

Document Title

**Auditor Registration Scheme  
for  
Quality Management System (QMS)  
ISO 9001:2015**

Document Number: QCI/NBQP/QMS/AUD/Ver1.2

**Auditor Registration Scheme for QMS**

**DOCUMENT CONTROL INDEX**

Document No.	Document Description	Version No.	Date of Release	Changes in brief
NBQP/1001/0709/06	Criteria for QMS Auditor Registration	1.0		Initial issue
QCI/NBQP/QMS/AUD/Ver1.1	Auditor Registration Scheme for Quality Management System (QMS) ISO 9001:2015	1.1	15.11.18	Entire Scheme Revised based on the latest version of the standard.
QCI/NBQP/QMS/AUD/Ver1.2	Auditor Registration Scheme for Quality Management System (QMS) ISO 9001:2015	1.2	26.04.19	<b>Section D.1a:</b> Application Fee validity added. <b>Section D.2:</b> Fee Structure revised.

## Auditor Registration Scheme for QMS

### Prologue

1. National Board of Quality Promotion (NBQP) of Quality Council of India (QCI) has designed this Scheme with a view to reinforcing the auditing skill of auditor in Quality Management System (QMS) of this System. The organizations desirous of having these audits done in an in-depth manner to ensure preservation and improvement in Quality will be benefited from the NBQP registered auditors. This is irrespective of the Lead Auditor's Qualifications (LA qualification) acquired by them after attending 5-day LA Course imparted by many of the Certification Bodies (CBs) and other learned organization. However, this LA qualifications are just one-time calibration of a person while the NBQP registration of a person is a continual calibration, which shows progressive improvement in the professional ability of the auditor.
2. The main aim of this Scheme is not to have a ritualistic audit but a futuristic audit, which will enable the organization to chalk out a future plan for continual improvement in the Quality Management System related activities in a sustainable manner. The auditors with NBQP registration are expected to do value addition in tune with the intents and contents of ISO 9001:2015 Quality Management Systems - Requirements.
3. With the introduction of ISO 9001:2015 version, the auditors will have to understand, appreciate and internalize the following elements (which are the new cardinal elements in all ISO standards on different management systems).
  - a) Context of an organization
  - b) Needs and expectations of internal and external interested parties
  - c) Risks and opportunities in all QMS related activities.
4. This scheme recognizes the importance of competency of the applicant for the registration, not only as an auditor but also as the implementer of the QMS in his/her profession.
5. NBQP will take into consideration the experience and depth of understanding in QMS activities of the applicant. This scheme goes beyond the coverage of QMS as in ISO 9001:2015.

### 1. Foreword

1.1 A number of organizations in various sectors are in the process of realization for complete preservation and continual improvement of quality aspects in industrial activities through comprehensive implementation of QMS. The selection of a capable QMS Auditor by an organization is important for ensuring that the QMS is capable of meeting the planned arrangements and objectives of the organization and actuating its commitments to complete preservation and continual improvement of quality aspects and thus benefit the society in an efficient, sustainable and cost-effective manner.

1.2 This scheme for registration of QMS Auditor will help certifying the credentials of auditor and also help the organizations to select a competent auditor from the NBQP Register of Auditor.

1.3 The NBQP certificate of an Auditor (any grade as detailed in this document) is a testimony of high conceptual learning and comprehension and competence in QMS auditing.

### 2. Referral standards

2.1 Different organizations of repute have formulated different standards on QMS and currently the internationally accepted standards on the subject is ISO 9001:2015 Quality Management System – Requirements.

2.2 It is important to note that ISO 9001:2015 standard is being formulated by ISO on the common format of ten clauses for all management system standards as listed below and, therefore, the salient modifications need to be considered in the assessment of applicants for registration under the scheme, include:

- a) ISO 9001 Quality Management Systems
- b) ISO 14001 Environmental Management Systems
- c) ISO 22001 Food Safety Management Systems
- d) ISO 45001 Occupational Health & Safety Management Systems

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- e) ISO 27001 Information Security Management System
- f) ISO 50001 Energy Management System

### 3. Grades of Auditor

Based on the qualification, expertise, and experience, an applicant can be offered the following grades for registration appropriately:

- i. Provisional Auditor
- ii. Internal Auditor
- iii. Auditor
- iv. Lead Auditor
- v. Principal Auditor

### 4. Process of Registration of QMS Auditor in different grades

4.1 Registration under this scheme is available without restriction to all applicants who satisfy the NBQP registration requirements. The scope of the sectors for registration is as per IAF ID 1 standard and the sectors are mentioned in Table 1 below. The applicant may select up to three industry sectors from list given below within which the applicant has acquired work expertise, according to his/her own estimation. Certificate with the relevant sectors mentioned on it shall be issued to applicant based on the documentation provided by them to NBQP.

