



BARNOWL

IDI Technology Solutions (Pty) Ltd
Jonathan Crisp
Warrick Asher

BARNOWL USER GROUP CAPE TOWN
05 SEPTEMBER 2016
10AM TO 12PM

FULLY INTEGRATED GOVERNANCE, RISK MANAGEMENT, COMPLIANCE AND AUDIT

SOFTWARE

Agenda

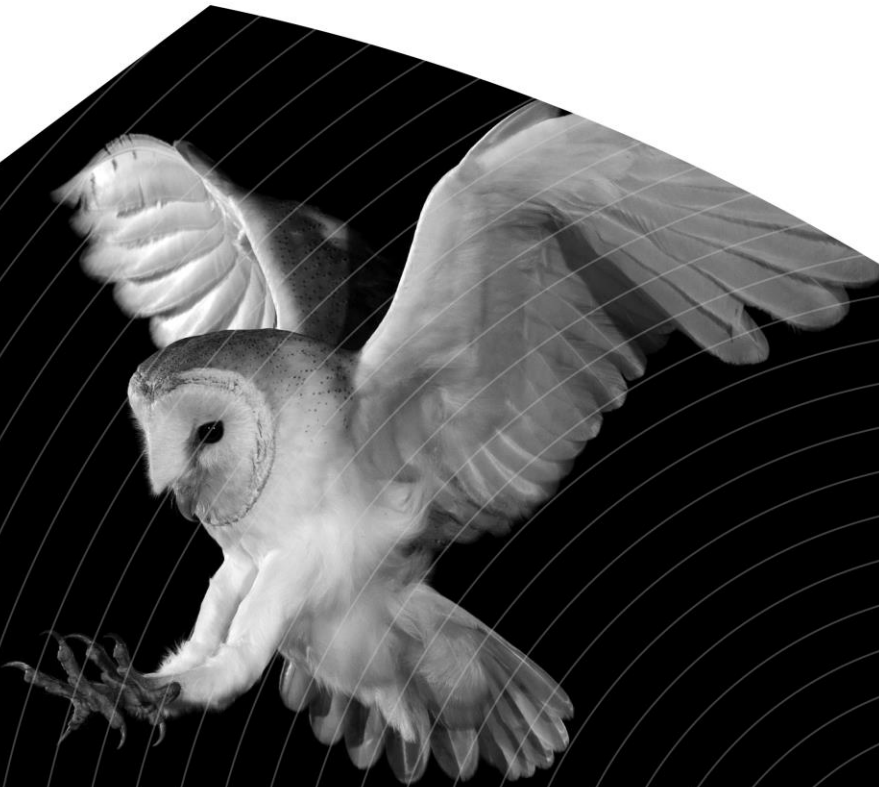
- Welcome and Introduction
- Overview of recent BarnOwl functionality
- Short break
- Overview of recent BarnOwl functionality (continued)
- Overview of BarnOwl Support and Help
- Close

Introduction

- Most recent release of BarnOwl is version 8.1.1.
- This session will cover most notable changes to the system from version 7.7 (Nov 2015) to present.
- Order of functionality to be shown:
 - Risk
 - Audit
 - Server Management Console
 - Web interface (Lite)
 - General



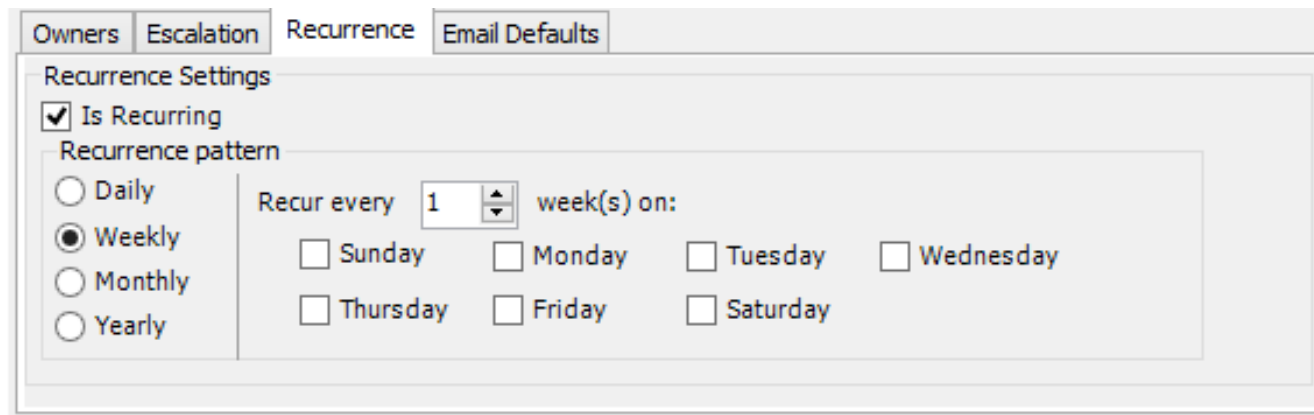
BARNOWL



RISK MANAGEMENT ENHANCEMENTS

Recurring Action Plans 7.7.0

- You can set Recurrence patterns for action plans
- Action Plans with recurrence settings will automatically recreate themselves and send notifications to relevant owners
- Title, Reference, Description, Escalation rules & owners are duplicated



The screenshot shows a dialog box with four tabs: "Owners", "Escalation", "Recurrence", and "Email Defaults". The "Recurrence" tab is selected. Inside the dialog, under "Recurrence Settings", the "Is Recurring" checkbox is checked. Below this, the "Recurrence pattern" section contains radio buttons for "Daily", "Weekly", "Monthly", and "Yearly". The "Weekly" option is selected. To the right of the radio buttons, there is a "Recur every" field with the value "1" and a "week(s) on:" label. Below these, there are checkboxes for the days of the week: Sunday, Monday, Tuesday, Wednesday, Thursday, Friday, and Saturday. All day checkboxes are currently unchecked.

Linking Action Plans to Multiple Items across Units 7.7.0

- You can link Action Plans to multiple units
- Action Plan is not duplicated – this is for reporting purposes
- All updates will be visible across all items to which Action Plan is linked

Action Plan Link

New... Edit Delete Save Close Save & Close

Current Risk Title
Adding of cash to petty cash fund is not recorded

Unit
Look for Action Plans in Current Unit (including child units)

Action Plans
Search Title

Linked	Title	Reference	Start Date	End Date
<input type="checkbox"/>	additional action plan not done		19 August 2015	22 October 2015
<input checked="" type="checkbox"/>	Funds are not received on time		19 August 2015	19 August 2015

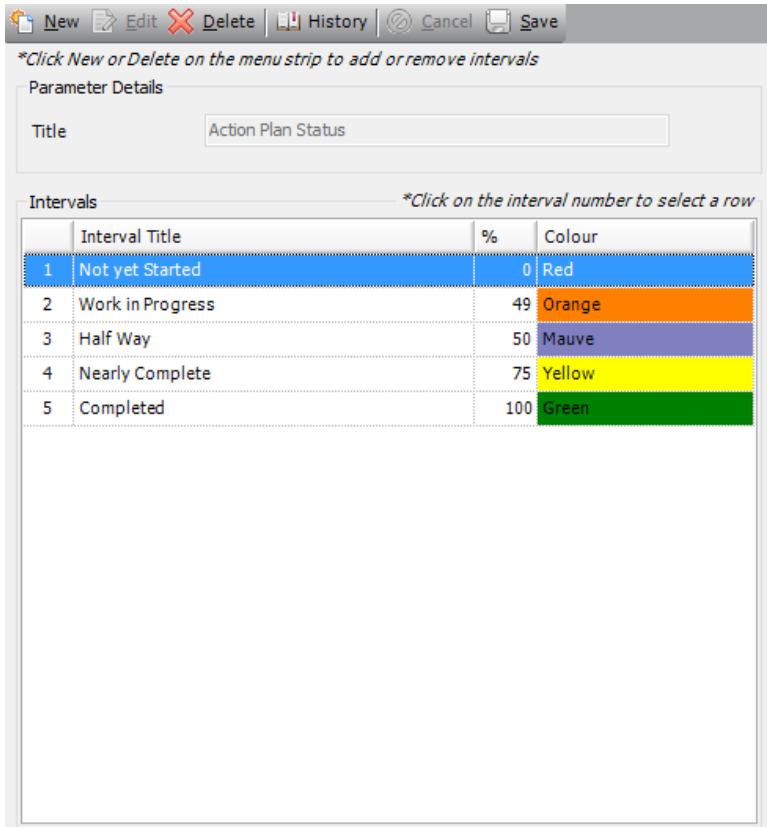
Linked Item's Unit	Parent Unit	Unit Path
Finance	Testing unit	Root\Testing unit\Finance

