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Standard Practice for Conducting Proficiency Tests in the Chemical Analysis of Metals, Ores, and Related Materials¹

This standard is issued under the fixed designation E2027; the number immediately following the designation indicates the year of original adoption or, in the case of revision, the year of last revision. A number in parentheses indicates the year of last reapproval. A superscript epsilon (ϵ) indicates an editorial change since the last revision or reapproval.

^{ε1} NOTE—Section 3 corrected editorially in January 2018.

1. Scope

1.1 This practice provides direction for organizing and conducting proficiency test programs in analytical chemistry for metals, ores, and related materials. It is consistent with ISO/IEC 17043 and Guide E1301. It does not address the selection and use of proficiency testing schemes by accrediting bodies.

1.2 *This international standard was developed in accordance with internationally recognized principles on standardization established in the Decision on Principles for the Development of International Standards, Guides and Recommendations issued by the World Trade Organization Technical Barriers to Trade (TBT) Committee.*

2. Referenced Documents

2.1 ASTM Standards:²

E135 Terminology Relating to Analytical Chemistry for Metals, Ores, and Related Materials

E826 Practice for Testing Homogeneity of a Metal Lot or Batch in Solid Form by Spark Atomic Emission Spectrometry

E1301 Guide for Proficiency Testing by Interlaboratory Comparisons (Withdrawn 2012)³

E2972 Guide for Production, Testing, and Value Assignment of In-House Reference Materials for Metals, Ores, and Other Related Materials

¹ This practice is under the jurisdiction of ASTM Committee E01 on Analytical Chemistry for Metals, Ores, and Related Materials and is the direct responsibility of Subcommittee E01.22 on Laboratory Quality.

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² For referenced ASTM standards, visit the ASTM website, www.astm.org, or contact ASTM Customer Service at service@astm.org. For *Annual Book of ASTM Standards* volume information, refer to the standard's Document Summary page on the ASTM website.

³ The last approved version of this historical standard is referenced on www.astm.org.

2.2 ISO Standards:⁴

ISO 9001 Quality Management

ISO 13528 Statistical Methods for Proficiency Testing by Interlaboratory Comparison

ISO/IEC 17025 General Requirements for the Competence of Calibration and Testing Laboratories

ISO/IEC 17043 Conformity Assessment – General Requirements for Proficiency Testing

3. Terminology

3.1 Definitions:

3.1.1 For definitions of terms used in this practice, refer to Terminology E135.

3.2 Definition of Term Specific to This Practice:

3.2.1 *assigned value, n*—value that serves as a declared or agreed-upon reference for comparison, normally derived from or based on experimental work of a national or international organization.

3.2.1.1 *Discussion*—The assigned value is given to a property or constituent of a reference material or proficiency test material through technical and statistical evaluation of test results.

4. Significance and Use

4.1 This practice sets the basic requirements for proficiency test programs in the chemical analysis of metals, ores, and related materials. It does not set specific procedural requirements, but does establish a framework for particular programs, including those with either small or large numbers of participants.

4.2 The data from proficiency testing programs can be used for value assignments for in-house reference materials developed in accordance with Guide E2972.

⁴ Available from International Organization for Standardization (ISO), ISO Central Secretariat, BIBC II, Chemin de Blandonnet 8, CP 401, 1214 Vernier, Geneva, Switzerland, http://www.iso.org.

4.3 Most accreditation bodies require that laboratories participate regularly in proficiency testing programs that they have accepted for this purpose. Therefore, it is essential that each program comply with accepted principles including technical requirements, statistical procedures (see [Annex A1](#)), and quality management (see [Annex A2](#)).

5. Types of Proficiency Testing

5.1 Proficiency testing techniques vary depending on the nature of the test item, the method in use and the number of laboratories participating. The most common approach involves randomly selected sub-samples from a source of material being distributed simultaneously to participating testing laboratories for concurrent testing. It is essential that all the material from which the participants' test materials are taken be sufficiently homogeneous so that any results later identified as outliers should not be attributed to any significant test item variability. After completion of the testing, the results are returned to the coordinating body, and compared with the assigned value(s) or to the mean and standard deviations obtained from a statistical analysis of the data to give an indication of the performance of the individual laboratories and the group as a whole.

