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Nigel Bauer & Associates

***Market Access and Trade Facilitation Support
for Mekong Delta Countries***
*(subcontract for ISO 9001/ISO 14001/HACCP support training
for Local Enterprises)*

***UNIDO Project No. TF/RAS/06/001
Contract No: 16001201***

FINAL REPORT

**Prepared by Nigel Bauer
Project Manager
Nigel Bauer & Associates
30th September 2007**

**Nigel Bauer & Associates
Granary House, Saltham Lane
Runcton, Chichester
West Sussex. PO20 1PU
United Kingdom**

**Tel +44 (0) 1243 778121
Fax +44 (0) 1243 789121
email: nigel@nigelbauer.co.uk
www.nigelbauer.co.uk**

Synopsis.

Final report relating to the provision of ISO 9001 (QMS), ISO 14001 (EMS) and HACCP-GMP support training to local enterprises in the Mekong delta region delivered through the national standards organisation of Cambodia over the period June to September 2007, and forming part of the UNIDO Project No. TF/RAS/06/001 - Market Access and Trade Facilitation Support for Mekong Delta Countries (subcontract for ISO 9001/ISO 14001/HACCP support training for Local Enterprises).

Training delivered by Nigel Bauer & Associates under UNIDO contract ref: 16001201.

The training support involved a combination of training comprising:

For HACCP-GMP, an initial training course on HACCP together with an HACCP Auditor training course for participants from Cambodia, followed by an HACCP "Train the Trainer" course for potential Cambodian HACCP trainers.

For ISO 14001, a "Train the Trainer" programme for local trainers in relation to EMS Internal Auditing.

For ISO 9001, a "Train the Trainer" programme for local trainers in relation to QMS Internal Auditing.

Additionally Management Seminars were provided for each of the three above subjects.

The training activities resulted in a total of 9 delegates receiving training in HACCP-GMP, 8 each for ISO 9001 and ISO 14001 respectively. with **5 delegates passing** each of the "Train the Trainer" programmes for HACCP, ISO 14001 Internal Auditing and ISO 9001 Internal Auditing respectively.

In addition Amendment No. 1 to the contract requiring provision of an IRCA certificated ISO 9001 Lead Auditor course to 10 delegates.

Recommendations relating to future training strategy and trainer competency development are included, together with broader recommendations relating to future similar training initiatives.

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Attachments:

- A) Report on HACCP-GMP training activities*
- B) Report on ISO 14001 Internal Auditor "Train the Trainer" programme.*
- C) Report on ISO 9001 Internal Auditor "Train the Trainer" programme.*
- D) Training programmes and associated work plan*
- E) Report on ISO 9001 Lead Auditor training course*

1.0 Introduction.

The overall objectives of the training activities undertaken were:

1. To ensure that selected companies in the targeted industries in Cambodia will have the capacity to meet the requirements of the ISO 9001 and ISO 14001 standards and the practices. This will be ensured through training of suitable local trainers, who will then be called upon to undertake local training activities, as well as sensitizing a number of senior management representatives from Cambodian private industry on the standards.
2. To ensure that selected companies in the targeted industries in Cambodia will have the capacity to meet the requirements of HACCP, GMP and the practice of the standard. This will be ensured through awareness and auditor training of about 20 suitable trainers as well as sensitizing a number of senior management representatives from Cambodian private industry on HACCP principles.

These objectives were met by the provision of three separately identified training activities involving:

- A. HACCP-GMP support training,
- B. ISO 14001 support training,
- C. ISO 9001 support training.
- D. ISO 9001 Lead Auditor training

This report provides an overview of the general arrangements experienced by the trainers during the presentation of the the training course and associated Management Seminars in Cambodia during the period June to August 2007, and the ISO 9001 Lead Auditor training in September 2007, together with an overview of delegate performance, and recommendations for further competency development. (Full details of individual delegate performance are included in the separate attachments relating to each discipline involved.)

Additionally broad recommendations for future similar training initiatives are also included for consideration by UNIDO.

The full details of the training activities undertaken are as follows:

A) HACCP-GMP support training

Training support was provided to selected groups of Cambodian Standards Organisation individuals who it is intended will become involved with local enterprises in the development and implementation of Food Safety/HACCP and GMP systems as a precursor to possible formal adoption of HACCP and Food Safety Management systems and possible future certification to ISO22000, or who may be called upon to provide HACCP and GMP auditing support to local enterprises. Selected candidates from the initially trained group were additionally trained to provide direct HACCP and GMP training support to local enterprises. The individuals invited to these training courses were selected by the Cambodian Standards organisation.

In addition, a management symposium was held in conjunction with the training to accommodate the information needs on HACCP and GMP of local Cambodian enterprises.

The HACCP-GMP training support therefore involved the following activities:

1. Representatives of the Cambodia Standards organisation and local industry trained in food safety, GMP and HACCP.
2. The same representatives as above trained in HACCP-GMP auditing.
3. A core group of five consultants trained to deliver basic training in HACCP and GMP to local enterprise staff.
4. Senior management representatives of a select target group of local Cambodian enterprises sensitized and primed for the introduction of HACCP and GMP in their organizations.

B & C) ISO 14001 & ISO 9001 support training

Training support was provided to develop the training competence of a selected number of Cambodian Standards organisation professionals in relation to ISO 9001 & ISO 14001 management systems internal auditor training. These professionals will provide internal auditor training to Cambodian enterprise staff where those local enterprises are engaged in the development and implementation of management systems as a precursor to possible formal certification. The internal auditor training course to be delivered by the selected trainers was specifically developed to suit the local market and provided in the form of necessary delegate materials and trainer materials in the form of visual aids and trainer guidance notes (these training courses were derived from Nigel Bauer & Associates certificated auditor training courses).

In addition, management symposia were held in conjunction with the training to accommodate the information needs on management systems of the various companies and industries

The ISO 14001 & ISO 9001 training support therefore involved the following activities:

1. Provision of "Train the Trainer" programs to enable teams of local trainers to deliver internal auditor training in management systems to local enterprise staff. (Separate programmes for ISO 14001 and ISO 9001).
2. Provision of Internal Auditor training course materials, together with trainer guidance material, to enable delivery of internal auditor training courses.
3. Senior managers from a select target group of local enterprises sensitized and primed for the introduction of management systems in their organizations. Management systems to include ISO 9001 and ISO 14001.

D) ISO 9001 Lead Auditor training

This training was provided to increase the competence of a selected number of Cambodian Standards organisation professionals in relation to ISO 9001 management systems. This auditor training course is a Nigel Bauer & Associates IRCA (International register of Certificated Auditors) certificated training course, and delivered by an IRCA approved trainer.

2.0 Summary

Following a request from the Cambodian Standards organisation the range of training programmes were delayed from the original start date of April 2007 and delivered over an extended period June to August 2007 in order to accommodate national holidays and trainer availability. This enabled all training programmes to be delivered at suitable intervals thus facilitating the important task of local translation of materials before each training course was delivered.

All training was delivered fully in the English language, and training materials supplied in advance to allow for translation into the local language. Even though suitable time for translation was allowed, the trainer for Food Safety did experience an initial problem with the absence of necessary translated delegate course materials at the commencement of training and additionally the absence of a suitable translator for the initial training course. However, fully translated course materials were eventually produced and at the insistence of Nigel Bauer & Associates a suitable translator was provided for the continuing HACCP "Train the Trainer" programme. *(No translation services were provided for the QMS and EMS training courses, and this is an aspect of concern where future programmes are to be considered by UNIDO).*

Initially there was also some confusion by the Cambodian Standards organisation concerning the HACCP training course that they were to be trained to present, however the trainer confirmed to them that it was the HACCP principles course and not the HACCP Auditor course.

The training programmes were provided by Nigel Bauer & Associates and delivered by the following Nigel Bauer & Associates approved trainers (David Simmons - Quality Management Systems, supported by Ruth Bell - HACCP/Food Safety and Barry Young - Environmental Management Systems) all of whom have been actively involved in presenting training courses for many years to a broad range of delegates from various industries and cultures.

The "Train the Trainer" programmes for the ISO 14001 and ISO 9001 Internal Auditor training courses required delegates to undertake a pre-course assignment designed to assist them with the understanding of the "Train the Trainer" process and the format and associated materials used for the Internal Auditor training course. Unfortunately this was not undertaken by the majority of delegates and again is an aspect of concern for future programmes.

Facilities and support services provided by the Cambodian National Standards organisation, were of a good standard and fully acceptable in facilitating the meeting of training objectives. The training rooms provided and refreshment arrangements were all fully suitable to support the training courses, and office support was immediately forthcoming to assist the trainers whenever additional materials or photocopying were required. The enthusiasm and general standard of the delegates attending all courses was high.

The result of the three "Train the Trainer" training programmes has resulted in five acceptable future potential trainers for Internal Auditor training courses for both EMS and QMS, and a total of five for HACCP principles.

The result of the ISO 9001 Lead Auditor course resulted in 8 of the 10 delegates successfully completing the final examination.

3.0 Recommendations.

a) Competency of delegates attending 'Train the Trainer' training.

It is noted that many of the participants to the 'Train the Trainer' programmes did not have the necessary knowledge and experience to provide a good basis for future trainers. This is a serious concern as it is likely to impact significantly on the ability of those trained to deliver fully effective training. It is very necessary for trainers to have the requisite knowledge and experience to be able to provide credible training in relation to management systems (HACCP/ISO 14001 / ISO 9001). For the HACCP 'Train the Trainer' programme delegate pre-selection was undertaken during the previous delivery of HACCP training - this proved to be an effective approach and resulted in 5 of the original 9 delegates attending the 'Train the Trainer' programme and being considered to be suitable as future trainers of the 'HACCP Principles' training course.

It is strongly recommended that for future similar exercises the process of identification and selection of participants should be more closely monitored and individuals screened before acceptance onto such programmes (see also recommendation (b) below)

b) Pre-course assignments (for both QMS and EMS Internal Auditor course 'Train the Trainer' programmes.

Apparently there was a lack of clear instruction requiring delegates to study the pre-course information supplied in advance of attendance with the result that the majority had not undertaken the necessary preparation before entering the 'Train the Trainer' process. This resulted in considerable loss of time on the first day of the programmes with participants who were either not fully aware of the process that they would be passing through and unfamiliar with the basic documentation to be used.

This is a problem that has also been experienced on previous programmes and is an area requiring UNIDO attention for any future programmes - it may be necessary to require potential attendees to complete some form of e-learning package which will then confirm that they are adequately prepared to attend a 'Train the Trainer' programme. This e-learning could also be used to establish the general levels of competence and experience.

c) Consideration of language difficulties, coupled with translation of course materials and translation support services during training course delivery.

Although local translation of training materials was undertaken, the support of a local translator throughout the delivery of each of the 'Train the Trainer' programmes was not provided. It was noted that whilst many of the delegates had a reasonable command of written English they were not used to conversational English or listening to long periods of English speech. This appeared to be particularly problematical for the HACCP related training when it was noted by the trainer that some delegates were in attendance for only limited periods of the various courses provided.

It is considered that the client may have failed to provide the necessary translation services as a cost cutting measure. This is not acceptable as it significantly disadvantages the delegates themselves to such 'Train the Trainer' programmes and places an unnecessary burden on the trainers who already face an extremely difficult task of trying to train trainers.

d) Competency development.

In order to assist in overcoming the obvious lack of knowledge and experience that many of the participants have in relation to the subject matter of the courses that they were learning to present it is recommended that the Cambodian Standards organisation should embark on a competency development programme, designed specifically for each individual, that will enable them to develop the requisite knowledge and experience, also to assist in the development of their training skills development.

Broadly this will require each of the participants to work alongside practising consultant and auditor colleagues in relation to the development and implementation of the appropriate management system, and in the case of Internal Auditing, to participate in a reasonable number of audits again working with more experienced colleagues. Specific recommendations for individuals are provided in the attached reports for each of the management systems the subject of this sub-contract.

The competency development programme should be linked to training skills development, by allowing the trainers to work in teams of two or three to deliver training programmes. It will be necessary to identify complementary abilities with individuals to ensure that such "training teams" collectively have sufficient knowledge, experience and training skills to be able to deliver effective training courses. It is also strongly recommended that the trainers should be required to prepare for and deliver training courses as soon as practicable to ensure sufficient retention of what has been learnt on the 'Train the Trainer' programmes.

e) Future Training strategy.

It is recommended that the Cambodian Standards Organisation develop a training strategy in relation to HACCP Principles and ISO 9001 / 14001 Internal Auditor training that is designed not only to provide local enterprises with sufficient and adequate training support but also aimed at the development of the competency of the training resource trained on this programme. It is noted that the majority of the participants in relation to ISO 9001 / ISO 14001 did not have the requisite background knowledge or experience to provide an acceptable baseline for training. This coupled with the need for many of them to develop their training skills will inevitably result in a time delay before fully effective training may be provided in Cambodia. For HACCP Principles it is considered that the delegates who attended the 'Train the Trainer' programme did have a good working knowledge of food safety issues and the necessary level of experience.