4.2 NBQP reserves all rights to amend its registration criteria, procedures and fees, etc. as it may deem fit at any time. Applicants are requested to refer to the updated Scheme while applying for registration.

4.3 Although all information provided by the applicants will be kept confidential, NBQP reserves the right to utilize this information for legal, research, sharing with other interested organizations (camouflaging the identity of the applicant), for any other purpose as may be deemed fit by NBQP.

Table 1

1. Agriculture, Forestry & Fishing	15. Non-metallic mineral Products	29. Wholesale & Retail Trade, Repair of Motor Vehicles, motorcycles and personal & household goods
2. Mining & Quarrying	16. Concrete, Cement, Lime, Plaster, etc	30. Hotels & Restaurants
3. Food Products, Beverages & Tobacco	17. Basic Metals and fabricated metal products	31. Transport, Storage & Communication
4. Textiles & Textile Products	18. Machinery & Equipment	32. Financial Intermediation, Real Estate & Renting
5. Leather & Leather Products	19. Electrical & Optical Equipment	33. Information Technology
6. Wood & Wood Products	20. Shipbuilding	34. Engineering Services
7. Pulp, Paper & Paper Products	21. Aerospace	35. Other Services
8. Publishing Companies	22. Other Transport Equipment	36. Public Administration
9. Printing Companies	23. Manufacturing not elsewhere classified	37. Education
10. Manufacture of Coke & Refined Petroleum Products	24. Recycling	38. Health & Social Work
11. Nuclear Fuel	25. Electricity Supply	39. Other Social Services
12. Chemicals, Chemical Products & Fibres	26. Gas Supply	
13. Pharmaceuticals	27. Water Supply	
14. Rubber & Plastic Products	28. Construction	

## **Section – A: Definitions**

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**A.1** For the present, all definitions as given in ISO 9001:2015 Quality Management System – Requirements.

### **QMS Auditor**

A person with the competence to assess QMS realization.

### **Desk Top review**

The evaluation of documentary evidences submitted by the applicant in support of the application.

NBQP criteria for QMS Auditor

## Auditor Registration Scheme for QMS

# Section – B: Requirements for Registration

### B.1 Personal Attributes

Applicants for registration should possess the necessary qualities to enable them to act in accordance with the principles of auditing as enshrined in *Clause 4 of ISO 19011 Guidelines for Auditing Management Systems*. The auditors should have acquired the following elements in professional behavior during the performance of audit activities; including being:

- a) Ethical - fair, truthful, sincere, honest and discreet;
- b) Open minded - willing to consider alternative ideas or point of view;
- c) Diplomatic - tactful in dealing with people;
- d) Observant - actively observing physical surroundings and activities;
- e) Perceptive - aware of and able to understand situations;
- f) Versatile - able to readily adapt to different situations;
- g) Tenacious - persistent and focused on achieving objectives;
- h) Decisive - able to reach timely conclusions based on logical reasoning and analysis;
- i) Self-reliant - able to act and function independently whilst interacting effectively with others;
- j) Acting with fortitude - able to act responsibly and ethically, even though these actions may not always be popular and may sometime result in disagreement or confrontation;
- k) Open to improvements - willing to learn from situations, and striving for better audit results;
- l) Culturally sensitive - observant and respectful to the culture of the auditee;
- m) Collaborative - effectively interacting with others, including audit team members and auditees personnel.

