

**Document Title**

**Consultant Registration Scheme  
for  
Information Security Management System (ISMS)  
ISO 27001:2013**

**Document Number:** QCI/NBQP/ISMS/CON/Ver1.0

A number of consultants are helping organizations in various sectors in the process of Information Security Management System (ISMS) realization. The selection of a capable ISMS Consultant by an organization is important in ensuring that their ISMS is capable of meeting the planned objectives of the organization in the most efficient and cost-effective manner.

The scheme for registration of ISMS Consultants will help to certify the credentials of competent consultants and also help the organizations in selecting a competent consultant through the register of consultants maintained by NBQP.

**Individual Consultants** – They may be individuals having requisite educational background and experience/ expertise in their respective areas. NBQP offers three grades of certification: Consultant, Senior Consultant and Principal Consultant.

### Assessment Procedure

#### For Individual Consultants

- \* Desk top review of documents pertaining to education, experience, ISMS documentation provided during consultancy etc.
- \* Interview with the NBQP panel of Consultant Examiners

Registration under this scheme is available without restriction to all applicants who satisfy the NBQP registration requirements.

All information provided by the applicants can be verified and shared with the stakeholders at any stage during or after the assessment process. NBQP reserves the right to utilize the information provided by the applicants for legal, research, for sharing with other IPC members or for any other purpose as may be deemed fit by NBQP. In case an applicant wants the information to be kept confidential, a communication must be sent to NBQP citing reasons for the same. NBQP has the right to take decision in this regard as it may deem fit.

NBQP reserves all rights to amend its registration criteria, procedures and fees etc. as it may deem fit. Applicants are requested to refer to QCI website for the updated criteria before applying for registration.

## Section 1: REQUIREMENTS FOR REGISTRATION

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### 1.1 Personal Attributes

Applicants for Registration should be able to demonstrate the personal attributes needed for the effective and efficient performance of the consulting services. Desirable personal attributes for consultants are described in ISO 10019 Clause 4.2.2.

A Consultant should demonstrate to be:

- a) Ethical - fair, truthful, sincere, honest and discreet;
- b) Observant - actively observing physical surroundings and activities;
- c) Perceptive - aware of and able to understand situations;
- d) Versatile - able to readily adapt to different situations;
- e) Tenacious - persistent and focused on achieving objectives;
- f) Decisive - able to reach timely conclusions based on logical reasoning and analysis;
- g) Self-reliant - able to act and function independently whilst interacting effectively with others;
- h) Communicative – able to listen to & effectively interact with all levels of organization.

### 1.2 Skills and Knowledge

Applicants should through education, training, work experience and consulting experience be able to demonstrate a satisfactory level of competence in all of the following areas:

#### 1.2.1 Management Systems specific knowledge and skills

##### 1.2.1.1 Relevant Standards

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

- i) ISO/IEC 27000 Information technology — Security techniques — Information security management systems — Overview and vocabulary
- ii) ISO/IEC 27002 Information technology – Security Techniques – Code of practice for information security controls
- iii) ISO/IEC 27003 Information technology – Security techniques – Information security management system implementation guidance
- iv) ISO/IEC 27004 Information technology – Security techniques – Information security management – Measurement
- v) ISO/IEC 27005 Information technology – Security techniques – Information security risk management
- vi) ISO 19011 Guidelines for auditing management systems
- vii) ISO 31000 Risk management – Principles and guidelines
- viii) ISO Guide 73 Risk Management – Vocabulary
- ix) ISO/IEC Guide 99, International vocabulary of metrology – Basic and general concepts and associated terms (VIM)
- x) ISO/IEC Directives, Part 1, Consolidated ISO Supplement – Procedures specific to ISO, 2012
- xi) 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)**

In addition, the applicants should preferably have knowledge of other standards that are relevant for understanding the subject of ISMS such as:

- i) Conformity assessment standard like ISO 17021-1
- ii) Process standards
- iii) Accreditation Standards

### 1.2.1.2 General quality management principles, methodologies and techniques

Applicants during interview should demonstrate the knowledge as well as the ability to apply ISMS principles, Methodologies and techniques as detailed below for different grade of consultant registration:

#### 1.2.1.2.1 Consultant Grade

- a) ISMS terminology
- b) Analysis of continual improvement in Information Security Techniques and Performance
- c) Preparation of road maps for elimination and/or control of risks and harnessing the identified opportunities.
- d) Enhancement of ISMS performance in utilizing ISMS opportunities.
- e) Cost and benefit analysis of Information Security related activities
- f) Compliance of legal and others requirements
- g) Appropriate statistical techniques
- h) Auditing methodologies and techniques

**1.2.1.2.2 Senior Consultant Grade:** In addition to 1.2.1.2.1, knowledge and experience in the following are required:

- a) Team work techniques
- b) Continual improvement tools and techniques
- c) Identification of critical processes and related control techniques
- d) Problem solving techniques
- e) Brainstorming techniques
- f) Process –measurement, monitoring & improvements
- g) Process variation, cause of variation and process capability
- h) Knowledge of business processes
- i) QC tools –new & old
- j) Developments in India & International scenario

