

2019

BarnOwl integrated GRC

www.barnowl.co.za

www.barnowl.co.za/knowledge-centre/



BARNOWL

Benefits of Effective Risk Management

BUSINESS OBJECTIVES / OUTCOMES



More effective strategic and operational planning: alignment of objectives and risks across the organisation



Greater confidence in decision making: proactive achievement of operational and strategic objectives



Early warning system (visibility and reporting of significant risks): Avoid surprises



Proactive management of risk and opportunity: long-term sustainability



Cost effective internal controls and control strategy: systematic and consistent approach



Evidence of a structured / formalised approach in decision making: resulting in confidence and business resilience



Regulatory compliance: license to trade and director protection



Greater stakeholder confidence: Reputation management, & capability

ALIGNING PEOPLE, PROCESSES AND SYSTEMS FOR EFFECTIVE RISK MANAGEMENT

PEOPLE



Buy-in, tone from the top, commitment to effective GRC

PROCESSES



Best practice GRC process (i.e. COSO, ISO31000)

SYSTEMS



User-friendly, non-intrusive, accurate and real time reporting, better decision making

Benefits of an Effective Risk Management System

SYSTEM OBJECTIVES



EASE OF USE



SAVE TIME



FLEXIBLE



ACCESSIBLE



REAL TIME



INTEGRITY OF DATA

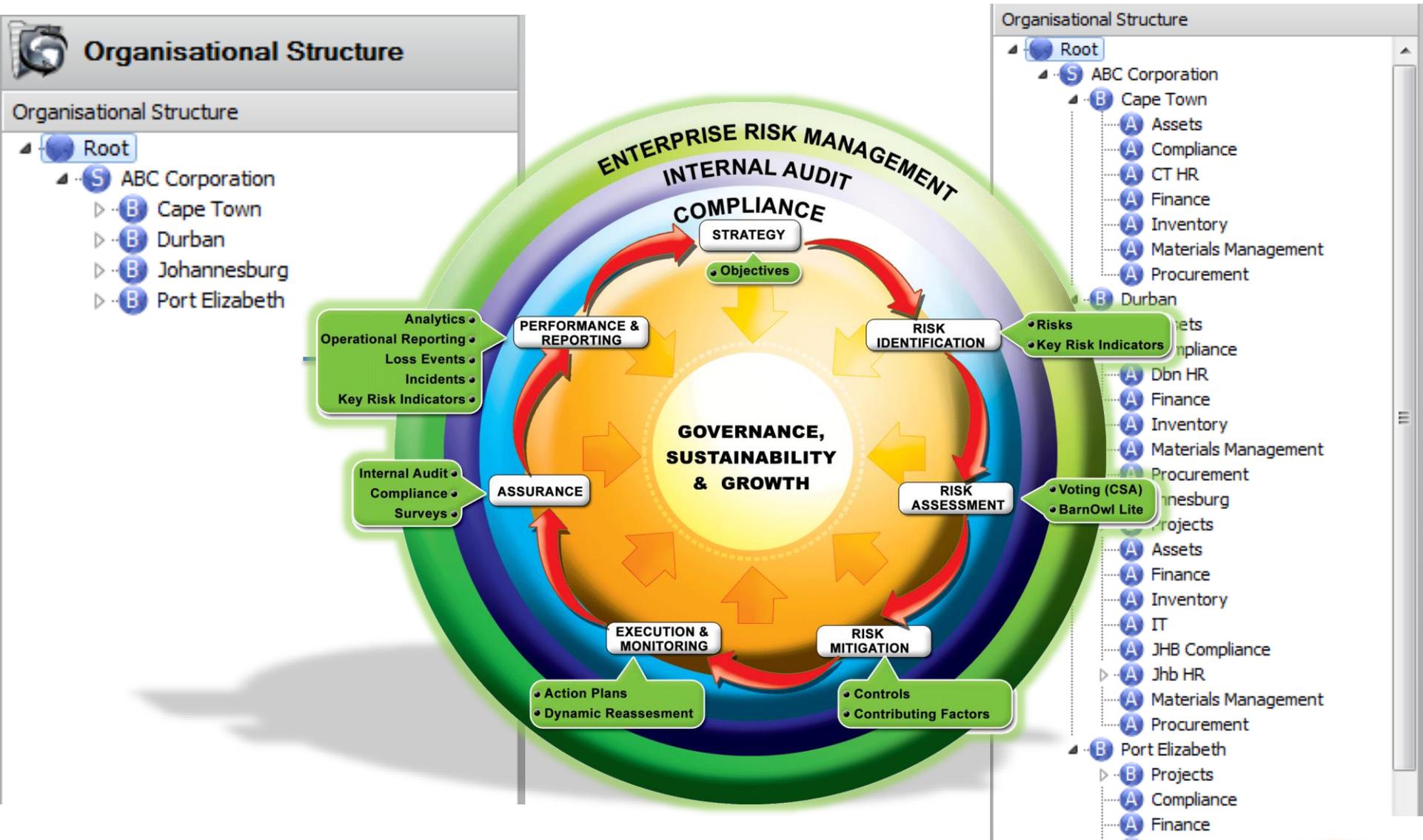
- ✓ GRC reporting at the click of a button: simple, aggregated, trends, business intelligence
- ✓ Embed GRC and facilitate a culture of risk and control within the organisation
- ✓ Drive accountability and responsibility for GRC
- ✓ Proactive monitoring of your risk, compliance and audit universe
- ✓ Early warning monitoring of the achievement of your strategy

