

No. M.VI-16/15/2021-Mines VI

Government of India

Ministry of Mines

Shastri Bhawan,

New Delhi-110 001

Dated: 12.08.2021


Order

Subject: Guidelines for notification of accredited private exploration agencies under the second proviso to sub-section (1) of section 4 of the Mines and Minerals (Development and Regulation) Act, 1957.

The second proviso to section 4(1) of the Mines and Minerals (Development and Regulation) Act, 1957 (hereinafter, 'the MMDR Act') has been amended through the MMDR Amendment Act, 2021, *w.e.f.* 28.03.2021. The said amended provision empowers the Central Government to notify entities, including private entities that may undertake prospecting operations, subject to such terms and conditions as may be specified by the Central Government.

2. With the view to increase the pace of exploration in the country and to bring advance technology in exploration of minerals, it has been decided to notify private exploration agencies to undertake prospecting operations under the second proviso to section 4(1). Accordingly, a Committee was constituted by the Ministry of Mines to recommend eligibility norms, manner for selection, procedure of application, etc. for notification of exploration agencies.

3. The Committee observed that Ministry of Coal has notified and implemented a scheme for accreditation of prospecting agencies in coal and lignite sector in May, 2020, which was developed by the National Accreditation Board for Education and Training of the Quality Council of India (QCI-NABET). Accordingly, the Committee studied the scheme of accreditation in coal and lignite sector and consulted senior executives of the QCI-NABET. The committee requested QCI-NABET to develop a scheme for accreditation of exploration agencies to meet the requirements of mineral sector so as to enable the Government identify eligible entities for notification under the second proviso to section 4(1).


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4. The scheme for accreditation so developed by the QCI-NABET was examined by the Committee and after detailed deliberations, the Committee recommended for adoption of the scheme for accreditation of private exploration agencies in mineral sector. Accordingly, the scheme for accreditation is hereby accepted by the Ministry for its implementation. It is hereby directed that the QCI-NABET shall not amend any provisions of the scheme for accreditation, including the provisions related to qualification, experience, role and responsibility of project coordinator, technical area expert and team members, fee, accreditation process, etc. without approval of the Ministry of Mines.

5. In view of the above, it has been decided by the Ministry that the QCI-NABET shall grant accreditation to private exploration agencies for undertaking prospecting operations of minerals in accordance with the standards and procedures of the scheme for accreditation annexed herewith as **Annexure-I** and such private exploration agencies accredited under the said scheme shall be considered by the Ministry of Mines for notification under the second proviso to sub-section (1) of section 4 of the Act.

6. The interested private exploration agencies (applicants) shall be required to obtain accreditation in accordance with the scheme for accreditation and thereafter apply to the Ministry for their notification in the format specified in **Annexure-II**. The Ministry after examination may notify such accredited exploration agencies. The Ministry may make any enquiry or seek further information from such agency, as it deem fit, for consideration of its application. Accreditation of any agency shall not create any right in favour of such agency for its notification and the Ministry may reject any application after consideration.

7. The issue of notification shall be subject to such terms and conditions as may be specified by the Ministry in the notification, including the following conditions:-

(i) The notification of private exploration agency shall be valid for the period of three years from the date of notification or till expiry or termination of the accreditation granted to such agency, whichever is earlier and the agency may apply for fresh notification in its favour on or before the expiry of the said period.

(ii) Private exploration agencies will be notified under the following two categories having right to undertake prospecting operations in


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respect of the mineral deposits as specified below against each category:

Category of exploration agency	Type of mineral deposit
Category A Exploration Agencies	(a) Bedded Stratiform & Tabular deposits (b) Lenticular composite veins (c) Gem-Stone and rare metal pegmatite, reefs and veins/pipes (d) Float & Placer deposits (e) Deep Seated deposits
Category B Exploration Agencies	(a) Bedded Stratiform & Tabular deposits (b) Float & placer deposits

(iii) Before commencement of the prospecting operations in any area, the exploration agency shall obtain written permission of the following and it shall have right to undertake prospecting operations only for the area and minerals for which it has obtained the written permission:-

- (a) the Central Government, in case exploration is sanctioned by the Central Government; or
- (b) the State Government, in case exploration is sanctioned by the State Government; or
- (c) the holder of prospecting licence, composite licence or mining lease for the area granted to such concession holder.

(iv) Prospecting operations shall be undertaken in accordance with the provisions regarding such operations in the Minerals (Evidence of Mineral Contents) Rules, 2015, the Mineral Conservation and Development Rules, 2017 and any other applicable law for the time being in force. The terms and conditions as specified under Rule 11 and other rules of the Minerals (Other than Atomic and Hydro Carbons Energy Minerals) Concession Rules, 2016 shall be applicable *mutatis mutandis* to the exploration agency.

(v) On completion or abandonment of the prospecting operations or termination of the notification in favour of accredited exploration agency, whichever is earlier, the agency shall submit the report of


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work done in the form of geological study report to the State Government, Indian Bureau of Mines and Geological Survey of India.

(vi) The exploration agency shall intimate in writing the Ministry of Mines immediately of any changes in its status or in the information provided by it to the Ministry of Mines in the application seeking notification, where information regarding such changes, if intimated, may affect the consideration for notification of the exploration agency. This requirement of intimation shall be in addition to the requirement of intimation/ providing of information to QCI-NABET under the provision of the accreditation scheme.

(vii) The Central Government may rescind the notification in favour of an exploration agency at any time for any reasons, including but not limited to violation of the Act, Rules, terms and conditions of notification, conditions of accreditation; submission of false or misleading information; termination or suspension of accreditation; failure to report any major changes in status or in the information provided by the exploration agency and evident conflict of interest.

8. This is issued with the approval of Hon'ble Minister of Mines.


(Dr. Veena Kumari Dermal)

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To,

1. Chief Secretaries of all States
2. Administrators of Union Territories

Copy for information to:

1. PS to Minister for Mines
2. APS to Hon'ble Minister of State for Mines
3. PSO to Secretary (Mines)
4. PPS to AS(Mines)
5. PS to JS(Exploration), Director (Technical), Director (NMET)



**SCHEME FOR ACCREDITATION OF EXPLORATION AGENCIES IN
MINERAL SECTOR**

QUALITY COUNCIL OF INDIA (QCI)

National Accreditation Board for Education & Training

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Acknowledgement

This Scheme for Accreditation of Agencies for taking up Mineral Exploration has evolved from the Notification number ----- dated -----of Ministry of Mines (MoM).The scheme is innovatively designed and being launched purposefully in accordance with the national initiative. Minerals are valuable natural resources that are finite and non-renewable which constitute the vital raw materials for many basic industries and are a major resource for development. The wide availability of minerals in the form of abundant rich reserves and the eco-geological conditions make it very conducive for the growth and development of the mining sector in India. As a major resource for development the extraction and management of minerals has to be integrated into the overall strategy of the country's economic development.

In order to achieve resource efficiency, the Indian Mineral sector is already looking forward to adopt advanced state of the art Exploration technologies (involving Drilling, Survey, Geochemical and Geophysical methods, Quality Assay) and Geological Modelling using latest software in the exploration strategy.

This venture would not have been successful without the able guidance received from the Additional Secretary, Ministry of Mines and other members from GSI, IBM and MECL as a part of the committee formed for this purpose. The scheme additionally benefitted from the professional support provided by the experts in the field of Exploration and Mining and the valuable inputs provided by the consultant organizations, representatives from industries, academia and research institutions. The unfailing and constant support by the NABET Board, and the Technical and Accreditation Committees of NABET provided the much-needed vitality and buoyancy for the successful launch of this national initiative. The constant encouragement and support of the Secretary General, QCI and the Chief Executive Officer, QCI-NABET have been a tremendous source of inspiration.

QCI - NABET acknowledge with sincere gratitude, the support and cooperation received from all its peers, well-wishers and partners in the implementation of this Scheme.

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Abbreviations	
AC	Accreditation Committee
ACO	Accredited Consultant Organization
AEA	Accreditation of Exploration Agency
AICTE	All India Council for Technical Education
AO	Applicant Organization
ASSOCHAM	Associated Chambers of Commerce and Industry
B. Sc	Bachelor of Science
B. Tech	Bachelor of Technology
CA	Co-Assessor
CAD	Computer-Aided Design
CAE	Computer-aided engineering
CEO	Chief Executive Officer
CII	Confederation of Indian Industry
CPSE	Central Public Sector Enterprises
CSIR	Council of Scientific and Industrial Research
CV	Curriculum vitae
DPR	Detailed Project Report
DRILL	Drilling
DTH	Down-the-Hole
ECS	Electronic Clearing System
Emp	Empanelled
FAE	Functional Area Expert
FICCI	Federation of Indian Chambers of Commerce and Industry
GEO	Geology
GIS	Geographic Information System
GL	Geological
GP	Geophysics
GPS	Global Positioning System
GR	Geological Report
GSI	Geological Survey of India
GST	Goods and Services Tax
HG	Hydrogeology
HGL	Hydrogeological
HRSS	High Resolution Shallow Seismic
HW	Hardware
HW	Hardware

IA	Initial Accreditation
IH	In-house
IIT	Indian Institute of Technology
ISO	International Organization for Standardization
ISP	Indian Standards Procedure
JORC	Joint Ore Reserves Committee
LAB	Laboratory
M.Tech	Master of Technology
MBA	Master of Business Administration
MECL	Mineral Exploration Corporation Limited
MMDR	Mines and Minerals (Regulation and Development)
MEMC	Mines Environment and Mineral Conservation
MoC	Ministry of Coal
MoU	Memorandum of Understanding
MSc	Master of Science
NABCB	National Accreditation Board for Certification Bodies
NABET	National Accreditation Board for Education and Training
NABH	National Accreditation Board for Hospitals & Healthcare Providers
NABL	National Accreditation Board for Testing and Calibration Laboratories
NC	Non-Conformances
NGO	Non-Governmental Organization
NOC	No Objection Certificate
Obs	Observations
PA	Principal Assessor
PC	Project Coordinator
QA	Quality assurance
QCI	Quality Council of India
QMS	Quality Management System
RA	Re-accreditation
RQD	Rock Quality Designation
RS	Remote Sensing
SA	Surveillance Assessment
SOP	Standard Operating Procedure
SUR	Surveying
SW	Software
TAE	Technical Area Expert
TC	Technical committee
TDS	Tax Deduction at Source
TM	Team Members
TOR	Terms of Reference
UGC	University Grants Commission
UNFC	United Nations Framework Classification for Resources

1.0 AN OUTLINE OF THE SCHEME

1.1 BACKGROUND

QCI – NABET has developed the Scheme for Accreditation of agencies intending to take up Mineral Exploration and will be applicable for all the major minerals for which policy enactments are made by Ministry of Mines. The QCI – NABET shall grant accreditation to Exploration Agencies for undertaking exploration and preparations of Geological Report (GR) in accordance with the rules/guidelines prescribed/ specified under the MMDR Act, MEMC Rules 2015 and amendments thereafter.

In order to achieve resource efficiency, the Indian Mineral sector is already looking forward to adopt advanced state of the art Exploration technologies (involving Drilling, Survey, Geochemical and Geophysical applications using gravity and magnetic methods, 2D and 3D seismic surveys, Mineral Quality Assessment). Also, Geological Modelling using latest software solutions (like Micromine, Gemcom Minex, Surpac, CAE Mining Datamine and Vulcan) in the exploration strategy. Mineral extraction and mineral transport operations have adverse impact on ecology & biodiversity, water resource, geology, land use land cover and on climate. There are also socio-economic, cultural and even political consequences associated with these activities. It is important that such probable effects of the activities are done with the aim of sustainable development and to comply with applicable laws.

1.2 NEED OF THE SCHEME

With the amendment to MMDR Act in 2015, the activities related to exploration were only done through Central and State Government companies/agencies for auction of mineral blocks. MMDR Amendment Act 2021 by amending the section 4 allows the private explorers also to work towards identification of new blocks suitable for auction. The government has also proposed to fund the private explorers through the National Mineral Exploration Trust. The amended Act is set to redefine the standard of exploration required for auctioning of greenfield/partially explored mineral blocks. The Mineral (Evidence & Mineral Content) Rule 2015 specifies that for auction of Mine Lease and Composite License at least G2, G3 level of exploration is needed which has been amended to facilitate auction of blocks at G4 level for composite licences. These Amendments in the MMDR Act shall provide an impetus to the exploration activities in the country and shall enable identification of more blocks suitable for auction and shall be a game changer to bring in new technologies and expertise in the exploration sector.

Therefore, there is a requirement of verified private Exploration and to fast-track the exploration and Mining activities in the country. Keeping above in view, QCI-NABET is proposing a credible 'Scheme of Accreditation for Exploration in Mineral Sector' specifying the requirements for Exploration to augment the activity.

The accreditation scheme will have the provision for Accreditation of Exploration under Two Categories:

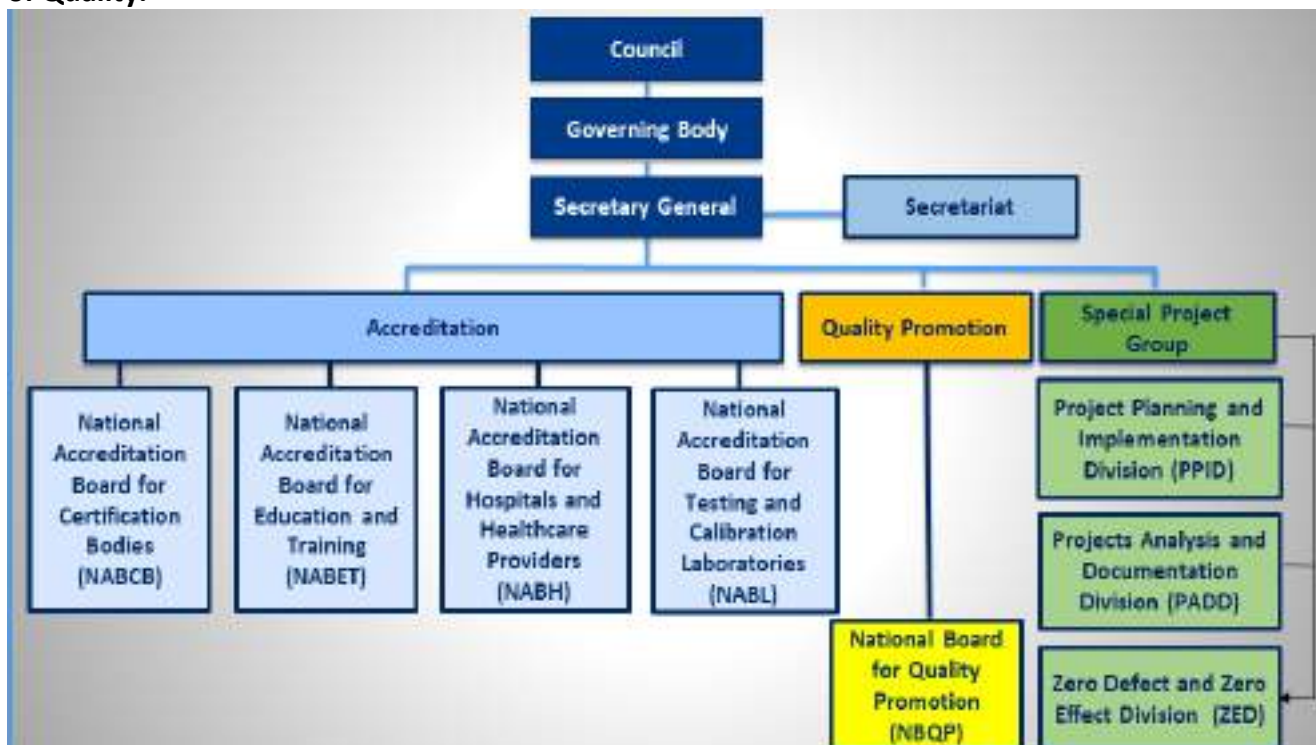
- **Scope: Scheme for Accreditation of Exploration Agencies**
 - **Category A Exploration Agencies:**
 - Bedded Stratiform & Tabular deposits
 - Lenticular composite veins
 - Gem-Stone and rare metal pegmatite, reefs and veins/pipes
 - Float & Placer deposits

- Deep Seated deposits
- **Category B Exploration Agencies:**
 - Bedded Stratiform & Tabular deposits
 - Float & Placer deposits

The scheme is dynamic in nature, hence, modifications and updates may take place from time to time, as it ought to be for continually improving the delivery and effectiveness of the accredited Agency.

2.0 ABOUT QCI AND NABET

In pursuance of the cabinet decision of Feb 1996, Quality Council of India (QCI) was set up jointly by the Government of India and the Indian Industry represented by the three apex industry associations namely Associated Chambers of Commerce and Industry of India (ASSOCHAM), Confederation of Indian Industry (CII) and Federation of Indian Chambers of Commerce & Industry (FICCI) to establish and operate national accreditation structure and promote quality through National Quality Campaign. QCI is registered as a non-profit society with its own Memorandum of Association. QCI is governed by a Council of 38 members with equal representations of Government, Industry and Consumers. The Chairman of QCI is appointed by the honourable Prime Minister on the recommendation of the Industry to the Government. It functions through the Executive Boards in the specific areas i.e. Accreditation for **(a) Conformity Assessment Bodies, (b) Healthcare Establishments (c) Education & Vocational Training Providers. In addition, it has an exclusive Board for promotion of Quality.**



Each Board works independently and is headed by a Chairman, identified from the prominent people related to industry in India. National Accreditation Board for Education and Training (NABET) is one of the constituent Boards of QCI as per structure shown.

NABET is managed by seventeen honorary members including the Chairman with fair representation from the stakeholders ensuring that no particular interest predominates. The Chairman of the Board is an eminent person and an ex-officio member of the Quality Council of India. The Chairman of QCI nominates the Chairman of the Board from the proposed names received from the council members.

The Board is supported by the NABET secretariat. The policies and procedures for Accreditation by the Board are non-discriminatory and are implemented uniformly to all applicants. A uniform and reasonable fee is charged from applicants in lieu of the services offered.

3.0 ACCREDITATION

Accreditation is a process of verification of competency of an organization in delivering good quality service/product in the chosen field. Accreditation is awarded, after carrying out structured assessment of compliance to the accreditation guidelines. It helps organizations to adopt a holistic approach for preparing Geological Reports and to build in system to achieve continual improvement through a transparent and credible mechanism.

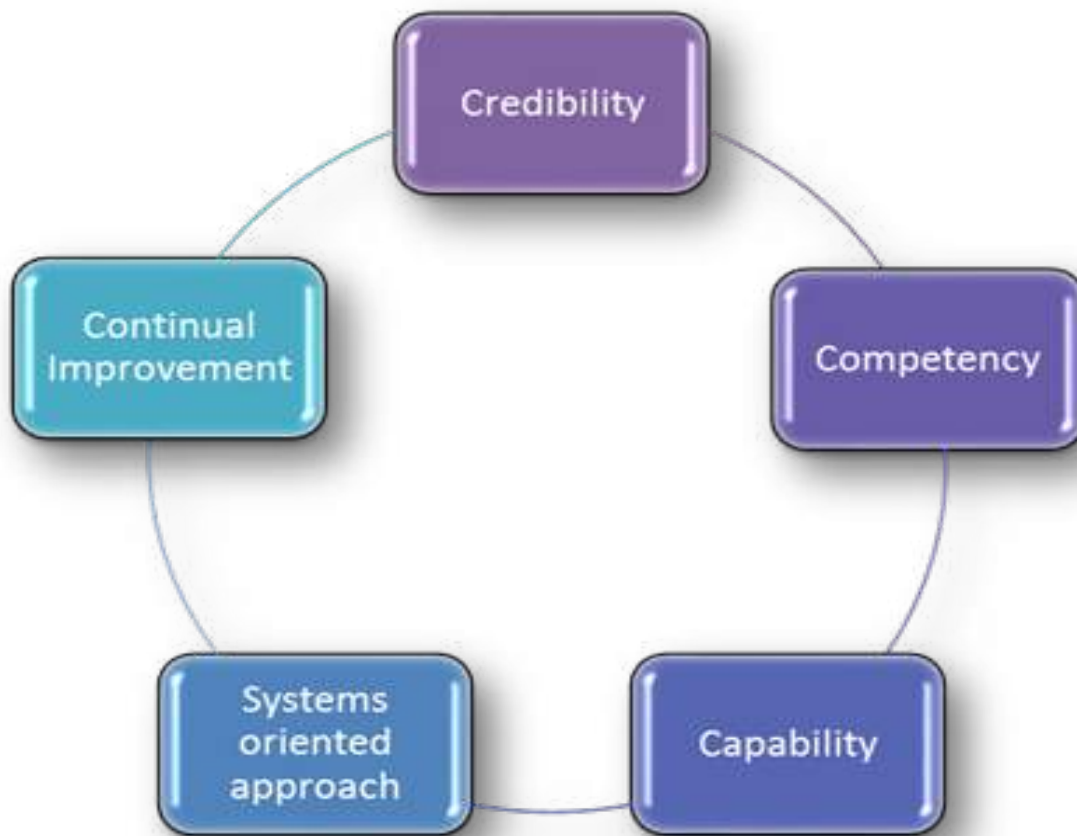


FIG. 3: BENEFITS OF ACCREDITATION

3.1 BENEFITS OF ACCREDITATION

a. For Exploration Agencies

- i. Recognition of competence and capability
- ii. Growth in business through reputational benefits
- iii. Competitive edge
- iv. Periodic assessment by QCI-NABET for continual improvement
- v. Publicity through QCI-NABET & the Ministry websites and publication
- vi. Use of QCI- NABET logo - a mark of quality

b. For project proponents and other stakeholders

- i. Availability of a list of capability verified agency (ies).
- ii. Reduced risks on investments by project proponents.
- iii. Checks on performance of the consultants through QCI-NABET website.
- iv. Enhanced acceptability of developmental projects by all stakeholders.