5.2 In some cases, separate portions of certified reference materials are circulated.

6. Organization and Design

6.1 Framework:

6.1.1 The design stage of any proficiency testing program requires the input of technical experts, statisticians and a program coordinator to ensure its success and smooth operation.

6.1.2 The coordinator, in consultation with these other personnel, develops a program appropriate to the particular proficiency test. A proficiency test program shall be designed to avoid any confusion about its objectives. A plan shall be established and documented (see [Annex A2](#)) before the start of the program and shall include the following information:

6.1.2.1 The name and the address of the organization conducting the proficiency program,

6.1.2.2 The name and address of the coordinator and other personnel involved in the design and operation of the proficiency program,

6.1.2.3 The nature and the purpose of the proficiency program,

6.1.2.4 A procedure for the manner in which the participants are selected, or criteria that need to be met before participation is allowed,

6.1.2.5 The name and address of the laboratory or laboratories performing the various parts of the program (for example, sampling, sample processing, homogeneity testing and assigning values) and a description of the market to be served,

6.1.2.6 The nature of the test material(s) and test(s) selected, as well as a short description of the considerations underlying these choices,

6.1.2.7 A description of the manner in which the test materials are obtained, processed, checked and transported,

6.1.2.8 The time schedule for the various phases of the proficiency testing,

6.1.2.9 The expected initial and target dates or deadlines of the proficiency program including the date(s) for the testing to be conducted by the participants,

6.1.2.10 For ongoing programs, the frequency at which test materials are distributed,

6.1.2.11 Information on methods or procedures which participants may need to use to perform the tests or measurements (ASTM test methods, laboratory standard procedures/methods, etc.),

6.1.2.12 An outline of the statistical analysis to be used including the determination of assigned value(s) and any outlier detection techniques,

6.1.2.13 The basis for performance evaluation techniques, and

6.1.2.14 A description of the extent to which the test results, and the conclusions that will be based on the outcome of the proficiency tests, are to be made public.

6.2 Staff:

6.2.1 The staff shall include, or collaborate closely with, those holding adequate qualifications and experience in the design, implementation and reporting of interlaboratory comparisons. They shall possess appropriate technical, statistical and administrative skills.

6.2.2 The operation of specific interlaboratory comparisons requires the guidance of persons with detailed technical knowledge and experience of the test methods involved. To this end the coordinator shall enlist some professionals to act as an advisory group. The functions of this advisory group may be to:

6.2.2.1 Develop and review procedures for the planning execution, analysis, reporting and monitoring the effectiveness of the proficiency testing program,

6.2.2.2 Identify and evaluate interlaboratory comparisons organized by other bodies,

6.2.2.3 Evaluate proficiency test results of participating laboratories,

6.2.2.4 Provide advice to anyone assessing the technical competence of participating laboratories, both on the results obtained during a proficiency test program, and how those results should be used with other aspects of laboratory evaluations,

6.2.2.5 Provide advice to participants who appear to experience problems, and

6.2.2.6 Resolve disputes between the coordinator and participants.

6.3 *Data Processing Equipment*—Equipment shall be adequate to conduct all necessary data entry and statistical analyses and provide timely and valid results. Procedures for checking data entry shall be implemented and all software shall be verified, supported and backed up. The storage and security of data files shall be controlled.

6.4 Statistical Design:

6.4.1 The statistical model and data analysis techniques to be used shall be documented together with a short description of the background to their selection. Further details of common

statistical procedures and treatment of proficiency testing data are discussed in [Annex A1](#).

6.4.2 Careful consideration shall be given to the following matters and their interactions: the repeatability and reproducibility of the test(s) involved; the smallest differences to be detected between participating laboratories at a desired confidence level; the number of participating laboratories; the number of samples to be tested and the number of repeat tests or measurements to be carried out on each sample; the procedures to be used to estimate the assigned value; procedures to be used to identify outliers and potential bias in the test methods employed.

6.5 *Test Materials Preparation:*

6.5.1 Preparation of test materials may either be outsourced or performed by the coordinator. The organization preparing the test material shall have demonstrable competence to do so.

