



**NABET Criteria for
INFORMATION SECURITY MANAGEMENT SYSTEMS (ISMS)
Lead Auditor Training Courses**

Section – 1: INTRODUCTION

- 1.1 This auditor/lead auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing Information Security Management Systems (ISMS) in accordance with ISO 19011.
- 1.2 The primary focus of the auditor/lead auditor training course shall be to equip students with the knowledge and skills to perform audits of Information Security Management Systems (ISMS) based on the ISO/IEC 27001 standard, or recognized national and international equivalents specified by NABET if any.
- 1.3 The training course provider shall:
 - a) present the body of knowledge of ISMS Auditing 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.
- 1.4 It is recommended that the students attending this course shall have an understanding of the principles supporting information security management systems and of the ISO/IEC 27001 standard.
- 1.5 This recommendation should be conveyed by the course provider to prospective students in all its communications, course promotion etc.
- 1.6 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.
- 1.7 Successful completion of the NABET registered training course will satisfy the training requirements for NABET registration to all grades of NABET ISMS Auditors.

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 Explain the purpose of an information security management system (ISMS) and explain the processes involved in establishing, implementing, operating, monitoring, reviewing and improving an ISMS as defined in ISO/IEC 27001, including the significance of these for ISMS auditors.
- 2.1.2 Explain the purpose, content and interrelationship of ISO/IEC 27001:2005, ISO/IEC 27002:2005, ISO/IEC 27006:2007 and the legislative framework relevant to an ISMS.
- 2.1.3 Explain the role of an auditor to plan, conduct, report and follow up an ISMS audit in accordance with ISO 19011.

Skills:

- 2.1.4 Interpret the requirements of ISO/IEC 27001 and ISO/IEC 27006 in the context of an ISMS audit.
- 2.1.5 Undertake the role of an auditor to plan, conduct, report and follow up an audit in accordance with ISO 19011.

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 as Enabling Objectives and can be considered as steps to the achievement of the Learning Objectives.

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

- 2.2.1 Explain the purpose of an information security management system (ISMS) and the processes involved in establishing, implementing, operating, monitoring, reviewing and improving an ISMS as defined in ISO/IEC 27001, including the significance of these for ISMS auditors.**

Knowledge:

- 2.2.1.1 Explain the purpose and business impacts of an information security management system.
- 2.2.1.2 Explain the process approach to information security management systems.

2.2.1.3 Explain the processes involved in establishing, implementing and operating, monitoring and reviewing and improving an ISMS, including the significance of this for ISMS auditors.

2.2.1.4 Describe in detail what is involved in selecting a system of controls through the process of risk assessment, treatment and management, including:

- a) ISMS scope and policy
- b) Identifying and explain the element of the risk assessment process
- c) Risk treatment plan and options
- d) Risk reduction through the selection and implementation of a system of controls
- e) Statement of applicability in relation to an organization's business activities and associated risks.

2.2.1.5 Explain the importance and methods used in security incident handling and business continuity.

2.2.2 Explain the purpose, content and interrelationship of ISO/IEC 27001: 2005, ISO/IEC 27002:2005, ISO/IEC 27006: 2007 and the legislative framework relevant to ISMS.

Knowledge

2.2.2.1 Describe the difference between auditable standards and guidance documents and standards.

2.2.2.2 Explain the purpose and content of ISO/IEC 27002 and its relationship to ISO/IEC 27001.

2.2.2.3 Explain the control objectives and controls defined in Annex A of ISO/IEC 27001 drawing on ISO/IEC 27002.

2.2.2.4 Explain ISO/IEC 27001 related concepts and terminology of quality management systems, drawing on ISMS terminology and definitions.

2.2.2.5 Explain the difference between legal compliance and conformance with ISO standards and outline relevant applicable legislation, intellectual property rights, data protection and privacy of personal information.

2.2.3 Explain the role of an auditor to plan, conduct, report and follow up an ISMS audit in accordance with ISO 19011 and the criteria contained in ISO/IEC 27006.

Knowledge

2.2.3.1 Briefly describe the structure of the ISMS certification industry, including:

- a) The differences in purpose and conduct between 1st, 2nd and 3rd party audits.
- b) The international Accreditation Forum and the European Co-operation for Accreditation Interpretations and guidelines for 3rd party certification bodies and the system of accredited certification including the function of the Accreditation Bodies and Certification Bodies.
- c) The role of NABET in the approval of training courses and registration of auditors.

