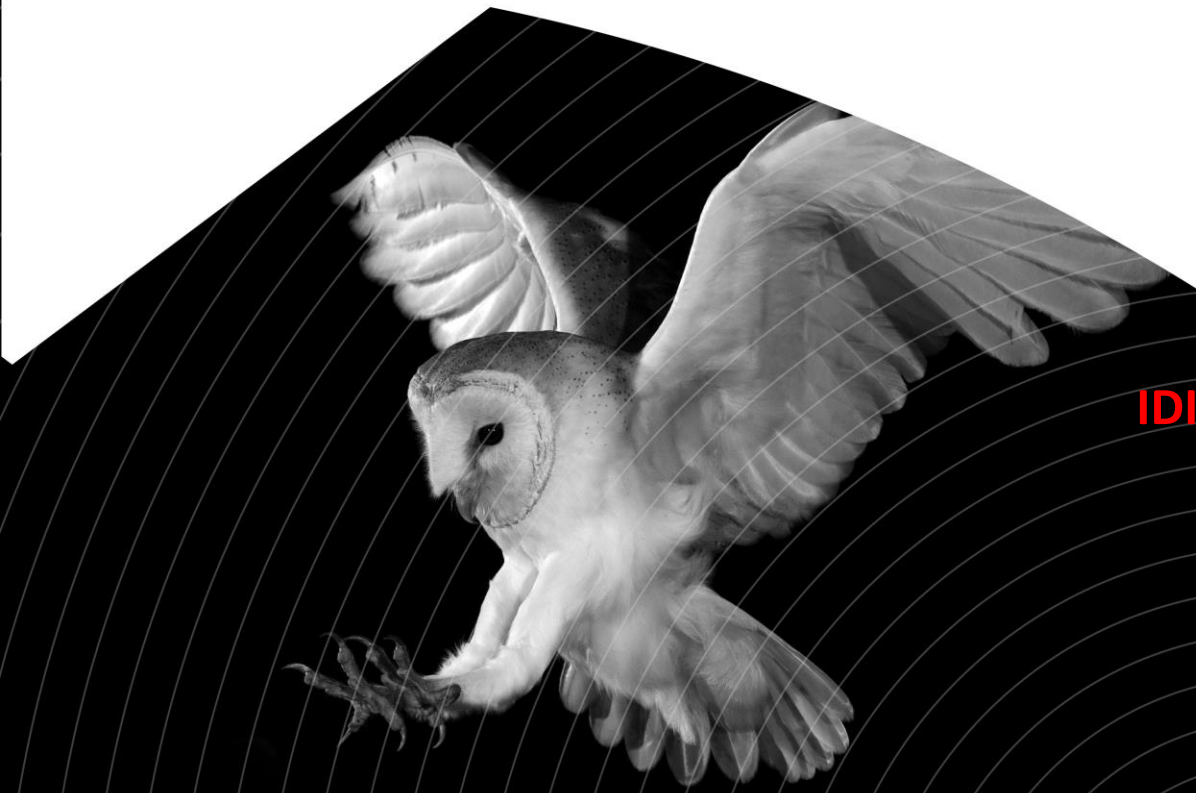

BARNOWL

IDI Technology Solutions (Pty) Ltd
2023

FULLY INTEGRATED GOVERNANCE, RISK MANAGEMENT, COMPLIANCE AND AUDIT

SOFTWARE

BarnOwl background

- BarnOwl is a fully integrated governance, risk management, compliance and audit software solution which can be implemented in a modular fashion.
- IDI Technology Solutions (Pty) Limited (IDI) is a local company founded in 2002 and based in Johannesburg with a 20 year track record.
- IDI are the sole developers, owners, distributors and implementers of the BarnOwl software.
- The BarnOwl solution is used by over 150 clients in South Africa, Africa, and abroad.
- BarnOwl is the preferred Risk Management software solution for the Public Sector endorsed by the OAG (Office of the Accountant General).

BARNOWL

Why BarnOwl GRC & Audit

Fully integrated risk, compliance and audit software solution	• State of the art (database centric) “off-the-shelf” integrated software solution • Embedded best practice (ISO31000, COSO, GACP, IPPF frameworks, King IV, National Treasury) • Functionally rich • Local compliance content available • Integrated risk & control based auditing • Online / Offline • Facilitates combined assurance
Flexibility with ease of use	• Highly configurable • Parameter-driven system • Allowing you to work the way you want to work
Flexible reporting and graphical drill-down dashboards	• All registers with drag & drop, sort, group, filter, save favourite views with export into Excel • Risk, Compliance and Audit report builder enabling you to extract data easily in ‘flat-file’ format exported to Excel • MS Word writer / integration for final audit reporting and audit committee reporting • MS Excel and MS Word integration supporting ‘prepare’, ‘review’ and ‘sign off’ • Business intelligence reporting with graphical drill-down, slice & dice dashboards: risk & control, key indicators, incidents, resource management, findings analysis, root cause analysis etc.
Owned, developed, implemented and supported locally in SA	• One team taking full accountability for successful implementation • Totally responsive to your ongoing requirements and • Unrivalled support
Tried and tested	• 20 year track-record with over 150 clients • Highly qualified and experienced team • Extensive client experience adding additional value • Guarantee success
Best Value for money	• Rand based • Bundled licensing: Risk includes Compliance, Audit includes Risk & Compliance, includes Incident Management, Workshop module, Key Indicators (KI) and Open license • Web-based portal (intranet) free to unlimited users for action plans, surveys / checklists, voting (risk & control self-assessments) and KI capture

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BarnOwl – The enabler of integrated GRC and Assurance

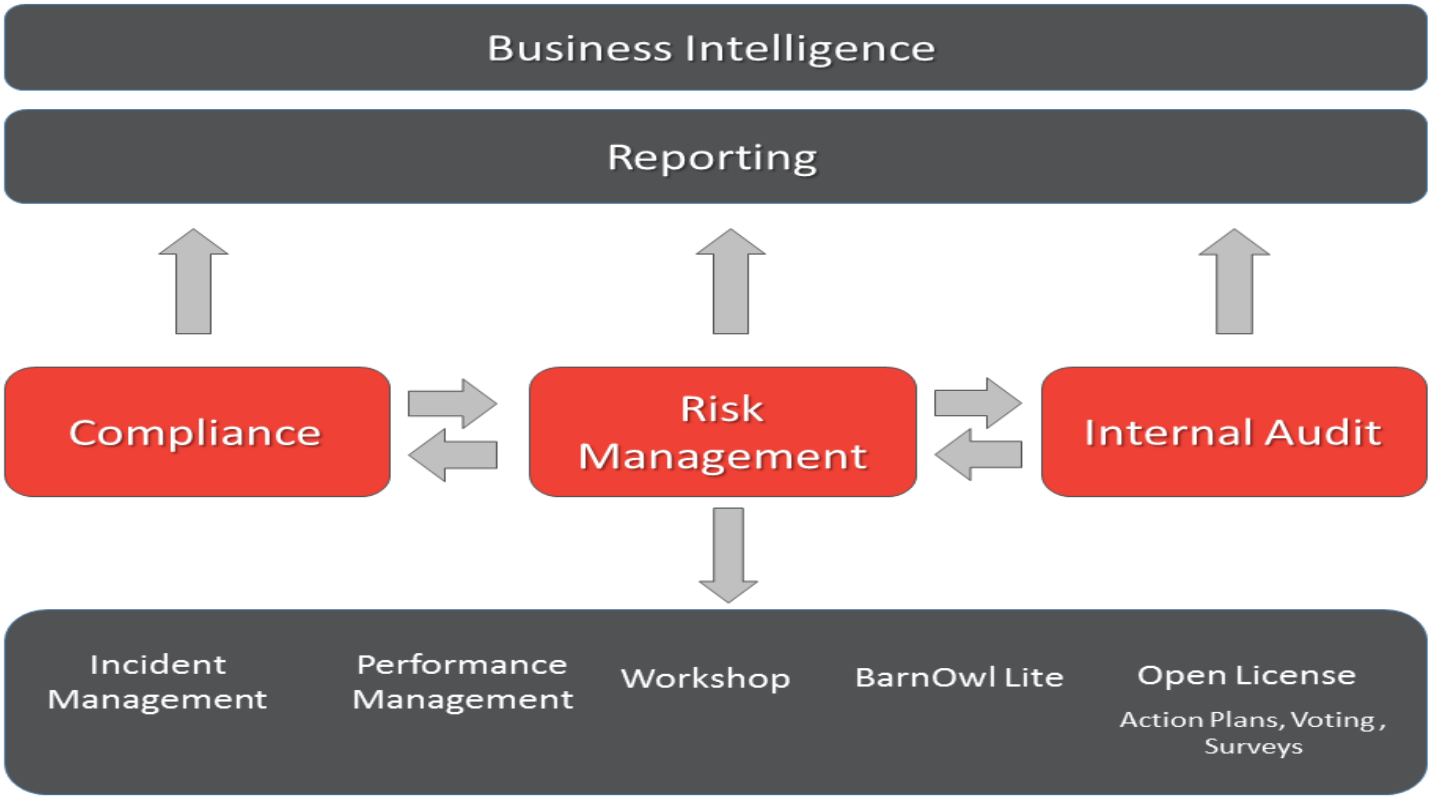
BARNOWL

BarnOwl integrated modules

BarnOwl is a fully integrated risk management, compliance and audit software solution

A major advantage of BarnOwl is that it is a fully integrated governance, risk management, compliance and audit software solution.

BarnOwl supports a risk and control based audit approach in line with international best practice (ISO31000, COSO, IPPF and the King IV code). BarnOwl provides standard functionality to align risk management and internal audit ensuring that risks that matter to the organisation are independently audited and aligned back into risk management.



BARNOWL

BarnOwl key functionality

BarnOwl key functionality	
Flexible parameter driven configuration (Server Management Console (SCM))	• Flexible rating scales (including linear and non-linear) • Categories, sub categories on all Objects • Flexible configuration of risk appetite by unit and risk category • Custom field configuration on all Objects • Flexible creation and configuration of additional custom registers (Incident Management)
Multi-level hierarchy of organisational structure and processes	• Permission enabled organisational hierarchy • Searchable library of all Objects (objectives, risks, contributing factors, controls, KIs etc.) • Process / template apply to multiple sites (units)
Risk identification and assessment	• Standard register maintenance (Rich and Lite) • RAP (risk assessment project) with workflow (Rich) • Moderation mode (Lite) • Workshop module (with or without voting devices)
Risk assessment	• Standard register maintenance (Rich and Lite) • Risk & Control self-assessments (RCSAs) (free to unlimited users) • Dynamic risk reassessment warnings (linked risks, controls, KIs, incidents)
Monitoring	• Action plan portal (free to unlimited users) • Email notifications, reminders, escalation, consolidated email
Reporting	• Standard registers (drag and drop / favourite views / exports) • Standard dashboard report builder (flexible flat file extract into Excel) • Heat maps / trends etc. • Drill down scorecards • Quantitative risk appetite reporting • Bowtie reporting • Combined assurance reporting • Integrated Word report builder • Customised script runner for extracts into Excel • SSRS (SQL Server Reporting Services) for customised reports • BarnOwl data warehouse with standard Power BI dashboards (can connect to the warehouse with your own BI tool)