4.0 SCHEME FOR ACCREDITATION OF EXPLORATION AGENCIES IN MINERAL SECTOR

NABET, a constituent Board of the QCI, developed scheme for accreditation of exploration agencies in mineral sector hereinafter called 'The Scheme' with the inputs from various stakeholders including; experts in the field, regulatory agencies and consultants.

This document describes the scheme's requirements in term of human resources, quality management systems, the assessment process, the accreditation criteria and other related to the scheme. The various aspects of the scheme are-

- a) Eligibility (who can get accredited) and coverage of the scheme
- b) Human resource – qualification and experience requirement

- c) Scope of accreditation
- d) Quality Management system (QMS)
- e) Assessment and accreditation process
- f) Closure/suspension/delisting/on hold etc. Of applications

One complete cycle of Accreditation covering 3-Year's period- comprising Initial Accreditation (IA), Surveillance Assessment (SA) and Re-accreditation (RA) process.

All the three processes IA/SA/RA involves assessment in Three (3) stages:

Stage I - Checking completeness of the application by NABET secretariat

Stage II - Technical review of documents by assessor(s)

Stage III - Office assessment by assessors

4.1 ELIGIBILITY FOR ACCREDITATION

Only Organization/ Agency meeting the eligibility criteria of this Scheme are considered for accreditation. These Exploration Agencies can include private organizations which could be proprietorship firms, partnership firms or companies (Pvt. & Public Limited), bodies registered under Society Acts, under Section 25 of Companies Act, Research Institutes. All requirements of the Scheme as mentioned in this document are to be complied with for an organization to get accredited. A sole proprietorship owned by an individual or in personal name can also apply if it fulfils the requirements of the Scheme. The currently notified exploration agencies as per the MMDR Act in the Govt. Sector such as GSI, and DMGs of the State Govts., CPSEs such as MECL, CMPDIL, and others and State PSUs are exempted from this accreditation scheme.

4.2 SCOPE OF THE SCHEME

The Scheme covers the scopes for Accreditation of Exploration Agencies in Mineral Sector.

Scope: Scheme for Accreditation of Exploration Agencies In Mineral Sector

➤ **Category A Exploration Agencies:**

- Bedded Stratiform & Tabular deposits
- Lenticular composite veins
- Gem-Stone and rare metal pegmatite, reefs and veins/pipes
- Float & Placer deposits
- Deep Seated deposits

➤ **Category B Exploration Agencies:**

- Bedded Stratiform & Tabular deposits
- Float & placer deposits

4.2.1 Scheme for Accreditation of Exploration Agency (AEA)

Any Exploration Agency (Applicant Agency) must have expertise & coverage in all the fields as specified in this document or can have MoU with the agency(ies) in the field/aspect(s) as mentioned below, if they are short of any specific area(s)/aspect(s) for preparation of comprehensive geological report, as per the standard as specified by Government/concerned agency(ies). The Accredited Exploration Agency (AEA) can provide their services for exploration required for Geological Report (GR) preparation. Exploration activity involves the multi-disciplinary activities where inputs are required from specialists having expertise for establishing the Mineral Resources and reserves at various stages of exploration operations, including -AEA should cover following aspects: –

1. Topographical Survey and boundary demarcation
2. Reconnaissance, Large Scale and Detailed Geological Mapping
3. Geo-physical and Geo-chemical survey

4. Drilling (Coring & Non-coring)
5. Sampling and mineral/ore Beneficiation
6. Chemical and Mineralogical testing and analysis
7. Hydro geological studies
8. Geological Modelling
9. Mineral Quality assessment
10. Resource and Reserve Assessment following MEMC Rules
11. Report Preparation (Geological Report GR)

4.3 Coverage of the Scheme

This comprehensive document describes the scheme's requirements of human resource, Quality Management Systems and procedures to be followed, integrity of data, the assessment process, the accreditation criteria and other relevant requirements of the Scheme.

Specific details related to this Scheme have been included in **Appendices (A to E)** and those related to Application form in **Annexure (1 to 14)**.

5.0 REQUIREMENTS FOR ACCREDITATION

The accreditation requirements have been developed with a view to have system-based approach. The scheme specifies the following seven essential requirements for accreditation:

- i. Human resource & relevant Domain Expertise
- ii. Field investigation and laboratory arrangement
- iii. Suitable infrastructure, equipments and relevant Hardware & Software
- iv. Quality Management System (QMS)
- v. Coverage and Quality of Geological Reports (GR)
- vi. Organizational commitment
- vii. Compliance to accreditation condition

5.1 HUMAN RESOURCE

Preparation of a Geological Report is essentially a multi-disciplinary activity where inputs are required from experts having wide knowledge of the exploration. Therefore, relevant domain expertise is an imperative and the agencies will be required to engage and retain such domain experts who will not only be responsible for performance of the activities but also will lead to successful discovery of mineral resources and further development of mineral deposits through mining activities.

5.1.1 PROJECT COORDINATOR (PC)

The Project coordinator should have broad knowledge about the Exploration. The role of the PC includes, but not be limited to, studying and understanding the project, setting-up the team, visiting the site with the team, evolving work schedule and ensuring that data are appropriately utilized for generating the comprehensive report, correct interpretation and correlation of the data, and maintenance of necessary records.

The essential requisites for PC include the following –

- Conceptual understanding of project requirements, process and outcome.
- Knowledge of the applicable Acts, Rules and Regulations governing the project.

- Domain knowledge
- Leadership quality in planning, selecting and guiding the team

Thus, for Project Coordinator emphasis is given on experience and maturity.

For educational qualification, minimum experience and expected functions of Project Coordinators (PC) for scheme please refer to below mentioned appendix.

1. Project Coordinator Exploration

- **Category A: Project Coordinator exploration: *Appendix–A***
- **Category B: Project Coordinator exploration: *Appendix – B***

5.1.2 TECHNICAL AREA EXPERT (TAE)

TAEs are expected to identify and assess in their respective areas of expertise for adequate input for the report input and provide their expert inputs to the PC. TAEs should have -

- an in-depth knowledge in their respective areas of specialization
- understanding of the legislations and rules/regulations with respect to the technical areas
- the capability of identifying the need of the project,

For educational qualification, minimum experience and expected functions of Technical Area Experts (TAE) for different schemes please refer to below mentioned respective appendices.

1. Category A: Technical Area Experts for Exploration Agency

The following **areas of expertise** have been identified which are required for carrying out exploration studies –

- | | |
|---------------------------|-----|
| i. Geology | GEO |
| ii. Geophysics | GP |
| iii. Remote Sensing & GIS | RS |
| iv. Hydrogeology | HG |

For educational qualification, minimum experience and expected functions of Technical Area Experts (TAE) Exploration please refer to ***Appendix-A***

2. Category B: Technical Area Experts for Exploration Agency

The following **areas of expertise** have been identified which are required for carrying out exploration studies-

- | | |
|------------|-----|
| i. Geology | GEO |
|------------|-----|

For educational qualification, minimum experience and expected functions of Technical Area Experts (TAE) Exploration please refer to ***Appendix-B***

Aspects such as Socio-Economic considerations, Environment & HSE considerations and Cost Estimation and Financial Viability may be addressed as applicable through engagement of external resources as may be required by the exploration agency. In most of the cases the economic viability is assessed by the owner organizations through engagement of consultants with capability of financial modelling for investment decisions.

5.1.3 TEAM MEMBERS (TM)

A provision of 'Team Member' has been included in the Scheme to provide opportunity to

- Experienced professionals in their own fields but lacking experience to enter the profession
- Existing experts to expand the field of association
- Persons who have obtained eligibility qualifications but do not meet the experience requirement of TAE or PC
- This provision is only available for in-house experts

5.1.4 REQUIREMENTS OF EXPERTS/ NUMBER OF EXPERTS REQUIRED:

Number of experts required for respective categories is as below:

A. Category A: Exploration Agency in Mineral Sector

1. Project Coordinator(s) must be in-house (full time employee).
2. Expert(s) involved in supervision of exploration activities and in preparing Geological reports must be in-house (full time employee).
3. Any organization to be accredited must have minimum **ONE approved In-house PROJECT COORDINATOR (GEO) and ONE In-house TAE (GEO)**.
4. The other TAE(s) may be in-house (IH) or empanelled (Emp). The organisation must cover remaining TAEs.
5. In-house Technical Area Expert (TAE) can be associated with maximum of two technical areas if S/he fulfils the qualification and experience criteria as per the scheme.
6. Empanelled expert(s) shall have MoU or written declaration with the organization as mentioned in **Annexure _12**.

B. Category B: Exploration Agency in Mineral Sector

1. Project Coordinator(s) must be in-house (full time employee).
2. The must cover ONE TAE(GEO) which can be in-house (IH) or empanelled (Emp).
3. Empanelled expert(s) shall have MoU or written declaration with the organization as mentioned in **Annexure _12**.

5.1.5 GENERAL CONDITIONS FOR EXPERTS

- a. The project Coordinator (PC) for Exploration Agencies must be in-house (full time employee), other than the TAE (GEO) can be both in-house or empanelled.
- b. **In-house (IH) expert**- is a full-time employee working on the pay rolls of the applicant agency/ organization AO/ ACO on regular basis (not on 'time to time basis or on 'as an when required' basis) and gets appropriately paid as per her/his qualification and experience. All payments to an in-house expert are to be made through bank and are subject to TDS, as applicable.
- c. **Empanelled expert**—an AO/ACO may also have 'empanelled' experts. An empanelled expert may be a 'freelancer' (not a full-time employee of any organization) or may be working with an NGO or Research organization/Academic institute. In the latter case, a No Objection Certificate (NOC) is to be obtained from the HOD of the department for a University, the Principal for a college and the head of organization for an NGO or a Research organization, as the case may be. The AO/ACO must have an MOU/written agreement with such expert(s). Details to be included in NOC and MOU/Agreement are mentioned in Section E 7.2 of **Appendix E**.
- d. A full time Director in a Private/Public Limited company is considered as a full-time employee of the organization/firm and is not eligible to opt as an empanelled expert under the Scheme. However, if a person is an Independent Director in a company, s/he is eligible to be an empanelled expert with a maximum of 3 - AO/ACO. In such cases, relevant documentary evidence has to be furnished of his/her being an Independent Director in the company.
- e. Partners in partnership firms may be accepted as empanelled experts. This will be subject to submission of written consent / no objection agreement from all other partners in respect of the said partner working for other ACOs as an empanelled expert. The written consent / no objection agreement needs to be submitted by the AO/ACO with its application. Such a person can be empanelled with maximum 3 AOs/ACOs.
- f. An expert employed with an NGO or a Research/Academic institute may seek empanelment with a maximum 3 AO/ACO. (Subject to condition 5.1.5 (i) given below)

- g. All empanelled candidate(s)/expert(s) are required to furnish a Declaration of Association in the format given at **Annexure 12** signed by the candidate/expert and countersigned by the authorized signatory of the AO/ACO. There should also be a MOU or Agreement between the empanelled candidate/expert stating the tenure and scope of association duly signed by both the parties.
- h. Empanelled expert(s) shall contribute to the project as and when the work is assigned to them and their expected functions are same as those for IH experts.
- i. PCs, TAEs and TMs must maintain field log books of their visits to the site giving the observations, work done etc., for the stated activity.
- j. Submission of any false or misleading information in any of the above aspects, shall lead to the cancellation of approval of such experts and/or application/ accreditation of the organization.

5.2 FIELD INVESTIGATION AND LABORATORY ARRANGEMENT

Collection of quality data is of crucial importance for preparing Geological report. A good understanding of the project based on visit to the project site by approved PCs and TAEs is of utmost importance for developing the scope of study and for data collection.

The field investigation would include as per the Exploration plan to cover following aspects:

- I. Exploration coverage
- II. Boundary demarcation through DGPS Survey
- III. Geophysical & Geochemical studies
- IV. Borehole/pitting/trenching Density following MEMC Rules or as may be specified by NMET or the concerned State Government
- V. Topographical Surveying and surface geological mapping
- VI. Remote Sensing and GIS data
- VII. Coring and Non-Coring Drilling data if applicable
- VIII. Geophysical and Geochemical logging and analysis of the data generated to arrive at meaningful anomalies for further investigation
- IX. Sampling and analytical data (Chemical and Mineralogical) – analytical parameter coverage
- X. RQD and Physico-Mechanical sampling and testing
- XI. Beneficiation studies
- XII. Hydrogeological Data

5.2.1 LABORATORY ARRANGEMENT FOR ANALYSIS AND RECORDS OF RESULTS:

The AO/ACO may have an in-house laboratory or agreement/MOU with one or more external laboratories for work related to collecting data. If it engages more than one laboratory to cover its requirements of Exploration work being carried out in different parts of the country, it should have a clear internal guideline of assigning the work to a particular laboratory and maintaining the necessary record of the same.

Laboratories engaged for the Mineral core analysis/ assay of mineral and ore should be carried out by Laboratories of Government Organisations or NABL accredited recognized laboratories. The scope of accreditation/ recognition/certification should cover relevant parameters.

Wherever such data generation includes collection of samples at the site by the AO/ACO followed by analysis of the same at the laboratory, a detailed written down procedure should be available with the AO/AEA in the QMS, including methodologies for collection, preservation and transportation of such samples to the laboratory (vide **Appendix C** for details). The procedure should specifically address as to who are to be involved in selecting sampling locations, parameters to be analysed for, collection, preservation/transportation etc. of samples.

5.2.2 SURVEYOR ENGAGEMENT:

The AO/ACO may have an in-house surveyor or agreement/MOU with one or more external survey agencies for work related to surveying. If it engages more than one agency to cover its requirements of Exploration work being carried out in different parts of the country, it should have a clear internal guideline of assigning the work to a particular agency and maintaining the necessary record of the same.

5.3 QUALITY MANAGEMENT SYSTEM (QMS):

One of the long-term objectives of this Scheme is to encourage the agency to adopt system-oriented approach for report preparation. Ideally, all Exploration Agencies should have their own report preparation manual as well which they may enrich from their learnings over the years.

To facilitate the above, the applicant organization must maintain a Quality Management Systems (QMS) for the organizations. The QMS should be based on the current version of ISO 9001 standards. Although it is not mandatory that the organization should be ISO 9001 certified, the QMS must address the requirements of ISO 9001 and the specific requirements of the Scheme.

Exploration Agencies are advised to establish and maintain a Quality Management System (QMS) for their organization as the same offers the following benefits;

- i. Creates a culture of doing things right, the very first time.
- ii. Inculcates the culture of “saying, what we do and doing, what we say”
- iii. Increases system orientation and reduces person specific dependence.
- iv. Encourages uniform knowledge sharing and develops skilled work force.
- v. Helps develop team spirit
- vi. Reduces duplicate work and minimizes wastages.
- vii. Improves quality of work and brand image.

QMS should be based on ISO 9001 while addressing specific requirements of NABET Scheme. Please note that if an organization is already ISO 9001 certified, guidelines D1 to D4 and D11 are normally addressed (which may please be checked). It is then required to develop procedures for the NABET specific items i.e., D5 to D10 and integrate them with the system meaning that these should also come under the ambit of auditing, document control, management review etc.

If an organization has not been initiated into the system-oriented approach of working which is documented, audited and reviewed, it needs to acquaint itself of ISO 9001 requirements. Such organizations may initially take the help of a consultant but **MUST NOT OUTSOURCE THE WORK OF ESTABLISHING THE QMS** to him to meet the requirements of the NABET Scheme. Such an approach will be counterproductive as the system so developed is less likely to be owned by the working team and would remain a standalone document. **THE BEST WAY IS TO GET THE GUIDANCE OF A CONSULTANT BUT LET THE WORKING TEAM ESTABLISH THE SYSTEM.**

A QMS is supported by a 3-tier documentation system:

- i. The Quality Management System manual.
- ii. Procedures
- iii. Work instructions/forms/formats/checklists to implement the procedures

Details are given in **Appendix C**.

5.4 COVERAGE AND QUALITY OF GEOLOGICAL REPORT (GR):

In order to ensure quality and compliance the Accredited Exploration Agency shall ensure that preparation of Geological Report (GR) is in accordance with the MEMC Amendment Rules 2021 along with amendments from time to time or any other standard procedure specified by Central

Government. The Geological Report (GR) are prepared as per MEMC Rules and latest guidelines issued time to time by the competent authority.

5.5 Organizational commitment

The objective of the Scheme is to encourage private sector entities to secure accreditation for taking up Mineral Exploration Activities who should prepare standard quality Geological Report (GR) in the country respectively. This will be possible when there is a commitment from the accredited agencies towards preparation of comprehensive report with an intent to engage best in class domain experts for discovery of mineral deposits rather than carrying out the activities for the sake of project completion. This has been factored in the Scheme and for Re-accreditation assessment compliance to the accreditation condition by the accredited agency/ organization since receiving accreditation is also taken into account.

Details of assessment criteria for the above requirements are given in respective **Appendix E**.

6.0 ACCREDITATION CYCLE

Accreditation Cycle in this Scheme is for 3 years and comprises 3 types of assessments:

Initial accreditation (IA): In the IA, the potential of the applicant organization is assessed and based on that accreditation is granted. On successful completion of the initial assessment, an applicant organization is given accreditation for 3 years, subject to a surveillance assessment after 18 months. Details of IA are furnished in **Appendix E**.

Surveillance assessment (SA): This is to assess performance after IA/ RA. The basic objective is to judge to what extent the performance along with compliance to the conditions of accreditation has been met. SA falls due 18 months after IA/ RA. Details of SA are furnished in respective **Appendix E**.

Re-accreditation (RA): Following the principle of 'consistency', in RA the emphasis is laid on the consistent quality achieved by the ACO during the period of accreditation.

On completion of three years from initial accreditation, the organization is re-assessed with emphasis on improvements achieved. Details of RA are furnished in respective **Appendix E**.

7.0 ACCREDITATION PROCESS

The accreditation procedure for Initial Accreditation (IA), Surveillance Assessment (SA) and Re-accreditation Assessment (RA) includes three processes:

- I. Application assessment process
- II. Office assessment process
- iii. Decision making process

7.1 APPLICATION ASSESSMENT PROCESS

There are separate application forms for IA, SA, RA, expansion of scope and supplementary assessment for replacing approved experts who may have left the organization. These can be downloaded from the NABET website [www.http://nabet.qci.org.in/](http://nabet.qci.org.in/).

Detailed information on documents required to be submitted with the application for IA, SA, RA is provided in **Annexure 1, Annexure 2, Annexure 3 respectively**.

Applicants are advised to go through the accreditation scheme carefully prior to preparing/submitting their application. They must complete the Self-assessment Format given at **Annexure 11** to know if the applications are ready for submission and whether they are ready for NABET assessment. This would greatly reduce processing time benefiting both, the AO/ACO and NABET. Applications are to be submitted online on the NABET website. In case, NABET requires hard/soft copy of any document, the same is intimated to the AO/ACO.

Application for SA must be submitted three months prior to when SA is due i.e., on completion of 15 months after date of office assessment for IA/RA, as applicable. Similarly, RA application should be submitted three months prior to expiry of accreditation period i.e., on completion of 33 months after date of office assessment for IA/RA, as applicable.

