Document Title
Registration Criteria for **Food Safety Management System (FSMS)** **Lead Auditor Training Course** Document Number: QCI/NBQP/FSMS/LATC/Ver3.0

Contents

REFACE

This ISO 22000 series lead auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing food safety management systems and of audit team management, as described in ISO 19011. The primary focus of the lead auditor training course shall be on training participants to audit food safety management systems based on the ISO 22000:2018 standard, or recognized national and international equivalents specified by NBQP, if any.

The training organization shall:
   a) present the body of knowledge of FSMS Auditing in such a way that participants are able to identify and understand good auditing practices, and
   b) encourage participants to analyse critically their own performance as a means for developing effective auditor skills.

1.1) Learning Objectives

Learning objectives describe what training participants must understand, comprehend and be able to do by the end of this course. The Training Organisation must accordingly design the course.

1.1.1) General (About NBQP and Certification against Management System Standards)
a) NBQP registration criteria for FSMS auditors.
b) Explain the purpose, content, terminology and interrelationship of ISO 22000 and ISO 19011.
c) Understand difference between auditable standards and guidance documents.
d) The function of first, second and third-party audits.
e) Describe the roles and responsibilities of auditors and lead auditors.
f) Understand the systems of registration, certification and the differing functions of the registration bodies, registrar, auditor registration bodies, training course approval bodies.

1.1.2) Knowledge of ISO 22000
a) Understand the applicability and conformance requirements towards statutory and regulatory requirements.
b) Interpret the requirements of ISO 22000 in the context of the organisation.
c) Understand the concept of process approach, associated inputs, outputs, controls and resources.
d) Understand the difference between documents and records.
e) Describe the purpose of a food safety management system and explain the principles of food safety management.
f) Understand the concept of Risk-based auditing.

1.1.3) Auditing skills
a) Establish the scope of audit and describe the basis on which exclusion of ISO 22000 management system requirements might be permissible.
b) Plan and conduct an audit in accordance with ISO 19011.
c) In addition, he should be able to report (suggest) to the auditee, areas of improvement in order to take them to next level.
d) Understand the effectiveness of the causal analysis done by the organisation which leads to the corrective action.
e) Identify the audit evidence needed to demonstrate conformity to each management system requirement of ISO 22000:2018.
f) Understand how to evaluate the effectiveness of Food Safety Management System, customer focus and continual improvement.
g) Effectively demonstrate interpersonal and leadership skills as a lead auditor.
h) Describe the benefits and risks of the use of checklists during audits.

1.2) Enabling Objectives

1.2.1) General
A training participant who successfully completes the course shall be able to use his learning to conduct effective audit.

1.2.2) Audit process and responsibilities
A training participant shall be able to understand and describe the following:

a) The similarities and differences and the varying roles and responsibilities of the lead auditor, auditor, the auditee and the client of the audit in each type of audit.
b) The need for confidentiality during all phases of the audit process and how to announce it during the audit.
c) The need for auditors to be sensitive to local customs and to obey any rules and regulations of auditees, especially where issues of health and safety are involved.

d) The roles and responsibilities of audit team members including the audit team leader and the lead auditor during the audit process.
e) The NBQP Auditors' Code of Conduct.

1.2.3) **Planning the Audit**
A training participant shall be able to:
a) Plan and organize all aspects of pre-audit and audit, including document reviews, in accordance with ISO 19011.
b) Explain the importance of scope in relation to
 - The audit processes,
 - The auditee's FSMS including an audit plan.
c) Understand the purpose of pre-audit visits and how to evaluate the need for such visits.
d) Determine the pre-audit information required to effectively plan the duration of audit and the resources required to conduct an audit.
e) Select audit team members based on audit scope.
f) Develop checklists based on process analysis, the FSMS being audited and the relevant requirements from ISO 22000 and ISO 19011 for use during an audit.
g) Consider the risks and benefits of using audit checklists and sampling during audits.
h) Identify considerations for planning an audit of an activity for which there are no documented procedures.

1.2.4) **Performing the Audit**
A training participant shall be able to:
a) Conduct the audit of top management and evaluate the top management commitment.
b) Perform all aspects of a process audit in accordance with ISO 19011 and understand how context of auditee organization, needs and expectations of its interested parties, actions by auditee to address risks and opportunities, Food Safety Policy of auditee organisation, process measures, food safety objectives and continual improvement would be addressed through such an audit.
c) Manage audit opening and closing meetings and holding interim meetings with the auditee during the audit in accordance with ISO 19011.
d) Take sufficient notes during the audit process to provide audit evidence of management system conformity as well as non-conformity with the audit criteria.
e) Analyse the evidence collected during the audit, relate specific audit evidence to the appropriate requirements of the standard and the FSMS and objectively decide on the relevance of the evidence collected.
f) Demonstrate effective interpersonal skills and interview techniques including the ability to listen and question.