BARNOWL

BarnOwl key functionality continued

BarnOwl key functionality (continued)	
Incident management	• Contracts, Ethics, H&S, Forensics, Tip Offs, Gifts, Conflict of Interest declaration, Loss Events etc. registers (flexible creation of any type of register with custom fields) • Action Plan follow-up (free to unlimited users) • Integrated with the audit module for deep-dive investigations and raising of Findings
Key Indicator sub-module	• KPIs (key performance indicators), KRIs (key risk indicators), KCIs (key control indicators), targets, thresholds, frequency, weighting and periods • Online capture of KI values by owners (free to unlimited users) • Imports of KI values from Excel • Integrated with data analytics for continuous auditing (Arbutus)
Surveys, Checklists, Questionnaire	• Design, distribute, monitor, reporting • Online completion (free to unlimited users)
Fully integrated audit module	• Audit universe / Process library maintenance • Risk & control based auditing (fully integrated with RM module) • Planning • Execution • Reporting • Finding tracking with action plans (free to unlimited users / auditees) • Online / offline, check in / check out, workflow, review notes, Word and Excel integration, follow-up audits. • Integrated with Arbutus data analytics supporting continuous auditing
Fully integrated compliance module	• Import of SA acts • Online Checklists (surveys) (free to unlimited users) • CRMPs (Compliance Risk Management Plans) • Action plan monitoring (free to unlimited users)

BARNOWL

BarnOwl integrated Risk, Compliance & Audit management

BarnOwl Risk Management

Risk Management Process

Simplifying the GRC process

1 Establishing the Context

- External and Internal context setting
- Identification of objectives at the various levels of the organisation (strategic, business and functional) including interdependencies

2 Risk Identification

- Identify processes risks, controls and optionally contributing factors, key indicators and consequences associated with objectives at every level of the organisation including interdependencies
- Maintain a centralised library in support of a common risk taxonomy driving consistency across the organisation

3 Risk Analysis, Evaluation and Assessment

- Inherent rating of risks qualitatively and quantitatively
- Identification and rating of controls (adequacy and effectiveness)
- Residual rating of risks qualitatively and quantitatively mapped against risk appetite and tolerance
- Automation of risk and control self-assessments
- Automation of checklists and surveys

4 Risk Treatment and Execution

- Control effectiveness in both design (adequacy) and operation (effectiveness)
- Action plans with due dates and responsible owners
- Automated reminders, notifications and escalation emails and online completion of action plans with full audit trails

5 Monitoring and Review

- Capturing and analysis of incidents, loss events, lessons learnt etc.
- Automated risk reassessment notifications as a result of changing controls, KRIs, incidents and child-risks.
- Monitoring and reviewing that the risk control and treatment measures are effective in both design (adequacy) and operation (effectiveness)

6 Reporting

- Flexible report writer, heat maps, trends, scorecards, bowtie etc.
- Consolidated reporting with drill down into business units / functions and processes
- Combined Assurance reporting
- Advanced analytics and business intelligence

BarnOwl Compliance

Compliance Management Process

Simplifying Compliance

Phase I – Compliance Risk Identification

- Simply import the relevant acts from 3rd party compliance content providers into BarnOwl's regulatory library of acts, regulations and provisions (requirements) and apply them to the individual divisions/subsidiaries
- Capture your own policies and procedures into BarnOwl's regulatory library and apply to them to the individual divisions/ subsidiaries

Phase II – Compliance Risk Assessment

- Categorise the identified acts in terms of core/primary, secondary or topical/pertinent for the organisation as whole and for the individual divisions/subsidiaries
- Prioritise the identified acts by rating each in terms of Probability and Seriousness for the organisation as a whole and at the various levels of the organisation where applicable
- BarnOwl automatically generates compliance risk management plans (CRMPS) and checklists for each requirement which has been identified for compliance
- Rate (prioritise) the compliance risks (provisions) at the various levels of the organisation based on Impact and Likelihood in line with best practice risk management

Phase III – Compliance Risk Management (Control optimisation)

- Identify the control measure which will monitor compliance
- Set the target date and responsible owner/s for implementing the control measures
- BarnOwl sends out automated risk and control self-assessments to the relevant owners to rate control adequacy and effectiveness
- Automation of checklists and surveys

Phase IV – Compliance Risk Monitoring

- Monitors action plan activity by owner and due date
- Enables a review process of risk & control self-assessments and compliance checklists
- Enables tracking of tip-offs, issues, loss events, complaints, gifts, conflicts of interest related to the compliance function
- Provides extensive compliance reporting: compliance risk and control ratings, non-compliance findings, issues, overdue action plans

BarnOwl Audit #1

Audit Management Process

Simplifying and Standardising Audit

1 Audit Universe Management

- Define and maintain a centralised library including auditable processes, entities, audit objectives, risks, controls and tests
- Setup the various audit project types and templates using BarnOwl's Project File Organiser (standard tasks, audit steps, audit programmes, template documents etc.)

2 Risk Assessment

- Identify risk areas for assessment
- Various risk reports and scorecards are used to assist risk and control based audit planning
- Send out automated risk and control self-assessments via BarnOwl's web-based voting technology

3 Audit Planning and Scheduling

- 3 Year rolling audit plan and resource planning
- Create an internal audit project from an Audit Plan or directly from Processes and/or the Organisational structure
- Select the type of audit project which automatically loads the relevant Project File Organiser (PFO) template and audit programme/s from the library
- Select the relevant risks and controls to audit (automatically imported from the risk management module)
- Allocate resources to the audit project tasks with planned hours

4 Audit Fieldwork and Execution

- Execute the audit based on the project file organiser (PFO)/ audit programme/s
- Complete control adequacy testing and rating
- Complete effectiveness testing including audit procedures and sample testing
- Attach evidence
- Update control effectiveness rating
- Capture findings or search a library of findings including fields such as standard (criteria), finding, impact, root cause and recommendations
- Send out findings to management for comment and import management comments automatically
- Capture audit's risk assessment ratings
- Review audit work using the PFO (project file organiser)
- Capture 'living' action plans based on management comments
- Rate audit objective/s
- Full preparer, reviewer and sign off functionality with online and offline check-in and check-out
- Capture and clear review notes
- Complete and sign off of time sheets

BarnOwl Audit #2

5 Audit Reporting

- Generate audit reports from a selection of flexible report templates
- Generate standard findings reports including action plans
- Design and generate flexible data extracts directly into Excel
- Generate final audit reports in Microsoft Word

6 Audit Finalisation and Alignment back to Risk Management

- Clear review notes
- Close the audit project
- Perform audit alignment whereby risk management is updated with audit's risk and control ratings including the import of any new risks and/or controls that may have been identified during the audit
- Combined assurance reporting showing independent rating of risks and controls by the various assurance providers
- Automated audit satisfaction surveys

7 Audit Findings Management and Monitoring

- Track and analyse findings and remedial action
- Automated reminders, notifications and escalation emails and the online completion of action plans by the auditee with audit trail history showing remedial action progress
- Advanced business intelligence dashboard reporting enabling an organisation to gain insight into ongoing audit issues, root cause analysis, risk analysis, trends, benchmarking etc

8 Follow-up Audits

- Create a follow-up project from a completed audit. Findings and execution data (ratings, working papers, etc.) are automatically pulled through into the follow-up audit project from the completed audit project
- Review the action plan progress and documentation against findings
- Set status after follow-up e.g. (Resolved, Progress Satisfactory, Progress Unsatisfactory, Unresolved)
- Raise new findings
- Generate follow-up report

BarnOwl Data Analytics integration (Arbutus)

BarnOwl GRC integrated with Arbutus data analytics

Real-time insight, driving preventative and predictive capability

1 Top down approach determines the Key Indicators (KIs)

- BarnOwl's top down and objective based approach to risk management ensures the identification and prioritisation of risks, controls and key indicators (KPIs, KRIs and KCIs).

2 Risk-Based Analytic / Test design

- Risk-based key indicators (KIs) determine the focus and design of the Arbutus Analytic / Tests
- BarnOwl key indicator (KI) / Arbutus analytic mapping

3 Arbutus Analytic continuously monitors all data

- Access all data from big, small, complex, disparate systems across all areas such as financial, operational, IT and across all platforms such as on premise, cloud, PC, mainframe
- Test millions of records on a continuous or periodic (e.g. daily, monthly) basis identifying exceptions in all the data
- Engineered for analysis of all your data
- Systematically manage your results
- Seamless integration of analytic results with BarnOwl

4 Real-time update of BarnOwl Key Indicators with Arbutus test results

- Real-time test results update KI values across multiple business units (e.g. sites / stores) and processes
- Summarised test results such as KI value, total record count, exception record count, total value, exception value
- Test result exceptions are attached to KIs for analysis

5 Continuous monitoring and dynamic reassessment of objectives, risks and controls

- Continuous monitoring of key indicator values and thresholds
- Early warning system of key indicator breaches
- Cascading, dynamic reassessment of objectives, risks and controls
- Real-time risk management mitigating downstream knock-on effects

6 Informed business decision making

- An integrated up to date view of the risk universe
- In depth insight into the interconnectedness of risk and its effect on the achievement of strategic and business objectives
- Real time predicative analysis of existing and emerging risks
- Foresight in a changing risk environment
- Risk intelligence you can trust

BarnOwl Risk Management

BarnOwl Risk Management module

BarnOwl supports best practice risk management frameworks (e.g. COSO, ISO31000, National Treasury's Risk Management Framework) driving and embedding risk management in your organisation:

- **Hierarchical organisational structure with Objectives:** with logical linking of all system objects such as: Objectives, Risks, Controls, KRIs, Processes, Products, Systems, Policies and Standards.
- **Risk Identification**: identify upside risks (that help achieve objectives) and downside risks (that threaten objectives). Includes moderation / approval mode. Risk linking across levels (strategic, business, operational)
- **Risk Assessment**: Perform workflow-based risk assessment (RAP): inherent impact x inherit likelihood = inherent risk (pre-control) and residual impact x residual likelihood = residual risk (post control). Assess via BarnOwl Rich, Lite, RCSAs, Workshop voting with moderation / approval mode. Includes Qualitative, Quantitative, Unit Weightings.
- **Control Identification and Assessment**: Identify and rate controls in terms of control adequacy (design) and control effectiveness (how well the control works). Residual risk is either manually rated or can be auto-calculated based on control adequacy and effectiveness. Combined assurance rating. Control testing checklists / sampling (in audit).
- **Action Plans**: Raise action plans against risks and controls where relevant with owners and due dates driving accountability and ownership for the mitigation of risk. (email notifications, reminders, escalation)
- **Risk Incidents**: capture any type of incident and / or loss event (actual, potential and near misses) against a business unit or risk by category / sub category. Examples include: loss events, burglaries, robberies, tip-offs, management investigations, OHASA incidents, Strikes, Fraud risk, etc.
- **Key Indicators**: flexible setup of Key Indicators such as Key Performance Indicators (KPIs), Key Risk Indicators (KRIs) and Key Control Indicators (KCIs). Upper and lower threshold limits (targets) can be set-up per period of measure (monthly, quarterly, annually etc.) of the KI at each unit level.
- **Risk and Control self-assessments**: automated scheduling with email notifications, reminders and escalation with online RCSAs (reviewer sign off).
- **Checklists (Compliance), Surveys, Questionnaires**: automated scheduling with email notifications, reminders and escalation with online completion (reviewer sign off).
- **Workshop key pad voting:** interactive voting with keypads.

