



# NBQP Accreditation Criteria for OH&S Lead Auditor Training Course



## Section – 1: INTRODUCTION

- 1.1 The primary focus of the auditor/lead auditor training course shall be on training students to audit Occupational Health & Safety Management Systems, or recognized equivalent national and international equivalents specified by **NBQP** if any.
- 1.2 The training course provider shall:
- a) present the body of knowledge in such a way that students are able to identify and understand good auditing practices, and
  - b) encourage students to analyze critically their own performance as a means for developing effective auditor skills.
- 1.3 **Prior knowledge of Students**  
It is recommended that the students attending this course shall have adequate knowledge of national and international OH&S management standards and some prior knowledge of 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.*
- 1.4 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 so by the end of this course. Students need to demonstrate acceptable performance in all of these areas in order to complete the course successfully and you will need to demonstrate a factual and objective approach to the assessment of student performance against the following.

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

#### **Knowledge:**

- 2.1.1 Describe the purpose of an OH&S management system, including the principles, processes and techniques used for the assessment of risk and the significance of these in OH&S management systems
- 2.1.2 Explain the scope of OH&S management system standard and where applicable, other criteria (e.g. OH&S legislation) against which an OH&S audit could be performed, including the requirements of BS 8800 (or equivalent).
- 2.1.3 Explain the role of an auditor to plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011.

#### **Skills:**

- 2.1.4 Plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011 and by interpreting the requirements of BS 8800 or equivalent.

### 2.2 Enabling Objectives

In order for students to achieve the overall learning objectives, they will need to acquire and develop specific knowledge and skills. These are specified below and can be considered as steps to the achievement of learning objectives:

**By the end of the course students shall be able to:**

- 2.2.1 **Describe the purpose of OH&S management system, including the principles, processes and techniques used for the assessment of risk and the significance of these in OH&S management systems.**

#### **Knowledge:**

- 2.2.1.1 Explain the purpose and benefits of an OH&S management system.
- 2.2.1.2 Explain the elements essential for the operation and documentation of an OH&S management system including:
  - a. Initial status review and its role in the development of the organization's OH&S management system.
  - b. The different risk assessment tools and techniques available to organizations.



- c. OH&S management system planning techniques, including the establishment of OH&S policy and objectives.
- d. OH&S policies with respect to the health, safety and welfare obligations to employees, customers, suppliers, contractors and the public.
- e. The responsibility and accountability of OH&S within the organizational structure.
- f. Methods for the identification of appropriate national/local OH&S legislation and the procedures for ensuring full implementation and compliance.
- g. Methods for establishing appropriate controls based on the assessment of risk generated by the organization's operations.
- h. Methods for the development and implementation of emergency response and preparedness plans.
- i. Tools and techniques for measuring the performance of the OH&S management system, including audit and incident investigation.
- j. Auditing the OH&S management system and the verification of its on-site implementation.
- k. Periodic status review/management review of the effectiveness of the OH&S management system.
- l. Continuous improvement of the OH&S management system, based on the PDCA (Plan, DO, Check, Act) cycle.

**2.2.2 Explain the scope of OH&S management system standards and where applicable other criteria (e.g. OH&S legislation) against which an OH&S audit could be performed, including the requirements of BS 8800.**

**Knowledge:**

- 2.2.2.1 Describe the philosophy supporting OH&S management system standards (i.e. the effective implementation and continual improvement of OH&S management systems, and the anticipation and prevention of circumstances that may result in occupational injury or ill health), and briefly describe the development of modern OH&S legislation, based on the principles of risk assessment and self-regulation.
- 2.2.2.2 Explain the purpose, structure and content of BS 8800 (or international, national or other equivalents) and existing international, national and commercial OH&S management system standards, such as OHSAS 18001 and OHSAS 18002.
- 2.2.2.3 Draw links between the statutory and regulatory requirements for OH&S management systems and how to audit for conformance and compliance against these requirements, including the local legislative framework where a course is delivered (as appropriate) together with any internationally accepted legislation, protocols, conventions and codes of practice.



2.2.2.4 Explain the similarities and differences between the OH&S management system standards including ILO-OHS guidelines and the international and national standards for quality and environmental management systems and explain the rationale supporting the integration of OH&S requirements into other management systems.