NABET application process is on-line and procedure to be adopted for applying on-line will be posted on the QCI/NABET website.

Assessment of the applications is carried out in 3 stages –

Stage I– Checking completeness of the application by NABET secretariat

Applications submitted by an AO/ACO must be complete in all respects and is inclusive of all supporting documents mentioned in the checklist of Application Form (for IA, SA, RA) of this Scheme.

NABET secretariat checks if the

- (a) Application is complete in all respects,
- (b) Information submitted is in relevant formats and
- (c) Application is accompanied by the requisite fee.

In case an application is grossly incomplete in respect of candidates/experts, laboratory arrangement etc., NABET secretariat informs the AO/ACO of the inadequacies. Such applications are processed further once the inadequacies are addressed. For other applications, the NABET secretariat forwards the application to the principal assessor (see below) for technical scrutiny. The AO/ACO is advised to carefully study the requirements mentioned in **Appendix E**, before filling in the application.

Stage II - Technical review of documents

Assessor with vast experience in the relevant fields conduct technical review of documents of the applications submitted to NABET. For each application two assessors are assigned. The Principal Assessor (PA) carries out the Stage II assessment supported by the NABET staff. The PA is joined by a Co-Assessor (CA) for the office assessment (see below). Allocation of assessor (CA) will be based on the number of expert(s) to expedite the process. After Stage II assessment the PA may raise Non-Conformances (NCs) and/or Observations (Obs.) pointing out the areas where the application does not meet the requirements of the Scheme. After the NCs and Obs. are successfully closed by the AO/ACO, further processing of the application i.e. the office assessment is taken up.

Stage III - Office assessment

It involves assessment of an application in the following aspects:

- a. Quality and performance of personnel
- b. Infrastructure, Equipment's and adequate Software (SW) & Hardware (HW)
- c. Field investigations and laboratory systems to ensure data integrity
- d. Quality Management System
- e. Quality of Exploration Work data and Geological Report (GR)
- f. Organizational evaluation/commitment
- g. Compliance to condition of accreditation/ improvements achieved (during SA and RA)

Marks allocated for the above aspects in the Office Assessment are mentioned in below tables:

Scope: Scheme for Accreditation of Exploration Agencies in Mineral Sector

TABLE 1: CATEGORY A: WEIGHTAGE OF MARKS FOR EXPLORATION AGENCIES MINERAL SECTOR

Sl. No.	Aspects	Marks Allotted			Focus in assessment
		IA	SA	RA	
1	Quality and performance of personnel	50	50	50	IA – Potential of the AO

1a	Project Coordinator (PC)	20	20	20	SA – Compliance & Performance of ACO
1b	Technical Area Expert (TAE)	30	30	30	
2	Infrastructure, equip., adequate Software (SW) and Hardware (HW)	15	10	10	
3	Field investigations and laboratory systems to ensure data integrity	10	10	10	
4	Coverage and Quality of Geological Report (GR)/ Exploration Assignments	10	15	15	RA – Performance & Improvement of ACO
5	Quality Management System (QMS)	15	10	10	
6	Compliance to condition of accreditation/ Organizational Commitment	0	5	5	
	Total	100	100	100	
Note: Applicant Organisation					

TABLE 2: CATEGORY B: WEIGHTAGE OF MARKS FOR EXPLORATION AGENCIES MINERAL SECTOR

Sl. No.	Aspects	Marks Allotted			Focus in assessment
		IA	SA	RA	
1	Quality and performance of personnel	50	50	50	IA – Potential of the AO
1a	Project Coordinator (PC)	30	30	30	
1b	Technical Area Expert (TAE)	20	20	20	
2	Infrastructure and adequate Software (SW) and Hardware (HW)	25	15	15	SA – Compliance & Performance of ACO
3	Field investigations and laboratory systems to ensure data integrity	15	15	15	
4	Coverage and Quality of Geological Report (GR)/ Exploration Assignments	10	15	15	
5	Compliance to accreditation condition	0	5	5	
Total		100	100	100	RA – Performance & Improvement of ACO

7.2 DECISION MAKING PROCESS

On completion of office assessment process, a joint report is prepared by the PA and CA (or CAs) and sent to the NABET secretariat for further processing. The PA is responsible for the final report. NABET secretariat after checking the completeness of the report, obtains clarifications/additional information, if required, from the AO/ACO/Assessors. The case is then put before the accreditation committee by the NABET secretariat for its consideration, review and decision on accreditation. The accreditation of an agency will be effective from the date of

grant of accreditation by Accreditation Committee (AC). The final outcome is thereafter uploaded on QCI/NABET website.

7.3 TIME FRAME FOR APPLICATION AND ACCREDITATION PROCESSES

Completion of application, assessment and accreditation processes depends on the following:

- a. Receipt of complete information at NABET for Stage I and II assessments along with necessary documents and closure action of NCs/Obs., as applicable, for IA, SA and RA applications.
- b. Timely submissions of such information by AO/ACO within 15 days for SA and RA. For initial accreditation AOs are requested to submit the required details as early as possible.
- c. Timely raising of queries by NABET within 15 days for Stage I and 1 month for Stage II.

Subject to the above, all efforts are made by NABET to complete the process of granting accreditation within 3 months of submission of complete information by AO/ACO.

7.4 ACCREDITATION PROCESS OUTCOME

The salient outcomes from accreditation process are as follows:

- a. **Accredited** – in case the applicant organisation/agency clears the assessment and accreditation processes successfully, the result is posted on the QCI/NABET website and the AO/ACO is also informed separately, refer **Appendix E** for details.
- b. **Not approved** – if the AO/ACO fails to obtain **50% in marks each aspects of assessment** in the office assessment or does not fulfil any other requirements of the Scheme, the application is not approved and accreditation is not granted, refer **Appendix E** for details.
- c. **Cancellation** - in case an ACO does not fulfil conditions of accreditation or does not submit complete application for SA or RA in time, a reminder is given to do the same in the next 15 days. If complete application is not submitted even after 15 days, a final notice is served for responding giving another 15 days' time.

In the event of non-compliance after the final notice as well, the accreditation granted to the ACO is cancelled and its' name is removed from the list of accredited consultants. In case it wishes to get considered again under the Scheme, it is required to submit a fresh application with requisite fee. Fresh assessment is then carried out as per IA norms

- d. **Incomplete applications** – If an AO submits an incomplete application in which requisite details are not provided or it does not meet the requirements of the Scheme in respect of eligible candidates for Project Coordinator (PC) and Technical Area Expert (TAE), QMS, Laboratory details etc., the same is put in the 'incomplete applications' list. NABET intimates the AO of the deficiencies in the application. If it is an application for IA, the same is processed further once all requirements are fulfilled.

8.0 ACCREDITATION FEES

QCI/NABET does not get any financial assistance from any agency for operation of this Scheme. Hence, to offset the costs involved in the implementation of the Scheme by NABET, fees are charged for organizing the assessment and accreditation processes and annual fees for updating and maintaining the Scheme. Details are given in **Appendix D**.

Applicable fee payment procedure and Terms & Conditions (T&C).

- 8.1 The AO/ ACO shall pay application fees for accreditation, re-accreditation; expenses towards travel, boarding & lodging for any kind of assessment including supplementary visit, surveillance, desktop surveillance, re-assessment and annual accreditation fees as determined by NABET.

8.2 All invoices will be generated online and payments to be made online through payment gateway on the web Portal of the scheme. In case any invoice raised by NABET manually, should be paid within one month of date of dispatch/ mailing of the invoices. Timely payment of dues to NABET by the AO/ACO is crucial to the Scheme. Processes of IA, SA and RA can proceed to the next stage only if all pending bills to NABET are cleared by the AO/ACO. Failure to pay the applicable dues by the deadline given in invoices may result in delisting from the list of Accredited Consultant Organizations. This may be followed by cancellation of accreditation if the dues remain unpaid up to 6 months (180 days).

8.3 The fee structure can be revised after 3 years with due approval of the Central Government.

In case of delay in payment of applicable fees at any stage beyond one month from the date of issuance of NABET's invoice, penalty @1.5% per month of delay is applicable.

9.0 GRANT OF ACCREDITATION

Results of the accreditation committee meeting are uploaded on the QCI/NABET website within a month of the AC meeting in which the relevant case is discussed. A formal letter from NABET is sent within one month from the date of approval by the accreditation committee mentioning the, experts approved with category, detailed conditions of accreditation and NCs & Obs., if any. NABET's certificate of accreditation is issued on successful closure of all NCs and Obs.

9.1 MAINTAINING ACCREDITATION

Accreditation of Exploration Agency is subject to compliance to the requirements of the QCI – NABET Scheme. These include, but are not limited to:

- a. Implementation of systems/procedures documented in the QMS manual of the ACO including the corrective and preventive actions for the NCs and Obs. of IA, SA, RA, as applicable.
- b. ACOs are encouraged to prepare their own 'Report preparation manual' detailing the procedures followed right from the time of placing quotes for the work to completion of the project.
- c. Timely replacement of experts - in case any approved PC or TAE leaves the ACO, s/he needs to be replaced with in a specific time mentioned in *Section 9.2*.
- d. Intimation of changes – in case of any change in the organization related to systems, procedures, laboratory and other facilities, the same is to be intimated to NABET in the within one month.
- e. Payment of fees, as applicable, to NABET as per the terms of accreditation.
- f. At the beginning of the reports prepared by the ACO a declaration is to be given by the ACO in the prescribed format as given in **Annexure 8** mentioning the names of the PC and TAEs involved. This form must be duly signed by them and countersigned by the CEO of the organization.
- g. Familiarity with the project and its site conditions is -basic requirement- for the concerned PC and relevant TAEs.
- h. All PCs and TAEs and team members involved in the project should maintain a field logbook with noting done at the site. NABET's assessors may verify these during the office assessment. It is worthwhile to maintain other documentations on the expert's site visits viz., expert's report, and authorization of tours, travel documents etc.
- i. The ACO is to strictly avoid practices/actions mentioned in Section 9.3 to ensure that accreditation granted to it is not cancelled.

- j. The ACO is to maintain the following records (in soft or hard format)
 - i. A register of attendance of employees involved in project.
 - ii. Names of the experts (both in-house and empanelled) involved in projects handled by the consultant organization.
 - iii. Details of involvement of empanelled experts, in terms of time devoted to various projects.
 - iv. Updated declaration of empanelled experts indicating the number of organizations they are associated with.
 - v. All documents related to laboratory work and implementation of QMS

9.2 CHANGE AFTER ACCREDITATION

The change after accreditation can be done in one respect, i.e. Change in experts: Since accreditation of a consultant organization is based on the experts approved, an ACO must inform NABET if an approved expert leaves the organization and propose a replacement in accordance of the Scheme's requirements within one month. Failing to propose a replacement on time is a non-conformance, viewed seriously and may also result in cancellation of accreditation.

A new candidate may be proposed as a PC or a TAE for assessment at any time. However, for a person already assessed and not approved may be proposed only after a gap of 3 months enabling her/him to address the shortfall.

Applications (as per **Annexure 4**) proposing replacement or new candidates should accompany requisite application fee as per **Appendix D**.

9.3 SUSPENSION/CANCELLATION/DEBARMENT OF ACCREDITATION

NABET may suspend or cancel an accreditation or even debar an organization on account of any or quality of report or more grounds during accreditation process or after, but not limited, to the following:

- a. Non-compliance or violation of the NABET's requirements and conditions of accreditation and deviation from facts as stated in application and enclosures
- b. In case an approved expert leaves the organization, the ACO is required to inform NABET of the same within one month and get a replacement approved within the next two months.
- c. Submission of false or misleading information in the application or in subsequent submissions
- d. Improper use of NABET's accreditation mark, letter of accreditation from NABET or the QCI/NABET logo
- e. Carrying out changes in Project coordinators/experts without NABET's approval
- f. Failure to report any major legal (mandatory compliance) changes and evident conflict of interest
- g. Using fraudulent practices by the ACO in respect of its submission/interaction with NABET/authorities which include, but not limited to, deliberate concealment and/or submission of false or misleading information, suppression of information, falsification of records or data, unauthorized use of accreditation.
- h. Non- payment of applicable fees.
- i. Violation of the Code of Conduct for the consultant organizations (see Section 11.0)
- j. Any other condition deemed appropriate by NABET.

The decision for the suspension/cancellation/debarment is taken by the NABET accreditation committee.

A clarification/explanation may be sought and show cause notice may be issued and put up to the accreditation committee for final decision on the matter.

9.4 ACTIONS FOR MISCONDUCT/FRAUDULENT ACTIVITIES

Submission of false or misleading information or use of fraudulent practices, an AO/ACO may be disqualified for up to one year and such organisation(s) name may be delisted from the NABET list of accredited organizations with an information to the Ministry of Mines, to be decided by the accreditation committee depending on the seriousness of the action. Such AO/ACO will be able to re-apply only after expiry of the disqualification period. The application is to be accompanied with an undertaking from the CEO of the organization that, if such practices are repeated, it will render the organization ineligible to participate in the NABET accreditation scheme any further. The same approach is applicable for individual experts (PCs and TAEs) as well.

9.5 CONFIDENTIALITY

All information, documents and reports submitted by an AO/ACO to NABET are utilized by the NABET, assessors, members of accreditation and technical committees for the purpose of assessment and accreditation. These may also be shared with the concerned Ministry, Government of India. However, the identity of the accredited consultant organizations would be masked for sensitive information related to business whenever it is called for/appropriate. In case an AO/ACO wants the information to be kept confidential, a communication must be sent to NABET citing reasons for the same. NABET reserves the right to take appropriate decision in this regard. NABET also reserves the right of taking appropriate action against an ACO for deliberate breach of confidentiality.

The ACO is required to have adequate arrangements consistent with applicable laws to safeguard confidentiality of all information provided by its clients. These arrangements are extended to include organizations or individuals acting on its behalf and as its representatives.

9.6 ACCREDITATION OF AGENCIES ALREADY ACCREDITED FOR COAL SECTOR

The exploration agencies already accredited for coal and lignite exploration under sub-rule 21C of Mineral Concession Rules, 1960 can get accredited through supplementary assessment by fulfilling the additional Project Coordinator and Technical Area Expert requirements under these schemes by making an application for this purpose and payment of Rs 25,000/-

10.0 GRIEVANCE REDRESSAL MECHANISM

There are two methodologies available under the Scheme for addressing the grievances of AOs and ACOs—

- a. Review of Decisions
- b. Appeal

10.1 REVIEW OF DECISIONS

In case an AO/ACO wishes for review/reconsideration of any decision taken by NABET, they may send a request for same to NABET.

The following procedure is applicable:

- a. Request received from AO/ACO by NABET is recorded in the same serial as date of receipt

- b. Request must mention specific complaints (not generic in nature) and supported by documentary evidence.
- c. Anonymous/ pseudonymous requests are not be entertained.
- d. Only substantial errors/mistakes on procedural matters or expert(s) approval issues or review of assessment or / accreditation cancellation or other related to the scheme are taken up for consideration. Re-assessment of any aspect of assessment or request for deviation from the Scheme cannot be considered.
- e. Such 'Reviews' are taken up for consideration in a meeting of the relevant Accreditation Committee as early as possible.
- f. Agenda of such meetings is intimated to the AO/ACO.
- g. AOs/ACOs making the request may present their case in person to the AC, if they so desire.
- h. Decision of the AC is intimated to the concerned organizations as well as posted on QCI website.

10.2 APPEAL

An AO/ ACO may apply for Appeal in case it is not satisfied with the 'Review' decision.

An 'Appeal' must include the specific issues on which the appellant is filing the appeal accompanied by supporting documents, fees for appeal. The following information is to be provided while submitting the appeal -

Sl. No	Specific issue/s submitted in Review	Supporting documents submitted in Review	Decision of Review Committee	Additional/ new issues submitted in Appeal now	New supporting documents added now
1	-	-	-	-	-

The following procedure is applicable:

- i. Formation of 3-member Appeals Committee by the Central Government chaired by the Additional Director General level officer of Geological Survey of India(GSI) and other two members from any Central or State Government department/ PSU dealing in mineral exploration.
- ii. All petitions of Appeals shall be sent to NABET. The petitions shall be forwarded by NABET to the Chairman of the Appeals Committee within one week's time of receipt.
- iii. The decision of the Appeals committee is intimated to the appellant in due course.

11.0 CODE OF CONDUCT

All ACOs are obliged to improve the standing of the consultancy profession by rigorously observing the Code of Conduct. Failure to do so may result in the suspension or cancellation of accreditation.

11.1 USE OF QCI AND NABET LOGO

- a. The QCI and NABET accreditation logo is the property of NABET and its use is controlled. Compliance to the guidelines and conditions is required for using this.
 - i. Whenever an Exploration Agency is accredited, NABET shall inform the relevant entity about the conditions of the use of accreditation mark.
 - ii. Accreditation mark can be used by NABET accredited consultant organizations only.

b. Guidelines and conditions of use of accreditation mark

- i. Accreditation mark as appears on NABET Accreditation certificates can be printed as coloured image or black and white
- ii. Accreditation mark shall not be used to suggest any approval or sponsorship of NABET other than the organization accredited.
- iii. Accreditation mark shall not be used in any way that misleads the reader about the accreditation status of the consultant organization
- iv. Accreditation mark is not transferable and is to be used only by the accredited consultant organization as described in its application.
- v. Accredited consultant organization upon suspension or withdrawal or expiry of its accreditation (however determined), shall discontinue the use of NABET accreditation mark on all media of communications by the organization including promotional material, letter head, newsletters, brochures, annual reports, business cards, websites and advertisements etc.
- vi. NABET reserves the right to change the conditions as and when considered necessary and the same shall be communicated to consultant organization.
- vii. Use of accreditation mark is applicable for consultant organizations only and not for individual expert/s.

c. Verification

- a. NABET may, at its discretion, carry out verification of proper use of the accreditation Mark.
- b. If any misuse of the accreditation is noticed, NABET initiates actions as per procedure for suspension and/or cancellation of its accreditation.

11.2 UNDERTAKING BY EXPLORATION AGENCY

The exploration agency undertakes to:

- a. Act professionally, accurately and in an unbiased manner.
- b. Be truthful, accurate and fair to the assigned work, without any fear or favour.
- c. Judiciously use the information provided by or acquired from the client in carrying out the project and to maintain the confidentiality of information received or acquired in connection with the assignment.
- d. Use the expertise of only approved experts of relevant category in the preparation of Geological Reports.
- e. Avoid and/or declare any conflict of interest that may affect the work to be carried out.
- f. Not accept any favour from the clients, or their representatives.
- g. Not act in a manner detrimental to the reputation of any of the stakeholders including NABET and the client.
- h. Co-operate fully in any formal enquiry procedure of NABET.

Prior to accreditation, the AO signs the “Code of Conduct for Exploration Agency” and sends it to the NABET secretariat.

APPENDICES

A. QUALIFICATION, EXPERIENCE AND FUNCTIONS OF EXPERTS: (Category A)

Experts involved in Exploration and Geological Reports preparation comprise Project Coordinator (Exploration) and Technical Area Experts (TAE). They may be helped by team members. The qualification and experience requirements of the experts and roles envisaged for them are detailed below-

A 1.0 Project coordinator (Exploration):**A 1.1 Minimum educational qualifications**

- a. Master's (post-graduate) degree/ M. Tech in either subject- Geology/ Applied Geology/ Geophysics from a UGC/AICTE recognized University/ Institution or equivalent.

A 1.2 Experience of Project Coordinator

- a. Minimum 15 years overall work experience after the completion of above-mentioned qualifying degrees.
- b. Officers retired/served for minimum 15 years in Central/ State Government/ Research Institutes/ universities/ Colleges/ CPSE having qualification at A1.1 and having experience in handling and guiding exploration projects as specified at A1.3 will be considered to fulfil the minimum experience.

A 1.3 Specific Experience in Exploration:

- a. Project Coordinator (PC) must have Specific experience related to planning and managing the Exploration Program of the projects
- b. Designing and implementing QAQC protocols
- c. Geological modelling and Geostatistical analysis,
- d. Resource Estimation and Resource classification in accordance with MEMC Rules and other standard reporting codes.
- e. Prepared 3 Geological Report for the Category A minerals.
- f. Monitoring of 3 Geological Report (auditing, performance evaluation etc.),
- g. A total of three in combination of (e) and (f)

A 1.4 Expected functions of Project coordinators:

The Project coordinator should be thoroughly aware of Exploration methodology, requirements and be familiar with the guidelines of report preparation, MMDR Acts and subsequent amendments, MEMC Rules 2015, Prospecting rules and all relevant regulations and its Amendments. S/he must have a clear concept and thorough knowledge of Prospecting requirements. S/he should share this information with other team members.

