specify relevant environmental conditions for the transport of proficiency test items. Where relevant, the proficiency testing provider shall monitor the pertinent environmental conditions of the proficiency test item during transport and assess the impact of environmental influences on the proficiency test item. |       |  | [ ]  | [ ]  |       |
| 4.6.3.3 | In proficiency testing schemes where participants are required to transport the proficiency test items to other participants, documented instructions for this transport shall be supplied. |       |  | [ ]  | [ ]  |       |
| 4.6.3.4 | The proficiency testing provider shall ensure that labels are securely attached to the packaging of individual proficiency test items and are designed to remain legible and intact throughout the proficiency testing round. |       |  | [ ]  | [ ]  |       |
| 4.6.3.5 | The proficiency testing provider shall follow a procedure to enable the confirmation of delivery of the proficiency test items. [🡺NOTE]  |       |  | [ ]  | [ ]  |       |

## 4.7 Data analysis and evaluation of proficiency testing scheme results

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
| No. | OE | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| **4.7.1** | **Data analysis and records** |       |  | [ ]  | [ ]  |       |
| 4.7.1.1 | All data processing equipment and software shall be validated in accordance with procedures before being brought into use. Computer system maintenance shall include a back-up process and system recovery plan. The results of such maintenance and operational checks shall be recorded.  |       |  | [ ]  | [ ]  |       |
| 4.7.1.2 | Results received from participants shall be recorded and analysed by appropriate methods. Procedures shall be established and implemented to check the validity of data entry, data transfer, statistical analysis, and reporting.  |       |  | [ ]  | [ ]  |       |
| 4.7.1.3 | Data analysis shall generate summary statistics and performance statistics, and associated information consistent with the statistical design of the proficiency testing scheme.  |       |  | [ ]  | [ ]  |       |
| 4.7.1.4 | The influence of outliers on summary statistics shall be minimized by the use of robust statistical methods or appropriate tests to detect statistical outliers.  |       |  | [ ]  | [ ]  |       |
| 4.7.1.5 | The proficiency testing provider shall have documented criteria and procedures for dealing with test results that may be inappropriate for statistical evaluation, e.g. miscalculations, transpositions and other gross errors. |       |  | [ ]  | [ ]  |       |
| 4.7.1.6 | The proficiency testing provider shall have documented criteria and procedures to identify and manage proficiency test items that have been distributed and are subsequently found to be unsuitable for performance evaluation, e.g. because of inhomogeneity, instability, damage or contamination.  |       |  | [ ]  | [ ]  |       |
| **4.7.2** | **Evaluation of performance** |       |  | [ ]  | [ ]  |       |
| 4.7.2.1 | The proficiency testing provider shall use valid methods of evaluation which meet the purpose of the proficiency testing scheme. The methods shall be documented and include a description of the basis for the evaluation. The evaluation of performance shall not be subcontracted (see 5.5.2).  |       |  | [ ]  | [ ]  |       |
| 4.7.2.2 | Where appropriate for the purpose of the proficiency testing scheme, the proficiency testing provider shall provide expert commentary on the performance of participants with regard to the following: 1. overall performance against prior expectations, taking measurement uncertainties into account;
2. variation within and between participants, and comparisons with any previous proficiency testing rounds, similar proficiency testing schemes, or published precision data;
3. variation between methods or procedures;
4. possible sources of error (with reference to outliers) and suggestions for improving performance;
5. advice and educational feedback to participants as part of the continual improvement procedures of participants;
6. situations where unusual factors make evaluation of results and commentary on performance impossible;
7. any other suggestions, recommendations or general comments; and
8. conclusions.