BARNOWL IS A FULLY INTERGRATED GOVERNANCE, RISK MANAGEMENT, COMPLIANCE AND AUDIT SOFTWARE SOLUTION
WWW.BARNOWL.CO.ZA

<http://www.barnowl.co.za/a-step-by-step-infographic-on-how-to-implement-risk-management-software-effectively-2/>

<http://www.barnowl.co.za/insights/still-using-excel-for-risk-management-and-or-audit/>

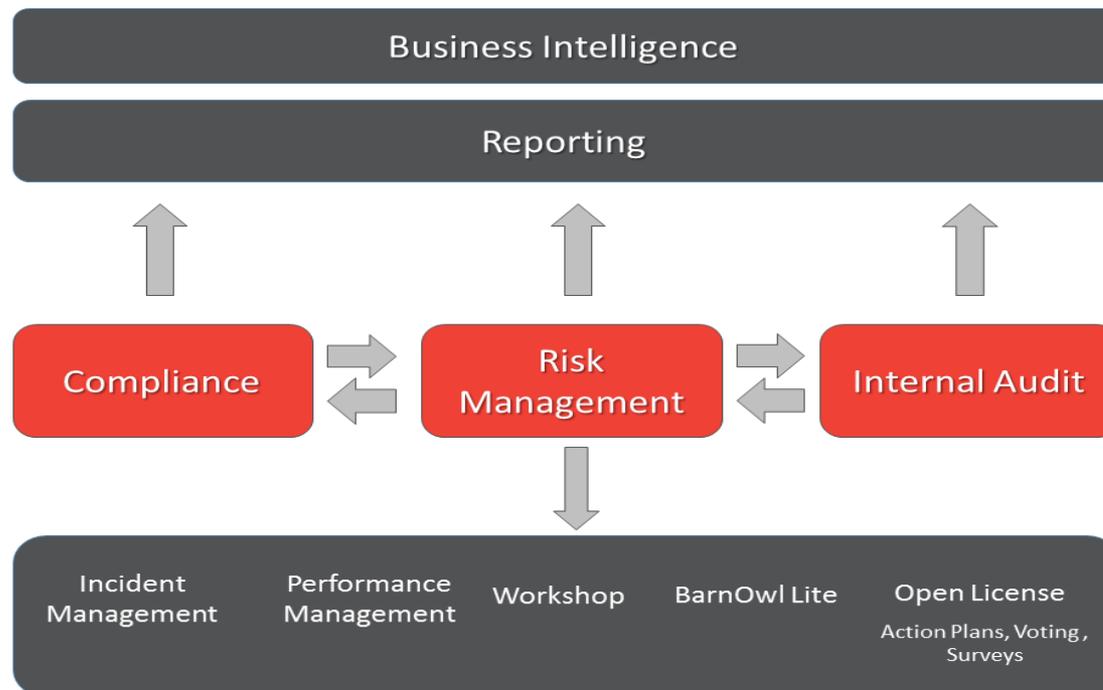
ERM PROCESS



<http://www.barnowl.co.za/introduction/>

SYSTEMS: Integrated GRC software

- Facilitates and embeds integrated GRC providing enterprise-wide visibility of risk with combined assurance reporting
- Incorporates built-in best practices and supports the adoption of the standards (COSO, ISO31000, National Treasury, IPPF, GACP, PFMA, MFMA, King IV)
- Provides an up to date dashboard of your risk universe (drill down bar, pie, trend, heat maps...) in support of informed decision making
- Integrated non-silo based risk management
- Enhanced integrity of data, standards, common risk language, transversal risks
- Enables the monitoring of risk appetite at all levels of your organisation with aggregation
- Enables real time updating of Risks, KRIs, Controls, Incidents, Findings, Follow-up, Action Plans
- Facilitates a culture of risk and control within your organisation (CSAs, online action plans etc.)
- Reputation / Director / Accounting officer protection (formalised approach to risk management / compliance)
- <http://www.barnowl.co.za/support-info/documentation/> (What's new in BarnOwl v9.1.1)



BARNOWL FUNCTIONALITY: RISK MANAGEMENT

Risk Management: <http://www.barnowl.co.za/solutions/risk-management/>

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 Assessment:** Perform workflow-based risk assessment (RAP): inherent impact x inherent 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.

BARNOWL FUNCTIONALITY: COMPLIANCE

Compliance Management: <http://www.barnowl.co.za/solutions/compliance/>

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 FUNCTIONALITY: AUDIT

Audit Management: <http://www.barnowl.co.za/solutions/audit/>

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.
- Will be configured to incorporate the municipality's customized Internal Audit methodology and templates.
- **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 BUSINESS INTELLIGENCE (DATA WAREHOUSE)

Business Intelligence: <http://www.barnowl.co.za/solutions/business-intelligence/>

BarnOwl's new improved 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.

2

How can BarnOwl BI Help my Organisation?

BarnOwl's Business Intelligence supports:

- ✓ **Risk & audit committee / board reporting** showing summarized and aggregated dashboards with full drill-down capability
- ✓ **In-depth insight** into the risks affecting the achievement of your strategic and business objectives
- ✓ **An integrated view** of combined assurance across risk, compliance and audit
- ✓ **Informed decision making**, taking into account **all inter-related risk**, compliance and audit factors such as objectives, risks, controls, incidents, linked risks, KRIs, audit findings and combined assurance
- ✓ **Early warning** and monitoring of problem areas with **trend visualization**
- ✓ **Ownership and accountability** of risk with **action plan visualization**
- ✓ **Benchmarking of risk and control information** across all business units and processes



FRAMEWORKS & STANDARDS

According to ISO 31000, risk is the “effect of uncertainty on objectives” and an effect is a positive or negative deviation from what is expected. Risk management refers to a “coordinated set of activities and methods that is used to direct an organization and to control the many risks that can affect its ability to achieve objectives.”

