

NRBPT Criteria for Registration of Food Hygiene (GMP/ GHP) Lead Auditor Training Courses

Section – 1: INTRODUCTION

- 1.1 The Food Hygiene training course shall provide training in the basic concepts of GMP/GHP as per Codex Guidelines as well as their application.
- 1.2 The primary focus of the training course shall be on training participants in the basic concepts of food hygiene as per Codex Guidelines as well as their application based on the Codex Guidelines on General Principles of Food Hygiene or recognized national and international equivalents specified by NRBPT if any.
- 1.3 The training course provider shall:
 - a) present the body of knowledge of food hygiene in such a way that the participants are able to identify and understand the concepts as well as their application in the applicable work places, and
 - b) encourage participants to analyze critically their own performance as a means for developing effective implementation skills.
- 1.4 It is recommended that the participants attending this course shall have adequate knowledge of the working environment. Some prior knowledge of the food hygiene guidelines would be useful. This recommendation should be conveyed by the course provider to prospective delegates in all its communications, course promotion etc.
- 1.5 Successful completion of the NRBPT registered training course will satisfy the training requirements to NRBPT registration.

Section-2: COURSE OBJECTIVES

2.1 Learning Objectives

Learning objectives describe what delegates must be able to do so by the end of this course. Delegates need to demonstrate acceptable performance in all of these areas in order to complete the course successfully and it will be necessary to demonstrate a factual and objective approach to the assessment of delegate performance against the following.

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

- 2.1.1 Identify the essential principles of food hygiene, applicable throughout the food chain.
- 2.1.2 Describe the purpose, objectives and rationale of the same and explain the basic conditions and activities necessary to maintain hygienic environment throughout the food chain and ensure that the food is safe and suitable for human consumption.
- 2.1.3 Be able to interpret the requirement of food hygiene.

2.2 Enabling Objectives

2.2.1 General

A delegate who successfully completes the course shall be able to describe the purpose of implementing food hygiene and its role in helping an organization to operate with increased effectiveness, consistency and achieve food safety and its suitability in the defined segment of the food chain.

2.2.2 Standards

A delegate shall be able to:

- i. Explain the purpose and intent of the Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003) as well as other sector specific Guides and how they ensure food safety and suitability and the terminology used in the Codex Recommendations.
- ii. Describe the continuing process of development of the relevant Codex Standards and the impact that these developments may have and the need for persons to keep up to date.
- iii. Describe the good manufacturing practices, good hygienic practices and such other practices to ensure food safety and suitability.
- iv. Explain the intent and requirements of each clause of CAC/RCP 1-1969, Rev.4 (2003).
- v. Describe the documentation required by CAC/RCP 1-1969, Rev.4 (2003)
- vi. Evaluate the effectiveness of an entire food safety management system, including process, product information and consumer awareness, training and awareness.
- vii. Evaluate the differing requirements for documentation in a variety of situations and understand the difference between documents and records.

- viii. Describe the difference between legal compliance to regulatory requirements and conformity with Codex Codes / ISO standards, and the significance of these terms when conducting audits.
- ix. Describe how the GMP/GHP, processes and supporting activities can be evaluated effectively in order to verify the degree of conformity and effectiveness of those activities.
- x. Explain the concept of statutory and regulatory requirements in food safety and emergency preparedness to deal with food safety issues.

2.2.3 Audit process and responsibilities

A delegate shall be able to:

- i. Describe the systems of accredited certification/registration and differing functions of the accreditation bodies, registrars/certification bodies, auditor registration bodies, training course approval bodies and IPC (International Personnel Certification Association).
- ii. Describe the process of certification/registration of an organization's Food hygiene.
- iii. Describe the requirements of the current revision of ISO 19011 as applicable to the audit process.
- iv. Describe the process of governmental regulatory audits.
- v. Describe the function of first, second and third party audits, the similarities and difference and the varying roles and responsibilities of the auditor, the auditee and the client of the audit in each of these activities.
- vi. Explain the need for confidentiality during all phases of the audit process.
- vii. Explain the need for auditors to be sensitive to local customer and to obey any rules and regulations of auditees, especially where issues of food safety are involved.
- viii. Describe and undertake the roles and responsibilities of an auditor and of an audit team leader during the audit process.
- ix. Understand the IPC (NRBPT) registration criteria for Food Hygiene auditors and the international recognition of IPC (NRBPT) certification/registration.
- x. Understand the IPC (NRBPT) Auditors' Code of Conduct.