[🡺NOTE] |       |  | [ ]  | [ ]  |       |

## 4.8 Reports

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| 4.8.1 | Proficiency test reports shall be clear and comprehensive and include data covering the results of all participants, together with an indication of the performance of individual participants. The authorization of the final report shall not be subcontracted (see 5.5.2). [🡺NOTE]  |       |  | [ ]  | [ ]  |       |
| 4.8.2 | Reports shall include the following, unless it is not applicable or the proficiency testing provider has valid reasons for not doing so: 1. the name and contact details for the proficiency testing provider;
2. the name and contact details for the coordinator;
3. the name(s), function(s), and signature(s) or equivalent identification of person(s) authorizing the report;
4. an indication of which activities are subcontracted by the proficiency testing provider;
5. the date of issue and status (e.g. preliminary, interim, or final) of the report;
6. page numbers and a clear indication of the end of the report;
7. a statement of the extent to which results are confidential;
8. the report number and clear identification of the proficiency testing scheme;
9. a clear description of the proficiency test items used, including necessary details of the proficiency test item's preparation and homogeneity and stability assessment;
10. the participants' results;
11. statistical data and summaries, including assigned values and range of acceptable results and graphical displays;
12. procedures used to establish any assigned value;
13. details of the metrological traceability and measurement uncertainty of any assigned value;
14. procedures used to establish the standard deviation for proficiency assessment, or other criteria for evaluation;
15. assigned values and summary statistics for test methods/procedures used by each group of participants (if different methods are used by different groups of participants);
16. comments on participants' performance by the proficiency testing provider and technical advisers;
17. information about the design and implementation of the proficiency testing scheme;
18. procedures used to statistically analyse the data;
19. advice on the interpretation of the statistical analysis; and
20. comments or recommendations, based on the outcomes of the proficiency testing round.

[🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.8.3 | Reports shall be made available to participants within planned timescales. In sequential proficiency testing schemes, e.g. where the turn-around time may be very long, and in schemes involving perishable materials, preliminary or anticipated results may be provided before final results are disclosed. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.8.4 | The proficiency testing provider shall have a policy for the use of reports by individuals and organizations. |       |  | [ ]  | [ ]  |       |
| 4.8.5 | When it is necessary to issue a new or amended report for a proficiency testing scheme, this shall include the following: 1. a unique identification;
2. a reference to the original report that it replaces or amends; and
3. a statement concerning the reason for the amendment or reissue.
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## 4.9 Communication with participants

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| 4.9.1 | The proficiency testing provider shall make detailed information available about the proficiency testing scheme. This shall include: 1. relevant details of the scope of the proficiency testing scheme;
2. any fees for participation;
3. documented eligibility criteria for participation;
4. confidentiality arrangements; and
5. details of how to apply.
 |       |  | [ ]  | [ ]  |       |
| 4.9.2 | Participants shall be advised promptly by the proficiency testing provider of any changes in proficiency testing scheme design or operation. |       |  | [ ]  | [ ]  |       |
| 4.9.3 | There shall be documented procedures for enabling participants to appeal against the evaluation of their performance in a proficiency testing scheme. The availability of this process shall be communicated to proficiency testing scheme participants. |       |  | [ ]  | [ ]  |       |
| 4.9.4 | Relevant records of communications with participants shall be maintained and retained, as appropriate. |       |  | [ ]  | [ ]  |       |
| 4.9.5 | If the proficiency testing provider issues statements of participation or performance, they shall contain sufficient information to not be misleading. |       |  | [ ]  | [ ]  |       |

## 4.10 Confidentiality

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| 4.10.1 | The identity of participants in a proficiency testing scheme shall be confidential and known only to persons involved in the operation of the proficiency testing scheme, unless the participant waives confidentiality. |       |  | [ ]  | [ ]  |       |
| 4.10.2 | All information supplied by a participant to the proficiency testing provider shall be treated as confidential. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 4.10.3 | When an interested party requires the proficiency testing results to be directly provided by the proficiency testing provider, the participants shall be made aware of the arrangement in advance of participation. |       |  | [ ]  | [ ]  |       |
| 4.10.4 | In exceptional circumstances, when a regulatory authority requires proficiency testing results to be directly provided to the authority by the proficiency testing provider, the affected participants shall be notified of this action in writing.  |       |  | [ ]  | [ ]  |       |

