Document Title

Registration Criteria for
Information Security Management Systems (ISMS)
Internal Auditor Training Course

Document Number: QCI/NBQP/ISMS/IATC/Ver1.0

Contents

PREFACE

This ISO 27000 series internal auditor training course shall provide training for potential internal auditors and audit team leaders in the principles and practices of auditing information security management systems and of audit team management as described in ISO 27001 and ISO 19011. The primary focus of the training course shall be on information security management systems based on auditable standard ISO 27001 and/or recognized national equivalent.

The training course provider shall:

- o present the whole body of knowledge of internal auditing of information security management system in such a way that participants are able to practise and evaluate good auditing practice; and

- o encourage in participants an attitude of self-evaluation and analysis of their own performance as a means for developing constructive 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. By the end of the course, participants will be able to:

- Describe the responsibilities of an internal auditor and describe the role of internal audit in the maintenance and improvement of management systems, in accordance with ISO 19011.
- Explain the purpose and structure of ISO 27001 and explain the principles, processes and selected techniques used for the assessment and management of information security aspects and impacts, including the significance of these for ISMS auditors, with specific reference to Plan, Do, Check, Act (PDCA) cycle and the Model of a Process based Information Security Management System.
- Understand the concept of Risk-based auditing.
- Plan and prepare for an internal audit.
- Gather objective evidence through observation, interview and sampling of documents and records.
- Write factual audit reports that help to improve the effectiveness of the management system.
- Suggest ways in which the effectiveness of corrective action might be verified.

1.2) Enabling Objectives

1.2.1) Describe the responsibilities of an Internal Auditor and describe the role of internal audit in the maintenance and improvement of management systems:

    a) Define what a management system is, including:
- The purpose and typical structure of management systems
- The significance of policies, objectives and processes in the management system
- Legal and other compliances pertaining to each standard including recent up to date changes.

    b) Define an internal audit, including:
- The terms and definitions used in auditing, referencing 19011 and ISO 27000.
- Typical objectives for audits, including conformance, effectiveness and improvement and suggest how these different types of audit can add value to an organization.
- The audit cycle.
- The responsibilities of auditors, and principles of auditing.

    c) Explain how audits can be used as a tool for the maintenance and improvement of management system.

    d) Explain the role of NBQP in the registration of Auditors.

1.2.2) Explain with reference to the PDCA cycle and the Model of a Process based Information Security Management System, the purpose and structure of ISO 27001 including risk-based auditing. Explain why organizations use ISO 27001 including:
- The relationship between management processes and realization processes and the implications for auditing.
- The ISO 27001 requirement for continual improvement and the implications of this for internal auditors.

1.2.3) Plan and prepare for the Internal audit of a process:

    a) Establish the purpose and objectives of the audit and define the scope and context of the auditee department/organization.

    b) Identify documents to be reviewed and information to be obtained before the audit.

    c) Produce an outline plan for auditing the conformance and effectiveness of a process including:

- What to audit (documents, records, activities)
- Who to select for interview
- Where and when to audit
- What methods to use for gathering objective evidence (e.g. interview, observation, review of documents and records)

d) Produce an audit plan and audit checklist (or alternative) appropriate for the scope, objective and audit criteria for use in the practical audit exercises.

e) Explain the significance of audit criteria and give examples of types of different audit criteria.

f) Suggest approaches and methods for:
- Gathering objective evidence to meet different audit objectives, including conformance, improvement and effectiveness audits.
- Planning an internal audit, including arrangements for opening and closing the audit.
- Planning and conducting an audit of a process for which there are no documented procedures.

g) Explain the need for pre-audit contact with the auditee.

1.2.4) Gather objective evidence through interview and sampling of documents and records:
   a) Apply their audit checklist in a practical audit situation
   b) Gather objective evidence to achieve the audit objectives through a structured audit interview and the sampling of documents and records.
   c) Follow audit trails to determine the effectiveness of processes.
   d) Take appropriate notes
   e) Demonstrate effective questioning, listening, observation and feedback skills in gathering of objective evidence in an audit situation.

