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Training Course Lead Assessors ISO9001:2008

Final Conclusions

Prepared for UNIDO Project B.E.S.T.F. - EE/MOZ/08/001

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1. Scope and areas of trainees

The training actions take place in Maputo, during two 5-day periods for each action and were designed for 2 groups of trainees, seeking to be included in INNOQ lead assessors data base for certification of Quality Management systems to ISO 9001:2008 standard, in a near future.

Training was carried out between 30th August and 10th September for first training group and from 13th to 24th of September for second one.

The training actions were composed by two different modules.

First module was dedicated to a theoretical approach and was focused on the background knowledge of ISO 9001:2008 Quality Management Systems – Requirements and ISO 19011 Guidelines for quality and/or environmental management systems auditing standards.

Regarding ISO 9001:2008 the approach was much more from an auditing point of view, instead of a QMS builder point of view. Detailed discussions were held regarding every phase of auditing, from planning to conduct audits, to report conclusions and to follow-up corrective actions from audited companies, using interactive workshops and some practical cases.

Second module was supported in the realization of a training audit to two existing companies, one with a QMS still in progress and another already certified.

Objectives of both modules were to develop knowledge and competences in trainees that enable them in audit situation to be able to perform pre-assessment visits, conduct opening and closing meetings, collect objective evidences, issue non-conformance forms and corrective action reports, write effective audit reports, assess corrective action plan, close out of non-conformities and issue and support their findings to certification body.

Methodology was supported with work made in classroom and in field activities.

The two groups of trainees include several people from MIC, INNOQ, DNI, INEFP, University Eduardo Mondlane, Cimentos of Mozambique, Asamoc, KPMG and Petromoc.

All trainees work in Maputo province.

2. Dates and place of issue

The training was carried out in Mozambique Capital, the city of Maputo. It took place at the Hotel Pacific Moçambicano, as per arrangements of local Cluster for Quality of UNIDO and was developed from Monday to Friday, from 07h30 to 15h30 for group 1 and 08h00 to 15h30 for group 2 during six working days. A second period of 4 days was used to perform true pedagogic audits, to Asamoc for group 1 and Cimentos of Mozambique for group 2.

Training of group 1 took place between 28th August to 10th September;

Training of group 2 took place between 13th to 24th September.

3. Trainer

Training sessions were supervised by a trainer from Interface, as previously approved by Unido.

4. Participation

Daily training sessions were divided into morning and afternoon periods.

Each day attendance was monitored through a checklist that has been delivered in paper form to UNIDO.

A daily summary sheet was also circulated to identify the content of training session as well as complete program of training.

In annex 10.1 of this report a summary of attendance is included, detailed by groups, trainees and days.

Each of the trainees was informed on the attendance criteria of award of certificate, i.e. minimum of 60% of attendance required.

5. Development of training

Due to the compactness of training content the training was mainly based in the following techniques:

- √ Trainers exposition of requirements;
- √ Group discussions
- √ Real-life examples of documentation and materials
- √ Case studies
- √ True audit to companies operating in Mozambique

6. Training objectives

Training objectives were established at the beginning, as described below:

1. Explore the requirements of ISO 9001:2008 to implement QMS and requirements of ISO 19011_2002 to organize an auditing process, plan and make audits, analyse results and describe certification decision process related with auditing process.
2. Enable participants to efficiently understand and make use of procedures for auditing/evaluating compliance with all requirements of the audit criteria and cover participants' tangible responsibilities when developing auditing activities on be-half of a certification body, and an overview as well of the proper methodologies.
3. Participants to achieve an autonomous capacity to highlight findings and achieve conclusions and to improve their performance.
4. Consider and discuss key technical and behavioural issues and methodologies required for auditing as described in ISO 19011:2002;
5. Conduct a true pedagogic and training audit in two operating companies, in day by day situations taking as reference the ISO 9001:2008 standard. Prepare final report and discuss conclusions with companies' management.
6. Participants shall improve significantly their methodical attitudes and behaviour when performing audits

7. Degree of Achievement

The following summary is presented to evaluate the two weeks training exercise to assess the degree of success and draw final conclusions as well as some recommendations for improvement.