It is recommended that the Cambodian Standards organisation identify a customised competency development programme for each of the trainers, which is aimed at providing them with the necessary knowledge and experience in relation to the subject matter of the training courses that they are required to present. Thus, for each trainer it will be necessary to spend time working with colleagues in industry environments and in relation to the development and implementation of the requisite management system. There is also a need for those without sufficient audit experience to be given the opportunity of undertaking audits in a wide range of organisations for which they have not been involved directly in the development and implementation of the management system.

Nigel Bauer & Associates is prepared to assist in the development of a suitable training strategy and to support this with resources provided either from the U.K. or from regional training resources available through regional partner organisations.

4.0 General arrangements & facilities.

The Cambodian Standards organisation provided acceptable training facilities. Training equipment as requested was provided and was perfectly adequate to support the training programmes. However, the absence of adequate flip chart easels did cause initial training difficulties which were overcome by trainers 'posting' flip chart sheets onto the walls of the training facility. (Not a significant problem, but it makes life easier for trainers if they can work initially with flip chart sheets on an easel and then transfer them to the wall.)

Also, for the EMS / QMS internal Auditor training courses presented by the potential trainers themselves the change of training rooms on the first day of the respective courses did result in course timing difficulties which could have been avoided by better forward planning.

Support provided to the trainers was generally good, with the necessary administrative staff available to the trainers at all times and equipped with suitable computer and photocopying facilities. Trainers were fully supported at all times. However, the absence of suitable translators throughout all three "Train the Trainer" programmes is a very significant issue. It would appear that the desire to save money is resulting in suitable translation resources not being made available with the consequential language difficulties arising. It is very necessary if the full benefit of these training initiatives is to be gained that the client must ensure that all delegates attending have the benefit of adequate translation services working with the trainers at ALL times.

Course documentation had been well prepared in accordance with Nigel Bauer & Associates requirements and presented to delegates. However for the initial HACCP training course the translated materials were only received on day 2 of the course.

5.0 Summary of delegate performance.

In general the delegates performed very well, with a good deal of enthusiasm and undertaking preparatory work in their own time to assist them to achieve acceptable results and to gain the maximum benefit from the training. In spite of their obvious lack of knowledge and experience in the subject matter of the courses that they were learning to present they nevertheless attempted to present modules of the training courses in a very professional manner and taking due notice of training technique advice provided by the Nigel Bauer & Associates trainers.

It was evident that the participants were taking the 'Train the Trainer' process very seriously and the majority were very interested in developing their competence in the delivery of HACCP and ISO 14001 / 9001 Internal Auditor training programmes. In summary, the training process resulted in the following resource development:

HACCP - Five of the initial nine delegates attending the HACCP training continued to the 'Train the Trainer' programme and are considered to be suitable as trainers for delivery of HACCP training courses.

ISO 14001 - Five of the eight participants are considered to be suitable as trainers for delivery of ISO 14001 Internal Auditor training.

ISO 9001 - Five of the eight participants are considered to be suitable for delivery of ISO 9001 Internal Auditor training.

(See attachments for each of the management systems for full details).

However, in relation to all of those considered to be acceptable as future trainers, this is with the proviso that they develop their knowledge and experience in relation to the subject matter of the training courses (see "Recommendations" item d).

The result of the ISO 9001 Lead Auditor course resulted in 8 of the 10 delegates successfully completing the final examination.

6.0 Management Seminars.

These were all presented at suitable facilities, which were adequate equipped. Translation services were not provided. Each management seminar was attended by some fifty to sixty representatives from local private enterprises and state organisations.

Although the time available for these seminars was limited there was nevertheless sufficient time to present all of the intended formal presentations and there were some serious questions raised by delegates.

The media were in attendance for each of the seminars and it was obviously a high profile programme supported nationally.

Language difficulties did tend to inhibit free discussion over questions raised, however it was felt that those who asked questions were satisfied with the practical advice provided in response.

7.0 Conclusions.

All 'Train the Trainer' programmes were enthusiastically received by the participants, and they all applied themselves well to the learning tasks, working very hard to make up for their lack of knowledge and/or experience in relation to the subject matter of the courses that they were learning to present. The lack of basic knowledge and experience of the potential trainers together with the inadequate work undertaken as the pre-course assignments for both the QMS and EMS Internal Auditor 'Train the Trainer' training programme gave rise to problems during the conduct of the 'Train the Trainer' programmes, and also the occasional language difficulties resulting from the lack of adequate translation services. Translation services were only made available to the Nigel Bauer & Associates HACCP trainer for the "Train the Trainer" programme following a formal request after delivery of the initial HACCP-GMP training. Translation services were not provided for either the QMS or EMS training, and in some cases language difficulties slowed down and negatively impacted the 'Train the Trainer' training process.

Early in the 'Train the Trainer' programmes, it was evident that not all participants had the necessary background knowledge and experience in relation to the subject matter of the courses they were learning to present, and this is considered to be a significant problem and also a serious concern for their future ability to present the training courses to an acceptable standard. The Nigel Bauer & Associates trainers attempted to assist them to develop the necessary training skills as well as teaching them how to present the course materials themselves. The trainee trainers responded well to this process, and some of them showed very good potential for developing into competent trainers, working well with the materials and beginning the process of developing their own training style utilising some of the practices imparted by the Nigel Bauer & Associates trainers. However the majority would benefit from a more comprehensive knowledge of the subject matter of the courses and much more practical experience developing and implementing the relevant management systems in a variety of organisations. (In the case of those attending the ISO 9001/14001 Internal Auditor training a good deal of practical auditing experience will be necessary before the trainers can speak from a position of strength and drawing from their own real life examples.)

Facilities and support services provided by the Cambodian Standards organisation, were of a good standard and generally acceptable in facilitating the meeting of training objectives. Translation of course materials in advance of training course delivery considerably benefited the delegates (although for the HACCP training the translated materials were not available at the start of the initial training course).

In relation to the participants to each of the 'Train the Trainer' programmes, for HACCP-GMP five were finally considered to be of an acceptable standard to deliver future training courses on HACCP Principles. For ISO 14001 and ISO 9001 the outcome resulted in five participants for each standard who were considered to be of an acceptable standard to deliver future Internal Auditor training courses. For all participants there will need to be development of the necessary knowledge and experience to support what they have learnt by attending this support training programme.

Again, problems have been experienced in relation to the general level of knowledge and experience of the proposed trainers with the necessary standards. Future training initiatives of this nature should place greater emphasis on the selection of participants to ensure that they have the necessary basic knowledge and experience to facilitate their ability to present training on complex subject matter.

Attachment A

“Train the Trainer” for delivery of ISO 9001 Internal Auditor Training Courses.

***Part of: UNIDO Project No.TF/RAS/06/001
(Contract No: 16001201)***

**Prepared by David Simmons
QMS Trainer
Nigel Bauer & Associates
15th June 2007**

Synopsis.

Final report relating to the provision of an ISO 9001 QMS Internal Auditor “Train the Trainer” course and associated ISO 9001 “Management Seminar” delivered to a selection of delegates from the local industries, the Department of Industrial Standards Cambodia (ISC) and relevant Government Agencies in Phnom Penh, Cambodia over the period August 6th to 16th 2007, provision of ISO 14001 support training for Local Business Organisations.

The “Train the Trainer” course resulted in a total of eight delegates trained in the delivery of a three-day “QMS Internal Auditor” course designed to provide internal auditing skill against ISO 9001. Of these delegates five were assessed as being capable of leading courses in their own right, whilst two other Cambodian delegates were only in attendance to further their knowledge and one delegate is considered to be unsuitable to present training courses at this stage.

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1.0 Introduction.

This report is prepared in accordance with the contract between UNIDO and Nigel Bauer & Associates, the training provider, represented in Cambodia by QMS associate Tutor Mr. David H. Simmons, and with the exception of minor amendments has been copied in full to Mr. Hou Leng, Deputy Director General, Ministry of Industry Mines and Energy, and Mr. Nigel Bauer, Principal, Nigel Bauer & Associates. The assessment of trainees has been discussed, as agreed, with ISC.

2.0 Summary.

The 'Train the Trainer' course took place over four days, June 5-8. the methodology used was as detailed in the "Train the Trainer" programme developed by Nigel Bauer & Associates.

The delegates attending the Train the Trainers Course were:

- Mr. Seng Chhang, Chief of Systems Certification Office, ISC.
- Mr. Chheng Uddara, Chief of Product Certification Office, ISC
- Mr. Yem Narith, Chief of Library and Information Services Office
- Mr. Ly Chachen, Deputy Director, ISC
- Mr. Sok Leng, Chief of Standards Formulation Office, ISC
- Miss. Sou Chanthou, Staff of Systems Certification Office, ISC
- Mr. Pot Rithy, Deputy Chief of Systems Certification Office, ISC
- Miss Mok Sirotha, Staff of Standards Formulation Office.

3.0 Recommendations.

My overall assessment for each of the Trainee Tutors is to be found in Appendix B. I have informed and discussed with each trainee my assessment.

Cambodia is a developing nation and as such somewhat new to the various ISO Standards and therefore nuances contained therein and also new to QMS auditing. Nevertheless, it is apparent that there is great keenness and commitment to learn. The representatives need more exposure to, and experience with ISO and QMS auditing principles and now the foundation has been laid it is my belief that there will be good progression over a period of time, but it is probable that more external guidance will be necessary from time to time.

4.0 General arrangements and facilities.

No serious problems were encountered. It was noticeable that some delegates were reticent in asking questions or actively engaging in the exercises, this I attribute to a cultural issue.

The language of terminology was, in some cases a problem such that discussion had to take place on some words in order that an appropriate interpretation could be found, for example, the difference between 'remedial' action and 'corrective' action.

The training facilities were adequate except for the absence of a flip chart. This was overcome by sticking the delegates' presentations on the wall. I have asked for a better arrangement for next week in order to project a more professional approach to training as delegates from outside organisations will be in attendance. Three white boards/flipchart boards arrived during the morning of the Internal Auditor training course. The projector provided was also fit for purpose as was the screen.

On the final day of the Observed Internal Auditors course we were required to move from the ground floor conference room to the fourth floor conference room which is not a satisfactory room for training just eleven participants (delegates) because of its size and layout; it has a capacity of over 100 persons and the layout is theatre style. Furthermore, the change was not pre-announced and resulted in a delayed start on the third day. If ISO 9001:2000 training is to be seen as a serious need, such changes in arrangements must be avoided in the future.

5.0 Summary of delegate performance

Note: The status "Suitable" means that the trainee is suitable for continuing development in accordance with the plan set out by Nigel Bauer & Associates.

Mr. Seng Chhang. Suitable

Mr. Chheng Uddara. Suitable

Mr. Yem Narith. Suitable

Mr. Ly Chachen. Suitable

Mr. Sok Leng. Not yet fully suitable. Needs more development of his presentation skills and knowledge of auditing principles.

Miss. Sou Chanthou. I was advised that Miss Sou Chanthou was a participant on the course to increase her knowledge and not as a prospective candidate for a trainer. I will therefore not offer any comment on her course participation nor on her ability as a presenter.

Mr. Pot Rithy. Suitable

Miss Mok Sirotha. The same comments apply to Miss Mok Sirotha as those to Miss. Sou Chanthou.

6.0 Individual delegate performance.

Miss Mok Sirotha.

Because Miss. Mok Sirotha did not attend as a potential trainer, I offer no comments on her ability as a trainer.

Topics presented:

- Delegate introductions and overview of the course.
- Introduction to Management Systems and ISO 9001:2000
- Development & Implementation of a Quality Management system

Miss. Sou Chanthou.

Miss Chanthou attendance on the course was to introduce her to ISO 9001:2000 and the principles of Internal Auditing and not as a potential trainer. I therefore offer no comments on her ability as a potential trainer of Internal Auditing.

Topics presented:

- Exercise 1 – Documentation
- Key QMS Documentation
- The need for Internal Auditing

Mr. Ly Chachen.

Mr. Chachen showed great confidence and made use of an example to demonstrate Clause 7.5.1 of ISO 9001:2000, Monitoring and Measurement of Processes. He handled the feedback on Exercise 2 very well making good use of the flip-chart. But for not being totally sure about the topic regarding the relationship of Audit Management, Client, Auditors and Auditees, plus the need to emphasise that the questions on the High Level Checklist are to be answered by the Auditors and Not the auditees, I believe Mr. Chachen could help with the further development of the trainees. He does, however, need to keep to the programme sequence.

Topics presented:

- Developing and managing an Internal Audit programme
- Exercise 2 – Developing an Audit Programme
- Planning an Audit (overview of planning process)

Mr. Yem Narith.

Mr. Narith's method of presentation was good, demonstrating good preparation. His reading from the screen was minimal and was able to deliver the message in his own words. His coverage of the "Auditors Plan of Action" was well executed. He was well able to answer delegate questions. His introduction to Exercise 4 was clear, referring back to the High Level checklist to make the connection between the two.