# 5 Management requirements

## 5.1 Organization

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| 5.1.1 | The proficiency testing provider, or the organization of which it is part, shall be an entity that is legally identifiable and accountable. |       |  | [ ]  | [ ]  |       |
| 5.1.2 | It is the responsibility of the proficiency testing provider to carry out its proficiency testing operations in such a way as to meet the requirements of this International Standard and to satisfy the needs of the participants, regulatory authorities and organizations providing recognition. |       |  | [ ]  | [ ]  |       |
| 5.1.3 | The management system shall cover work carried out in the proficiency testing provider's permanent facilities, at sites away from its permanent facilities, and in associated temporary facilities. |       |  | [ ]  | [ ]  |       |
| 5.1.4 | If the proficiency testing provider is part of an organization performing other activities, then the proficiency testing provider shall identify the responsibilities of key personnel in the organization that have an involvement in or could have influence on the proficiency test activities, in order to identify potential conflicts of interest. Where potential conflicts of interest are identified, procedures shall be put in place to ensure that all activities of the proficiency testing provider are conducted with impartiality. |       |  | [ ]  | [ ]  |       |
| 5.1.5 | The proficiency testing provider shall: 1. have managerial and technical personnel who, irrespective of other responsibilities, have the authority and resources needed to carry out their duties, including the implementation, maintenance and improvement of the management system, and to identify the occurrence of departures from the management system or from the procedures for providing proficiency testing schemes, and to initiate actions to prevent or minimize such departures;
2. have arrangements to ensure that its management and personnel are free from any undue internal or external commercial, financial and other pressures that may adversely affect the quality of their work;
3. have policies and procedures to ensure the protection of its participants' confidential information and proprietary rights, including procedures for their protection during electronic storage and transmission;
4. have policies and procedures to avoid involvement in any activities that might diminish confidence in its competence, impartiality, judgement or operational integrity;
5. define the organization and management structure, its place in any parent organization, and the relationships between quality management, technical operations and support services;
6. specify the responsibility, authority, interrelationships and required competence of all personnel who manage, perform or verify work affecting the quality of the operation of proficiency testing schemes;
7. ensure that the personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the objectives of the management system;
8. provide adequate supervision of technical staff, including trainees, by persons familiar with procedures for each activity;
9. have technical management which has overall responsibility for the technical operations and the provision of the resources needed to ensure the required quality of proficiency testing schemes, including access to the necessary technical expertise and experience in the relevant field of testing, calibration or inspection, as well as statistics, as indicated in 4.4.1.4;
10. appoint a member of staff as quality manager (named as appropriate) who, irrespective of other duties and responsibilities, shall have defined responsibility and authority for ensuring that the management system is implemented and followed at all times; the quality manager shall have direct access to the highest level of management at which decisions are taken on the proficiency testing provider's policies or resources; and
11. appoint deputies for key managerial personnel.

[🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 5.1.6 | Top management shall ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the management system.  |       |  | [ ]  | [ ]  |       |

## 5.2 Management system

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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| 5.2.1 | The proficiency testing provider shall establish, implement and maintain a management system appropriate to its scope of activities, including the type, range and volume of proficiency testing that it provides. |       |  | [ ]  | [ ]  |       |
| 5.2.2 | The proficiency testing provider shall define and document its policies, programmes, procedures and instructions to the extent necessary to assure the quality of all aspects of proficiency testing. The system's documentation shall be communicated to, understood by, available to, and implemented by the appropriate personnel. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 5.2.3 | The proficiency testing provider's management system policies related to quality, including a quality policy statement, shall be defined in a quality manual (named as appropriate). The overall objectives shall be established and reviewed during management review. The quality policy statement shall be issued under the authority of top management. It shall include at least the following: 1. the management's commitment to the quality of its proficiency testing services to participants and other customers;
2. the management's statement of the standard of service;
3. the purpose of the management system related to quality;
4. a requirement that all personnel concerned with the proficiency testing activities familiarize themselves with the quality documentation and implement the policies and procedures in their work; and
5. the management's commitment to comply with this International Standard and to continually improve the effectiveness of the management system.
 |       |  | [ ]  | [ ]  |       |
| 5.2.4 | Top management shall provide evidence of commitment to the development and implementation of the management system and to continually improving its effectiveness. |       |  | [ ]  | [ ]  |       |
| 5.2.5 | Top management shall communicate to the organization the importance of meeting customer requirements, as well as statutory and regulatory requirements. |       |  | [ ]  | [ ]  |       |
| 5.2.6 | The quality manual shall include or make reference to the supporting procedures, including technical procedures. It shall outline the structure of the documentation used in the management system. |       |  | [ ]  | [ ]  |       |
| 5.2.7 | The roles and responsibilities of technical management and the quality manager, including their responsibility for ensuring compliance with this International Standard, shall be defined in the quality manual. |       |  | [ ]  | [ ]  |       |
| 5.2.8 | Top management shall ensure that the integrity of the management system is maintained when changes to the management system are planned and implemented.  |       |  | [ ]  | [ ]  |       |