1.2.5) Write factual audit reports that help to improve the effectiveness of the management system:
   a) Review audit evidence against criteria and determine
   - the effectiveness of the activity/process in achieving planned results
   - conformance to defined audit criteria
   - opportunities for improvement
   b) Link audit findings to establish root cause of non-conformance.
   c) Write clear, actionable reports.
   d) Explain the purpose and typical content of an internal audit report.

1.2.6) Suggest ways in which the effectiveness of corrective action might be verified:
   a) Plan a follow up audit including methods to be used to obtain objective evidence that corrective action is effective.
   b) Determine the effectiveness of corrective actions taken in given situations.
   c) Explain the purpose of and methods for follow up of audit findings.

1.3) Practical Skill Based Activities

The following minimum practical skill-based activities must be covered during the course through workshops, case studies, auditor role-play etc.:
- Identify the pre-audit information required to plan the audit
- Prepare an audit plan that is appropriate to the audit scope
- Produce an audit checklist
- Perform document review
- Mock Audit to develop interpersonal skills, information gathering techniques and exercising objectivity in the review of evidence collected
- Non conformity identification, reporting, verification of action plans and closure
- Report writing (clear and actionable audit report)

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 trainer(s); the structure and design of the course, course materials and the course facilities.

b) Reviewing the suitability and effectiveness of Training Organization's information security management processes; the design and content of Training Organizations certified course(s); the delivery of certified courses, including trainer 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 trainers, 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 Information Security Management System shall be based on ISO 27001 standard.

3.2)   The training organization shall develop and maintain documented procedures for the effective administration of the course in line with ISO 27001. 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 information security management system of the Training organization.
   e) The criteria for selecting course trainers, 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, trainers' 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 trainers 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) The course content shall cover:

      a)   all aspects defined under Course Objectives and

      b)   local requirements, culture, practice or approaches to auditing and the application of ISO 27001 as appropriate.

4.2) 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.

4.3) The document included in the course notes shall themselves illustrate good organization layout and document management practices, including document revision level and appropriate page numbering.

4.4) The set of course notes shall include a table of contents and a cover page that gives the approved course provider's name and course identification.

4.5) The notes shall cover each session and shall include all-important points of the element being covered.

4.6) Examples of typical documents, reports and forms shall be included.

4.7) Course notes may include typical examination questions, provided they are not used in any of the examinations, either during the course or following the course.

5.1)   It is recommended that the participants attending this course should have prior knowledge of ISMS standard through awareness training on the standard.

5.2)   It should also be conveyed to the prospective participants that no prior knowledge as above may lead to unsuccessful completion of this course and the gaps in this knowledge may not be covered during this course. This recommendation should be conveyed by the course provider to prospective participants in all its communications, course promotion etc.

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

6.1) Management System Internal Auditor Training Course could be conducted in any of the following modes –

- Regular Course - 2 consecutive days' classroom/online mode
- Part Time Course - Training Organisation need to ensure that the entire course (classroom/online) is completed within 2 consecutive weeks from the date of commencement of program in one of the following ways:
  - ➢ 4 consecutive half-days'
  - ➢ 2 consecutive week-end

Note: Total duration of the course should not be less than 14 hours excluding breaks, out of which at least 4-6 hours' time shall be allocated for skill-based activities and 1 hour for examination.
Examination may be conducted in physical mode, if the training is conducted in virtual mode.

6.2) To promote achievement of the learning objectives, course shall be designed to have a high degree of interaction between participants and instructors. Training methods shall involve and engage participants throughout the duration of the course.

6.3) 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).

6.4) The course shall be structured and conducted so that each participant is subjected to realistic information security system audit practices and conditions.

6.5) Knowledge based sessions may be instructor led, but shall allow for some interaction with participants, enabling instructors to test leaning and participants to clarify their understanding, as required.