The COSO “Risk Management-Integrated Framework” defines RM as a “... process, effected by an entity’s board of directors, management, and other personnel, applied in strategy setting and across the enterprise, designed to identify potential events that may affect the entity, and manage risk to be within its risk appetite, to provide reasonable assurance regarding the achievement of entity objectives.”

Legislation such as PFMA and the MFMA together with corporate governance codes such as King IV expect an institution to implement a risk management plan. The King IV code on corporate governance (copyright Institute of Directors Southern Africa) applies to all entities, regardless of their nature, size or form of incorporation. The Code is implemented on an “apply and explain” basis. The following principles relating to risk governance are embodied in the Code

<http://www.barnowl.co.za/info-sharing/barnowl-info-sharing-session-11-april-2019/>

STANDARDS: King IV

(copyrighted to The Institute of Directors Southern Africa)

- **The definition of corporate governance for the purposes of King IV**, is defined as the exercise of ethical and effective leadership by the governing body towards the achievement of the following governance outcomes:
 - Ethical culture
 - Good performance
 - Effective control
 - Legitimacy

- **Strategy, Performance and Reporting: Principle 4:** The governing body should appreciate that the organisation's core purpose, its risk and opportunities, strategy, business model, performance and sustainable development are all inseparable elements of the value creation process.

- **Risk Governance: Principle 11:** The governing body should govern risk in a way that supports the organisation in setting and achieving its strategic objectives.

- **Compliance Governance: Principle 13:** The governing body should govern compliance with applicable laws and adopted, non-binding rules, codes and standards in a way that supports the organisation being ethical and good corporate citizen.

<http://www.barnowl.co.za/info-sharing/information-sharing-23-february-2017/>

STANDARDS: PFMA

38. General responsibilities of accounting officers.—(1) The accounting officer for a department, trading entity or constitutional institution—

- (a) must ensure that that department, trading entity or constitutional institution has and maintains—
 - (i) effective, efficient and transparent systems of financial and risk management and internal control;
 - (ii) a system of internal audit under the control and direction of an audit committee complying with and operating in accordance with regulations and instructions prescribed in terms of **sections 76 and 77**;
 - (iii) an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost-effective;
 - (iv) a system for properly evaluating all major capital projects prior to a final decision on the project;

51. General responsibilities of accounting authorities.—(1) An accounting authority for a public entity—

- (a) must ensure that that public entity has and maintains—
 - (i) effective, efficient and transparent systems of financial and risk management and internal control;
 - (ii) a system of internal audit under the control and direction of an audit committee complying with and operating in accordance with regulations and instructions prescribed in terms of sections 76 and 77; and
 - (iii) an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost-effective;
 - (iv) a system for properly evaluating all major capital projects prior to a final decision on the project;

STANDARDS: MFMA

62. General financial management functions.—(1) The accounting officer of a municipality is responsible for managing the financial administration of the municipality, and must for this purpose take all reasonable steps to ensure—

- (c) that the municipality has and maintains effective, efficient and transparent systems—
 - (i) of financial and risk management and internal control; and
 - (ii) of internal audit operating in accordance with any prescribed norms and standards;

165. Internal audit unit.—

- (1) Each municipality and each municipal entity must have an internal audit unit, subject to [subsection \(3\)](#).
- (2) The internal audit unit of a municipality or municipal entity must:
 - (a) prepare a risk based audit plan and an internal audit program for each financial year;
 - (b) advise the accounting officer and report to the audit committee on the implementation of the internal audit plan and matters relating to—
 - (i) internal audit;
 - (ii) internal controls;
 - (iii) accounting procedures and practices;
 - (iv) risk and risk management;
 - (v) performance management;
 - (vi) loss control; and
 - (vii) compliance with this Act, the annual Division of Revenue Act and any other applicable legislation; and

In summary...

- Ensures senior management and the board / governing body are aware of the current residual risk status linked to key strategic value creation objectives and potential value erosion objectives
- Enables an organisation to optimise the level of risk being taken to best achieve the organisation's objectives whilst still operating within the risk appetite of the organisation
- The achievement of business objectives isn't just about managing what might go wrong (risks), but is actually about making things go right
- <http://www.barnowl.co.za/insights/steps-to-the-successful-implementation-of-risk-management-software/>
- <http://www.barnowl.co.za/insights/why-the-need-for-effective-rm/>
- <http://www.barnowl.co.za/insights/the-benefits-of-an-effective-erm-strategy/>
- <http://www.barnowl.co.za/insights/6-ways-risk-based-auditing-adds-value-to-your-organisation/>
- <http://www.barnowl.co.za/info-sharing/barnowl-info-sharing-session-11-april-2019/>
- <http://www.barnowl.co.za/info-sharing/information-sharing-session-25-may-2017/>
- <http://www.barnowl.co.za/tip-of-the-month/tip-of-the-month-3-step-approach-to-rolling-over-your-risk-registers-from-one-year-to-the-next/>

Organisational Structure

Organisational Structure

- Root
 - ABC Corporation
 - Cape Town
 - Assets
 - Compliance
 - Finance
 - HR
 - Durban
 - Assets
 - Compliance
 - Finance
 - HR
 - Johannesburg
 - Assets
 - Compliance
 - Finance
 - HR
 - IT
 - Pretoria