## 5.3 Document control

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **5.3.1** | **General** |       |  | [ ]  | [ ]  |       |
|  | The proficiency testing provider shall establish and maintain procedures to control all documents that form part of its management system (internally generated, or from external sources), such as regulations, standards, other normative documents, proficiency testing scheme protocols, test or calibration methods, or both test and calibration methods, as well as drawings, software specifications, instructions and manuals. |       |  | [ ]  | [ ]  |       |
| **5.3.2** | **Document approval and issue** |       |  | [ ]  | [ ]  |       |
| 5.3.2.1 | All documents issued as part of the management system shall be reviewed and approved for use by authorized personnel prior to issue. A master list or equivalent document control procedure identifying the current revision status and distribution of documents in the management system shall be established and be readily available, in order to prevent the use of invalid or obsolete documents, or both. |       |  | [ ]  | [ ]  |       |
| 5.3.2.2 | The procedures adopted shall also ensure that: 1. authorized editions of appropriate documents are available at all locations where activities essential to the effective operation of proficiency testing schemes are performed;
2. documents are periodically reviewed and updated, as necessary, to ensure continuing suitability and compliance with applicable requirements;
3. invalid or obsolete documents are promptly removed from all points of issue or use, or otherwise assured against unintended use; and
4. obsolete documents retained for either legal or knowledge preservation purposes are suitably marked.
 |       |  | [ ]  | [ ]  |       |
| 5.3.2.3 | Management system documents generated by the proficiency testing provider shall be uniquely identified. Such identification shall include the date of issue or revision identification, or both, page numbering, the total number of pages or a mark to signify the end of a document, and the issuing authority/authorities. |       |  | [ ]  | [ ]  |       |
| **5.3.3** | **Document changes** |       |  | [ ]  | [ ]  |       |
| 5.3.3.1 | Changes to documents shall be reviewed and approved by the same function that performed the original review and approval, unless specifically designated otherwise. The designated personnel shall have access to pertinent background information upon which to base their review and approval. |       |  | [ ]  | [ ]  |       |
| 5.3.3.2 | Where practicable, the altered or new text shall be identified in the document or the appropriate attachments. |       |  | [ ]  | [ ]  |       |
| 5.3.3.3 | If the proficiency testing provider's document control system allows for the amendment of documents by hand, pending re-issue of the documents, the procedures and authorities for such amendments shall be defined. Amendments shall be clearly marked, initialled and dated. A revised document shall be issued as soon as practicable. |       |  | [ ]  | [ ]  |       |
| 5.3.3.4 | Procedures shall be established to describe how changes in documents maintained in computerized systems are made and controlled.  |       |  | [ ]  | [ ]  |       |

## 5.4 Review of requests, tenders and contracts

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD during the assessment:** |
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| 5.4.1 | The proficiency testing provider shall establish and maintain policies and procedures for the review of requests, tenders and contracts. These reviews shall ensure that: 1. the requirements, including those for test and calibration methods, measuring equipment and proficiency test items to be used, are adequately defined, documented and understood;
2. the proficiency testing provider has the capability and resources to meet the requirements; and
3. the proficiency testing scheme is technically appropriate.