These will be made following the initial objectives set in the TOR.

Objective	Conclusions
<p>1</p>	<p>As starting point an identification of conformity assessment requirements and position and role of auditing in these requirements was made. There was a different level of knowledge of participants in what regards ISO 9001 requirements. As a consequence the approach was based in the principle that starting point should begin at lower level.</p> <p>Emphasis was given to the understanding of ISO 9001 as seen by auditors, with focus on key points.</p> <p>In second set of training, some trainees, involved in certification processes, gave some positive approaches based on their companies' experience.</p> <p>Weak point: For group 1 the lack of people working in Industry or other types of companies with economic activity.</p> <p>For group 2 the very different leverage of people regarding contact with ISO 9001.</p> <p>Expected results achieved, regarding better knowledge of both standards.</p>
<p>2</p>	<p>Practical case studies held and discussed in classroom were very important to demonstrate how to apply knowledge described in point 1, above.</p> <p>During audits performed to ASAMOC and CIMENTOS it was possible to apply some of the points discussed and introduce corrections to the way trainees use and apply procedures to evaluate conformity.</p> <p>Some common mistakes were clear during these exercises, namely trend to focus on documental issues, dispersion on subjects, being led by the audited. Difficulties to concentrate on key issues and to summarize at the end. Forgetting of taking notes and getting evidences and references for later reporting.</p> <p>Weak point: The ones referred above, plus some difficulties on putting clear questions and in listening explanations.</p> <p>Strong point: Capacity to correct during audit some of the points referred as weak, namely trying to be more objective, have better control on schedule and in listening.</p>
<p>3</p>	<p>There is a gap between theoretical training (some of trainees have already attended to several training actions) and practical work. As outlined in point 2 there are still difficulties in highlighting findings and achieve conclusions, as well in using effective communication techniques.</p> <p>It is important that some practical cases can be developed in the near future to prevent forgetting and to gain confidence in the skills that have been trained in these actions.</p>
<p>4</p>	<p>A good success. Several approaches were discussed during module 1 in classroom. Simulations were performed by trainees and good and bad examples of expressions and attitudes were made.</p> <p>During module 2 there were several moments where trainer made</p>

	highlights of good and bad performances.
5	<p>Objective completely achieved. A true pedagogic audit was made to ASAMOC and CIMENTOS of MOZAMBIQUE for groups 1 and 2. Audit preparation was made in classroom. Documents and procedures analysis, preparation of a check list for audit and preparation of audit plan.</p> <p>An initial meeting was performed and during audit activities every trainee had the possibility to be lead assessor. After that period a meeting was conducted with all the auditors to analyse evidences and situations witnessed and to decide which ones need to go to report as Non conformity situations. Report writing and agreement and at the end closing meetings were held with companies' management to discuss conclusions and to explain what are the next steps expected from companies in order to get certification.</p> <p>Weak point: Difficulties in organizing into writing the non conforming issues. Trend to describe in a way that some consultancy is inside the statement.</p>
6	<p>Taking into account that most of the participants had never made audits, it is not possible to measure degree of improvement.</p> <p>As the very first action to many of them it is important that some kind of follow up activities can be found in order to prevent forgetting and to reinforce practice.</p>

8. Future Recommendations

- Organize and prepare a training action to discuss, debate and communicate to future Lead assessors the internal methodologies and guidelines of INNOQ, to be used, when they will act on behalf of INNOQ.
- After this training for lead assessors, it is important to implement a program of audits or a collaboration agreement with other CB's in order that trainees can participate in true audits, as observers to get qualification;
- Implement a program of exchange of simulated exercises, lead by INNOQ certification department, to keep hands on practice of selected auditors and exchange and share results after INNOQ's correction, in order to create common criteria.
- Create in INNOQ a pool of people with the responsibility to answer questions from auditors or to give them guidance and orientations

9. Acknowledgement

Trainer wants to thank all the trainees for their participation and interest and in particular case of group 1, their efforts to compensate, working during a Saturday and a National holiday, the days lost in 1 and 2 of September.