Organisational Structure

Process Tree

Regulatory Universe

Risk Category Tree

Key Indicator Library

Templates

BarnOwl Dashboard - Johannesburg

Lock Dashboard Refresh Show Local Close

1 2 3 4 Always open dashboard

1 IRvs RRChart

IR vs RR Chart

#	Title	Rating
1	IR	15.3
2	RR	9.2

3 Action Plan Status By Owner

Action Plan Status by Owner

#	Title	Count
1	Not Started	1.0
2	Started	1.0
3	Half Way	1.0

2 Average Risk Trend

Average Unit RR by Data Period

#	Title	Rating
1	2010 May	8.3
2	2010 June	7.8

4 Survey Trend Analysis

Survey Trend Analysis

#	Title	% Compliance
1	Financial Advisory and Intermediary...	85.7
2	KING III	75.5

FIGURE 1.2 – RISK REGISTER

BarnOwl ERM

File Edit Capture View Reports My Favourite Reports Window Help

Global Risk Register [Current] - HR Risk Register [Current] - HR Objective Register - HR Universe Register - HR

Lock Register Refresh Expand Register Wrap Text Print Export Register Favourite View Show Filter Close

Drag a column header here to group by that column.

Unit Title Type

HR BusinessActivity

Objective Title	S	C	IOP			
Attract and retain the right staff	4.00	5.00	20.00			
Risk Title	II	IL	IR	RI	RL	RR
Headhunting by competitors	4.00	4.00	16.00	4.00	4.00	16.00
Lack of ability to attract and retain new talent	4.00	5.00	20.00	4.00	1.00	4.00
Key Risk Indicator Title	Staff Loss					
Loss Event Title	Amount	Category	Sub Category			
Loss of key staff	230,000.00	People	Labour			
Control Title	Career planning					
Competitive remuneration						
On the job mentoring						
Risk Title	II	IL	IR	RI	RL	RR
Lack of succession planning	3.00	4.00	12.00	3.00	2.00	6.00
Objective Title	S	C	IOP			
HR Compliance	4.00	4.00	16.00			
Training and Development	3.00	4.00	12.00			

Organisational Structure

- Root
 - ABC Corporation
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 - HR
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 - Pretoria

Organisational Structure

Process Tree

Regulatory Universe

Risk Category Tree

Key Indicator Library

Templates

ABC New v7.4.0 Executed Time: 16ms Type: Online Offline Logging disabled 6 Windows Open Manager: IA (ID11crisp) Report Job

