

Document Title

**Registration Scheme  
for  
Information Security Management Systems (ISMS)  
ISO/IEC 27001:2013 Consultant**

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A number of consultants are helping organizations in various sectors in the process of Information Security Management Systems (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 registration: Consultant, Senior Consultant and Principal Consultant.

#### **Assessment Procedure**

- \* Desktop 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 NBQP website <https://acr.qci.org.in/> 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) 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/IEC 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 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 ITI/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			Relevant Work Experience in ISMS	Minimum No. of ISMS Realization/ Implementation
		Engineering Graduate	Non-Engineering graduate	ITI/Diploma		
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 submitted online on the NBQP Auditor Consultant Registration Portal.

**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.

**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**

An 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 through automated emails. The applicants will be required to submit the fee as per the fee structure within the specified time frame. The Certificate will be generated online after completion of registration.

**c) Re-Registration fee**

An applicant has to pay the Re-Registration Fees only if he does not renew his application within 3 months of the expiry of his registration.

**d) Regrade Fee**

This fee covers the administrative cost required for each regrade consideration. This fee is due with the re-grade submission. This fee needs to be paid while renewal of application in case the applicant wants to upgrade his category and has submitted relevant documents as per the eligibility criteria.

## FEE STRUCTURE

### I) Application Fee

<b>First time</b>	<b>Rs. 3,000/-</b>
<b>Re-Registration</b>	<b>Rs. 1,500/-</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**

### III) Regrade Fee **Rs. 2,000/-**

Note:

1. 18% GST will be charged extra, as applicable w.e.f. 1st July 2017
2. All fees are to be paid through the Portal only & are non-refundable.

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

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- 4.1** All successful applicants will be issued a Registration Certificate online.
- 4.2** The validity of the Certificate will be for the period for which the fee has been paid by the applicant (maximum three years)
- 4.3** The Register of Consultants will be uploaded on the NBQP website.

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

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- 5.1** Any complaint by the applicant should be made directly to Deputy Director (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** 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.
- 5.5** 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 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

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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: Consultancy Log (for each project implemented)

Consultant Name \_\_\_\_\_

Role in the Project

Observer

Team Member

Team Leader

Names of other Team Members I \_\_\_\_\_ II \_\_\_\_\_

III \_\_\_\_\_ IV \_\_\_\_\_

Consultancy Date From \_\_\_\_\_ To \_\_\_\_\_

The applicant

- \* carried out autonomously the tasks assigned by the project/team leader.
- \* participated in all the periodical & final meetings of the consultancy team to verify the progress and the consistency of the work in relation with the client agreed objectives
- \* carried out the training of company personnel involved in the project.
- \* carried out the work ethically and satisfactorily met the objectives.

***(to be authenticated by the company where ISMS consultancy provided)***

Company Name \_\_\_\_\_

Company Address \_\_\_\_\_

Product/Service \_\_\_\_\_

Standard Implemented \_\_\_\_\_

No. of Employees \_\_\_\_\_

Is the Company Certified for ISO 27001:2013? \_\_\_\_\_

If yes, then date of Certification \_\_\_\_\_

Name of Certification Agency \_\_\_\_\_

Signing Authority \_\_\_\_\_

Designation \_\_\_\_\_

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



***(To be authenticated by the employer on whose behalf consultancy provided)***

Name & Address of Consultancy Company \_\_\_\_\_

Tel/Fax/Email \_\_\_\_\_

Contact Person (with designation) \_\_\_\_\_

Signature \_\_\_\_\_

Signature (Applicant) \_\_\_\_\_ Stamp \_\_\_\_\_