

1. USE OF TECHNOLOGY IN AUDITING

Introduction & Executive Summary:

From the late 2019, the world witnessed a pandemic only comparable to the Spanish Flu of 1918. The days, weeks and months that followed were characterized by among other things panic, the spirit of humanity, and adaptability to the new normal.

Well, it would be remiss not to add that in the midst of all the challenges that Covid-19 presented, technology was embraced on a new level. Teleconference, online submissions, and other networking platforms were exhaustively used. We adapted to the new normal.

Management systems audits – internal and external is also an area rich in potential of utilization of technology. Aside from the fact that there are computer applications that can automate implementation, maintenance and auditing of management systems, basic ICT infrastructure can be applied with excellent results, before during and even after auditing.

Objectives:

- Identification of applicable ICT infrastructure needed for auditing.
- Management of access to information and data
- Information Security
- Training and Capacity building of auditors

Synopsis of the Presentation:

Description of the features and properties of basic ICT infrastructure that are necessary for auditing including but not limited to network accessibility, robust email use within the company, adequate and elaborate applications for document management etc.

Secondly, development of databases and online repositories for management system documentation (maintained and retained documented information), auditors register, management systems standards, notification of audit to auditors and auditees, communication, acknowledgement and management of audit findings, auditing and follow-up of audits.

Thirdly, access control design, and secure use of third-party teleconference avenues available in the market such as MS Teams.

Fourth, training, awareness and capacity building. Trained management systems auditors can further be equipped with the necessary skills and knowledge to adequately and effectively use the available ICT infrastructure and where necessary, be trained on specific computer applications specifically designed for automation of Management

systems. Awareness can be created to the wider staff (who are all potential auditees) on response, audit, acknowledgement and management of audit and audit findings.

Finally, continual improvement practices, shared learning, extent analysis and their applicability in the audit process.

Conclusion & Examples of Automated Compliance Applications/Software:

With the advent of the new normal following the pandemic, and the evolution of the modern workplace, it is of absolute importance that management system audits; both internal and external embrace and effectively utilize technology in planning, conducting, reporting and making follow-up of audits.

Organizations can also utilize; subject to budgetary allocation, the various computer applications in the market for the automation of management systems implementation, maintenance and auditing.

Note: Use 5 minutes to the end of the presentation to showcase an example of such an application.

Q&A Session

2. PERSONAL BRANDING FOR MRs & AUDITORS

Introduction & Executive Summary:

Personal branding is defined as the process of developing a 'mark' that is created around your name or career which in turn is used to express and communicate your skills, personality and values.

Management Representatives and auditors are key drivers of management systems continued implementation, maintenance, auditing and improvement and as such competency; which is a combination of knowledge, skill, experience and attitude is fundamentally vital for the success of management systems.

Also of importance is the role in championing the entire organization in embracing, learning and practicing the tenets of the management systems, not in isolation but as part and parcel of the woven fabric that is the organization, its objectives, quality products and/or services and meeting and exceeding customer expectations.

Objectives:

- To understand personal branding in the context of management systems
- Explore and utilize available tools for personal branding.

- Appreciate the value of personal branding today.

Synopsis of the Presentation:

Defining who a management representative and who a management system auditor is (are). This is the beginning of personal branding as it forms the basis for which knowledge, skill, experience and values stand.

Secondly, enumerating the personal attributes of an auditor. With specific reference to ISO 19011, the desirable attributes for auditors are necessary to inform the character of an auditor. The roles and responsibilities of the management representative, central of which is to provide leadership and direction are also consistent with the attributes alluded to and vital in defining the personal brand.

Thirdly, in addition to the above, the knowledge, skills, experience, values and attitudes of the management representatives and auditors and how they coalesce around the attributes described earlier are part and parcel of developing a mark that is significant and considered a value add in management systems.

Fourth, correctly identifying tools necessary to enhance personal branding and then using these tools to develop a personal brand that not only stands out but is accurate in portraying the management representatives and auditors as right and fitting for the role assigned to them. In a nutshell, 'a brand is a promise, and a successful brand is a promise kept'.

Fifth, visual illustration of personal branding. Whereas as little as 'how you see yourself' and 'how others see you' is adequate in the steps to personal branding, other principles such as 'Johari Window' is useful during training to equip the learners with as much information as possible before embarking on the exercise of personal branding and to achieve optimal picture of what each person's brand is.

