# Annexure – 11

**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 applicant organisation -

# Initial Accreditation –

* 1. **Application process –**
     1. Have information pertaining to the organization’s profile been included in Application

Form?

* + 1. Is the ***Annexure 5*** for all candidates proposed been properly filled?
    2. Has the application form and all CVs submitted are duly signed?
    3. Does the organization have minimum 2 eligible in-house/empanelled experts (1 PC and 1 TAE) as per the requirements of the Scheme?
    4. Do all proposed candidates for PC fulfil the criteria of NABET Scheme?
    5. Do all proposed candidates for TAE fulfil the criteria of NABET Scheme?
    6. Do the candidates proposed as PC have the requisite experience?
    7. Do the candidates proposed as TAE have the experience in the Technical area/s?
    8. Has any candidate been proposed for more than one technical area?
    9. Has any full-time employee with other organizations (except from university, institution and NGO) been proposed as an PC or TAE?
    10. Does the organization have MoU with Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab in-house/external laboratory for data analysis?
    11. Does the organization have the valid certificate of accreditation/Notification for the lab?
    12. Does the organization have valid MoU signed with the external lab?
    13. Does the QMS address the procedures given in ***Appendix C*** of the Scheme?

# Assessment process

* + 1. 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 PC and TAEs will be assessed, field investigation requirements (sampling, preservation, laboratory processes) and expected functions of PCs and TAEs?
    2. Are the candidates aware of the QMS developed by the organization? Is the implementation of QMS documented?
    3. Does the organisation have arrangements for improving the knowledge/skills of its personnel through trainings/exposures?
    4. 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 |

1. **Surveillance Assessment –**

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

# Application process –

* + 1. Have all NC’s and observations raised during IA been properly closed? Are sufficient

documentary evidences available for the same?

* + 1. Does the Organization have complete details for PCs and TAEs as per ***Annexure 9 and 10*** for inclusion in the SA application?
    2. Has the Organization used Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab for the Studies carried out after IA?
    3. Have all conditions of accreditation as mentioned in NABET’s letter, been complied

with?

* + 1. Has NABET been informed on time of any approved expert leaving the organization and arranged replacement?
    2. Has a clear list been prepared of experts approved in IA and subsequently and those proposed with the SA application?
    3. Has the organization used any unapproved person or approved experts after initial accreditation?
    4. Has the signed declaration of experts involved and countersigned by the CEO in the prescribed format been included in the reports?
    5. Does the organization have the quality assurance procedures for collection, preservation and transfer of samples and have implemented the same?
    6. Does the organization have procedure and followed the same for ensuring that the Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab follows its quality control process to ensure correctness of the tests carried out?

# Accreditation process -

* + 1. Have experts visited site and does the organisation have proper log books for the site visits?
    2. Has the organisation filled complete details of all laboratories utilized after IA?
    3. Does the organization have quality assurance procedure for primary and secondary data collection and implemented the same?
    4. Has the organization-maintained copy of an internal QMS audit report and the last Management Review of the QMS?
    5. Does the organization have programs for capacity building for PCs/TAEs in terms of (a) training programmes attended, (ii) upgrading the educational qualification, (iii) others
    6. Does the organization have record of NABET AC MoM of all approved candidates?

# 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 |

1. **Reaccreditation** -

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

1. Have all NCs and observations of SA have been closed?
2. Does the organization have all information asked for about laboratories used after SA?
3. Does the organization have required information on how the experts are keeping their knowledge updated?
4. Does the organization have requisite details of the earlier assessments of experts?
5. Has the organization made all payments due to NABET?
6. Has the organization taken steps towards capacity building for PCs/TAEs/ lab technicians through trainings, improved facilities etc
7. Has the organization implemented QMS and made improvements in the same?
8. Did the organization use only approved experts of right category for Geological Report preparation?
9. 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 |