INNOQ staff that shared some of their experiences in the training and provided some logistic support with required standards; including drivers of UNIDO and INNOQ for the logistic support. Management of Asamoc and Cimentos of Mozambique for sharing with us their experience. UNIDO for the organization of this important training action that will allow INNOQ start having their National Database of Lead Assessors ISO 9001:2008.

10. Annexes

10.1 Summary of attendance

GRUPO 1 Período de 30 de Agosto a 10 de Setembro de 2010

Nome	Certificado	Dia 30		Dia 31		Dia 01		Dia 04		Dia 06		Dia 07		Dia 08		Dia 09		Dia 10		% Participação
	A / P	M	T	M	T	M	T	M	T	M	T	M	T	M	T	M	T	M	T	
Geraldo Albasini	A	S	S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Guilhermina Nhampulo	A	S	S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Paulina Tembane	A		S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	94,1%
Manuel Nunes	A	S	S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Diana Faife Gamboa	A	S	S	S	S			S	S	S	S	S	S	S	S	S	S	S	S	94,1%
Mónica Dias	A			S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	88,2%
Janete Argentina Novela	A	S	S					S	S	S	S	S	S	S	S	S	S	S	S	82,4%
Domingos Negro	A	S	S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Faustino Mário Rodrigues	A	S	S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Arlindo Mucone	A	S	S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Oswalda Wilson	A	S	S	S	S	S		S	S	S	S	S	S	S	S	S	S	S	S	100,0%

GRUPO 2 Período de 13 a 24 de Setembro de 2010

Nome	Certificado	Dia 13		Dia 14		Dia 15		Dia 16		Dia 17		Dia 20		Dia 21		Dia 22		Dia 23		Dia 24		% Participação
	A / P	M	T	M	T	M	T	M	T	M	T	M	T	M	T	M	T	M	T	M	T	
Claudia Tivane		S	S	S	S	S	S			S	S	S	S	S	S	S	S	S	S	S	S	90,0%
Jose Sarmiento Machado		S	S	S	S	S	S	S	S	S	S					S	S	S	S	S	S	80,0%
Moises Gulele		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Nelson Cossa		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Adelino Novais Estevão		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Louis Pelembe		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Gabriela Rebelo da Silva		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Alcinda Duvane		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Nilza Nataniel Macamo		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%
Cesarino Benjamim		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	100,0%

10.2. Evaluation of training action by group 1

AVALIAÇÃO DA FORMAÇÃO – Grupo 1

Designação da Formação: Lead Assessors EN ISO 9001;2008

Data da Acção de Formação: 2010-08-30 a 2010-09-10

Tratamento de dados

• OBJECTIVOS DA ACÇÃO:

	0	1	2	3	4	5	Média
Na sua opinião os objectivos da acção foram atingidos					9	2	4,2
Considera a acção adequada e útil, face à sua Função Actual ou perspectivas futuras					6	5	4,5
Expresse a sua opinião sobre a Qualidade global da acção em que participou				1	8	2	4,1

• FUNCIONAMENTO DO CURSO:

	Insatisfeito (1)	Satisfeito (2)	Mt.Satisfeito (3)	
Duração da acção		6	5	2,5
Organização Horária		5	6	2,5
Cumprimento dos Horários		3	8	2,7
Condições da Sala	2	3	6	2,4
Documentação de apoio		3	8	2,7
Componente Prática		4	4	2,5

• INTERVENÇÃO DO FORMADOR

	0	1	2	3	4	5	
O Formador domina o Tema / Matéria					1	10	4,9
O Formador foi Claro e Eficaz na Exposição					9	2	4,2