2.2.3.2 Describe the role of the auditor, including:

- a) The ISMS audit process and auditing principles, methodology and good practice as described in ISO/IEC 27006 and the current revision of ISO 19011.

- b) The roles and responsibilities of the client, auditors, lead auditors, auditees and guides in accordance with ISO/IEC 27006 and ISO 19011, including the management and team leader responsibilities of the Lead auditor in managing the audit and the audit team.
- c) The need for effective communication with the auditee, for auditor confidentiality and for auditors to be sensitive to local customs throughout the audit process.
- d) The NABET code of conduct.

2.2.3.3 Describe the process of planning an audit:

- a) Describe typical forms of pre-audit contact, their purpose and when they might be appropriate.
- b) State the purpose of document review/ stage on audits and describe a typical document review process and outputs.
- c) Explain the purpose and significance of the audit scope, the importance of team competency and selection of team members particularly with regard to process knowledge and local information security regulations.
- d) Explain the use, benefits and potential limitations of a checklist (or alternative) and considerations for planning an audit of an activity for which there were no documented procedures.

2.2.3.4 Describe the process of conducting an audit::

- a) Explain how to approach a process audit, including audit of process inputs, outputs and results of the process in terms of outcomes and explain how process measures, quality objectives and continual improvement would be addressed through such an audit.
- b) Describe the purpose of typical content of and attendees typically present at audit meetings, including opening and closing meetings, audit team meetings and auditee feedback/review meetings.
- c) Explain the process of and different methods for gathering objective evidence during an audit, including the benefits and limitations of sampling and of observation.
- d) Explain the typical role of top management in an audit and suggest approaches for auditing top management commitment.

2.2.3.5 Describe the process of reporting and following up an audit:

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

- d) Explain the purpose of ongoing surveillance visits.

2.2.4 Interpret the requirements of ISO/IEC 27001 and ISO/IEC 27006 in the context of an ISMS Audit.

Skills

2.2.4.1 Draw links between the PDCA model and correctly apply this to the ISMS process requirements specified in ISO/IEC 27001.

2.2.4.2 Interpret and apply ISO/IEC 27001 appropriately in an audit situation.

- a) Suggest what objective evidence might be needed to demonstrate conformance with ISO/IEC 27001 requirements.
- b) Verifying the scope of ISMS certification in the context of ISO/IEC 27001.
- c) Auditing multi-site ISMS scopes and the use of a sample based approach to multiple site assessments.
- d) Describe the basis on which exclusion of controls might be permissible to comply with all requirements of ISMS.

2.2.4.3 Check and confirm the following ISMS audit objectives:

- a) That the organization adheres to its own policies, objectives and procedures.
- b) That the ISMS conforms with all the requirements of the ISMS standard or normative document and is achieving the organization's policy objectives.

2.2.4.4 Identify and evaluate in an ISMS audit context:

- a) Assessment of information security related risks to control of its organizational assets and the resulting design of the ISMS.
- b) The organization's security risk assessment approach, including the assessment of the adequacy of any given approach.
- c) The suitability of the organization's statement of applicability in relation to its business activities and associated risks.
- d) Objectives and targets derived from this process.
- e) Performance monitoring, measuring, reporting and reviewing against the objectives and targets.
- f) Security and management reviews.
- g) Management responsibility for the information security policy.
- h) Links between policy, the results of information security risk assessments, objectives and targets, responsibilities, programmes, procedures, performance data and security reviews.
- i) The activities and/or controls, which the organization is permitted to exclude from their ISMS.

2.2.4.5 Evaluate the information security related threats to assets, vulnerabilities and impacts on the organization.

- a) Establishing and maintaining procedures for the identification, examination and evaluation of information security related threats to assets, vulnerabilities and impacts on the organization, taking account of the following factors:
 - i. The criteria by which information security related threats to assets, vulnerabilities and impacts on the organization are identified as significant, and to develop procedure/s for doing this.
 - ii. That the analysis of security related threats is relevant and adequate for the operation of the organization.
 - iii. There is no inconsistency between the organization's policy, objectives and targets and its procedure/s or the results of their application.
- b) The procedures employed in analysis of significance are sound and properly implemented. If an information related threat to assets, vulnerability or an impact on the organization is identified as being significant, it should be managed within the ISMS.