1.2.5) **Reporting and Following up the Audit**
A training participant shall be able to:
a) Evaluate the significance of non-conformities recorded during the audit and grade them in accordance with the definitions as mentioned in the audit program (for example: major, minor, observation etc.)
Note: For the purposes of evaluating training participant competency, the definitions taught during the training program shall be used.
b) Prepare reports of conformity and non-conformity against the audit criteria.
c) Summarize and present the results of an audit and demonstrate the ability to produce clear and concise reports based on the audit evidence obtained and maintain records of summary presented.
d) Make recommendations on the acceptability of a management system for certification based on reports of non-conformity and summary results of the audit.
e) Evaluate proposals for corrective and preventive actions prepared by the auditee in response to non-conformities recorded during the audit, evaluate the implementation and effectiveness of corrective actions taken, evaluate the implementation and effectiveness of preventive actions taken based on root cause analysis conducted by auditee, wherever required.
f) Describe the roles and responsibilities of the auditor and the auditee at all stages of verifying the corrective/preventive actions.
g) Explain the purpose of ongoing surveillance audits.

Section – 2: CONTINUOUS IMPROVEMENT

2.1)   The training must reflect current and realistic management systems audit practice and conditions. It must reflect changes in the relevant management systems standards and specifications. Training must be designed and delivered to reflect current training practice and learning theory.

2.2)   Training organization must have appropriate processes for gathering information and identifying ways to continuously improve NBQP certified training. Consider the following:

   a) Including a course evaluation form, requesting participants to provide feedback on the course, including the effectiveness of the course in covering the Learning Objectives as well as their expectations; the knowledge, ability and performance of the course tutor(s); the structure and design of the course, course materials and the course facilities.

   b) Reviewing the suitability and effectiveness of Training Organization's food safety management processes; the design and content of Training Organizations certified course(s); the delivery of certified courses, including tutor competence and improvement opportunities, and participant assessment methods. The training organization shall develop a set of metrics for evaluating and monitoring performance evaluation of various aspects of the course being run. Reviews may include:

   - Actions from the last review; any actions resulting from the instructions and recommendations of NBQP during audit or surveillance visits, or at other times as appropriate.
   - Results of monitoring and measurement activities.
   - Changes which might affect Training Organizations training course management, the content or delivery of Training Organizations courses, including changes in audit practice, standards, legislation and NBQP criteria.
   - Feedback and suggestions for improvement from course tutors, course participants, NBQP and others if appropriate.
   - Planning for improvement in the design and development of course(s), and for the amendment and updating of existing courses. Plans should make clear the actions required and associated responsibilities and authorities, and include review milestones and measurement/monitoring points.

3.1)   The training organization's Food Safety Management System shall be based on ISO 22000 standard.

3.2)   The training organization shall develop and maintain documented procedures for the effective administration of the course in line with ISO 22000. Areas covered shall include:

a) The design, development and evaluation of course materials and documentation to ensure conformity with the current NBQP criteria.
b) Presentation/delivery of the course.
c) The control of course publicity and advertising.
d) Document control system for the maintenance and updating of procedures and course notes as per food safety management system of the Training organization.
e) The criteria for selecting course tutors, procedures for their initial training, evaluation of their delivery of the course and ongoing review of performance.
f) Management reviews.
g) Records of individual participants and each course offering.
h) Participant evaluation procedure, including pass/fail decisions for both ongoing evaluation, written examination as well as re-evaluation.
i) Operation and conduct of the examination and re-examination, including security and confidentiality of examination questions, answers and marked papers.
j) Issue and withdrawal of certificates.
k) Storage and eventual disposal of marked papers and continuous assessment records.
l) Methods such as statistical techniques used to analyze and improve participant evaluations, tutors' performance and overall course performance (e.g., trends on % of persons clearing exam, % of persons getting excellent grading, improvement indices for courses and measures decided during management reviews).
m) Notifying NBQP of significant changes to the course before they are implemented.
n) Complaints and appeals.

3.3)   Changes

a) The training organization shall ensure that any changes to the course content and presentations are first approved by NBQP.
b) Following a decision on and publication of changes, the training organization shall verify that each of its course tutors and branches carries out necessary adjustments to the course and materials before the agreed effective date.
c) The training organization shall notify NBQP of any changes of address or any significant changes in organization structure or provision of services.
d) NBQP reserves the right to carry out assessment of changes to the Documents and/or course delivery before its approval. The expenses for this re-assessment shall be borne by the training organization.

4.1)   In the beginning of the course, training organization shall provide to the training participants the course material, description of the course format, training participant responsibilities, how the training participant will be evaluated and the basis for each type of evaluation.

4.2)   Each training participant shall have a copy of the current published version of ISO 22000. Since these standards are licenced, the licenced version must be obtained by Training Organisation for the purpose of imparting training and copies given to participants with water mark or label "For Training Purpose Only".

4.3)   The course shall cover all aspects defined in the Learning and Enabling Objectives.

4.4)   Training organization may provide participants with a copy of the specimen examination paper and the typical solutions.