FIGURE 1.3.1 – RISK MOVEMENT

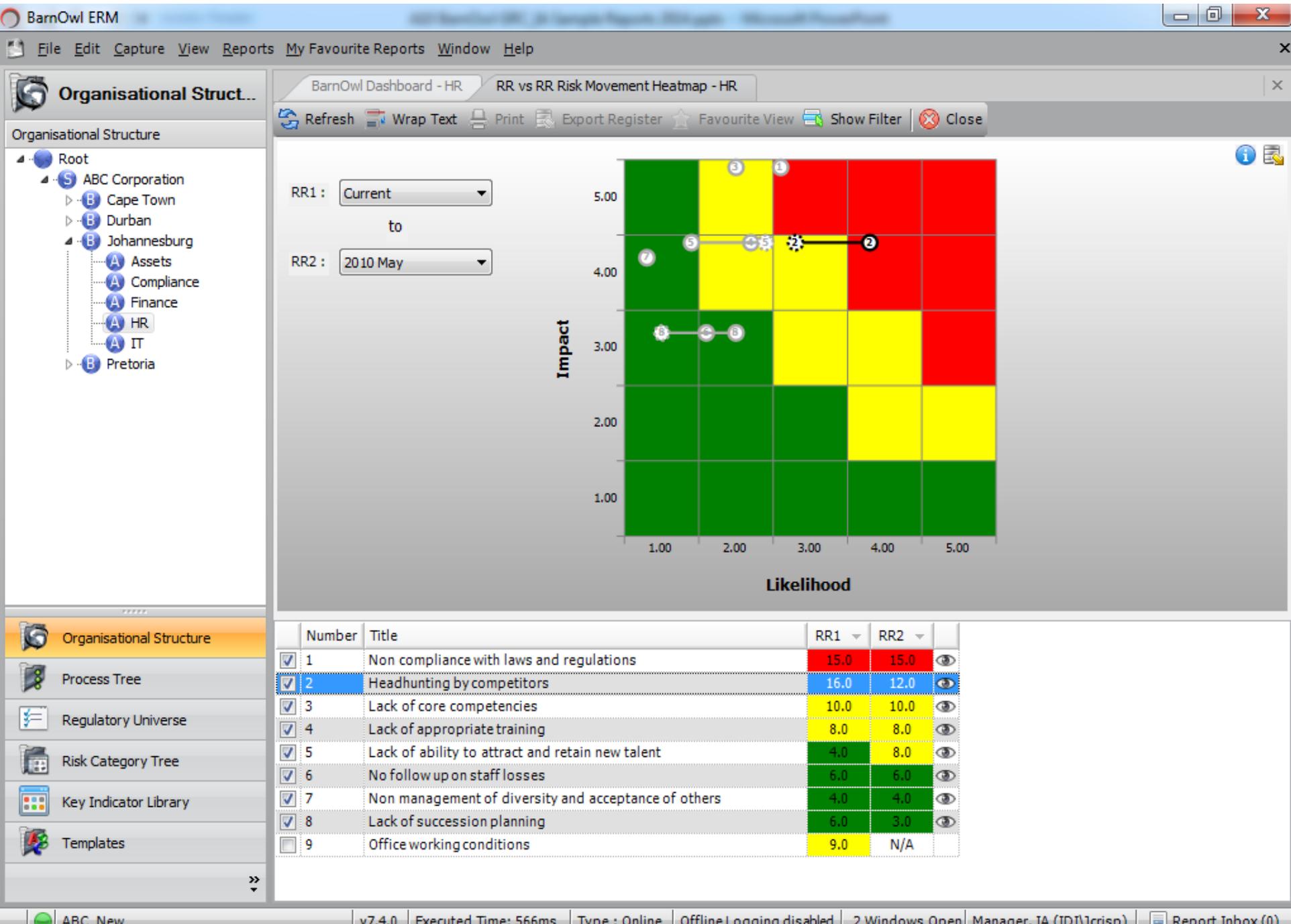


FIGURE 1.3.2 – RISK TOLERANCE & APPETTITE (QUANTITATIVE)

PERFORMANCE & REPORTING

- BARNOWL INTRODUCTION
- BENEFITS OF ERM
- WHY BARNOWL
- BARNOWL TRACK RECORD
- KEY DIFFERENTIATORS
- BARNOWL PROFILE
- BARNOWL TRAINING
- BARNOWL SUPPORT
- OUR PRICING STRUCTURE
- TECHNICAL SPECIFICATIONS
- CONTACT US
- ERM LIFE CYCLE DIAGRAM

- Operational Reporting
- Analytics
- Loss Events
- Compliance
- Incidents
- Key Risk Indicators

BarnOwl RM Reports 1

BarnOwl RM Reports 2

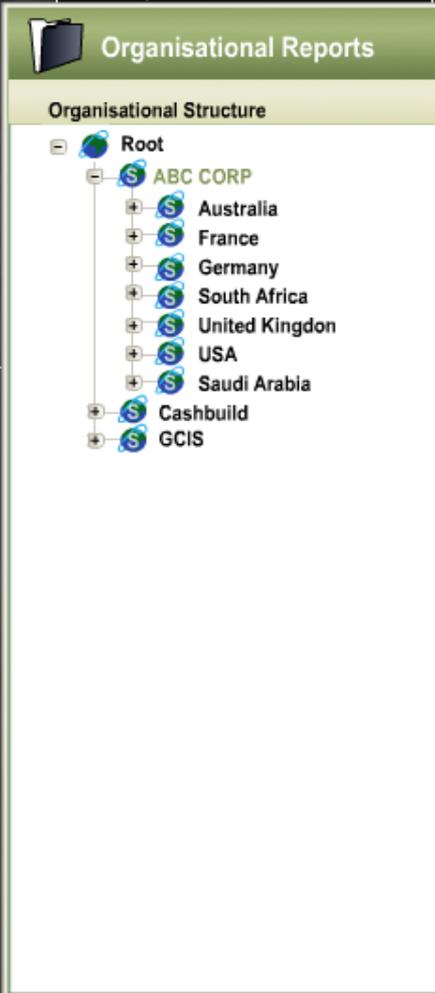
Risk Reporting

Risk, Control, Action Plan

AR Score Cards

AR Quantitive Thresholds

AR Common Risks Across Units



Drag a column header here to group by that column

Title	Unit Type	Incl Res Exposure
ABC Corp	Strategic	2,783,400.00
Child Unit Title	Unit Type	Incl Res Exposure
Australia	Strategic	180,000.00
France	Strategic	60,000.00
Germany	Strategic	160,000.00
Saudi Arabia	Strategic	20,000.00
South Africa	Strategic	685,400.00
United Kingdom	Strategic	78,000.00
USA	Strategic	1,600,000.00
South Africa	Strategic	857,400.00
Child Unit Title	Unit Type	Incl Res Exposure
SA BU1	Business	484,400.00
SA BU2	Business	201,000.00
SA BU3	Business	2,000.00
SA BU4	Business	80,000.00
SA BU5	Business	60,000.00
SA BU6	Business	30,000.00
SA BU1	Business	484,400.00
Child Unit Title	Unit Type	Incl Res Exposure
Finance SA BU1	Business Activity	68,400.00
HR	Business Activity	216,000.00
Investment portfolio	Business Activity	0.00
IT	Business Activity	200,000.00
Sales and Marketing	Business Activity	0.00

FIGURE 1.5 – COMBINED ASSURANCE REPORTING

BarnOwl_CombinedAssuranceReport_20140831.xlsx - Microsoft Excel

File Home Insert Page Layout Formulas Data Review View

Clipboard Font Alignment Number Styles Cells Editing

B4 01. Regulatory risk

	A	B	C	D	E	F	G	H	
				First	Second	Third			
				Management Assurance and Cluster Assurance			Independent Assurance		
	Unit Name	Risks	Controls	Management	Line Management	Deloitte	PWC		
4	ABC Corporation	01. Regulatory risk	Compliance function	8					
5			16						
6			8						
7			8						
8			8						
9			4						
10		3							
11		4							
12	HR	Headhunting by competitors	Career planning	16	20				
13			Competitive remuneration						
14			Promotion and transfer						
15		Lack of ability to attract and retain new talent	Career planning	4	15				
16			Competitive remuneration						
17			On the job mentoring						
18		Lack of appropriate training	Certifications and licensing	8	6	15			
19			Cross training						
20			Formal training						
21			On the job mentoring						
22	Lack of core competencies	Certifications and licensing	10	4					
23		Cross training							
24		Established performance measures							
25		On the job mentoring							
26	Lack of succession planning	Performance appraisal system	6	10					
27		Career planning							
28	No follow up on staff losses	On the job mentoring	6						
29		Perform exit interviews							
30		Setup alumni programme							
31	Non compliance with laws and regulations	Disciplinary policy and procedures	15						
32		Employment contracts							
33		Equal employment opportunity							
34		Harassment and discrimination policy and procedure							
35	Non management of diversity and acceptance of other	Communication process	4						
36		Counselling							
37	Office working conditions	Lunch every day	9						

