

**AF 14 (for HOKLAS 022:2017)**  
**HOKLAS ASSESSMENT REPORT (REFERENCE MATERIAL PRODUCER)**

**This report is prepared by the assessment team and is addressed to the authorised representative of the Reference Material Producer**

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*A declaration has been signed by individual members of the assessment team that they shall comply with HKAS regulations stipulated in HKAS 002, including those relating to confidentiality and independence from commercial or other interests, and shall not disclose to a third party any information provided by the laboratory in relation to its accreditation or obtained during or in connection with this assessment.*

*Assessment is a sampling exercise and findings given in this report relate only to those areas examined during the assessment.*

This assessment report is subject to review by HKAS Executive and

any amendment will be issued within 10 working days following the assessment.

an outcome letter to supersede *this assessment report/ the part of this report in relation to the extension of scope of accreditation to a new test category<sup>#</sup>* will be issued.

Name of RM Producer : \_\_\_\_\_

Site Address : \_\_\_\_\_

This assessment was conducted on \_\_\_\_\_ for the

initial assessment /  reassessment /  extension of accreditation /  surveillance visit of the RM Producer

and  assessment for adopting / maintaining<sup>#</sup> monitoring Plan B / C<sup>#</sup>.

Assessment case ID(s) : \_\_\_\_\_

<sup>#</sup> *please delete where appropriate*

## **CONTENTS**

- A. AF14 – HOKLAS Assessment Report (Reference Material Producer)
- B. Appendix I – Scope of Activities Covered
- C. Appendix II – List of Approved Personnel Recommended for Approval
- D. Appendix III – List of Proficiency Testing Activities
- E. Appendix IV – List of Subcontractors Assessed On-site
- F. \_\_\_\_\_ pages of AF01 – HOKLAS Observation and Action Record Form
- G. \_\_\_\_\_ pages of AF13 – HOKLAS Signatories Assessment Form (Reference Material Producer)
- H. \_\_\_\_\_ pages of AF17 – HOKLAS Monitoring Plan B/C Assessment Form

## **NAMES AND SIGNATURES OF ASSESSMENT TEAM MEMBERS**

|               |       |                        |       |
|---------------|-------|------------------------|-------|
| Team Leader : | _____ | Date(s) of Assessment: | _____ |
| Member :      | _____ | Date(s) of Assessment: | _____ |
| Member :      | _____ | Date(s) of Assessment: | _____ |
| Member :      | _____ | Date(s) of Assessment: | _____ |
| Member :      | _____ | Date(s) of Assessment: | _____ |
| Member :      | _____ | Date(s) of Assessment: | _____ |

## 1. ASSESSMENT RESULTS

### 1.1 Overall findings

The documented management system is in general  appropriate /  inappropriate in assuring the quality of activities covered in this assessment. Implementation of the system is in general  effective /  ineffective.

*Summary of assessment findings on General, Structural and Management System Requirements:*

*Summary of assessment findings on Resource, Technical and Production Requirements:*

Supervision is in general  adequate /  inadequate in the aspects detailed in AF01.

Corrective actions are in general  effective in addressing root causes of nonconformities /  ineffective in the aspects detailed in AF01.

Measures to uphold the impartiality and integrity of the organisation are in general  effective /  ineffective in the aspects detailed in AF01.

A summary of findings against the accreditation requirements is given in Section 1.2.

Other comments :

*The assessment team is grateful to the management and staff for their cooperation and hospitality during the assessment.*

**1. ASSESSMENT RESULTS (Continued)**

**1.2 Areas where critical /significant nonconformities with HOKLAS criteria were identified (as marked with "X")**

***General Requirements (HOKLAS 022:2017, Section 4)***

- |                          |                                   |                          |                            |
|--------------------------|-----------------------------------|--------------------------|----------------------------|
| <input type="checkbox"/> | Contractual matters (Section 4.1) | <input type="checkbox"/> | Impartiality (Section 4.2) |
| <input type="checkbox"/> | Confidentiality (Section 4.3)     |                          |                            |

***Structural Requirements (HOKLAS 022:2017, Section 5)***

***Resource Requirements (HOKLAS 022:2017, Section 6)***

- |                          |                              |                          |   |
|--------------------------|------------------------------|--------------------------|---|
| <input type="checkbox"/> | Personnel (Section 6.1)      | <input type="checkbox"/> | Provision of equipment, services and supplies (Section 6.3) |
| <input type="checkbox"/> | Subcontracting (Section 6.2) | <input type="checkbox"/> | Facilities and environmental conditions (Section 6.4)       |

