



# **NBQP Accreditation Criteria for EMS Lead Auditor Training Course**



## Section – 1: INTRODUCTION

- 1.1 The NBQP accredited training course provider shall provide training for potential auditors and audit team leaders in the principles and practices of auditing environmental management systems and of audit team management as described in ISO14010, ISO 14011, ISO 14012 (ISO 19011).
- 1.2 The primary focus of the training course shall be on development of skills for auditing environmental management systems based on auditable standard ISO 14001 and/or recognized national equivalent and enhance leadership skills in managing the team of EMS auditors
- 1.3 The training course provider shall:
  - a. present the whole body of knowledge of environmental management system auditing in such a way that students are able to practice and evaluate good auditing practice;
  - b. encourage in students an attitude of self-evaluation and analysis of their own performance as a means of developing constructive auditing skills.
  - c. provide inputs to students for enhancing their leadership qualities so as to enable them manage a team of EMS auditors for effective conduct of audit
- 1.4 The training shall apply primarily to second and third party auditors.

### 1.5 Prior Knowledge of students

It is recommended that the students attending this course shall have adequate knowledge of ISO 14001 standards and some prior knowledge of EMS auditing.

This recommendation should be conveyed by the course provider to prospective students in all its communications, course promotion etc.

It should also be conveyed to the prospective students 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.

- 1.6 Successful completion of the NBQP accredited training course will satisfy the requirement related to registration to all grades of auditor registration scheme operated by NBQP ( National Board for Quality Promotion), one of the constituent Board of Quality Council of India and / or RABQSA



## Section – 2: COURSE OBJECTIVES

### 2.1 Learning Objectives

Learning objectives describe what students must be able to do by the end of this course. Students need to demonstrate acceptable performance in all these areas in order to complete the course successfully and a factual and objective approach to the assessment of students performance against the following.

By the end of the course students will be able to:

- 2.1.1 Describe the purpose of the EMS and explain the principles, processes and techniques used for assessment and management of environmental aspects and impacts, including the significance of these to EMS auditors.
- 2.1.2 Explain the purpose, content and interrelationship of ISO 14001 with the ISO 14000 series guidance standards and the legislative framework relevant to an EMS.
- 2.1.3 Interpret the requirements of ISO 14001 in the context of an audit.
- 2.1.4 Explain the role of an auditor to plan, conduct, report and follow up an audit in accordance with ISO 19011.
- 2.1.5 Undertake the role of an auditor to plan, conduct, report and follow up an audit in accordance with ISO 19011.
- 2.1.6 Undertake the role of a leader of the team of EMS auditors and expose to issues relating to management of EMS auditing team

### 2.2 Enabling objectives

The following topics should be covered during this course:

#### 2.2.1 General Topics

- a. Describe the purpose of the environmental management system in managing environmental risks of organizations being audited,
- b. Background to development of the environmental management system standard and the current status of ISO 14000 series of standard,
- c. Provide requisite information on environmental science and technology, relevant to various organizations processes, to enable them conduct effective EMS audits.
- d. Provide an overview of Indian Environmental legislation and provide references to key environmental legislation relevant to pollution control via gaseous emissions, liquid discharges and solid waste disposal, including control over hazardous substances (this should include an overview of relevant international environmental treaties and agreements).



- e. Provide inputs on inter-personal skills, planning manpower for multi-function audits and team building exercise

### **2.2.2 Standards**

- a. Explain the purpose and intent of ISO 14001 and how it relates to the other 14000 series documents, including available guidance on the application of the elements of ISO 14001,
- b. Explain the requirements of the current issue of the ISO 14001 and identify the objective evidence needed to show conformance and effectiveness of the entire environmental management system,
- c. Describe the ongoing process of change in ISO standards, the impact that changes in the ISO 14001, ISO 14010, ISO 14011 and ISO 14012 (ISO 19011) standards may have on the audit process, and the need for auditors to keep up to date,
- d. Explain the benefits of documenting an environmental management system, suggest approaches for doing so in a variety of situations
- e. Difference between documents and records,
- f. Describe the difference between legal compliance and conformance with the ISO 14001 standard, and the significance of these terms when conducting audits