4.5)   The training course shall include both knowledge-based sessions (to facilitate understanding of concepts) and skill-based sessions (application of knowledge and skills in practical activities) and each training participant shall be subjected to realistic and current quality system audit practices and conditions.

4.6)   Knowledge based sessions may be tutor led, but shall allow for some interaction with training participants enabling tutors to test learning of the training participants and training participants to clarify their understanding as required.

4.7)   Skills based sessions may be supported by tutor input to address the relevant requirements and techniques such as for managing meetings and interviews. This can be done through workshops, Group exercises case studies, auditor role-play including mock-audits with the aim of developing auditing, interpersonal and leadership skills apart from developing a deeper understanding of the requirement of the standards.

4.8)   Training aids such as videos that are directly relevant may be used to supplement the training by the tutors. No more than three hours of the total course time may be devoted to non-interactive, passive training aids.

Section – 5: CRITERIA FOR PARTICIPANTS

5.1)   Training Organization should shortlist candidates for attending the course on the basis of their qualification, experience, and exposure of FSMS and related activities. Effective measures should be taken to ensure the same like circulation of pre-course questionnaire, webinars, etc.

5.2)   It is recommended that the training participants attending this course should have at least 2 years of food safety related experience, adequate knowledge of ISO 22000 series of standards and some prior knowledge of FSMS auditing.

5.3)   Successful completion of this course in itself may not fully satisfy the requirements related to registration to all grades of FSMS auditor registration schemes being operated by NBQP.

Section – 6: COURSE STRUCTURE

Management System Lead Auditor Training Course could be conducted in any of the following modes –

a) Regular Course - 5 consecutive days' classroom/online mode

b) Weekend Course - On separate weekend, provided the Course is completed within 28 days from the commencement of the course.

Note: Total duration of the course should not be less than 40 hours excluding breaks, out of which at least 50% time shall be allocated for skill-based activities and 2 hours for examination.

7.1)   Class room(s)/ lecture hall with comfortable and ergonomic seating capacity of 20% extra than the enrolled candidates and adequate space for conducting the training, sitting for faculty/observers.

7.2)   Space/arrangements for doing group exercises by participants should be made available. When teamwork is involved, suitable rooms or areas should be arranged so that the activities and discussions of one team are not disturbed by those of other teams, or by anyone else.

7.3)   Batch size should not be bigger than 20 and not less than 6 participants for effective delivery of the program. In case the number of participants is less than 6 on the scheduled date of the program, approval to be taken for the same from NBQP.

7.4)   Two faculty members must be available in the training area, including the lead faculty, if participants are more than 10 in class room.

7.5)   Training participants shall be required to be in attendance for the full duration of the course on all five days. Failure to do so shall be reflected in the training participant's continuous and final evaluations and the participants may not be awarded any certificate. In any case, if the participant is absent for more than half a day, the training organization must record the actions taken to make up for the absence and its justification in case a certificate is to be provided to the candidate.

7.6)   Contemporary training aids (as projectors, white board, markers, flipchart, audio, video facilities etc.)   including requisite software should be made available.

7.7)   Suitable Training room environment should be ensured for effective delivery of the course.

7.8)   The Dos & Don'ts should be explained to the participants (for e.g., keeping mobile on silent during conduct of the training, break timings, etc.)

7.9)   Adequate facilities should be ensured including provision of hygienic food/snacks and clean washrooms.

Training Organization has to ensure/provide the following to NBQP:

a. Information on the virtual platform used (Zoom/ MS Teams/Webex or similar). It has to be ensured that the platform used has the following minimum options available:
- Audio
- Chat
- Polling
- Whiteboard/ Annotations
- Emotions/ Response/ Emojis
- Webcam
- Break out rooms for group activities
- Application share
- Desktop/ Screen share
- File Transfer
- Monitoring of candidates for exercises and exam by webcam and screen share.

b. Information on the availability of the applicable licenses for the product used above.

c. Information on the experience of the Training Organization as well as the Trainer(s) in conducting virtual trainings/webinars/workshops with the platform mentioned above.

d. Guidelines for trainers and trainees to ensure seamless operations and minimum requirements are needed at their end. These guidelines to be circulated to all trainers and trainees through email and explained before the start of each training program. Trainer & the trainees need to have good internet connectivity (speed >10MBPS).

e. Revised Course Schedule/Session Plan considering that there might be increase in the overall duration of the course as there will be technology involved, technological challenges encountered & added break times. Time allotted for role plays and workshops should also be considered for revision. Interactive time between trainer & trainees after each session should be clearly defined in the course schedule.

f. Continuous Evaluation of the trainees based on their punctuality; exercises & activities given to them & their physical & professional code of conduct.

g. Skill sets to be evaluated by video interaction and allowing trainees to share/display/ demonstrate their screen when required. Skill sets to include:
- Generic skills - Can be evaluated based on leadership skills, time management, soft skills etc.
- Auditing skills – Can be evaluated by role plays /workshops based on the sample manual.

h. Availability of a person with good knowledge of using the virtual platform at their end to encounter any software or internet issues occurring during the course & to resolve any issues experienced by the trainer or the trainees during the training.