### B.2 Skills and Knowledge

**B.2.1** Applicants should through education, training, work experience, and auditing experience be able to demonstrate a satisfactory level of competence during the interaction in all of the areas stated below:

#### B.2.1.1 Quality Management Systems specific knowledge and skills

##### B.2.1.1.1 Relevant Standards

Applicants should be able to understand and apply relevant international standards that are applicable to the client organizations, which may be as follows:

- i) ISO 9000 Quality Management System – Fundamentals and Vocabulary
- ii) ISO 9004 Managing for the sustained success of an organization – A quality management approach
- iii) ISO 10001 Quality management – Customer satisfaction – Guidelines for codes of conduct for organizations
- iv) ISO 10002 Quality management – Customer satisfaction – Guidelines for complaints handling in organizations
- v) ISO 10003 Quality management – Customer satisfaction – Guidelines for dispute resolution external to organizations
- vi) ISO 10004 Quality management – Customer satisfaction – Guidelines for monitoring and measuring
- vii) ISO 10005 Quality management systems – Guidelines for quality plans
- viii) ISO 10006 Quality management systems – Guidelines for quality management in projects
- ix) ISO 10007 Quality management systems – Guidelines for configuration management
- x) ISO 10008 Quality management – Customer satisfaction - Guidelines for business-to-consumer electronic commerce transaction
- xi) ISO 10012 Measuring management systems – Requirements for measurement processes and measuring equipment
- xii) ISO 10014 Quality management – Guidelines for realizing financial and economic benefits
- xiii) ISO 10015 Quality management – Guidelines for training
- xiv) ISO 10018 Quality management – Guidelines for people involvement and competence
- xv) ISO 10019 Guidelines for the selection of quality management system consultants and use of their services
- xvi) ISO 19011 Guidelines for auditing management systems
- xvii) ISO 31000 Risk management – Principles and guidelines
- xviii) ISO Guide 73 Risk Management – Vocabulary
- xix) ISO/IEC Guide 99 International vocabulary of metrology – Basic and general concepts and associated terms (VIM)
- xx) Other relevant ISO Standards

**Note:** Latest versions of all the standards to be only considered as per ISO website [www.iso.org](http://www.iso.org)

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**B.2.1.1.2** In addition the applicants should preferably have knowledge of other standards that are relevant for understanding the subject of QMS such as:

- i) Sector specific standards related to safety
- ii) Metrological and measurement standards
- iii) Conformity assessment standards like ISO 17021-1 and ISO 17021-3
- iv) Process standards
- v) Standards related to preservation and improvement in Quality formulated by professional bodies.

**B.2.1.1.3** It is desirable that the applicant has undergone a recognized Internal Auditor/ Lead Auditor Training Course on QMS from recognized/accredited institution.

**B.2.1.1.4** The applicant should have some insight in the following elements, which will be the conceptual elements in ISO 9001:2015:

- i. Understanding of the organization and its contexts
- ii. Identification of internal and external interested parties, understanding their needs and expectation
- iii. Identification of risks (including opportunities)
- iv. Client products, services, processes and organization
- v. Fundamental concepts and quality management principles

### **B.2.2 General Quality Management Systems principles, methodologies, and techniques**

Applicants during interaction should demonstrate the knowledge as well as the ability to apply QMS principles, methodologies, and techniques such as:

- a) QMS terminology
- b) Analysis of Aspects related to preservation and continual improvement of Quality
- c) Preparation of road maps for elimination and/or control of risks and harnessing the identified opportunities.
- d) Enhancement of QMS performance in utilizing QMS opportunities.
- e) Cost and benefit analysis of Quality related activities
- f) Compliance of legal and others requirements
- g) Appropriate statistical techniques
- h) Auditing methodologies and techniques
- i) Team work techniques
- j) PDCA (Plan-Do-Check-Act) methodology
- k) Policy deployment methodology
- l) Process mapping techniques
- m) Assessment and review of above activities.
- n) Problem solving techniques & control measures
- o) Techniques for monitoring interested party's satisfaction
- p) Brainstorming techniques
- q) Innovation management techniques
- r) The principles and techniques of auditing as per ISO 19011
- s) Threat for competitor on account of alternative products

### **B.2.3 National and international Quality Management systems**

Applicants should have general knowledge of:

- a) The standardization, certification, and accreditation systems at national and international levels.
- b) The processes and procedures for national certification of processes, systems, and personnel.

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### B.2.4 Organization specific knowledge and skills

#### B.2.4.1 Statutory, regulatory and other requirements

Applicants should demonstrate the ability to recognize the existence and the significance of the relevant statutory and regulatory requirements (e.g. local, national, or international) applicable to the organization's activities, products, and/ or services

In particular, applicants should demonstrate how the legal issues are recognized which are applicable to the organization's activities.