2.2.4 Planning the Audit

A delegate shall be able to:

- i. Plan and organize all aspects of pre-audit, including document reviews, in accordance with ISO 19011 and its application to Food Hygiene.
- ii. Explain the importance of scope in relation to:
 - a) The accreditation scope of certification bodies/registrars

- b) The structure and content of the auditee's food hygiene control system including the concept of application requirements (exclusions), an audit plan, and the selection of audit team members.
- iii. Explain the purpose of pre-audit visits and how to evaluate the need for such visits.
- iv. Determine the pre-audit information required to effectively plan the duration and the resources required to conduct an audit.
- v. Produce checklists based on process analysis, the Food Hygiene control systems being audited.
- vi. Describe the benefits and risks of the use of checklists during audits.
- vii. Identify consideration for planning an audits of an activity for which there are no documented procedures.

2.2.5 Performing the Audit

A delegate shall be able to:

- i. Perform all aspects of a process audit in accordance with ISO 19011 and understand how process measures, quality objectives and continual improvement would be addressed through such an audit.
- ii. Manage audit opening and closing meetings and understand the purpose of holding interim meetings with the auditee during the audit in accordance with ISO 19011.
- iii. Demonstrate effective interpersonal skills and interview techniques including and ability to listen and question.
- iv. Take sufficient notes during the process to provide audit evidence of system conformity as well as non-conformity with the audit criteria.
- v. Explain the risks and benefits of sampling during audits.
- vi. Collect and analyze evidence during the audit, relate specific audit evidence to the appropriate requirements of the standard and the FSMS and objectively review the evidence collected.
- vii. Explain the typical role of top management in an audit and suggest approaches for auditing top management commitment.

2.2.6 Reporting and Following up the Audit

A delegate shall be able to:

- i. Summarize, record and present the results of an audit and demonstrate the ability to produce clear and concise reports based on the audits evidence obtained,
- ii. Evaluate evidence collected during the audit and prepare reports of conformity and non-conformity to the audit criteria,

- iii. Evaluate the significance of non-conformities recorded during the audit and grade them in accordance with the definitions in the audit program (for example: major, minor, observation etc.)

(Note: for the purposes of evaluating delegate competency, the definitions taught during the training program shall be used).
- iv. Evaluate proposals for corrective and preventive actions prepared by the auditee in response to non-conformities recorded during the audit, evaluate the implementation and effectiveness of corrective and preventive actions taken, and differentiate between corrective and preventive action.
- v. Make recommendations on the acceptability of a management system for certification/registration based on audit evidence obtained during the audit.
- vi. Describe the roles and responsibilities of the auditor and the auditee at all stages of the corrective action process, and
- vii. 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) 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 Delegates' achievement of the learning objectives shall be measured by the training provider.

Section-3: COURSE CONTENT

Early in the course presentation, the course provider shall provide to the delegates a description of the course format, delegate responsibilities, how the delegate will be evaluated and the basis for each type of evaluation.

The course shall cover:

- a) all aspects defined in the Course Objectives and
- b) local requirements, culture, practices or approaches to auditing and the requirements of Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003) as appropriate.

Section-4: COURSE STRUCTURE, TRAINING METHODS AND FACILITIES

4.1 Duration

- 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 NRBPT.