Control Combined Assurance Repo Risk Combined Assurance Report Sheet1

Ready 70%

FIGURE 1.6 – ACTION PLANS

Action Plan per Unit Report

Print Export Close

100%



BarnOwl Evolution Action Plan per Unit Report

Filters :

Empty Unit Filter Filter out units with no action plans.

Unit Title	Finance	Parent Unit Title	Cape Town
Action Plan Title			
Sufficient documents to support the credit notes tested must be presented.			
Start Date	28 Nov 2013	End Date	28 Nov 2013
Orig End Date	28 Nov 2013	% Complete	100.00 %
Action Plan Status	Completed		
Reference	Cape Town - Credit Note 20131118		
Description			
Action Plan Owner(s)			
Originator	Manager, IA		
Linked Recommendation Title	F. There were sufficient documents to support the credit notes tested.		
Project Title	Cape Town - Credit Note 20131118		
Action Plan Title			
A. There are existing credit applications for the sample tested.			
Start Date	01 Aug 2014	End Date	03 Oct 2014
Orig End Date	03 Oct 2014	% Complete	0.00 %
Action Plan Status	Not Started		
Reference	Cape Town Debtors 2013 20131028		
Description			
Action Plan Owner(s)	Petronio, Jesse (Responsible)		
Originator	Manager, IA		
Linked Recommendation Title	A. There are existing credit applications for the sample tested.		
Project Title	Cape Town Debtors 2013 20131028		
Action Plan Title			
There should be evidence that goods were returned to the warehouse on a form of the Receiving Supervisor's signature.			
Start Date	26 Nov 2013	End Date	15 Sep 2014
Orig End Date	26 Nov 2013	% Complete	0.00 %
Action Plan Status	Not Started		