Basic knowledge in this area should typically include the statutory and regulatory requirements for the organization's operations and activities as required by QMS ISO 9001: 2015 and should also include the following aspects as appropriate:

- a. Audit agreements
- b. Ambience at workplace
- c. International treaties, protocols, and conventions
- d. Quality related requirements in packaging and transportation
- e. Consents and licenses and necessary periodic monitoring of equipment required for measuring Quality performance
- f. Reporting and filing of returns
- g. Statements and declarations.
- h. Country specific or government specific regulations (if any)

#### B.2.4.2 Organizational requirements

**B.2.4.2.1** Applicants should demonstrate reasonable knowledge of Organization's activities, products, or services and how the same may have impacts on preservation of Quality related elements.

**B.2.4.2.2** The applicant should preferably have background knowledge of processes or products of the sectors of industry which he intends to serve as auditor. Broadly, they should be able to demonstrate how to apply the above knowledge to:

- a) Improve the process, increase the productivity & efficiency, reduce the cost & reduce the waste.
- b) Identify quality risks, suggest appropriate control measures with focus on the monitoring and measurement.
- c) Understand the sequence and interaction of the organization's activities, which might increase the quantum of risks to the personnel and their effect on meeting statutory and regulatory requirements. Also assess the organization's preparedness to respond to potential emergency situations that might arise.
- d) Understand the Organization's activities with a view to eliminating or reducing quality risks and control measures from planning, design, production, services, marketing to disposal stages.
- e) Understand the terminology of specific sector.
- f) Understand the nature of the structure, functions, and relationships within the organization.

### B.2.5 Management Practices

Applicants should demonstrate understanding of how the QMS integrates and interacts with the overall management of the organization, including human resource & other management systems. Therefore, applicants should have knowledge of relevant management practices such as:

- a) Planning and control
- b) Strategic management
- c) Production/Operation management including work study methods
- d) Management information systems
- e) Human resource management
- f) Interpersonal and Leadership skills



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### B.3 Education

**B.3.1** The applicant should have completed ITI/Diploma/Graduation with specified work experience as mentioned in this document.

**B.3.2** Documentary evidence of the claims on the above should be submitted along with the Application form.

### B.4 Work Experience

**B.4.1** The applicant should have relevant experience in managerial, professional, and technical aspects of the Auditing services to be provided. This may involve the exercise of judgement, problem solving, and communication with interested parties, enabling the auditors to assist the organization in making effective decisions.

**B.4.2** The applicants' relevant experience shall include the following:

- a) Practical work experience
- b) Experience in management
- c) Experience in QMS auditing
- d) Experience in implementing a QMS, in one or more of the following capacities:
  - i. Consultancy services
  - ii. QMS Management Representative/Appointee
  - iii. Member of QMS team for identification of quality risk & opportunities
  - iv. Member of management review team
  - v. Member of Emergency Management Team
  - vi. Quality functions

**B.4.3** In particular, applicants should provide documentary evidences for the following minimum work experience, against the Grade applied for:

Sr. No.	Grade	General Work Experience	QMS Work Experience	Training Course Certificate on QMS from recognized/ accredited institutions	Auditing Experience
1	<b>Provisional Auditor</b>	4 years full time	1 year	Internal Auditor	Not Compulsory
2	<b>Internal Auditor</b>	4 years full time	1 year	Internal Auditor	5 internal audits of at least 3 hours each
3	<b>Auditor</b>	4 years full time	2 years	Auditor/Lead Auditor	4 full management system audits-20 days (15 days of which should be onsite)
4	<b>Lead Auditor</b>	4 years full time	2 years	Auditor/Lead Auditor	-4 full management system audits-20 days (15 days of which should be onsite) -3 full management system audits as Team Leader-15 days (10 days of which should be onsite)
5	<b>Principal Auditor</b>	8 years full time	Min 6 years as Lead Auditor or 3 years full time employment as a management system' auditor with an accredited certification body		

**B.4.3.1** It is desirable that the experience of the audit conducted is relevant to the QMS. Applicants should provide documentary evidence of work experience. This evidence must be signed by the applicant's employer and client where audit had been conducted. Alternatively, this evidence may be presented in the form of employer references giving information on work actually carried out, positions held, reporting levels, and areas of responsibility.

**B.4.3.2** The applicants should submit audit log (Annex A) of last 2 years, for desktop review. NBQP reserves the right to ask for additional information of audits to seek the information from the organizations assisted, at any stage of the NBQP assessment process.