2.2.2.5 Explain any local OH&S requirements.

**2.2.3 Explain the role of an auditor to plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011.**

**Knowledge:**

**2.2.3.1 Accredited management system certification and auditor registration:**

- a. Explain the terms certification/registration and accreditation, describe the certification/registration and accreditation processes, and the purpose and benefits of a registered/registered OH&S management system.
- b. Explain the auditor registration schemes.

**2.2.3.2 Audit process:**

- a. Describe the differences in purpose and conduct between 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> party audits.
- b. Recognize the different types of OH&S audits and assessments, including technical, functional and management system audits, and their specific applications and relevant terminology.
- c. Referring to ISO 19011, outline typical audit activities, from initiating the audit to conducting audit follow up, including the 2-stage process.

**2.2.3.3 Auditor responsibilities:**

- a. Describe the roles and responsibilities of auditors, lead auditors, Auditees and guides, in the context of OH&S management systems audits, and in accordance with ISO 19011.
- b. Explain the management responsibilities of the Lead Auditor in managing the audit and the audit team.
- c. Explain the need for effective communication with the auditee throughout the audit process.
- d. Explain the need for auditor confidentiality and describe the content and intent of the NABAT code of conduct.

**2.2.3.4 Audit Planning:**

- a. Describe typical forms of pre-audit contact and their purpose, including there they might be appropriate.



- b. Explain the purpose and significance of the audit scope.
- c. State the purpose of a document review/stage one audit and describe a typical document review process and outputs.
- d. Explain the use, benefits and potential limitations of checklists and where appropriate, alternatives to checklists.

#### **2.2.3.5 Conducting an audit:**

- a. Describe the purpose and typical content of and the attendees typically present at the audit meetings, including opening and closing meetings, audit team meetings and auditee feedback/review meetings.
- b. Explain the process of and different methods for gathering objective evidence during an audit including sampling, observing and interviewing. Describe the benefits and limitations of these methods.

#### **2.2.3.6 Reporting and following up the audit:**

- a. Explain the terms corrective action and preventive action and describe the roles and responsibilities for taking and verifying corrective and preventive action.
- b. State the purpose and typical content of a non-conformity report.
- c. Describe typical systems for grading non-conformity reports and the implications and further actions required for different grades of non-conformity.
- d. Identify different types of objective evidence that may be required to demonstrate effective implementation of corrective and preventive action.
- e. Explain the purpose of surveillance visits.

### **2.2.4 Plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011 and by interpreting the requirements of BS 8800.**

**Skills (to be practiced and tested through tasks and in a real or simulated audit situation):**

#### **2.2.4.1 Audit responsibility:**

- a. successfully undertake the roles of an auditor and audit team leader, including management and co-ordination of the audit team.

#### **2.2.4.2 Audit Planning:**

- a. Establish audit resource requirements.
- b. Define the scope of an OH&S audit.



- c. Prepare an on-site audit plan that is appropriate to the organization's operation and covers the elements described in 2.2.4.3 below.
- d. Produce and audit checklist.
- e. Perform a document review or stage one audit in order to assess whether documentation meets requirements and to determine whether adequate arrangements are in place to justify proceeding with the implementation audit.

#### **2.2.4.3 Conducting an audit:**

- a. successfully manage opening and closing meetings.
- b. Conduct an audit interview and demonstrate ability to:
  - use a checklist effectively and follow audit trails
  - build rapport with the auditee
  - question, listen, observe and make notes
  - select sufficient and relevant samples and analyse them
  - provide feedback to the auditee
  - be able to communicate with the auditee at all organizational levels on OH&S issues.
- c. Successfully audit the OH&S management system for conformance to the relevant management system standards, including the following:
  - the identification of risk and the development of risk management controls.
  - The effective implementation of risk management controls (i.e. operational procedures) and emergency response and preparedness plans.
  - Conformance to the relevant OH&S management system requirements.
  - Compliance to defined national or local legislation (as appropriate).
- d. Interpret and apply the requirements of OH&S management system standards appropriately in an audit situation and suggest audit evidence that might satisfy these requirements. Students shall demonstrate an ability to audit the following key areas:
  - An organizations identification of risk and the development of risk management controls.
  - The effective implementation of an organization's risk management controls (i.e. operational procedures), including emergency response and preparedness plans.
  - Conformance of an organization's OH&S management system against the relevant OH&S management system requirements.
- e. Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture.
- f. Analyse the information gathered in the context of OH&S requirements and the audit organization.