FIGURE 1.4.1 – KRI MOVEMENT

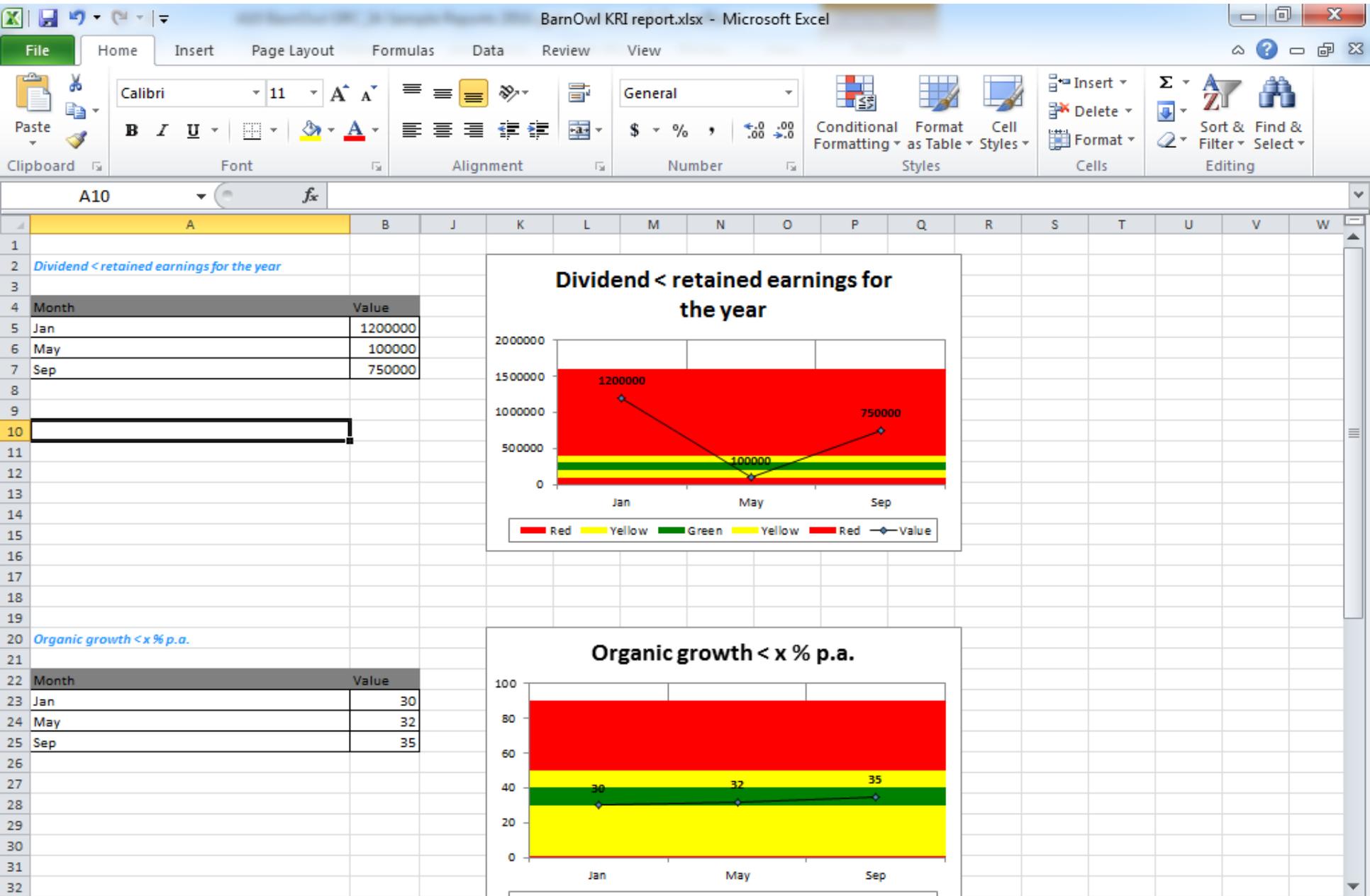


FIGURE 1.4.4 – KPIs

KPI Category

Basic Service Delivery

Ward	KPI Subcategory	KPI	Objective	Target	2013				2014				2015				
					Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Community Services	Community and social services	Appointment of a service provider to implement approved human settlement plan	Ensure social upliftment and maintain basic services	1	● 0,9	● 0,9	● 1,0	● 1,1	● 1,0	● 1,0							
		Completion of 1st phase of the Library	Ensure social upliftment and maintain basic services	1	● 1,0	● 1,0	● 1,0	● 1,0	● 1,1	● 1,0	● 1,0	● 1,1	● 1,0	● 1,0	● 1,1	● 0,9	
		Completion of bus route in Valley Pass	Ensure social upliftment and maintain basic services	1	● 1,0	● 1,1	● 0,9	● 1,0	● 1,0	● 1,1	● 1,0	● 0,9	● 0,9	● 1,0	● 1,0	● 1,1	● 1,0
		Number of screenings at the Shadow Centre	Ensure social upliftment and maintain basic services	500	✗ 488,3	◆ 515,0	◆ 506,7	✗ 483,3	✗ 495,0	✗ 473,3	✗ 495,0	✗ 426,7	✗ 470,0	✗ 490,0	◆ 526,7	◆ 513,3	
Electricity	Completion of the new 11/66kV electricity substation at city center	Ensure social upliftment and maintain basic services	1	● 1,0	● 0,9	● 1,0	● 1,0	● 1,0	● 0,9	● 1,0	● 1,0	● 1,0	● 1,0	● 1,0	● 1,0	● 0,9	
Waste water management	Completion of the construction of new retention ponds in Valley Pass	Ensure social upliftment and maintain basic services	10	✗ 9,5	◆ 10,6	◆ 10,4	◆ 10,5	◆ 10,7	◆ 10,3	✗ 9,5	✗ 10,0	◆ 10,8	◆ 10,0	◆ 11,4	● 10,0		
Water	Water	Average water quality level as measured per SANS 241 criteria	Ensure social upliftment and maintain basic services	95	◆ 102,3	KPI Subcategory: Waste water management KPI: Completion of the construction of new retention ponds in Valley Pass Objective: Ensure social upliftment and maintain basic services Ward: Community Services Quarter of Input Date: Q1 Year of Input Date: 2015 Target: 10 Avg. KRI Input Value: 10,8 KPI Variance: Above Target											
		Completion of phase 2 of the upgrade of supply pipe line	Ensure social upliftment and maintain basic services	1	● 1,1	● 1,0	● 1,0	● 1,0	● 1,1	● 1,0	● 1,0	● 1,0	● 0,9	● 1,0	● 1,1	● 1,1	
		Completion of the upgrade of the Booster Pump Station	Ensure social upliftment and maintain basic services	1	● 1,1	● 1,0	● 1,0	● 1,0	● 1,1	● 1,0	● 1,0	● 1,0	● 0,9	● 1,0	● 1,1	● 1,1	
Financial Services	Water	Limitation of unaccounted water	To provide an maintain basic services and ensure social upliftment of the Breede Valley community	25	✗ 24,8	◆ 26,2	◆ 27,3	◆ 25,3	◆ 28,3	● 24,8	✗ 24,0	◆ 27,1	◆ 25,6	◆ 28,4	● 24,8	✗ 21,8	

FIGURE 2.4 – FINDINGS BY ROOT CAUSE (BI)