## **B.5 Application Reference**

For initial registration, each applicant should be referred by either the current employer or by one alternative person who has a professional relationship with the applicant. Referrals should have direct experience and/or personal knowledge of the applicant relating to those elements of the application for which they have been attested.

## **B.6 Personal Declaration**

All applicants for initial registration and re-registration should sign a declaration whereby they agree to observe and to abide by the NBQP Code of Conduct (Section-G) and that all complaints regarding their performance will be formally logged and dealt with in a manner to prevent recurrence, by NBQP.

## **B.7 Re-registration (maintaining registration)**

**B.7.1** All registered Auditors should be periodically re-registered. The period between initial registration and re- registration should not exceed three years. Each applicant for re-registration should maintain a written declaration from the client of each QMS audit and details of professional development undertaken during this period.

For each year of the re-registration period, NBQP registered QMS Auditor should submit documentary evidence either of having performed a minimum number of audits as stated below:

- a) Auditor Grade -2 audits
- b) Lead Auditor Grade – 4 audits
- c) Principal Auditor Grade – 8 audits

**B.7.2** All registered auditors are required to submit annually (before expiry of 1 year of last registration) the details of auditor work undertaken in the Audit Log Sheet (Annex A) and/or Continuing Professional Development (CPD) done by them in the CPD Log Sheet (Annex B) for that particular year.

## **B.8 Professional Development**

The NBQP registered QMS Auditor should, in each year of the registration period, receive at least 15 hours of appropriate continuing professional development that may include training/awareness programs/seminars/workshops/conclaves. Evidence of that professional development, verified by the training course provider, or the applicant's employer should be submitted as part of the application for re-registration.

The professional development records should show the duration and type of activity undertaken and details of the provider. In the selection of appropriate professional development, Auditor should consider their personal strengths and weaknesses and identify areas for personal improvement.

## **B.9 Code of conduct**

All Auditor are obliged to improve the standing of the auditor profession by rigorously observing the Code of Conduct. Failure to do so may result in suspension or withdrawal of registration.

Please refer to Section F & G for further details.

## **Section – C: Evaluation Process**

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**C.1** The Complete application form with the requisite fee must be sent to the following address:

Assistant Director  
**National Board for Quality Promotion**  
C/o Quality Council of India  
ITPI Building, 6th Floor, 4-A, I P Estate,  
Ring Road, New Delhi - 110002, India  
Phone: 011-23321274/75 Ext: 308,314,304  
Email: prasoon.nbqp@qcin.org

**C.2** All credentials should be submitted to NBQP through online portal. All applications must be supported by documentary evidence, e.g. legible self-attested photocopies of original certificates etc. Original documentary evidence should be made available only when asked for.

**C.3** An incomplete application or not adequately supported by required documents would result in delay in processing or rejection of application.

**C.4** NBQP will carry out evaluation of applicant's competencies in following steps:

- a) Adequacy Review** – To check the adequacy of documents submitted by the applicant in support of the application.
- b) Desk-Top Review** – To determine whether the contents of the application form and the supporting documents provided by the applicant are conforming to the Auditor Registration Scheme requirements.
- c) Interaction** - A verification of the applicant's auditing competence related to the documents provided by him and the requirements mentioned in this document through a face-to-face/AV interaction on case to case basis.

**C.5** Reconsideration – An applicant who is opting for a higher grade will have to submit a reconsideration fee as given in the fee schedule. The assessment process will be repeated in this case.

An applicant who is rejected during the desktop review, will have an option to submit additional information/evidence for reconsideration within 4 weeks.

**C.6** Scope Enhancement – Applicant who wish to enhance their scope areas will have to pay Scope Enhancement Fees as mentioned in the fee schedule. Addition of scope sectors shall be considered only after 3 years of initial registration with a requirement of minimum 1-year experience in particular sector.

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### Section –D: Fees

**D.1 General** - The fee structure is determined annually and is applicable for 1 year. The validity of the registration is also for 1 year. The current Fee Structure should be as follows:

a) **Application Fee** - Application should be accompanied by the application fee, without which the application will not be processed. This fee covers the administrative costs for processing the applications. Application Fee should be paid by the applicant after reading the entire criteria. Application Fee, once paid, shall not be refunded. Application Fee is valid only for 6 months.

b) **Annual Registration fee** - Successful applicants will be intimated for the remittance of Registration Fee. The applicants will be required to send the fee as per the fee structure within the specified time frame.