### **2.2.3 Audit Process and Responsibilities**

- a. Describe the EMS audit process, auditing principles, methodology and good practice as described in the current revisions of ISO 14010/11,
- b. Describe the functions of first, second, third party audits including stage 1 & 2 of certification audit, similarities, differences and the varying role of the auditor, auditee & client in the audit,
- c. Describe the different types of environmental audits and assessments and relevant terminology,
- d. Explain the need for confidentiality during all phases of the audit process,
- e. Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved,
- f. Describe and undertake the responsibilities of an auditor and of an audit team leader,
- g. Describe the systems of certification/registration and the differing functions of the accreditation bodies, registrars/certification bodies, auditor certification bodies, training course approval bodies and IPC, involved in certification/registration to ISO 14001,



- h. Describe the International Accreditation Forum (IAF) interpretations and guidelines for 3rd party certification bodies (registrars),
- i. Summarize the NBQP/NBQP criteria for registration of Environmental Management System Auditors,
- j. Explain NBQP/ NBQP Auditors Code of conduct.

### **2.2.3 Planning the Audit**

- a. Plan and organize all aspects of an audit including pre audit contact, document reviews and conformance evaluation activities,
- b. Explain the importance of scope in relation to the accreditation registrars/certification bodies, the structure and content of the auditee's environmental management system and the audit plan,
- c. Selection of audit team members, their interrelationships particularly with regard to the understanding of local environmental regulations,
- d. Explain the purpose of pre-audit visits and how to evaluate the desirability or need for such visits
- e. Identify the pre-audit information required to effectively plan the duration and the resources required to conduct an audit
- f. Conduct of prior desk top review of EMS documentation, wherever practicable and feasible, which greatly helps in audit planning
- g. Preparation of checklists for use during audit
- h. Explain the benefits and risks of the use of checklists during the audits.

### **2.2.5 Performing the Audit**

- a. Evaluate organization's effective implementation of procedures and methodologies to conform with ISO 14001 with emphasis on the following three features:
  - o elements of an organization's EMS including policy and procedures, records showing relevant legislation, environmental aspects and significant impacts, objectives, targets and programs for achieving continual improvement and prevention of pollution,
  - o environmental aspects and methodologies for establishing significant impacts, management controls over operations and monitoring of performance
  - o the rationale for setting priorities, objectives and targets for management programs to ensure that planned improvements are achieved.



- b. Perform audit in accordance with the principles, process and methodology as described in the current revisions of ISO 14010/11 (ISO 19011).
- c. Manage audit opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit,
- d. Demonstrate effective interpersonal skills and interview techniques including ability to listen and question,
- e. Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the documentation against which the audit is being conducted,
- f. Explain the benefits and risks of sampling in audits
- g. Gather and evaluate audit evidence and relate to specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.

### 2.2.6 Reporting and Following up the Audit

- a. Summarize and record the results of the audit and demonstrate ability to produce concise and precise reports.
- b. Evaluate the significance of non-conformities recorded during the audit and classify them in accordance with the systems defined by the manager of the audit program,
- c. Write non conformity reports based on objective evidence obtained during the course of the audit,
- d. Evaluate proposals for corrective and actions proposed in response to non-conformities recorded during an audit and understand the process for evaluating the effectiveness of corrective and actions taken,
- e. Make recommendations on the acceptability of the management system for certification/registration based on objective evidence obtained during the audit,
- f. Make recommendations for re-assessment, if the audit findings lead to major non conformities or large number of minor nonconformities in many elements of the EMS standard and explain the same to auditee organization, in polished and positive manner with objective evidence
- g. Explain the purpose of ongoing surveillance audits.