i. Information on the procedure of the examination to be conducted after the end of the course. It is suggested that the examination is conducted in one of the following ways:
- Through a pen and paper-based examination like conducted during a classroom training.
- Through an online exam using a ProProfs or similar tool where the trainees can login using their credentials (username and password), exam duration is timer based, secure browser is used where candidates cannot leave the exam page else paper is auto submitted, audio and video is on for effective invigilation, feedback mechanism is available. Also, Training Organisations to consider providing additional time of 30 minutes considering the typing speed of some of the trainees may be slow. This is just to ensure that they do not lose out in spite of being knowledgeable.

j. Separate feedback to be designed for getting inputs on challenges faced by Trainees and Trainers on technology infrastructure.

k. Process of updating the knowledge on new technologies to be available with Training Organisation.

Section – 9: FACULTY

9.1) Lead trainer for each course shall be a current NBQP or equivalent registered Lead/Principal Auditor and should fulfil the requirements of the criteria of the NBQP Auditor Registration Scheme for Food Safety Management System given at https://acr.qci.org.in/eligibilityCriteria

9.2) The support trainer should be a certified Lead Auditor from Training Organisations registered with NBQP or equivalent.

9.3) All lead trainers shall have the following competence:

   a) Shall be thoroughly experienced in the principles and practices of auditing management system relevant to the content of the course.
   b) Ability to facilitate the learning of appropriate auditing knowledge and the development of auditing skills.
   c) Familiarity with the current course materials and documentation.
   d) Good communication skills to be able to impart necessary knowledge to training participants.
   e) Have knowledge of current auditing practices and of relevant standards.
   f) Familiarity with the applicable international and national regulations.
   g) Skills in involving and engaging participants throughout the learning process.
   h) Good knowledge of:
      • Different learning styles and the implications of these on training.
      • The effective use of training aids (slides, flip charts, video etc.)
      • Formal and informal methods to assess participant learning.
      • The difference between teaching knowledge and skills.

9.4) Assessment of trainers:

   a) Training Organization must ensure that the competence of trainers is monitored. Assessment of Lead Trainer shall be done by NBQP during the course assessment.
   b) However, the remaining trainers shall be assessed under the trainer qualification process established and maintained by the Training Organisation and the record should be retained. The list of qualified trainers should be maintained by the Training Organisation and shared with NBQP during the assessment along with the Course Material.
   c) Feedback to be taken from participants, from other trainers, where available and include complaints and other customer feedback, results of previous trainer reviews as well as feedback from NBQP during assessment, wherever applicable.

Section – 10: EVALUATION OF THE PARTICIPANTS

Each training participant shall be evaluated using the following two independent elements, both of which need be satisfied if the training participant is to successfully complete the course:

a) The continuous evaluation of the participant during the training.

b) A written examination at the end of the training.

10.1) Continuous Evaluation

The continuous evaluation shall be documented and shall evaluate each training participant's:

a) Achievement of the learning objectives.

b) Attendance and punctuality during the course.

c) Interaction with the faculty.

d) The active participation during the training including for case studies.

e) Participants who fail the continuous assessment are required to retake another entire certified course in order to successfully complete the training.

f) Participants who fail the continuous assessment may take the written examination, but shall not receive a Certificate of Successful Completion, whatever their result in the written examination.

g) The continuous evaluation must be done daily at the end of the session for each participant.

10.2) Written examination

a) The written examination shall evaluate the training participants' comprehension of the audit process and the application of ISO 22000:2018.

b) Training Organization will be responsible for ensuring, through effective invigilation throughout the full duration of the examination, that participants are not provided with opportunities to copy, collude or otherwise cheat during examinations. The invigilators must explain the rules and regulations for taking the examination to the participants, allow participants time to read the rules and regulations and deal with any questions before the start of the examination.

c) Maximum marks shall be 100. The examination shall be designed in such a manner that a competent training participant (i.e. one who has demonstrated achievement of the learning objectives) can achieve a minimum mark of 70%.

d) The time allotted for taking the examination shall be two hours. Strict adherence to the time limit shall be maintained. However, the tutor may allow up to 30 minutes' additional time for taking the written examination, to a training participant with particular disability that adversely affects the training participant's capability to complete the examination in the allotted time as well as in cases where there is a limitation in understanding and interpreting English as a language. Any such allowance shall be indicated in the records of the course or of the examination with supporting reasons.

e) The question format in the examination shall be based on:
- multiple choice or true/false.
- short answer questions.
- questions requiring long, descriptive answers.
- analyzing audit evidence and preparing non conformity report.

f) The % distribution of marks in each section shall be specified.

g) It should be specified clearly that candidates must restrict their answers in the space provided to them in the answer sheets.

h) The minimum passing grade shall be 70%.

i) The only reference material allowed during the examination is a copy of the ISO 22000 standard, Course material and self (participant's) notes.

j) Copies of the examination questions (other than those in a sample examination paper), examination papers, solutions or completed examination papers shall not be supplied to any training participant or any other party for any reason prior to the conduct of the exam.

k) Examination papers and solutions must be maintained, distributed and retrieved in conditions of strictest security. Copies of examination papers, solutions or completed scripts must not be supplied to any participant or any other third party for any reason without written permission from NBQP.

l) Training Organization may provide participants with a copy of the specimen examination paper and the typical solutions.

m) Training Organization must select, at random, one of the examination papers for a particular presentation and ensure, where possible, that the tutor(s) for that presentation are not made aware of which examination paper is to be used.

n) The training organization should maintain at least three versions of the examination paper and ensure that two consecutive courses do not use the same version.

o) Training organization shall ensure that the tutor(s) for any given course are not aware of the examination questions.