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BarnOwl Compliance

BarnOwl Compliance Management module

The BarnOwl compliance module enables an organisation to manage its regulatory universe by rating and monitoring compliance to the acts, regulations and provisions at every level of the organisation, where applicable. The BarnOwl compliance module supports and embeds best practices frameworks such as Generally Accepted Compliance Practice Framework (GACP):

- Phase I – Compliance Risk Identification
- Phase II – Compliance Risk Assessment
- Phase III – Compliance Risk Management (Control optimisation)
- Phase IV – Compliance Risk Monitoring

BarnOwl enables a regulatory universe library to be maintained of applicable compliance driven requirements including section, heading, provision, CRMPs (compliance risk management plans), checklist questions and associated controls.

Regulatory Requirement Title	Acronym	Type	Year	Category	M	I	S	P	Risk Rating
Construction Industry Development Board Act	CIDB	Acts OF Parliament	2000	Core	8.00	6.00	8.00	6.00	48.00
Financial Advisory and Intermediary Services Act	FAIS	Acts OF Parliament	2002	Core	9.00	9.00	9.00	6.00	54.00

Section Title	Heading Title	Provision Title	II	IL	IR	RI	RL	RR
Chapter I - Administration of Act	Registrar and deputy registrar of financial services providers	0002.Registrar and deputy registrar of financial services providers	3.00	4.00	12.00	3.00	2.00	6.00
Chapter II - Authorisation of Financial Service Providers	Authorisation of financial services providers	0007.Authorisation of financial services providers	5.00	4.00	20.00	5.00	3.00	15.00
Chapter III - Representatives of Authorised Financial Services Providers	Qualifications of representatives and duties of authorised financial services provider	0013.Qualifications of representatives and duties of authorised financial services provider	4.00	5.00	20.00	4.00	4.00	16.00
Chapter IV - Code of conduct	Publication of codes of conduct	0015.Publication of codes of conduct	0.00	0.00	0.00	0.00	0.00	0.00
Chapter V - Duties of Authorised Financial Service Providers	Compliance officers and compliance arrangements	0017.Compliance officers and compliance arrangements	0.00	0.00	0.00	0.00	0.00	0.00
Chapter VI - Enforcement	Office of Ombud for Financial Service Providers	0020.Office of Ombud for Financial Service Providers	0.00	0.00	0.00	0.00	0.00	0.00
Chapter VII - Miscellaneous	Saving of rights	0040.Saving of rights	0.00	0.00	0.00	0.00	0.00	0.00

Survey Title	Reference	Origin Reference	Type	Status	Start Date
Financial Advisory and Intermediary Services Act - Joburg	FAIS 2014	Financial Advisory and Intermediary Services Act	Survey	Active	14 Apr 2014

Regulatory Requirement Title	Acronym	Type	Year	Category	M	I	S	P	Risk Rating
Occupational Health and Safety Act	OHASA	Acts OF Parliament	1993	Core	7.00	7.00	7.00	7.00	49.00
Public Finance Management Act	PFMA	Acts OF Parliament	2013	Core	5.00	7.00	7.00	4.00	28.00

BARNOWL

BarnOwl Audit

BarnOwl Internal Audit module

BarnOwl provides a fully integrated audit module aligned to the IPPF (International Professional Practice Framework) standards. BarnOwl facilitates best practice auditing methodology:

- supports risk and control based auditing ensuring that risks which matter to an organisation are audited independently and updated back into risk management facilitating combined assurance and automating the monitoring of corrective actions deemed necessary.
- assists with the easy co-ordination of Risk Management and Internal Audit Work.
- supports the standard Internal Audit process consisting of sub-processes, Strategic Planning, Assignment Planning, Assignment Execution, Assignment reporting, Assignment follow-up and reporting to stakeholders.
- **Planning** and resource allocation including Strategic planning, Assignment planning and Timesheets.
- **Fieldwork** supporting risk and control based auditing.
- **Execution**:
  - Control adequacy
  - Effectiveness testing, audit procedures and tests
  - Raise findings
  - Management comments
  - Prepare, Review and Sign off (integrated review notes in Word, Excel and database)
  - Action Plans
- **Reporting**: Audit project reporting (integrated with MS Word).
- **Audit alignment** back to risk management with action plans and monitoring (combined assurance).
- **Follow up audits**.
- **Consolidated reporting** / dashboards to stakeholders (e.g. management, external auditors , audit committee).
- Forensic auditing which may be initiated from BarnOwl's integrated incident management sub-module.
- Compliance auditing which is initiated from BarnOwl's integrated compliance management module.
- Offline / online synchronisation.

BARNOWL

BarnOwl Business Intelligence (data warehouse)

BarnOwl Business Intelligence

BarnOwl's business intelligence (BI) and data warehousing module features interactive, user-friendly graphical dashboards for all modules (risk, audit, compliance, incidents, KRIs, action plans, surveys) utilising Microsoft's Power BI.

BARNOWL

What BarnOwl Risk Management will do for me

- What BarnOwl ERM will do for me:
  - Facilitate and embed ERM in your organisation
  - Reduce administrative burden of ERM
  - Improve the quality and consistency of data captured
  - Consolidated reporting: flexible slice and dice, drag and drop, filters, export
  - Provide an up to date dashboard of your risk universe (drill down bar, pie, trend, heat maps…)
  - Facilitate a culture of risk and control within your organisation
  - Director / Accounting officer protection (formalised approach to risk management / compliance)

BARNOWL

What BarnOwl Compliance will do for me

- What BarnOwl Compliance will do for me:
  - Maintain an up-to-date regulatory universe in support of the Compliance Institute's best practice framework
  - Import acts, sections, headings and provisions from 3rd party compliance content providers or populate your own content
  - Create compliance risk management plans automatically
  - Create, publish and track compliance checklists automatically
  - Monitor and track non-compliance: online action plans (free to unlimited users)
  - Generate compliance reporting and provide an up-to-date dashboard of your compliance universe (scorecards, trends, heat maps…)
  - Director / Accounting officer protection (formalised approach to risk management / compliance)

BARNOWL

What BarnOwl Audit will do for me

- What BarnOwl Internal Audit will do for me:
  - Increased audit coverage, reduced audit time and cost (up to 33% time saving)
  - Simplify and standardise your audit processes with centralised ‘working-paper’ library for all types of audit: risk & control, ad hoc, forensic, compliance etc.
  - Risk & Control based auditing ensuring that risks that matter to the organisation are audited and aligned back to the business
  - Assist you to comply with the IIA standards and quality assurance review
  - Final audit reports, audit committee reporting, combined assurance reporting at the click of a button
  - Online follow-up of findings via web-based action plans (free to unlimited users / auditees)

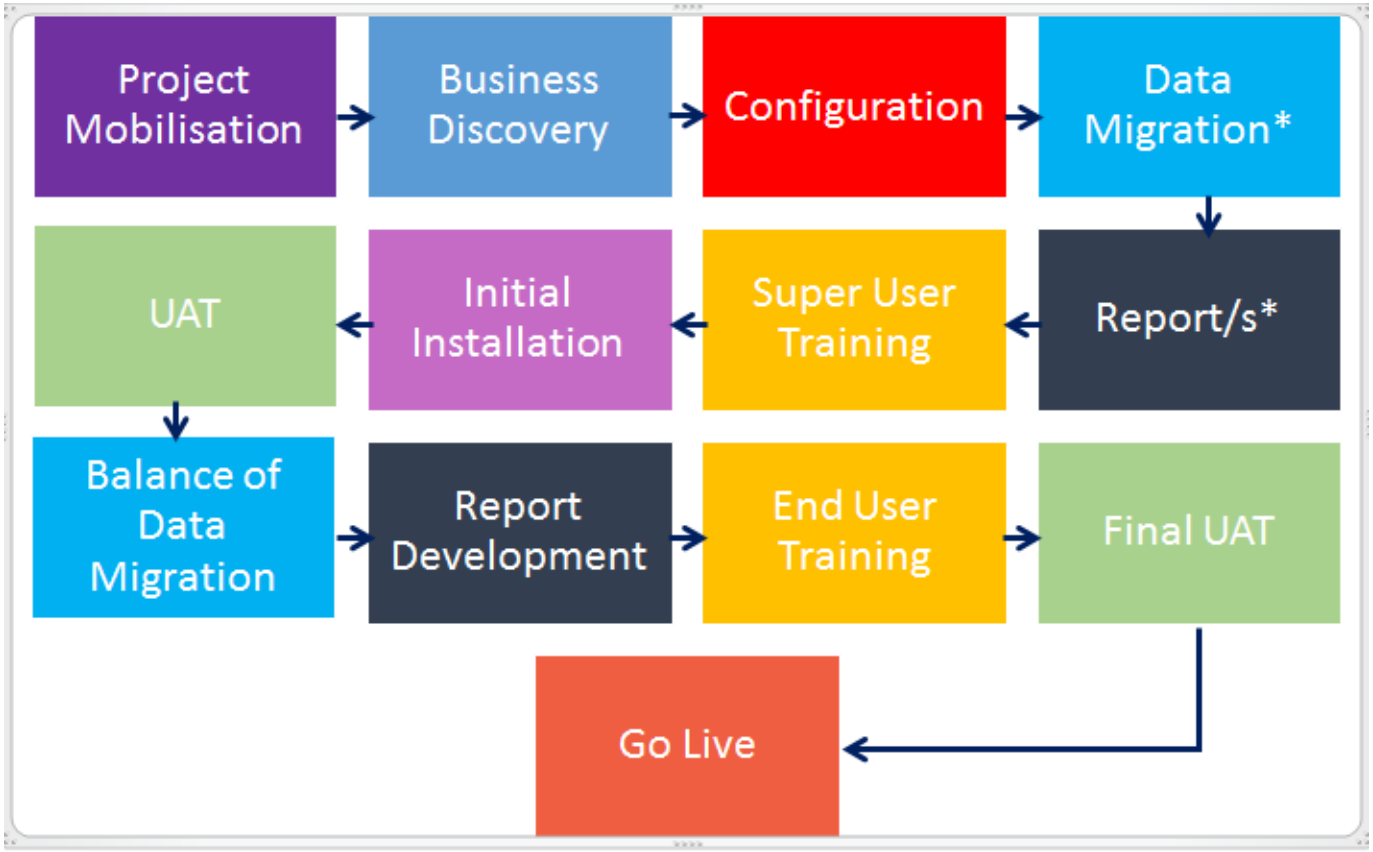
BARNOWL

BarnOwl implementation & training

Implementation and Training

Our step by step implementation and training approach and the verification of outputs after every phase provide quality assurance and guarantee the successful implementation of the BarnOwl solution. A key differentiator is our focused and dedicated approach to implementation, training and skills transfer. Training is tailored to your requirements based on your system configuration and the roles of individual team members.