### 2.3 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.:

- a. Identify the pre-audit information required to plan the audit



- b. Prepare an on-site audit plan that is appropriate to the audit scope
- c. Allocate audit team members based on their specific skills, expertise and audit scope
- d. Produce an audit checklist e. Perform document review
- f. Conduct of Opening and Closing Meetings
- g. Mock Audit to develop interpersonal skills, information gathering techniques and exercising objectivity in the review of evidence collected
- h. Report writing and follow up audit process
- i. Proposals for corrective action and differentiation between correction and corrective action
- j. Comprehensive review of the audit findings of all the team members and summarizing the overall audit finding

**2.4 The training course provider may develop more detailed learning objectives as appropriate**

**2.5 Students' achievement of the learning objectives shall be measured by the training provider.**

### **Section – 3: COURSE CONTENT**

**3.1 In the beginning of the course presentation, the course provider shall provide to the students a description of the course format, student responsibilities, how the students will be evaluated and the basis for each type of evaluation.**

**3.2 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 14001 as appropriate

### **Section – 4: COURSE STRUCTURE AND FACILITIES**

**4.1 Duration and Organization**

Note: Management System Lead Auditor Training Course could be conducted in any of the following mode –

a) Management System Lead Auditor Training Course could be conducted as 5 consecutive days classroom mode, with 2 hours of classroom exam or

**b) Part Time Courses** - 8 non consecutive days classroom mode over a maximum of 8 weeks with 2 hours classroom exam or



**c) Blended – Classroom and online study** – Course could be conducted in following mode

- 8 Days online program, followed by
- 4 non –consecutive days of classroom contact classes followed by
- 2 hours classroom exam
- Maximum duration of the course will be 12 weeks

4.1.1 The total course time devoted to direct instruction and to assigned team and individual activities shall be at least 40 hours.

4.1.2 Time devoted to the examination and to meals, breaks or other free time is not included in the calculation of the course duration.

4.1.3 The course shall be presented during five consecutive days, unless otherwise authorized.

4.1.4 If the course is given through translators, the time shall be increased as required to meet the learning objectives.

## 4.2 Training Methods

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

4.2.2 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).

4.2.3 The course shall be structured and conducted so that each student is subjected to realistic environmental system audit practices and conditions.

4.2.4 Knowledge based sessions may be instructor led, but shall allow for some interaction with students, enabling instructors to test learning and students to clarify their understanding, as required.

4.2.5 Skills based sessions may be supported by instructor input to address the relevant requirements and techniques such as for managing meetings and interviews.

4.2.6 Methods for evaluating student achievement of the learning objectives and for providing timely feedback shall be included in the course.

4.2.7 Each student shall be required to actively participate in practical skills based activities, workshops, case studies and auditor role-playing or actual environmental system audit situations. At least 20 hours of course time shall be used for such activities.

4.2.8 When students participate in actual EMS audit situations, two thirds of the time spent on conducting such environmental system audits shall count towards the total course time. Transit time to and from the audit site and any delay time is not to be counted.





4.2.9 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.

4.2.10 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 students. No more than three hours of the total course time may be devoted to non-interactive, passive training aids.

#### **4.3 Class size; Attendance**

4.3.1 The number of students in a class shall be no greater than twenty nor fewer than four.

4.3.2 Students shall be required to be in attendance for the full duration of the course. Failure to do so shall be reflected in the student's continuous and final evaluations.

#### **4.4 Number of Instructors**

4.4.1 Each course offering for eleven or more students shall be presented by at least two instructors, who shall be actively involved in either instruction or evaluation for the full duration of the course. Additional resource people or student instructors may be used for specific subjects or activities. However the lead instructor remains responsible for the entire course offering.

4.4.2 When activities (e.g. written quizzes or preparation of checklist) involves neither instruction nor evaluation and do not require the availability of the instructors for explanation, clarification or counsel, at least one instructor shall be present.

4.4.3 When the number of students is four to ten, the course may be presented by one instructor.

4.4.4 At least one Instructor shall be Lead Instructor and NBQP/NBQP/IRCA/ RABQSA or equivalent registered Senior EMS Auditor.

#### **4.5 Course Materials**

4.5.1 Each student shall be provided with a complete set of course notes to supplement the training program.

4.5.2 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.

4.5.3 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.

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

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



- 4.5.6 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.
- 4.5.7 Each student shall have a copy of the current revision of ISO 14001. If the standard is not supplied as part of the course notes, each student shall be required to take a copy to the course. A copy shall be made available for loan to any student who does not have one.

#### **4.6 Facilities**

- 4.6.1 The course provider shall ensure that suitable facilities for training are provided, including classroom, audio-visual and other training equipment and facilities for team activities.
- 4.6.2 The course provider shall encourage students to be resident or near the location of the course offering, since this enhances participation in team activities and student contact with the instructors outside the structured class training.