10.3) Grading: Pass/Fail Decisions

a) Each examination paper shall be graded by the lead tutor. Another competent tutor shall check the addition of the score allocated in each section and re-grade all examination papers with scores between 60 and 70 percent.

b) The training organization shall have procedures to resolve any differences in grading by the two tutors and issue final grades.

c) Training Organization must ensure that marking and overall grading is consistent and calibrated.

10.4) Re-examination

a) A training participant who fails the written examination for the course conducted by the training organization, shall be allowed one re- examination within twelve months of the last day of the course.

b) A different examination paper shall be used for the re-examination.

c) A training participant who fails the re-examination must take a full training course again before being eligible to take another examination.

d) Re-examination may be allowed at venue or at the training organization's premises in the presence of one of the tutors.

e) A participant failing in the continuous evaluation is not allowed to appear in re-examination and will not be awarded the 'successful completion certificate'.
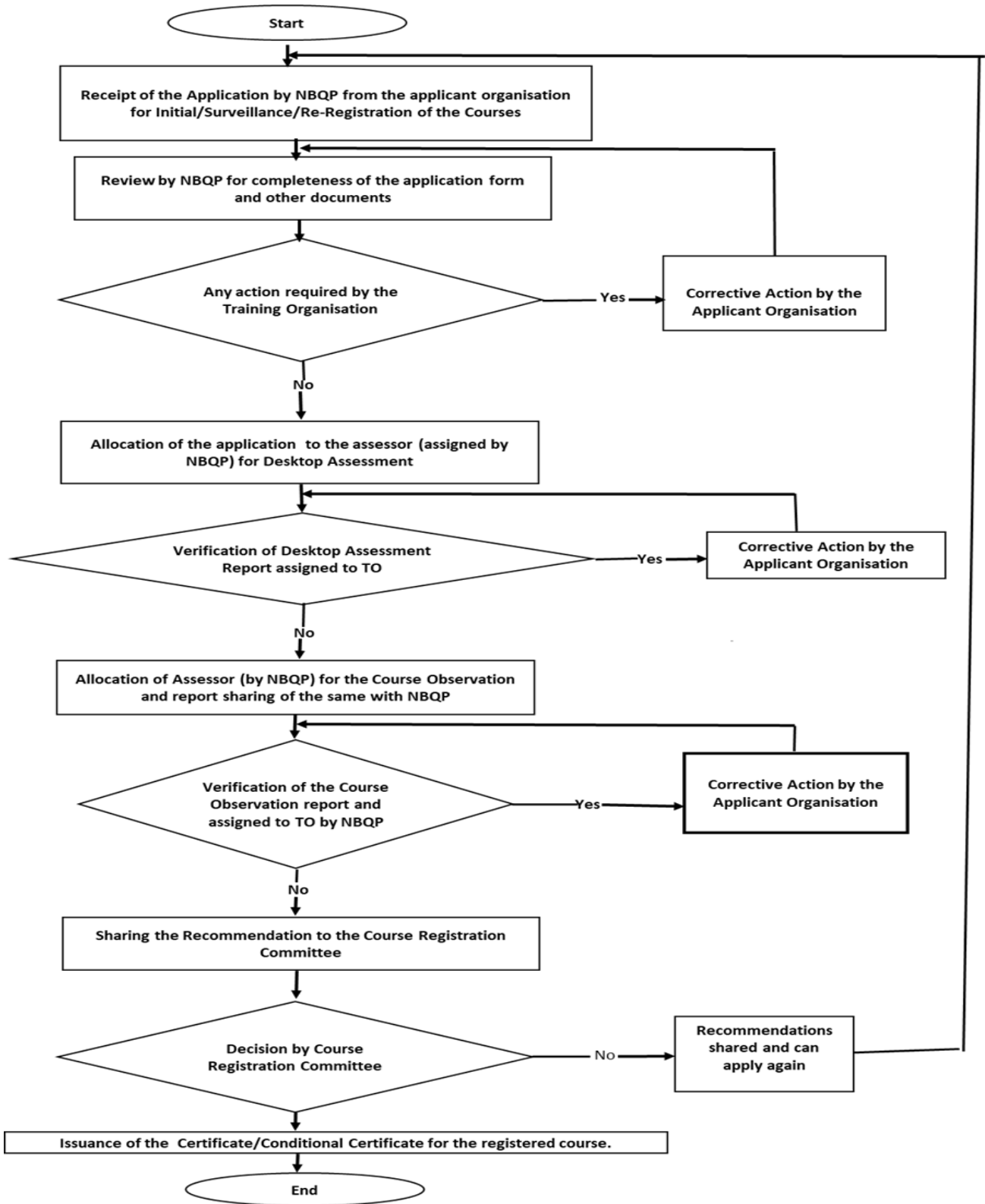
11.1)   Two types of certificates may be issued to the participants attending the program:

      a)   A certificate of "successful completion" shall be provided to each training participant who has passed both the written examination and continuous evaluation.