#### 2.2.4.4 Reporting the audit:

- a. Evaluate objective evidence gathered and correctly identify conformance and non-conformity with OH&S requirements.
- b. Recognize and report positive audit findings and opportunities for OH&S improvements that reduce business risk.
- c. Write and grade non-conformity reports based on objective evidence obtained during the course of the audit.
- d. Write a meaningful and accurate summary of the audit.
- e. Make recommendations for certification approval based on audit findings.
- f. Present audit findings and recommendations to the client.

#### 2.2.4.5 Following up the audit:

- a. Evaluate proposals for corrective/preventive action and differentiate between corrective and preventive action.

### 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) Produce an audit checklist
- d) Perform document review
- e) Conduct of Opening and Closing Meetings
- f) Mock Audit to develop interpersonal skills, information gathering techniques and exercising objectivity in the review of evidence collected
- g) Report writing and follow up audit process
- h) Proposals for corrective action and differentiation between correction and corrective action

**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 The Course provider at the beginning of the course presentation shall provide the students with a description of the learning objectives, course format and programme, student responsibilities, student evaluation process and criteria.

All students should be provided with a copy of the relevant standards for self study and for classroom based elements of the course.

- 3.2 The course shall cover:

- a) all aspects defined in the Course Objectives
- b) local requirements, culture, practices or approaches to auditing and the application of OH&S standards as applicable.

### Section – 4: COURSE STRUCTURE, TRAINING METHODS AND FACILITIES

#### 4.1 Duration

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 If the course is given through interpreters, the time shall be increased as required to meet the learning objectives
- 4.1.3 Time devoted to the examination and to meals, breaks or other free time is not included in the calculation of the course duration.
- 4.1.4 The course shall be presented during five consecutive days, unless otherwise authorized by **NBQP**.



## 4.2 Training Methods

- 4.2.1 Training courses shall be designed to have a high degree of interaction between students and instructors. Training methods shall seek to 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) and each student shall be subjected to realistic audit practices and conditions.
- 4.2.3 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.
- 4.2.4 Skills based sessions may be supported by instructor input to address the relevant requirements and techniques such as for managing meetings and interviews.
- 4.2.5 Methods for validating student achievement of the learning objectives and for providing timely feedback shall be included in the course.
- 4.2.6 Each student shall be required to participate in practical skills based activities: workshop, case studies, auditor role-playing or actual quality system audit situations. At least 50% of course time shall be used in such activities.
- 4.2.7 When students participate in actual OH&S audit situations, two thirds of the time spent conducting such 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.
- 4.2.8 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.
- 4.2.9 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.
- 4.2.10 You must submit session plans or tutor notes for each individual training session. Session plans must specify:
- Learning objectives and duration of the session.
  - nature of the activity and training method to be used.
  - organizational arrangements, tutor and student briefing details
  - deliverables required from students for practical sessions
  - materials, exercises and equipment required to run the session
  - where training methods or use of exercises etc. are optional, this must be clearly indicated in session plans.



### **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.

### **4.4 Number of Instructors**

- 4.4.1 Each course offering for eleven or more students shall be presented by two instructors, who shall be actively involved in instruction and evaluation for the full duration of the course.
- 4.4.2 At least one instructor shall be NABET/NBQP/ IRCA/ RABQSA or equivalent registered Lead Auditor.
- 4.4.3 Additional resource people or trainee instructors may be used for specific subjects or activities, however the main instructor/s remain responsible for the entire course offering.
- 4.4.4 When the number of students is four to ten, the course may be presented by one instructor.

When specific activities (ex. written quizzes etc.) involve neither instruction nor evaluation and do not require the availability of the instructors for explanation, clarification or advice, only one instructor need be present.

### **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 documents 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 prominently identify the approved course provider (ex. on cover page etc.).
- 4.5.4 The student notes shall cover each session and shall include all important points of the learning objective(s) being covered.
- 4.5.6 Examples of typical documents, reports and forms shall be included.
- 4.5.7 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.
- 4.5.8 Each student shall have a copy of the current published version of relevant standards. If the standards are 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 at or near the location of the course offering, since this enhances participation in team activities and student contact with instructors outside the structured class settings.

## Section – 5: EVALUATION OF STUDENTS

All students who have completed all elements of the course shall be evaluated using the following two independent elements, both of which shall be satisfied if the student is to successfully complete the course:

- a) the continual evaluation by the instructors of each student's achievement of the learning objectives detailed as above
- b) a written examination that tests students' ability to apply audit principles and practice against the requirements of OH & S management systems.