The expected functions of Project Coordinator are as follows:

- a) Complete understanding about the project specification, develop broad scoping of the project taking into consideration site specific requirements
- b) Meeting with NMET team or the State Governments for approval of exploration projects.
- c) Responsible for periodic updating of minerals resources, maintenance of borehole cores or samples and bore hole logs;

- d) Prepare Exploration proposal conforming to MEMC Rules and carry out the investigation operation as per the proposal;
- e) Put up the proposal to the NMET or the concerned state government for their acceptance
- f) Visiting the site for appropriate duration for supervising the exploration plan, selection of sampling locations and deciding the type of samples in consultation with the TAEs.
- g) Collating and reviewing the reports of the TAEs which must include analysis and interpretation of data.
- h) Developing the draft Geological Report and circulating the same amongst team members for final feedback and ensuring completeness of the report.
- i) Discussing the draft Geological Report with the NMET team or the concerned state government for their acceptance.

A 2.0 Specific Educational Qualification and Experience for each TAE

A 2.1 Technical Area Expert - Geology

a. Educational qualifications specific to technical area

- i. Master's (post-graduate) degree/ M. Tech - (Geology, Applied Geology) from a UGC/AICTE recognized University/ Institution.

b. Experience specific to functional area must include

- i. Minimum 10 years of professional experience in Exploration out of which 5 years should be in exploration for the mineral commodity or similar commodities/deposits for which he is likely to work on
- ii. Proficiency in geological Exploration/ Prospecting, mapping, and data interpretation and preparation of geological maps & sections, analytical skills to interpret Exploration/ Prospecting data pertaining to mineral prospects. Data interpretation and analysis of available geophysical and geochemical data to identify suitable anomalies.
- iii. Knowledge of exploration geology concepts & geological principles, basin modelling and mineral reserves, ability to identify natural resources and determine their economic value
- iv. Ability to interpret 2D/3D seismic data and create geologic maps and models. Sound knowledge in GPS, GIS and Remote Sensing software's like ArcGIS 10, QGIS etc.
- v. Knowledge of additional SW like Minex, Datamine, Geosoft, Minesoft, Surpac, AutoCAD, etc. for Preparation of ore body model will be preferable.
- vi. Should have adequate experience in supervising drilling operations including but not limited to bore hole planning, fixing drilling machines at bore hole locations by suitable orienting the core barrel to fix up the bore hole azimuth and direction,
- vii. Should have fair knowledge of mineral economics to decide the cut off grades and have a fair idea about the economic viability of a deposit

c. Role and Responsibilities

- i. Identify the associated rock association, assemblages and minerals and if required assess their resource and economic viability; Collection, evaluation and reporting on field samples and prepare activity logs
- ii. Study of available GSI, MECL and other Exploration/ Prospecting reports, compilation and correlation for assessing the likely potentiality of the mineral prospect.
- iii. Execution of drilling operations at prospective locations, direct, supervise drilling and manage all work performed by field crews and drillers
- iv. Preparation of necessary geological maps, bore hole logs, cross sections and accurate geology-based maps to delineate the ore body, and geological modelling.
- v. Work out the appropriate method of sampling and maintenance of bore cores or samples, ensure preparation of samples accordingly and maintain sample information and Exploration/ Prospecting data in relevant database, carry out petrological and mineralogical studies of host rock and mineralised zones
- vi. Evaluation of geological & mineable resources/reserves and classify them as per the MEMC Rules and other standard codes and prepare Geological Reports following the norms of MEMC Rules of proposals received from national & international prospects.

A 2.2 Technical Area Expert - Geophysics (GP):

a. Educational qualifications specific to technical area

- i. Master's (post-graduate) degree/ M. Tech in either subject- Geophysics/ Applied Geophysics from a UGC/AICTE recognized University/ Institution or equivalent.

b. Experience specific to functional area must include

- i. Minimum 5 Years of experiences in similar mineral commodities as out lined under category A.
- ii. Planning and execution of Geophysical Surveys including special studies using suitable geophysical technique and equipment.
- iii. Geophysical methods comprise of measurement of signals from natural or induced phenomena of physical properties of sub surface formation.
- iv. Various physical properties that are made use of in different geophysical techniques - Gravity, Magnetic susceptibility, electrical conductivity, density, elasticity & radioactivity etc.

c. Role and Responsibilities

- i. Prospectively evaluation and Prepare concepts/ plays/ leads/ prospects inventory
- ii. Carry out Vertical electrical sounding and 2D & 3D seismic interpretation incorporated with all wells data, well seismic calibration, Gravity Method, Magnetic / EM profiling and Borehole GP logging.
- iii. Observe the reaction of recording equipment to detect irregularities, Maintenance and updating of Geophysical records
- iv. Use computers for data management, quality control and communication

between the office and field locations

- v. Interpretation of the data, synthesis of results and preparation of reports
- vi. Proper transportation and maintenance of equipment's.
- vii. Must be acquainted with state and national policies.

A 2.3 Technical Area Expert – Remote Sensing & GIS (RS):

a. Educational qualifications specific to technical area

- i. Master's (post-graduate) degree in Geology/ Applied Geology/ Geo-informatics/ GIS & Remote Sensing from a UGC/AICTE recognized University/ Institution or equivalent".

OR

- ii. BE / B.Tech. in GIS/ Remote Sensing / Spatial Sciences/ Geomatics / Geoinformatics and any other relevant fields

b. Experience specific to functional area must include

- i. Minimum 5 Years of experiences with a portfolio of sound knowledge in GPS, GIS and Remote Sensing software's like ArcGIS 10, QGIS, Erdas imagine, Digital photogrammetry
- ii. Experience on ArcGIS extensions like Spatial Analyst, Data Management tool, Overlay Analysis.
- iii. Experience in GIS database management.

c. Role and Responsibilities

- i. GIS layer analysis, feature extraction using satellite data.
- ii. Coordinates and assigns GIS personnel to projects.
- iii. Provides team lead oversight on projects including quality assurance, data analysis, map production and report production.
- iv. Selects from multiple procedures and methods to accomplish tasks.
- v. Excavation measurement to slope stability.

A 2.4 Technical Area Expert - Hydrogeology (HG):

a. Educational qualifications specific to technical area

- i. Master's (post-graduate) degree in Geology/ Applied geology/ Hydrogeology with specialisation or credit courses in Hydrogeology/Hydrology/Water Resources Management from a UGC/AICTE recognized University/ Institution or equivalent.

b. Experience specific to technical area must include

- i. Having minimum 5 Years of experiences entailing analysis of surface hydrogeological data pertaining to ground water, flow fluctuation, estimation of flows; setting up and interpretation of gauging station readings, designing of ground water table measurement and monitoring network, computation of ground water recharge, flow rate and direction.
- ii. Plotting of ground water contours.

- iii. Analysis and description of aquifer characteristics e.g. Permeability, transmissivity, storage coefficient etc., estimation of groundwater potential and recharge phenomenon, determination of impact of withdrawal of groundwater.
- iv. Geology and Geo morphological analysis/description/ Stratigraphy/Lithology.
- v. Developing Geo-hydrological maps.
- vi. Must be acquainted with state and national policies.
- vii. Understanding of policies, guidelines and the legislation related to ground water

c. Role and Responsibilities

- i. Collecting basic mine production data, such as annual output, drainage quantity, water inflow,
- ii. The water inflow (including static-storage and recharge rate) of mine was predicted and calculated by horizontal catchment channel method, big well method and replenishment quantity method, respectively.
- iii. Hydrogeological studies of the area in investigation

A 3.0 Team Member (TM)

A provision of 'Team Member' has been included in the Scheme to provide opportunity to

- a. Experienced professionals in their own fields but lacking experience to enter the profession
- b. Existing experts to expand the field of association
- c. Persons who have obtained eligibility qualifications but do not meet the experience requirement of TAE or EC
- d. This provision is only available for in-house experts

A 3.1 Procedure to be followed to work as TM

- a. As the concept of TM has been introduced to enable experts to gain necessary experience, NABET should be informed after joining the agency / organisation/ACO/AO.
- b. The person to be proposed as a TM should meet the educational requirements of the Scheme for PC or TAE, as applicable.
- c. The TM has to get involved in the various functions of the PC and or TAE for obtaining the relevant experience.
- d. TM may be attached with a PC and/or a TAE. The name of the TM(s) must appear in the list of experts associated in the report.
- e. Information for associating a TM is to be submitted to NABET in a prescribed Format *vide Annexure 14* with following details:
 - i. Declaration by the CEO/ authorized signatory of the AO/ ACO confirming the involvement of the team member in the project giving name of approved PC/ TAE with whom s/he is attached and the duration of involvement.
 - ii. Specific nature of work in which the TM will be involved with the PC or TAE.
- f. List of the persons being used as TM must accompany the application giving the name of the PC/TAE with whom the TM is attached.

A 3.2 Expected functions of team member

The team member (TM) is expected to be involved both in field work as well as in the discussions amongst the PC and the TAEs. Since s/he is expected to be knowledgeable in area of expertise, emphasis should be given to acquaint her/him on aspects, developing Geological Report.

B. QUALIFICATION, EXPERIENCE AND FUNCTIONS OF EXPERTS: (Category B)

Experts involved in the Geological Reports preparation comprise Project Coordinator (Exploration) and Technical Area Experts (TAE). They may be helped by team members. The qualification and experience requirements of the experts and roles envisaged for them are detailed below-

B 1. Project coordinator (Exploration):**B 1.1 Minimum educational qualifications**

- a. Master's (post-graduate) degree/ M. Tech in either subject- Geology/ Applied Geology/ Geophysics from a UGC/AICTE recognized University/ Institution or equivalent.

B 1.2 Experience of Project Coordinator

- a. Having a minimum 10 years of relevant work experience after the completion of above-mentioned qualifying degrees.
- b. Officers retired/served for minimum 10 years in Central/ State Government/ Research Institutes/ universities/ Colleges/ CPSE having qualification at A1.1 and having experience in handling and guiding exploration projects as specified at A1.3 will be considered to fulfil the minimum experience.
- c. Proficient in MS office, CAD, ArcGIS, Modelling Software, Data Processing Tools, Geological Modelling Tools.

B 1.3 Specific Experience in Exploration:

- a. Project Coordinator (PC) must have Specific experience related to planning and managing the advanced Exploration projects
- b. Designing and implementing QAQC protocols
- c. Geological modelling and Geostatistical analysis,
- d. Resource Estimation and Resource classification in accordance with MEMC Rules and other standard reporting codes.
- e. Prepared at least 2 Geological Report.
- f. Monitoring of 2 Geological Report (auditing, performance evaluation etc.),
- g. A total of two in combination of (e) and (f)

B 1.4 Expected functions of Project coordinators (Exploration):

The Project coordinator should be thoroughly aware of Exploration methodology, requirements and be familiar with the guidelines of report preparation, MMDR Act, Prospecting rules and all relevant regulations and its Amendments. S/he must have a clear concept and thorough knowledge of prospecting and prospecting requirements. S/he should share this information with other team members.

The expected functions of Project Coordinator are as follows:

- a) Complete understanding about the project specification, develop broad scoping of the project taking into consideration site specific requirements
- b) Meeting with NMET team for approval of exploration projects.
- c) Responsible for periodic updating of minerals resources, maintenance of borehole cores or samples and bore hole logs;

- d) Prepare Exploration proposal conforming to MEMC Rules and carry out the investigation operation as per the proposal;
- e) Put up the proposal to the NMET or the concerned state government for their acceptance
- f) Visiting the site for appropriate duration for supervising the exploration plan, selection of sampling locations and deciding the type of samples in consultation with the TAEs.
- g) Collating and reviewing the reports of the TAEs which must include analysis and interpretation of data.
- h) Developing the draft Geological Report and circulating the same amongst team members for final feedback and ensuring completeness of the report.
- i) Discussing the draft Geological Report with the NMET team or the concerned state government for their acceptance.

B 2.0 Technical Area Expert - Geology (GEO):

a. Educational qualifications specific to technical area

- i. Master's (post-graduate) degree/ M. Tech in either subject- Geology/ Applied Geology from a UGC/AICTE recognized University/ Institution or equivalent.

b. Experience specific to functional area must include

- i. Minimum 5 years of professional experience in prospecting and exploration for the mineral commodity or similar commodities for which he is likely to work on
- ii. Proficiency in geological Exploration/ Prospecting, mapping, and data interpretation and preparation of geological maps & sections, analytical skills to interpret Exploration/ Prospecting data pertaining to mineral prospects. Data interpretation and analysis of available geophysical and geochemical data to identify suitable anomalies.
- iii. Knowledge of exploration geology concepts & geological principles, basin modelling and mineral reserves, ability to identify natural resources and determine their economic value
- iv. Ability to interpret 2D/3D seismic data and create geologic maps and models. Sound knowledge in GPS, GIS and Remote Sensing software's like ArcGIS 10, QGIS etc.
- v. Knowledge of additional SW like Minex, Datamine, Geosoft, Minesoft, Surpac, AutoCAD, etc. for Preparation of ore body model will be preferable.
- vi. Should have adequate experience in supervising drilling operations including but not limited to bore hole planning, fixing drilling machines at bore hole locations by suitable orienting the core barrel to fix up the bore hole azimuth and direction,
- vii. Should have fair knowledge of mineral economics to decide the cut off grades and have a fair idea about the economic viability of a deposit

c. Role and Responsibilities

- i. Identify the associated rock association, assemblages and minerals and if required assess their resource and economic viability; Collection, evaluation and reporting on field samples and prepare activity logs

- ii. Study of available GSI, MECL and other Exploration/ Prospecting reports, compilation and correlation for assessing the likely potentiality of the mineral prospect.
- iii. Execution of drilling operations at prospective locations, direct, supervise drilling and manage all work performed by field crews and drillers
- iv. Preparation of necessary geological maps, bore hole logs, cross sections and accurate geology-based maps to delineate the ore body, and geological modelling.
- v. Work out the appropriate method of sampling and maintenance of bore cores or samples, ensure preparation of samples accordingly and maintain sample information and Exploration/ Prospecting data in relevant database, carry out petrological and mineralogical studies of host rock and mineralised zones
- vi. Evaluation of geological & mineable resources/reserves and classify them as per the MEMC Rules and other standard codes and prepare Geological Reports following the norms of MEMC Rules of proposals received from national & international prospects.

B 3.0 Team Member (TM)

A provision of 'Team Member' has been included in the Scheme to provide opportunity to

- a. Experienced professionals in their own fields but lacking experience to enter the profession
- b. Existing experts to expand the field of association
- c. Persons who have obtained eligibility qualifications but do not meet the experience requirement of TAE or EC
- d. This provision is only available for in-house experts

B 3.1 Procedure to be followed to work as TM

- a. As the concept of TM has been introduced to enable experts to gain necessary experience, NABET should be informed after joining the agency / organisation /ACO/ AO.
- b. The person to be proposed as a TM should meet the educational requirements of the Scheme for PC or TAE, as applicable.
- c. The TM has to get involved in the various functions of the PC and or TAE for obtaining the relevant experience.
- d. TM may be attached with an PC and/or a TAE. The name of the TM(s) must appear in the list of experts associated in the report.
- e. Information for associating a TM is to be submitted to NABET in a prescribed Format *vide Annexure 14* with following details:
 - i. Declaration by the CEO/ authorized signatory of the AO/ ACO confirming the involvement of the team member in the project giving name of approved PC/ TAE with whom s/he is attached and the duration of involvement.
 - ii. Specific nature of work in which the TM will be involved with the PC or TAE.

- f. List of the persons being used as TM must accompany the application giving the name of the PC/TAE with whom the TM is attached.

B 3.2 Expected functions of team member

The team member (TM) is expected to be involved both in field work as well as in the discussions amongst the PC and the TAEs. Since s/he is expected to be knowledgeable in area of expertise, emphasis should be given to acquaint her/him on aspects, developing Geological Report.

QUALITY MANAGEMENT SYSTEM

Exploration Agencies are advised to establish and maintain a Quality Management System (QMS) for their organization as the same offers the following benefits;

- Creates a culture of doing things right, the very first time.
- Inculcates the culture of “**saying, what we do and doing, what we say**”
- Increases system orientation and reduces person specific dependence.
- Encourages uniform knowledge sharing and develops skilled work force.
- Helps develop team spirit
- Reduces duplicate work and minimizes wastages.
- Improves quality of work and brand image.

QMS should be based on ISO 9001 while addressing specific requirements of NABET Scheme. Please note that if an organization is already ISO 9001 certified, guidelines C1 to C4 and C10 are normally addressed (which may please be checked). It is then required to develop procedures for the NABET specific items i.e., D4 to D9 and integrate them with the system meaning that these should also come under the ambit of auditing, document control, management review etc.

If an organization has not been initiated into the system-oriented approach of working which is documented, audited and reviewed, it needs to acquaint itself of ISO 9001 requirements. Such organizations may initially take the help of a consultant but MUST NOT OUTSOURCE THE WORK OF ESTABLISHING THE QMS to him to meet the requirements of the NABET Scheme. Such an approach will be counterproductive as the system so developed is less likely to be owned by the working team and would remain a standalone document. THE BEST WAY IS TO GET THE GUIDANCE OF A CONSULTANT BUT LET THE WORKING TEAM ESTABLISH THE SYSTEM.

A QMS is supported by a 3-tier documentation system

- The Quality Management System manual
- Procedures
- Work instructions/forms/formats/checklists to implement the procedures

Some organizations have included ‘Reference materials’ to their documentation system. Further explanation is given in D 2 below.

Guidelines given in **Appendix C** for various elements of the QMS and the explanation thereof are given below –

Guidelines for developing the QMS –

C1. QUALITY POLICY shall be defined to address at least following:

- a. Be appropriate to the Organization’s purpose & context, and support its strategic direction
- b. Includes commitment for, continual improvement and satisfy applicable requirements
- c. Provide a framework for setting objectives and a review mechanism
- d. Be communicated and understood within the Organization
- e. Focus on customer satisfaction

C2. CONTROL OF DOCUMENTED INFORMATION SHALL GIVE PROCEDURES FOR:

- a. Uniquely identifying documents and records
- b. Approving documents prior to issue
- c. Distribution, access, retrieval and use
- d. Control of changes
- e. Reviewing and updating of documents, as required
- f. Retention and Disposition
- g. Ensuring quick availability of relevant revision of the document

- h. Storage, protection and retrieval of documented information and handling of outdated/superseded documents

C3. PERFORMANCE EVALUATION AND REVIEW SHALL GIVE PROCEDURES FOR:

- a. Fixing Key Performance Indicators (KPI) of experts involved and annual appraisal of the same
- b. Assessing / ensuring the quality of respective Geological Report (GR) prepared
- c. Periodic and systematic audit, both internal and external and follow up action for closure of Non-conformances (NCs)/ observations.
- d. Management review giving periodicity and issues to be taken up including feedback from project proponent on quality of respective Geological/ / GR review reports prepared and necessary follow up action.

C4. ACTIONS TAKEN TO ADDRESS NON- CONFORMANCES– SHALL GIVE PROCEDURES FOR:

- a. Analysing the NCs of internal audits as well as external audits including NABET to identify the causes and the actions to be taken,
- b. Identifying resources and other inputs required for such actions,
- c. Fixing the time frame and the responsibility for the actions,
- d. Ensuring the completion of the actions to be taken,
- e. Review the effectiveness of corrective actions taken
- f. Review risks, opportunities and overall QMS if required

C5. LEADERSHIP AND PLANNING SUPPORT & OPERATION- SHALL GIVE PROCEDURES FOR PLANNING, OPERATIONS & SUPPORT FOR DEFINED QMS INCLUDING ROLE AND ACCOUNTABILITY OF TOP MANAGEMENT.

- a. Accountability for Effective design and implementation of QMS is defined
- b. Use of process approach and risk-based thinking is evident
- c. System for effective communication is defined and implemented
- d. Risk Management process is established, that is linked to organizations context
- e. Interested parties for organization's QMS are identified and their inputs are captured to improve QMS
- f. System for change management is defined and implemented
- g. Shall determine, provide and maintain the infrastructure necessary for its operation and processes.
- h. Shall plan implement and control the processes needed to meet the requirements as per defined QMS

C6. COMPETENCE MANAGEMENT OF STAFF, EXPERTS AND OTHER PERSONS RELATED TO SCOPE OF QMS– SHALL GIVE PROCEDURES FOR:

- a. Define and provide the necessary persons needed for effective implementation of QMS
- b. Define the necessary competence (Education, experience and skills) for staff, experts and other persons whether in house or contractual, impacting the QMS of the organization,
- c. Assessing the work done by the prospective experts prior to their retention
- d. Framing the “terms of reference” for retention of the expert, including preparation of the report for her/his portion of the work,
- e. Assessing performance of the work done by the experts for the organization,
- f. Wherever applicable, take appropriate actions to acquire necessary competence and evaluate the effectiveness of actions taken
- g. Maintain appropriate documented information as evidence of competence.