      b)   Certificates of Successful Completion are valid for three years from the last day of the course, irrespective of the date of successful completion of the examination, for meeting the training requirements for certification as an NBQP auditor. Training Organization must inform participants in writing that Certificates of Successful Completion are only valid for three years for the purposes of auditor certification by NBQP. It must be informed to participants that Certificates of Participation will not be accepted by auditor certification bodies.

      c)   A certificate of "Participation" may be provided to the participants who do not pass the written examination or continuous evaluation but who have satisfied the attendance requirement.

      d)   Certificates of Participation must be clearly distinguishable from the Certificates of Successful Completion. They must not imply successful completion and must not include the NBQP Training Course Mark or the NBQP Training Organization Mark.

11.2)   The certificate shall:

      a)   Clearly state that the course is registered with NBQP.

      b)   Include the NBQP course registration mark.

      c)   Include a unique identification number for each certificate.

      d)   Clearly show the name of the training organization.

      e)   Identify the course-by-course title, course number and dates of presentation of the course.

      f)   Include the name of the training participant.

      g)   State that the training participant named has participated /successfully completed the course.

      h)   Include all information on a single side of the certificate.

11.3)   The sample and content of the certificates must be sent to NBQP for approval before the Training Organization issues them and as and when there are any changes made by the Training Organisation.

The training organization shall maintain records to demonstrate conformance to the NBQP requirements. The records for each course presentation shall include:

a) Venue, dates, related advertisement and promotional literature.

b) Names of tutors with their auditor certification/registration status at the time of that course presentation, including trainee tutors and observers.

c) Identification of the sessions conducted by the support tutor.

d) Identification of the specific version/revision level of the course documentation used.

e) Identification of the examination paper version used.

f) Names of all training participants who attended the course, together with the continuous evaluation results and the examination results for each training participant.

g) All copies of marked examination papers, continuous evaluation forms and related summaries.

h) The percentage of training participants that successfully completed the course.

i) Unique identification number of each certificate of successful completion and the name of the training participant to whom it was issued.

j) A copy of completed examination papers (including re-sits) and the completed continuous assessment records for each participant.

k) Any complaints received. Training Organization must inform all participants of their right to make a complaint or an appeal and must provide them with written details of the process for doing so, on request. In the case of a complaint or appeal, Training Organization must notify each complainant or appellant in writing of the result of the complaint or appeal and of the right to appeal against the result to NBQP.

l) Record retention time: 5 Years.

Start

Receipt of the Application by NBQP from the applicant organisation for Initial/Surveillance/Re-Registration of the Courses

Review by NBQP for completeness of the application form and other documents

Any action required by the Training Organisation — **Yes** → Corrective Action by the Applicant Organisation

No

Allocation of the application to the assessor (assigned by NBQP) for Desktop Assessment

Verification of Desktop Assessment Report assigned to TO — **Yes** → Corrective Action by the Applicant Organisation

No

Allocation of Assessor (by NBQP) for the Course Observation and report sharing of the same with NBQP

Verification of the Course Observation report and assigned to TO by NBQP — **Yes** → Corrective Action by the Applicant Organisation

No

Sharing the Recommendation to the Course Registration Committee

Decision by Course Registration Committee — **No** → Recommendations shared and can apply again

Issuance of the Certificate/Conditional Certificate for the registered course.

End

14.1) Application Process

a) Details of the registration criteria and the Application Form are posted on the NBQP/QCI website. Any institution desiring Lead Auditor Training Course (LATC) registration under this criterion should carefully go through the requirements of the criteria, processes and assess their own adequacy and take care of shortfalls, if any, before applying.

b) Application form is to be filled on https://courseregistration.qci.org.in/

c) All the payments have to be done through the portal online.

14.2) Assessment Process

Assessment Process comprises three parts:

14.2.1) Initial Assessment

a) *Application Completeness:* Submitted application shall be reviewed by NBQP secretariat for its completeness. Inadequacies in application (if any) shall be informed to applicant Training Organization. Training Organization should submit complete response within 30 days. Only completed applications will be further processed.

> **Note 1:** If inadequacies are found in the response, the same will be communicated with an additional time of 30 days. If Training Organization fails to submit satisfactory response even after additional time, then the application will be made active only after the approval from competent authority.