[🡺NOTE 1, 2] |       |  | [ ]  | [ ]  |       |
| 5.4.2 | Records of such reviews, including any changes, shall be maintained. Records shall also be maintained of pertinent discussions with a customer relating to the customer's requirements, or the results of the work during the period of execution of the contract, or both. |       |  | [ ]  | [ ]  |       |
| 5.4.3 | The review shall cover all aspects of the request, including any work that is subcontracted by the proficiency testing provider. |       |  | [ ]  | [ ]  |       |
| 5.4.4 | The participants and other customers, as appropriate, shall be informed of any deviation in the contract or agreed proficiency testing scheme design. |       |  | [ ]  | [ ]  |       |
| 5.4.5 | If a request or contract is amended after the proficiency testing scheme is underway, the same review process shall be repeated and any amendments shall be communicated to all affected personnel.  |       |  | [ ]  | [ ]  |       |

## 5.5 Subcontracting services

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| 5.5.1 | When a proficiency testing provider subcontracts work, the proficiency testing provider shall demonstrate that the subcontractors' experience and technical competence are sufficient for their assigned tasks and that they comply with the relevant clauses of this International Standard and other appropriate standards. |       |  | [ ]  | [ ]  |       |
| 5.5.2 | The proficiency testing provider shall not subcontract the planning of the proficiency test scheme (see 4.4.1.2), the evaluation of performance (see 4.7.2.1) or the authorization of the final report (see 4.8.1). [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 5.5.3 | The proficiency testing provider shall inform participants, in advance and in writing, of services that are, or may be, subcontracted. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 5.5.4 | The proficiency testing provider shall be responsible to the participants and other customers for the subcontractor's work, except in the case where a regulatory authority specifies which subcontractor is to be used. |       |  | [ ]  | [ ]  |       |
| 5.5.5 | The proficiency testing provider shall maintain a register of all subcontractors used in the operation of proficiency testing schemes, including the scope of subcontracting and a record of the competence assessment against relevant parts of this International Standard and other appropriate standards for the work in question.  |       |  | [ ]  | [ ]  |       |

## 5.6 Purchasing services and supplies

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|  | **SA** |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
| No. | OE | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 5.6.1 | The proficiency testing provider shall have a policy and procedure(s) for the selection of services and supplies that it uses and that affect the quality of its proficiency testing schemes. Procedures shall exist for the purchase, reception and storage of reagents, proficiency test items, reference materials and other consumable materials relevant for the proficiency testing schemes. |       |  | [ ]  | [ ]  |       |
| 5.6.2 | The proficiency testing provider shall ensure that purchased supplies, equipment and consumable materials that affect the quality of proficiency testing schemes are not used until they have been inspected or otherwise verified as complying with specifications or requirements. Records of actions taken to check compliance shall be maintained. |       |  | [ ]  | [ ]  |       |
| 5.6.3 | Purchasing documents for items affecting the quality of proficiency testing schemes shall contain data describing the services and supplies ordered. These purchasing documents shall be reviewed and approved for technical content prior to release. |       |  | [ ]  | [ ]  |       |
| 5.6.4 | The proficiency testing provider shall evaluate suppliers of critical supplies and services which affect the quality of proficiency testing schemes. The proficiency testing provider shall maintain records of these evaluations, and list those suppliers that are approved. [🡺NOTE]  |       |  | [ ]  | [ ]  |       |

## 5.7 Service to the customer

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 5.7.1 | The proficiency testing provider shall be willing to cooperate with participants and other customers in clarifying customers' requests and in monitoring the proficiency testing provider's performance in relation to the work performed, provided that the proficiency testing provider assures confidentiality to its participants. |       |  | [ ]  | [ ]  |       |
| 5.7.2 | The proficiency testing provider shall seek feedback, both positive and negative, from its customers. The feedback shall be used and analysed to improve the management system, proficiency testing schemes, and customer service. [🡺NOTE] |       |  | [ ]  | [ ]  |       |

## 5.8 Complaints and appeals

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|  | **SA** |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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|  | The proficiency testing provider shall have a policy and follow a procedure for the resolution of complaints and appeals received from participants, customers or other parties. Records shall be maintained of all complaints, appeals, investigations and corrective actions taken by the proficiency testing provider.  |       |  | [ ]  | [ ]  |       |