Action Plan Owner Title
Dionne Barnard

Linked	Title	Reference	Start Date	End Date
<input type="checkbox"/>	Information is always due		19 August 2015	27 August 2015
<input type="checkbox"/>	Action plan on notification for voting		19 August 2015	01 November 2015
<input type="checkbox"/>	Action plans must be established and executed accurately		02 October 2015	30 October 2015
<input type="checkbox"/>	action to kpi		05 October 2015	05 October 2015
<input type="checkbox"/>	Action to KRI to meet financial targets		02 October 2015	23 October 2015
<input type="checkbox"/>	adding cash on petty cash action plan captured in voting template		19 August 2015	28 August 2015
<input type="checkbox"/>	Adjustments of theft record must be reported daily		19 August 2015	28 October 2015
<input type="checkbox"/>	Control of building budget is based on the fixed rate		19 August 2015	14 October 2015
<input type="checkbox"/>	control of disbursement of cash		02 October 2015	22 October 2015

Setting Colours Against Action Plan Statuses 7.7.0

- You can specify colours to correspond to Action Plan Statuses in the Server Management Console
- Colours are displayed in the registers and the Action Plan Capture screen



Interval	Interval Title	%	Colour
1	Not yet Started	0	Red
2	Work in Progress	49	Orange
3	Half Way	50	Mauve
4	Nearly Complete	75	Yellow
5	Completed	100	Green




		Action Plan Title	Percentage Com...	Action Plan Status
+	!	Investigate close-circuit monitoring to combat unauthorized access to plant	49.00	Work in Progress
+	!	Career Planning	50.00	Half Way
+	!	Ensure that back ups of servers are automatically run every day	75.00	Nearly Complete


Setting Colour Thresholds for Key Indicator Target Intervals 7.7.0

- Target Interval colour thresholds can be set in the Server Management Console
- Default colour setting can be applied to different intervals at the same time

Parameter Details

Title

	Colour	Description
<input type="checkbox"/>		<input type="text" value="Target met"/>
<input type="checkbox"/>		<input type="text" value="Slightly under target"/>
<input type="checkbox"/>		<input type="text" value="Significantly below target"/>

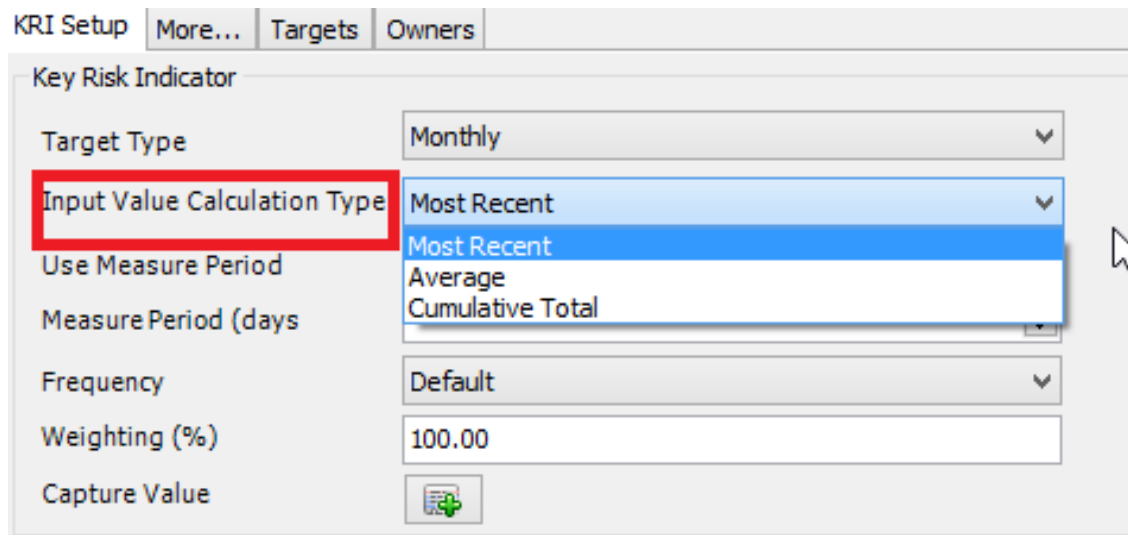
 Add new row

Key Indicator Title	Input Value
- Use Measure Period: True	
Staff is being poached	0.00
Staff is being poached	0.00
Staff is being poached	0.00
Staff is being poached	0.00
Staff is being poached	100.00
Staff is being poached	0.00
Staff is being poached	20.00

Calculation Types on Key Indicators

7.7.0

- You can set how Key Indicator values are calculated by selecting one of the following options:
 - Most Recent: the most recent current value for the specified range will be used
 - Average – An average of all the values for the specified range will be used
 - Cumulative Total – all values entered for the specific range will be added together and used



The screenshot shows the 'KRI Setup' dialog box with tabs for 'More...', 'Targets', and 'Owners'. The 'Key Risk Indicator' section is active. The 'Input Value Calculation Type' dropdown menu is open, showing three options: 'Most Recent' (selected), 'Average', and 'Cumulative Total'. The 'Target Type' is set to 'Monthly', 'Frequency' is 'Default', and 'Weighting (%)' is '100.00'. The 'Capture Value' field has a green plus icon.

Field	Value
Target Type	Monthly
Input Value Calculation Type	Most Recent
Use Measure Period	
Measure Period (days)	
Frequency	Default
Weighting (%)	100.00
Capture Value	

Capturing KRIs in the Process and Template Libraries 7.7.0

- Key Indicators can be added to the Process and Template trees.
- Assists in creating library of Objectives, KPIs, Risks, KRIs, Controls

Template Risk Register - Services and Product

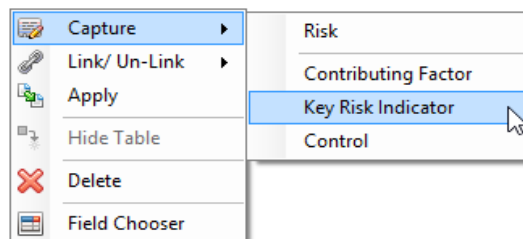
Lock Register Refresh Expand Register Wrap Text Print Export Register Favourite View Show Filter Close

Drag a column header here to group by that column.

Risk Title	Reference
Inadequate management of credit notes and sales adjustments	
Inadequate / Ineffective revenue management	

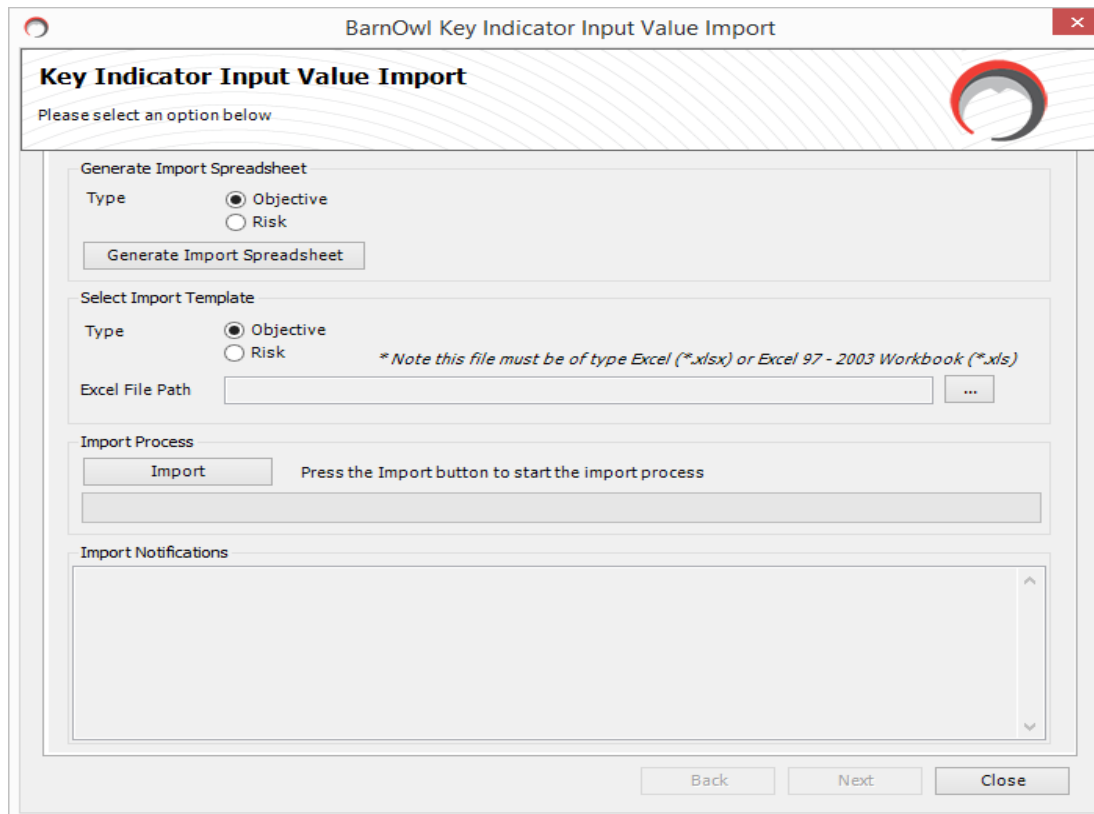
Control Title	Reference
Quotation tool / system is in place to prepare quotations for technol...	
Quotations (technology, managed services, professional services an...	
Quotations are prepared based on an authorised price list in respect...	