2.2.4.6 Evaluate regulatory and legal compliance:

- a) The organization has a management system that should achieve continuing compliance with regulatory requirements applicable to the information security impacts of its activities, products and services and that this system is fully implemented.
- b) The organization has evaluated legal and regulatory compliance and can show that action has been taken in cases of non-compliance with relevant regulations.

2.2.5 Understand the role of an auditor to plan, conduct, report and follow up an ISMS audit in accordance with ISO 19011.

Skills

2.2.5.1 Undertake the role of an auditor and/or audit team leader to plan an audit:

- a) Identify the pre-audit information required to plan the duration and resources needed to conduct the on-site audit and write an audit scope.
- b) Prepare an on-site audit plan that is appropriate to the sequence and interaction of the organization's processes, their environmental aspects and significant impacts, and produce an audit checklist (or alternative).
- c) Perform a document review or stage one audit in order to assess whether documentation meets ISO/IEC 27001 requirements and to determine whether adequate arrangements are in place to justify proceeding with the implementation audit.

2.2.5.2 Undertake the role of an auditor to manage and conduct an audit to evaluate an organization's effective implementation of processes, procedures and methodologies for conformance with ISO/IEC 27001, including those areas describe in 2.2.4 above.

- a) Participate in and demonstrate ability to control opening and closing meetings.

- b) Make sense of the information gathered in the context of ISO/IEC 27001 and the audit organization by:
 - Gaining an understanding of its processes including their purpose, inputs, outputs, controls and related performance indicators.
 - Selecting sufficient and relevant samples
 - Reviewing appropriate documents
 - Differentiating between documentation and records
 - Exercising objectivity in the review of evidence collected

- c) Demonstrate effective interpersonal skills and interview techniques through ability to:
 - build rapport with the auditee
 - use appropriate types of questions
 - listen effectively
 - make notes, use a checklist effectively and follow audit trails
 - provide feedback to the auditee
 - be sensitive to the needs and expectations of the auditee, including the local customs and culture.

2.2.5.3 Undertake the role of an auditor to report and follow up the audit:

- a) Evaluate the objective evidence gathered and correctly identify conformance and non-conformance with requirements.
- b) Recognize and report positive audit findings and opportunities for improvements.
- c) Write a meaningful and accurate summary report of the audit including graded non-conformity reports based on objective evidence obtained during your course of the audit.
- d) Make recommendations for certification/supplier approval based on audit findings
- e) Present audit findings and recommendations to the client.
- f) Evaluate proposals for corrective action and differentiate between correction and corrective action.

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

2.4 Students' 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 students a description of the learning objectives, course structure, format and programme, student responsibilities and the assessment processes and assessment criteria against which they will be measured.

The course shall cover:

- a) all aspects defined in the Course Objectives and
- b) local requirements, culture, practices or approaches to auditing and the application of ISMS as appropriate.
- c) Benefits of ISMS auditor registration/certification.

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 NABET.

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 ISMS 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 Information Security Management system audit situations. At least 50% of course time shall be used in such activities.
- 4.2.7 When students participate in actual 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.

4.3 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 either instruction or evaluation for the full duration of the course.
- 4.4.2 At least one instructor shall be NABET registered Lead Auditor or equivalent.
- 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. This tutor shall satisfy the requirements for a lead tutor.
- 4.4.5 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.
- 4.5.5 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 published version of ISMS standards. If the standard 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 a 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

Each student 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 ISMS.

5.1 Continuous Evaluation

5.1.1 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

5.1.2 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.

5.1.3 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.

5.1.4 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 ISMS 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 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 ISMS standard during an audit.

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- 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 ISMS standard, Course material and self (participant's) 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 student 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 designated authority are not aware of the examination paper to be used 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 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 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 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

The course provider's Quality Management System should be based on ISO 9001:2008 standard.

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 NABET 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 NABET of significant changes to the course before they are implemented.
- xiv Complaints and appeals.