## 5.9 Control of nonconforming work

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|  | **SA + TA** |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 5.9.1 | The proficiency testing provider shall have a policy and procedure(s) that shall be implemented when any aspect of its activities does not conform to its own procedures or the agreed requirements of its customers. The policy and procedure(s) shall ensure that: 1. the responsibilities and authorities for the management of nonconforming work are designated and actions (including halting work of ongoing programmes and withholding reports, as necessary) are defined and taken when nonconforming work is identified;
2. an evaluation of the significance of the nonconforming work is made;
3. a decision on the need for action and timescale is taken immediately, together with any decision about the acceptability of the nonconforming work;
4. proficiency testing scheme participants and other customers, as appropriate, are informed and the nonconforming proficiency test items or reports already sent to participants are recalled or disregarded; and
5. the responsibility for authorization of the resumption of work is defined.

[🡺NOTE]  |       |  | [ ]  | [ ]  |       |
| 5.9.2 | Where the evaluation indicates that nonconforming work could recur or that there is doubt about the compliance of the proficiency testing provider or subcontractor with their own policies and procedures, the corrective action procedure in 5.11 shall be promptly followed.  |       |  | [ ]  | [ ]  |       |

## 5.10 Improvement

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|  | **SA** |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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|  | The proficiency testing provider shall continually improve the effectiveness of its management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review.  |       |  | [ ]  | [ ]  |       |

## 5.11 Corrective actions

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|  | **SA + TA** |       | [ ]  | [ ]  | [ ]  |       |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| **5.11.1** | **General**The proficiency testing provider shall establish a policy and procedure(s) and shall designate appropriate personnel for implementing corrective actions when nonconforming work or departures from the policies and procedures in the management system or technical operations have been identified. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| **5.11.2** | **Cause analysis**The procedure for corrective action shall start with an investigation to determine the root cause(s) of the problem. [🡺NOTE]  |       |  | [ ]  | [ ]  |       |
| **5.11.3** | **Selection and implementation of corrective actions** |       |  | [ ]  | [ ]  |       |
| 5.11.3.1 | Where corrective action is needed, the proficiency testing provider shall identify potential corrective actions. It shall select and implement the action(s) most likely to eliminate the problem and to prevent recurrence. |       |  | [ ]  | [ ]  |       |
| 5.11.3.2 | Corrective actions shall be appropriate to the magnitude and risk of the problem. |       |  | [ ]  | [ ]  |       |
| 5.11.3.3 | The proficiency testing provider shall document and implement any required changes resulting from corrective action investigations.  |       |  | [ ]  | [ ]  |       |
| **5.11.4** | **Monitoring of corrective actions**The proficiency testing provider shall monitor the results to ensure that the corrective actions taken have been effective.  |       |  | [ ]  | [ ]  |       |
| **5.11.5** | **Additional audits**Where the identification of nonconforming activities or departures from authorized procedures cast doubts on the compliance of the proficiency testing provider with its own policies and procedures, or on its compliance with this International Standard, the proficiency testing provider shall ensure that the appropriate areas of activity are audited in accordance with 5.14 as soon as possible. [🡺NOTE] |       |  | [ ]  | [ ]  |       |

## 5.12 Preventive actions

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 5.12.1 | Areas for improvements and potential sources of nonconforming work, either technical or concerning the management system, shall be identified. When improvement opportunities are identified, or if preventive action is required, action plans shall be developed, implemented and monitored, to reduce the likelihood of such nonconforming work and to take advantage of the opportunities for improvement.  |       |  | [ ]  | [ ]  |       |
| 5.12.2 | Any procedure for preventive action shall include the initiation of such actions and application of controls to ensure that they are effective.  |       |  | [ ]  | [ ]  |       |