6.6) Skill-based sessions may be supported by instructor input to address the relevant requirements and techniques such as for managing meetings and interviews.

6.7) Methods for evaluating participant achievement of the learning objectives and for providing timely feedback shall be included in the course.

6.8) Each participant shall be required to actively participate in practical skills-based activities like workshops, case studies and auditor role-playing or actual information security system audit situations.

6.9) Instructors shall demonstrate effective management of the course, including attention to time schedule, course content, requirements of the standard, instructor conduct and other course requirements.

6.10) Training aids, such as videos, that are directly relevant may be used to supplement the training by the instructors. These may be commercial training videos or videos produced during the course to record and review the performance of participants. No more than three hours of the total course time may be devoted to non-interactive, passive training aids.

Section – 7: CLASS ROOM MANAGEMENT & FACILITIES

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 25 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)   Each course offering shall be presented by at least one instructor who shall be actively involved in instruction for the full duration of the course. Additional resource people or trainee instructors may be used for specific subject or activity; however, the lead instructor remains responsible for the entire course offering.

7.5)   Training participants shall be required to be in attendance for the full duration of the course. 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 candidate shall not be allowed to continue with the course.

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.

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 Information Security 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 27001 along with the relevant legal & other compliances.
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) The time allotted for taking the examination shall be one hour. Strict adherence to the time limit shall be maintained. However, the trainer may allow up to 15 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.
d) At least 60% of the examination grade shall be based on questions that require essay response and shall demonstrate the participant's ability to analyze audit scenarios and understanding of how to apply the ISO 27001 standard during the audit. The remainder of the examination grade shall be based on multiple choice, true/false or short answer questions.
e) The % distribution of marks in each section shall be specified.
f) It should be specified clearly that candidates must restrict their answers in the space provided to them in the answer sheets.
g) The minimum passing grade shall be 70%.
h) The only reference material allowed during the examination is a copy of the ISO 27001 standard, Course material and self (participant's) notes.

i) 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.

j) 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.

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

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

m) 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.