BarnOwl's key staff have outstanding experience pertinent to the scope of the project. Our staff are highly qualified and have extensive experience in the implementation of the BarnOwl GRC software both in the private and public sectors.



https://barnowl.co.za/wp-content/uploads/2023/03/infographic_barnowl.pdf

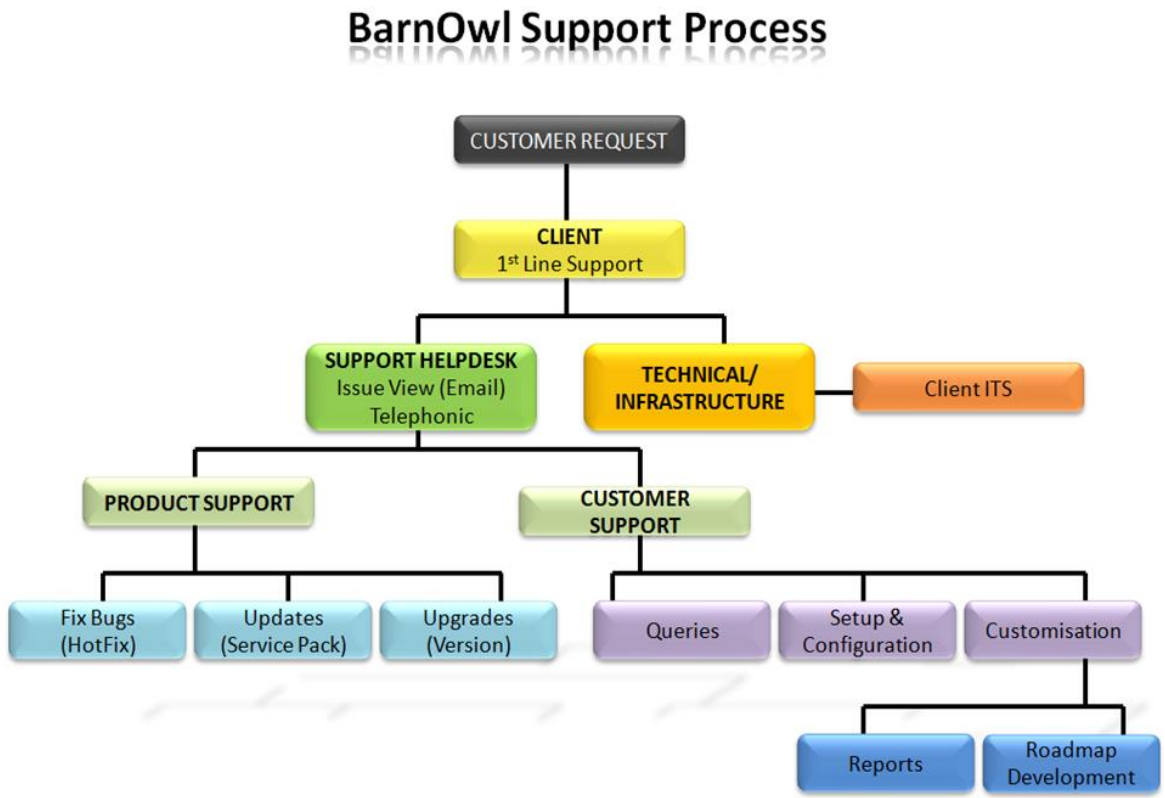
BARNOWL

BarnOwl maintenance & support

Maintenance and Support

BarnOwl is a locally (South African) owned, developed, implemented and supported software solution which guarantees superior support and software that continually evolves to meet localised and regional requirements.

IDI being the developers (authors), implementers and providing support for the system means that there is no break-down in communication between the software vendor and the implementation team. The BarnOwl team is 'one team' who takes full responsibility and accountability for the successful deployment and support of the BarnOwl solution in your organisation



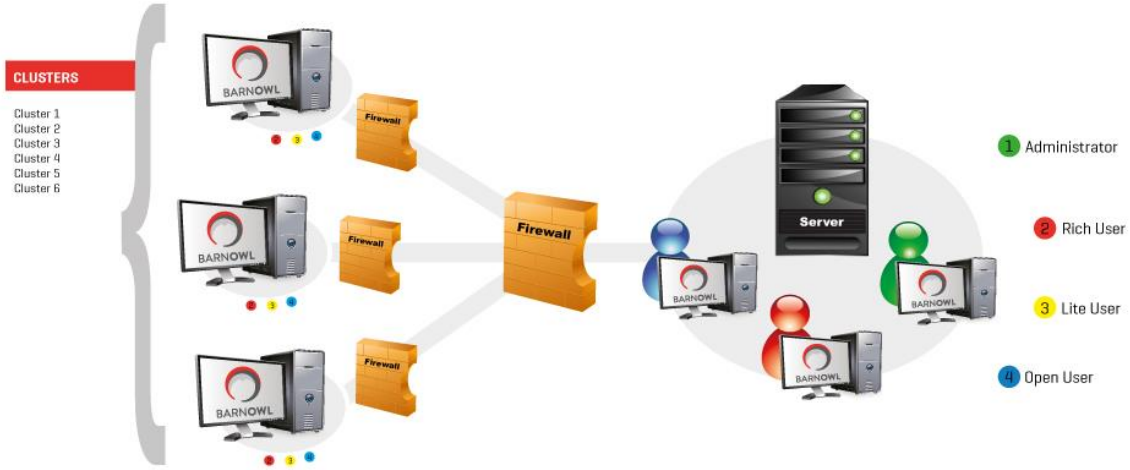
BARNOWL

BarnOwl minimum IT requirements

Minimum IT Requirements

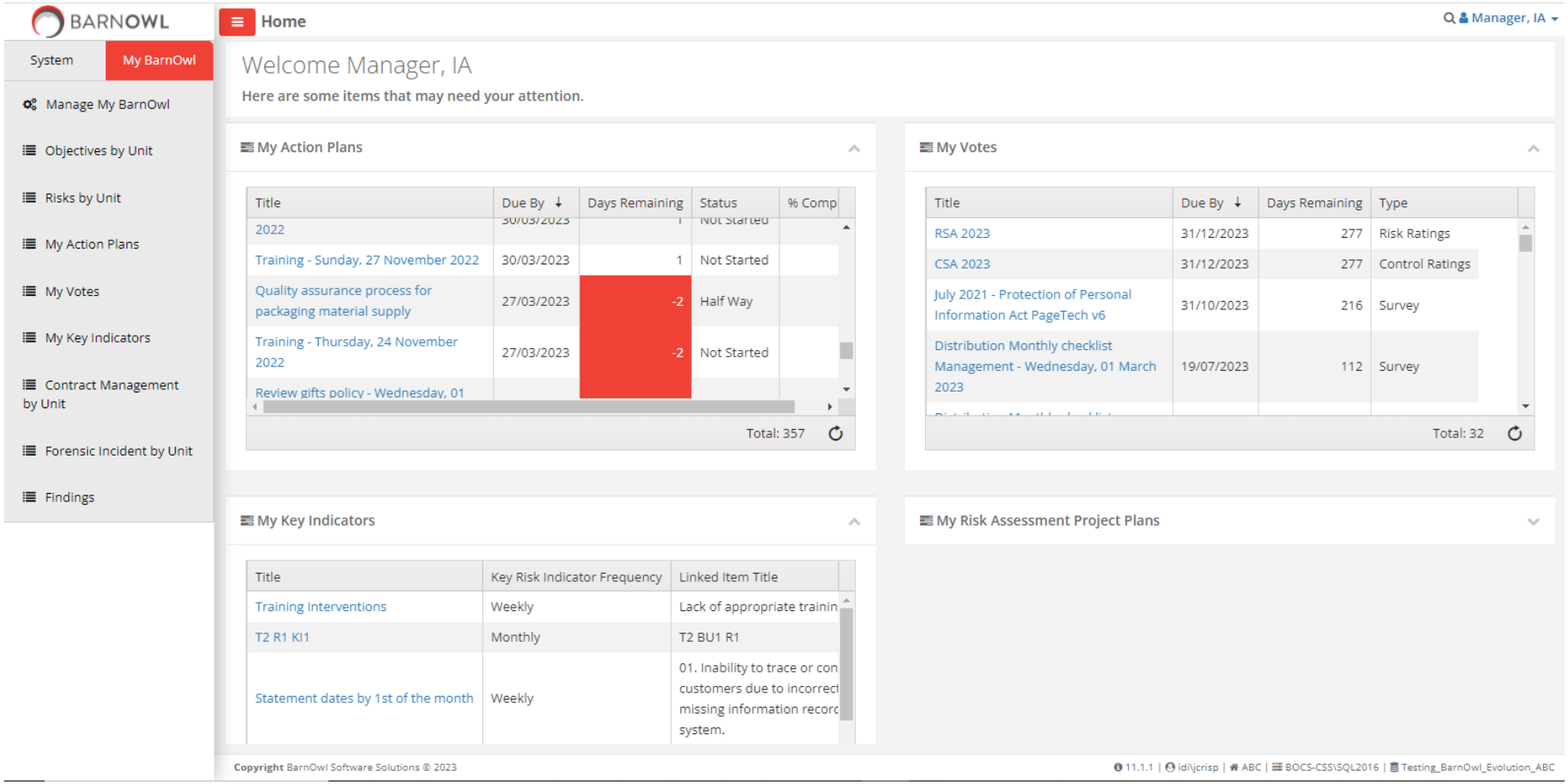
BarnOwl is a standard application operating within a Microsoft Windows environment and SQL server environment. The BarnOwl Lite and Open modules are platform independent (including tablets (ipad)) and browser independent (Explorer, Chrome etc.). Please see https://barnowl.co.za/wp-content/uploads/2023/03/BarnOwl-Minimum-System-Requirements-v11-1.pdf for the latest minimum technical requirements.

An advantage of BarnOwl is that it is installed in your own environment (standard Microsoft based environment with SQL Server on-premise or in your own Cloud environment) and not necessarily dependent on external Internet connectivity.