Audit Objective Title	Reference	Description
Sales commissions are accurately calculated and paid in accordance...		Sales commissions are accurately calculated a...



Importing Historic Key Indicator Input Values 7.7.0

- You can import historic KRI/KPI input values using the Import Wizard
- File Menu > Import/Export data > View key indicator input value options



The screenshot shows a software window titled "BarnOwl Key Indicator Input Value Import". The window has a header bar with the title and a close button. Below the header, the main content area is titled "Key Indicator Input Value Import" and includes the instruction "Please select an option below". The content area is divided into four sections: "Generate Import Spreadsheet", "Select Import Template", "Import Process", and "Import Notifications".

Generate Import Spreadsheet

Type ☒ Objective ☐ Risk

Select Import Template

Type ☒ Objective ☐ Risk

** Note this file must be of type Excel (*.xlsx) or Excel 97 - 2003 Workbook (*.xls)*

Excel File Path

Import Process

Press the Import button to start the import process

Import Notifications

At the bottom of the window, there are three buttons: "Back", "Next", and "Close".

KI Input Value Register 7.7.0




- Flat Register enables you to view all KRI/KPI input values
- View Menu > Key Indicators > Key Indicator Input Value Register

Lock Register Refresh Unwrap Text Print Export Register Favourite View Show Filter				
Drag a column header here to group by that column.				
Key Indicator Title	Use Measure Period	Measure Period	Input Value	Unit Of Measure
Staff is being poached	<input checked="" type="checkbox"/>	30	0.00	Number
Staff is being poached	<input checked="" type="checkbox"/>	30	0.00	Number
Staff is being poached	<input checked="" type="checkbox"/>	30	0.00	Number
Staff is being poached	<input checked="" type="checkbox"/>	30	0.00	Number
Staff is being poached	<input checked="" type="checkbox"/>	30	100.00	Number
Staff is being poached	<input checked="" type="checkbox"/>	30	0.00	Number
Staff is being poached	<input checked="" type="checkbox"/>	30	20.00	Number

Separate Date for Vote Reviewers 7.7.0

- Reviewer can only access the vote once all users have voted
- Can set different date for Reviewer

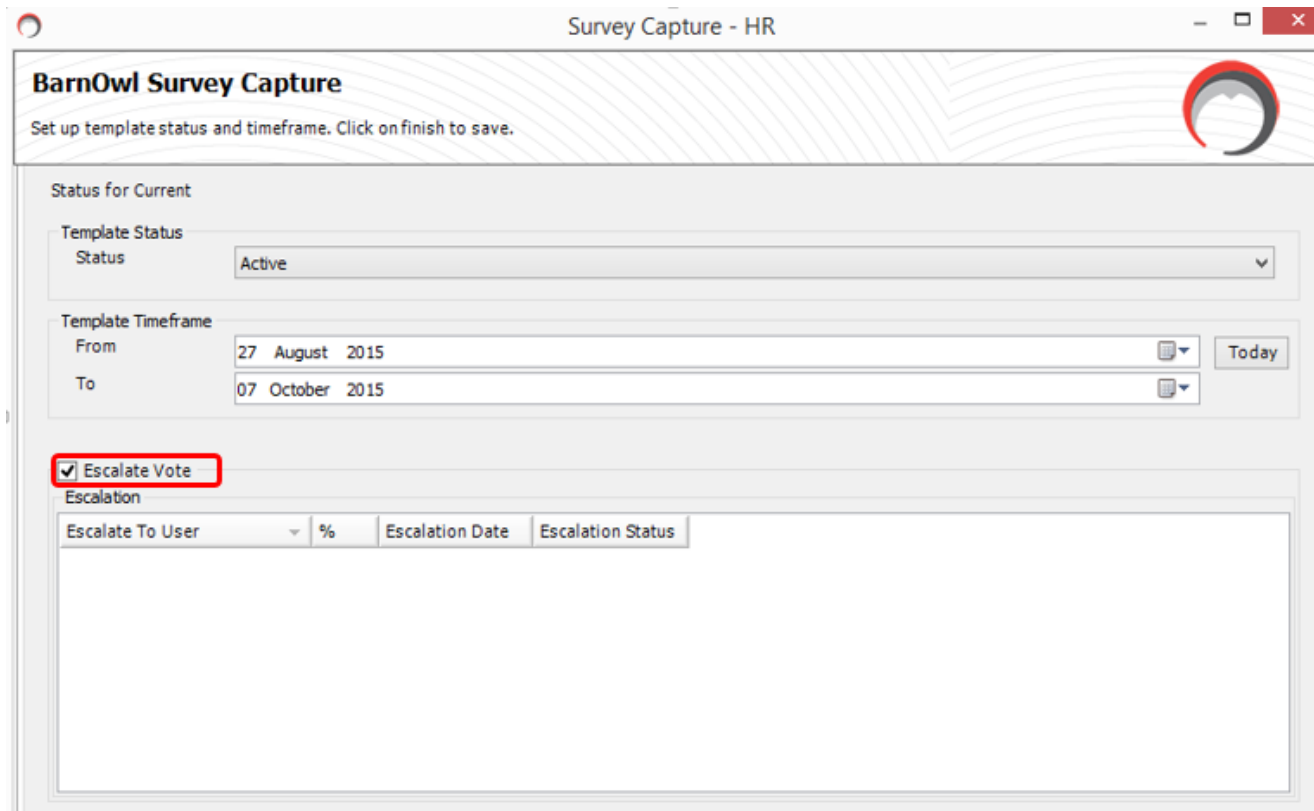
Template Timeframe

From	14 July 2016		<input type="button" value="Today"/>
To	28 July 2016		
Reviewer To Date	29 July 2016		

Escalation Function added to Surveys

7.7.0

- As with Voting templates and action plans, you can escalate a survey to users if a certain percentage is not complete by a specified date.

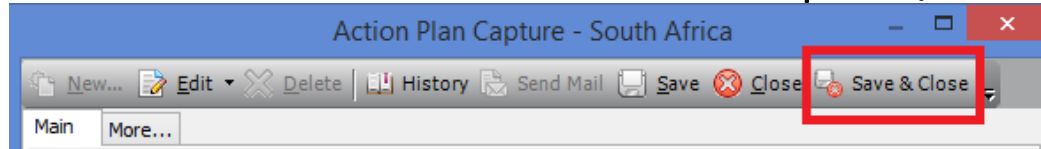


The screenshot shows the 'Survey Capture - HR' window. The title bar reads 'Survey Capture - HR'. The main header is 'BarnOwl Survey Capture' with a sub-header 'Set up template status and timeframe. Click on finish to save.' and the BarnOwl logo. The form is divided into sections: 'Status for Current' with a 'Template Status' dropdown set to 'Active'; 'Template Timeframe' with 'From' (27 August 2015) and 'To' (07 October 2015) date pickers, and a 'Today' button. The 'Escalate Vote' checkbox is checked and highlighted with a red box. Below it is an 'Escalation' table with columns: 'Escalate To User', '%', 'Escalation Date', and 'Escalation Status'.