Topics presented:

- Review of Day 1
- Audit techniques – part 2 (*questioning and interview techniques*)
- The Auditor's Plan of Action
- Audit Protocol
- Exercise 4 – auditor's Plan of Action & Low Level Checklists
- Feedback and discussion

Mr. Sok Leng.

His method of introducing Exercise 3 (High Level Checklist) was excellent. Recognising the importance of this process (without any prompt) he used specially prepared additional slides to reinforce the process of developing a High Level Checklist. During his presentation he had a tendency to read from the screen but was able to handle questions from delegates.

Topics presented:

- Exercise 3 – Developing a High Level Checklist
- Auditing Techniques – part 1 (*searching for evidence*)

Mr. Pot Rithy.

Mr. Pot Rithy presented in accordance with the tutor guide to which he made reference at all times. He needs more practice in quickly analysing delegate's feedback in order to point out the opportunities for learning. In the feedback of the nonconformity statement regarding the Supermarket, there was such an opportunity and this was missed but subsequently covered by myself. However, his introduction to the 'Audit Scenarios' exercise was very good as was his managing the exercise feedback.

Topics presented:

- Exercise 5 – Writing Nonconformity statements
- Audit entry & Exit Meetings
- Audit Scenarios. (1 & 2)

Mr. Seng Chhang.

Mr. Seng Chhang showed a high level of confidence and in his presentation gave great emphasis on the 'What' 'Where' and 'Why' approach to nonconformity writing. He clearly understood the need for writing nonconformity statements clearly, correctly and concisely. His use of additional slides helped to reinforce the message and removed language misunderstandings. He was aware of the time being taken to make this presentation. He handled questions very confidently, clearly and competently. His introduction to the Final audit scenario was very comprehensive and his taking of the feedback was excellent, using simple role play to get an important point across to the delegates.

Topics presented:

- Recording & Reporting Audit findings
- Final audit scenario (number 3)

Mr. Chheng Uddara.

Mr. Chheng Uddara gave quite a good presentation on the topic of Corrective Action and handled questions well, demonstrating his grasp of the topic. His handling of Exercise 7 – Planning a follow-up audit was well undertaken.

Topics presented:

- Corrective Action
- Exercise 6 – Corrective Action
- Audit Follow-up and Close-out
- Management Review and Improving the QMS
- Exercise 7 – Planning a follow-up audit.

7.0. The Management Symposium.

The Management Symposium was presented on June 11th to which about fifty representatives attended. There were numerous questions and clearly a high level of interest in ISO 9001 and Certification issues. It is believed that this symposium was well received.

8.0 Conclusions

I believe the Train the Trainer programme was a success. This view is supported by the trainees performance on the second week when they ran the Internal Auditor course to a satisfactory standard. If they continue with the programme as detailed in the QMS Internal Auditor "Train the Trainer" programme, the majority of the trainees will develop into competent trainers. If they do not continue with this programme then their personal development will cease.

Excepting Miss. Sou Chanthou and Miss. Mok Sirotha the remaining six trainees will necessarily need further development to fine-tune their presentations and familiarity with the course material but this process should, given the opportunity, not take very long.

9.0 Observed delegate performance.

General observations on the presentations given by Trainee Tutors to the 3-day Internal auditing Course, June 12 – 14, 2007.

Each tutor had selected which section of the course they wished to present.

At one point during the morning of Day 1 some time was wasted whilst the relevant presentation files were found on the laptop. Better file management is needed to prevent recurrence.

The Tutor guide was not used enough by the trainees and some important information was not communicated. It was at these times I had to interject in order to ensure the full message was given. ISC had prepared some additional slides in the presentation. These additional slides provided additional information using 'home terminology' thereby avoiding a lot of confusion.

Good teamwork was shown by the trainees on occasion when a presenter was not able to fully answer a delegate's question. This of course highlighted a weakness or lack of confidence on the part of the presenter. It is very important for the trainers to remember that the course is an **Internal Auditor Course** and must not be side-tracked by delegates asking irrelevant/hypothetical questions. The time-table for the course contains very little slack so time-management is imperative.

The most common problem was time-keeping, particularly trainers not keeping an eye on the time during delegate exercises.

Towards the end of the second week I was informed that Miss Mok Sirotha and Miss Sou Chanthou were attending for the purpose of exposure to ISO 9001:2000 and Auditing rather than as potential trainers

Attachment B

“Train the Trainer” for delivery of ISO 14001 Internal Auditor Training Courses.

Part of: UNIDO Project No. TF/RAS/06/001

(Contract No: 16001201)

**Prepared by Barry Young
EMS Trainer**

**Nigel Bauer & Associates
16th August 2007**

Synopsis.

Final report relating to the provision of an ISO 14001:2004 EMS Internal Auditor "Train the Trainer" course and associated ISO 14001:2004 "Management Seminar" delivered to a selection of delegates from the local industries, the Department of Industrial Standards Cambodia (ISC) and relevant Government Agencies in Phnom Penh, Cambodia over the period August 6th to 16th 2007, provision of ISO 14001 support training for Local Business Organisations.

The "Train the Trainer" course resulted in a total of eight delegates (comprising seven Cambodian delegates and a representative from UNIDO) trained in the delivery of a three-day "EMS Internal Auditor" course designed to provide internal auditing skill against ISO 14001:2004. Of these delegates five were assessed as being capable of leading courses in their own right, whilst two other Cambodian delegates were not able to attend the second part of the course and have not therefore been assessed. The UNIDO representative had to travel to Vienna for meetings during the second phase of the training.

Recommendations relating to the further development of the delegates and Standards Organisation competency development are included, together with broader recommendations relating to future similar training initiatives.

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- 7.0 Management Symposium - ISO 14001:2004**
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- 9.0 Observed Delegate performance**
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1.0 Introduction.

There were two objectives for this section of the contract.

- A “Train the Trainer” course providing guidance and experience in the delivery of a 3-day EMS Internal Auditor Training Course covering the requirements of the International EMS Standard ISO 14001:2004.
- A Management Seminar for a group of representative from local business organisations (Cambodian) covering the International Standard for Environmental Management Systems, ISO14001:2004.

The first objective was to provide a “Train the Trainer” course to a select group of individuals from Cambodia who will become trainers of an Internal EMS Audit Course. The key objective therefore is to create the environment for capacity building through the delivery of the Internal Auditing course by local trainers to industry and other bodies. This would in turn extend the ability of Cambodian organizations to undertake self-auditing and facilitate the improvement of their environmental performance in line with the requirements of ISO14001:2004.

The individuals invited to the training were predominantly had recognized expertise in either providing a range of training for ISC and/or had a proven record of auditing if management systems. The initial intake comprised nine delegates and one observer, all of whom have a range of auditing and teaching skills – these are summarized within Section 6 of this report.

The second objective was the delivery of a seminar covering the requirements of ISO14001:2004. This was delivered on 10th August 2007 to an invited audience of 64 individuals from Cambodian Ministerial and business interests.

This report provides an overview of the general arrangements experienced by the trainers during the course and associated Management Seminar in Phnom Penh, Cambodia between the period 6th to 16th August 2007, together with an overview of delegate performance and recommendations for further competency development are included for consideration by UNIDO.

As an additional service for ISC, the 3-day internal auditor course was manipulated to address the very unique environmental circumstances of environmental management in Cambodia today. In particular, a new case study was developed to reflect current industrial practices and best practice techniques in the developed world.

2.0 Summary.

Following a request from UNIDO a programme was developed to deliver a "Train the Trainer" course for internal EMS Auditor training that is also compliant with the requirements of ISO 14001:2004. This course was to be delivered in the English language, although some flexibility was required as the long-term delivery of the course would be in Khmer.

Pre-course work had not been completed prior to the course, but the items were extensively covered during the first delivery of the course material.

A total of nine delegates started the course (including one delegate from UNIDO), although one of the delegates left the course after the first morning session as his command of the English Language did not allow his full involvement in the course.

Of the remaining eight delegates, all completed the course of instruction and completed the course assessment on the fourth day of the initial course. Of these six were available to run the second re-enforcement training course in the second week and following this, all are considered to be capable of delivering the training to delegates of their own. However, it would be beneficial if the course as run in Vietnam could have been replicated here as the complexities involved with detailed environmental management are very new to Cambodia and the delegates would have benefited with more time in the class room before being exposed to the delivery of a public course before becoming fully familiar with the requirements of EMS auditing. A full course was scheduled for delivery between 13th & 15th August with the full backing of His Excellence Ith Braing, Secretary of State, Ministry of Industry, Mines and Energy. The delegates that were able to attend this performed well and demonstrated an ability to run the course, but they will probably need an additional period of support before running a full course on their own. The course run in Vietnam allowed time for full intensive review and study of the course and delivery in an enclosed environment without the constrictions of public exposure.

The comments made in the previous paragraph also need to be balanced with the status of environmental management within Cambodia. Currently there are only two companies in Cambodia with management systems certificated to ISO14001. The type and content of questions being asked during the seminar suggests that it may be too early for an audit training course in the country. With hindsight, it may have been more beneficial to run a series of short courses aimed at promoting basic environmental awareness coupled with environmental management systems development and implementation courses. Such an approach would have helped local businesses and Ministries to better understand the changes needed in everyday activities that will help drive improved performance and compliance with international standards. Such programmes have been run in the past for UNIDO in other countries and these could have been easily manipulated to address the requirements of the Cambodian Government.

Delegate language abilities were varied and with the exception of the one delegate outlined above, were considered main adequate. All delegates persevered with the delivery of presentations in English during the first phase of the course. However, the language abilities of the delegates during the second week were severely limiting and delivery had to be made in a dual language approach with those presentations delivered by the trainees being made in Khmer. Individual presentations were rescheduled and time allocated for exercises had to be adjusted to allow for simultaneous translations and ensure that the course ran to time-table.

As with any course, delegates needing to settle down with each other during day one, although given the size of the class and the level of experience, this was achieved reasonably quickly.

Facilities and support services provided by ISC, were of a very good standard. The room was comfortable and any additional facilities required were immediately provided. Office support was also immediately available. However, as the course had to be run at the Ministry, there was some uncertainty over which room the course would be run on a daily basis. Fortunately, the first week was very stable and the same room was available for use every day, but towards the end of the second week, the course had to move to a second room at short notice.

3.0 Recommendations.

a) Further development of environmental management skills in Cambodia

i) Courses

A desire to understand environmental management and improvement was clearly demonstrated during the delivery of the audit course and the supporting seminar, but this was from the view point that local businesses and ministries need to understand best practice options in the management of effluent and other discharges from industrial activities, and how this can be balanced with traditional methodologies employed in, for example, the agricultural sector.

Consideration should be given to running a programme of courses and support consultancy aimed at widening the awareness of Environmental Management Systems, their development and implementation. Such programmes have been run very successfully under the guidance of UNIDO in developing nations in the past.

These courses should be actively marketed to businesses in industrial sectors where currently practices need to be changed to reflect current understanding in environmental sciences. If a programme were to be instigated, it is suggested that a minimum of 10 businesses be brought together as this would significantly reduce the proportionate costs of the programme and maximise the overall benefit to the country.

ii) Capacity Building

The approach outlined in (a) (i) would normally include the training within individual businesses on the skills required to develop and implement an EMS. However, the full effect of capacity building could be enhanced if the first round of activities were supported by local consultants and ISC representatives to allow a "Train the Trainer" approach in this field. Thus, the scheme could continue to be run with minimal support from the guiding organisation, and much of this could be undertaken electronically thereby reducing costs in future years.

b) Future Running of "Train the Trainer" Courses

The experiences in Vietnam suggest that more benefit can be made by running an environmental auditing course requires more time to allow the delegates to become more familiar with the differences between quality auditing and environmental auditing. This could have been achieved by retaining the running of the second delivery of the course by the group internally to themselves thereby reducing any possible elements of embarrassment when delegates made mistakes in the delivery or key message. This would have improved their confidence in the shorter term and ensure that their familiarity with the course was at a high level.

Given the minor problems with the handling of language, it may be advisable to translate course material into Khmer to help facilitate any potential problems with the

communication of learning objectives, particularly as some terms do not readily translate from English into Khmer, and there is sometimes the need for full explanation of terms.

c) Future Competency development of delegates attending “Train the Trainer” in Cambodia and the course.

i) The Course.

An essential point for the course is that it is used and maintained properly. This means that it should be delivered on a regular basis and the contents remain relevant to Cambodian industry. Whilst every effort has been made to modify the course to reflect current practice, it will be essential that it keep pace with developments in knowledge and practice within the country.

The course will need a marketing strategy that should be led by ISC and directed to those Cambodian Industrial Sectors where there is an existing understanding of EMS and its role in delivering improvement. However, the needs of other sectors should not be ignored and this approach needs to be integrated with the recommendations outlined in (a) above. The course would also benefit from being maintained in line with the developing legislative framework.

ii) Delegates.

It would greatly benefit the delegates if they are able to deliver the course within a reasonable period of completing the “Train the Trainer” course – it is suggested that this period be no longer than 2 months. A self-help support group should be established to ensure that the delegates retain the skills and confidence gained during the course. Nigel Bauer & Associates has already facilitated this by ensuring contact details were exchanged during the course, but ISC should be encouraged to facilitate this process. Nigel Bauer & Associates is prepared to provide more practical support if required.