### **Section – 5: EVALUATION OF STUDENTS**

- 5.1 The course provider shall evaluate each student's attainment of the learning objectives.
- 5.2 Each student shall be evaluated using the following independent elements, all of which shall be satisfied if the student is to satisfactorily complete the course:**
- a) Complete all elements of the course covering all Course objectives.
  - b) written examination that covers the learning objectives and in particular the application of audit principles and practices to ISO 14001,
  - c) continuous evaluation by the instructors of each student's attitude, auditing capability, written and oral communication skills and performance as a team member and in role playing.

#### **5.3 Written Examination**

- 5.3.1 The written examination shall evaluate the student's comprehension of the learning objectives and in particular the application of audit principles and practices to ISO 14001 and their ability to provide written justification of their evaluations.
- 5.3.2 The examination shall be designed to be completed in two hours by a student who has adequate comprehension of the course content and who has achieved the course learning objectives.
- 5.3.3 The time allotted for taking the examination shall be two hours. Strict adherence to the time limit is to be maintained.
- 5.3.4 The instructor(s) may allow a student whose primary language is not the language in which the course is conducted up to 30 minutes additional time for taking the written examination. The student may use an appropriate two-language dictionary. Any such



allowance shall be indicated in the records of the course or of the examination, with supporting reasons.

- 5.3.5 The instructor(s) may allow a student with a particular disability that adversely affects the student's capability to complete the examination in the allotted time up to 30 minutes additional time for taking the written examination. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.
- 5.3.6 At least 75% of the examination grade shall be based on questions that require essay response and shall demonstrate the student's ability to analyze audit scenarios and understanding of how to apply the ISO 14001 standard during the audit.
- 5.3.7 The remainder of the examination grade shall be based on multiple choice, true/false or short answer questions.
- 5.3.8 The minimum passing grade shall be 70%.
- 5.3.9 The only reference material allowed during the examination is a copy of the ISO 14001 standard, Course Material and self (participant's) notes.
- 5.3.10 Copies of examination questions (other than those in an example examination paper), examination papers, solutions or completed examination papers shall not be supplied to any student or any other party (except to NBQP) for any reason.
- 5.3.11 The examination paper must be reviewed and changed at least once in a year. The changed paper must be submitted to NBQP for its approval prior to use during the course.

#### **5.4 Continuous Evaluation**

- 5.4.1 Continuous evaluation shall be documented and shall:
- a. evaluate each student's contribution to discussions, appropriateness of the queries raised, communication in the class, reporting of situations accurately and effective participation in team activities and in role-playing;
  - b. evaluate the clarity and technical accuracy of the student's written assignments;
  - c. evaluate the student's personal attributes, skills and environmental system audit management capabilities;
  - d. evaluate the student's attitude, manner and suitability as a future environmental system auditor and environmental system audit team leader;
  - e. evaluate the student's attendance, punctuality and participation in all class activities;
  - f. be conducted (with specific notes for each student) by the non lecturing instructor, when there are two instructors in attendance;



- g. be reviewed at the end of each day by the instructor(s) and a daily grade assigned for each student;
- h. be used to identify students who do not appear to understand the material or do not participate in the class activities. Such students shall be informed privately of the instructor's observations;
- i. be simple, yet effective, in achieving the desired student evaluation
- j. A student who fails the continual evaluation must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion.

## 5.5 Grading; Pass/Fail Decision

- 5.5.1 Each examination paper shall be graded by one of the instructor. Another instructor shall check the addition of the score allocated in each section and regrade all examination papers with scores between 60- 76 percent.
- 5.5.2 A student who fails the continuous evaluation must successfully complete another full training course before being eligible to receive a certificate of successful completion.
- 5.5.3 The course provider shall have procedures to resolve any differences in grading and issue final grade.

## 5.6 Re-examination

- 5.6.1 A student who fails the written examination, but has passed the continuous evaluation, shall be allowed one re-examination within twelve months of the last day of the course.
- 5.6.2 The re-examination shall be conducted by the same body, which conducted the earlier examination.
- 5.6.3 A different examination paper shall be used for the re-examination.
- 5.6.4 A student who fails the re-examination must take a full training course again before being eligible to take another examination.