Applicants may pay either one- or three-years fee along with their initial application. A discount of 15% on total fee is allowed for three years registration.

Applicants paying one-year fee initially should be required to pay the annual registration fee annually for the next two years on receipt of notice from NBQP.

The Certificate & Registration Card will be sent within 3-4 weeks after the receipt of the fee.

c) **Regrade Fee** - This fee covers the administrative cost required for each regrade consideration. This fee is due with the re-grade submission and is nonrefundable. Where a regarded application is successful, the difference in the registration fee on pro-rata basis is to be paid for registration to the new grade for that current year.

d) **Reconsideration Fee** - This fee covers the administrative costs for reassessment of the application on submission of necessary documentation.

e) **Scope Enhancement Fee** - This fee covers the administrative costs for assessment of the application with addition in scope on submission of necessary documentation by the applicant.

f) **Issue of Duplicate Card and / or Certificate** - Additional fee will be charged for issue of duplicate Card and/or Certificate. All fees are to be paid vide a demand draft or a local cheque in favours of "Quality Council of India" payable at Delhi.

**D.2 Fee Structure** – The fee structure should be as follows:

i) Application Fee for the first time - **Rs.2000/-**  
Re-registration fee - **Rs.1500/-**

ii) Annual Registration Fee:

Provisional Auditor	- Rs. 2400/- for 1 year
Internal Auditor	- Rs. 3600/- for 1 year
Auditor	- Rs. 4800/- for 1 year
Lead Auditor	- Rs. 6000/- for 1 year
Principal Auditor	- Rs. 7200/- for 1 year

**15% discount** on the total fee is given to the applicant applying for 3 years registration

iii) Re- grade fee - Rs.1,500/-

iv) Reconsideration/ Scope Enhancement fee per sector - Rs.1,500/-

**18% GST will be charged extra, as application w.e.f. 1<sup>st</sup> July 2017 and the fees are non- refundable.**

**The fee should be paid vide demand draft or local (Delhi) cheque, drawn in favour of "Quality Council of India." All fees are non-refundable.**

## **Section – E: Registration Card, Certificate and Register**

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**E.1** All successful applicants will be issued the following:

- i) A Certificate
- ii) A Registration Card.

**E.2** The validity of the Certificate and the Card will be for the period for which the fee has been paid by the applicant (maximum three years)

**E.3** The Card and the Certificate are the primary evidence of validity of Registration and should be presented on commencement of a project and thereafter on demand as appropriate.

**E.4** The Register of Auditor will be hosted on the QCI web site. Also, the details of newly registered auditors are published regularly in QCI newsletters “Quality India.”

**E.5** In case the registered auditor does not want to publish his/her detail, a request may be sent to NBQP for the same.

## **Section – F: Appeals, Complaints & Disciplinary Proceedings**

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**F.1** Any complaint by the applicant should be made directly to Director/Principal Advisor (NBQP) and escalated (if required) to CEO-NBQP.

**F.2** In case of non-acceptance of the decision of the CEO-NBQP, the applicant can appeal to the Secretary General-QCI who will then appoint an independent appeal committee for the purpose.

**F.3** Similarly complaints will be considered according to the procedures of NBQP, which are made by following:

- a) Registered Auditors against a fellow registered Auditors, or
- b) An organization, certification body or other body against a registered Auditor

**F.4** The Certificate and Registration Card would be cancelled or recalled by NBQP.

**F.5** NBQP retains the right to undertake disciplinary proceedings against registered Auditors who are found to have acted contrary to the Code of Conduct. Options available include suspension of registration and in instances of serious or sustained breach, withdrawal of registration.

**F.6** NBQP may suspend or cancel the NBQP registration because of the following but not limited to:

- a) providing insufficient or incorrect information to NBQP at the time of registration.
- b) illegal use of NBQP registration, card or logo
- c) failure to report any major complaint against the applicant
- d) any other condition deemed appropriate by NBQP
- e) at own request

## **Section – G: Code of Conduct**

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**G.1** All NBQP Registered auditor are obliged to improve their standing in the auditing profession by rigorously observing the Code of Conduct. Failure to do so may result in suspension or withdrawal of registration.