4.0 General Arrangements & Facilities.

ISC provided a good-sized training room, perhaps a little too large for the number of delegates involved in the training. However, it had a suitable layout and good facilities to enable the training course to proceed. Lighting and general room ambience were good enabling the course to proceed in an effective manner. As mentioned above, there was some uncertainty regarding the use of this room and during the second week the course had to move to an alternative room. At no time did the room, changes to the room or any other associated facilities significantly detract from the achievement of objectives.

Support to the trainers was excellent, with a team of ISC administrative staff available to the trainers at all times and they facilitated the use of computer and photocopying facilities when required. Trainers were able to obtain copies of any necessary documents at relatively short notice, an essential support to trainers and trainees.

Course documentation had been well prepared in advance of the course and sent to delegates to allow them the opportunity to read and understand the course contents.

Selection of the delegates was well balanced with a good combination of experience in auditing and training. Obviously it is difficult to find delegates with all of the right attributes to be able to deliver the course, but the delegates were mutually self-supporting and helped each other with any language or technical difficulties encountered.

In the longer term, ISC may need to provide some additional support via marketing or administrative support for the course.

5.0 Summary of Delegate Performance.

ISC selected eight delegates for the course, and these were supplemented with one UNIDO observer. The delegates had various levels of experience in the primary fields required to deliver the internal auditors course – viz. auditing and training experience.

All but one of the delegates (Mr Ouch Many) participated fully in the group discussions and syndicate work from day one and attended all sessions promptly. In particular all of the delegates were eager and enthusiastic to learn and make formal presentations. Mr Ouch Many left after the first morning as his language skills did not allow him to keep up with the lectures and exercises.

All delegates provided an equal number of presentations. Whilst there was insufficient time to allow all delegates to present all of the lectures, but they all had the opportunity to deliver at least one key lecture each and most supervised the delivery and completion of a subsequent exercise. Had the course been re-enforced within the group rather than to an external audience, more time could have been devoted to gaining individual experience across the whole group and the delegates would have been more confident with the material by the end of the training period.

It is the conclusion of the trainer that five of the seven delegates that entered the "Train the Trainer" training programme should have no problems in delivering the course on their own; although they would benefit from some form of initial support either during or immediately prior to the initial delivery. For this reason, the contact details of all delegates were made available with the idea that the delegates themselves develop a "self-help support group".

Note:

The following delegates did not complete the training and hence could not be evaluated for suitability:

*Mr. Sok Leng
Mr. Ouch Many
Mr. Pot Rithy*

6.0 Individual Delegate Performance.

a) Mr. Chheng Uddara, (Chief of Product Certification, ISC)

Mr. Chheng Uddara previously attended a Nigel Bauer Lead EMS Auditor course run in Hanoi in 2004. As a result he is aware of auditing an EMS. HE fully participated in the course and took his turn in leading and lecturing. The exercise was introduced well and all questions answered with confidence. He was also one of two delegates to participate in the role play audit scenarios and adapted well to the process. This experience was further utilised in the revision of the audit scenario.

It is my considered opinion that Mr. Chheng Uddara will have no problems running the course and helping its continued development within Cambodia.

b) Mr. Seng Chhang (Chief of Systems Certification, ISC)

Mr. Seng Chhang played a pivotal role in the delivery of the whole EMS project. He acted as a key link with his colleagues when difficult terms were encountered, acted as interpreter during the EMS Seminar and during the public course delivered between 13th & 15th August. His experience was quite evident throughout the course and he gave presentations with great confidence and skill. He was the second of the delegates to participate in the role play exercises. This experience was further utilised in the revision of the audit scenario.

It is the opinion of the trainer that Mr. Chhang will be a competent trainer and will have no problems running the course and helping its continued development within Cambodia.

c) Mr. Sok Leng (Chief of Standards Formulation, ISC)

Mr Sok Leng was a little more quiet during the course, although did fully participate. He elected not return to the course after taking the exam, due to business pressures, and thus did not present to delegates at the public course. It is not possible to confirm how effective Mr Sok Leng will be as a tutor.

d) Mr. Som No (Deputy Chief of Systems Certification, ISC)

Mr. Som No played a very active role throughout the course and ran a good lecture and exercise. He is enigmatic and considered to be one of the stronger delegates and should become a competent trainer. He also played a key role in the revision of the audit scenarios and this will further consolidate his understanding of the course as a whole. He should have no problems running the course and helping its continued development within Cambodia.

e) Mr. Pot Rithy (Deputy Chief of Systems Certification, ISC)

Mr. Pot Rithy played a very active role throughout the course. He demonstrated a good knowledge and was eager to learn. However, illness during the second week prevented him from delivering his lectures to the public course, and it was therefore not possible to assess his abilities to deliver the course. Consequently he may need some additional help with the delivery of his early courses.

f) Mr Mao Thira (Deputy Chief of Product Certification, ISC)

Mr. Mao Thira also played an active role during the first course and fully researched his lecture for the public course. The delivery was sound with no prompting and the exercise was extremely well managed. He was also one of the core delegates to provide extensive help with the further revision of the course role play scenario which should further consolidate his understanding of the course as a whole. Mr Mao Thira should also be capable of delivery of the full course and play a role in its active development. Mr Mao Thira also helped with translations during day 2 of the public course.

g) Mr. Sareoun Kessarar (Chief of SPS Enquiry Point, Camcontrol MOC)

Mr Sareoun Kessarar also played an active role in the course often asking questions of clarification during the session. He delivered the two auditing techniques lectures during the public course and thus did not experience the delivery and supervision of an exercise. However, the delivery of the lecture was well researched and no assistance was provided during the talk. Mr Sareoun Kessarar also helped with translations during day 2 of the course. Mr Sareoun Kessarar should become a good tutor for this course and has shown support for its continued development.

h) Mr. Ouch Many (Deputy Chief of Industrial Environment Dept of Industrial Technique, MIME)

Mr Ouch Many attended the first morning of the course. However despite his knowledge of environmental issues in relation to his current role, his command of the English Language was lower than for other delegates and thus he elected to take no further role in the course.

UNIDO Representative

i) Dr Toshiyuki Miyake (Project Manager, Trade Capacity Building Branch)

Dr Miyake played a more minor role in the training, but, for obvious reasons, preferred to allow his fellow delegates to take the lead. He performed well in the examination and demonstrated a full understanding of the course. As it is not intended that he will deliver the course, he did not present at the public course, but left for Vienna on the Friday.

7.0 Management Seminar – ISO 14001:2004.

The seminar was held at the same location as the training course and was attended by 64 delegates in the morning, although this dropped to about 40 in the afternoon. This seminar received support from the highest level and the key note address was delivered by the Secretary of State; as a consequence, this part of the seminar was also attended by National Television and other public media.

The room and associated facilities were to a very high standard and excellent translation services were provided.

The seminar ran to timetable and in fact ended a little early at the end of the morning session. However, questions were invited from the floor, some of which were very long and convoluted; the afternoon session was also accompanied by a number of such questions and finished just a fraction later than schedule. Questions covered a number of different aspects ranging from objective setting to certification and best practice approach to improving environment as a whole. One of the questions regarded the management of agricultural practices in Western Europe and the approach was supported by a delegate from the local regulator.

8.0 Conclusions.

The EMS Internal Auditor course linked to the requirements of ISO 14001:2004 was enthusiastically received by the delegates who immersed themselves into the learning process. All delegates actively participated in learning the course and demonstrating this through presentations and explanations of the exercise sessions.

Whilst observation of the delegates was undertaken through the delivery of a “live” course, given the current status of environmental management across the country and the cultural context, it may have been wiser to have undertaken the observation process within the classroom as this would have allowed the delegates to make mistakes in a non-hostile environment. Equally, it was quite evident that the audit scenario’s needed to be adjusted to fit with the current Cambodian practices, and the running of a public course restricted the time available to develop an appropriate setting.

Towards the end of the course, the delegates were encouraged to form and use a “self-help support group”. ISC could help facilitate this group by making regular contact with the delegates of this course. Nigel Bauer & Associates are willing to provide some additional support if required

Facilities and support services provided by ISC, the Cambodian National Standards organisation, were of a high standard and fully acceptable in facilitating the meeting of training objectives.

9.0 Individual Delegate Performance for those Attending Observed Course.

a) Mr. Ek Sokhan,

Mr Ek Sokhan was a quiet student but appeared to understand the concepts of the course and auditing an EMS. Unfortunately, he was sick on the last day and did not sit the examination.

b) Mr. Vann Mao,

Mr Vann Mao participated in the course and asked questions on the role of auditors and auditees, and sought clarification on the use of checklists. He made a good attempt in the examination, but failed to achieve a pass mark.

c) Mr. Ly Tin,

Whilst quiet during the course, Mr. Ly Tin played an active role in the course and made a few presentations of his groups work and appeared to be very attentive during the lectures. He passed the examination.

d) Mr. Nget Chek,

Mr. Nget Chek was a little quiet during the course, but followed the concepts of the course and produced a good examination paper.

e) Mr. Lang Kosal,

Mr. Lang Kosal played an active role in the course and appeared to understand the concepts, often asking questions to confirm understanding. He presented a good examination paper.

f) Mr. Seng Sokethya,

Mr. Seng Sokethya unfortunately failed the examination paper. His command of the English language was limited and this may have been a contributory factor in his exam performance. He was very attentive during the course and tried to understand the concepts and sought clarification on some points from his fellow colleagues.

g) Mr. Mam Sotharin,

Mr. Mam Sotharin played a very active role in the course, often driving the discussions in the group exercises and was a good group leader. He presented a number of the exercises and asked many questions to clarify and consolidate his understanding. He presented a good paper.

h) Mr. Kean Hong,

Mr. Kean Hong unfortunately failed his examination paper, although this may in part have been a problem with the course documentation being in English rather than Khmer. He was quiet during the course and did not present any group exercises.

i) Mr. Ty Dory,

Mr. Ty Dory played a very active role in the course, often driving the discussions in the group exercises and was a good group leader. He presented a number of the exercises and asked many questions to clarify and consolidate his understanding. He presented a good paper.

10. Summary of Examination Scores

Train the Trainer

Seng Chhang	:	31
Mao Thira	:	37
Som No	:	30.5
Saroeun Kessara	:	30
Toshiyuki Miyake	:	34
Pot Rithy	:	30
Chheng Uddara	:	34
Sok Leng	:	32

Public Course (Observed)

Ty Dory	:	33
Mam Sotharin	:	33
Kean Hong	:	24
Seng Sokethya	:	20
Vann Mao	:	22
Lang Kosal	:	30
Nget Chek	:	30
Ly Tin	:	31

Attachment C

HACCP Principles & Internal Auditor Training and “Train the Trainer” for delivery of HACCP Principles Training Courses.

Part of: UNIDO Project No. TF/RAS/06/001

(Contract No: 16001201)

**Prepared by Ruth Bell
HACCP Trainer
Nigel Bauer & Associates
24rd August 2007**

Synopsis

A four day HACCP Principles course was delivered to 9 participants, and those who attended the end of course assessment, were all successful, demonstrating their understanding of the application of HACCP principles. Seven participants attended a three day HACCP auditing course, successfully demonstrating their understanding of the techniques necessary to audit internal and external HACCP based food safety management systems.

Five participants were then selected to attend the "Train the Trainer" for HACCP Principles event, giving them the information, guidance and practice necessary to be able to present this course to delegates from local industry. All participants successfully completed the course.

Delegates from private food enterprises and state management organisations were invited to attend a Seminar which concentrated on HACCP principles and gave an overview of the key requirements of the ISO 22000 "Food Safety Management Systems – Requirements for Organizations throughout the Food Chain" international standard. The seminar focussed on the importance of management commitment and responsibility in designing and running food safety management systems and the benefits to business of implementing food safety management systems, in particular to assist with potential future business both locally and internationally, as demonstration of commitment to food safety management can help reduce potential barriers to trade.

The courses and Seminar were delivered at the Ministry of Industry, Mines and Energy, Phnom Penh, Cambodia between 19 June and 6 July 2007 and were conducted in English, with translation as necessary.

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- 1.0 Introduction**
- 2.0 Summary**
- 3.0 Recommendations**
- 4.0 General Arrangements & Facilities**
- 5.0 Delegate Performance**
- 6.0 Management seminar**
- 7.0 Conclusions**

1.0 Introduction

HACCP systems are recommended by the World Health Organisation as the best means of controlling food borne disease internationally. Many countries have included the requirement for a documented food safety management system in their regulations on food hygiene and safety. Whilst the larger international companies have introduced systems based on the HACCP principles and hence meeting import requirements, the introduction of a practical, sustainable food safety management system has not been widespread in small to medium sized enterprises or less developed areas. In order for such enterprises to be competitive, particularly with exporting their products, there is a need for local expertise to be available to assist in the development of pre-requisite programmes and food safety management systems and also to verify that the system, once developed and implemented, is working effectively.