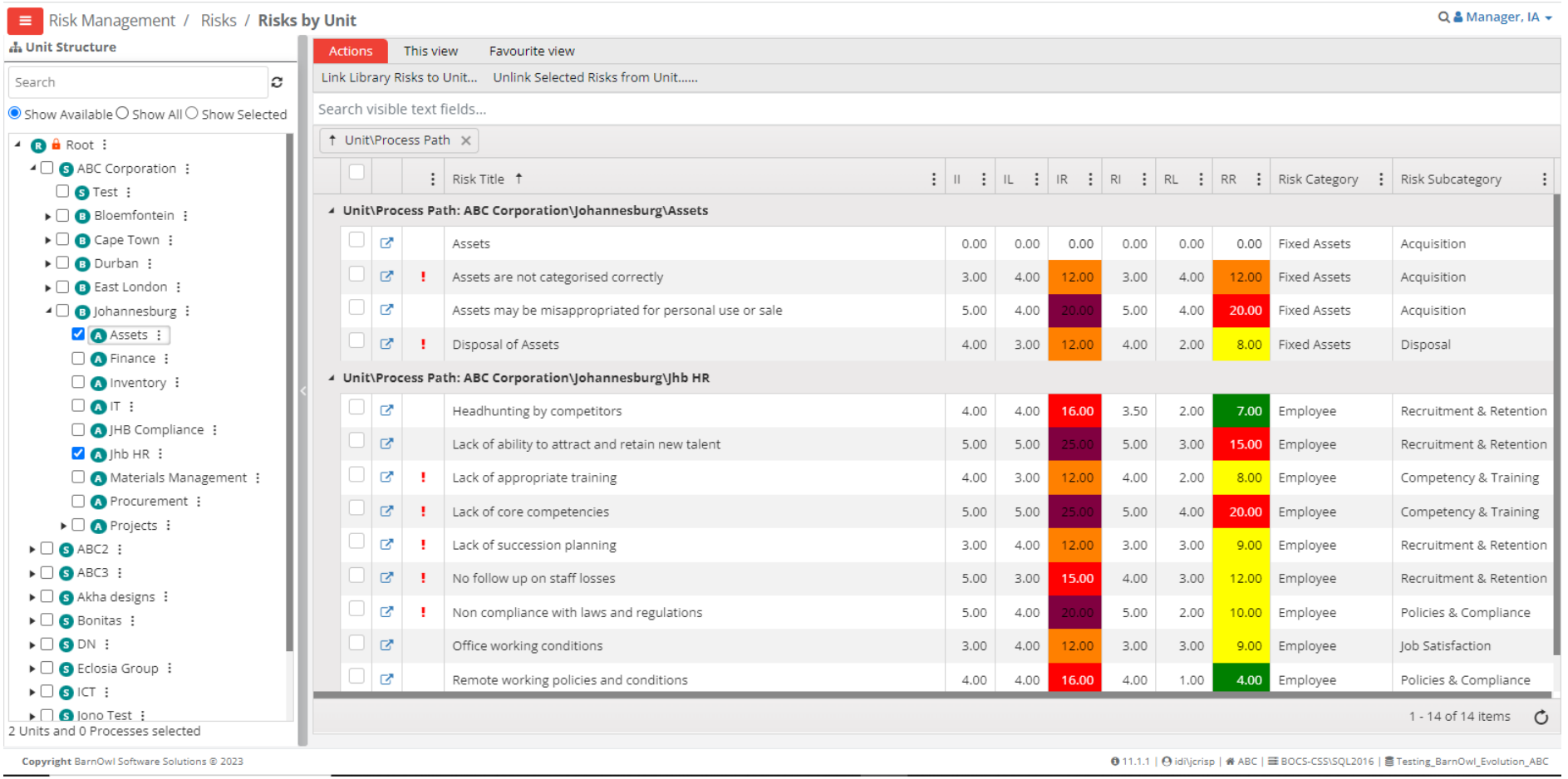


BARNOWL

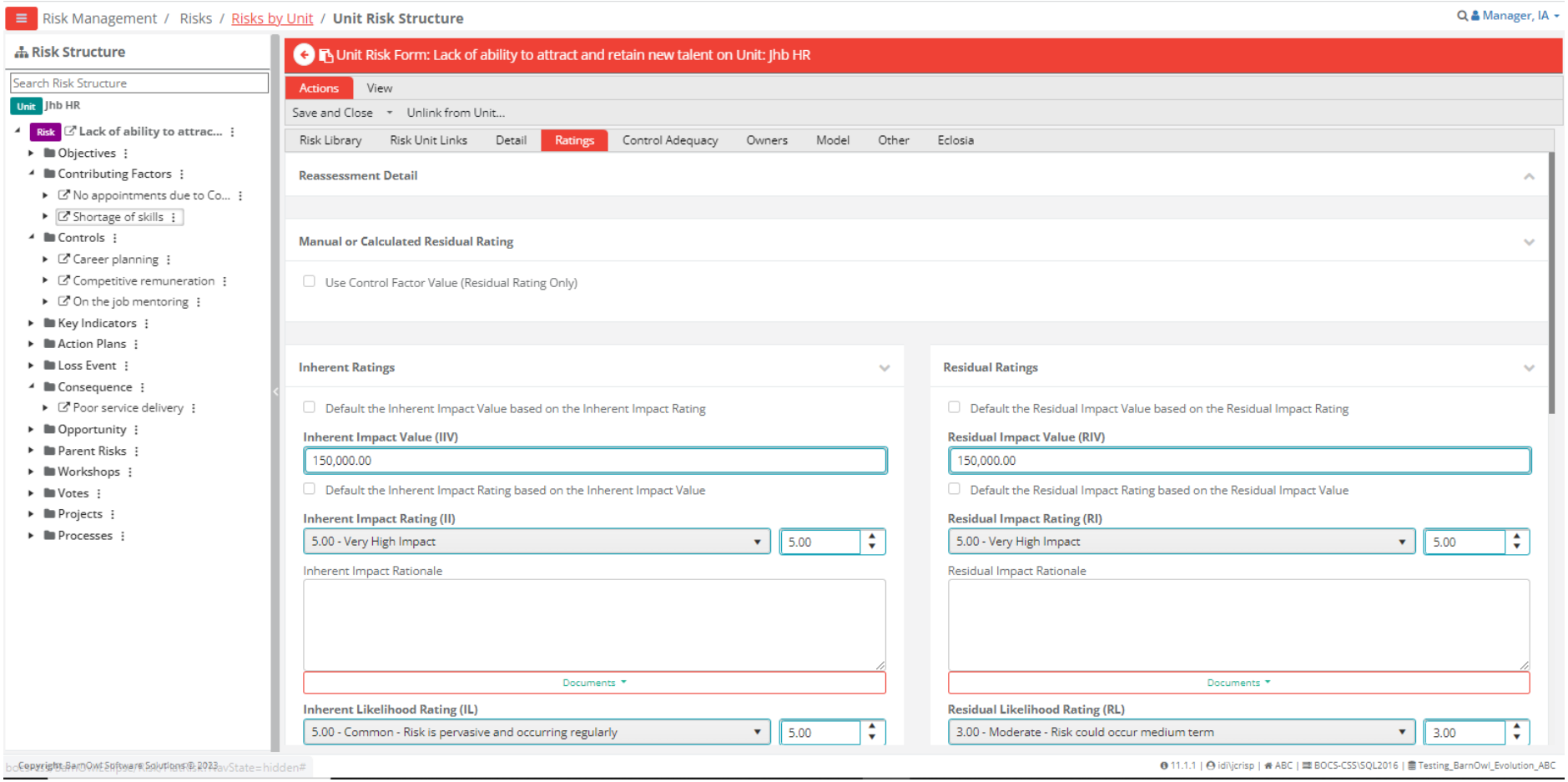
BarnOwl Web landing page



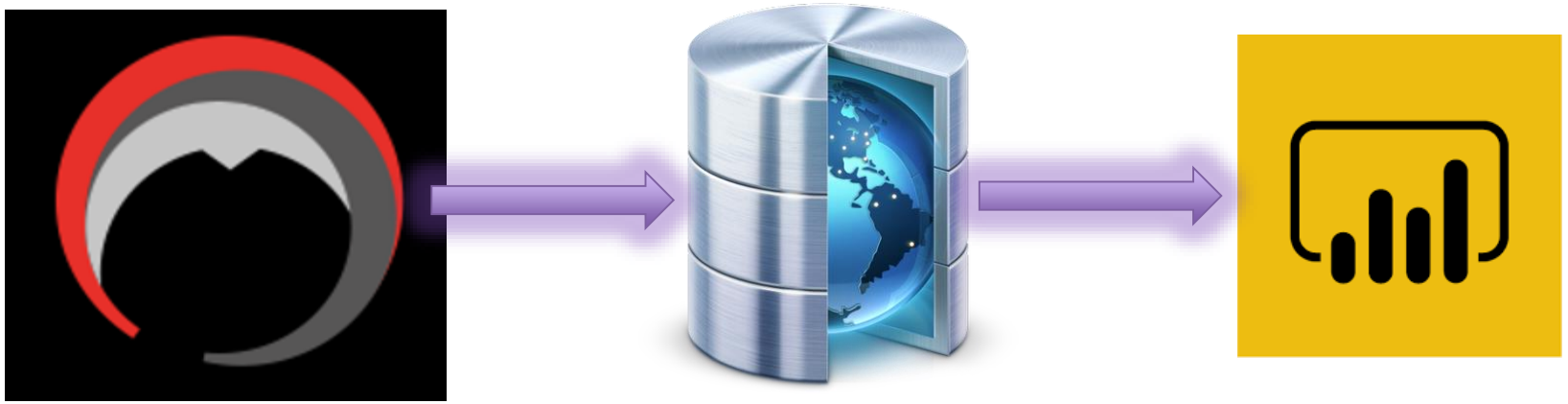
Risk register



Risk on a page



BarnOwl Business Intelligence Data Warehouse

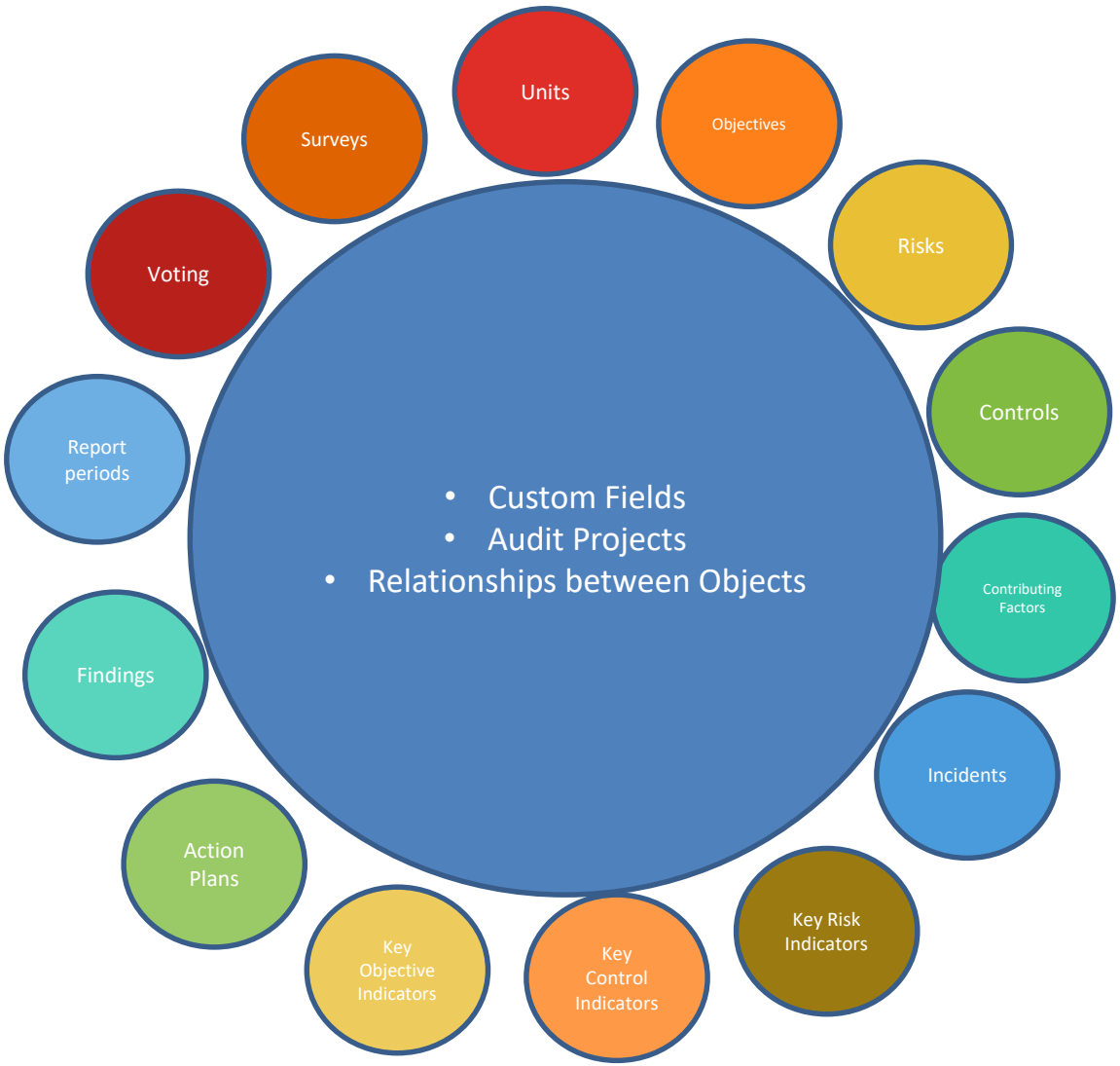


BarnOwl

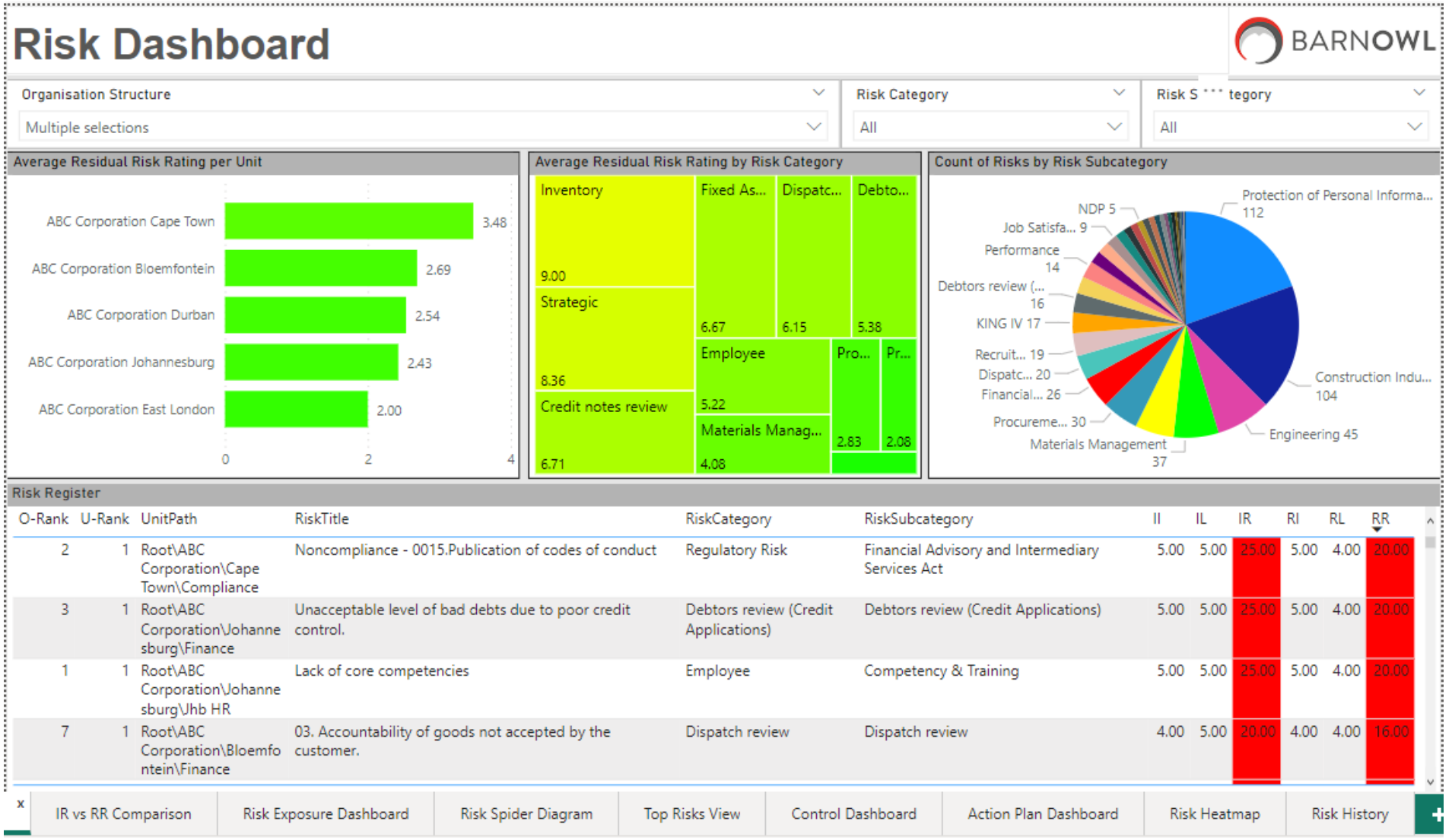
Warehouse

Power BI

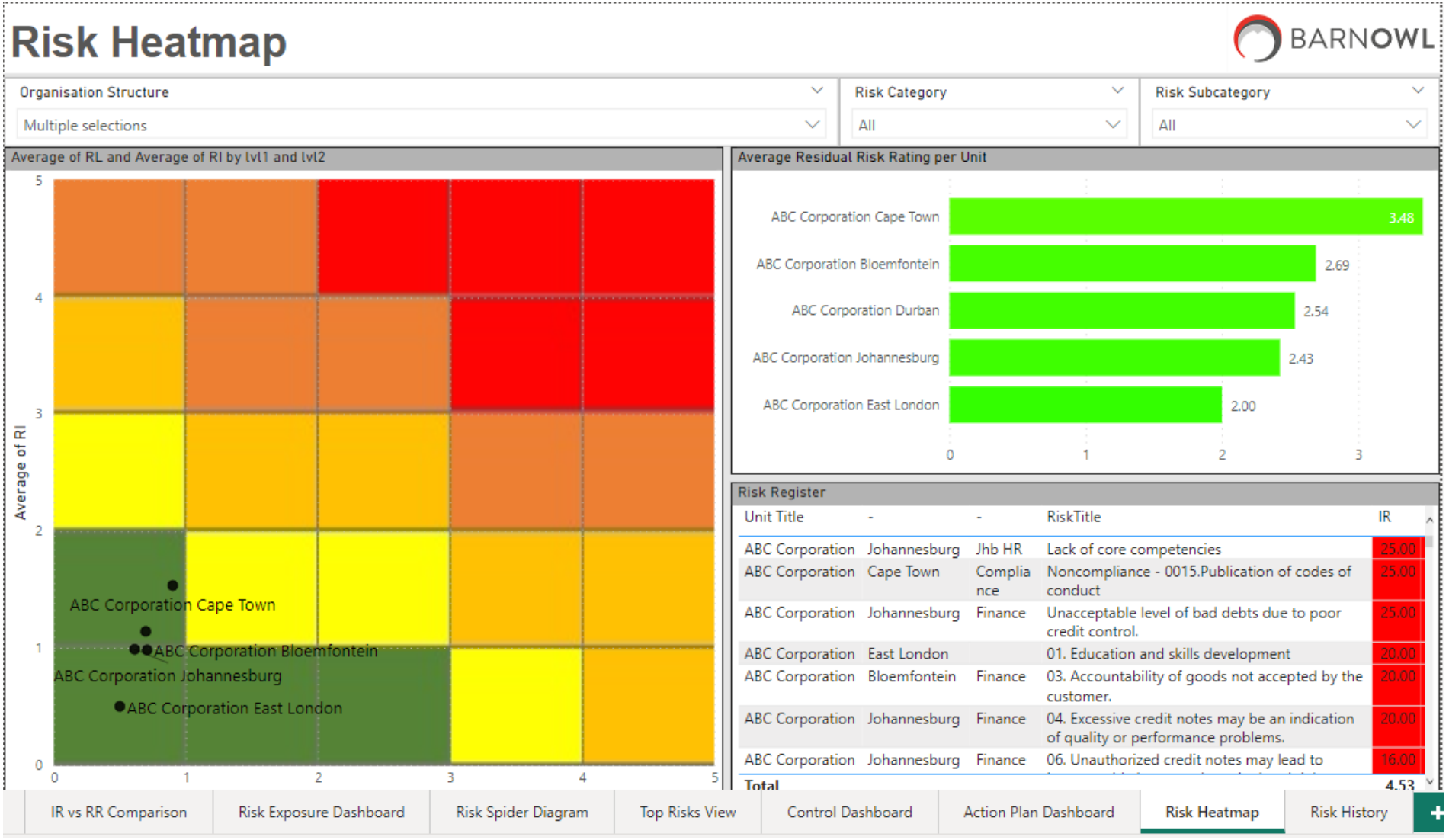
BarnOwl Business Intelligence Warehouse



Risk dashboard



Risk heat map dashboard



Risk trend dashboard

Risk History