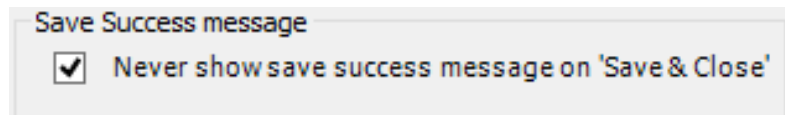
Escalate To User	%	Escalation Date	Escalation Status
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User Experience Enhancements 8.0.0

- Capture screens automatically open in Edit mode – no longer need to click “Edit” button
- New “Save & Close” button on all Capture/Edit screens



- Ability to disable “Save Successfully” message in Preferences
- File Menu > Preferences > Display Tab

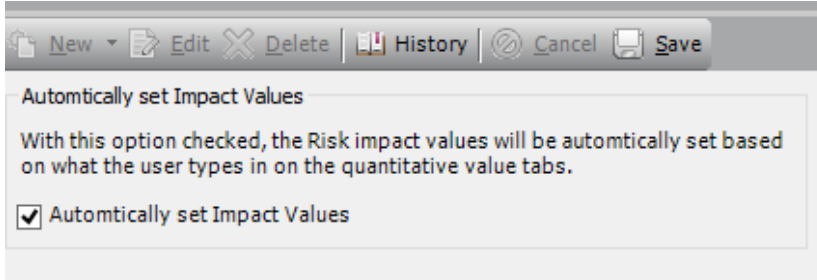


- You can also disable the Save Success message on the message itself by selecting the “Don’t show this message again” checkbox



Risk Quantitative Impact Value 8.0.1

- The Impact field in both Pre-control rating and Post-control rating can be automatically rated.
- The amounts specified in the Inherent Qualitative and Residual Qualitative tabs are converted to a Qualitative Impact value based on the Impact Values specified in the Unit weighting screen.
- Specify this option in the Server Management Console :
General Setup > Risks > Set Automatic Impact



A screenshot of the 'Inherent Quantitative' tab within a larger application window. The window has four tabs: 'Qualitative', 'Inherent Quantitative', 'Residual Quantitative', and 'Risk Owner'. The 'Inherent Quantitative' tab is active. It contains the following fields:

- 'Impact Value': A text box containing '300 000.00'. To its right is a checkbox labeled 'Use default unit values' which is checked. This checkbox and its label are highlighted with a red rectangle.
- 'Rationale': A large text area for notes, with a small icon on the right side.
- 'Likelihood': A dropdown menu showing '3.00 - Unlikely < 3 years'.
- 'Rationale': Another large text area for notes, with a small icon on the right side.
- 'Inherent Risk Exposure': A text box at the bottom containing '90 000.00'.

Voting Template User Lists 8.1.0

- You can set up User Lists for different types of Voters across your organisational structure
- For example, one set of users in a list could be Top Management, and another could be Control Owners
- Each time the User List is selected, all voters, reviewers and escalation users in the list are automatically added to the Vote
- Users added to a User List must have Vote permissions
- User Lists can **only** be specified for a Vote in the Templates tree

Voting Template User Lists 8.1.0

View > Voting > Voting Template User List Register

Voting Template User List Edit

New... Edit Delete Save Close Save & Close

Root

- ABC Corporate
 - England
 - South Africa
 - Finance
 - Human Resources

☐ Persist data

Users

- Ali Ditta
- Chiao-Ping Fu
- Dionne Barnard
- Irene Monyamane
- Ray Givens

Add Remove

Reviewer

Reviewer Vuyo Nkambule ...

Escalations

System User	%	Value	Metric	Before / After
Admin User	5	5	Days	Before end date
Ingrid Hawkins	0	1	Days	Before end date

Risk Incident Flat Register 8.1.0

Flat Loss Event Register (Global)

Refresh

Unwrap Text

Print

Export Register

Favourite View

Show filter

Hide Aggregates

Show My Incidents

Hide Item View Register

Close

Loss Event

Unit Path

Unit Path

Title

Risk Title

Business Interru...

Material Damag...

Currency Title

Loss Event Cate...

Loss Event Sub...

Occurrence Date

Date Of Last Sta...

Status

Originator Name

Owners

Unit Path: Root\ABC Corporation\South Africa\HR (2)

Root\ABC Corpo...

No staff followu...

No follow up on...

0.00

0.00

ZAR

Process

Implementation

20 06 2010

Default

None None

Root\ABC Corpo...

Embezzlement b...

Lack of ability to...

0.00

0.00

ZAR

People

Fraud

21 05 2010

Default

None None

0.00

0.00

Unit Path: Root\ABC Corporation\South Africa\IT\Hardware Support (1)

Root\ABC Corpo...

Loss of Data due...

Hardware Support

0.00

0.00

ZAR

Systems

IT

15 03 2016

Default

Dionne Barnard

Charles, Berna

0.00

0.00

Unit Path: Root\ABC Corporation\South Africa\IT\Software Support (1)

Root\ABC Corpo...

Loss of Data due...

Software Support

0.00

0.00

ZAR

Systems

IT

15 03 2016

Default

Dionne Barnard

Charles, Berna

0.00

0.00

Refresh

Print

Export

Save Layout

Reset Layout

Increase Row Height

Decrease Row Height

Drag a column header here to group by that column.

Loss Event Title

Currency

Amount

Loss Event Category

Loss Event Subcategory

Occurrence Date

Originator

Business Interru...

Material Damage

Employee name

Reason

Loss of Data due to Ser...

ZAR

0.00

Systems

IT

15 March 2016

Dionne Barnard

0.00

0.00

Risk Incident Owner Title

Owner Type

Jennifer Moser

Accountable

Charles Berman

Responsible

Action Plan Title

Start Date

Due Date

Related Items

User type

Investigation into server crash

15 March 2016

28 March 2016

N/A

Action Plan Owner Title

Owner Type

Charles Berman

Responsible

Jennifer Moser

Accountable

Setting Action Plans to Moderation Mode for CSA Vote 8.1.0

- Moderation Mode for Action Plans enables the Vote Originator to specify that any action plans created during a vote remain inactive until they are either activated or deleted by the Reviewer or the Originator, so that duplicate or similar action plans can be identified before email notifications are sent to owners
- Vote Originator selects “Moderate Action Plans” when setting up the CSA Vote Template

Template Information

Template Title



Template Reference

Origin Reference

<input type="checkbox"/> Vote on all items mandatory	<input type="checkbox"/> Vote is Anonymous
<input type="checkbox"/> Allow Comments	<input checked="" type="checkbox"/> Allow Action Plans
<input type="checkbox"/> Show Linked Items	<input checked="" type="checkbox"/> Moderate Action Plans
<input type="checkbox"/> Show Supporting Evidence	<input type="checkbox"/> Vote On Control Adequacy
<input type="checkbox"/> Show Linked Item Ratings	

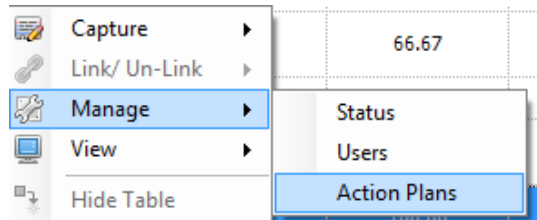
Deleting Moderation Action Plans in the Web Interface 8.1.0

- Users create “inactive” action plans during vote.
- Reviewer can delete action plans during review. Any action plans not deleted by Reviewer will be activated and updated to BarnOwl when the Reviewer finalises the vote review.

▼			Communication process	4 - Ineffective		Create	Link	Browse...	No file selected.
Reference		Nature Of Control		IT Control	Control Owner	Compliance Control		Frequency	Documents
		Operational		False		False		Default	
Linked Risk Title			RI	RL			RR		
Non management of diversity and acceptance of others			4.00	1.00			4.00		
Users			Comments		Control Effectiveness		Action Plan Captured	Date Submitted	
▼	Clinton Bernhardt				Ineffective		Yes	01 Sep 2016	
	Action Plan Title		Start Date	Due Date	Status		%Comp		
	View	Improve communication by holding weekly meetings	04 Sep 2016	03 Sep 2017	Not yet Started		0	Delete	
▼	Wade Crowder				Ineffective		Yes	01 Sep 2016	
	Action Plan Title		Start Date	Due Date	Status		%Comp		
	View	Communication needs to be more regular and constant	04 Sep 2016	04 Dec 2016	Not yet Started		0	Delete	

Activating Moderation Action Plans in the Rich Client 8.1.0

- If no Reviewer is assigned to the vote, the Originator can select which action plans to activate in the BarnOwl ERM Rich Client.
- When Action Plan status is set to “Closed”, right-click the Voting template in the Voting Template Register – Manage > Action Plans



Activate Action Plan Screen

Active	Title	Reference	Start Date	End Date
<input type="checkbox"/>	Communication needs to be more regular and constant	HR	04 September 2016	04 December 2016
<input checked="" type="checkbox"/>	Training Schedule to be revised and updated		01 September 2016	30 September 2016
<input checked="" type="checkbox"/>	Discrimination & Harassment policy not correctly enforced		04 September 2016	30 September 2016
<input checked="" type="checkbox"/>	Improve communication by holding weekly meetings	HR-AP-224	04 September 2016	03 September 2017