SUGESTÕES E CRÍTICAS :

- Mais acções com mais prática em empresas;
- 2 auditorias simuladas, 1 a empresa de serviços e outra a empresa de produção para sentir as diferenças;
- Os exercícios práticos foram muito elucidativos, formação eficiente e oportuna, formador competente;
- Mais tempo de realização por ser uma formação importante;
- Parte prática muito útil. Formador domina completamente o tema e transmite conhecimentos sem reserva;
- Formação proveitosa para se passar a aplicar de forma adequada a teoria contida nas normas;
- Proporcionar aos auditores mais práticas de auditorias em empresas já certificadas e depois, fazer nova formação de refreshment;
- Curso prejudicado pelos acontecimentos do 1 e 2 de setembro

LEGENDA: 0 – Muito fraca 1- Fraca 2- Razoável 3- Boa 4- Muito Boa 5- Excelente

Assinatura: _____

Data: ____ / ____ / ____

10.3. Evaluation of training action by group 2

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		AVALIAÇÃO DA FORMAÇÃO – Grupo 2

Designação da Formação: **Lead Assessors EN ISO 9001;2008**

Data da Acção de Formação: **2010-09-13 a 2010-09-24**

Tratamento de dados

	0	1	2	3	4	5	Média
• OBJECTIVOS DA ACÇÃO:							
Na sua opinião os objectivos da acção foram atingidos					6	4	4,4
Considera a acção adequada e útil, face à sua Função Actual ou perspectivas futuras					3	7	4,7
Expresse a sua opinião sobre a Qualidade global da acção em que participou					3	7	4,7
• FUNCIONAMENTO DO CURSO:							
	<i>Insatisfeito (1)</i>		<i>Satisfeito (2)</i>		<i>Mt.Satisfeito (3)</i>		
Organização Horária			5		5		2,5
Cumprimento dos Horários			5		5		2,5
Condições da Sala			6		4		2,4
Documentação de apoio			1		9		2,9
Componente Prática			2		5		2,7
• INTERVENÇÃO DO FORMADOR							
	0	1	2	3	4	5	
O Formador domina o Tema / Matéria						10	5
O Formador foi Claro e Eficaz na Exposição					1	9	4,9

SUGESTÕES E CRÍTICAS :

- Mais 2 dias de duração devido ao volume de matéria;
- Sala demasiado pequena e com pouca iluminação;
- Solicitar aos organizadores implementar um plano com auditorias a mais empresas para consolidar a aprendizagem
- Dada a dimensão da matéria objecto de estudo seria impossível esgotar todos os temas na sua profundidade. Mais tempo de formação. Sendo o objectivo oferecer uma visão geral sobre auditorias, o formador teve capacidade suficiente de elucidar os formandos sobre esta prática;
- Tempo de realização curto. Preciso mais tempo para a 9001, que serve de base, em especial para esclarecer situações de auditoria. Acredito que a parte prática pode compensar;
- Acção adequada, precisa um pouco mais de tempo para associar as normas ISO 9001 e 19011, ou haver formação prévia na 9001 para nivelar os formandos. O formador é bastante bom e eficaz. Sugere-se como actividade de seguimento, que as primeiras auditorias sejam feitas com supervisão;
- Oportunidade de disseminação de práticas de abordagem da 9001 na óptica de auditor. Estender esta formação e abordagem às Normas 14001 e 18001, face às necessidades de mercado.