## Section – 6: TRAINING COURSE ADMINISTRATION

### 6.1 Administrative Procedures

- 6.1.1 The course provider's Quality Management System should be based on ISO 9001 standard.
- 6.1.2 The course provider shall develop and maintain documented procedures for the effective administration of the course in line with ISO 9001. 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 of the course
- c. The control of course publicity and advertising
- d. A document control system for the maintenance and updating of procedures and course notes.
- e. The criteria for selecting course instructors, procedures for their initial training, evaluation of their delivery of the course and ongoing review of performance.
- f. Management reviews of the course.
- g. Records of individual students and each course offering, including analysis of statistics.
- h. Student evaluation procedure, including pass/fail decisions.
- 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 student evaluations, instructors' performance and overall course performance.
- m. Notifying NBQP of significant changes to the course before they are implemented.
- n. Complaints and appeals.

## 6.2 Records

- i The course provider shall maintain records to demonstrate conformance to the NBQP requirements.
- ii Records shall be maintained in English.
- iii Records may be in the form of any type of media, such as hard copy or electronic media.
- iv These records shall be maintained for at least three years.
- v These records shall be made available to NBQP.
- vi The records for each course presentation shall include:
  - a) Venue, dates, related advertisement and promotional literature



- b) Names of instruction team members, with their auditor certification/registration status at the time of that course presentation, trainee instructors, observers.
- c) Identification of the sessions conducted by the support tutor.
- d) Identification of the specific issue (revision level) of the course documentation used.
- e) Identification of the examination paper used
- f) Names of all students who attended the course, together with the continuous evaluation results and the examination results for each student
- g) All copies of marked examination papers, continuous evaluation forms and related summaries
- h) The percentage of students that successfully completed the course
- i) Unique identification number of each certificate of successful completion and the name of the student to whom it was issued.

### **6.3 Management Review**

- 6.3.1 The management of the course provider shall review its administrative procedures at least annually and shall maintain records of these reviews for at least three years.
- 6.3.2 The management shall review the following at least annually for effectiveness and conformity:
  - a) Actions outstanding from previous management review meetings
  - b) Actions resulting from surveillance by the approval body
  - c) Administrative procedures
  - d) Course design
  - e) Course presentation
  - f) Performance of instructors and future training/CPD needs
  - g) Complaints and appeals
  - h) Analysis of student feedback and pass/fail rates

### **6.4 Instructors**



- 6.4.1 All Instructors shall have the following competence:
- a) shall be thoroughly experienced in the principals 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 students
  - e) have knowledge of current auditing practices and of relevant standards
  - f) familiarity with the applicable international and national regulations
  - g) ability to respond satisfactorily to the students questions, doubts, clarifications etc
- 6.4.2 Before allowing instructors to present a course, training providers shall first ensure that he/she has acquired the competence as defined above. As a minimum this shall involve the instructor (all the following):
- a) participating either as a student or observer on a complete presentation of the training organization's course
  - b) participating as an instructor under the supervision of a trained instructor for a minimum of one course
  - c) must effectively conduct each session of the course at least once in a year under supervision of a trained instructor
  - d) being monitored by the training provider presenting and managing the course
- 6.4.3 Lead instructor for each course shall be a NBQP/NBQP/IRCA/ RABQSA or equivalent registered Senior EMS Auditor.
- The Instructors must be provided with all necessary materials and supporting documentation to plan, manage and present the course and assess students performance according to defined requirements.
- 6.4.4 The course provider shall have documented procedures for:
- a) selection of Lead Instructors & Instructors, on the basis of their competence, qualifications, experience and training
  - b) initially assessing the conduct of Lead Instructors and Instructors during courses and subsequently monitoring their performance. These procedures shall include monitoring and review, at least annually, of each instructor's performance. Records of these reviews shall be maintained by the course provider.
- 6.4.5 Where there have been no previous presentations of a course (i.e. where the course provider is seeking initial approval), the course provider shall have documented



evidence of fulfillment of the competence requirements of the instructors before the initial presentation.