6.5.2 Any conditions relating to the test materials that may affect the integrity of the interlaboratory comparison, such as homogeneity, stability, possible damage in transit and effects of ambient conditions shall be considered.

6.5.3 The test materials or materials to be distributed in the program shall be similar in nature to those routinely tested by participating laboratories using the methods prescribed.

6.5.4 The number of test materials to be distributed may depend on whether there is a requirement to cover a range of compositions.

6.5.5 The assigned value(s) shall not be disclosed to the participants until after all the results have been collated, or until such time that no new results will be considered. However, in some cases it may be appropriate to advise target ranges prior to testing.

6.5.6 Consideration may be given to preparation of additional test materials other than those needed for the proficiency test program. Surplus test materials may be useful as quality control materials, test samples for interlaboratory tests of new test methods, or training aids for laboratories after results from participants have been evaluated.

6.6 *Test Materials Management:*

6.6.1 Procedures for sampling, randomizing, transporting, receiving, identifying, labeling, storing and handling of test materials shall be documented.

6.6.2 Where bulk material is prepared for a proficiency test, it shall be sufficiently homogeneous (based on evaluation by Practice [E826](#)) for each test parameter so that all laboratories will receive test materials that do not differ significantly in the parameters to be measured. An estimate of permissible variation between results on different test portions (homogeneity test) obtained by the same operator applying the same test method with the same apparatus under identical operating conditions within short intervals of time can be obtained from the reproducibility limits. The coordinator shall clearly state the procedure used to establish the homogeneity of the test item (see [A1.4](#)). Homogeneity testing shall be conducted prior to the dispatch of the test materials to the participating laboratories.

6.6.3 Where applicable, the coordinator shall also provide evidence that the test materials are sufficiently stable to ensure that they will not undergo any significant change throughout the performance of the proficiency test. When unstable ana-

lytes need to be assessed, it may be necessary for the coordinating organization to prescribe a date by which the testing shall be completed, including required special pretesting procedures.

6.6.4 Coordinators shall consider any hazards that the test materials might pose and take appropriate action to advise any party that might be at risk (for example, test material distributors, testing laboratories, etc.).

6.7 *Choice of Test Method:*

6.7.1 The coordinator may instruct participants to use a specified test method. Such test methods are usually nationally or internationally-accepted standard test methods, and will have been validated by an appropriate procedure (for example, collaborative trial).

6.7.2 Participants may be able to use the test method of their choice, which is consistent with routine procedures used in their laboratories. Where participants are free to use a test method of their own choice, coordinators shall request details of the test methods used to allow, where appropriate, the use of participants' results to compare and comment on the test methods.

7. **Operation and Reporting**

7.1 *Coordination and Documentation*—The day-to-day operation of a program shall be the responsibility of a coordinator. All practices and procedures shall be documented. These may be incorporated in, or supplemented by, a quality manual (see [Annex A2](#)).

7.2 *Instructions:*

7.2.1 Detailed instructions covering all aspects of the program that should be followed by the participating laboratories shall be provided. These may be provided, for example, as an integral part of a program protocol.

7.2.2 Instructions shall include details concerning factors that could influence the testing of the supplied materials. Such factors shall include qualifications of operators, nature of the materials, equipment status, selection of test procedures, timing of testing, and specimen preparation.

7.2.3 Specific instructions on the recording and reporting of test or calibration results shall also be supplied. These instructions can include (but are not limited to) units, number of significant figures, reporting basis, result deadlines, etc. In some cases, it might be advisable to request a copy of the log files or a copy of the output generated by the apparatus, or both.

7.2.4 Participants shall be advised to treat proficiency testing items as if they were routine tests (unless there are some special requirements in the design of the proficiency test which may require departure from this principle). They shall also be advised that collusion with other participants is strictly prohibited.

7.2.5 Participants shall be advised to ensure that their laboratory capabilities are compatible with the protocols and test samples provided by the programs. Incompatibility between the program and its participants' capabilities can lead to inappropriate indicators of poor performance.

7.3 *Packaging and Transportation:*