Finally, draw a comparison of continual update of your CV being as important as continually reviewing and updating personal brand. This is also important because continuous professional development (CPD) is vital for quality professionals and so for management representatives and auditors.

Conclusion

Management Systems put forth competency as a requirement in the successful implementation of various management systems. Therefore, for those assigned the vital task in the implementation, maintenance, auditing and continual improvement of management system, knowledge, skill, experience, values, attributes and attitudes are not only necessary, but must be effectively communicated to inspire confidence for

organizations, staff and partners in the continual effective implementation and improvement of the management systems.

Q&A Session

3. STRATEGIC PLANNING AND QUALITY MANAGEMENT SYSTEM

Introduction & Executive Summary:

According to Harvard Business School, Strategic Planning is a process in which the leadership of an organization state the vision for the future and identify the goals and objectives of the organization. The process includes prioritizing the realization of the organizational goals so that the organization can arrive at its stated vision.

A quality management system is a collection of business processes focused on consistently meeting and exceeding customer requirements and enhancing their satisfaction through delivering quality products and/or services. It is aligned with an organization's purpose and strategic direction.

It suffices therefore to conclude that the two concepts complement each other.

Objectives:

- Appreciating the importance of strategic planning in quality management system and vice versa.
- Understanding the process of incorporating strategic planning in the quality management system.
- Developing the quality policy in line with strategic plans in fulfilment of the requirement of ISO 9001:2015.
- Updating the quality management system.

Synopsis of the Presentation:

In strategic planning, an organization lays bare the goals, direction and expected realization of these goals in a defined period of time. Therefore, in that plan, an organization can set out a quality framework with the aim of delivering quality products and/or services to its customers. Implementation, maintenance, auditing and continual improvement of a quality management system falls within this realm.

Secondly, ISO 9001:2015 – quality management system in clause 5.2 defines the necessity of making reference to the organization’s strategic plan in developing the quality policy of the organization. This relationship between strategic plans and quality management system sets the foundation of a successful quality management system.

Thirdly, in developing the organization’s quality objectives at every functional level of the organization, the fundamentals as laid down in the quality policy must be taken into account. Considering that the quality policy is developed in line with the strategic planning, every functional level of the organization will develop quality objectives that take into considerable account the strategic plan of the organization; in other words, the vision of the organization.

Fourth, meeting and ultimately exceeding customer expectations is more often than not at the core of an organization’s goals and objectives. Quality management system pays very close attention to identifying interested parties (one of whom is customers) then understanding their needs and expectations with a view to meeting and exceeding them. At the same time ISO 9001:2015 lays emphasis on the management of customer feedback so as to consistently and effectively address any shortcomings.

Fifth, continual improvement is at the core of quality management system. Identification of gaps (nonconformities) and their complete resolution ensures continual improvement which in turn contributes to meeting the goals and objectives of the organization as defined and documented in the strategic planning.

Finally, training, awareness and capacity building is a requirement of the quality management system. A competent workforce is vital for the organization since they are tasked with the roles, responsibilities and authorities of implementing the strategic plan and subsequently achieving the organization’s goals, objectives and eventually the organization’s vision.

Conclusion

Strategic planning and effective implementation of quality management system is a recipe for successful employee engagement, delivery of quality products and/or services, and exceptional customer experience in an environment of compliance to legal, regulatory and statutory requirements.

Q&A Session



Kenya Bureau of Standards

Certificate of Participation

This is to certify that

Bernard Omondi

**Attended the 1st National Forum for Internal Auditors of
Management Systems, Theme: "Value for Time"**

**Held between 4th—7th Dec , 2018
Travellers beach Hotel Mombasa**

Head

for **Mr. Bernard Nguyo**
Ag. Managing Director

04/07/2019

Date



Kenya Bureau of Standards

Certificate of Participation

This is to certify that

Bernard Omondi

**Attended the 2nd National Forum for Internal Auditors of
Management Systems**

Theme "Beyond the Checklist - Valuable Auditor"

**Held between 3rd Dec – 6th Dec , 2019
Sarova Whitesands, Mombasa**

A blue ink signature of Bernard Njiraini is written over a horizontal line.

LT. Col. (Rtd) Bernard Njiraini
Managing Director

07.02.2020

Date