Flat Registers 8.1.1

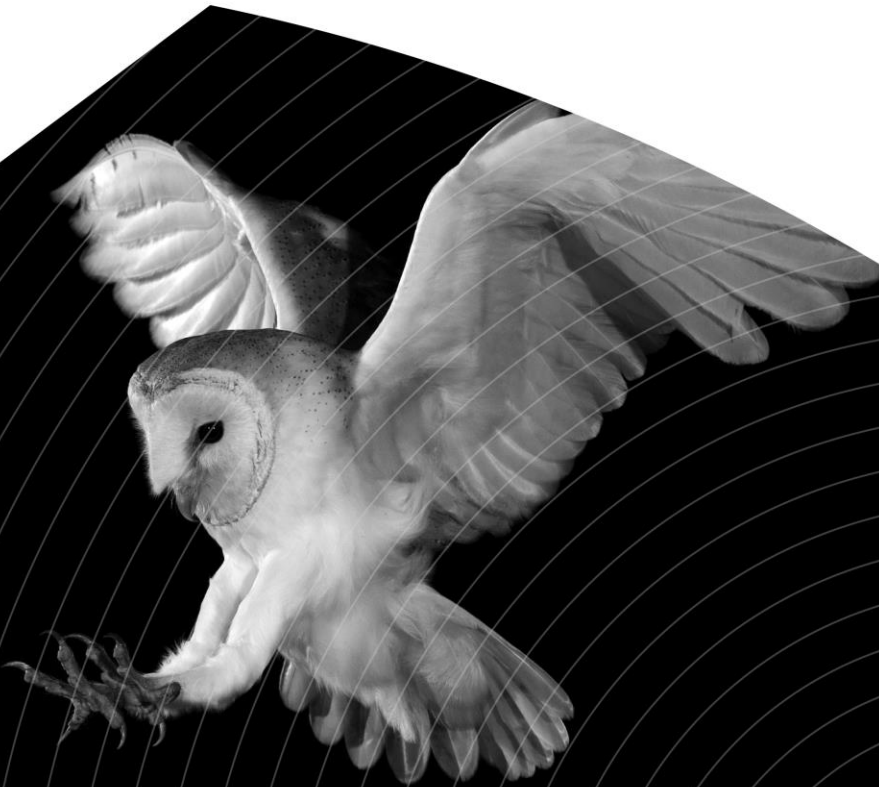
- From Version 8.1.1 you can view flat registers for the following items:
 - Objectives
 - Risks
 - Contributing Factors
 - Controls
 - Action Plans
- View Menu > [item] > Flat [item] Register (Global)
- Flat registers can be exported to a report and can be filtered in the same way as standard registers

Flat Registers 8.1.1.

Flat Risk Register												
Refresh Unwrap Text Print Export Register Favourite View Show Filter Hide Aggregates Hide Item View Register Close												
Loss Event Unit Path												
Unit Path	Over All Risk Ra...	Risk Rank	Title	Reference	II	IL	IR	Control Factor V...	IV	IE	RI	
Unit Path: Root\Human resources (10)												
Root\Human res...	8	4	Global markets...		3.00	2.00	6.00	N/A		0.00	0.00	3.00
Root\Human res...	2	2	Headhunting by...		4.00	7.00	28.00	0.00		0.00	0.00	4.00
Root\Human res...	12	6	Lack of appropri...		7.00	7.00	49.00	0.98		0.00	0.00	0.99
Root\Human res...	6	3	Lack of core co...		4.00	3.00	12.00	0.00		0.00	0.00	4.00
Root\Human res...	9	5	Lack of job satis...		2.00	3.00	6.00	0.00		0.00	0.00	2.00
Root\Human res...	15	9	Lack of rewards...		7.00	7.00	49.00	N/A		0.00	0.00	0.00
Root\Human res...	13	7	Lack of successi...		6.00	7.00	42.00	N/A		0.00	0.00	0.85
Root\Human res...	1	1	Lack of team wo...		6.00	7.00	42.00	N/A		0.00	0.00	6.00
Root\Human res...	14	8	Loss of staff		2.00	3.00	6.00	0.98		0.00	0.00	0.28
Root\Human res...	23	10	Safety compromi...		0.00	0.00	0.00	0.00		0.00	0.00	0.00
					4.10	4.60	24.00			0.00	0.00	2.11
Unit Path: Root\Human resources\Financial Management (6)												
Collapse Register Wrap Text Print Export Register Favourite View Show Filter												
Drag a column header here to group by that column.												
Risk Title	II	IL	IR	RI	RL	RR	Risk Response Decision	IDRisk	Medical aid	Vitality status	Vitality Discou	
Loss of staff	6.0	5.0	30.0	2.0	5.0	10.0		R10908	<input type="checkbox"/>	N/A	N/A	
Key Risk Indicator Title Reference Measure Type Measure Name Use Measure Period Measure Period Frequency Current Value Input Date												
Lack of job satisfaction				%	percentage	<input type="checkbox"/>	0	Default		N/A	06 Aug 2015	
Target Date Title Target End Date Target Value Actual Value												
Target date	31 December	100.00										
Key Risk Indicator Title Reference Measure Type Measure Name Use Measure Period Measure Period Frequency Current Value Input Date												
failure to communicate				#	number	<input checked="" type="checkbox"/>	30	Default		N/A	N/A	
Target Date Title Target End Date Target Value Actual Value												
January	01 January	0.00										
February	01 February	0.00										
March	01 March	0.00										
April	01 April	0.00										
May	01 May	0.00										
June	01 June	0.00										
July	01 July	0.00										
August	01 August	0.00										



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AUDIT ENHANCEMENTS

Surveys & Questionnaires in Audit

7.7.0

- Surveys & questionnaires can be set up on the Template PFO and brought through into an audit.
- Can be activated and sent to relevant recipients at appropriate time.

The screenshot displays the 'Survey Capture - Inspect receipts' window. The title bar reads 'Survey Capture - Inspect receipts'. The main header area contains the 'BarnOwl Survey Capture' logo and the instruction: 'Use this screen to setup categories, subcategories and questions'.

Template Information

Template Title:
Template Reference:
Origin Reference:

☒ Allow Comments ☒ Allow Action Plans
☒ Show Supporting Evidence
☒ Standard Mode ☐ Weighted Mode

Instructions:

Question List

- Provision of Receipts
 - Sales Receipts
 - Were sales receipts provided upon request?
 - Was a reason given for non-provision (highlighted)

Question Editor

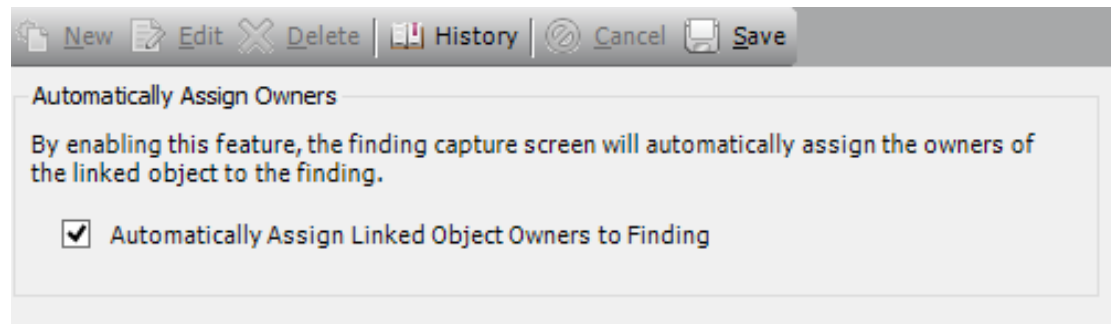
Question Title:
Reference:
Optional Dependencies:
Dependent Question:
Dependent Answer:

Buttons: Up, Down, Save, Send Mail, Next, Close

Automatically Assign Finding Owners

7.7.0

- If a Finding is captured against an item during an Audit, you can specify that BarnOwl automatically defaults the Finding Owner as the item owner
- If Finding is raised against a Control, the Finding Owner will automatically default to the Control owner
- Set this option in Server Management Console:
Internal Audit > Finding > Automatic Owners Link



Report builder, performance check in / out, control ratings 8.0.1

- Report Builder:
 - Risks with Findings table added – ability to view findings linked via risks and controls
 - Expenses added to project costing table
- Performance enhancements (speed) to the following registers:
 - All checked out items
 - My checked out items
 - All Flagged Items
 - Quick Prepare/Review/Sign off
- Control rating values added to the Audit Content screen

Audit Procedure Document can be viewed in Audit Objective Screen 8.1.0

- In the Objective Schedule at the bottom of the Audit Objective Capture/Edit screen, expand the Audit procedure to view linked documents