6.2 Records

- i The course provider shall maintain records to demonstrate conformance to the NABET 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 NABET.
- 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 that 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 students who attended the course, together with the continuous evaluation results and the examination results for each student
 - f) All copies of marked examination papers, continuous evaluation forms and related summaries
 - g) The percentage of students that successfully completed the course
 - h) Names of each student 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 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 NABET
 - 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 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) shall be familiar to Risk Assessment concepts & Measurement techniques and awareness to information security vulnerability & threats
 - d) familiarity with the current course materials and documentation
 - e) good communication skills to be able to impart necessary knowledge to students
 - f) have knowledge of current auditing practices and of relevant standards
 - g) 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):
- 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 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 NABET registered Lead Auditor or equivalent.
- 6.4.4 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.
- 6.4.5 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 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.
- 6.4.8 Detailed resumes of all the Instructors should be sent along with the application to NABET.
- 6.4.9 Any additions in the list of instructors should be communicated to NABET 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.

6.5.2 The certificate shall:

- a) Be valid for three years from the last day of the course, irrespective of the date of successful completion of the examination, for meeting the training requirements for registration as an NABET auditor
- b) Clearly state that the course is registered by NABET
- c) Include the NABET registration mark
- d) Include a unique identification number for each successful certificate
- e) Clearly show the name of the course provider, as it is registered by NABET
- f) Identify the course by course title, course number and dates of presentation of the course
- g) Include the name of the student, in the same form that the student would use to apply for registration in NABET Auditor registration program
- h) State that the student named has successfully completed the course
- i) Include all information on a single side of the certificate

6.5.3 Certificates of Attendance may be issued to students who have not been successful in the examination or the continuous assessment components but who have satisfied the attendance requirement. The wording of any such certificates of “attendance” shall make it clearly apparent that the student has only attended the course. There shall be no implication of successful completion.

6.5.4 Students shall be informed by the course provider that certificates of “attendance” will not be accepted for NABET 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 NABET.

6.5.6 No alterations shall be made in the certificate without prior approval of NABET.

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 NABET 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 NABET.
- 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 NABET registered course.
- 6.7.2 No NABET registered 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 NABET registered 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 NABET 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.
- 6.8.2 These arrangements shall be extended to include organizations or individuals acting on its behalf and representatives of the course provider.
- 6.8.3 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 NABET.*
- 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 NABET of any changes of address or any significant changes in organization structure or provision of services.
- 6.9.4 NABET 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

NABET 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 NABET registration status
- v Course administration documents including policies for admission of participants, course registration forms, fee schedules, course certificates and promotional material.

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

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

7.2.2.2 During the assessment of the course, NABET Assessor reserves the right to allocate training session to the particular instructor 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 NABET Assessor. However the final report and the recommendation will be sent after the decision of the NABET 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 NABET to verify the compliance of corrections.
- 7.2.2.6 The NABET Registration Committee will take the decision on NABET registration for the course depending on the Course Assessment report.
- 7.2.2.7 When NABET Registration Committee determines that the course provider's presentation is acceptable, NABET 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 NABET assessment.
- 7.2.2.8 The annual registration fee should be paid by the course provider on receipt of invoice from NABET. Subsequently for every year, the training course provider will have to clear the surveillance assessment and pay the requisite fee for renewal of registration.
- 7.2.2.9 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 NABET criteria and the effective implementation of the course provider's procedures, NABET 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.
- 7.3.1.2 During the assessment of the course, NABET 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. NABET reserves the right to demand witness of a specific Instructor.
- 7.3.1.5 NABET 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 NABET may conduct surprise surveillance of the course offerings.

7.3.2 Re-assessment

- 7.3.2.1 NABET shall carry out reassessment of the office procedures, documentation and complete course offering to verify the compliance with the NABET criteria.
- 7.3.2.2 NABET 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 NABET 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 NABET requirements
- ii providing insufficient or incorrect information to NABET
- iii improper use of NABET registration and logo
- iv changes in the certificate format without NABET approval
- v changes in the course material without NABET approval
- vi failure to report any major changes in the course
- vii any other condition deemed appropriate by NABET
- viii non payment of fees.
- ix
- x At course providers 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 NABET 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 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.



**APPLICATION FOR
REGISTRATION OF ISMS**

ISMSL-01

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.....