C7. COLLECTION AND MEASUREMENT OF PRIMARY DATA -

‘Primary’ data will cover all forms of data collected through the field work, for assessing the project area. The procedures for collecting primary data should include:

- a. Site visits by the respective Geological Report Preparing team to familiarize about site conditions to plan for the respective Geological Report selecting the number and location of monitoring stations and the type of sampling and parameters to be monitored

- b. Interpretation of data including statistical analysis to arrive at meaningful information
- c. Specifying as appropriate for the scope of Geological Report methodologies to be followed and interpretation of the same.

C8. COLLATION, SYNTHESIS AND INTERPRETATION OF SECONDARY DATA -

Authenticity, credibility, appropriateness and relevance of the secondary data are the cornerstones of a good Geological Report. Secondary data shall be used to supplement the primary data and under no circumstances this shall be used as a replacement of primary data. This procedure should include information on:

- a. When secondary data would be resorted to
 - b. Relevant secondary data to be collected as appropriate for study requirements
 - c. Sources of secondary data ensuring their reliability and age
 - d. Validation of important secondary data by cross verification at the site or from other sources
 - e. Ensuring the brevity of the data (eliminating irrelevant information)
- It is a good practice to give reference to the source when secondary data is used.

C9. CONTROL OF EXTERNALLY PROVIDED PROCESS, PRODUCTS AND SERVICES

Organization shall give procedure to apply necessary controls for the externally provided processes, products and services.

The manual should mention procedures for:

- a. Defining the conditions when outsourcing would be resorted to
- b. Assessing the capability of the agency to take up the work to be outsourced
- c. Drawing up the terms of reference for the outsourced work
- d. Identifying steps to be taken to ensure the quality of the outsourced work
- e. Timely review, monitor and control on outsourced services as per defined QMS

C10. LABORATORY WORK FOR GEOLOGICAL REPORT DATA -SHOULD GIVE PROCEDURES FOR:

- a. Assessing a laboratory for its capability to analyze the parameters required for collection of surface and sub surface GEOLOGICAL REPORT data and studies
- b. Identifying the scope of work to be assigned to the lab and those to be done by the Geological Report preparing Agencies.
- c. Collection, preservation and transportation of samples from site to the laboratory
- d. Quality assurance by the team of the primary data collection work including supervision at site
- e. Type of records to be maintained by the laboratory and the team on the baseline data collection work

C11. CUSTOMER SATISFACTION & COMPLAINTS– SHALL GIVE PROCEDURES FOR

- a. Monitor customers perceptions of the degree to which their needs and expectations are fulfilled.
- b. Informing the clients about the provision of complaints
- c. Accepting complaints
- d. Handling and disposal (including authority and responsibility) of the same within reasonable time
- e. Maintaining records of complaints
- f. Ensuring implementation of correction and corrective actions

APPENDIX - D

Fees Structure: Category-A Exploration Agency

S.No.	Aspect	Fees Applicable
A Initial Accreditation (IA)		
1	Application Fee	Up to 5 numbers proposed candidates –Rs. 20,000/
		More than 5 numbers proposed candidates – Rs. 30,000/
2	Stage II Assessment (Technical review)	Up to 5 numbers proposed candidates – 1x1 person days
		More than 5 numbers proposed candidates – 1x1.5 person days
3	Stage III Assessment (Site office assessment)	Up to 5 numbers proposed candidates – 1x2 person days
		More than 5 numbers proposed candidates – 2x 1.5 person days
4	Assessment report writing by assessor	1x 0.5 person days
B Surveillance Assessment (SA) – after 18 months		
1	Application Fee	NIL
2	SA assessment (Technical review)	1x1 person days
3	Stage III Assessment (Site office assessment)	1x1 person days
4	Assessment report writing	1x 0.5 person days
C Annual fee - includes accreditation and administrative costs.		
1	Accreditation and administrative cost	Category A Exploration Agencies - Rs. 50,000/
D Re-Accreditation Assessment (RA) - Renewal of Accreditation after 3 Years		
1	Application Fee	Up to 5 numbers proposed candidates –Rs. 20,000/
		More than 5 numbers proposed candidates – Rs. 30,000/
2	Stage II Assessment (Technical review)	Up to 5 numbers proposed candidates – 1x1 person days
		More than 5 numbers proposed candidates – 1x1.5 person days
3	Stage III Assessment (Site office assessment)	Up to 5 numbers proposed candidates – 2x1 person days
		More than 5 numbers proposed candidates – 2x 1.5 person days
4	Assessment report writing	Up to 5 candidates – 1x 0.5 person days
E Supplementary assessment for Technical Area Expert (TAEs)		
1	Application Fee	NIL
2	Technical Review	1x0.5 person days
3	Interaction & Report making	1x 0.5 person days
F Scope Expansion Application - for Accredited Consultant in Coal Sector		
1	Application & Assessment Fee	for Mineral Sector Exploration Agency - 25000 (fixed)
G Request for review of decision/ appeal by AO/ACO to NABET		

1	Application Fee	To apply in prescribed format - 25000 (fixed)
Travel and stay of assessors are to incurred by Applicant Organisation – at actual		

Fee Structure: Category-B Exploration Agency

S.No.	Aspect	Fees Applicable
A	Initial Accreditation (IA)	
1	Application Fee	Up to 3 number candidates proposed –Rs. 10,000/-
		Up to 5 number candidates proposed –Rs. 20,000/-
		Exceeding 5 number candidates – as per Cat A Fee
2	Stage II Assessment (Technical review)	Up to 5 number candidates proposed – 1x1 person days
3	Stage III Assessment (Site office assessment)	Up to 3 candidates – 1x 0.5 person days
		Up to 5 candidates – 1x 1 person days
4	Assessment report writing by assessor	Up to 5 candidates – 1x 0.5 person days
B	Surveillance Assessment (SA) – after 18 months	
1	Application Fee	NIL
2	SA assessment (Technical review)	Compliance condition & Quality of work – 1 person days
3	Assessment report writing	Up to 5 candidates – 1x 0.5 person days
C	Annual fee - administrative charges	
NIL		
D	Re-Accreditation Assessment (RA-renewal of accreditation after 3 Years)	
1	Application Fee	Up to 3 number candidates proposed –Rs. 10,000/-
		Up to 5 number candidates proposed –Rs. 20,000/-
		Exceeding 5 number candidates – as per Cat A Fee
2	Stage II Assessment (Technical review)	Up to 5 number candidates proposed – 1 person days
3	Stage III Assessment (Site office assessment)	Up to 3 number candidates proposed – 1x0.5 person days
		Up to 5 number candidates proposed – 1x 1 person days
4	Assessment report writing by assessor	Up to 5 number candidates proposed – 1x 0.5 person days
E	Supplementary assessment for Technical Area Expert (TAEs)	
1	Application Fee	NIL
2	Technical Review	Up to 5 number candidates proposed – 1x 0.5 person days
3	Interaction & Report making	Up to 5 number candidates proposed – 1x 0.5 person days
F	Request for review of decision/ appeal by AO/ACO to NABET	
1	Application Fee	To apply in prescribed format - 10000 (fixed)
Travel and stay of assessors are to incurred by Applicant Organisation – at actual		

Note:

1. Applicable tax/GST payable by the organization
2. Per Person per day charges are Rs. 18,000/-. Numbers of days for assessment are estimated based on the number of candidates to be interviewed, size of the organization, documents/laboratory to be seen etc. QCI/NABET reserves the right to revise the person day rate, if deemed necessary.
3. 'Candidates' mean personnel proposed/assessed as Project Coordinator (PC), TAEs and team members
 - Candidate - refers to all candidates proposed as Project Coordinator (PC), TAEs and team members in application
 - Candidate - refers to all candidates as a part of application in Stage I & II
 - Candidate - refers to all candidates assessed during office assessment
4. Economy class air fare/organization's guesthouse or Hotel (boarding and lodging, equivalent to 3-star facility), local travel by AC car/ taxis are paid at actuals by the applicant to NABET. The consultant organization will make the ticketing & other arrangements as per the requirements.
5. The annual fee for the first year is to be sent only after the receipt of confirmation from NABET of the applicant having been approved for accreditation. Certificate is sent after receipt of full fees and expenses at NABET.
6. Continuation of accreditation after SA and re-accreditation are given only on payment of all dues to NABET.
7. Accrediting Agency (QCI- NABET) may enhance the fee depending on the market scenario and with due approval from Ministry of Mines.
8. The fees paid are not refundable.

PROCESS FOR INITIAL ACCREDITATION, SURVEILLANCE ASSESSMENT AND RE-ACCREDITATION

E 1.0 ACCREDITATION CYCLE

In a **3 years cycle of accreditation** 3 types of assessments are carried out. These are:

Initial Accreditation (IA): In the IA, the potential of the applicant organization is assessed and based on that accreditation is granted. On successful completion of the initial assessment, an applicant organization is given accreditation for 3 years, subject to a surveillance assessment after 18 months. Details of IA are furnished below.

Surveillance Assessment (SA): SA is to assess performance after IA for continuation of accreditation. The objective is to judge to what extent the potential has been fulfilled i.e. its performance along with compliance to the conditions of accreditation. SA falls due 18 months after IA. Details of SA are furnished below.

Re-accreditation (RA): Following the principle of 'continual improvement', in RA the stress is on improvement achieved by the ACO during the period of accreditation. Since, the ultimate objective of the Scheme is to prepare credible Reports, RA accords progressively higher weightage to the same. RA comes 18 months after SA i.e., on completion of 3 years after IA. Details of RA are furnished below.

E 2.0 ASSESSMENT PROCESS

All the 3 types of accreditation mentioned above have the following 3 stages;

- i. **Stage I assessment:** scrutiny for completeness of applications and supporting documents by NABET secretariat
- ii. **Stage II assessment:** technical review of the documents is done by NABET assessor called the principal assessor (PA).
- iii. **Stage III assessment:** the office assessment is jointly conducted by PA and a co-assessor (CA) at the premises of the applicant.

These are explained in detail in following sections:

E 2.1 STAGE I ASSESSMENT: SCRUTINY FOR COMPLETENESS OF APPLICATIONS AND SUPPORT DOCUMENTS BY NABET SECRETARIAT

Applications submitted by an Applicant Organization (AO) must be complete in all respects including the support documents as mentioned in the checklist in **Annexure 11** of the Scheme. The main points to be kept in mind by the AO/ACOs are -

- a. Ensure that proposed candidates meet the requirements of the Scheme both in respect of qualification and experience for all Project Coordinator, TAEs, TM.
- b. Any organization to be accredited must have ONE approved in-house PROJECT COORDINATOR, ONE In-house TAE (GEO) as per the scheme requirement. The other TAE may be In-house or empanelled. The organisation must cover remaining Technical Areas (TAs).
- c. CVs of experts must be submitted in Formats given in **Annexure 5**, as applicable. AOs/ACO are advised to provide specific experience separately for each functional/ technical area. An incomplete CV can delay the processing of the application or may also result in non-approval of candidate.
- d. Empanelled candidates must submit MoU, Declaration (**Annexure 12**), and NOC, where applicable, as per requirements of the Scheme
- e. Application must include proposal for eligible candidates to cover functional/ technical areas as per requirements of the Scheme.

- f. The QMS should address the procedures mentioned in **Appendix C** of this Scheme. The application must be accompanied by the QMS Manual of the organization.
- g. The exploration agency must have an arrangement with a Government recognised/NABL accredited/ CSIR lab/Institution lab/University lab for the drill core analysis/ assaying the mineral ore. It can be an In-house or external laboratory. For NABL accredited laboratories, the certificate and scope of accreditation and for other laboratories submit a copy of the relevant Notification/ Document and also a copy for assessing the scope recognition.
- h. In case of applications from Universities and Research Institutes, their in-house laboratory may be considered. Such laboratories should be equipped with necessary equipment and instruments to carry out analyses of parameters required and have proper systems and staff for the same. These are visited by NABET assessors and based on their report a decision is taken by the accreditation committee.
- i. For external laboratory, a copy of the MoU between the AO/ACO and the laboratory must be submitted with the application for accreditation indicating clearly the duration and scope along with other relevant details (see section E 7.0 of **Appendix E**).
- j. Candidates seeking approval as Project Coordinator, TAE and TM based on her/his experience must submit relevant documents in support as specified in Scheme.
- k. Check lists of documents to be submitted with the application are given in **Annexure 1, 2 and 3** for IA, SA and RA respectively and **Annexure - 11**.

E 2.2 Stage II – Technical review of documents by NABET assessor

Once the application is checked for its completeness by the NABET secretariat, the technical contents of the documents are assessed by the principal assessor for conformity with the Scheme. After the evaluation, NABET informs the AO of the non- conformances (NC) and/or observations, if any, in the specific format. The closure actions submitted by the AO/ACO are assessed for completeness by the principal assessor. Candidates not fulfilling the requirements of Scheme in Stage II in terms of qualification and experience are not eligible for Stage III assessment.

For NABET to proceed further to stage III assessment, the following must necessarily be available in the application:

- a. Eligible in-house and empanelled Project coordinator (PC).
- b. Proposed TAEs must meet the qualification and experience requirements the Scheme.
- c. Experience details of all proposed candidates as per prescribed formats.
- d. Completed QMS manual and laboratory details as per requirements of Scheme

Note:

An assessment fee is charged for the documentation review, as per details in **Appendix D**. In case the verification of the closure action proposed/submitted needs assessment of more than two proposed TAEs or one proposed Project Coordinator, additional fee is applicable.

E 2.3 Office assessment by NABET assessors

- a. After the successful closure of NCs and observations as mentioned above by the AO, NABET undertakes at least one full office assessment by a team of two or more Assessors. This includes interactions with the experts, verification of compliance to systems and procedures submitted with the application, field investigation practices, records, laboratory and office/support structure and the reports prepared by the AO
- b. Members of AC, TC, new assessors and NABET secretariat may also visit AO/ACO premises as observers, at NABET's cost, in case need arises.

- c. During the Stage III assessment all in-house and empanelled Project coordinator, TAEs and team members proposed and fulfilling the requirements of the Scheme, interact with NABET assessors. Interaction may also become necessary with laboratory staff and personnel associated with QMS.
- d. NABET informs the AO/ACO, at least 10 days in advance, the date of the office assessment. Sometimes, office assessment may have to be conducted with a notice of less than 10 days, if it is feasible for AO/ACO.
- e. To keep the schedule of assessments, it is not possible to accept any postponement of assessment dates unless it clashes with public hearing or some extra-ordinary situation at the applicants' end which cannot be avoided.
- f. If any candidate proposed for Project Coordinator and/or TAE is not available during the office assessment without formal intimation to NABET, his/her name respectively are not considered for approval. If leave of absence is sought from NABET in advance, such candidates may appear for interaction at a later date to be communicated by NABET.
- g. During the interaction with experts, relevant documentary evidences of educational qualifications and experience are examined by the assessors. Hence, such documents should be kept readily available. The work experience may not be considered, if the candidates are unable to produce documentary evidence in support of their claim of experience.
- h. In case the organization has offices at multiple locations, it must be clearly mentioned in the application giving address, location, services, staff etc. A partial assessment of a few selected locations may be conducted by NABET. The choice of locations is at the discretion of the NABET assessment team.
- i. A NABET assessors may inspect the laboratory or an on-going base line data collection work, if required.
- j. During the office assessment many documentary evidences are put up by the applicant in original. Also, certain clarifications/additional information are sought by the assessors from the applicant. All such documents in soft format (scanned copies, if applicable) must be submitted to NABET by the applicant within one week of the stage III assessment.
- k. Non-conformance and observations may be raised by the assessors after the assessment or later, which are communicated to the AO/ACO by NABET. Closure actions on such NCs/Obs. must be sent to NABET by the AO within two weeks of the communication. On receipt of closure of NCs/Obs. from the AO and clarifications/additional information from the assessors, if any, the case is put up to the accreditation committee for its review and decision.

E 3.0 Assessment process - Initial Accreditation (IA)

This is the first step of approval in the accreditation cycle. There are five key requirements for accreditation. The assessment criteria for these are elaborated in section C 3.1 to 3.5.

E 3.1. Human Resource

The candidates meeting the qualification and experience requirements specified in the Scheme are assessed by the principal and co-assessors broadly on following aspects -

a. Project Coordinators– must have

- i. Conceptual understanding of project requirements, process and outcome.
- ii. Knowledge of the applicable Acts, Rules and Regulations governing the project.
- iii. Domain knowledge
- iv. Understanding of the legislations and rules/regulations with respect

b. Technical area experts (Exploration)– must have:

- i. Knowledge of the functional/ technical area/s as applicable

- ii. Ability to identify and quantify impacts, where applicable
- iii. Ability to suggest/vet mitigation measures and clarity of role as TAE.
- iv. The capability of identifying the need of the project
- v. Understanding of the legislations and rules/regulations with respect to the technical areas.

c. Team members

They are met by the assessors during office assessment to assess their suitability for the role proposed, but not given any marks.

***Note:** Documentary evidences in support of work experience claimed would help assessment process.*

E 3.2 Field investigations and laboratory systems

To ensure data integrity, this section covers assessment of the following:

- a. Collection, quality assurance and interpretation of prospecting.
- b. Collation, synthesis and interpretation of secondary data if any.

E 3.2.1 Field investigation

Assessment for this section covers the following for quality assurance:

- i. Methodology for collection of data and involvement of PCs and TAEs in selection of sampling locations, type of samples, parameters to be tested quality assurance of data collected, preservation and transportation of samples and interpretation of the data for use in Geological Report preparation.

E 3.2.2 Collation, synthesis and interpretation of secondary data:

- i. Methodology for identification of sources,
- ii. Ground validation and
- iii. Interpretation of data

E 3.3 QUALITY MANAGEMENT SYSTEM (QMS)

Since the use of QMS in developing Geological Reports is a comparatively recent approach, the emphasis is on the content and coverage of the systems and procedures developed and understanding of the same in the organization.

Assessment includes verifying whether all the requirements of **Appendix C** of the Scheme have been covered by documented procedures backed by forms/formats/check lists for implementation of the same; the quality of the content of the procedures developed; understanding of the system including organizational awareness of the QMS and action plan/status of implementation.

E 3.4 COVERAGE AND QUALITY OF GEOLOGICAL REPORTS: -

The Geological Reports are examined for coverage and quality of data generated in the reports prepared by an applicant organization prior to getting accredited.

The foundation of any good resource estimate is based on reliable data, whether in the form of 3D points that will form a topographic survey, down hole surveys, collar data, sampling and analytical data, geological and geophysical logging data coverage in the Geological Report (GR). The assessment, interalia, covers all the aspects involved in preparation.

- a. Quality assurance (QA) protocols should be followed for all data types, not just sampling and analytical data.
- b. Duly signed declaration of experts' involvement in Geological Reports (GR) preparation

For a fresh applicant organization which has not carried out any Geological Reports preparation, this section may not be applicable.

E 3.5 ORGANIZATIONAL COMMITMENT –

The following requirements aim to ensure the commitment from the accredited agencies towards continual improvement

a. Capacity building

- i. System of assessing performance of experts,
- ii. Identification of training needs and
- iii. Providing necessary training for enhancement of skill and competence to deliver quality reports.

b. Commitments towards quality of Reports

- i. Preparation of clear activity chart (with milestones) from start to completion for the projects;
- ii. Meeting/s with project proponent to ensure better coordination for execution of the project and recording the same;
- iii. System of learning from the comments of the meetings to improve the quality of reports.

c. Facilities –

- i. Use of appropriate tools and software for impact assessment
- ii. Provision of computing and internet and video conferencing facilities,
- iii. Library, documentation centre

E 3.6 Weightage of Marks

For weightage of marks for various aspects of assessment, please refer to:

- a) **Category A Agency:** (Table 1 of section 7.1)
- b) **Category B Agency:** (Table 2 of section 7.1)

NOTE:

- An AO must score a minimum of 50% in each aspect of assessment (S. No 1 to 6 of the table) for being considered for accreditation.
- For a candidate to get approved as PC & TAE, s/he must score minimum of 50%.
- For team member only approval will be granted.