With the introduction of the ISO standard ISO 22000 "Food Safety Management Systems – Requirements for Organizations throughout the Food Chain", it is a possibility that in the future local enterprises will wish to apply for certification and thus to achieve this may require help in designing and implementing adequate systems to achieve safe food.

2.0 Summary

The HACCP Principles course was designed to give delegates information about the design, development, implementation and verification of HACCP food safety management systems and the Pre-Requisite Programmes necessary to manage food safety and was attended by 9 delegates from state management organisations and ran over 4 days. A 3 day HACCP Auditing course was delivered immediately after the HACCP Principles course and was attended by 7 delegates. The course was designed to use the knowledge gained during the HACCP Principles course to give delegates an understanding and some practical experience of the principles and practices of auditing a food safety management system effectively.

Through theory and practice, it was explained to delegates attending the HACCP Principles Course how to establish Pre-Requisite Programmes and a food safety management system based on the Codex HACCP Principles. All theory sessions were reinforced with relevant practical exercises to enable delegates to develop their understanding and skills and thus develop effective food safety management systems for their sector of the food chain. Delegates were provided with a course manual containing all necessary information to be able to design, develop, implement and verify food safety management systems as a point of reference.

For the delegates attending the HACCP Auditing course, the principles of auditing and their application in the verification of a food safety management system based on the Codex HACCP Principles were explained and practical guidance was provided to enable the delegates to audit a food safety management system either internally or externally.

Five delegates who had attended and successfully completed both the HACCP Principles Course and the HACCP Auditing Course were chosen to attend the HACCP Principles "Train the Trainer" event, designed to give the delegates information and guidance, through theory and practical sessions to be able to confidently deliver the HACCP Principles course to local businesses. All five delegates demonstrated a good understanding of the principles of HACCP and were able to communicate them effectively and efficiently, through the use of relevant practical examples to representatives of local businesses at an observed HACCP Principles training event. All five delegates demonstrated that with further practical training experience they would become effective trainers in food safety management systems.

A well attended Management Seminar was delivered to representatives from private food enterprises and state management organisations to introduce the concept of a HACCP based food safety management system and in particular importance of management commitment and responsibility in designing and running food safety management systems and the benefits to business of implementing food safety management systems. A brief overview of the requirements of ISO 22000 was also given. Awareness of the principles of HACCP and ISO 22000 and guidance on how to meet the requirements will enable businesses to develop food safety management systems which help to ensure the safety of the food products produced as well as increase the potential for further trade, particularly in the export market and reduce any possible barriers to trade.

3.0 Recommendations

The five delegates who completed the "Train the Trainer" event all demonstrated a good understanding of the principles of HACCP and their application and given relevant practice will prove to be competent trainers.

Those new to training and or HACCP implementation in a particular sector of the food chain will benefit from presenting a course alongside an experienced trainer, acting as the second tutor to build confidence before being a lead tutor or solo trainer.

For HACCP training to be most effective, it is important that all Trainers gain knowledge and experience in relation to the design, development, implementation and verification of HACCP systems in a range of local food processing organisations and are able to 'tailor' future training courses by giving trainees relevant examples and exercises to further their understanding. To enable a range of situations to be included in training courses, a collaborative approach between trainers will be beneficial, particularly in the dissemination of resources.

It is important that prior to the implementation of HACCP that Pre-Requisite Programmes (GMP) are in place. As Pre-Requisites need to be in place before HACCP can be implemented, in some instances it may be necessary to give local enterprises further support in the theory and application of Pre-Requisites before moving on to implement HACCP. To be able to do this, potential trainers may need further support in the design and development of pre-requisites and GMP.

Pre-Requisites and HACCP are not well established in Cambodia and perceived as expensive and bureaucratic by many food businesses. To develop a positive HACCP culture within the Country, management commitment to HACCP needs to be established, possibly by developing HACCP awareness programmes detailing the benefits of HACCP. Once this commitment has been established, the necessary technical training can be implemented.

All potential trainers need to be given a personal development programme detailing their future development in terms of practical training experience and technical knowledge of HACCP and Pre-Requisites to keep their skills current.

Careful translation of reference documentation for both HACCP and Pre-Requisites is necessary, to avoid any misinterpretation of some of the technical terms used in the design and development of food safety management systems.

4.0 General Arrangements & Facilities

The facilities and arrangements made to deliver all the Courses and the Seminar were provided by ISC and conducted at the Ministry of Industry, Mines and Energy (MIME). The programmes are given in the Appendix.

Timings for breaks during the courses were amended to suit local arrangements. During the design of the courses, some flexibility was built in to enable the trainer to amend course timings to allow additional time to be made available to participants during group exercises and additional time for feedback and translation as some of the group were slower in understanding spoken and written English and were less fluent in speaking English. At all stages of the training, the Trainer ensured understanding before moving on.

5.0 Delegate Performance

5.1 HACCP Principles & HACCP Auditing Course

Delegates received training in HACCP Principles (four days) and HACCP Auditing (three days) at the Ministry of Industry, Mines and Energy, Phnom Penh, Cambodia on 19 – 27 June 2007.

Delegate numbers were small for both courses and a little disappointing. Problems were encountered with delegates accepting places and then not turning up for the training courses, which left empty spaces on the courses.

At the start of the training, each delegate was asked to introduce themselves, give an outline of their HACCP experience to date and state what they hoped to achieve from the training courses. It was evident from the responses that there was varied experience in the application of HACCP principles, ranging from some who were familiar with HACCP and existing trainers and those with auditing experience in quality and environmental systems, through to those who had no knowledge of HACCP and those with no experience of auditing systems. The ability to understand spoken and written English and communicate in English also varied widely between delegates.

Courses were designed around the learning cycle and adopting a participative approach using a combination of formal presentations, syndicate group exercises, open forum discussion and assessment. The "workshop" style adopted provided delegates with practical experience of developing HACCP system elements and examined some of the potential problems and difficulties associated with setting up a food safety management system and suggested some practical guidance to overcome these.

For the exercises, delegates were divided into groups (3 or 4 persons per group) to work as a 'team' on the given exercise. From the delegate introductions, the Trainer split the groups with participants from differing backgrounds and levels of HACCP knowledge in each group to encourage learning and understanding. The use of practical exercises not only helped the individuals to demonstrate that they understood the information given, but also enabled the trainer to work more closely with groups where individuals were slower in interpreting the principles and required additional examples and explanations – this was a reflection of their limited experience and understanding of the activities within a food processing environment. Working as small groups also enabled participants to help each other where explanations in their own language was required.

Consolidation was carried out at the end of each section and at the beginning of each day, reviewing the previous days work, by a verbal question and answer session. Where necessary, participants discussed the answers in their own language to help each other.

The HACCP Principles course was assessed on the last day. The assessment used a combination of multiple choice questions and short answer questions. The results are detailed below in Table 1. In general the results were good, where results were low, it was

due to a poor comprehension of written English and the question was misunderstood, or lack of time to complete all the questions. One delegate who had attended the course, did not attend the assessment due to lack of understanding of English and one was unable to take the assessment due to work commitments. Overall, the Principles of HACCP have been understood.

Table 1 – Results of HACCP Principles Assessment (Results shown as %)

Name	Position & Organisation	HACCP Principles Result
Mr Saroeun Kessara	Chief of SPS Enquiry Point Office Dept. Camcontrol	70
Mr Chheng Uddara	Chief of Product Certification Office ISC	72
Mr Seng Chhang	Chief of System Certificaton Office ISC	60
Mr Pot Rithy	Deputy Chief of System Certification Office ISC	46
Mr Som No	Deputy Chief of System Certification Office ISC	76
Mr Mao Thira	Deputy Chief of Product Certification Office ISC	70
Mr Ly Tin	Staff of Standards Formulation Office ISC	74
Mrs Choun Monyrath	Chief of Process Management Office, Dept. of Agro-industry MAFF	Did not take assessment, called back to office
Mr Hem Chanthan	Staff of ILCC MIME	Did not take assessment

Table 2 below shows the results for the assessment given on day 3 of the HACCP auditing course. The assessment comprised of multiple choice questions, short answer questions and two longer answer questions relating to audit design and non-conformance. As for the earlier assessments those participants where written English was poorly understood did not achieve as good marks as those where there was a greater understanding. Participants who already had some training in auditing generally achieved good marks. Overall however the principles of HACCP auditing have been understood.

Table 2 – Results of HACCP Auditing Assessment (Results shown as %)

Name	Position & Organisation	HACCP Principles Result
Mr Saroeun Kessara	Chief of SPS Enquiry Point Office Dept. Camcontrol	75
Mr Chheng Uddara	Chief of Product Certification Office ISC	62.5
Mr Seng Chhang	Chief of System Certificaton Office ISC	87.5
Mr Som No	Deputy Chief of System Certification Office ISC	80
Mr Mao Thira	Deputy Chief of Product Certification Office ISC	80
Mr Ly Tin	Staff of Standards Formulation Office ISC	70
Mr Hem Chanthan	Staff of ILCC MIME	Did not take assessment

5.2 “Train the Trainer” Training for HACCP Principles Trainers

Five delegates were selected for the “Train the Trainer” programme based on a number of factors including previous performance on the training courses, availability and having demonstrated good potential as trainers during the earlier courses.

Comments on each trainer, and suggested areas for improvement are summarised in Table 3 below.

Table 3 – General Feedback and Suggested Areas for Improvement for Trainee Trainers

Name	General Feedback	Areas for Improvement
Mr Saroeun Kessara	<p>Good eye contact with whole group</p> <p>Involved the whole group by asking questions to establish understanding & generating discussion</p> <p>Good recap of previous session</p> <p>Using examples well to reinforce understanding</p> <p>Supervised group exercise and feedback well</p> <p>Has a good technical understanding and answered questions well</p> <p>Spoke Clearly</p> <p>Managed session timings to programme</p> <p>Relax and be yourself</p> <p>Good technical knowledge, less experienced as a trainer but will develop well in</p>	<p>Try to speak to group at all times and avoid reading from notes – this will come with confidence and familiarity with course timings and material.</p> <p>Ask questions to generate discussion, change questioning technique to get discussion going by asking open questions i.e. “what do you think about x”</p> <p>Remember to link slides together, moving from one to the next.</p> <p>Expand and talk around the information on the slides giving examples from real life situations to make the training ‘real’ for delegates.</p> <p>Learn to use variety of training aids – ppt slides, flip chart etc</p> <p>Speak more slowly</p>

	time with practice	
Mr Chheng Uddara	<p>Relaxed & friendly manner, clearly used to talking to groups of people.</p> <p>Good technical knowledge of subject and well prepared.</p> <p>Talking around the slides well and giving examples</p> <p>Moving between training aids</p> <p>Supervised group work well</p> <p>Good rapport with group and generating discussion and question & answer</p> <p>Held attention of the class</p> <p>Will make an excellent trainer</p>	<p>Continue to prepare sessions well.</p> <p>Develop questioning technique, especially to generate discussion</p> <p>Manage course timings, especially if generating discussion, be able to bring to a close.</p> <p>Develop technical knowledge and understanding within different sectors of the food industry</p>
Mr Seng Chhang	<p>Good introduction to session</p> <p>Confident approach with evidence of previous experience talking to groups of people.</p> <p>Pleasant animated approach, holding attention of group.</p> <p>Talking around the slides and adding own experience to support learning points</p> <p>Some sections involve a lot of information which could be broken up with further questioning, generation of discussion</p>	<p>Be prepared to be flexible with material & course timings to break up long sections of theory, by generating discussion.</p> <p>Develop questioning techniques.</p> <p>Manage timings carefully and be careful not to overrun.</p> <p>Further reading around the subject and gathering examples from real life situations to use.</p>

	<p>Evidence of good preparation</p> <p>Will make an excellent trainer</p>	
Mr Som No	<p>Good technical knowledge, new to training, spoke with confidence and has shown a good ability to be a trainer which should be practiced and built on.</p> <p>Evidence of thorough preparation.</p> <p>Ensure to move the slides on and be careful not to say too much with each slide and take impact away from further slides.</p> <p>Expanding on the slides well.</p> <p>Interacted well with the group and confidence increased as the session progressed</p> <p>Building on existing skills will enable an effective trainer to develop</p>	<p>Try to maintain eye contact with whole of group and avoid turning back on group and talking to the board.</p> <p>Be careful not to lose position in notes, this will come with familiarity with the course material and timings.</p> <p>Watch the timings of different sessions, have more exercises or generate discussions in case of extra time.</p> <p>Learn to use a variety of different training aids - PPT, flip chart etc.</p> <p>Be careful not to jump ahead too much and use information from a later session</p> <p>Develop questioning technique</p>
Mr Mao Thira	<p>Nervous at the beginning of the session but settled down</p> <p>Hesitancy as a result of unfamiliarity with subject matter.</p> <p>Began to interact well with group and ask questions</p> <p>Ensure all parts of subject material are covered and</p>	<p>Good preparation will reduce nervousness and hesitancy due to unfamiliarity with subject matter and help with timings</p> <p>Try to speak to group at all times and avoid reading from notes - this will come with confidence and familiarity with course</p>

	<p>watch timings carefully, particularly when conducting exercises.</p> <p>Avoid reading from notes</p> <p>Went through material very quickly, remember to expand on information on slides and link slides together</p> <p>Group exercise run well and good feedback session</p> <p>Needs practical experience training and remember the importance of good preparation but will be a good trainer</p>	<p>timings and material.</p> <p>Learn to ask questions and generate discussions</p> <p>Use examples of own practical experience to develop information on slides</p> <p>Learn to use a variety of different training aids – PPT, flip chart etc.</p> <p>Further reading around the subject and gathering examples from real life situations to use will enhance training</p>
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General Feedback

All delegates worked exceptionally hard and should be commended for their efforts. Some trainee trainers are naturally more advanced than others, but all trainees showed the potential to make good trainers given the right support and guidance.