### 5.1 Continuous Evaluation

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

- a) achievement of the learning objectives
- b) attendance and punctuality during the course

Each student's performance shall be reviewed at the end of each day by the instructor(s). A daily grade shall be assigned for each student, reflecting the assessment of both instructors.

The Tutors should be provided with model outputs and a marking scheme/guidance to assess each student's performance and outputs.

Course instructors shall identify students who appear to be having difficulty in achieving the learning objectives or who are not performing adequately in course activities. Such students shall be informed privately and in a timely manner of the instructor's observations and be given opportunity to improve.

A student who fails the continual evaluation must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion.

### 5.2 Written examination

- 5.2.1 The written examination shall evaluate the students' comprehension of the audit process and the application of OH&S standards and their ability to provide written justification of their evaluations.
- 5.2.2 The examination shall be designed so that a competent student (i.e. one who has demonstrated achievement of the learning objectives) could achieve a minimum mark of 70% in two hours.
- 5.2.3 The time allotted for taking the examination shall be two hours. Strict adherence to the time limit shall be maintained.
- 5.2.4 The instructor may allow a student with 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.



- 5.2.5 Students whose first language is not the language in which the course is presented and examined (i.e. English) and whose ability in that language requires them to work more slowly, may be permitted additional time not exceeding 30 minutes to complete the examination.
- 5.2.6 At least 75% of the examination grade shall be based on questions that require written responses which test the student's ability to analyze audit scenarios and understanding of how to apply the OH&S standard during an audit.
- 5.2.7 The remainder of the examination grade shall be based on multiple choice, true/false or short answer questions.
- 5.2.8 The minimum passing grade shall be 70%.
- 5.2.9 The reference material allowed during the examination is a copy of the relevant standards, Course notes provided by the training course provider and personal notes made by the students during the course.
- 5.2.10 Copies of the 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 the approval body) for any reason.
- 5.2.11 Training course provider shall ensure that the instructor(s) for any given course presentation and/or designated authority are not aware of the examination paper to be used for that presentation.
- 5.2.12 At least one instructor of the course must be present during the examination.
- 5.2.13 The training course provider should have at least 3 set of different examination papers which should be used alternatively.

### **5.3 Grading : Pass/Fail Decisions**

- 5.3.1 Each examination paper shall be graded by one of the instructors. Another instructor shall check the addition of the score allocated in each section and re-grade all examination papers with scores between 60 and 76 percent.
- 5.3.2 The course provider shall have procedures to resolve any differences in grading and issue final grades.

### **5.4 Re-examination**

- 5.4.1 A student who fails the written examination for the course conducted by the training course provider, but has passed the continual evaluation shall be allowed one re-examination within twelve calendar months from the date of conduct of the course.
- 5.4.2 A different examination paper shall be used for the re-examination.
- 5.4.3 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 9001:2008 standard.
- 6.1.2 The course provider shall develop and maintain documented procedures for the effective administration of the course in line with ISO 9001:2008. Areas covered shall include:
- i The design, development and evaluation of course materials and documentation to ensure conformity with the current **NBQP** criteria
  - ii Presentation of the course
  - iii The control of course publicity and advertising
  - iv A document control system for the maintenance and updating of procedures and course notes.
  - v The criteria for selecting course instructors, procedures for their initial training, evaluation of their delivery of the course and ongoing review of performance.
  - vi Management reviews of the course.
  - vii Records of individual students and each course offering, including analysis of statistics.
  - viii Student evaluation procedure, including pass/fail decisions.
  - ix Operation and conduct of the examination and re-examination, including security and confidentiality of examination questions, answers and marked papers.
  - x Issue and withdrawal of certificates
  - xi Storage and eventual disposal of marked papers and continuous assessment records.
  - xii Methods such as statistical techniques used to analyze and improve student evaluations, instructors' performance and overall course performance.
  - xiii Notifying **NBQP** of significant changes to the course before they are implemented.
  - xiv Administrative procedures like procedure of selection of venues, facilities etc.
  - xv Control procedures for Branches.
  - xvi 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:
  - Venue, dates, related advertisement and promotional literature, if any
  - Names of instruction team members, with their auditor registration status at the time of that course presentation, trainee instructors, observers.
  - Identification of the specific issue (revision level) of the course documentation used.
  - Identification of the examination paper used
  - Names of all students who attended the course, together with the continuous evaluation results and the examination results for each student
  - All copies of marked examination papers, continuous evaluation forms and related summaries
  - The percentage of students that successfully completed the course
  - Names of each student who took a re-examination, together with the re-examination result for each.
  - 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:
  - Actions outstanding from previous management review meetings
  - Actions resulting from surveillance by the approval body
  - Administrative procedures
  - Course design
  - Course presentation
  - Performance of instructors and future training/CPD needs
  - Complaints and appeals
  - Analysis of student feedback and pass/fail rates
  - Continual Improvement Process