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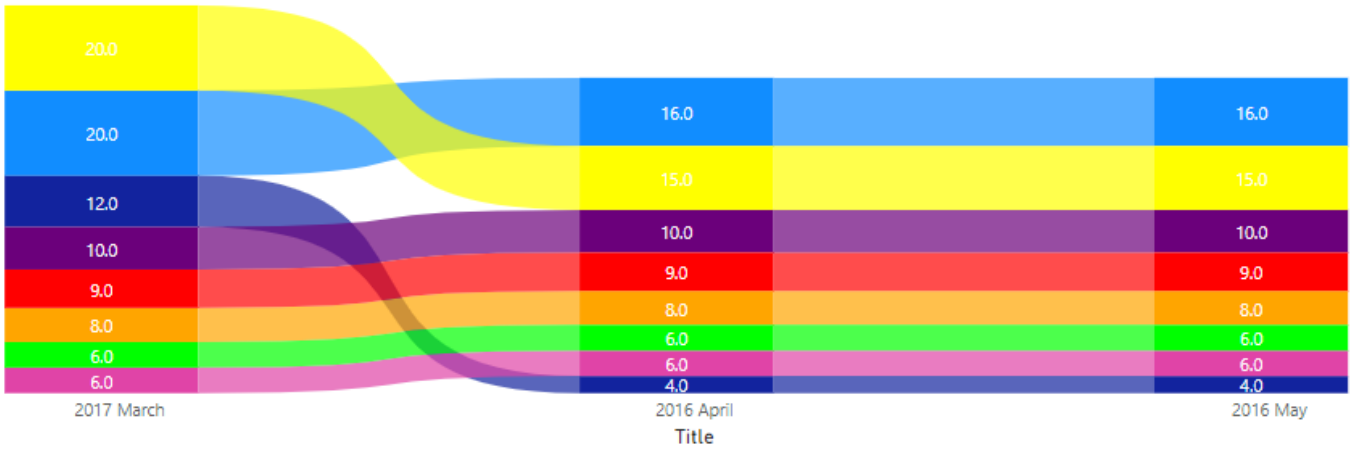
Organisation Structure	Risk Title	Risk Category	Risk Subcategory	Rating Type	Data Periods
ABC Corporation (lvl1) + Johannes...	All	All	All	Residual Rating	Multiple selections

Residual Rating per period

RiskTitle: Headhunting by competitors; Lack of ability to attract ...; Lack of appropriate tr...; Lack of core compet...; Lack of succession ...; No follow up on st...; Non compliance ...; Office working c...