Good preparation and technical knowledge are essential. Trainers need to be able to keep to session timings, but being adaptable to the needs of the group and able to remain flexible should the need arise to reinforce a particular area, as well as identify weaker trainees who may need extra reinforcement/guidance. Learning questioning techniques and being able to generate discussions will benefit both the trainers and trainees. These skills will develop with practical training experience

It is important that all trainers develop a style that they are comfortable with and be themselves, relax and enjoy their training sessions.

6.0 Management Seminar

The management seminar was well attended and included representatives from private food businesses and state management organisations. The seminar introduced the principles of HACCP and was designed to give management an understanding of what is involved in the design and development of a HACCP based food safety management system and in particular focussed on the benefits of implementing a HACCP system and the necessary commitment needed by management to introduce a HACCP system.

The international standard ISO 22000 was briefly introduced, with an explanation of the key requirements and the certification process should businesses wish to apply for certification.

When asked, a small minority were seen to have implemented Pre-Requisite programmes and HACCP already.

Questions at the end of the seminar related to identification of food safety hazards and risk assessment, in particular chemical hazards and more generally where further help and information could be gained regarding implementation of HACCP and Pre-requisite programmes.

7.0 Conclusions

Despite the small numbers attending the training courses, the HACCP and Auditing training was well received, with delegates participating fully and some positive and thought provoking discussions were generated throughout the training. Through assessment, delegates have demonstrated they have an understanding of the subject material which they can now use within industry.

The delegates who were selected to attend the "Train the Trainer" session all worked exceptionally hard to make the event successful. All delegates participated fully and prepared their session plans in a competent and professional manner. The delegates were all empathetic to each others needs when delivering the training sessions and worked as a team to positively encourage and assist each other in developing their training techniques and styles.

The delegates were allocated two sections of the course each to deliver and through careful preparation both during the training course and in their own time, delivered sessions which demonstrated a good grasp of the subject material. Some delegates were naturally more confident as speakers in front of a group, and some had more technical knowledge, however these skills will be developed with further practice and should be encouraged.

When delivering the courses locally, the trainers will also be delivering in their own language, which will remove one of the potential barriers and once material has been translated and/or adapted to suit their own style and sector of the food chain then they will all be successful. All would benefit from more detailed knowledge and experience of food processing activities throughout the food chain so that they have a closer understanding of the practicalities of the particular food sector, both in terms of pre-requisites and HACCP application.

The Management Seminar was well attended and received by all delegates.

Attachment D

(to final report)

Details on Work Plan & Training Programmes.

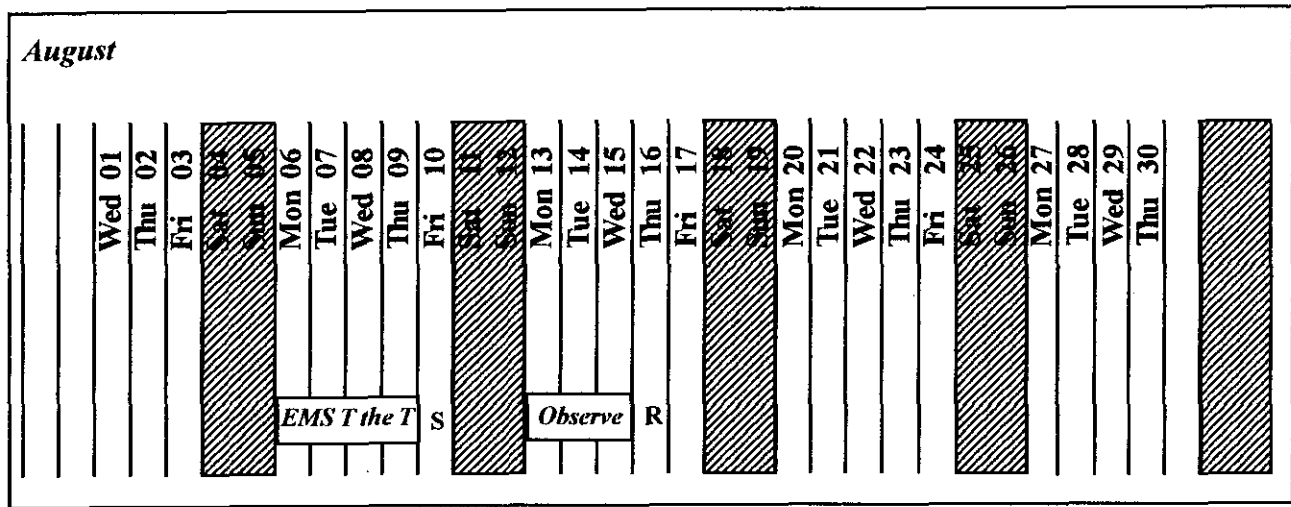
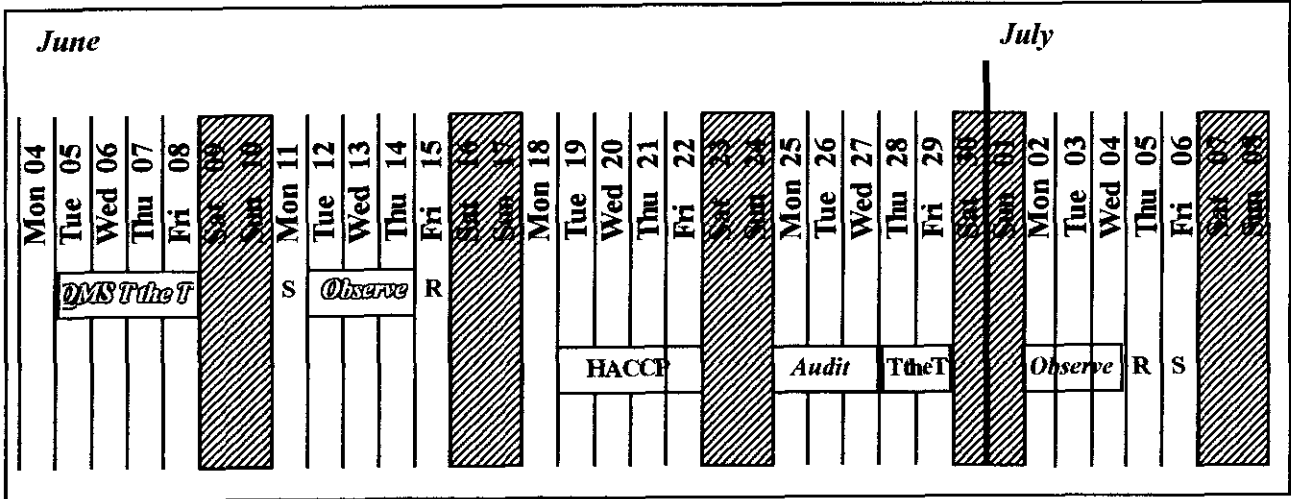
***Part of: UNIDO Project No. TF/RAS/06/001
(Contract No: 16001201)***

**Prepared by Nigel Bauer
Principal Trainer
Nigel Bauer & Associates
30th September 2007**

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- 3.0 **"Train the Trainer" training programmes.**
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- 6.0 **IRCA Certificated QMS (ISO 9001) Lead Auditor training course programme**

1.0 Work Plan.



Key activities for QMS / ISO 9001

Train the Trainer	4 days
Observe trainers	3 days
Training reinforcement	1 day
Mgt. Seminar	1 day

Key activities for HACCP:

HACCP Principles	4 days
HACCP Auditor training	3 days
Consultant Training	2 days
Observe trainers	3 days
Training reinforcement	1 day
Mgt. Seminar	1 day

Key activities for EMS / ISO 14001:

Train the Trainer	4 days
Observe trainers	3 days
Training reinforcement	1 day
Mgt. Seminar	1 day

Key:

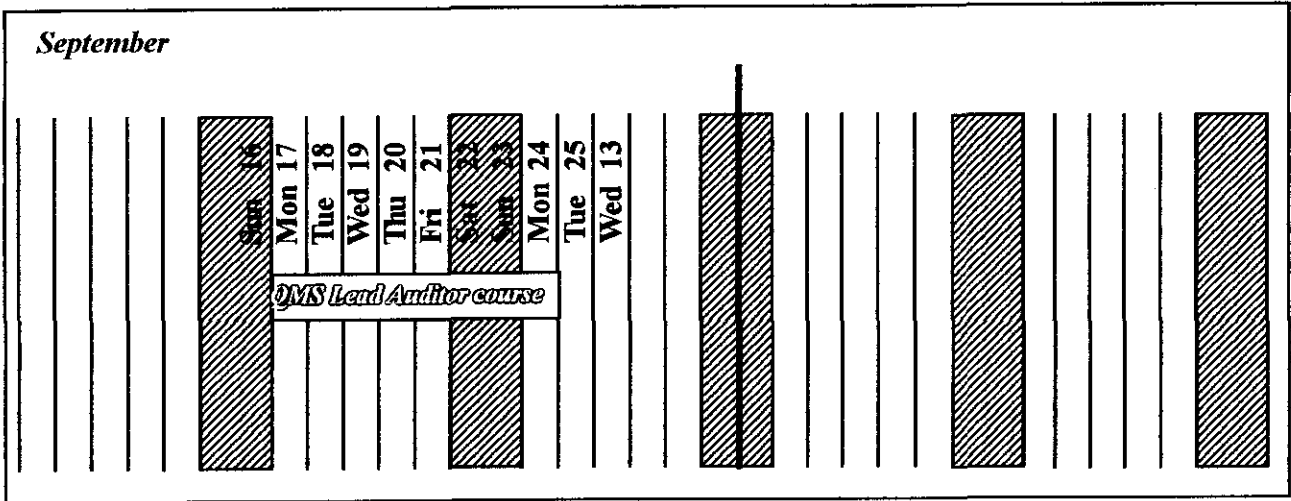
HACCP	=	HACCP Principles training
Audit	=	HACCP Auditor training
T the T	=	HACCP Train the Trainer
EMS T the T	=	ISO 14001 Internal Audit Train the Trainer
QMS T the T	=	ISO 9001 Internal Audit Train the Trainer
Observe	=	Observation / facilitation of training course
S	=	Management Seminar
R	=	Training Reinforcement

David Simmons - QMS

Ruth Bell - HACCP

Barry Young - EMS

1.0 Work Plan cont.



Klaus Thies - QMS

2.0 HACCP Principles Training Course programmes

2.1 - HACCP Principles training Course

This course forms the basis of two / three day HACCP training courses that may be presented by the local consultant trainers.

Day 1	
08.00	Introduction & Course Aims & Objectives
08.30	Overview of Management Systems
09.30	Break
09.40	Requirements for the Production of Safe Food
11.45	Lunch
13.45	Pre-requisite Programmes
15.00	Break
15.20	<i>Delegate Exercise 1 Identification of PRPs</i>
16.30	Close day 1

Day 2	
08.00	Review of Day 1
08.15	Developing a Food Safety Management System – an overview Application of the 12 Step Logic Sequence: Management Requirements and understanding the food operation
09.30	Break
09.40	Application of the 12 Step Logic Sequence: Management Requirements and understanding the food operation - continued.
09.20	<i>Delegate Exercise 2 PFD</i>
11.45	Lunch
13.45	Identification of Food Safety Hazards and Hazard Analysis <i>Delegate Exercise 3 Hazard Identification & Analysis</i>
15.00	Break
15.20	Control Measures to Prevent or Eliminate Food Safety Hazards <i>Delegate Exercise 4 Control Measures</i>
16.30	Close day 2

Day 3	
08.00	Review of Day 2
08.15	Determination & Identification of Critical Control Points (CCPs) <i>Delegate Exercise 5 CCP Identification</i>
09.30	Break
09.40	Determining Critical Limits Monitoring of CCP Control Measures <i>Delegate Exercise 6 Identification of Monitoring Procedures</i> Close Day 2
11.45	Lunch
13.45	Corrective Actions when monitoring indicates a loss of control <i>Delegate exercise 7 Corrective action</i>
15.00	Break
15.20	HACCP Documentation and Records
16.30	Close day 3

Day 4	
08.00	Review of Day 3
08.15	Verification and Maintenance of the HACCP System
09.30	Break
09.40	<i>Delegate Exercise 8 HACCP Verification</i>
11.45	Lunch
13.45	Overview of ISO 22000 & Certification/Registration Issues
15.00	Break
15.20	End of Course Test
16.30	Close day 4

2.2 - HACCP "Train the Trainer" Workshop.