***Technical and Production Requirements (HOKLAS 022:2017, Section 7)***

- |                          |  |
|--------------------------|--|
| <input type="checkbox"/> | General requirements (Section 7.1)                                   |
| <input type="checkbox"/> | Production planning (Section 7.2)                                    |
| <input type="checkbox"/> | Production control (Section 7.3)                                     |
| <input type="checkbox"/> | Material handling and storage (Section 7.4)                          |
| <input type="checkbox"/> | Material processing (Section 7.5)                                    |
| <input type="checkbox"/> | Measurement procedures (Section 7.6)                                 |
| <input type="checkbox"/> | Measuring equipment (Section 7.7)                                    |
| <input type="checkbox"/> | Data integrity and evaluation (Section 7.8)                          |
| <input type="checkbox"/> | Metrological traceability of certified values (Section 7.9)          |
| <input type="checkbox"/> | Assessment of homogeneity (Section 7.10)                             |
| <input type="checkbox"/> | Assessment and monitoring of stability (Section 7.11)                |
| <input type="checkbox"/> | Characterisation (Section 7.12)                                      |
| <input type="checkbox"/> | Assignment of property values and their uncertainties (Section 7.13) |
| <input type="checkbox"/> | RM documents and labels (Section 7.14)                               |
| <input type="checkbox"/> | Distribution service (Section 7.15)                                  |
| <input type="checkbox"/> | Control of quality and technical records (Section 7.16)              |
| <input type="checkbox"/> | Management of non-conforming work (Section 7.17)                     |
| <input type="checkbox"/> | Complaints (Section 7.18)  |

***Management System Requirements (HOKLAS 022:2017, Section 8)***

- |                          |  |
|--------------------------|--|
| <input type="checkbox"/> | Options (Section 8.1)                                    |
| <input type="checkbox"/> | Quality policy (Section 8.2)                             |
| <input type="checkbox"/> | General management system documentation (Section 8.3)    |
| <input type="checkbox"/> | Control of management system documents (Section 8.4)     |
| <input type="checkbox"/> | Control of records (Section 8.5)                         |
| <input type="checkbox"/> | Management review (Section 8.6)                          |
| <input type="checkbox"/> | Internal audit (Section 8.7)                             |
| <input type="checkbox"/> | Actions to address risks and opportunities (Section 8.8) |
| <input type="checkbox"/> | Corrective action (Section 8.9)                          |
| <input type="checkbox"/> | Improvement (Section 8.10)                               |
| <input type="checkbox"/> | Feedback from customers (Section 8.11)                   |

***Other HOKLAS Requirements***

- |                          |  |
|--------------------------|--|
| <input type="checkbox"/> | HKAS 002, HOKLAS Supplementary Criteria no. 39 and other relevant HKAS/HOKLAS Criteria |
| <input type="checkbox"/> | Use of accreditation symbols and claim of accreditation status                         |
| <input type="checkbox"/> | Proficiency testing activities   |
| <input type="checkbox"/> | Check sample(s) or audit device (if applicable)  |
| <input type="checkbox"/> | Mandatory requirements arising from previous assessment report / outcome letter        |

**2. PERFORMANCE OF THE RM PRODUCER FOR THE ACTIVITIES COVERED IN THIS ASSESSMENT\***

|    |   |  |   |
|----|---|--|---|
| 1. | No. of system critical/significant nonconformities (NC)             |  |   |
| 2. | No. of activities having critical/significant NC [a]                |  | % of activities having no critical/significant NC<br>[1 - (a / b)] x 100%       |
|    | No. of accredited activities [b]                                    |  |   |
| 3. | No. of satisfactory PT activity results since last reassessment [c] |  | % of satisfactory PT activity results since last reassessment<br>(c / d) x 100% |
|    | No. of PT activity results since last reassessment [d]              |  |   |

\* Applicable to reassessments and surveillance visits only

Remarks:

**3. ASSESSMENT OUTCOMES**

**a. Recommendation on accreditation:**

- Accreditation will be  granted for the activities listed in Appendix I (assessment) /  
 continued for the activities listed in Appendix I (reassessment) /  
 maintained (surveillance visit)

on condition that the RM Producer has

- notified HKAS Executive in writing of the actions taken or planned against all the identified nonconformities within **one month** of the assessment / reassessment /surveillance visit.

- rectified to the satisfaction of HKAS Executive:

- (i) all *significant* nonconformities within  
 **six months** of the assessment for new activities proposed for accreditation.  
 **three months** of the reassessment for activities already accredited.

- (ii) all *critical* nonconformities  
 **on or before** \_\_\_\_\_ or as specified in 3.b.

and has informed HKAS Executive of the same in writing, within the specified period with supporting evidence and information necessary for evaluation of the remedial actions.

- agreed to rectify all minor nonconformities prior to the next reassessment for the relevant activities.  
 obtained acceptable results for the check sample(s)/audit device provided.

- Another full assessment is required to review the granting of accreditation after HKAS Executive is satisfied that appropriate remedial actions have been taken against all critical and significant nonconformities.

The RM Producer is encouraged to consider and respond to additional recommendations, if any, given in AF01 forms.

**b.  Other recommendation / remark:**

**c. Evaluation of remedial actions:**

HKAS will evaluate the remedial actions through:

- reviewing the documents, evidence and other information provided by the RM Producer.  
 a follow-up visit in \_\_\_\_\_

**d. Recommendation on personnel approval:**

- Recommendations for personnel approval for new nominee(s) are detailed in the attached AF 13 form(s).  
 Approval for existing personnel is to be  maintained /  modified as specified in Appendix II.

**- End of Report -**