4.2 Training Methods

- 4.2.1 Training courses shall be designed to have a high degree of interaction between delegates and instructors. Training methods shall seek to involve and engage delegates 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 delegate shall be subjected to realistic food hygiene audit practices and conditions.
- 4.2.3 Knowledge based sessions may be instructor led, but shall allow for some interaction with delegates enabling instructors to test learning and delegates 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 meeting and interviews.
- 4.2.5 Methods for validation delegate achievement of the learning objectives and for providing timely feedback shall be included in the course.
- 4.2.6 Each delegate shall be required to participate in practical skills based activities: exercises, case studies, auditor role playing or actual food system audit situation. Around 50% of course time shall be used in such activities.
- 4.2.7 When delegates participate in actual Food hygiene audit situations, two thirds of the time spent conduction such FSMS 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 delegates. 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 delegates in a class shall be no greater than twenty nor fewer than four.
- 4.3.2 Delegates shall be required to be in attendance for the full duration of the course. Failure to do so shall be reflected in the delegate's continuous and final evaluation.

4.4 Number of Instructors

- 4.4.1 Each course offering for eleven or more delegates shall be presented by two instructors, who shall be actively involved in either instruction or evaluation for the full duration of the course.
- 4.4.2 At least one instructor shall be NRBPT or equivalent registered Lead Auditor in Quality Management Systems and/or Food Safety Management Systems or have significant experience in auditing food hygiene/ safety systems for the purpose of official controls. The other instructor should be a person who has worked in food processing or related industries for at least five years or has experience in auditing food hygiene/ safety systems as per Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003) or equivalent, and shall possess basic qualification in the area of food technology, food science, microbiology or a related discipline.
- 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 delegates is four to ten, the course may be presented by one instructor. This single instructor shall be a NRBPT or equivalent lead auditor in QMS and/or FSMS or have significant experience in auditing food hygiene/ safety systems for the purpose of official controls AND shall possess basic qualification on food technology, or microbiology.
- 4.4.5 When specific activities (eg written quizzes etc.) involve neither instructor nor evaluation and do not require the availability of the instructors for explanation, clarification or advice, only one instructor may be present.

4.5 Course Materials

- 4.5.1 Each delegate shall be provided with 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's name and course identification (e.g. on cover page etc.)
- 4.5.4 The delegate notes shall cover each session and shall include all important points of the learning objective(s) being covered.
- 4.5.5 Example 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 delegate shall have a copy of the current published version of Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003). If the standard is not supplied as part of the course notes each delegate shall be required to take a copy to the course. A copy shall be made available for loan to any delegate 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 delegates to be resident at or near the location of the course offering, since this enhances participation in team activities and delegate contact with instructors outside the structured class settings.

Section-5: EVALUATION OF DELEGATES

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

- a) the continual evaluation by the instructors of each delegate's achievement of the learning objectives detailed as above
- b) a written examination that tests delegates' ability to apply audit principles and practice against the requirements of Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003).

5.1 Continuous Evaluation

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

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

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

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

5.1.4 A delegate 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 delegates' comprehension of the audit process and the application of Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003) and their ability to provide written justification of their evaluations.

5.2.2 The examination shall be designed so that a competent delegate (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 instructors may allow a delegate with particular disability that adversely affect the delegate's capability to complete the examination in the allotted time up to 30 minutes additional time for take 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 At least 75% of the examination grade shall be based on questions that require written responses which test the delegate's ability to analyze audit scenarios and understanding

of how to apply the Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003) during an audit.

- 5.2.6 The remainder of the examination grade shall be based on multiple choice true/false or short answer questions.
- 5.2.7 The minimum passing grade shall be 70%.
- 5.2.8 The only reference material allowed during the examination is a copy of the Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003), copy of course material and delegate notes.
- 5.2.9 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 delegate or any other party (except to the approval body) for any reason.
- 5.2.10 Training course provider shall ensure that the instructor(s) for any given course presentation and/or designed authority are not aware of the examination paper to be sued for that presentation.
- 5.2.11 At least one instructor of the course must be present during the examination.