## 6.4 Instructors

6.4.1 All Instructors shall have the following competence:

- shall be thoroughly experienced in the principals and practices of auditing management system relevant to the content of the course
- ability to facilitate the learning of appropriate auditing knowledge and the development of auditing skills
- familiarity with the current course materials and documentation
- good communication skills to be able to impart necessary knowledge to students
- have knowledge of current auditing practices and of relevant standards
- familiarity with the applicable international and national regulations

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):

- participating either as a student or observer on a complete presentation of the training organization's course
- participating as an instructor under the supervision of a trained instructor for a minimum of one course
- must conduct each session of the course at least once in a year under supervision of a trained instructor.
- being monitored by the training provider presenting and managing the course

6.4.3 Lead instructor for each course shall be a NABET/ NBQP/ IRCA / RABQSA or equivalent registered Lead 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:

- selection of Lead Instructors & Instructors, on the basis of their competence, qualifications, experience and training
- initially assessing the conduct of Lead Instructors and Instructors during courses and subsequently monitoring their performance.

6.4.5 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.

6.4.6 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.

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:

- i Clearly state that the course is registered by **NBQP**
  - ii Include the **NBQP** registration mark
  - iii Include a unique identification number for each successful certificate
  - iv Clearly show the name of the course provider, as it is registered by **NBQP**
  - v Identify the course by course title, course number and dates of presentation of the course
  - vi Include the name of the student, in the same form that the student would use to apply for registration in **NBQP** Auditor registration program
  - vii State that the student named has successfully completed the course
  - viii 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 NABET/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 preventive 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 & preventive 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 branches 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 criteria, 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):

- i Quality Manual
- ii 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.
- iii 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.
- iv The criteria for selecting instructors, procedures for assessing their performance and a current list of instructors, their resumes and **NBQP** registration status
- v 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.

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

7.2.2.3 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.



- 7.2.2.4 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.
- 7.2.2.5 An additional full or partial evaluation of a course offering may be done by **NBQP** to verify the compliance of corrections.
- 7.2.2.6 The **NBQP** Accreditation Committee will take the decision on **NBQP** accreditation for the course depending on the Course Assessment report.
- 7.2.2.7 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.
- 7.2.2.8 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
- 7.2.2.9 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:
- Administrative procedures, practices and records.
  - A minimum (but not limited to) one-day surveillance of a course offering.
- 7.3.1.2 During the assessment of the course, **NBQP** Assessor reserves the right to allocate training session to the Tutors of the course.
- 7.3.1.3 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.
- 7.3.1.4 Course presentation surveillances shall review different instructors and different venues. **NBQP** reserves the right to demand witness of a specific Instructor.
- 7.3.1.5 **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.
- 7.3.1.6 **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.

	NBQP Accreditation criteria for 3 Day Modular OH&S Lead Auditor Training Course		
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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 registration.

#### **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:

- i non compliance or violation of the **NBQP** requirements
- ii providing insufficient or incorrect information to **NBQP**
- iii improper use of **NBQP** accreditation and logo
- iv changes in the certificate format without **NBQP** approval
- v changes in the course material without **NBQP** approval
- vi failure to report any major changes in the course
- vii any other condition deemed appropriate by **NBQP**
- viii non payment of fees.
- ix at your request

7.4.2 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 Indian Arbitration and Conciliation Act 1996.



## FEE STRUCTURE

<i>Fee Details (in Rs.)</i>	<i>Training Course</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 REGISTRATION

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 **NBQP**. 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 @ 12.36% is applicable on all the fees payable to Quality Council of India



OH-06

APPLICATION FOR REGISTRATION OF OH&S LEAD AUDITOR TRAINING COURSE

1. Name of the Applicant : (Organization name)

2. Application for : New Course Registration Re- registration

3. Address:

Tel no. Fax no. Email

(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