LEGENDA: 0 – Muito fraca 1-Fraca 2- Razoável 3- Boa 4- Muito Boa 5- Excelente

Assinatura: _____

Data: ____ / ____ / ____

10.4. Summary of results on final test of theoretical knowledge



Formação LEAD ASSESSORS ISO 9001:2008 Project EE/MoZ/08/01 - Teste

GRUPO 1 Período de 30 de Agosto a 10 de Setembro de 2010

Nome	Certificado	Grupo 1										Grupo 2								Grupo 3			Nota		
		A / P	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20		21	22
Manuel Nunes	A	1	1	1	1	1	1	1	1	1	1	0,3	0,7	0,7	1	0,7	1		0,7	0,3	0,3	1,0	0,3	1,0	15,2
Arlindo Mucone	A	1			1	1	1	1	1	1	1	0,7		1	1	0,3	1		0,7		0,3	1,0	0,7	1,0	14,1
Domingos Negro	A	1	1	1	1	1		1	1	1	1		0,7	1	1	0,3	1		0,7	0,7	0,7	0,3	0,3	1,0	13,5
Janete Argentina Novela	A	1	1	1	1			1	1	1	1	0,3	1	1	1		0,7		0,7	0,3	0,7	1,0	0,0	1,0	13,3
Diana Faife Gamboa	A	1	1		1	1		1	1	1	1	0,7	0,7	0,7	1	0,3	1		0,7	0,3	1	0,3	0,3	1,0	13,2
Geraldo Albasini	A	1	1	1	1			1	1	1		0,7	1		1	1	1		0,3	0,7	0,3	1,0	0,0	1,0	13,0
Faustino Mário Rodrigues	A	1	1	1				1	1	1	1		1	0,7	0,7	0,3	0,7				1	0,7	0,3	1,0	11,7
Mónica Dias	A	1	1			1		1	1		1	0,3	0,7	0,3	1	0,3	1		0,3	0,3	0,7	1,0	0,0	1,0	11,6
Paulina Tembane	A		1	1	1	1	1	1	1		1		1	1		0,7	0,7		1	0,3	1	0,0	0,3	0,3	10,7
Guilhermina Nhampulo	A	1		1					1	1	1	0,7	1			0,3	0,7		0,7	0,7	1	0,3	0,3	1,0	10,3
Oswalda Wilson	A		1			1	1		1	1	1	1	1	0,7	0,7	0,7	0,7		0,3	0,3		0,3	0,7	0,0	9,9

GRUPO 2 Período de 13 a 24 de Setembro de 2010

Nome	Certificado	Grupo 1										Grupo 2								Grupo 3			Nota		
		A / P	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20		21	22
Gabriela Rebelo da Silva	A	1	1	1	1	1	1	1	1	1	1	1	1	1	1	0,7	0,7		0,3	0,3	0,7	1,0	0,5	1,0	16,3
Moises Gulele	A	1	1	1	1	1		1	1		1	0,3	1		0,3	0,7	0,7		0,7	0,3	0,7	1,0	0,5	1,0	13,5
Jose Sarmento Machado	A	1		1			1	1	1	1			1	1	1	1	1	1	0,3	0,7	0,3	0,3	0,3	1,0	12,8
Nilza Nataniel Macamo	A	1		1		1	1	1				1	1	1	1		0,7	1	0,7	0,7		0,3	0,5	1,0	12,2
Nelson Cossa	A	1			1	1	1	1	1	1		1	1		0,3	0,7	1			0,7	0,7	1,0	0,3	0,5	12,1
Claudia Tivane	A	1		1	1	1		1	1	1	1	0,3	1		1	0,7	1		0,3	1			0,3	1,0	11,7
Adelino Novais	A	1		1	1	1	1	1	1	1		0,7	1		0,3	0,3	1		0,3	0,3		1,0		0,3	10,6
Louis Pelembe	A	1		1	1		1	1	1		1	0,3	1	0,6	0,6	1	0,3		0,7		0,3		0,5	0,7	10,4
Alcinda Duvane	A			1	1			1	1			0,7	0,7		0,7	0,7	1	1	0,3			0,5	0,5	1,0	10,4
Cesarino Benjamim	P	1		1	1			1	1	1		0,3	0,3	1	1	0,7	1				0,7		0,5	0,5	9,6