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 delegate 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 months of the last day of the course.
- 5.4.2 A different examination paper shall be used for the re-examination.
- 5.4.3 A delegate who fails the re-examination must take 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 9001:2000 standard.
- 6.1.2 The course provider shall develop and maintain documented procedures for the effective administration of the course in line with ISO 9001:2000. Areas covered shall include:
- a) The design, development and evaluation of course materials and documentation to ensure conformity with the current NRBPT criteria.
 - b) Presentation of the course
 - c) The control of course publicity and advertising
 - d) A document control system for the maintenance and updated 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 delegates and each course offering, including analysis of statistics.
 - h) Delegate 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 delegate evaluations, instructors' performance and overall course performance.
 - m) Notifying NRBPT 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 NRBPT 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 NRBPT.
- 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 registration status at the time of the course presentation, trainee instructors, observers.
 - c) Identification of the specific issue (revision level) of the course documentation used.
 - d) Identification of the examination paper used
 - e) Names of all delegate who attended the course, together with the continuous evaluation results and the examination results for each delegate
 - f) All copies of marked examination papers, continuous evaluation form and related summaries
 - g) The percentage of delegates that successfully completed the course
 - h) Names of each delegate who took a re-examination, together with the re-examination result for each.
 - i) Unique identification number of each certificate of successful completion and the name of the delegate 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 meeting
 - b) Actions resulting from surveillance by the approval body
 - c) Administrative procedures
 - d) Course design
 - e) Course presentation
 - f) Performance of instructors and instructors training/CPD need
 - g) Complaints and appeals
 - h) Analysis of delegate feedback and pass/fail rate

6.4 Instructors

6.4.1 All instructors shall have the following competence:

- a) Shall be thoroughly experienced in the principles and practices of auditing management system relevant to the content of the course
- b) Ability to facilitate the learning of appropriate auditing knowledge and the development of auditing skills
- c) Familiarity with the current course material and documentation
- d) Good communication skills to be able to impart necessary knowledge to delegates
- e) Have knowledge of current auditing practices and of relevant standards
- f) 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 instructors (all the following):

- a) Participating either as a delegate or observer on a complete presentation of the training organization's course.
- b) Participating as a instructor under the supervision of a trained instructor for a minimum of one course
- c) Must 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 At least one instructor shall be NRBPT or equivalent registered Lead Auditor in Quality Management Systems and/or Food Safety Management Systems or have significant experience in auditing food hygiene/ safety systems for the purpose of official controls. The other instructor should be a person who has worked in food processing or related industries for at least five years or has experience in auditing food hygiene/ safety systems as per Recommended International Code of Practice General Principles of Food Hygiene CAC/RCP 1-1969, Rev.4 (2003) or equivalent, and shall possess basic qualification in the area of food technology, food science, microbiology or a related discipline.

6.4.4 The Instructors shall be provided with all necessary material and supporting documentation to plan, manage and present the course and assess delegates performance according to defined requirements.

6.4.5 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.

- 6.4.6 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.
- 6.4.7 Where there have been no previous presentation of the 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.
- 6.4.8 Detailed resumes of all the Instructors should be sent along with the application to NRBPT.
- 6.4.9 Any additions in the list of Instructors should be communicated to NRBPT immediately for approval before participation of any instructors in the course delivery.