Objective Schedule

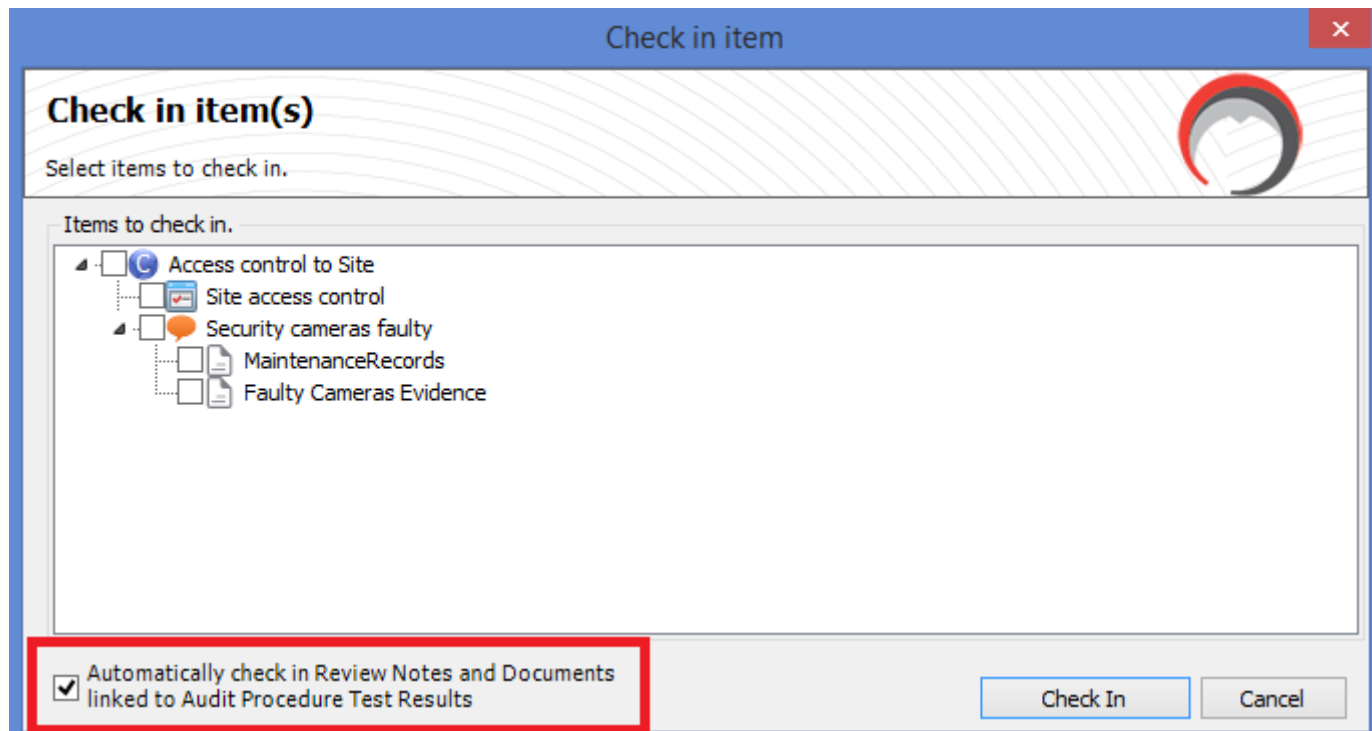
Audit Procedures Risks / Controls Findings Review Notes Conclusion P&R

Refresh Print Export Increase Row Height Decrease Row Height

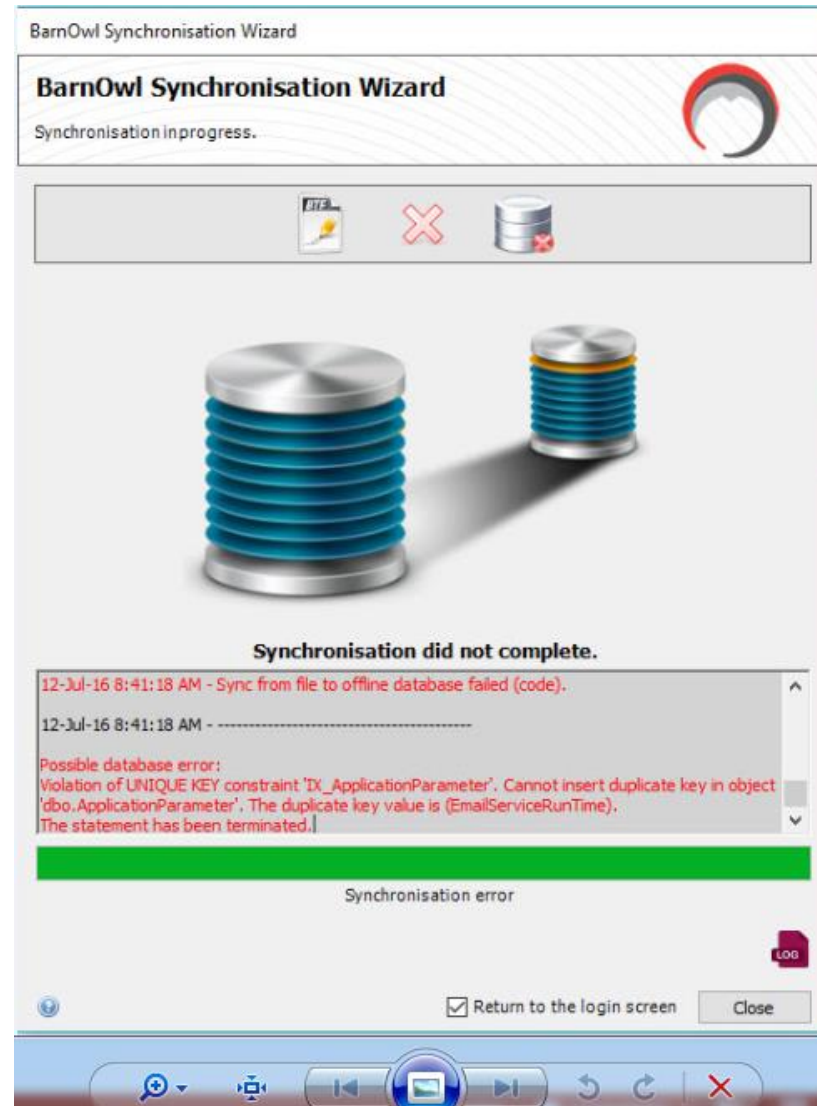
Drag a column header here to group by that column.

	Audit Procedure Title	Reference	Audit Procedure Category	Audit Procedure Subcategory	%
	10.1 Safeguarding of employee personal infor...		Human resources	Staff	50.1
	Linked Item Title	Linked Item Type			
	Ensure that employee personal information is...	Control			
	Document Title	RN			
	Confirmation of Audit Letter Signed 30 April 2015	0/0			

Automatically Check in /out Documents linked to Audit Procedure Results 8.1.0

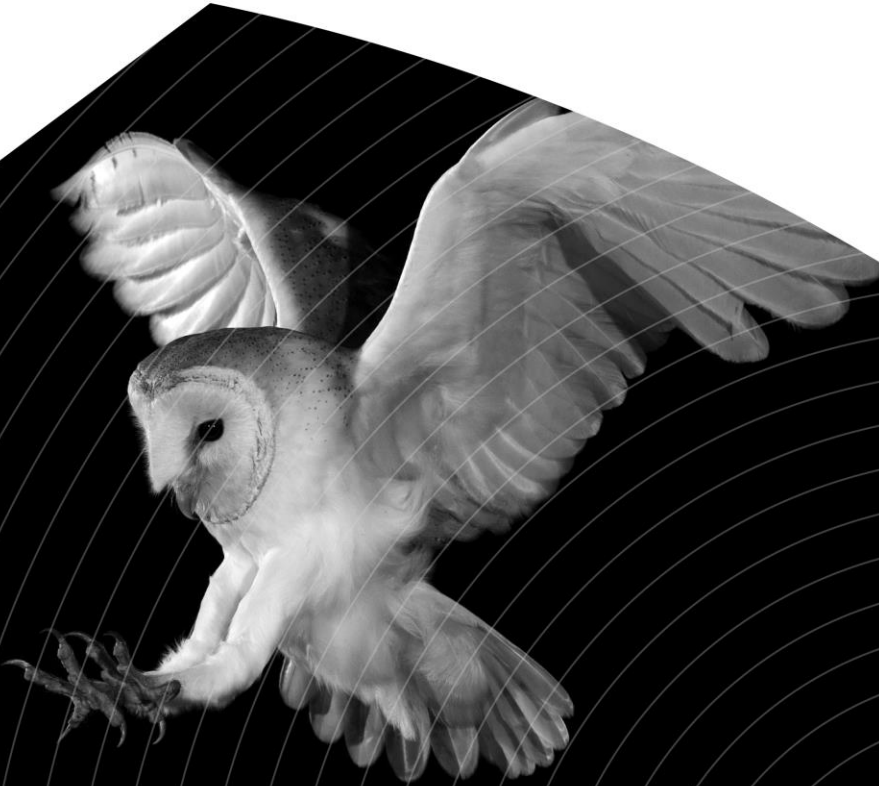


Improved Synchronisation messages 8.1.1





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SERVER MANAGEMENT CONSOLE ENHANCEMENTS

Move Category Utility 7.7.0

- You can move contributing factors, risk incidents, key indicators and findings to a new category in bulk - you could previously only use this function for risks
- Server Management Console > Utilities > Move Category Utility

Select the field to migrate categories:

Risk

Risk

Contributing Factor

Risk Incident

Key Indicator

Finding

Move all 6 risk incidents from a category and sub-category to another.