E 3.7 Conditions to be fulfilled for initial accreditation

- a. In case the short fall concerns the QMS the AO is given 15 days' time to improve the QMS to meet the requirements of the Scheme
- b. NABET conducts one a day assessment at the premises of the AO within 3 months to find out level of understanding of the QMS in the organization and the action plan for implementation

E 3.8 Submission of complete application

An AO is required to submit a complete application meeting requirement of the Scheme. In case the application is incomplete, the AO is informed by NABET of the aspects in which the same is incomplete. The AO is required to submit all details to make the application complete as early as possible for further processing of application. If the application remains incomplete even after six months from the date of initial application, it is treated as closed and the AO needs to submit a fresh application with requisite fees, should it wish to be considered for accreditation under the Scheme.

E 3.9 Self-assessment checklist

It is important that the application submitted by an applicant organization is complete in all respects, which would facilitate quick processing of the same. Also, it helps the organization in facing office assessment by NABET assessors if it is well prepared for the same. To help the organizations on the above, self-assessment formats have been developed both for completeness of application and for preparedness for assessment by NABET for IA, SA and RA and are given in **Annexure 11**.

E 4.0 Assessment process - surveillance assessment

Surveillance assessment (SA) falls due after 18 months of initial accreditation (which is effective from the date of office assessment for initial accreditation). Application for SA in prescribed format, accessible from QCI/NABET website, is required to be submitted to NABET at least 3 months before the due date i.e. 15 months after IA. The application must be complete with all relevant documents which include a list of Reports prepared after IA, list of experts involved in the Report's preparation, copy of the QMS manual, details about laboratory arrangements, etc. A checklist of the documents to be submitted is given at **Annexure 2**.

SA cannot proceed in the following cases:

- i. Non-submission of satisfactory response to NC/ Obs. of IA/ RA
- ii. Government recognised/NABL accredited/ CSIR lab/Institution lab/ University labs have not been used.
- iii. Non-compliance to conditions of accreditation and non-payment of pending dues
- iv. Non-fulfilment of requirements of technical areas
- v. Non-fulfilment of requirements of PC and TAEs

Note:

- i. In the event, an approved expert has left the ACO three months prior to the date of application for SA, an ACO can put up a proposal for approval of an alternative eligible In-house/emp.
- ii. In event of resignation of any of the approved PC/TAE, earlier than 3 months prior to the date of application of SA, replacement to be proposed by the ACO within defined timeline.

There are five key requirements in SA for continuation of accreditation. These are detailed in E 4.1 to E 4.5.

E 4.1 Performance of approved experts

The PC and TAEs experts approved in the SA are assessed by the principal and co-assessors on the following aspects -

a. Project Coordinators (Exploration) must have:

- i. Site familiarity through visit to the site to plan for Geological Reports.
- ii. Completeness of impact assessment covering all aspects in respect of physical, ecological, social and risk related issues.
- iii. Completeness, addressing all impacts along with budgetary projections and monitoring plan

b. Technical area experts (Exploration) must have:

- i. Visited the site for familiarization and involvement in selection of sampling locations, collection and supervision of sampling for primary data
- ii. Identified and quantified impacts, where applicable
- iii. Made contribution to respective Report's preparation.

Note:

- a. Documentary evidences in support of work carried out during period under SA must be available for PC/ TAEs

- b. In case an approved expert was not involved in any Report preparation for the period after IA and up to SA, s/he may be allowed to 'continue by default' for functional/ technical area as per recommendation of Assessors.

E 4.2 FIELD INVESTIGATIONS AND LABORATORY SYSTEMS

Collection of quality data is of crucial importance for preparing Geological Reports. Primary data are collected for:

Geological Reports

- Exploration/ Prospecting coverage
- Geological Mapping and Surveying data
- Remote sensing, airborne geophysical survey
- Geochemical Survey
- Drilling data - Borehole density, Coring/non-coring drilling.
- Geophysical logging.
- Sampling - Borehole core sampling, Analysis reports
- Petrographic & Mineralogical studies
- RQD & Physico-Mechanical Test.
- Geostatistical analysis
- Hydrogeological Studies
- Data Interpretation and Resource/Reserve Estimation
- Geological Modelling

A good understanding of the project based on visit to the project site by approved PC/TAE is of utmost importance for developing the scope of study and for primary data collection.

E 4.3 Quality management system

This includes compliance to the various procedures developed during the initial accreditation process in the Quality manual of the ACO.

Address various elements of QMS as required under The NABET Scheme **Appendix C**.

The ACO is also expected to demonstrate corrective action and preventive action taken for deficiencies pointed out in QMS during initial accreditation with relevant documents, if applicable.

E 4.4 Coverage and Quality of Geological Report (GR) prepared by AEA –

In the SA assessment Geological Reports (GR) are examined for coverage and quality of data generated in the reports prepared by an applicant organization prior to getting accredited.

The foundation of any good resource estimate is based on reliable data, whether in the form of 3D points that will form a topographic survey, down hole surveys, collar data, sampling and analytical data, geological and geophysical logging data coverage in the Geological Report (GR). The assessment, inter-alia and covers all the aspects involved in preparation.

- a. Quality assurance (QA) protocols should be followed for all data types, not just sampling and analytical data.
- b. Duly signed declaration of experts' involvement in Geological Reports (GR) preparation

E 4.5 ORGANIZATIONAL COMMITMENT

Assessment criteria for this are similar to that in IA namely capacity building for PC / TAEs/ TMs, commitments towards quality of Reports and facilities provided, with stress on implementation since being accredited.

E 4.6 COMPLIANCE TO CONDITIONS OF ACCREDITATION (SURVEILLANCE ASSESSMENT OR SA)

Assessment to cover the conditions of accreditation mentioned in the NABET's letter of IA. It broadly includes timely information and replacement by the ACO of approved experts leaving the organization; utilizing only approved experts of appropriate area for preparing Geological Reports; providing statement countersigned by PC and TAEs involved in preparation of Geological Reports in prescribed Format at the beginning of the Geological Reports and after timely payment of all dues to NABET.

For weightage of marks for various aspects of assessment, please refer to:

Category A Consultants: (Table 1 of section 7.1)

Category B Consultants: (Table 2 of section 7.1)

Note:

- a. An ACO must score minimum 50% in each of the 6 aspects as mentioned above for continuation of the accreditation/approval status (for experts) in the same category.
- b. In case the ACO scores less than 50% marks in any aspect it may be given an opportunity of personal hearing by the AC to explain its case. The accreditation may or may not be continued as per decision of AC.
- c. If an ACO scores less than 50% marks in any of the above aspect/s, the accreditation cannot be continued.
- d. In case of shortfalls of marks i.e. below 50%, the following provisions apply –
 - Considering that QMS is a new concept in Geological reports profession, if the ACO scores less than 50% in QMS, it is given 15 days' time to address the shortfalls and submit the revised QMS to NABET meeting the requirements of the Scheme. Awareness of the revised QMS and implementation status is assessed by NABET assessors at the premises of the ACO. The ACO needs to score 50% or more in this assessment to retain the accreditation granted to it.
 - If the ACO scores less than 50% marks in any aspect other than QMS, it may be given an opportunity of personal hearing by the AC to explain its case before the final decision on the case.

E 4.7 Conditions to be fulfilled for continuation of accreditation -

- a. In case a major non-compliance/discrepancy/mis-representation of facts is observed in Geological Reports prepared by ACO during period under surveillance, the accreditation may not be continued. However, the ACO may be given an opportunity of personal hearing before final decision is taken by accreditation committee.
- b. The ACO is informed of the scores of Stage III assessment for the organization as well as individuals with comments on areas of improvements, if any. In case an ACO is not approved and wishes to re-apply or upgrade from category B to category A, it may do so after a gap of 3 months and on ensuring that the shortcomings mentioned have been adequately addressed. The organization is subsequently assessed as per SA norms. Fees as per SA are applicable.

E 4.8 Scoring requirements for experts/candidates -

- i. If a candidate/expert assessed for PC or TAE score less than 50% in stage III assessment, s/he will not be approved under the Scheme.
- ii. If an approved expert assessed in SA gets 50% or more, her/his approval gets continued in the same category as in IA.
- iii. An expert approved in category B seeking up-gradation to category A may be proposed by the ACO for the same either in the next assessment (RA) or after a gap of 3 months from the date of last assessment provided s/he meets the qualifications and experience requirements for cat. A for an PC/TAE, as applicable.

- iv. Up-gradation of PCs and TAEs from cat. B to cat. A – an expert approved in category B and seeking to be upgraded to category A may be considered with the SA or RA application provided s/he meets the qualifications and experience requirements for Cat. A PC/ TAE, as applicable. To meet the requirements of a cat. A, an expert to upgrade from B to A, a candidate may work as Project Coordinator/ Technical area expert (TAE) under an approved expert in a category B scheme for at least 3 years. Necessary documents on additional experience since last assessment are to be submitted along with the application.

E 4.9 Submission of application for SA

- An ACO is required to submit its application for surveillance assessment three months in advance from the date on which SA falls due. In case the application is not received till the date when SA falls due, the ACO is given a 15 days' notice followed by a reminder notice of another 15 days. In case the application is not received even after the reminder notice, accreditation may be called off.
- If the ACO does not submit the complete application for SA even on expiry of 3 months after the SA falls due, the case is treated as closed and the name of the organization removed from the ACO list. The ACO needs to apply afresh with requisite application fees if it wishes to be considered for accreditation under the Scheme and is assessed as per IA norms.
- In case an ACO submits the application in time but the same is incomplete in terms of details to be submitted, the ACO is given a 15 days' notice followed by a 2nd notice of 15 days. In case the application is not complete even after the 2nd notice, same procedure as in a) and b) above applies.
- In case recruitment of expert/s is needed for completeness of the requirement of the Scheme, the ACO is given 3 months' time for recruitment of new expert. If the application remains incomplete after 3 months, same procedure as in a) and b) above applies.
- For an ACO falling under a), b) and c) above, irrespective of when the complete SA application is submitted the next assessment namely re-accreditation falls due as scheduled i.e. 36 months after IA.

E 4.10 Self-assessment checklist

Self-assessment checklist for completeness of application and for preparedness of the ACO for assessment by NABET for SA is given at **Annexure 11**.

E 5.0 Assessment process: Re- accreditation

Accreditation cycle under the Scheme is 3 years and re-accreditation (RA) falls due after 3 years of initial accreditation. Application for RA in prescribed format, posted on QCI/NABET website, is required to be submitted to NABET three months before the due date after IA. The application must be complete with all relevant documents which include a list of Geological Reports prepared since IA in first accreditation cycle and from RA in subsequent accreditation cycle, list of experts involved, copy of the QMS manual, details about laboratory arrangements, etc. A checklist of the documents to be submitted is given at **Annexure 3**.

For becoming eligible for RA, an ACO must meet the following requirements –

- i. All NCs/Obs. issued in SA have been closed satisfactorily
- ii. Only Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab been used after SA.

- iii. The ACO has at requisite number of PC and TAEs
- iv. The ACO has made all the payments due to NABET

Note

- i. Considering a situation that an approved expert may have left the ACO in recent past (3 months prior to the date of application) and it did not have enough time to get an alternate candidate approved, if an ACO puts up in its application eligible in-house/emp. candidates for the applicable core and significant FAs, it may be accepted.
- ii. In event of resignation of any of the approved PC/ TAE more than 3 months prior to the date of application, replacement is to be proposed by the ACO within defined timelines. Re-assessment broadly follows the criteria of initial assessment with emphasis in improvements achieved. This includes performance of approved experts, implementation of QMS, integrity of field investigation and laboratory work, quality of Geological Reports completed since accreditation and organizational commitment towards developing quality Geological Reports.
There are six key requirements in RA assessment for re-accreditation. These are detailed in C 5.1 to C 5.5.

E 5.1 Performance of approved experts

- i. **Project Coordinators (Exploration)** Updation in knowledge about regulations & development in respective field
- ii. Site familiarity to plan for respective Reports
- iii. Completeness of impact assessment (including for ecological, social, risk related) and quantification, where applicable
- iv. Completeness of EMP addressing all impacts with budget & monitoring plan

a. Technical area experts (Exploration)

- i. Updation about regulations & on latest developments in the concerned area
- ii. Site familiarity and role in collection/ supervision of primary data
- iii. Identification of all impacts and quantification, where applicable
- iv. Addressing all impacts and monitoring plan.

Note:

Documentary evidences in support of work carried out during period under RA must be available for PC/TAEs.

E 5.2 Quality management system

This includes implementation and compliance to the updated QMS including NC/Obs. issued in SA, if any. The stress is on assessing improvements in implementation of QMS across the organization and whether all requirements of **Appendix C** of the Scheme are addressed.

E 5.3 Field investigations and laboratory systems to ensure data integrity

Collection of quality data is of crucial importance for preparing Geological reports. Primary data are collected for

Geological Reports
<ul style="list-style-type: none"> • Exploration/ Prospecting coverage • Geological Mapping and Surveying data • Remote sensing, airborne geophysical survey • Geochemical Survey • Drilling data – drill hole density, Coring/non-coring drilling. • Geophysical logging.

- Sampling and Analysis – drill hole core sampling and others
- Petrographic & Mineralogical studies
- RQD & Physico-Mechanical Test.
- Geostatistical analysis
- Hydrogeological Studies
- Data Interpretation and Reserve Estimation
- Geological Modelling

A good understanding of the project based on visit to the project site by approved PC/TAE is of utmost importance for developing the scope of study and for primary data collection.

E 5.4 Coverage and Quality of Geological Report (GR) prepared by Accredited Exploration Agency (AEA): –

Assessment criteria for this are similar to that in IA. In addition, in the RA assessment Geological Reports (GR) are examined for coverage and quality of data generated in the reports prepared by an applicant organization prior to getting accredited.

The foundation of any good resource estimate is based on reliable data, whether in the form of 3D points that will form a topographic survey, down hole surveys, collar data, sampling and analytical data, geological and geophysical logging data coverage in the Geological Report (GR). The assessment, inter-alia, covers all the aspects involved in preparation.

- a. Quality assurance (QA) protocols should be followed for all data types, not just sampling and analytical data.
- b. Duly signed declaration of experts' involvement in Geological Reports (GR) preparation

E 5.5 Organizational commitment –

Assessment criteria are similar to that for SA. Stress is on how effective is the implementation of the systems adopted and improvements achieved since SA.

E 5.6 Improvements achieved –

Assessment would include improvements made since IA in the areas of

- i. Performance of approved experts
- ii. Quality of baseline data
- iii. Enabling factors including facilities provided
- iv. Quality of Geological Reports

E 5.7 COMPLIANCE TO CONDITIONS OF SA

During stage II and stage III assessments, compliance to the conditions given after SA for continuation of SA is seen for the ACO to be eligible for RA but no marks are given.

E 5.8 WEIGHTAGE OF MARKS:

Category A Consultants: (Table 1 of section 7.1)

Category B Consultants: (Table 2 of section 7.1)

E 5.9 CONDITIONS TO BE FULFILLED FOR RE-ACCREDITATION

- i. An ACO needs to score 50% or more in each aspect of assessment as mentioned above for being considered for re-accreditation.
- ii. In case the ACO scores less than 50% marks in any aspect it may be given an opportunity of personal hearing by the AC to explain its case.

- iii. Requirements for laboratory arrangement, minimum IH employees and experts to cover the functional/ technical areas shall be same as those mentioned for IA and SA above.
- iv. In case a major non-compliance/discrepancy/mis-representation of facts is observed in Reports prepared by ACO during period under assessment, renewal of the accreditation may not be considered. However, the ACO may be given an opportunity of personal hearing before final decision is taken by Accreditation Committee
- v. Above conditions are in addition to requirements of initial accreditation, which are also applicable.

E 5.10 ADDITIONAL POINTS FOR RE-ACCREDITATION

Additional points for Project coordinators and Technical area experts: category A and B

- a. If a candidate/expert assessed for a PC or TAE score less than 50% in stage III assessment, s/he is not approved under the Scheme.
- b. Up-gradation of PCs and TAEs from cat. B to cat. A – an expert approved in category B and seeking to be upgraded to category A may be considered with the SA or RA application provided s/he meets the qualifications and experience requirements for Cat. A PC/ TAE, as applicable. To meet the requirements of a cat. A, an expert to upgrade from B to A, a candidate may work as Project Coordinator/ Technical area expert (TAE) under an approved expert in a category B scheme for at least 3 years. Necessary documents on additional experience since last assessment are to be submitted along with the application.
- c. The AO/ACO is informed of the scores of stage III assessment for the organization as well as individuals with comments on areas of improvements, if any. In case an AO/ACO is not approved and wishes to re-apply, it may do the same after a gap of 3 months ensuring the shortcomings mentioned have been adequately addressed. The same applies for individuals as well. A similar approach is followed if a consultant organization accredited in category B wishes to upgrade itself to category A. Assessment is carried out as per RA/SA/IA norms, as applicable.

E 5.11 TIMELY SUBMISSION OF APPLICATION

The application from an ACO for RA should be received 3 months prior to the date when the RA falls due.

E 5.12 SELF-ASSESSMENT CHECKLIST

Self-assessment checklist for completeness of application and for preparedness of the ACO for assessment by NABET for RA is given at **Annexure 11**.

E 6.0 Assessment of candidates for different organizations

Organizations are accredited mainly on the basis of quality of their personnel, apart from other facilities/ capabilities available. An individual's contribution in the Geological Reports preparation is assessed in the context of overall capability and resources of the organization. The conditions for approval of individual in-house and empanelled experts are explained below:

- a. **For in-house experts** –Approval of in-house experts (PC or TAE) would be 'co-terminus' with her /his leaving the parent consultant organization, where the expert is assessed i.e. approval status of any 'approved' expert leaving the parent organization ceases. However, such an expert may be proposed as a fresh candidate by a new AO/ ACO and would undergo assessment as per the Scheme
- b. **For empanelled experts** –The number of AO/ACOs that an empanelled expert may be associated with is explained at section 5.1.5 of Scheme above. In case an empanelled expert applies on behalf of a fresh AO/ACO, s/he would undergo assessment accordingly. The new AO/ACO proposing her/his candidature need to enclose the current

empanelment status of the expert and also prior history of empanelment, if any, duly signed by both, the expert concerned and the CEO/ authorized signatory of the AO/ ACO. Assessment of a candidate for an organization is carried out in context of the scheme, the documentary evidence submitted in support of the experience, performance/ quality of work carried out for other AO/ACOs with whom the expert is/was associated, and how s/he fares in the interaction with the NABET assessors during stage III assessment. It is, therefore, not guaranteed that if one is approved for certain technical area with an ACO, automatically gets approved for such technical areas for another AO/ACO.

The candidates (in-house or empanelled) who were approved earlier and have shifted organization, can be utilized in Geological Reports preparation process by the new organization wherein they have joined, only after following the defined approval process.

E 7.0 MOU/AGREEMENT /NOC

E 7.1 BETWEEN AO/ ACO AND EXTERNAL LABORATORY

In case an AO/ACO utilizes an external Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab there must be an MOU/ Agreement between them addressing the following –

- a. Name of the ACO & Labs
- b. Scope of services covered by accreditation or relevant Notification/ Document
- c. Name of parameters covered by the agreement
- d. Duration of association
- e. Name of project/s (preferably)
- f. Financial terms including rates for specific items of work (all payments to the laboratory for services rendered to be made through Bank)
- g. Signature of CEO/ Head of ACO & authorized signatory of lab

E 7.2 BETWEEN AO/ACO AND EMPANELLED EXPERT –

In case an AO/ACO utilizes an empanelled expert, there must be an MOU/Agreement between them addressing the following to be submitted with the application–

- a. Name of the expert & AO/ ACO
- b. Name of technical areas for which services are provided
- c. Scope of services covered
- d. Duration of association
- e. Specific roles & responsibilities of empanelled expert
- f. Signature of empanelled expert & CEO/ Head of ACO
- g. All payments to the empanelled experts for services rendered to be made through Bank.

E. 7.3 BETWEEN AO/ACO AND SURVEY AGENCY –

In case an AO/ACO utilizes an external survey agency, there must be an MOU/Agreement between them addressing the following to be submitted with the application–

- a. Name of the expert & AO/ ACO
- b. Name of technical areas for which services are provided
- c. Scope of services covered
- d. Duration of association
- e. Specific roles & responsibilities of surveying agency
- f. Signature of Survey Organization & CEO/ Head of ACO
- g. All payments to the Survey Organization for services rendered to be made through Bank.