> **Note 2:** The inactive period will be for 45 days. The Training Organization may submit satisfactory response in the given time. If the response is not satisfactory then the application will be treated as closed and the Training Organization has to re-apply with full fees.

b) *Desktop:* NBQP assessor conducts adequacy assessment (application & technical assessments of documents submitted by Training Organization). Observation(s) and NCs (if any) would be communicated by NBQP secretariat. Training Organization should submit complete response within 30 days.

> **Note 3:** Closure of NCs and observations submitted by Training Organization will be verified by NBQP assessor. Note 1 & 2 given under (a) will be followed for timelines.

c) *Office Assessment:* NBQP assessor conducts adequacy assessment (application & technical assessments of documents submitted by Training Organization), interaction with each faculty (in-house and visiting) /quality manager, concerned administrative staff etc., verification of infrastructure.

d) *Witness Assessment:* Witness assessment includes, implementation of training organization's quality management system (Refer section-3), witness of course delivery and trainee's feedback. Assessment report [findings like observation(s) and NCs (if any)] would be reported by NBQP assessors to NBQP secretariat and in turn communicated to training organization. Corrective measures shall be submitted by Training Organization within 30 days. Decision regarding grant/denial of registration or provisional registration would be communicated.

> **Note 4:** Closure of NCs and observations submitted by Training Organization will be verified by NBQP assessor.

14.2.2) Surveillance Assessment (SA)

a) If there is no change in faculty, course curriculum, quality manual, infrastructure, scope etc. then Training Organization shall pay surveillance fee and inform NBQP for due surveillance, Training Organization need not submit new application.

b) If there is any change in faculty, course curriculum, quality manual, infrastructure, modification of scope etc. then new application with updated details and applicable fee shall be submitted and same process as above will be followed.

c) SA will be conducted with particular emphasis on performance, quality of training delivery, implementation of training organization's quality management system, compliance to conditions of registration. One SA to be carried out between 10-12 months from the date of provisional registration and 1st SA.

14.2.3) Re-registration
a) Process will be similar as initial assessment, with particular emphasis on performance, feedback by trainees, continual improvement, training organization's quality management system etc. in three years from the date of provisional registration. Re-registration application shall be submitted 3 months prior to Re-registration due date. Re-registration process shall be completed before the expiry of registration to avoid any discontinuation of registration.

14.3) Terms and Conditions

14.3.1) Terms & Condition for application for Course Registration
a) The Training Organization shall inform NBQP the commencement date of the first Programme to enable NBQP to arrange the witness assessment by NBQP assessor(s).
b) The first training Programme subsequent to provisional registration will be subjected to office and witness assessment by the assessor(s) deputed by NBQP. Number and Duration of office and witness assessment depend upon the scope of the provisional registration and the nature of training Programme.
c) The office and witness assessment of the first training Programme shall be conducted by the assessors deputed by NBQP.
d) Based on office and witness assessment report, NCs and observation, if any shall be communicated by NBQP secretariat to the Training Organization for action & compliance. Training Organization shall submit evidence-based compliance of NCs and observations at the earliest but not later than 4 weeks. If required additional office and witness assessment may be required for verification of closures. The case then shall be placed now to CRC for granting full/conditional course registration.
e) Registration period of three years will be counted from the date of approval from CRC. However, this validity period is subject to satisfactory SA.

14.3.2) Terms & Conditions to maintain Course Registration
a) Registration period of three years shall be counted from the date of provisional registration; however, this validity period is subject to satisfactory Surveillance Assessment(s).
b) Training Organization shall submit complete SA/RA application 60 days prior to due date to maintain the registration continuity.
c) Registration shall expire at the end of its validity unless renewal is sought in time.
d) All payments shall be made in advance.
e) Franchising, licensing, subcontracting of NBQP registered Programme(s) is NOT permissible.
f) Training Organization shall inform NBQP with a copy of Programme just after the Programme announcement, name of the training Programme, dates, names of faculty, venue, expected number of participants, study material, presentations etc.
g) Training Organization shall submit to NBQP a soft copy of registered participants on the first day of the Programme start and a copy of successful candidates with certificate number after the result announcement.
h) Any change in faculty, employment status, curriculum etc. shall be informed to NBQP within 15 days with relevant documents.
i) Training Organization just after registration shall sign the 'Code of Conduct' and send it to NBQP Secretariat.

j) The Training Organization shall maintain relevant records of all trainings conducted including the following in hard or soft format –

- Name of the training Programme, dates, names of faculty, venue, study material, presentations, training photos etc.
- List of participants, singed attendance sheet, marks obtained in evaluation, feedback of participants and its analyses by Training Organization.

14.4) Payment of Fees

a) The fees are to be paid through the Course Registration Portal.
b) Any pending fee payments must be made before finalizing the date of assessment.
c) Annual Registration fees shall be paid every year (from the date of provisional registration).
d) No SA, re- registration, issuance of certificate etc. if dues are pending.
e) All fees are not refundable.
f) Goods & Service Tax – extra as applicable.
g) Expenses on local travel, outstation travel, boarding and lodging etc. of Assessors will be charged on actuals in case of physical trainings.