Original Risk Incident Details		New Risk Incident Details
Category		Category
People		Systems
Sub-Category		Sub-Category
Fraud		Physical



Risk Incidents added to Reassignment Wizard

8.0.1

- Risk Incidents can be reassigned from one owner (user) to another using the Reassignment Wizard.
- Server Management Console > Security > Security Members > Users
- Right-click a user and select “Reassign Items”

Reassignment Wizard
Reassign various items to other users.

Risk Incident Owner Reassignment Reassign all to: Risk Officer

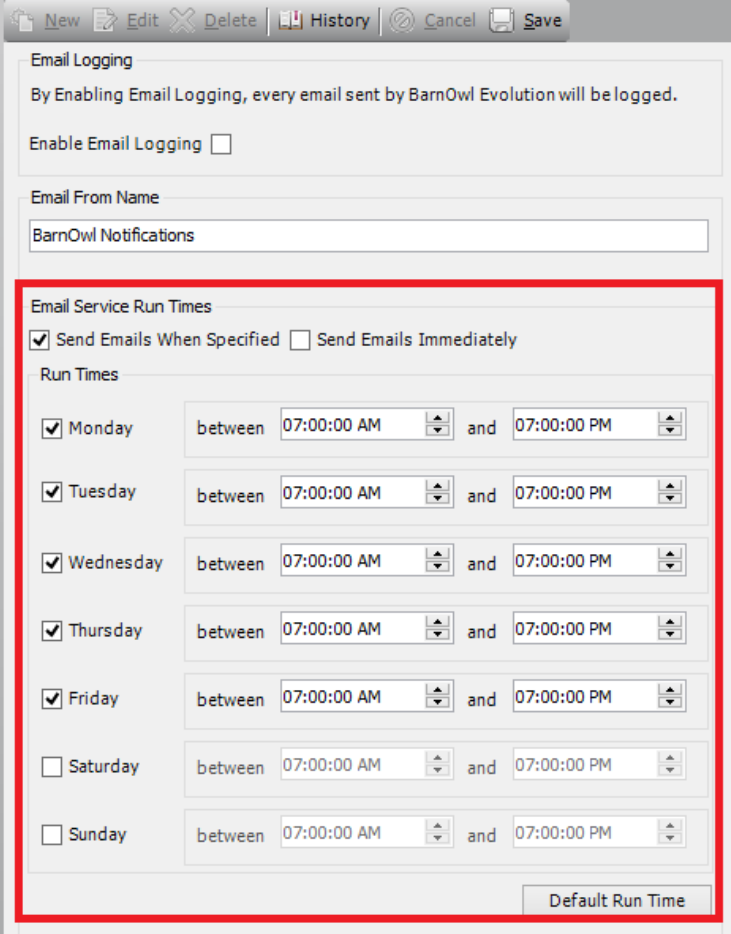
Risk Incident Title	Parent Unit Title	Unit Title	Reassign to
Serious Data Breach at Off-site Server Location	IT	Hardware Support	Risk Officer
Serious Data Breach at Off-site Server Location	IT	Hardware Support	Risk Officer

Jump to page: Risk Incident Owner

Back Finish Close

Configurable Times for Email Service 8.1.0

- You can specify what time(s) the Email service send email notifications



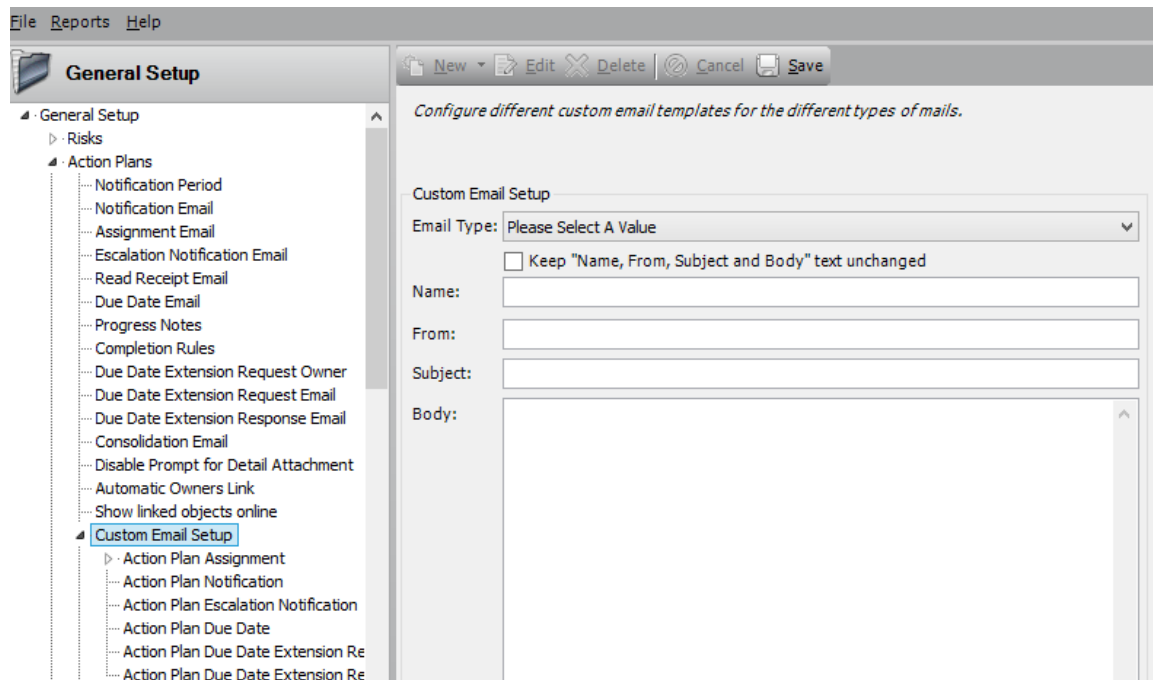
The screenshot shows the 'Email Logging' and 'Email Service Run Times' configuration sections of the BarnOwl Evolution interface. The 'Email Service Run Times' section is highlighted with a red border. It includes a checkbox for 'Send Emails When Specified' (checked) and 'Send Emails Immediately' (unchecked). Below this, there is a table of run times for each day of the week, with a 'Default Run Time' button at the bottom right.

Day	Run Times
<input checked="" type="checkbox"/> Monday	between 07:00:00 AM and 07:00:00 PM
<input checked="" type="checkbox"/> Tuesday	between 07:00:00 AM and 07:00:00 PM
<input checked="" type="checkbox"/> Wednesday	between 07:00:00 AM and 07:00:00 PM
<input checked="" type="checkbox"/> Thursday	between 07:00:00 AM and 07:00:00 PM
<input checked="" type="checkbox"/> Friday	between 07:00:00 AM and 07:00:00 PM
<input type="checkbox"/> Saturday	between 07:00:00 AM and 07:00:00 PM
<input type="checkbox"/> Sunday	between 07:00:00 AM and 07:00:00 PM

Default Run Time

Custom Email Templates for Action Plans 8.1.0

- You can customise the email body text for different types of Action Plan emails:
 - Action Plan assignment/ notification
 - Action Plan escalation notification
 - Action Plan due date
 - Action Plan due date extension request
 - Action Plan due date extension response
- Server Management Console > General Setup > Custom Email Templates



Setting Custom Email Defaults for Action Plans

8.1.0

- If you have set up custom e-mail notifications for Action Plans, you can specify which email is sent out as the default for a specific item, such as units, risks or controls.
- Server Management Console > General Setup > Custom Email Defaults