**1.2.1.2.3 Principal Consultant Grade:** In addition to 1.2.1.2.1 and 1.2.1.2.2, knowledge and Experience in the following are required:

- a) Threat for competitor in rendering Information Security related Service(s).
- b) Guiding the organization in all information security related aspects
- c) Voice of customer
- d) Deeper Knowledge of business processes
- e) Skill & Knowledge transfer
- f) Concepts of stakeholder satisfaction

### 1.2.1.3 National and international certification/registration and accreditation systems

Applicants should have general knowledge of:

- the standardization, certification, and accreditation systems at national and international level, and the requirements for certification for such systems
- the processes and procedures for certification of products, systems and personnel.

### 1.2.2 Organization specific knowledge and skills

#### 1.2.2.1 Statutory, regulatory and other requirements

Applicants should demonstrate the ability to recognize the existence statutory and regulatory requirements (e.g. local, national or international) applicable to the Organization's activities. In particular, applicants should demonstrate how they recognized these to be applicable to the organization's activities where they provided consulting services.

Basic knowledge in this area should typically include the statutory and regulatory requirements for the organization's operations and activities as required by ISMS ISO 27001: 2013 and should also include the following aspects as appropriate:

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

#### 1.2.2.2 Organizational requirements

Applicants should demonstrate reasonable knowledge of Organization's activities, products, or services and how the same may have impacts on preservation of Information Security related aspects.

The applicant should preferably have background knowledge of processes or products of the sectors of industry which he intends to serve as consultant. 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 information security 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 information & security 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.

### 1.2.2.3 Management Practices

Applicants should demonstrate understanding of how the ISMS 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

### 1.3 Education

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

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

### 1.4 Work/Consultancy Experience

The applicant shall have relevant experience in managerial, professional and technical aspects of the consultancy services to be provided. This may involve the exercise of judgment, problem solving and communication with all interested parties, enabling the consultant to assist the organization in making effective decisions.

Sr. No.	Grade	Total Work Experience for Engineering Graduate	Total Work Experience for Non-Engineering Graduate	Total Work Experience for Diploma	Relevant Work Experience in ISMS	Minimum No. of ISMS Realization/ implementation
1	Consultant	5 years	7 years	10 years	Compulsory	4
2	Senior Consultant	10 years	12 years	15 years	Compulsory	8
3	Principal Consultant	15 years	17 years	20 years	Compulsory	12

### 1.5 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 attested.

## **1.6 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-6) and that all complaints regarding their performance will be formally logged and dealt with in a manner to prevent recurrence, by NBQP.

## **1.7 Re-Registration (maintaining Registration)**

All registered consultants 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 consultancy regarding the realization undertaken and the details of the professional development undertaken during this period.

For each year of the re-Registration period, NBQP registered consultants should submit documentary evidence either of having performed a minimum of complete 1 project realization or of having acquired equivalent consultancy experience.

## **1.8 Professional Development**

The NBQP registered consultant should, in each year of the Registration period, undertake at least 15 hours of appropriate continuing professional development (Section 7). Evidence of that professional development, verified by the 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, consultants should consider their personal strengths and weaknesses and identify areas for personal improvement.

## **1.9 Code of conduct**

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

Kindly refer to Section 6 for more details.

## Section 2: EVALUATION FEES

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**2.1** 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

**2.2** 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.

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

**2.4** 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 Consultant Registration Scheme requirements.
- c) Interview** - A verification of the applicant's consultancy competence related to the documents provided by him and the requirements mentioned in this document through a face-to-face/AV interview on case to case basis. The applicant will have to appear at own cost for the interview.

**2.5** 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 and an applicant who is rejected during the interview, will have an option to reapply only after 6 months.



## Section 3: REGISTRATION FEES

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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 is as follows:

**a) Application Fee**

All application should be accompanied with the application fee, without which the application will not be processed. This fee covers the administrative costs for processing the applications.

**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-year 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 shall 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) Interview Fee**

The applicant called for interview should have to appear for the interview at own expense. There will be no other fee charged for the interview.

**d) Regrade Fee**

This fee covers the administrative cost required for each regrade consideration. This fee is due with the re-grade submission and is non-refundable. Where a regrade 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.

**e) Reconsideration Fee**

This fee covers the administrative costs for reassessment of the application on submission of necessary documentation.