## 5.13 Control of records

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| **5.13.1** | **General** |       |  | [ ]  | [ ]  |       |
| 5.13.1.1 | The proficiency testing provider shall establish and maintain procedures for identification, collection, indexing, access, filing, storage, maintenance and disposal of records. Quality records shall include reports from internal audits and management reviews, as well as records of corrective and preventive actions. |       |  | [ ]  | [ ]  |       |
| 5.13.1.2 | All records shall be legible and shall be stored and retained in such a way that they are readily retrievable in facilities that provide a suitable environment to prevent damage or deterioration and to prevent loss. Retention times of records shall be established. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 5.13.1.3 | All records shall be kept secure and confidential, and in accordance with relevant regulatory requirements. |       |  | [ ]  | [ ]  |       |
| 5.13.1.4 | The proficiency testing provider shall follow procedures to protect and back-up records stored electronically and to prevent unauthorized access or amendment of these records. |       |  | [ ]  | [ ]  |       |
| **5.13.2** | **Technical records** |       |  | [ ]  | [ ]  |       |
| 5.13.2.1 | The proficiency testing provider shall retain records of all technical data relating to each proficiency testing round for a defined period, including, but not necessarily limited to: 1. results of homogeneity and stability testing;
2. instructions to participants;
3. participants' original responses;
4. collated data for statistical analysis;
5. information required for reports (see 4.8); and
6. final reports (summary or individual, or both).

[🡺NOTE 1, 2] |       |  | [ ]  | [ ]  |       |
| 5.13.2.2 | Data entry, checking and calculations shall be recorded at the time they are made and shall be identifiable to the specific task and to the personnel responsible. |       |  | [ ]  | [ ]  |       |
| 5.13.2.3 | When mistakes occur in records and alterations are made, actions shall be taken to: 1. identify the change and date of alteration;
2. avoid loss of original data; and
3. identify the person making the alteration.
 |       |  | [ ]  | [ ]  |       |

## 5.14 Internal audits

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
| No. | OE | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 5.14.1 | The proficiency testing provider shall conduct internal audits of its activities periodically, and in accordance with a predetermined schedule and procedure, in order to verify that its operations continue to comply with the requirements of the management system and this International Standard. The internal audit programme shall address all elements of the management system, including the technical procedures and proficiency test item preparation, storage and distribution, as well as reporting activities for the operation of a proficiency testing scheme. It is the responsibility of the quality manager to plan and organize audits as required by the schedule and requested by management. Internal audits shall be carried out by trained and qualified personnel who are, wherever resources permit, independent of the activity to be audited. [🡺NOTE] |       |  | [ ]  | [ ]  |       |
| 5.14.2 | When audit findings cast doubt upon the effectiveness of the operations, including the suitability and correctness of proficiency test items, procedures, statistical evaluations and data presentation, the proficiency testing provider shall take timely corrective action and shall notify its customers or participants, or both, in proficiency testing schemes whose activities may have been affected. |       |  | [ ]  | [ ]  |       |
| 5.14.3 | The area of audited activity, the audit findings and any corrective actions that arise from them shall be recorded. |       |  | [ ]  | [ ]  |       |
| 5.14.4 | Follow-up audit activities shall verify and record the implementation and effectiveness of any corrective actions taken.  |       |  | [ ]  | [ ]  |       |

## 5.15 Management reviews

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| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |  |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| 5.15.1 | In accordance with a pre-determined schedule and procedure, the proficiency testing provider's top management shall periodically conduct a review of the proficiency testing provider's management system and proficiency testing activities, in order to ensure their continued suitability and effectiveness and to introduce any necessary changes or improvements. The review shall take account of: 1. the suitability of policies and procedures;
2. reports from management and supervisory personnel;
3. the outcome of recent internal audits;
4. corrective and preventive actions;
5. assessments by external bodies;
6. changes in the volume and type of work;
7. customer, advisory group or participant feedback;
8. complaints and appeals;
9. recommendations for improvement; and
10. other relevant factors, such as resources and staff training.