10.3) Grading: Pass/Fail Decisions

a) Each examination paper shall be graded by the lead trainer. Another competent trainer 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 trainers 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 45 days 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)   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.
   c)   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.
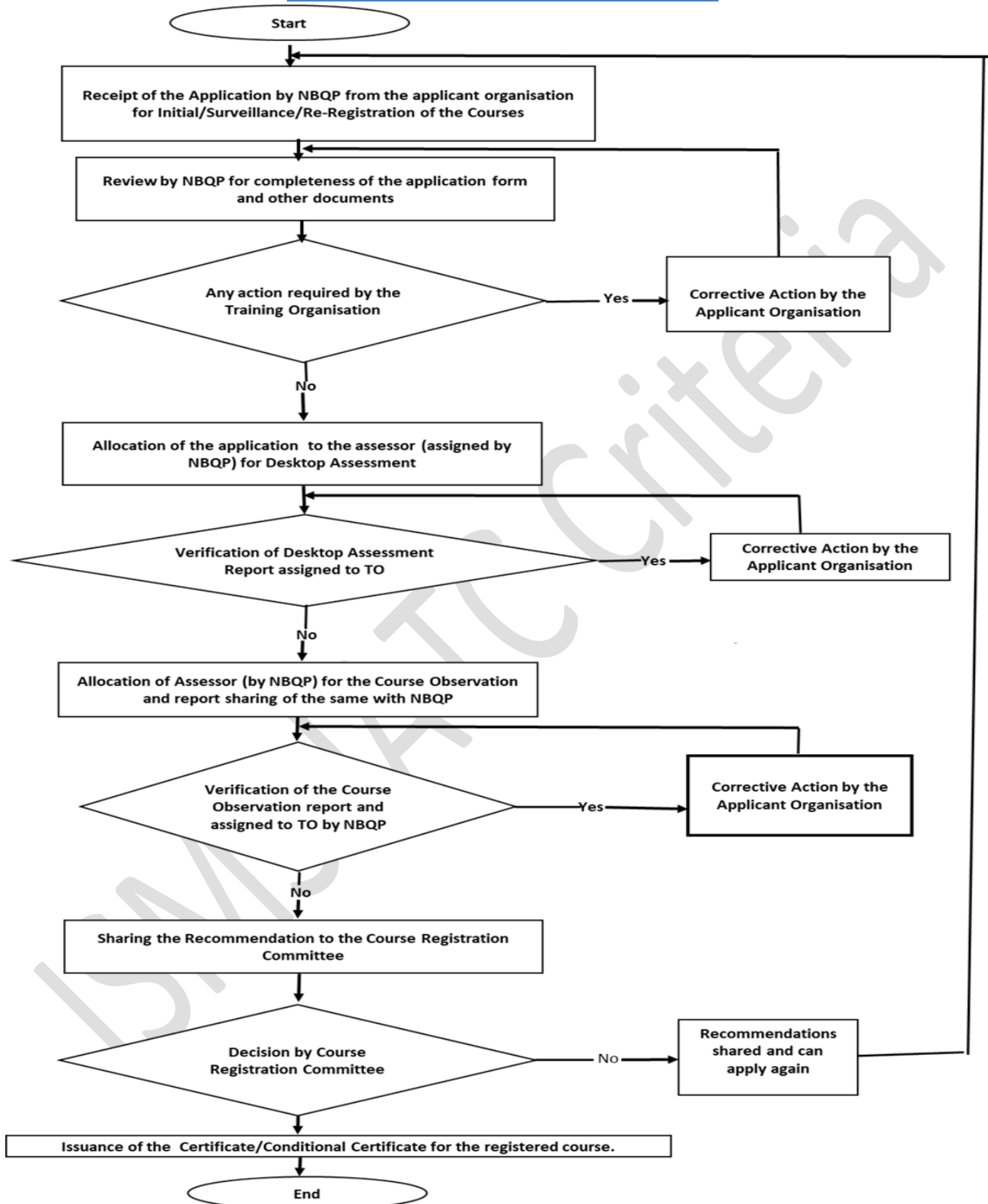   h)   Include all information on a single side of the certificate.

 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 trainers with their auditor certification/registration status at the time of that course presentation, including support trainers and observers.
c) Identification of the sessions conducted by the support trainer.
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 for traceability for each certificate of successful completion and the name of the training participant to whom it was issued.
j) A copy of completed examination papers and the completed continuous assessment records for each participant.
k) Any complaints received.
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 Internal Auditor Training Course (IATC) 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 on the portal.

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) /ISMS manager, concerned administrative staff etc., verification of infrastructure.

d) ***Witness Assessment:*** Witness assessment includes, implementation of training organization's information security 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 information security 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 information security 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 start of the program that has been witnessed by the NBQP Assessor. 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 through the portal.

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 analysis 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.

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 trainee's 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.

Internal Auditor Training Course Fee Structure

Course Name	Initial Registration of course				First Surveillance			Second Surveillance			Re-Registration after 3 years			
	Application Fees for Course Registration	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #1 (Total No. of Courses *1500)	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #2 (Total No. of Courses *1500)	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #3 (Total No. of Courses *1500)	Application Fees for Course Registration	Office & Desktop Assessment of Course (~)	Witness Assessment of Course (~)	Annual Fees #1 (Total No. of Courses *1500)
ISMS	25000	12000	24000	X*1500	12000	12000	X*1500	12000	12000	X*1500	15000	12000	24000	X*1500

X: Total Number of Courses in a year

(~): To be paid after the assessments

Contact Us-

Address:

ITPI Building, 6th Floor, 4-A,

I P Estate, Ring Road

New Delhi- 110002, India

For any queries:

Mr. Prasoon Misra (Asst. Director, NBQP) +91-7571908641   Email: prasoon.nbqp@qcin.org

QCI/NBQP/ISMS/IATC/Ver1.0