Annexure – VIII

Self-Assessment Checklists

To judge the readiness of an organization for applying and subsequent assessment by NABET assessors including interactions with candidates proposed, a Self- assessment checklist has been developed for IA, SA and RA for use by the AOs/ACOs -

1) Initial Accreditation –

a. Application process –

i. Have information pertaining to the organization’s profile been included in Application Form?

ii. Has the application form and all CVs (**Annexure IV, IV A, IV B, V**) submitted are duly signed?

iii. Does the organization have minimum three eligible in-house experts (1 EC and 2 FAE) as per the requirements of the Scheme?

iv. Does the organization have eligible candidates for the core and significant functional areas for the respective group for which accreditation is sought?

v. Are the proposed candidates for core FAs in house?

vi. Do all proposed candidates for EC fulfil the criteria of NABET Scheme?

vii. Do all proposed candidates for FAE fulfil the criteria of NABET Scheme?

viii. Have the **Annexure IV** for all candidates proposed been properly filled?

ix. Has the specific experience of proposed candidates been mentioned in **Annexures IV A** and **IV B**?

x. Do the candidates proposed as EC have the requisite ‘EIA related’ and ‘sectoral’ experience for the sectors?

xi. Do the candidates proposed as FAE have the ‘EIA related’ experience in the functional area/s?

xii. Has any candidate been proposed for more than five sectors?

xiii. Has any candidate been proposed for more than four functional areas?

xiv. Has any full time employee with other organizations (except from university, institution and NGO) been proposed as an EC or FAE?

xv. Does the organization have NABL accredited or MoEFCC recognized in-house/external laboratory for monitoring ambient air, water & waste water, noise, stack and soil parameters for baseline study?

xvi. Does the organization have the valid certificate of accreditation/Notification for the lab?

xvii. Does the organization have valid MoU signed with the external lab?

xix. Does the QMS address the 10 procedures given in **Appendix B** of the Scheme?

b. Assessment process

i. Is the Organization ready for office assessment by NABET – have all candidates read the NABET scheme specially the assessment criteria including the aspects on which the ECs and FAEs will be assessed, field investigation requirements (sampling, preservation, laboratory processes) including for socio-economy and ecology and expected functions of ECs and FAEs?

ii. Are the candidates aware of the QMS developed by the organization? Is the implementation of QMS documented?

iii. Is the organization committed to improve quality of the EIAs prepared? Does the organisation learn from the discussions in the public hearings and at the EAC/SEAC? Does the organisation have arrangements for improving the knowledge/skills of its personnel through trainings/exposures?

iv. Does the organization have all necessary documentary evidence to be shown to NABET assessors during assessment?

Self-Assessment Result

|  |  |  |
| --- | --- | --- |
| **If all questions answered/followed** | **Apply right now** | **Ready for applying and assessment** |
| **If 50% of questions answered/followed** | **Apply after addressing the unanswered ones.** | **Partially ready.** |
| **If less than 50% questions are answered/followed** | **Need To focus on the accreditation guidelines** | **Not ready for applying and assessment** |

2) Surveillance Assessment –

• The Questions of the IA process as mentioned above are valid, as appropriate. In addition, the following Questions may be answered –

a. Application process –

i. Have all NC’s and observations raised during IA been properly closed? Are sufficient documentary evidence available for the same?

ii. Does the organization have all core and significant functional areas covered by IH or emp experts for the sectors approved and freshly applied for?

iii. Does the Organization have complete details for ECs and FAEs as per Annexure VI A4 and VI A5 for inclusion in the SA application?

iv. Has the Organization used NABL accredited or MoEFCC recognized Lab for the EIA Studies carried out after IA?

v. Have all conditions of accreditation as mentioned in NABET’s letter, been complied with?

vi. Has NABET been informed on time of any approved expert leaving the organization and arranged replacement?

vii. Has a clear list been prepared of experts approved in IA and subsequently and those proposed with the SA application?

viii. Has the organization used any unapproved person or approved experts of not proper category in preparing after initial accreditation?

ix. Has any EC been involved in more number of EIAs than recommended in NABET Scheme? If so, has s/he we maintained proper records of work done by him/her?

x. Has the signed declaration of experts involved in all EIAs prepared countersigned by the CEO in the prescribed format been included in the reports?

xi. Does the organization have the quality assurance procedures for collection, preservation and transfer of samples and have implemented the same?

xii. Does the organization have procedure and followed the same for ensuring that the NABL accredited/MoEF recognized lab follows its quality control process to ensure correctness of the tests carried out?

xiii. Have timely payments to NABET been made and all dues cleared as applicable till SA?

b. Accreditation process -

i. Have all experts visited site and does the organisation we have proper log books for the site visits?

ii. Has the organisation filled complete details of all laboratories utilized after IA as per **Annexure VI A3**?

iii. Does the organization have quality assurance procedure for primary data collection and implemented the same?

iv. Has the organization maintained copy of an internal QMS audit report and the last Management Review of the QMS?

v. Does the organization have programs for capacity building for ECs/FAEs in terms of (a) training programmes attended, (ii) upgrading the educational qualification, (iii) others

vi. Does the organization have record of NABET AC MoM of all approved candidates?

vii. Did the organization carry out EIA for the sectors for which accreditation is not given?

Self-Assessment Result

|  |  |  |
| --- | --- | --- |
| **If all questions answered/followed** | **Apply right now** | **Ready for applying and assessment** |
| **If 50% of questions answered/followed** | **Apply after addressing the unanswered ones.** | **Partially ready.** |
| **If less than 50% questions are answered/followed** | **Need To focus on the accreditation guidelines** | **Not ready for applying and assessment** |

3) **Reaccreditation** -

The Questions of the IA process as mentioned above will be valid, as appropriate. In addition, the following questions may be answered –

i. Have all NCs and observations of SA have been closed?

ii. Does the organization have all information asked for about laboratories used after SA?

iii. Does the organization have required information on how the experts are keeping their knowledge updated?

iv. Does the organization have requisite details of the earlier assessments of experts as per **Annexure VI A2**?

v. Has the organization made all payments due to NABET?

vi. Has the organization taken steps towards capacity building for ECs/FAEs/ lab technicians through trainings, improved facilities etc

vii. Has the organization implemented QMS and made improvements in the same?

viii. Did the organization use only approved experts of right category for EIA studies?

ix. Did the organization carry out EIAs for the sectors for which accreditation is not given?

x. Did the organization check its overall performance from IA to till now?

|  |  |  |
| --- | --- | --- |
| **If all questions answered/followed** | **Apply right now** | **Ready for applying and assessment** |
| **If 50% of questions answered/followed** | **Apply after addressing the unanswered ones.** | **Partially ready.** |
| **If less than 50% questions are answered/followed** | **Need To focus on the accreditation guidelines** | **Not ready for applying and assessment** |