[🡺NOTE 1 to 4] |       |  | [ ]  | [ ]  |       |
| 5.15.2 | Findings from management reviews, and the actions that arise from them, shall be recorded. The management shall ensure that those actions are discharged within an appropriate and agreed timescale. |       |  | [x]  | [ ]  |       |

# Further issues of the assessment

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| **Additional requirements** | **Responsible** | **Reference documents** | **Appraisal** | **No. of** |
|  |  | **for the implementation** | **1** | **2** | **3** | **NC** |
| * **Use of the accreditation symbol /References to the accreditation**
 | **SA** (If no SA used: LA) |       | [ ]  | [ ]  | [ ]  |       |
| Compliance with the rule 71 SD 0 011 on the use of the accreditation symbol in proficiency testing reports, business letters, offers, letterhead, website, other documents and advertising media as well as on other cross references to the accreditation **(Not applicable for the assessment for initial accreditation)** |
| **Result of review of documents and records:** | [ ]  | [ ]  | [ ]  |       |

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| Findings / justification of findings / specifics / Notes: |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / Notes: |
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| * Fulfilment of imposed conditions and implementation of the corrective actions from the previous assessment
 | **SA + TA** |  |
| [ ]  Yes | [ ]  No | [ ]  Not applicable |

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| Remarks: |

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| **The specific requirements of the applicable rules of ILAC and EA were considered during the assessment.** |

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| **Preliminary assessment of documents and records completed on:** |       |

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| **No. of non-conformities:** | Non critical: |  | Critical: |  |

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| **Reductions of the scope of accreditation (indication of proficiency testing schemes):**  |

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| **Summary, remarks and improvement potential** |
| Existing accreditations, certifications, notifications, approvals and recognitions • competence of personnel and appropriateness of environmental conditions, equipment • meeting additional requirements • Which activities are organised by the PT provider, which activities are subcontracted • competence of the PT provider and subcontractor • competence to perform proficiency tests • How is made sure that there is access to technical knowledge concerning the PT test items (advisory board)? • overall impression with the focus on particularities, strengths and weaknesses of the PT provider with regard to the suitability or efficiency of the management system including improvement potential • final evaluation • key aspects/considerations for the following assessment, if applicable |

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| **Recommendation on accreditation:**[[6]](#endnote-6)), [[7]](#endnote-7)) | [ ]  **Yes** | [ ]  **No**  |
| Place: |       | Date: |       | Signed *Assessor Name:* |  [[8]](#endnote-8) |

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| **Report reviewed by the case manager:** |  |
| Place: |       | Date: |       | Signed *Case manager:* |  |

Note: The assessor does not confirm the complete correctness of the reference documents of the conformity assessment body.

\* Grading of fulfilment of the requirements of a section of the standard to be entered by the assessor:

1 **No** non-conformity

2 **Non critical** non-conformity

3 **Critical** non-conformity

\*\* NC = Non-conformity

1. Under assessment type, the assessment technique is to be indicated, whereby several assessment types can be used in the context of an assessment. Please select the applicable element or combination of elements from the following options to indicate the type of assessment:

On-site assessment / Remote assessment / Witness audit (on-site) / Witness audit (remote) / Witness examination / Document review / Other assessment activity (please specify if necessary) [↑](#endnote-ref-1)
2. Status in the assessment team: LA=Lead Assessor; SA=System Assessor; TA=Technical Assessor;
TAstat=Technical Assessor for Statistics; TE=Technical expert; O=Observer [↑](#endnote-ref-2)
3. Only if the review of documents and records reveals that an assessment cannot be performed, the assessor prepares
a separate partial assessment report/checklist for the review of documents and records according to this form. [↑](#endnote-ref-3)
4. As an alternative to entering the OE/RD here, the separate form provided for this purpose can be used. [↑](#endnote-ref-4)
5. “Objective evidence” are to be distinguished from „Reviewed documents“ by marking with a cross „x“. [↑](#endnote-ref-5)
6. In the closing meeting the laboratory was informed about the preliminary result of the assessment, non-conformity reports were handed over, if applicable. [↑](#endnote-ref-6)
7. Subject to a sufficient correction of non-conformities [↑](#endnote-ref-7)
8. This report was prepared personally by on . [↑](#endnote-ref-8)