Section – 15: MAINTAINING REGISTRATION

15.1) Suspension or Cancellation of Course Registration

NBQP shall suspend or cancel a registration on account of any or more grounds during registration process or after, but not limited, to the following:

a) Non-compliance, violation of the NBQP requirements, conditions of Registration.
b) Deviation from facts as stated in application and enclosures.
c) Submission of false or misleading information in the application or in subsequent submissions.
d) Improper use of NBQP Registration mark.
e) Carrying out changes in faculty members/ course content without NBQP's approval.
f) Failure to report any major legal (mandatory compliance) changes.
g) Using fraudulent practices by the training organization (Training Organization) in respect of its submission/ interaction with NBQP which would 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 course registration, and non-reporting of complaints against training institutions to NBQP.
h) Non- payment of applicable fees in time to NBQP.
i) Not submitting SA/RA application in time.
j) Franchising, licensing or subcontracting of course/ Programs.
k) Any other condition deemed appropriate by NBQP.

15.2) Code of Conduct

All Training Organizations shall improve the standing of the profession by rigorously observing the Code of Conduct. Failure to do so may result in the suspension or cancellation of course registration. The Training Organization shall undertake:

a) To act professionally, accurately and in an unbiased manner.
b) To be truthful, accurate and fair to the assigned work, without any fear or favor.
c) To judiciously use the information provided by or acquired from the applicant and to maintain the confidentiality of information received or acquired in connection with the assignment.
d) To avoid and / or declare any conflict of interest that may affect the work to be carried out.
e) Not to act in a manner detrimental to the reputation of any of the stakeholders including NBQP and the trainee.
f) To co-operate fully in any formal enquiry procedure of NBQP.
g) No sharing of the contact details of Trainees with other laboratory/ organization/ company.

15.3) Complaints & Appeals

a) The Training Organization shall establish documented procedures for handling and disposal of complaints and appeals within a reasonable time. The documented procedure shall include provision for:
  • Providing information regarding complaint handling process / appeals to all interested parties.
  • Acknowledgement of complaints/appeals.
  • Complaint analysis/ investigation for redress of complaint/appeals.
  • Communication with the complainant/appellate for satisfactory closure of the complaint/appeal.
  • Involvement of NBQP in unresolved complaints or appeals, if any.

b) The Training Organization shall maintain records of all complaints and appeals and their resolutions including actions taken.

c) All complaints and appeal to be assessable to NBQP assessment.

15.4) Governance

QCI-NBQP reserves the rights with respect to training modules development, implementation, coordination, management of these Training Programmes through Training Organizations. QCI-NBQP will have following functions (but not limited to):

a) Review of the Training Modules provided by Training Organizations.

b) Changing/ modifying the criteria/ guidelines/ fee structure.

c) Suspension/cancelling of registration in case of violation of any clause of the criteria.

d) Surprise visits/ extra witness assessments.

15.5) Confidentiality

a) All information, documents submitted by an applicant to NBQP shall be used by NBQP (including NBQP Assessors and Members of Course Registration Committee) for the purpose of assessment & course registration only. However, the identity of the training organizations would be protected for sensitive information related to business whenever it is called for/ appropriate. In case a Training Organization wants the information to be kept confidential, a communication shall be sent to NBQP citing reasons for the same. NBQP reserves the right to take decision in this regard.

b) The Training Organization shall have adequate arrangements consistent with applicable laws to safeguard confidentiality of all information provided by stakeholders.

c) The Training Organization should maintain confidentiality of their trainees related information like marks, evaluations, question paper, feedback form, answer sheets, personal details etc.

15.6) Use of NBQP Symbol

a) NBQP Symbol (Which comprises of NBQP Logo and the course Registration number issued by NBQP for a particular course) can be used by registered Training Organizations only at following places:

- On promotional material and study material stating that the course is registered with NBQP, certificate for successful trainees, and mentioning course registration number.

- On letter head and visiting cards mentioning that their Course has been registered with NBQP for the specific training.

- On certificate issued to candidates clearly stating the course registration number.

b) Training Organization should ensure that NBQP symbol should not be used to the courses until registered completely with NBQP.

c) On suspension, withdrawal, after expiry of course registration validity, the training organization must not use NBQP symbol, else it will attract legal implications.

	Lead Auditor Training Course Fee Structure													
	Initial Registration of course				First Surveillance			Second Surveillance			Re-Registration after 3 years			
Course Name	Application Fees for Course Registration	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #1 (Total No. of Courses *3000)	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #2 (Total No. of Courses *3000)	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #3 (Total No. of Courses *3000)	Application Fees for Course Registration	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #1 (Total No. of Courses *3000)
FSMS	50000	12000	60000	X*3000	12000	24000	X*3000	12000	24000	X*3000	36000	12000	60000	X*3000

X: Total Number of Courses in a year

(~): To be paid after the assessments

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QCI/NBQP/FSMS/LATC/Ver3.0