Day 1	
08.00	Introduction to the "Train the Trainer" process
08.20	Format and use of the Trainer's Guide, Visual Aids and Course Manual
09.20	Logic of the HACCP training course structure
09.30	Break
09.45	How to run the discussion group activities.
10.00	Understanding how to run a syndicate exercise
11.45	Lunch
13.45	Introduction to Tutor Presentations in Trainers Guide - Learning Points
15.00	Break
15.15	Introduction to End of Course Assessment & Answers
15.30	Set Delegates Tasks for Presentation of Training Course (2 presentations each)
	Preparation to present one of the formal course presentations.
17.00	Close day 1
	Homework
	Trainee trainers to study and prepare to present two of the formal course presentations

Day 2	
08.00	Review of day 1
	Questions & Answers
	Trainee Trainer presentations and feedback
08.30	Presentation 1
09.30	Break
09.45	Presentation 2
10.45	Presentation 3
11.45	Lunch
13.45	Presentation 4
14.45	Break
15.00	presentation 5
16.00	Questions and Answers
	Work of Presentations ready for Training Course
17.00	Close day2

3.0 'Train the Trainer' training programmes

The following details provide an overview of the typical approach taken to the presentation of 'Train the Trainer' training programmes. This format will be used in relation to the Internal Auditor 'Train the Trainer' programmes to be run in relation to ISO 9001 and ISO 14001.

For HACCP a similar approach will be adopted, with Stage 1 replaced with delegate attendance at a four day HACCP / GMP training course.

General approach.

Training Programme comprises four stages as follows:

- Stage 1. Pre study of training course materials.
- Stage 2. Attendance at three day training workshop.
- Stage 3. Delivery of full three day course under guidance and observation of experienced Nigel Bauer & Associates trainer. (*Final verification of acceptability*).
- Stage 4. Training re-inforcement / training skills development

Training Programme aims.

To provide trainers with a full understanding of the structure, format and unique elements of the Nigel Bauer & Associates Internal Auditor training course.

To introduce trainers to the specific training approaches and associated requirements relating to the delivery of Nigel Bauer & Associates Internal Auditor training courses.

To ensure full understanding of the Nigel Bauer & Associates audit planning methodologies.

To provide trainers with the necessary training and facilitation skills to enable them to present Nigel Bauer & Associates courses in the manner required by Nigel Bauer & Associates.

To verify trainers understanding of key elements of the course and ability to present such in accordance with the requirements of the Training Guides.

To verify general acceptability of trainers to present Nigel Bauer & Associates Lead Auditor and related training courses.

The above become the "Learning Objectives" for this training process. It is assumed that the selected trainers have the necessary abilities, however this will be verified throughout the process and detailed in the final report for each trainer.

Stage 1 - Pre study of course materials:

All course materials to be issued to each delegate three weeks in advance of the training programme to enable attendees to pre study materials. In particular attendees to study "Tutors Guidance material" in advance of attendance at four day training workshop.

Stage 2 "Train the trainer" workshop (Nigel Bauer & Associates Internal Auditor training courses).

Note: Timings are for guidance only, daily finishing time will be dependent upon achievement of workshop objectives.

Day 1 - Introduction and Basic processes.	
09.00	Initial introduction to the purpose and format of the training programme. Responsibilities of the delegate trainers. Assessment process of delegate trainers. Introduction to training approaches.
10.00	Break
10.20	Review of issued materials. Detailed explanation of purpose and use of all materials. Purpose and use of the Tutors Guide. Purpose and use of Visual Aids. Responsibilities of trainers throughout the presentation of Internal Auditor courses. Terminology used on the training course Audit Planning methodology used on Nigel Bauer & Associates Auditor training courses. <i>Delegate exercise relating to Audit Planning.</i>
12.30	Lunch
13.30	Examination of training course format and aims. Review of key stages of the course. The logic behind the course structure. The purpose of syndicate exercises and syndicate group working. Syndicate Group composition. Delegates prepare for and make short presentations
15.00	Break
15.20	Managing syndicate exercises <i>Delegate exercise relating to Syndicate Exercises.</i>
17.00	Close

Day 2	
09.00	Issues from day 1
09.30	General: Training venue facility requirements. General trainer presentation and facilitation requirements.
10.00	Break
10.20	Detailed review of day two of Internal Auditor course Examination of day two syndicate activities, purpose of the activities, trainer facilitation requirements, feedback and discussion requirements.
12.30	Lunch
13.30	Presentation of key stages of day 1 <i>Delegate exercise - Presentation of course modules</i>
15.00	Break
15.20	<i>Delegate exercise relating to Syndicate Exercises.</i>
17.00	Close day 2
Day 3	
09.00	Issues from day 2
09.30	Detailed review of day three of Internal Auditor course Presentation of key stages of day 3 <i>Delegate exercise - Presentation of course modules</i>
10.00	Break
10.20	continuation.
12.30	Lunch
13.30	<i>Delegate exercise relating to Syndicate Exercises.</i>
15.00	Break
15.20	<i>Delegate exercise relating to Syndicate Exercises.</i>
16.00	Managing the delegate assessment process
17.00	Close day 3

Day 4	
09.00	Delegates prepare formal presentations
10.00	Break
10.20	<i>Delegates make presentations and self critique</i>
12.30	Lunch
13.30	<i>Delegates make presentations and self critique</i>
15.00	Break
15.20	<i>Delegate exercise relating to Syndicate Exercises.</i>
16.00	Final workshop review and feedback on trainer achievements / further training requirements / future actions etc.
17.00	Close day 4

Stage 3 - Observation of trainers presenting full three day course:

All trainers will be required to co present a full three day Internal Auditor training course under observation (and guidance where necessary) by a Nigel Bauer & Associates trainer.

Each trainer will be required to prepare for and present elements of the course. All elements will be presented by the collection of trainee trainers and will be subject to full observation by the Nigel Bauer & Associates trainer, who shall produce a final short report on each delegate's performance. This report will be supplied to and discussed with each trainer and an agreement reached regarding full suitability or where further training or training ability enhancement is required.

Delegate comments on trainer performance will also be taken into account.

Where elements of the course are presented in a language other than English, translation facilities will be provided by the client for the Nigel Bauer & Associates trainer. (It is intended that the observed course will be presented fully in English).

Trainer Assessment activity.

Trainers to demonstrate competence in the following:

Presentation of course modules in accordance with the Tutors Guide.

Conduct and facilitation of of Syndicate Exercises.

Responding to delegate needs.

(Evidenced by final report on performance of each trainer)

4.0 - Auditor Training Course programme (ISO 9001/14001 & HACCP)

Day 1	
09:00	Delegate introductions and overview of the course
09:20	Introduction to Management Systems (ISO 9001/14001/22000)/HACCP
10:00	Development & Implementation of a Management system
10:30	<i>Break</i>
10:45	Exercise 1 – Documentation
11:30	Key Management System documentation
12:00	The need for Internal Auditing
12:15	<i>Lunch Break</i>
13:15	Developing and managing an Internal Audit programme
13:45	Exercise 2 – Developing an Audit Programme
14:45	Planning an Audit (overview of the planning process)
15.15	<i>Break</i>
15.30	Exercise 3 – Developing a High Level Checklist
16.30	Auditing Techniques - part 1 (<i>searching for evidence</i>)
17.00	Close day 1
Day 2	
09:00	Review of Day 1
09:15	Audit techniques - part 2 (<i>Questioning and interview techniques</i>)
09:45	The Auditor's Plan of Action & Low Level check list
10:15	Audit Protocol
10:30	<i>Break</i>
10:45	Exercise 4 – Auditors Plan of Action & Low Level check lists
11:45	Feedback and discussion
12:15	<i>Lunch Break</i>
13:15	Recording & Reporting Audit Findings
13:45	Exercise 5 – Writing Nonconformity statements
14:45	Audit Entry & Exit Meetings
15.15	<i>Break</i>
15.30	Audit Scenarios
17.00	Close day 2

Day 3

	Day 3
09:00	Final audit scenario
10.00	Corrective Action
10.30	<i>Break</i>
10:45	Exercise 6 – Corrective Action
11.30	Audit Follow-up and Close-out
12.00	Management Review & Improving the management system
12.15	<i>Lunch Break</i>
13.15	Exercise 7 - Planning a follow up audit
14:15	Delegate Assessment
15.15	<i>Break</i>
15.30	Discussion of Delegate Assessment Answers
16.30	Course review
17.00	Close

5.0 Management Seminars

5.1 Format for seminar/symposium (ISO 9001):

Introduction & Opening remarks

General background to ISO 9001:2000 - *A general introduction to this latest development together with an overview of the key principles adopted, the basic structure, and general implications for an organisation. This will include a explanation of the "Process Approach", the continual improvement focus and flexibility in relation to quality system documentation.*

Management Responsibilities within ISO 9001:2000 - *Senior Management are required to play a significant role in the active development and implementation of the quality management system. This role will be explained and discussed, including the need for pro-active mechanisms for Policy Deployment & the need for Measurable Objectives, together with practical approaches that may be used.*

Discussion groups (focusing on management involvement & participation)

Main Business Processes - *ISO 9001:2000 addresses a small set of main or "Key" business processes. These relate to fundamental business activities undertaken by the majority of organisations, however they should not be the only activities that an organisation should address within its quality management system. Discussion will relate to the fundamental relationship of the quality management system with the overall management objective of effective and efficient business operations.*

Process monitoring and Continual Improvement - *A practical review of process performance monitoring and the link with continual improvement of processes and the quality management system. The need to keep the improvement focus fully under senior management control in order to respond to direct business needs as opposed to the demands of external auditing agencies.*

Quality System documentation - *A general introduction to the structure of the documentation needed to meet both company and ISO 9001:2000 requirements. Corporate Policy & objectives. Purpose and structure of a Quality Manual. Developing a Quality Manual in support of an organisations operations.*

ISO 9001:2000 - System Development & Implementation issues - *Approaches to the adoption of ISO 9001:2000 including Certification issues. Benefits to the organisation, potential problems.*

Final Discussion (relating to system development & certification issues).

Close.

5.2 Format for seminar/symposium (ISO 14001):

Introduction & Opening remarks

General background to ISO 14001 - *A general introduction to ISO 14001 together with an overview of the key principles adopted, the basic structure, and general implications for an organisation.*

Management Responsibilities within ISO 14001 - *Senior Management are required to play a significant role in the active development and implementation of the Environmental management system. This role will be explained and discussed, including the need for pro-active mechanisms for Policy Deployment & the need for measurement against environmental objectives, together with practical approaches that may be used. In particular the following will be explained - Environmental Aspects & Impacts, The Aspects Register, Initial Environmental Review.*

Discussion groups (focusing on management involvement & participation)

Essential elements - *The fundamental relationship of the Environmental management system with the overall management objective of effective and efficient business operations will be explained and the need for suitable Environmental Policy, Objectives and Targets.*

Checking and Review of the EMS - *A practical review of the need for process performance monitoring and the link with continual improvement of processes and the Environmental management system. The need for Internal audit, management review and periodic Environmental Reviews.*

Environmental System documentation - *A general introduction to the structure of the documentation needed to meet both company and ISO 14001 requirements. Corporate Policy & objectives. Purpose and structure of a Environmental Manual. Developing a Environmental Manual in support of an organisations operations.*

ISO 14001 - System Development & Implementation issues - *Approaches to the adoption of ISO 14001 including Certification issues. Benefits to the organisation, potential problems.*

Final Discussion (relating to system development & certification issues).

Close.

5.3 Format for seminar/symposium (HACCP & ISO 22000):

Introduction and Opening remarks

General background to ISO 22000

A general introduction to food safety management and the requirement to include the key elements of:

interactive communication, system management, process control, HACCP principles and prerequisite programs. An outline of the correspondence with ISO 9001 will be given.

Management Responsibilities

Clearly defined responsibilities are indicated for top management within a food business in their development of a food safety management system. The key elements of these requirements will be explained.

Resource Management

Implementation of an effective food safety management system relies on the provision and support of a food safety team. Key elements will be reviewed.

HACCP Plan Development

An outline of the principles of HACCP and prerequisite programs and mechanisms to ensure ongoing verification.

General discussion.

Close.