Risk Register

UnitPath	RiskTitle	RiskCategory	RiskSubcategory	II	IL	IR	RI	RL	RR
Root\ABC Corporation\Johannesburg\Jhb HR	Lack of core competencies	Employee	Competency & Training	5.00	5.00	25.00	5.00	4.00	20.00
Root\ABC Corporation\Johannesburg\Jhb HR	Unplanned sick leave	Employee	Policies & Compliance	4.00	5.00	20.00	4.00	4.00	16.00
Root\ABC Corporation\Johannesburg\Jhb HR	Lack of ability to attract and retain new talent	Employee	Recruitment & Retention	5.00	5.00	25.00	5.00	3.00	15.00
Root\ABC Corporation\Johannesburg\Jhb HR	No follow up on staff losses	Employee	Recruitment & Retention	5.00	3.00	15.00	4.00	3.00	12.00
Root\ABC Corporation\Johannesburg\Jhb HR	Non compliance with laws and regulations	Employee	Policies & Compliance	5.00	4.00	20.00	5.00	2.00	10.00
Total				**4.20**	**4.10**	**17.30**	**4.05**	**2.70**	**11.00**

IR vs RR Comparison | Risk Exposure Dashboard | Risk Spider Diagram | Top Risks View | Control Dashboard | Action Plan Dashboard | Risk Heatmap | Risk History

Action Plan dashboard

Action Plan Dashboard

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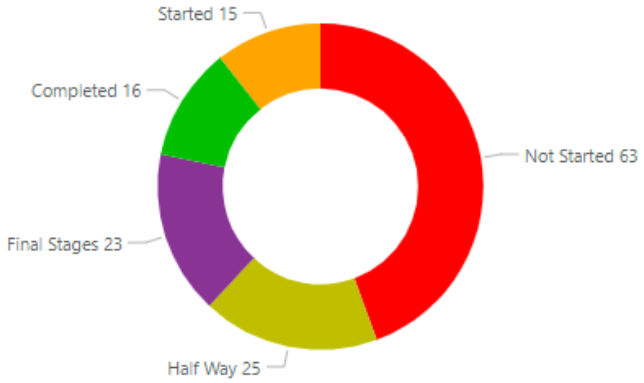
Organisation Structure	Action Plan Status	Owner Type	Owner	Action Plan Status with Overdue	No. of Overdue APs	No. of APs
Multiple selections	All	All	All	All	126	142

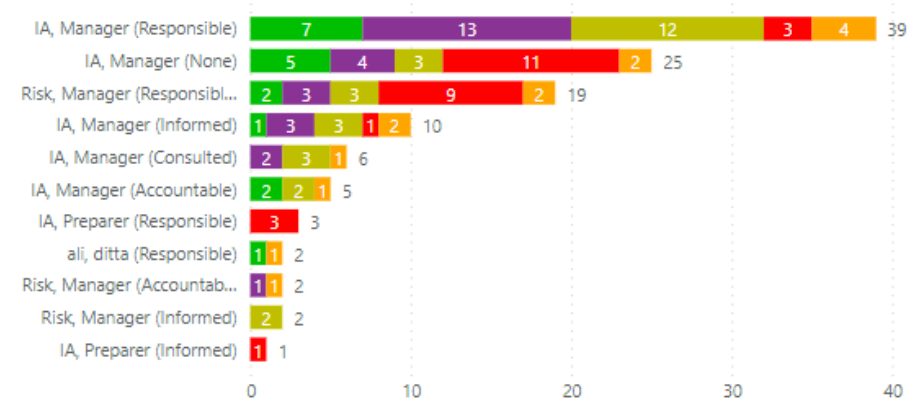
Action Plan Status

ActionPlanStatus ● Not Started ● Half Way ● Final Stages ● Completed ● Started



Action Plan Owners

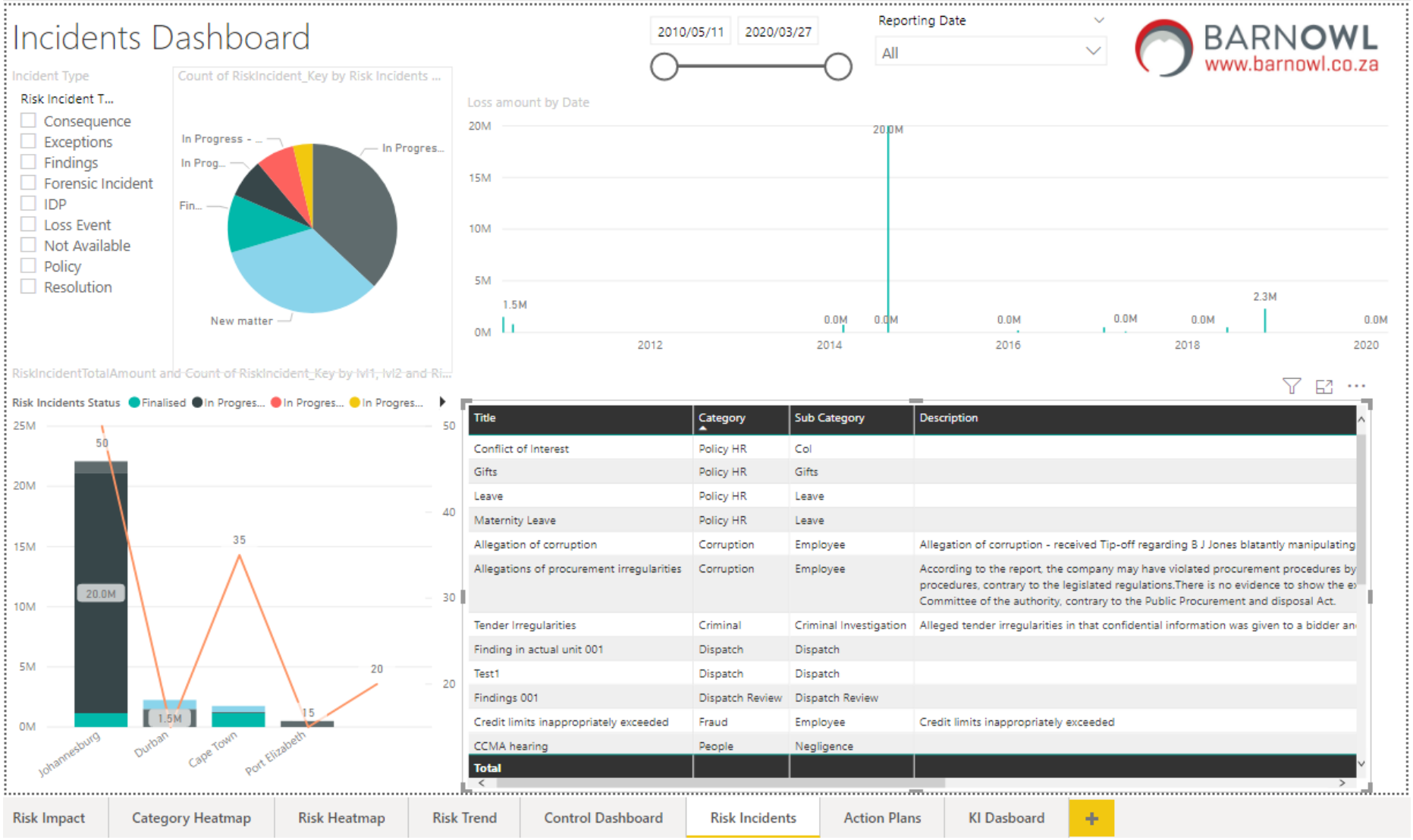
ActionPlanStatus ● Completed ● Final Stages ● Half Way ● Not Started ● Started



!	UnitPath	ActionPlanTitle	ActionPlanDescription	EndDate	ActionPlanStatus	ProgressNotes	Owners	Linked
⊗	Root\ABC Corporation\Johannesburg\JHB Compliance	01. Applicability of POPIA and PAIA to your organisation		31/08/2020	Half Way	[Manager, IA - 27/08/2020 16:13] Phase II [Manager, IA - 26/08/2020 14:14] Phase 1	IA, Manager (None)	Risk
⊗	Root\ABC Corporation\Johannesburg\Jhb HR	02. Governance: POPIA Readiness		30/09/2020	Half Way		IA, Manager (None)	Risk
⊗	Root\ABC Corporation\Johannesburg\JHB	02. Governance: POPIA Readiness		30/09/2020	Half Way		IA, Manager (None)	Risk

IR vs RR Comparison | Risk Exposure Dashboard | Risk Spider Diagram | Top Risks View | Control Dashboard | Action Plan Dashboard | Risk Heatmap | Risk History

Incidents dashboard



Title	Category	Sub Category	Description
Conflict of Interest	Policy HR	Col	
Gifts	Policy HR	Gifts	
Leave	Policy HR	Leave	
Maternity Leave	Policy HR	Leave	
Allegation of corruption	Corruption	Employee	Allegation of corruption - received Tip-off regarding B J Jones blatantly manipulating
Allegations of procurement irregularities	Corruption	Employee	According to the report, the company may have violated procurement procedures by procedures, contrary to the legislated regulations.There is no evidence to show the ex Committee of the authority, contrary to the Public Procurement and disposal Act.
Tender Irregularities	Criminal	Criminal Investigation	Alleged tender irregularities in that confidential information was given to a bidder an
Finding in actual unit 001	Dispatch	Dispatch	
Test1	Dispatch	Dispatch	
Findings 001	Dispatch Review	Dispatch Review	
Credit limits inappropriately exceeded	Fraud	Employee	Credit limits inappropriately exceeded
CCMA hearing	People	Negligence	
Total			

Risk Impact | Category Heatmap | Risk Heatmap | Risk Trend | Control Dashboard | Risk Incidents | Action Plans | KI Dasboard | +