E 7.4 CONTENTS OF NOC

All empanelled experts associated with an NGO or a Research/Academic institute need to furnish a No Objection Certificate (NOC) from the Registrar of the university, Principal of the college or the Head of the NGO/Research/Academic institute, respectively. The NOCs must address -

- a. Name of the expert
- b. Name of the Project and Reports for which the NOC is granted
- c. Validity of the NOC

E 8.0 Further classification of consultants

It is proposed to further classify the consultants in more detail to afford the project proponents to select the right consultant with right degree of expertise, experience, systems and facilities. The accredited consultants are, therefore, advised to keep the QCI – NABET informed of the projects carried out by them, the number of Geological Reports approved by the Govt., improvements in their organization and other relevant information, on yearly basis.

E 9.0 Cases of re-application/up-gradation from Cat B to Cat A

- i. **For individuals** – the cases of individual candidates who fail to get approved in category A or in any category, may be applied by the ACO after 3 months of earlier results being put up on QCI-NABET website, making sure that the shortcomings of the assessment have been addressed. Details of experts as per requirements of IA/SA/RA norms are to be submitted by the ACO, as applicable and they undergo assessment accordingly, either at ACOs premises or at NABET office. Requisite application fees are applicable.

Annexures

Application Form for NABET Initial Accreditation
(Kindly attach separate sheets if necessary, for more information)

1. Name and Address of the Consultant organization/ Exploration Agency

a. Head Office

b. Branch Office

Affix Passport
Size photograph
of the contact
person

2. Name of the Head of the Organization

3. Contact person details

Name: _____

Address: _____

Tel No. _____ Mobile _____

Email _____

4. Legal Status of the organization (please mark (v) the appropriate status)

- a) Public/Private
- b) Company/Partnership/Proprietorship/Registered Society
- c) Research/Academic Institute
- d) Industry Association
- e) Others (please specify and attach necessary evidence)

5. Date of Registration / Incorporation (attach copy of certificate of incorporation/registration)

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6. Established in Year _____

7. Services provided by the Organization _____

8. Number of Employees

- Total
- For Exploration activities

9. Annual Income of the organization in Indian Rupees (attach balance sheet and IT returns for the last 3 years)

10. Organization Structure (with details of locations/associates etc.). For multi-functional organizations, the organization structure of the stream related to Exploration work may be detailed out (**attach organization chart and other details**).

Category A: Abbreviation for Technical/ Functional Areas

Sl. No.	Functional area/ Services	Abbreviation
1	Geology	GEO
2	Geophysics	GP
3	Remote Sensing & GIS	RS
4	Hydrogeology	HG

Category B: Abbreviation for Technical/ Functional Areas

Sl. No.	Functional area/ Services	Abbreviation
1	Geology	GEO

11. Technical Expertise (full time employees and/ or empanelled) available with the organization (attach CVs) for experts' qualification, experience, exposure etc. In case of empanelled experts, please also attach declarations of Project Coordinators/ Technical Area Experts of their association with your organization and with others, in the format given in)

Project Coordinator

S. No	Name	In-house (GEO)	CV Attached
			Y / N
			Y / N

Technical Area Expert/(s) Please use abbreviations mentioned above (Abbreviation for Technical/ Functional Areas) or Refer section 5.1.2 Technical Area Experts (TAEs) of Scheme:

S. No	Name	In-house (GEO)	Area of Expertise	CV Attached
				Y / N
				Y / N

Technical Area Expert/(s) Please use abbreviations mentioned above (Abbreviation for Technical/ Functional Areas) or Refer section 5.1.2 Technical Area Experts (TAEs) of Scheme:

S. No	Name	In-house / Empanelled	Area of Expertise	CV Attached
				Y / N
				Y / N

Documentary evidence for the stated experience, exposure and training of the proposed PC Coordinators and Technical Area Experts to be provided to NABET Assessors during assessment.

12. How do you get field monitoring done to collect physical data?

In-house laboratory

External laboratory

12.1 If laboratory is accredited by NABL, please submit copies of the

Accreditation scope certificate and the parameters accredited for. For other recognized laboratories, please submit a copy of the relevant Notification/ Document and also a copy for assessing the scope recognition.

13. How do you get your Survey Data collected?

In-house team

☐

MoU with External Agency

☐

13.1 If external survey agency, please submit copies of MoU and scope coverage. Please submit a copy of the relevant document for the scope recognition.

14. Furnish details of Instruments/ software available:

S. No	Name of Instruments/software	Upload Relevant Document/ License

15. Organization's experience in Geological Report preparation:

S. No	Name of Report	Client Name	Report Type	Period	Completion Certificate from Client	Upload Report

16. Geological Reports/ studies carried out in last three years -

a. Numbers of Geological Reports (GR) prepared

17. Enclose a copy of one Geological Report (soft copy) and list of reports prepared by the organization in the preceding two years from the date of application.

18. Enclose a copy of Quality Management System Manual (Refer **Appendix C** of Scheme)

19. **Declaration:**

We have carefully read all NABET guidelines of Accreditation Scheme for Exploration Agency for Minerals Sector. The conformity of eligibility of the experts proposed, employment status of proposed experts to the requirements of the Scheme, has been verified by us at our end.

We agree to code of conduct terms in clause no. 11.0. We confirm that the information provided in the application in support of the application is correct to the best of our knowledge and belief.

We authorize NABET to make any enquiry as deemed fit as part of the reviewing process. We understand that in case any information is found to be incorrect, it may result in rejection of this application and/or disqualification. We authorize NABET to utilize the information provided in this application for legal, research, training, sharing with concerned ministry and/or for any other purpose as may be deemed fit by NABET.

If accredited, we commit to notify NABET immediately of any changes in the status where information regarding such changes, if declared may affect the consideration for accreditation of the organization.

 Signatures
 Name (Authorized Signatory) _____
 Designation _____
 Organization _____
 Date _____

Ensure that the following are enclosed with the application: -

Documents to be enclosed	Yes/ No
1. Filled in Application form with the photograph of the contact person (Annexure 1)	
2. Application fees	
3. Copy of the legal Status of the organization including the date of registration/ incorporation	
4. Organization's Balance Sheet and Income Tax Returns, for the last three years (depending on date of registration of organization)	
5. Organizational structure with respect to the people involved.	
6. Annexure 5 - signed resume of Project Coordinator/s (PC) with photographs	
7. Annexure 5 - signed resume of Technical Area Experts with photographs	
8. Annexure 12 - Declaration of empanelled Technical Area Experts of their association with applicant organization AO or other organizations, if applicable. Also, a NOC, as applicable.	
9. Copy of the certificate, scope of accreditation for NABL accredited laboratories and MoU/ Agreement	
10. Copy of the MoU for Survey Engagements , scope of work covered under the MoU/ Agreement	
11. For Government recognised/ CSIR lab/ Institution lab/ University lab, submit a copy of the relevant Notification/ Document and also a copy for assessing the scope recognition.	
12. QMS Manual meeting the requirements of Appendix C of the Scheme	
13. Names of models/ software being used for generation/interpretation of data	
14. Copies of promotional material, if any.	

Application to be submitted in soft only. Hard copies of documents to be submitted only if specifically asked for by NABET.

Application Form for NABET Surveillance Assessment
(Kindly attach separate sheets if necessary, for more information)

1. Name and Address of the Consultant organization/ Exploration Agency

a. Head Office

b. Branch Office

Affix Passport
Size photograph
of the contact
person

2. Name of the Head of the Organization

3. Contact person details

Name: _____

Address: _____

Tel No. _____ Mobile _____

Email _____

4. Legal Status of the organization (please mark (v) the appropriate status)

- a) Public/Private
- b) Company/Partnership/Proprietorship/Registered Society
- c) Research/Academic Institute
- d) Industry Association
- e) Others (please specify and attach necessary evidence)

5. Date of Registration / Incorporation (attach copy of certificate of incorporation/registration)

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6. Established in Year _____

7. Services provided by the Organization

- a) Before initial accreditation _____
- b) After initial accreditation (new fields ventured in) _____

8. Initial Accreditation/Re-accreditation:

- a) Effective from (DD/MM/YYYY):
- b) Previous Assessment -AC MoM - (DD/MM/YYYY):
- c) Additional (Supplementary /Expansion of Scope) Assessment -AC MoM- (DD/MM/YYYY):

9. Annual Income of the organization in Indian Rupees (attach balance sheet and IT returns for the last 3 years)

Income	FY	FY	FY
Total Income (INR)			
Geological Reports preparation related Income (INR)			

10. Organization Structure (with details of locations/associates etc.). For multi-functional organizations, the organization structure of the stream related to Exploration work may be detailed out (**attach organization chart and other details**).

Category A: Abbreviation for Technical/ Functional Areas

Sl. No.	Functional area/ Services	Abbreviation
1	Geology	GEO
2	Geophysics	GP
3	Remote Sensing & GIS	RS
4	Hydrogeology	HG

Category B: Abbreviation for Technical/ Functional Areas

Sl. No.	Functional area/ Services	Abbreviation
1	Geology	GEO

11. **Compliance to following conditions of Accreditation**

Sl. No.	Description	Yes/No	Attach doc evidence, if applicable
1.	Timely information and replacement of changes in approved experts		
2.	All applicable TAs are covered by approved experts/eligible candidates		
3.	Using only Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab recognized laboratories		
4.	Not utilizing any unapproved expert in Report preparation		
5.	Inclusion of names of Project Coordinator & TAEs Geological reports in the prescribed format		
6.	Timely payments to NABET		

12. Number of Employees/ Experts:
- Total Employees/ Experts:
 - For Geological Reports preparation activities:

Experts	In-house	Empanelled	Total
Project coordinator (PC)			

Technical area experts (TAE)			
Team Members (TM)			
Total			

a) **Project Coordinator available with the Organization (Approved/ Applied)**

S. No	Name	In-house (GEO)	Approved/ Applied	CV Attached
				Y / N
				Y / N

b) **Technical Area Expert/(s)available with organization:** Please use abbreviations mentioned above (Abbreviation for Technical/ Functional Areas) or Refer section 5.1.2 Technical Area Experts (TAEs) of Scheme:

S. No	Name	In-house (GEO)	Area of Expertise	Approved/ Applied	CV Attached
					Y / N
					Y / N

c) **Technical Area Expert/(s)available with organization:** Please use abbreviations mentioned above (Abbreviation for Technical/ Functional Areas) or Refer section 5.1.2 Technical Area Experts (TAEs) of Scheme:

S. No	Name	In-house / Empanelled	Area of Expertise	Approved/ Applied	CV Attached
					Y / N
					Y / N

d) **Team members available with organization:**
(to make sure that the TM proposed meets the qualification requirements)

S. No	Name	In-house / Empanelled	Qualification/ Experience	Approved/ Applied	CV Attached
Project Coordinator					
					Y / N
With Technical Area Expert(s)					
					Y / N

e) **New Candidates proposed:**

Sl. No.	Name	In-house/ Emp.	Area of Expertise/ Qualification	CV Attached
Project Coordinator (PC)				
				Y/N
				Y/N
Technical Area Expert(s)				
				Y/N
				Y/N
Team Member				
				Y/N

Sl. No.	Name	In-house/ Emp.	Area of Expertise/ Qualification	CV Attached
				Y/N

Documentary evidence for the stated experience, exposure and training of the proposed Project Coordinator and Technical Area Experts to be provided to NABET Assessors during assessment

13. How do you get physical field data?

In-house laboratory

☐

External laboratory

☐

a) Laboratories being use:

No.	Name of the laboratory*	Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab	Copy of MoU/ Agreement with laboratory/ defining scope of work

*the following details are to be provided for each laboratory being used.

b) If laboratory is accredited by NABL, please submit copies of the Accreditation scope certificate and the parameters accredited for. For other recognized laboratories, please submit a copy of the relevant Notification/ Document and also a copy for assessing the scope recognition.

c) For all laboratories, please submit the copy of the agreement with the scope of coverage and validity period.

20. How do you get your Survey Data collected?

In-house team

☐

MoU with External Agency

☐

14.1 If external survey agency, please submit copies of MoU and scope coverage. Please submit a copy of the relevant document for the scope recognition.

14. Furnish details of Instruments/ software available:

S. No	Name of Instruments/prediction model/software	Upload Relevant Document/ License

15. Organization's experience in Geological Report preparation:

S. No	Name of Report	Client Name	Report Type	Period	Completion Certificate from Client	Upload Report

15.1 Geological Reports/ studies carried out in last 18months–

a. Numbers of reports prepared

15.2 Enclose a copy of one Geological Report (soft copy) and list of reports prepared by the organization in the preceding year from the date of Initial Accreditation.

16. Enclose a copy of Quality Management System Manual (***Refer Appendix C of Scheme***)

17. **Declaration:**

We have carefully read all NABET guidelines of Accreditation Scheme for Exploration Agency for Minerals. The conformity of eligibility of the experts proposed, employment status of proposed experts to the requirements of the Scheme, has been verified by us at our end. We agree to code of conduct terms in clause no. 11.0.

We confirm that the information provided in the application in support of the application is correct to the best of our knowledge and belief.

We authorize NABET to make any enquiry as deemed fit as part of the reviewing process. We understand that in case any information is found to be incorrect, it may result in rejection of this application and/or disqualification. We authorize NABET to utilize the information provided in this application for legal, research, training, sharing with concerned ministry and/or for any other purpose as may be deemed fit by NABET.

If accredited, we commit to notify NABET immediately of any changes in the status where information regarding such changes, if declared may affect the consideration for accreditation of the organization.

Signatures

Name (Authorized Signatory)

Designation

Organization

Date

Checklist of Enclosures – Surveillance Assessment

Ensure that the following are enclosed with the application: -

Sl. No.	Documents to be enclosed	Yes/ No / Give Ref.
1.	For Government recognised/ CSIR lab/ Institution lab/ University lab, submit a copy of the relevant Notification/ Document and also a copy for assessing the scope recognition.	
2.	Copy of the Accreditation certificate, scope of accreditation and MoU/ Agreement for NABL accredited laboratories utilized	
3.	Copy of the MoU for Survey Engagements , scope of work covered under the MoU/ Agreement	
4.	QMS Manual meeting the requirements of Appendix C of the Scheme	
5.	Annexure 5 and Annexure 12 : Resume, Experience Details and Declaration	
6.	Annexure 5, Annexure 9 – Resume and work details for approved Project Coordinator (PC), if s/he has carried out work after IA	
7.	Annexure 5, Annexure 10 – Resume and work details for approved TAE, if s/he has carried out work after IA	
8.	Annexure 6 - List of Geological Reports prepared/completed during the period between IA to SA giving requisite details	
9.	Soft copy of 2 Geological Reports (as identified by NABET) with declaration by names and signatures of experts involved in the preparation of Geological Reports	

Application Form for NABET Re-Accreditation
(Kindly attach separate sheets if necessary, for more information)

1. Name and Address of the Consultant organization/ Exploration Agency

a. Head Office

b. Branch Office

Affix Passport
Size photograph
of the contact
person

2. Name of the Head of the Organization

3. Contact person details

Name: _____

Address: _____

Tel No. _____ Mobile _____

Email _____

4. Legal Status of the organization (please mark (v) the appropriate status)

- a) Public/Private
- b) Company/Partnership/Proprietorship/Registered Society
- c) Research/Academic Institute
- d) Industry Association
- e) Others (please specify and attach necessary evidence)

5. Date of Registration / Incorporation (attach copy of certificate of incorporation/registration)

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6. Established in Year _____

7. Services provided by the Organization

- a) Before initial accreditation _____
- b) After initial accreditation (new fields ventured in) _____

8. Initial Accreditation/Re-accreditation:

- a) Effective from (DD/MM/YYYY):
- b) Previous Assessment -AC MoM - (DD/MM/YYYY):
- c) Additional (Supplementary) Assessment -AC MoM-(DD/MM/YYYY):

9. Annual Income of the organization in Indian Rupees (attach balance sheet and IT returns for the last 3 years)

Income	FY	FY	FY
Total Income (INR)			
Geological Reports (GR) preparation related Income (INR)			

10. Organization Structure (with details of locations/associates etc.). For multi-functional organizations, the organization structure of the stream related to GW work may be detailed out (**attach organization chart and other details**).

Category A: Abbreviation for Technical/ Functional Areas

Sl. No.	Functional area/ Services	Abbreviation
1	Geology	GEO
2	Geophysics	GP
3	Remote Sensing & GIS	RS
4	Hydrogeology	HG

Category B: Abbreviation for Technical/ Functional Areas

Sl. No.	Functional area/ Services	Abbreviation
1	Geology	GEO

11. Compliance to following conditions of Accreditation

Sl. No.	Description	Yes/No	Attach doc evidence, if applicable
1.	Timely information and replacement of changes in approved experts		
2.	All applicable TAs are covered by approved experts/eligible candidates		
3.	Using only Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab		
4.	Not utilizing any unapproved expert in Report preparation		
5.	Inclusion of names of Project Coordinator & TAEs in Geological Reports (GR) in the prescribed format		
6.	Timely payments to NABET		

12. Number of Employees/ Experts:

- Total Employees/ Experts:
- For Geological Reports (GR) preparation activities:

Experts	In-house	Empanelled	Total
Project coordinator (GEO)			

Technical area experts (TAE) (GEO)			
Team Members (TM)			
Total			

a) **Project Coordinator available with the Organization (Approved/ Applied)**

S. No	Name	In-house (GEO)	Approved/ Applied	CV Attached
				Y / N
				Y / N

b) **Technical Area Expert/(s)available with organization:** Please use abbreviations mentioned above (Abbreviation for Technical/ Functional Areas) or Refer section 5.1.2 Technical Area Experts (TAEs) of Scheme:

S. No	Name	In-house (GEO)	Area of Expertise	Approved/ Applied	CV Attached
					Y / N
					Y / N

a) **Technical Area Expert/(s)available with organization:** Please use abbreviations mentioned above (Abbreviation for Technical/ Functional Areas) or Refer section 5.1.2 Technical Area Experts (TAEs) of Scheme:

S. No	Name	In-house / Empanelled	Area of Expertise	Approved/ Applied	CV Attached
					Y / N
					Y / N

b) **Team members available with organization:**

(to make sure that the TM proposed meets the qualification requirements)

S. No	Name	In-house / Empanelled	Qualification/ Experience	Approved/ Applied	CV Attached
Project Coordinator					
					Y / N
With Technical Area Expert(s)					
					Y / N

c) **New Candidates proposed:**

Sl. No	Name	In-house/ Emp.	Area of Expertise/ Qualification	CV Attached
Project Coordinator (Exploration)				
				Y/N
				Y/N
Technical Area Expert(s)				
				Y/N
				Y/N
Team Member				
				Y/N
				Y/N

Documentary evidence for the stated experience, exposure and training of the proposed Exploration/ Geological report preparing Coordinators and Technical Area Experts to be provided to NABET Assessors during assessment

13. How do you get physical field data?

In-house laboratory

☐

External laboratory

☐

a) Laboratories being used since IA/SA/RA:

S. No	Name of the laboratory*	Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab	Copy of MoU/ Agreement with laboratory/ defining scope of work

*the following details are to be provided for each laboratory being used.

b) If in-house arrangement, then please provide details.

c) If laboratory is accredited by NABL, please submit copies of the Accreditation scope certificate and the parameters accredited for. For other recognized laboratories, please submit a copy of the relevant Notification/ Document and also a copy for assessing the scope recognition.

d) For all external laboratories, please submit the copy of the agreement with the scope of coverage and validity period.

14. How do you get your Survey Data collected?

In-house team

☐

MoU with External Agency

☐

14.1 If external survey agency, please submit copies of MoU and scope coverage. Please submit a copy of the relevant document for the scope recognition.

15. Furnish details of Instruments/prediction model/software available:

S. No	Name of Instruments/prediction model/software	Upload Relevant Document/ License

16. Organization's experience in Geological Report (GR) preparation:

S. No	Name of Report	Client Name	Report Type	Period	Completion Certificate from Client	Upload Report

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- 15.1 Out of the number of Geological Reports/ Studies carried out in last 3 years–
- a. Numbers of reports prepared
- 15.2 Enclose a copy of one Geological Report (soft copy) and list of reports/ plans prepared by the organization in the preceding year from the date of Initial Accreditation.
17. Enclose a copy of Quality Management System manual meeting the requirements of **Appendix C** of the Scheme. Also confirm if NCs / Obs. issued during SA on QMS have been addressed including closure action on each of these. (**Refer Appendix C of Scheme**)
18. **Declaration:**
 We have carefully read all NABET guidelines of Accreditation Scheme for Exploration Preparation Agency in Mineral Sector. The conformity of eligibility of the experts proposed, employment status of proposed experts to the requirements of the Scheme, has been verified by us at our end. We agree to code of conduct terms in clause no. 11.0. We confirm that the information provided in the application in support of the application is correct to the best of our knowledge and belief.
- We authorize NABET to make any enquiry as deemed fit as part of the reviewing process. We understand that in case any information is found to be incorrect, it may result in rejection of this application and/or disqualification. We authorize NABET to utilize the information provided in this application for legal, research, training, sharing with concerned ministry and/or for any other purpose as may be deemed fit by NABET.
- If accredited, we commit to notify NABET immediately of any changes in the status where information regarding such changes, if declared may affect the consideration for accreditation of the organization.