**G.2** A NBQP Registered Auditor is required:

- a) to act professionally, accurately and in an unbiased manner
- b) to strive to increase the competence and prestige of the auditor's profession
- c) to assist those in their employment or under their supervision in developing their management, professional and auditor skills
- d) to maintain the confidentiality of information provided by or acquired from the organization
- e) to avoid and/or declare any conflict of interest that may affect the work to be carried out
- f) to maintain independence from QMS certification or accreditation bodies
- g) to maintain impartiality in an organization's selection of certification bodies/ registrars
- h) not to act in any way that would prejudice the reputation of the NBQP or the Auditor registration process and to co-operate fully with an inquiry in the event of any alleged breach of this code.

## Auditor Registration Scheme for QMS

### Annexure A: Audit Log

1. Mr./Ms./Mrs. \_\_\_\_\_

2. Audit Standard \_\_\_\_\_ 3. Audit Type \_\_\_\_\_

4. Role in Audit

Auditor	Lead Auditor
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5. Names of Team Members i) \_\_\_\_\_ ii) \_\_\_\_\_  
iii) \_\_\_\_\_ iv) \_\_\_\_\_

6. Doc. Audit From : \_\_\_\_\_ to \_\_\_\_\_ No. of days \_\_\_\_\_

7. Site Audit From : \_\_\_\_\_ to \_\_\_\_\_ No. of days \_\_\_\_\_

#### AUDITEE DETAILS

8. Company Name & address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Pin Code \_\_\_\_\_

9. Contact Person \_\_\_\_\_ Designation \_\_\_\_\_

10. Tel (Nos.) \_\_\_\_\_ 11. Fax No. \_\_\_\_\_

12. Email address \_\_\_\_\_ 13. No. of Employees \_\_\_\_\_

14. Product /Service \_\_\_\_\_

15. Auditee Signature \_\_\_\_\_ Company Stamp \_\_\_\_\_

#### EMPLOYER DETAILS (Audit conducted on behalf of)

16. Company Name & address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Pin Code \_\_\_\_\_



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17. Contact Person \_\_\_\_\_ Designation \_\_\_\_\_
18. Tel (Nos.) \_\_\_\_\_ 19. Fax No. \_\_\_\_\_
20. Email address \_\_\_\_\_
21. Employer Signature \_\_\_\_\_ Company Stamp \_\_\_\_\_

### GUIDANCE FOR AUDIT LOG

Please refer to NBQP criteria for QMS Auditor Registration before filling this log sheet. All information must be completed otherwise it might result in delay or rejection of application. Photocopies of audit log format may be used. Audit type

1. FPA (First Party Audit)
2. SPA (Second Party Audit)
3. CON (Consultancy Audit)
4. TPA (Third Party Audit)

For Third Party Audits (TPY) further classification should be indicated i.e.

- a) Preliminary (Stage 1)
- b) Registration (Stage 2)
- c) Surveillance (SUA)
- d) Follow UP (FUP)
- e) Re-assessment (REA)

Employer details (audit conducted on behalf of) - should give information on whose behalf the audit was conducted. In case the Auditee and the Employer details are the same then the audit will be treated as First Party Audits.

Only, independent, full system audits on established management systems carried out against ISO 9001 or equivalent Quality standards, which are planned, conducted and reported in accordance with ISO 19011 (Guidelines for Auditing Management System) are acceptable. Close out, follow up and surveillance visits are not acceptable for initial registration.

First Party / Internal Audit meeting the criteria may be acceptable for registration, provided, evidence is submitted to substantiate that the auditor was independent of the system being audited and that the auditor had no part in developing the management system being audited.

**Auditor Registration Scheme for QMS**

**Annexure B: Continuing Professional Development (CPD) Log**

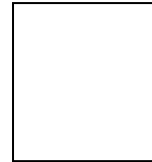
Name

Registration No

Date (DD/MM/YY)	Duration of CPD in hours	Type of Activity Formal / Informal	Details of Activity (Title & Duration)	Name / Designation / Contact Details incl. tel. /fax nos.	Description of Activity require

## Annexure A : Application Form

Space for  
Photograph



***(Please read the criteria before filling the form)***

1. Mr./Ms./Mrs. \_\_\_\_\_  
(First Name)
(Middle Name)
(Last Name)

2. Date of Birth \_\_\_\_\_

3. Home address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Pin Code \_\_\_\_\_

4. Tel. No. \_\_\_\_\_ 5. Fax No. \_\_\_\_\_

6. Email address \_\_\_\_\_

7. Office address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Pin Code \_\_\_\_\_

8. Tel. No. \_\_\_\_\_ 9. Fax No. \_\_\_\_\_

10. Email address \_\_\_\_\_

11. Mailing address

Home	Office
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12. General Education (Senior Secondary)