**f) Issue of Duplicate Card and / or Certificate**

Additional fee will be charged for issue of duplicate Card and/or Certificate

## FEE STRUCTURE (Individual Consultant)

### I) Application Fee

<b>First time</b>	<b>Rs. 3,000/-</b>
<b>Re-Registration</b>	<b>Rs. 1,500/-</b>
<b>Interview</b>	<b>No fee is charged for the interview, Candidates have to make their own arrangements for attending the interview.</b>

### II) Annual Registration Fee

Consultant	Rs. 10,000/- for 1 year
Senior Consultant	Rs. 12,500/- for 1 year
Principal Consultant	Rs. 15,000/- for 1 year

**Applicants can apply for 3 years Registration and avail 15% discount on the total fee**

Regrade Fee	Rs. 2,000/-
Reconsideration Fee	Rs. 1,500/-
Duplicate Card Fee	Rs. 250/-
Duplicate Certificate Fee	Rs. 250/-

**Note : 18% GST will be charged extra, as applicable w.e.f. 1st July 2017**

All fees are to be paid vide a demand draft or a cheque in favor of "Quality Council of India" payable at Delhi.

**All the fees are non-refundable.**

## **Section 4: REGISTRATION CARD, CERTIFICATE AND REGISTER**

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**4.1** All successful applicants will be issued the following:

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

**4.2** 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)

**4.3** 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.

**4.4** The Register of Consultants will be hosted on the QCI web site. Also, the details of newly registered consultants are published regularly in QCI newsletters "Quality India."

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

## **Section 5: COMPLAINTS, APPEALS & DISCIPLINARY PROCEEDINGS**

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

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

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

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

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

**5.5** NBQP retains the right to undertake disciplinary proceedings against registered Consultants 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.

**5.6** 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 6: CODE OF CONDUCT**

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

Consultants undertake:

- a) to act professionally, accurately and in an unbiased manner
- b) to strive to increase the competence and prestige of the consultancy profession
- c) to assist those in their employment or under their supervision in developing their management, professional and consultancy 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 certification or Registration 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 consultant Registration process and to co-operate fully with an inquiry in the event of any alleged breach of this code

## Section 7: 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

## Consultant Registration Scheme for Information Security Management System

13. Technical Education (Graduation & above):

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.	



## Consultant Registration Scheme for Information Security Management System

16. Experience (Please write in chronological order with present experience listed first) :

**A. General:**

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

**B. Related to ISMS :**

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

## Consultant Registration Scheme for Information Security Management System

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 \_\_\_\_\_ : : \_\_\_\_\_

17. Do you want your contact details to be published in the register of consultants? **Yes /No**

### 18. Declaration by applicant

I have carefully read all NBQP guidelines for registration of consultants. 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 consultancy 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 consultants.

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

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

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

(Preferably on company letter head)

Dated \_\_\_\_\_

**TO WHOMSOEVER IT MAY CONCERN**

This is to certify that \_\_\_\_\_ (**Name of the applicant**) has worked as  
\_\_\_\_\_ (**Designation**) in the \_\_\_\_\_ (**department**)

From the period                      **Dates**                      **From**                      **To**                      .

The **applicant** was reporting to \_\_\_\_\_. The responsibilities of  
\_\_\_\_\_ (**Name of the applicant**) were as follows:

\_\_\_\_\_

Authorized signatory:

Name \_\_\_\_\_

Designation \_\_\_\_\_

Tel/Fax/email \_\_\_\_\_

Signatures \_\_\_\_\_

# Consultant Registration Scheme for Information Security Management System

## Annexure C: Consultancy Log (for each project implemented)

Please make 4, 8 or 12 copies as per the grade applied for

Consultant Name	_____		
Role in the Project	<input type="checkbox"/> Observer	<input type="checkbox"/> Member	<input type="checkbox"/> Project Leader
Names of other Team Members	I _____	II _____	
	III _____	IV _____	
Consultancy dates	From _____	To _____	

(Kindly fill the following information very carefully)

The applicant has	<ul style="list-style-type: none"><li>* carried out autonomously the tasks assigned by the project/team leader.</li><li>* participated in all the periodical &amp; final meetings of the consultancy team to verify the progress and the consistency of the work in relation with the client agreed objectives</li><li>* carried out the training of company personnel involved in the project.</li><li>* has carried out the work ethically and satisfactorily met the objectives</li></ul>
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<b>(to be authenticated by the company where consultancy provided)</b>	
Company Name	_____
Company Address	_____
Tel/ Fax/Email	_____
Product/Service	_____
No. of Employees	_____
Is the Company Certified (ISO 27001:2013)? If yes, then date of Certification	_____
Name of Certification Agency	_____
Signing Authority	_____
Designation	_____
Signatures / Date	_____ Company Stamp

<b>(To be authenticated by the employer on whose behalf consultancy provided)</b>	
Name & Address of Consultancy Company	_____
Tel/Fax/Email	_____
Contact Person (with designation)	_____
Signatures	_____
Signatures (Applicant)	_____ Stamp

**Consultant Registration Scheme for Information Security Management System**

**Annexure D: Summary of Consultancy Projects**

S. No.	Dates		Organisation Name and Location	Role in project (Observer/Member/Leader)	ISMS Standard Manual enclosed (Y/N)	For NBQP use only	
	From	To				Accepted/ not Accepted	Remarks