- 6.4.6 Detailed resumes of all the Instructors should be sent along with the application to NBQP.

Any additions in the list of instructors should be communicated to NBQP immediately for approval before participation of any instructor in the course delivery.

## 6.5 Certificates

- 6.5.1 A certificate of “successful completion” shall be provided to each student who has passed both the written examination and the continuous evaluation.

The certificate shall:

- a) Clearly state that the course is registered by NBQP
- b) Include the NBQP accreditation mark
- c) Include a unique identification number for each successful certificate
- d) Clearly show the name of the course provider, as it is registered by NBQP
- e) Identify the course by course title, course number and dates of presentation of the course
- f) Include the name of the student, in the same form that the student would use to apply for registration in NBQP Auditor registration program
- g) State that the student named has successfully completed the course
- h) Include all information on a single side of the certificate

- 6.5.2 The wording of any certificates of “attendance” shall make it clearly apparent that the student has only attended the course. There shall be no implication of successful completion.

- 6.5.3 Students shall be informed by the course provider that certificates of “attendance” will not be accepted for NBQP/ NBQP auditor registration.

- 6.5.4 The design and content of the certificate of “successful completion” and the certificate of “attendance”, and any changes thereto, shall be approved by NBQP.

- 6.5.5 No alterations shall be made in the certificate without prior approval of NBQP.

## 6.6 Complaints and Appeals

- 6.6.1 The course provider shall have documented procedures for handling & disposal of complaints within a reasonable time.





- 6.6.2 The course provider shall have a documented appeal mechanism for handling appeals against its decisions & disposal of appeals within a reasonable time.
- 6.6.3 The documented procedure shall include provision for corrective and/or action to be taken if required as a result of any complaint or appeal. The procedures shall include the potential involvement of NBQP in unresolved complaints or appeals.
- 6.6.4 The course provider shall inform all students of the right to make a complaint or an appeal and shall provide written details of the process for doing so, on request.
- 6.6.5 The course provider shall 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.
- 6.6.6 The course provider shall maintain records of all complaints and appeals, of their resolution and the corrective actions taken.

**6.7 Subcontracting of Courses & Branches**

- 6.7.1 A subcontractor is any organization not owned by your organization or any person not employed by your organization that you give authority to administer or present your NBQP accredited course.
- 6.7.2 No NBQP accredited course can be subcontracted to a second organization, a person or course provider.
- 6.7.3 A Branch is an office/site owned and controlled by your organization and authorized to market, administer or present your NBQP accredited training course under your name, responsibility and control.
- 6.7.4 You should have appropriate methods to monitor and measure the performance of your to ensure that the NBQP requirements are consistently met.

**6.8 Confidentiality**

- 6.8.1 The course provider shall have adequate arrangements consistent with applicable laws to safeguard confidentiality of all information provided by students, including results of examinations. These arrangements shall be extended to include organizations or individuals acting on its behalf and representatives of the course provider.
- 6.8.2 Except as required in this criterion, information about a student shall not be disclosed to a third party without written consent of the student, nor shall information about a student's sponsor be disclosed without written consent of the sponsor.

**6.9 Changes**

- 6.9.1 The course provider shall ensure that any major changes it intends to make to the training course are first approved by NBQP.



- 6.9.2 Following a decision on and publication of changes, the course provider shall verify that each of its course instructors and branches carries out necessary adjustments to the course and materials before the agreed effective date
- 6.9.3 The course provider shall notify NBQP of any changes of address or any significant changes in organization structure or provision of services.
- 6.9.4 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 course provider.

## Section – 7 ASSESSMENT OF COURSE PROVIDER

### 7.1 Language

All communications, documentation and records shall be in English.

### 7.2 Initial Assessment

#### 7.2.1 Documentation assessment

7.2.1.1 NBQP shall evaluate the documented system including (but not limited to):

a) *Quality Manual*

b) The course material, including the subjects to be covered, the time schedule for the various activities, and all the student and instructor materials such as course notes, student reading materials, case studies, simulations, tutor notes.

c) The examination format, questions and answers, time allotted, grading procedure, pass/fail requirements, policy and procedures for re-examination, technique for continuous evaluation, procedures used to assure the quality of measurements.

d) The criteria for selecting instructors, procedures for assessing their performance and a current list of instructors, their resumes and NBQP registration status

e) Course administration documents including policies for admission of participants, course registration forms, fee schedules, course certificates and promotional material.