Period	Board	Qualification	Educational Institution & Address	Subjects	Grade

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**Auditor Registration Scheme for QMS**

13. Technical Education :

Period	Institution Name & Address	Qualification	Subjects	Grade

14. Certified / recognized training courses attended:

S. No.	Title of the Course	Conducted/organized by (Name & Address)	Dates		Result
			From	To	

15. Membership of Professional Bodies:

S. No.	Professional Body (Name & Address)	Membership		Valid till
		Grade	No.	

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**Auditor Registration Scheme for QMS**

Experience (Please write from last to first) :

**A. General:**

Period	Organisation with address	Department	Designation	Reporting to/Duties/Responsibilities

**B. Related to Quality Management System**

Period	Organisation with address	Department	Designation	Reporting to/Duties/Responsibilities

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## Auditor Registration Scheme for QMS

17. **The application must be signed by a proposer who has known the applicant for more Than two Years (The proposers could be NBQP registered auditors or consultants / senior officers / Department Heads)**

**Proposer's Name** \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
Tel. No. : \_\_\_\_\_ Fax No. \_\_\_\_\_  
Certification No. : \_\_\_\_\_ E-mail. \_\_\_\_\_  
Signature \_\_\_\_\_ Date \_\_\_\_\_

18. Please indicate a maximum of three sectors which can be supported by your experience.

- 01 Agriculture and fishing
- 02 Mining and quarrying
- 03 Food products, beverages and tobacco
- 04 Textiles and textile products
- 05 Leather and leather products
- 06 Wood and wood products
- 07 Pulp, paper and paper products
- 08 Publishing companies
- 09 Printing companies
- 10 Manufacture of coke and refined petroleum products
- 11 Nuclear fuel
- 12 Chemicals, chemical products and fibres
- 13 Pharmaceuticals
- 14 Rubber and plastic products
- 15 Non-metallic mineral products
- 16 Concrete, cement, lime, plaster etc.
- 17 Basic metals and fabricated metal products
- 18 Machinery and equipment
- 19 Electrical and optical equipment
- 20 Shipbuilding
- 21 Aerospace
- 22 Other transport equipment
- 23 Manufacturing not elsewhere classified
- 24 Recycling
- 25 Electricity supply
- 26 Gas supply
- 27 Water supply
- 28 Construction
- 29 Wholesale and retail trade; repair of motor vehicles, motorcycles, personal and household goods
- 30 Hotels and restaurants
- 31 Transport, storage and communication
- 32 Financial intermediation; real estate and renting
- 33 Information technology
- 34 Engineering services
- 35 Other services
- 36 public administration
- 37 Education
- 38 Health and social work
- 39 Other social services
- 40 Other
- 41 Please tick the box if you are available for Private work

19. Do you want to become a member of QCI? **Yes/No**

### 20. Declaration by applicant

I have carefully read all NBQP guidelines for registration of auditors. I confirm that the information in support of the application is correct to the best of my knowledge.

I authorize NBQP to make any enquiry as deemed fit as part of the reviewing process. NBQP can also verify data filled in the audit log sheets. I understand that in case any information is found to be incorrect, it may result in rejection of my application and/or my disqualification. I authorize NBQP to utilize the information provided by me for legal, research, training, sharing with any other purpose as may be deemed fit by NBQP.

Once registered, I commit to notify NBQP immediately of any changes in my status where information regarding such changes, if declared may affect the consideration for my registration. I also confirm to follow the NBQP code of conduct for auditors.

I have read and understood the complete application requirements of NBQP.

Signature \_\_\_\_\_ Date \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

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## **Annexure B: Work Experience Format (Sample)**

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(Preferably on company letterhead)

Dated \_\_\_\_\_

**TO WHOMSOEVER IT MAY CONCERN**

This is to certify that  
(**Designation**) in the

(**Name of the applicant**) has worked as  
(**department**)

From the period

**Dates: From**

**To**

.

The applicant was reporting to \_\_\_\_\_. The responsibilities of  
**applicant** were as follows:

(**Name of the**

Authorized signatory:

Name

\_\_\_\_\_

Designation

\_\_\_\_\_

Tel/Fax/email

\_\_\_\_\_

Signatures

\_\_\_\_\_