Key Control Indicator dashboard

KI Dashboard

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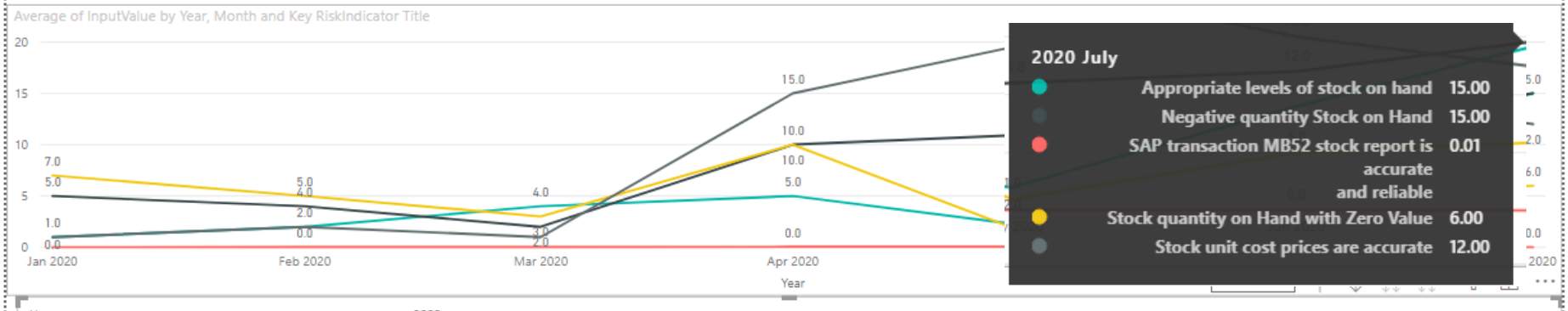
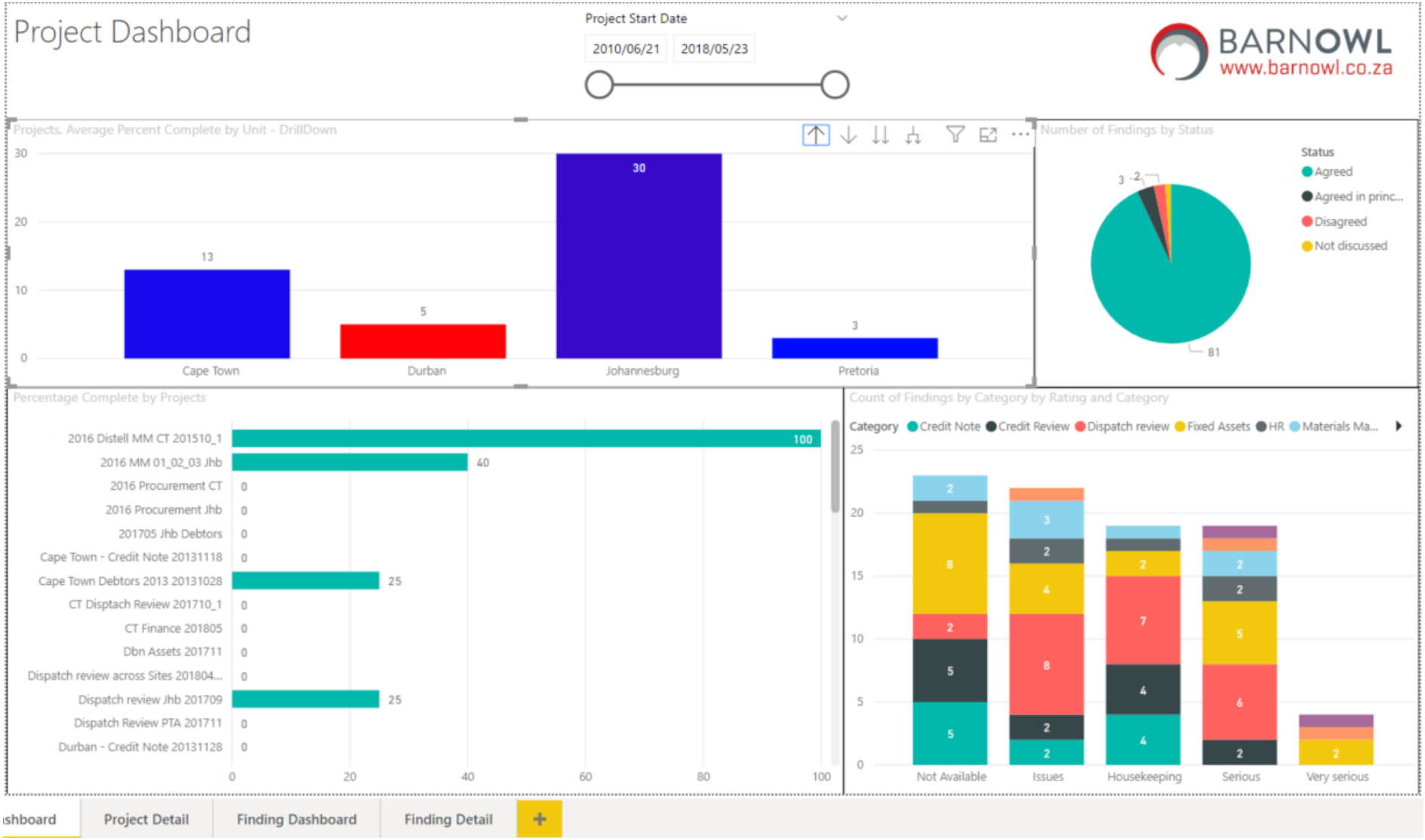
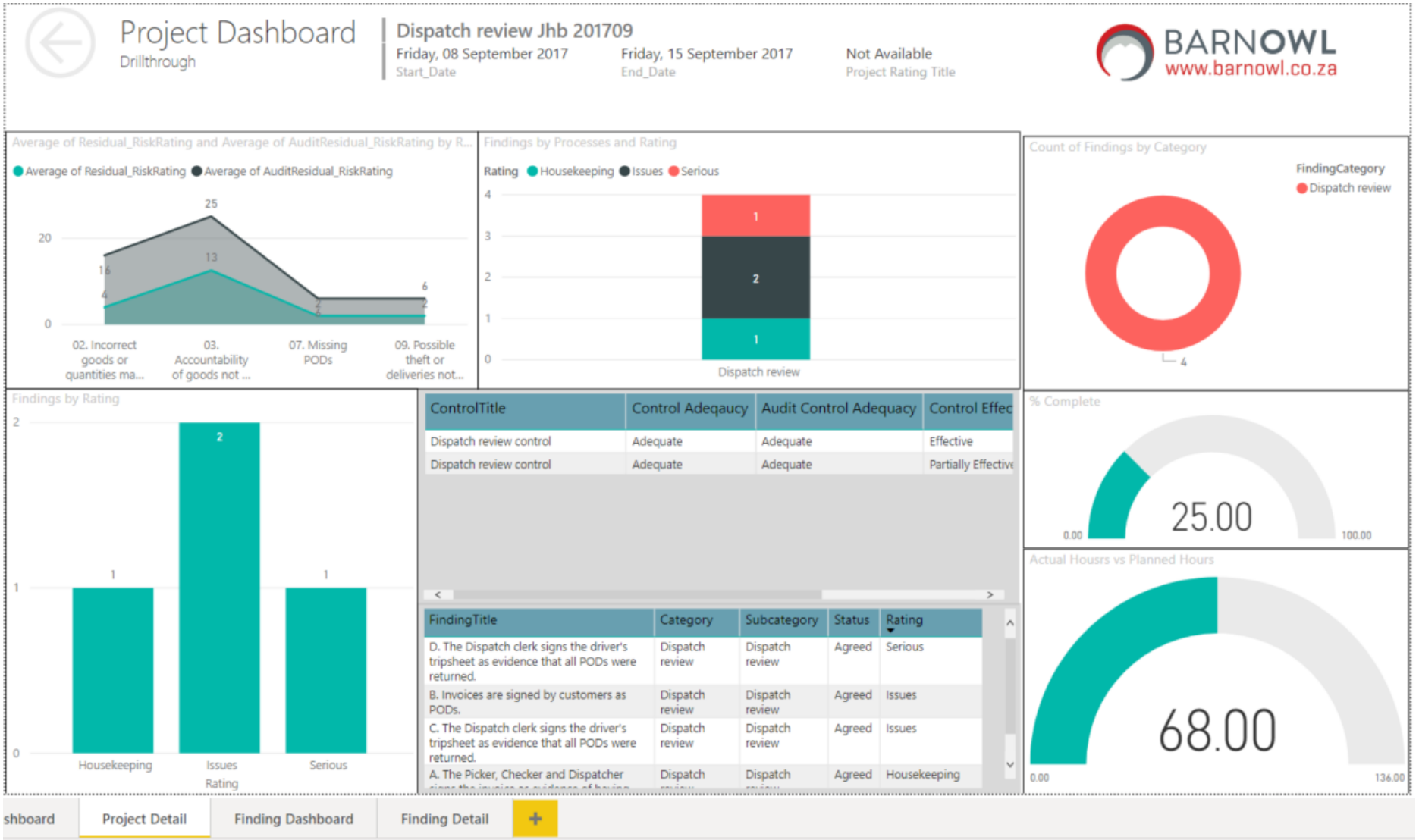


Year	2020						
lvl1	January	February	March	April	May	June	July
ABC Corporation							
Johannesburg							
Inventory							
Stock unit cost prices are accurate	1.00	2.00	1.00	15.00	20.00	15.00	12.00
Stock quantity on Hand with Zero Value	7.00	5.00	3.00	10.00	1.00	5.00	6.00
SAP transaction MB52 stock report is accurate and reliable	0.01	0.03	0.02	0.05	0.06	0.05	0.01
Negative quantity Stock on Hand	5.00	4.00	2.00	10.00	11.00	12.00	15.00
Appropriate levels of stock on hand	1.00	2.00	4.00	5.00	2.00	9.00	15.00

Audit project dashboard

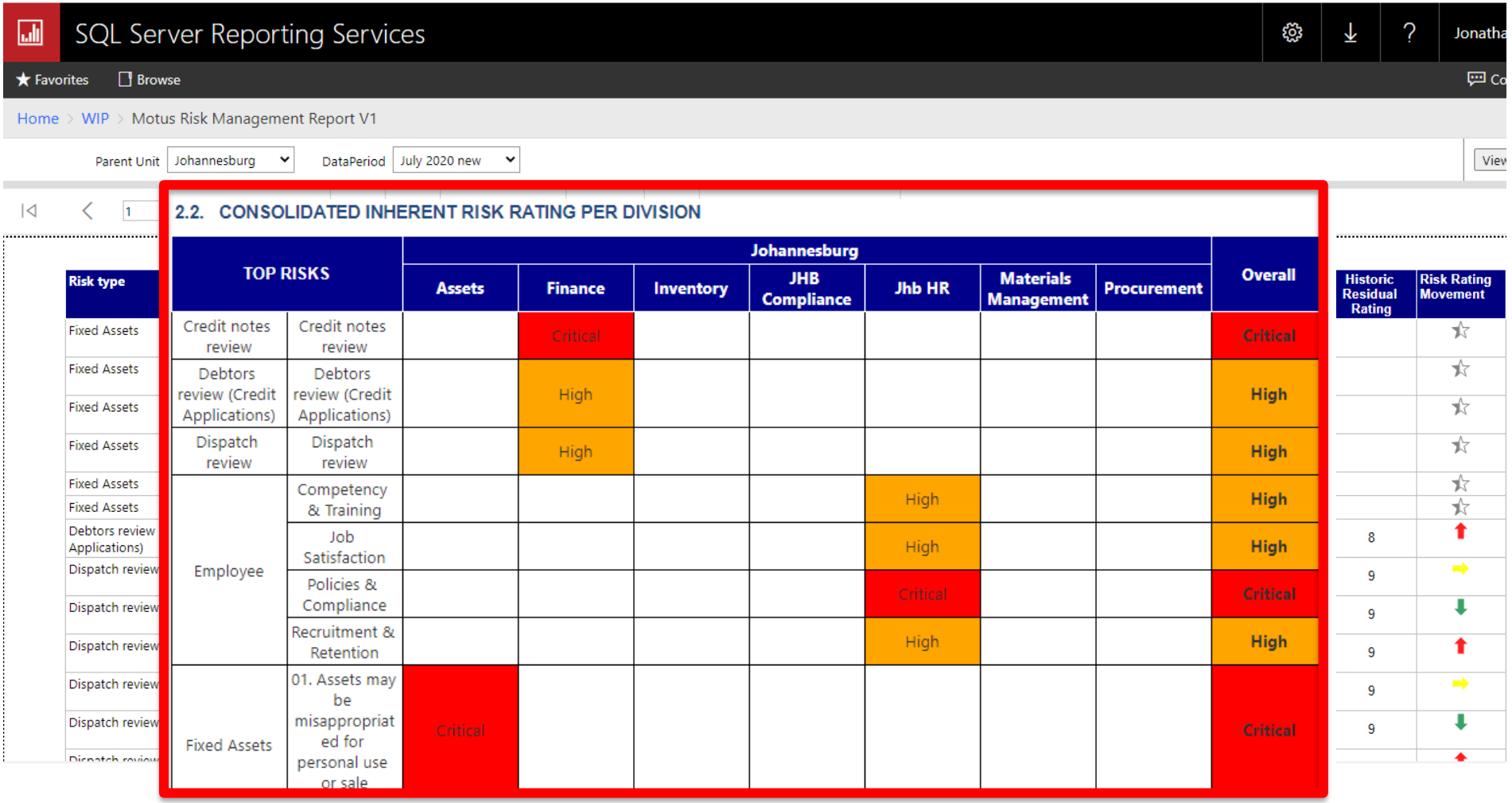


Audit project drill through dashboard



Findings dashboard

Customised reporting using SSRS (SQL Server Reporting Services)



Conclusion

- Fully integrated risk, compliance and audit software (supports best practice frameworks such as KING IV, COSO, ISO31000, National Treasury Framework, GACP, IPPF)
- Ease of use and practical (easy input, easy output, interactive workshop module)
- Totally flexible (rating models, audit programs, user defined fields)
- Supports uniformity and consistency (transversal risk templates, processes, audit programs)
- Extremely powerful reporting (flexible business intelligence dashboards, heat maps, drill down bar charts, pie charts, line charts (trends), compliance survey analysis, final audit reports (in MS Word) etc.)
- Cost effective (bundled modules, Rand based)
- Tried and tested (nationally and internationally)
- Leading edge technology (supports online and offline)
- Locally developed and supported (tailored for local conditions)
- Total peace of mind

BARNOWL

Thank You

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