Signatures

Name (Authorized Signatory)

Designation

Organization

Date

Checklist of Enclosures – Re-accreditation

Ensure that the following documents are enclosed/uploaded with the application: -

Sl. No.	Documents to be enclosed	Yes/ No/ Give Ref
1	For Government recognised/ CSIR lab/ Institution lab/ University lab, submit a copy of the relevant Notification/ Document and also a copy for assessing the scope recognition.	
2	Copy of the Accreditation certificate, scope of accreditation and MoU/ Agreement for NABL accredited laboratories utilized	
3	Copy of the MoU for Survey Engagements , scope of work covered under the MoU/ Agreement	
4	QMS Manual meeting the requirements of Appendix C of the Scheme	
5	Annexure 5 and Annexure 12 : Resume, Experience Details and Declaration	
6	Annexure 5, Annexure 9 – Resume and work details for approved Project Coordinator (PC), if s/he has carried out work after SA	
7	Annexure 5, Annexure 10 – Resume and work details for approved TAE, if s/he has carried out work after SA	
8	Annexure 6 - List of Geological Reports prepared/completed during the period between SA to RA giving requisite details	
9	Soft copy of 2 Geological Reports (as identified by NABET) with declaration by names and signatures of experts	

Application Form for NABET Supplementary Assessment
(Kindly attach separate sheets if necessary, for more information)

1. Name and Address of the Consultant organization/ Exploration Agency

a. Head Office

b. Branch Office

Affix Passport
Size photograph
of the contact
person

2. Name of the Head of the Organization

3. Contact person details

Name: _____

Address: _____

Tel No. _____ Mobile _____

Email _____

4. Reason **for applying**:

Sl. No.	Reason for applying	Abbreviation	Assessment norms
1	Addition / Modification in scope of approved experts	EXP	IA
2	New candidates: Replacement of approved experts (PC/TAE)	RPL	IA
3	Re-proposing the candidates three months after the last assessment (Refer NABET letter)	RPR	As per the last assessment norm
4	Absent during last Office assessment (Refer email sent to NABET by AO /ACO)	ABS	As per the last assessment norm
5	To be assessed (Refer AC MoM)	TBA	NABET to inform

*Application must be submitted along with the applicable fee (see **Appendix D** of the Scheme).

- Amount paid
- Mode of payment and number (NEFT/ RTGS / IMPS)
- Date of payment

NEFT/ RTGS / IMPS to be done in favour of 'Quality Council of India New Delhi.

5. Candidates proposed as:

A. Project coordinator (Exploration) –

(Enclose **Annexure 2**)

Sl. No.	Name of the candidate	IH/ Emp	Reason for applying (Ref point 4 above)	Areas applied	Areas already approved

B. Technical Area Expert –

(Enclose **Annexure 2**)

Sl. No.	Name of the candidate	IH/ Emp	Reason for applying (Ref point 4 above)	TAs applied	TAs already approved

Note:

1. Candidates who were not approved in last assessment and now re-proposed, must give a separate note on additional experience/ training/ knowledge acquired since last assessment supported by relevant documents.
2. **The candidates who have been re-proposed need to submit**
 - **PC - Annexure 9**
 - **TAE - Annexure 10.**

6) Declaration

I have carefully read all NABET guidelines of Accreditation Scheme for Exploration Agency in Mineral Sector. The eligibility criterion including academic as well as professional qualifications and experience claimed by all the candidates whose resume are enclosed with the application form are verified and endorsed by me. I hereby confirm that the true copy of Marks Sheets/Certificates for essential educational qualification candidates proposed, if asked for by NABET, would be duly verified by me before submission. I confirm that the information provided in the application form is correct to the best of my knowledge and belief.

I authorize NABET to make any enquiry as deemed fit as part of the reviewing process. I understand that in case any information is found to be incorrect; it may result in rejection of this application and/or disqualification.

NABET will treat the documents submitted by AO in confidence. However, the same may be used by NABET for research purpose, legal requirement and for submission to concerned ministry. Such information will not be shared with any other organizations without written permission of the AO.

If accredited, the organization commits to abide by the conditions of accreditation and notify NABET immediately for any changes in the status which have bearings on accreditation of the organization.

Signature: _____

Name (authorized signatory): _____

Designation: _____

Date _____

(Resume Format)

(For Project Coordinator/ Technical Area Experts)

1) Mr./Ms./Dr. _____

(First name) (Middle name) (Last name)

2) Date of birth _____

3) PAN _____

4) Role in the organization (please tick):

In-house expert (IH)

☐

Empanelled expert (Emp.)

☐

Project Coordinator

☐

Technical Area Expert (TAE)

☐

Area(s) Applied _____

5) Contact details _____

_____ Pin Code _____

6) Tel. No. _____

7) Fax No. _____

8) Email address _____

9) Office address _____

_____ Pin Code _____

10) Academic Qualification (Graduation and above):

Period (Year)	Name of the University	Degree	Subjects	Grade / % Marks

Affix latest
passport size
photograph of
the applicant

11) Registered/recognized training courses attended:

Sl. No.	Title of the course	Conducted/organized by (name and address)	Dates		Result
			From	To	

12) Membership of Professional Bodies: -

Sl. No.	Professional body (name and address)	Membership	Period of validity

13) Experience (write in chronological order with most recent experience listed first):

A. General (in brief):

Period (From – to)	Organization with address	Designation	Type of Experience (A/B/C/D)	Specific details of experience for type A/B/C/D (not more than 25 words for each) as applicable
			Industrial Exp. A GR Assignments Teaching / Ph.D. C Other D	

14) Declaration by the applicant

I hereby declare that the above information relating to my education and experience is correct. I do understand that any incorrect information will result in disqualification of my candidature and accreditation of the organization with NABET.

Signature _____ Date (DD/MM/YYYY) _____

15) Declaration by the employer

The above information in relation to Dr./Mr./Ms. has been verified and found to be correct. I understand that in case the information is found to be incorrect it may result in disqualification of the organisation under the Scheme.

Signature: _____

Name (authorized signatory): _____

Designation: _____

Date: _____

**List of Geological Reports On-going/Completed
(Since Last Assessment)**

Name of Exploration Agency/ Consultant Organization:

Sl.No.	Name of project with location	Name of the client	Name of Project coordinator (PC)	Status of Geological Report: a. On going b. Draft Report ready c. Final Report submitted to Client d. Approval by Ministry	Cost: a. Project Cost: b. Cost of Report:
i	ii	iii	iv	v	vi
1					
2					
3					
4					
5					

Details of Laboratories Utilized

Sl. No.	Name of the laboratory with complete address	Accreditation/Recognition status with Scope				
		Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab	Data Analysis	Basic Parameters	Additional Parameter	Valid till
i	ii	iii	iv	v	vi	vii
1						
2						
3						

Note:

- Also mention the details of assessment conducted recently for which results are awaited. For SA application details to be furnished between IA and SA and for RA application between SA and RA.

Declaration by Experts contributing to the Geological Report

I, hereby, certify that I was a part of the team in the following capacity that developed the above Geological Report

Project coordinator (Exploration):.....

Name:.....
.....

Signature and Date:.....

Period of involvement:

Contact information:

Functional area experts:

S. No.	Area	Name of the expert/s	Involvement (period and task**)	Signature and date
1				
2				
3				
4				

*One TM against each TAE may be shown

**Please attach additional sheet if required

Declaration by the Head of the accredited consultant organization/ authorized person

I,, hereby, confirm that the above-mentioned experts prepared the Geological Report I also confirm that Project coordinator (Exploration) has gone through the report, and the consultant organization shall be fully accountable for any misleading information.

It is certified that no unethical practices, plagiarism involved in carrying out the work and external data / text has not been used without proper acknowledgement while preparing this Geological Report.

Signature:

Name:

Designation:.....

Name of the consultant organization:.....

NABET Certificate No. & Issue

Date:.....

Project Coordinator – Experience since last approval

1) Name:

2) Area approved (mention exact description as in NABET certificate/ letter):

Sl. No.	Name of Area	Vide NABET MoM dated
1		
2		
3		
4		
5		

3) Work carried out since last assessment

Geological Reports involved in			
Sl. No.	Area	Name of project, client, capacity	Site visits No. and duration (days) (Field log book to be maintained and presented during assessment)
i	ii	iii	iv
Work carried out for the present ACO			
1			

NOTE: (*) Details to be provided for each area in separate rows

Technical Area Expert – Experience since last approval

1) Name:

2) Area/s approved (mention exact description as in NABET certificate/ letter):

Sl. No.	Name of Area	Vide NABET MoM dated
1		
2		
3		
4		
5		

3) Work carried out since last assessment

Geological Reports Preparation involved in			
Sl. No.	Area	Name of project, client, capacity	Site visits No. and duration (days) (Field log book to be maintained and presented during assessment)
i	ii	iii	iv
Work carried out for the present ACO			
1			

NOTE: (*) Details to be provided for each area in separate rows

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 -

1) Initial Accreditation –

a. Application process –

- i. Have information pertaining to the organization's profile been included in Application Form?
- ii. Is the **Annexure 5** for all candidates proposed been properly filled?
- iii. Has the application form and all CVs submitted are duly signed?
- iv. Does the organization have minimum 2 eligible in-house/empanelled experts (1 PC and 1 TAE) as per the requirements of the Scheme?
- v. Do all proposed candidates for PC fulfil the criteria of NABET Scheme?
- vi. Do all proposed candidates for TAE fulfil the criteria of NABET Scheme?
- vii. Do the candidates proposed as PC have the requisite experience?
- viii. Do the candidates proposed as TAE have the experience in the Technical area/s?
- ix. Has any candidate been proposed for more than one technical area?
- x. Has any full-time employee with other organizations (except from university, institution and NGO) been proposed as a PC or TAE?
- xi. Does the organization have MoU with Government recognised/NABL accredited/ CSIR lab/Institution lab/ University lab in-house/external laboratory for data analysis?
- xii. Does the organization have the valid certificate of accreditation/Notification for the lab?
- xiii. Does the organization have valid MoU signed with the external lab?
- xiv. Does the QMS address the procedures given in **Appendix C** 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 PC and TAEs will be assessed, field investigation requirements (sampling, preservation, laboratory processes) and expected functions of PCs and TAEs?
- ii. Are the candidates aware of the QMS developed by the organization? Is the implementation of QMS documented?
- iii. 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 evidences available for the same?
- ii. Does the Organization have complete details for PCs and TAEs as per **Annexure 9 and 10** for inclusion in the SA application?
- iii. Has the Organization used Government recognised/ NABL accredited/ CSIR lab/ Institution lab/ University lab for the Studies carried out after IA?
- iv. Have all conditions of accreditation as mentioned in NABET's letter, been complied with?
- v. Has NABET been informed on time of any approved expert leaving the organization and arranged replacement?
- vi. Has a clear list been prepared of experts approved in IA and subsequently and those proposed with the SA application?
- vii. Has the organization used any unapproved person or approved experts after initial accreditation?
- viii. Has the signed declaration of experts involved and countersigned by the CEO in the prescribed format been included in the reports?
- ix. Does the organization have the quality assurance procedures for collection, preservation and transfer of samples and have implemented the same?
- x. 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?

b. Accreditation process -

- i. Have experts visited site and does the organisation have proper log books for the site visits?
- ii. Has the organisation filled complete details of all laboratories utilized after IA?
- iii. Does the organization have quality assurance procedure for primary and secondary 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 PCs/TAEs 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?

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

- vi. Has the organization taken steps towards capacity building for PCs/TAEs/ 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 Geological Report preparation?
- ix. 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

**Declaration for Empanelled Experts of
their association with the applicant organization and others**

(To be signed within 60 days preceding the date of application for accreditation)

This is to confirm that I _____ am currently involved with the following Exploration projects:

1) With the Applicant Organization -

a. As a Project Coordinator (Exploration)

Sl. No.	Name of the project	Period	Technical areas as per Scheme

b. As a Technical area expert

Sl. No.	Name of the project	Period	Technical areas as per Scheme

2) With another organization/s –

a. As a Project Coordinator (PC)

Sl. No.	Name of the organization	Name of the project	Period	Technical areas as per Scheme

b. As a Technical area expert

Sl. No.	Name of the organization	Name of the project	Period	Technical areas as per Scheme

3) Involvement as an expert in NABET Scheme for Accreditation of Exploration Agency in Mineral Sector (for projects in hand)

Sl. No.	Name of the organization	Technical areas as per Scheme	If interviewed by NABET (Date)	Duration of association with the organization(period)

I hereby confirm that I am involved only with..... (mention the number) consultants.

Name _____

Signature _____

Date _____

Present Status (Please tick the appropriate one)

a. Freelancer: Yes/No

b. Working: In-house employee

(If yes, name of organization)

Address for Correspondence:

.....

Declaration by the applicant organization

I hereby confirm that I have applied complete due diligence on my part in ascertaining the appropriateness of the information furnished above by the expert
S/he has been empanelled with /employed in our organization from
.....(month).....(year).

Name _____

Designation _____

Organization _____

Signatures and Date _____

Declaration of Accepting NABET's Code of Conduct**C.E.O. / Head of Consultant Organisation**

This is to confirm that I, working as CEO/ Head of agree with the Code of Conduct (Section 11.0 of Scheme), conditions of accreditation of NABET and give an undertaking that I would abide by the stated conditions for all activities pertaining to Consultancy Services/ Activities.

I also understand that awarding/ continuation of accreditation of my organization is subject to continual compliance to conditions of accreditation.

Name
Designation
Date
Signature

Application Form for information on Team Member
(Kindly attach separate sheets if necessary, for more information)

1. Name and Address of the Consultant organization/ Exploration Agency

a. Head Office

b. Branch Office

Affix Passport
Size photograph
of the contact
person

2. Name of the Head of the Organization

3. Contact person details

Name: _____

Address: _____

Tel No. _____ Mobile _____

Email _____

4. Team Members proposed

Sl	Name	Qualification #	Technical Area	Name of the project associated with	Approved Sr. Expert	Specific nature of work to be assigned
With Project Coordinator						
With Technical Area Expert						

Qualification – Bachelor degree in technical subjects and Master's degree in Science, Humanities and other subjects, year of passing and name of university

Declaration by the employer

We have carefully read the provisions in respect of 'Team Members' in the NABET's Accreditation Scheme for Exploration Agency in Mineral Sector and commit to abide by the same. The conformity of eligibility of the candidates proposed as Team Member in respect of qualification and other aspects has been verified by us at our end. We confirm that the information provided in the application is correct to the best of our knowledge and belief.

We understand that in case the information provided is found wrong/mis-leading, it may result in cancellation of accreditation granted to the organization.

Signature

Name (authorized signatory)

Designation

Organization

Date

For Further Details Contact:
National Accreditation Board for Education and Training (NABET)
Quality Council of India, Institution of Engineering Building,
2nd Floor, Bahadur Shah Zafar Marg, New Delhi – 110002, India
Tel: +91-11-2337 9321, 2337 9821, 2337 0567 Fax. No: 2337 9621
Email: akjha.nabet@qcin.org; jagminder.nabet@qcin.org

Application Form for Notification under the second proviso to section 4(1) of the MMDR Act, 1957

(Kindly attach separate sheets if necessary, for more information)

To,

The Joint Secretary (Exploration),

Ministry of Mines,

Government of India,

Shastri Bhawan, New Delhi – 110001.

Sub: Application for notification under the second proviso to section 4(1) of the MMDR Act, 1957

Sir,

Kindly consider the following application for notification under the second proviso to section 4(1) of the MMDR Act, 1957:

1. Name and Address of the Exploration Agency

a. Head Office

b. Branch Office

2. Name of the Head of the Organization

3. Contact person details

Name: _____

Address: _____

Tel No. _____ Mobile _____

Email _____

4. Legal Status of the organization (please mark (✓) the appropriate status)

- a) Public/Private
- b) Company/Partnership/Proprietorship/Registered Society
- c) Research/Academic Institute
- d) Industry Association
- e) Others (please specify and attach necessary evidence)

5. Date of Registration / Incorporation (attach copy of certificate of incorporation/registration) DD MM YY

6. Established in Year _____

7. Main areas of activity of the organisation/ services provided:

a. Before initial accreditation _____

b. After initial accreditation (new fields ventured in) _____

7. (i) Initial Accreditation:

- a. Effective from (DD/MM/YYYY):
- b. Valid upto (DD/MM/YYYY):

(provide proof of accreditation)

(ii) Present Accreditation(s):

- a. Effective from (DD/MM/YYYY):
- b. Valid upto (DD/MM/YYYY):
- c. No. of times previously accredited:

(provide proof of accreditation)

9. Annual Income of the organization in Indian Rupees (attach balance sheet and IT returns for the last 3 years)

Income	FY	FY	FY
Total Income (INR)			
Geological Reports (GR) preparation related Income (INR)			

10. PAN No. / GST No.:

11.1 Organization Structure (with details of locations/associates etc.). For multi-functional organizations, the organization structure of the stream related to geological reporting work may be detailed out (attach organization chart and other details).

11.2 Number of Employees/ Experts:

- Total Employees/ Experts:
- For Geological Reports (GR) preparation activities:

Experts	In-house	Empanelled	Total
Project coordinator (Geology GEO)			
Technical area experts (TAEs)			
Team Members (TMs)			

Total			
-------	--	--	--

a. **Project Coordinator available with the Organization (Approved/ Applied)**

S. No	Name	In-house (GEO)	Approved/ Applied

b. **Technical Area Expert/(s)available with organization:** Please use abbreviations mentioned below (Abbreviation for Technical/ Functional Areas):

S. No	Name	In-house (GEO)	Area of Expertise	Approved/ Applied

c. **Technical Area Expert/(s)available with organization:** Please use abbreviations mentioned below (Abbreviation for Technical/ Functional Areas):

S. No	Name	In-house / Empanelled	Area of Expertise	Approved/ Applied

d. **Team members available with organization:**

S. No	Name	In-house / Empanelled	Qualification/ Experience	Approved/ Applied
Project Coordinator				
With Technical Area Expert(s)				

e. **Abbreviation for Technical/ Functional Areas**

Sl. No.	Technical/ Functional Areas	Abbreviation
---------	-----------------------------	--------------

1	Geology	GEO
2	Geophysics	GP
3	Remote Sensing & GIS	RS
4	Hydrogeology	HG

12. Organization's experience in Geological Report (GR) preparation:

S. No	Name of Report	Client Name	Report Type	Period	Completion Certificate from Client	Upload Report

Out of the number of Geological Reports/ Studies carried out in last 3 years– Numbers of reports prepared: _____

13. Declaration:

We have carefully read all the provisions, requirements, terms and conditions of the Guidelines for notification of accredited private exploration agencies under the second proviso to sub-section (1) of section 4 of the MMDR Act, 1957 issued by Ministry of Mines on ____ [provide date of Guidelines] and the Accreditation Scheme for Exploration Agency in Mineral Sector and are in conformity of provisions, requirements, terms and conditions. We agree to the provisions, requirements, terms and conditions of the said Guidelines and Accreditation Scheme.

We confirm that the information provided in the application and documents provided in support of the application are correct to the best of our knowledge and belief.

We authorize Ministry of Mines and QCI-NABET to make any enquiry as deemed fit as part of the process for notification. We understand that in case any information is found

to be incorrect, it may result in rejection of this application and/or disqualification. We authorize Ministry of Mines and QCI-NABET to utilize the information provided in this application for legal, research, training, sharing with concerned Ministries/ Departments and/or for any other purpose as may be deemed fit by Ministry of Mines and QCI-NABET.

If the organisation is notified, we commit to intimate in writing to the Ministry of Mines and QCI-NABET immediately of any changes in the status of the organisation or information provided herein, where information regarding such changes, if intimated, may affect the consideration for notification of the organization.

We understand that accreditation can be cancelled

Signatures

Name (Authorized Signatory)

Designation

Organization

Date