6.5 Certificates

- 6.5.1 A certificate of "successful completion" shall be provided to each delegate who has passed both the written examination and the continuous evaluation.
- 6.5.2 The certificate shall:
- i. Clearly state that the course is registered by NRBPT
 - ii. Include the NRBPT 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 NRBPT
 - v. Identify the course by course title, course number and dates of presentation of the course
 - vi. Include the name of the delegate, in the same form that the delegate would use to apply for registration in NRBPT Auditor registration program
 - vii. State that the delegate named has successfully completed the course
 - viii. Include all information on a single side of the certificate.
- 6.5.3 The wording of any certificates of "attendance" shall make it clearly apparent that the delegate has only attended the course. There shall be no implication of successful completion.
- 6.5.4 Delegates shall be informed by the course provider that certificate of "attendance" will not be accepted for NRBPT auditor registration.
- 6.5.5 The design and content of the certificate of "successful completion" and the certificate of "attendance", and any changes thereto, shall be approved by NRBPT.
- 6.5.6 No alterations shall be made in the certificate without prior approval of NRBPT.

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 NRBPT in unresolved complaints or appeals.
- 6.6.4 The course provider shall inform all delegates 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 NRBPT.
- 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 the course provider's organization or any person not employed by the organization that is given authority to administer or present the NRBPT registered course.
- 6.7.2 No NRBPT registered course can be subcontracted to second organization, a person or course provider.
- 6.7.3 A Branch is an office/site owned and controlled by the course provider's organization and authorized to market, administer or present the NRBPT registered training course under the course providers name, responsibility and control.
- 6.7.4 The course provider should have appropriate methods to monitor and measure the performance of its branches to ensure that the NRBPT 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 delegates, 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 these criteria, information about a delegate shall not be disclosed to a third party without written consent of the delegate, not shall information about a delegate'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 NRBPT.

- 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 NRBPT of any changes of address or any significant changes in organization structure of provision of services.
- 6.9.4 NRBPT 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 NRBPT 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 NRBPT 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, NRBPT 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, NRBPT shall undertake at least one full assessment of the presentation of the course. NRBPT shall evaluate all aspects of the course and all activities of the instructors for conformance to the applicable NRBPT criteria & course providers' procedures, and evaluation of students for effective delivery of the course.

During the assessment of the course, NRBPT 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 NRBPT to verify the compliance of corrections.
- 7.2.2.5 The NRBPT Registration Committee will take the decision on NRBPT registration for the course depending on the Course Assessment report.
- 7.2.2.6 When NRBPT Registration Committee determines that the course provider's presentation is acceptable, NRBPT shall inform its approval to the course provider. This registration will be with effect from the first offering of the course which was subjected to NRBPT assessment.
- 7.2.2.7 The annual registration fee should be paid by the course provider on receipt of invoice from NRBPT. Subsequently for every year, the training course provider will have to clear the surveillance assessment and pay the requisite fee for renewal of registration.
- 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 NRBPT criteria and the effective implementation of the course provider's procedures, NRBPT 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, NRBPT 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. NRBPT reserves the right to demand witness of a specific Instructor.
- 7.3.1.4 NRBPT 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 NRBPT may conduct surprise surveillance of the course offerings.

7.3.2 Re-assessment

- 7.3.2.1 NRBPT shall carry out reassessment of the office procedures, documentation and complete course offering to verify the compliance with the NRBPT criteria.
- 7.3.2.2 NRBPT 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 NRBPT 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 NRBPT requirements
- b) providing insufficient or incorrect information to NRBPT
- c) improper use of NRBPT registration and logo
- d) changes in the certificate format without NRBPT approval
- e) changes in the course material without NRBPT approval
- f) failure to report any major changes in the course
- g) any other condition deemed appropriate by NRBPT
- 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 NRBPT 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</i>	<i>Auditor / Lead Auditor Training Course (in Rs.)</i>	<i>Internal Auditor Training Course (in Rs.)</i>
a) Application Package		500/-	500/-
b) Application Fee		50,000/-	25,000/-
c) Assessment Fee		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
d) Annual Fee (up to 12 deliveries) payable in advance		36,000/-	15,000/-
e) Above 12 offering		3,000/- per course	1,500/- per course
f) Surveillance (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
g) Re-assessment (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 NRBPT. 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.



GMP/GHPL-01

APPLICATION FOR REGISTRATION OF GMP/GHP 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
- (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.....