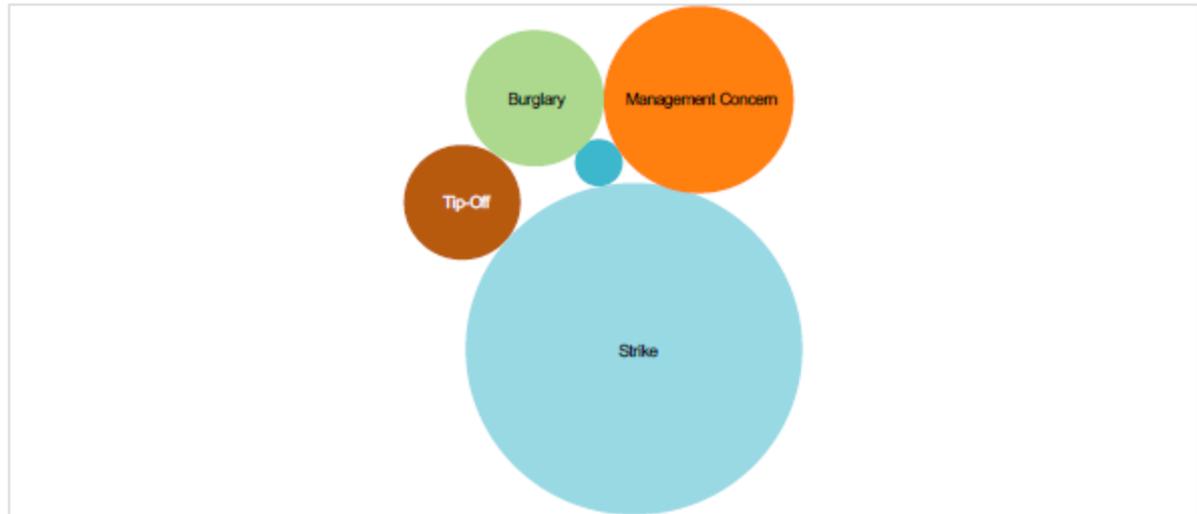
FINDINGS DASHBOARD 5

CAUSES



Unit Level 1	Unit Level 2	Unit Level 3	Unit Level 4	2011	2012	2013	ProcessLevel3	2011	2012	2013	
ABC Retail Group Ltd	Operations	Ops Area 1	Division 1			5 301	2 142	Null		9	
			Division 2			4 959	4 194	Cash (AR - Extensive)			5 409
			Division 3			4 833	3 906	Cash (AR)			5 499
			Division 5	2 700	6 048	4 167	Cash (Pegasus)	351	13 383	4 527	
			Division 6		5 112	3 996	Debtors (AR - Extensive)			2 430	
			Division 7		4 248	1 503	Debtors (AR)			2 943	
			Division 8		5 814	1 251	Debtors (Pegasus)	198	13 959	5 112	
			Division 9		585	180	Fixed Assets	144	1 962	1 233	
			Division 12		1 737	2 871	Human resources	207	8 019	5 922	
	Ops Area 2	Division 13		522	1 953	Inventory (AR - Extensive)			855		
		Division 14		3 177	1 377	Inventory (AR)			6 741		
		Division 15		2 970	1 998	Inventory (Pegasus)	927	27 927	10 899		
		Division 16		2 745	3 501	Management & Administrati..			2 880		
		Division 17		5 580	2 934	OHASA	324	11 862	7 524		
		Division 18		3 249	2 448	OHASA (Update)			1 431		
		Division 19	369	4 878	1 935	Operations	162	11 583	6 570		
		Division 20		1 701		Ready For Business	522	10 269			
		Division 4		3 204	2 619	Security	270	7 281	4 428		
	Ops Area 3	Division 24		3 762	3 762	Store Closure		153	270		
		Division 25		2 304	3 969	Store Closure (Update)			90		
		Division 29		5 139	3 231	Store Handover		2 268	1 638		

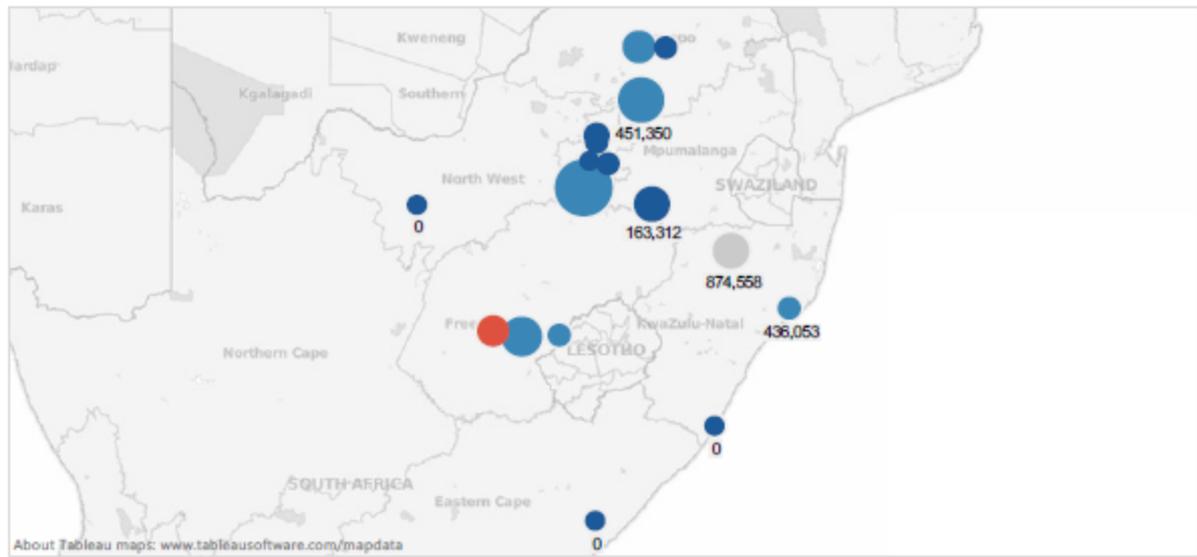
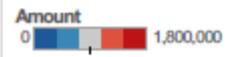
Incidents by Type



- Year of Occurrence Date
- 2010
 - 2011
 - 2012
 - 2013

- Incident Type
- ABC Retail Wby Policy
 - Burglary
 - Management Concern
 - OHASA Incident
 - Robbery
 - Strike
 - Tip-Off

- Number of Records
- 2
 - 5
 - 10
 - 15
 - 20
 - 23



Thank You

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(What's new in BarnOwl v9.1.1)