7.2.1.2 After the evaluation, NBQP will inform the course provider of the non-conformities and/or observations if any.

7.2.1.3 The course provider shall be required to close all observations and non-conformities before the next stage of assessment.

#### 7.2.2 Course Assessment



7.2.2.1 Following review and acceptance of the documentation procedures, NBQP shall undertake at least one full assessment of the presentation of the course. NBQP shall evaluate all aspects of the course and all activities of the instructors for conformance to the applicable NBQP criteria & course providers' procedures, and evaluation of students for effective delivery of the course.

During the assessment of the course, NBQP Assessor reserves the right to allocate training session to the Tutors of the course.

7.2.2.2 The course provider shall be informed of the findings and non-conformities if any in the closing meeting by the Assessor. However, the final report and the recommendation will be sent after the decision of the Board.

7.2.2.3 In case any corrective action is required, the course provider shall make the necessary corrections & improvements, and submit the appropriate documentation within a defined time schedule

7.2.2.4 An additional full or partial evaluation of a course offering may be done by NBQP to verify the compliance of corrections.

7.2.2.5 The NBQP Accreditation Committee will take the decision on NBQP accreditation for the course depending on the Course Assessment report.

7.2.2.6 When NBQP Accreditation Committee determines that the course provider's presentation is acceptable, NBQP shall inform its approval to the course provider. This accreditation will be with effect from the first offering of the course which was subjected to NBQP assessment.

7.2.2.7 The annual accreditation fee should be paid by the course provider on receipt of invoice from NBQP. Subsequently for every year, the training course provider will have to clear the surveillance assessment and pay the requisite fee for renewal of accreditation.

7.2.2.8 A certificate will be issued on receipt of fees.

### **7.3 Surveillance and Re-assessment**

#### **7.3.1 Surveillance Assessment**

7.3.1.1 To assess course provider's continuing conformance to NBQP criteria and the effective implementation of the course provider's procedures, NBQP shall normally conduct an annual surveillance for:

- a) Administrative procedures, practices and records.
- b) A minimum (but not limited to) one-day surveillance of a course offering.



During the assessment of the course, NBQP Assessor reserves the right to allocate training session to the Tutors of the course.

7.3.1.2 Course surveillance and audits of administrative procedures shall be planned to ensure that different aspects of the course and the course provider's system are regularly reviewed.

7.3.1.3 Course presentation surveillances shall review different instructors and different venues.

NBQP reserves the right to demand witness of a specific Instructor.

7.3.1.4 NBQP reserves the right to carry out more frequent or longer surveillance as necessary for specific course providers in case of complaints/concerns against the delivery or administration of the course. Cost for the same shall be borne by the course provider.

7.3.1.5 NBQP may conduct surprise surveillance of the course offerings.

### **7.3.2 Re-assessment**

7.3.2.1 NBQP shall carry out reassessment of the office procedures, documentation and complete course offering to verify the compliance with the NBQP criteria.

7.3.2.2 NBQP shall inform the course provider in advance for the conduct of re-assessment.

7.3.2.3 The course provider shall apply in the requisite application form for the reassessment of its course enclosing the necessary papers and the fee after three years from the date of initial accreditation.

### **7.4 Suspension or Cancellation**

7.4.1 NBQP may suspend or cancel an approval of the course because of any of the following, but not be limited to:

- a) non compliance or violation of the NBQP requirements
- b) providing insufficient or incorrect information to NBQP
- c) improper use of NBQP accreditation and logo
- d) changes in the certificate format without NBQP approval
- e) changes in the course material without NBQP approval
- f) failure to report any major changes in the course
- g) any other condition deemed appropriate by NBQP
- h) non payment of fees.
- i) At your request

All certificates of successful completion issued during the period of suspension must be cancelled and recalled.