Nigel Bauer & Associates'
IRCA Certificated ISO 9000 Series Lead Auditor Training Course No: A17027
Programme
(Times tailored to suit local business working times)

Day 1

- 08.00 Registration / Introductions / Course overview / Delegate assessment
IRCA and the Auditor Certification Scheme
- 08.45 An Overview of Quality Management and ISO 9001
- 09.30 *BREAK*
- 09.45 ISO 9001 - Management processes
DISCUSSION GROUPS(*Review and Analysis of Pre-course Exercise - part 1*)
- 10.45 Feedback & discussion
- 11.15 Continuous Assessment exercise
- 12.00 *LUNCH*
- 13.45 ISO 9001 - Product Realization processes
DISCUSSION GROUPS(*Review and Analysis of Pre-course Exercise - part 2*)
- 14.45 Feedback & discussion
- 15.15 *BREAK*
- 15.30 The documentation requirements of ISO 9001
Developing a Quality Management System based on ISO 9001
- 16.00 Syndicate Exercise
(The "Process approach" and Continual improvement requirements of ISO 9001 and implications for auditors).
- 17.30 Relevance and application of ISO 9004:2000
The eight quality management principles
- 17.45 Certification / Registration issues (discussion)
- 18.00 Close day 1
Homework - Preparation for day 2

Day 2

- 08.00 Review of day 1 - discussion / concerns
- 08.20 Audit Types (1st/2nd/3rd party)
An overview of the assessment process
Document Review
Introduction to Assessment task and role play audit activity
- 08.45 Syndicate exercise (continuous assessment)
Delegates undertake a document review working with information from day 1 discussion groups
- 09.45 *BREAK*
- 10.00 Feedback & discussion
- 10.30 Developing an understanding of the On-site audit task
Process Analysis
- 11.00 SYNDICATE GROUP WORKING
- 11.45 *LUNCH*
- 13.45 Feedback & discussion
- 14.30 On-site audit planning and audit team composition
Responsibilities of the Lead Auditor
Identification of audit 'scope'
- 15.00 Assessment / Audit Protocols
- 15.15 *BREAK*
- 15.30 SYNDICATE GROUP WORKING
- 16.30 Feedback & discussion
- 17.30 Continuous Assessment exercise
- 18.00 SYNDICATE GROUP WORKING (*Preparation for Opening Meetings*)
- 18.30 Close Day 2

Day 3

- 08.00 Review of day 2 - discussion / concerns
- 08.30 Opening meetings - practical demonstration
Discussion
- 09.45 **BREAK**
- 10.00 Detailed Audit Planning
The High Level Check List
- 10.30 SYNDICATE GROUP WORKING (continuous assessment) (*High Level Check List*)
- 11.15 Review of High Level Check Lists
- 12.00 **LUNCH**
- 13.45 Auditing techniques (part 1)
Searching for Objective Evidence
Audit sampling / Audit Methods and Techniques
The auditor's 'Plan of Action'
- 14.15 SYNDICATE GROUP WORKING (*Auditor's "Plan of Action"*)
- 14.50 Feedback & discussion
- 15.15 **BREAK**
- 15.30 Auditing techniques (part 2)
Interviewing and Questioning Techniques
Use of Check Lists
Following Trails
Cultural issues / Audit etiquette
Psychology of Audit, Auditor and Auditee Tactics
Preparing "Low Level" (Detailed) Check Lists
- 16.00 SYNDICATE GROUP WORKING (*Preparing detailed check lists*)
- 17.00 Feedback and discussion
- 17.30 Continuous Assessment Exercise
- 18.30 Close day 3

Day 4

- 08.00 Review of day 3 - discussion / concerns
- 08.30 Taking notes and recording nonconformities
- 09.00 SYNDICATE EXERCISE No. 2 (*Evaluation of potential nonconformity situations*)
Review and discussion of nonconformity reporting
- 09.45 **BREAK**
- 10.00 TEAMS CONDUCT AUDIT ACTIVITIES
- 11.45 **LUNCH**
- 13.45 Audit Team Meeting
- 14.15 TEAMS CONDUCT AUDIT ACTIVITIES
- 15.15 **BREAK**
- 15.30 TEAMS CONDUCT AUDIT ACTIVITIES
Trail following exercise
- 16.15 Feedback and discussion / Lessons learnt
Qualities required of an Auditor
- 17.00 Final Audit Team Meeting
Evaluating and presenting results
Categorisation of nonconformities
Conclusions from the audit
The Closing Meeting
- 17.30 SYNDICATE GROUP WORKING (*Preparation and presentation of nonconformity statements*)
- 18.30 Close day 4

Day 5

- 08.00 Presentation of nonconformity statements
Review and discussion
- 09.00 The Corrective Action Process
Corrective Action Review and evaluation
Audit follow up and on-going surveillance
- 09.30 ***BREAK***
- 09.45 Continuous Assessment Exercise
- 10.15 Feedback & discussion
- 10.45 Report Writing
Executive Summary Reports
- 11.00 DELEGATES WRITE SUMMARY REPORT (continuous assessment)
- 12.00 ***LUNCH***
- 14.00 Introduction to Examination
Delegates write answers to Specimen examination questions
Review and discussion
- 15.00 Close of Day 5
Homework: Delegates study for examination

Day 6

- 08.00 Examination briefing
- 08.15 *Lead Auditor Examination*
- 10.15 Final discussion and course review
- 10.45 Close

Attachment E

(to final report)

***IRCA certificated
ISO 9001 Lead Auditor Training Course.
17 – 24 September 2007
Phnom Penh***

***Part of: UNIDO Project No. TF/RAS/06/001
(Amendment No. 1 to Contract No: 16001201)***

**Prepared by Klaus Thies
QMS Trainer**

**Nigel Bauer & Associates
30th September 2007**

UNIDO/ISC QMS Training Project, 17th-24th September 2007

1. This report is prepared in accordance with the contract between UNIDO and Nigel Bauer Associates, the training provider, represented in Cambodia by QMS associate Tutor Mr. Klaus Thies.

2. The delegates attending the Training course were
Miss Chin Kesar
Miss Sou Chanthou
Mr. Seng Chhang
Mr. Chheng Uddara
Mr. Yem Narith
Mr. Sok Leng
Mr. Pot Rithy
Mr. Som No
Mr. Mao Thira
Mr. Ly Tin

3. **Training Course**
The Training Course took place over six days, including the examination on day six, September 17-24. The methodology, the program and the training material from Nigel Bauer & Associates has been used.

4. **Problems encountered**
No serious problems were encountered, but it was obvious that language was a problem for all participants and in addition the terminology of ISO 9001:2000 addition for those who attended such a course for the first time.
It was noticeable that some delegates were reticent in communication, especially in asking questions.

5. **Training facilities**
The course took place at the ministry (MIME) in a conference room for approximately 100 persons. One or two participants mentioned this arrangement as not adequate for the purpose of the course. In addition delegates requested that any future courses be arranged outside the Ministry.

For the presentation of group work one board/flip chart for each group was available. For the visual aids of the course a data projector (beamer) was provided.

6. General observation

The course material had been distributed to the participants in good time. However, whilst the complete information was available, not all delegates studied the materials sufficiently before the course.

Since some participants had been on previous courses before, only the participants without experience were faced with problems, especially with the terminology. Since the management of ISC was aware of this problem and wanted these candidates on the course only for an introduction in the field of QMS, the situation was acceptable.

7. Report on the participants

Miss Chin Kesar

From attending previous courses Ms Kesar had a very good knowledge of the standard and was therefore able to contribute to the discussions from the beginning. She showed a good interpretation of the requirements of the standard and the clarity and the soundness of her statements were much better than the average of the course.

She presented on a number of occasions during the week the results of the group exercises with her own words and was able to defend her point of view during the discussions.

Her personal attributes, manner and skills were good and she gave a good impression on her future suitability as an auditor and team leader.

Miss Sou Chantou

At the beginning of the course Miss Chanthou was somehow reticent in asking questions or engaging in group exercise. It was not clear if the language or the cultural background was the main reason.

Later during the presentation of the results of group exercise her confidence improved and the results of the continuous assessment improved as well.

The interpretation of the requirement of the standard was good and the results of the specimen examination as well.

Her personal manners, skills and knowledge are good. Her suitability as an auditor depends on showing a bit more confidence and leadership, which will definitely be improved with more experience and training on the job.

Mr. Seng Chhang

From previous courses Mr. Seng Chhang had good knowledge about the standard and certification as a whole. A background of the English language was there as well and he participated very actively in all parts of the course.

He contributed well from the beginning of the course during the lecture and the group work to the success of the course.

He presented the results of the group work with emphasis and a good interpretation of the requirements of the ISO 9001:2000.

His personal attributes, manners and skills were good; his suitability as an auditor and team leader is recommended.

Mr. Chhang Uddara

Mr. Chhang Uddara had already a good knowledge of the ISO 9001:2000 and his English was on a level above the average. Participation during lectures and group exercises was very good.

His presentation of results was good and he was able to handle the questions of the other delegates. His main reason was his very good interpretation of the standard and the excellent analysis of the situations.

Therefore, and with his personal manners and skills he gave a very good impression on his suitability as an auditor and team leader.

Mr. Yem Narith

Mr. Yem Narith participated from the beginning in all lectures and presented the results of the group exercises well prepared and in professional style. His language skills were sufficient for the course and his knowledge about the standard and the interpretation of most requirements was good.

From this background and with his personal attributes and skills the impression is that he has the ability to be an auditor in future.

Mr. Sok Leng

Mr. Sok Leng was at the beginning of the course reticent during the lectures. Later he showed quite a good knowledge of the standard and was very well prepared for the specimen test and continuous assessment.

Preparing the presentations was definitely his strong point, analysis of audit situations as well.

His personal attributes and skills are good, for his future as an auditor he has to show some more self confidence. This will be surely improved by practice or training on the job.

Mr. Pot Rithy

Mr. Pot Rithy had a good knowledge about ISO 9001:2000 and his language skills were also good. He was a little more reticent than other participants but showed, if asked, a very good judgement about audit situations and requirements of the standard.

In his presentations of group exercises this has been shown as well.

With his personal attributes, manners and skills he gave a positive impression on his suitability as an auditor.

Mr. Som No

Mr. Som No had already from previous courses a very good knowledge about the ISO 9001:2000 and certification. Interpretations of requirements or clauses of the standard were done by him with great emphasis. He contributed during discussions substantially to the course, even having some doubts or different interpretations than other participants.

His presentation of results of the group exercises was well prepared.

With his knowledge and personal manners and skills he gave a good impression about his future suitability as an auditor.

Mr. Mao Thira

Mr. Mao Thira belonged to the group of participants with a limited knowledge about the standard and the terminology. Therefore he was somewhat reticent at the beginning of the course, but his confidence grew during the course.

His presentations of the group exercises were well prepared and explanations of the situations were good.

His personal attributes and manners were good, but knowledge of the standard has to be improved substantially.

Mr. Ly Tin

Mr. Ly Tin also started the course with limited experience, as well very limited experience with ISO 9001:2000 and certification. This lack of terminology caused his reticence in questions and discussions.

During his presentations he followed the prepared charts, but handling of questions and discussions was not easy for him.

From the different background to most other participants it is not possible to give a statement about his suitability as an auditor.

8. Examination Results:-

Miss Chin Kesar	Successful
Miss Sou Chanthou	Successful
Mr. Seng Chhang	Successful
Mr. Chheng Uddara	Successful
Mr. Yem Narith	Successful
Mr. Sok Leng	Successful
Mr. Pot Rithy	Successful
Mr. Som No	Successful
Mr. Mao Thira	Not successful
Mr. Ly Tin	Not successful

It is an IRCA requirement that any delegate who wishes to re-sit the examination can do so once, this must be within one year of the original training course, and with the original training organisation.

Conclusion

The Lead Auditor Training course can be considered a success. Most participants were able to follow the course quite well and developed a good understanding of the requirements of the clauses of the standard and the various audit situations.

On the other hand delegates without previous experience had much more difficulty understanding the lectures and the tasks during the group exercises. These delegates have now their first experience with the subject and this will provide a good basis for future training courses.

The delegates expressed that their main concern is the lack of an accreditation body in Cambodia, therefore the start of any activity is difficult for ISC. This may be an area for consideration by UNIDO.

Klaus Thies
Associate Trainer
Nigel Bauer and Associates

September, 30th, 2007

TRAINING RECORD FORM "A"

SUMMARY OF RESULTS FOR QM8 - THE ASSESSMENT OF QUALITY MANAGEMENT SYSTEMS
(Certified Course No. A17027)

Date of Course : 17th - 24th September 2007
Location / Venue : Phnom Penh
Course Leader : Klaus Thies

Observers (and reasons for attendance):

Support Tutors : n/a

IRCA Examination No : QMS 2

First marker: Klaus Thies

Second marker: Nigel Bauer

Course Manual Rev/Issue status:

DELEGATE NAME	CONT. ASS.	EXAM.MKS	CERT. No.
Seng Chhang	142.5	60	2007/1533
Chheng Uddara	146.5	59	2007/1534
Yem Narith	149.5	65	2007/1535
Sok Leng	161	57	2007/1536
Ms. Chin Kesar	156	66	2007/1537
Pot Rithy	148	60	2007/1538
Som No	150.5	59	2007/1539
Sou Chanthou	144	58	2007/1540
Mr. Mao Thira	156.5	39	FAIL
Ly Tin	133.5	33	FAIL
<i>Percentage of delegates who successfully completed course: 80%</i>			

**NIGEL BAUER
& ASSOCIATES**

TRAINING RECORD FORM "A"

Form Ref. TR/A/02