## 7.5 Appeals

- 7.5.1 An appeal against NBQP shall be made in writing to the Board Chairman. An Appeals Committee will be constituted out of the Board Members to resolve the issue.
- 7.5.2 In case of non-acceptance of the decision of the Appeals Committee by the applicant, the appeal can be made to the Secretary General, QCI, who will then appoint an arbitrator for the purpose. The arbitration shall be held in the city of Delhi and shall be in accordance with the Arbitration and Conciliation Act 1996.

### FEE STRUCTURE

<i>Fee Details (in Rs.)</i>	<i>Training Course (in Rs.)</i>	<i>Auditor / Lead Auditor Training Course (in Rs.)</i>	<i>Internal Auditor Training Course (in Rs.)</i>
<b>a) Application Package</b>		500/-	500/-
<b>b) Application Fee</b>		50,000/-	25,000/-
<b>c) Assessment Fee</b>		12,000/- per man day *(Course material - 1 day Administration - 1 day Course delivery - 5 days) # plus actuals	12,000/- per man day *(Course material - 1 day Administration - 1 day Course delivery - 2 days) # plus actuals
<b>d) Annual Fee</b> (up to 12deliveries) payable in advance		36,000/-	15,000/-
<b>e) Above 12 offering</b>		3,000/- per course	1,500/- per course
<b>f) Surveillance</b> (every year)		12,000/- per man day *(Administration – 1 day Course delivery – 2 day) # plus actuals	12,000/- per man day *(Administration – 1 day Course delivery – 1 day) # plus actuals
<b>g) Re-assessment</b> (after 3 years)			
Application		36,000/-	15,000/-
Assessment		12,000/- per man day *(Course material – 1 day Administration - 1 day Course delivery - 5 days) # plus actuals	12,000/- per man day *(Course material – 1 day Administration - 1 day Course delivery - 2 days) # plus actuals



## **GENERAL INFORMATION ON PAYMENT OF FEE FOR TRAINING COURSE ACCREDITATION**

- 1.The fee is to be paid by a Demand Draft payable at Delhi or a local Cheque of Delhi in favor of “Quality Council of India”.
- 2.Only the Application fee is to be sent along with the application. Applications not accompanied by the application fee will not be considered.
- 3.The Annual fee is to be sent only after the receipt of confirmation from NABET. Certificate will be sent after receipt of full fees and expenses.
- 4.Annual fee is to be paid in advance before the beginning of the next year of certification.
- 5.The company has the option to pay the additional course fee offerings in advance based on their calendar of programmes or they may pay at the end of the year based on the number of programmes actually conducted. This will be verified during the surveillance audit.
- 6.“\*” Indicates a typical example. The number of man-days may vary.
- 7.“#” Expenses on local travel, outstation travel, boarding and lodging etc. of Assessors will be charged on actuals.
- 8.All fees are non refundable.
- 9.Service Tax @ 15% is applicable on all the fees payable to Quality Council of India



EL-10

### APPLICATION FOR ACCREDITATION OF EMS LEAD AUDITOR TRAINING COURSE

1. Name of the Applicant .....  
(Organization name) .....

2. Application for:  New Course Accreditation  Re- accreditation

3. Address: .....  
.....  
.....

Tel no.....Fax no. .... Email .....

(Std code) (no.) (Std code) (no.)  
(The addresses of other branch offices should also be given. It can be attached as separate sheet, with this application.)

4. The following documents are enclosed (two copies):

- a) System Manual for the course including:
  - I. Copy of the Course Material
  - II. Examination Paper (Sample)
  - III. Case Studies
  - IV. Any supporting notes/ Tutor Material/ Instructions etc.
  - V. Continuous evaluation formats
  - VI. Any other training material
  - VII. Administrative procedures
  - VIII. Instructor Qualification criteria and their evaluation procedures

- b) List of Instructors with their resumes
- c) Corporate Brochure
- d) Organization structure & details of relationship with any certification body
- e) Certificate and Letter of Attendance proposed to be issued to participants
- f) Schedule of Courses (for next six months)

5. Please find enclosed herewith Demand Draft/ Cheque (Delhi only) no. ....

For Rs. .... dated ..... drawn on ..... in favour of **Quality Council of India**, payable at New Delhi towards the application fee.

6. Authorized Signatory:  
Name .....

Designation .....

Signature ..... Date.....