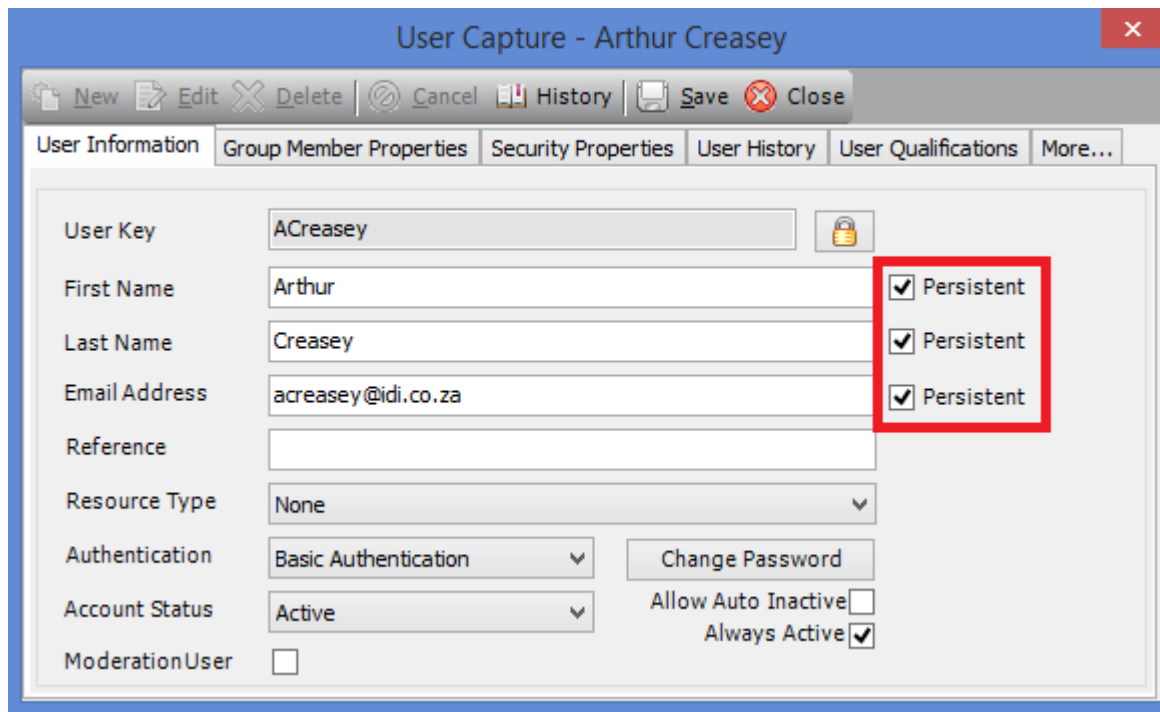
Assign custom Email templates for the different types of action plans

Linked Item Type	Assignment	Notification	Escalation Notification	Due Date	Due Date Extension...	Due Date Extension...
Unit	Action Plan Unit	UnitNotification	Default	Default	Default	Default
Risk	Action Plan Risks	Risk Notification	Default	Default	Default	Default
Objective	Default	Default	Default	Default	Default	Default
Risk Incident	Default	Default	Default	Default	Default	Default

Set Persistent Fields for User Profiles

8.1.0

- You can specify that the User First Name, Last Name and Email Address fields are persistent so that they are not overridden when the Active Directory is synced.



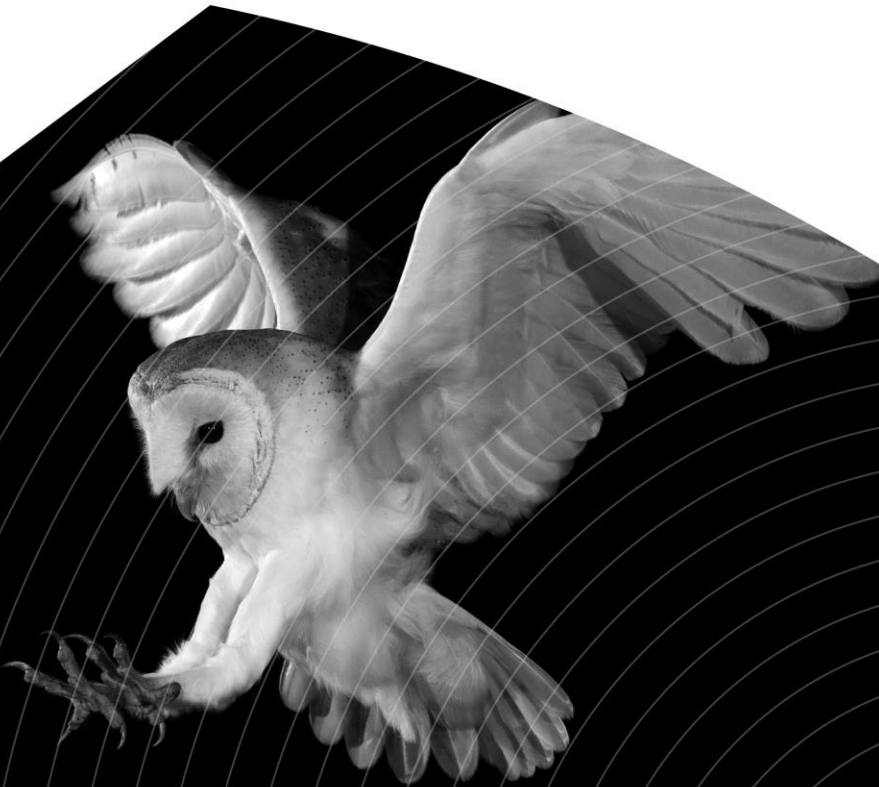
The screenshot shows a window titled "User Capture - Arthur Creasey" with a standard toolbar (New, Edit, Delete, Cancel, History, Save, Close). Below the toolbar are tabs: "User Information", "Group Member Properties", "Security Properties", "User History", "User Qualifications", and "More...". The "User Information" tab is active, displaying a form with the following fields and options:

Field	Value	Persistent
User Key	ACreasey	<input type="checkbox"/>
First Name	Arthur	<input checked="" type="checkbox"/> Persistent
Last Name	Creasey	<input checked="" type="checkbox"/> Persistent
Email Address	acreasey@idi.co.za	<input checked="" type="checkbox"/> Persistent
Reference		
Resource Type	None	
Authentication	Basic Authentication	
Account Status	Active	
Moderation User	<input type="checkbox"/>	

Additional options on the right side of the form include "Change Password", "Allow Auto Inactive" (unchecked), and "Always Active" (checked).



BARNOWL



WEB INTERFACE ENHANCEMENTS

Capture and Maintain Key Indicators

7.7.0

- You can capture/edit a Key Indicator in BarnOwl Lite
- Capture new item against an Objective, Risk or Control

KEY PERFORMANCE INDICATOR EDIT - SOUTH AFRICA

Edit Cancel Save Search ABC ✓

Details

KI Setup

More...

Targets

Current Value

Owners

Documents

Main

More...

Title

Staff is being poached

Reference

HR-01

Description

Measure Name

Number of Staff Poached

Unit Of Measure

%

Category

HR

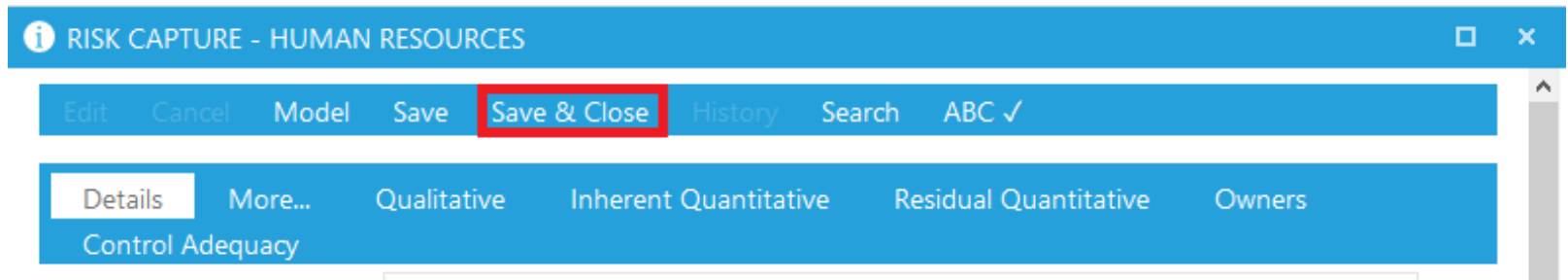
Subcategory

HR

Capture Screens Open In Edit Mode

8.0.0

- BarnOwl Lite Capture/Edit screens open in Edit mode automatically
- If “Save” is clicked, you need to click Edit to continue
- Capture/Edit screens have “Save & Close” button (from Version 8.1.0)



View Action Plan Linked Objects 8.1.0

- You can view objects to which Action Plans are linked. For example, if the Action Plan is captured against a control, you can view the control from the Action Plan register.
- Click the link to open the object (read-only)
- Certain objects (such as Units, Processes and Findings) are not supported in the Web Interface, and will not display a link

Action Plan Register

		Action Plan Title	Action Plan Type	Linked Item Title
View	!	Reduce staff losses	Risk	Headhunting by competitors
View	!	Conduct Investigation to confirm all Staff Information	Control	All Confidential Staff Information Stored offsite
View	!	Create and Distribute Employee Questionnaire	Unit	Compliance
View	!	INvestigate reasons for gift	Gift	Manager received gift from Client

Linking to Existing Action Plans during Votes

8.1.0

- You can create an action plan during a Vote. If more than one user is voting on an item (such as control adequacy), there could be more than one action plan for the same issue.
- Now have the option to link to an existing action plan captured by another user during a vote.

Action Plan

Create

Link

i

LINK ACTION PLAN

Save

Linked	Action Plan Title	Reference
<input type="checkbox"/>	Skills programme to be updated to reflect new employees	HR-AP-002

Vote Result Screen 8.1.0

- When you finalise a vote, you are automatically taken to the Results Screen

←

Control Ratings Result - ABC HR Control Self-Assessment Vote

↶


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Control Name	Control Effectiveness	Comments	Supporting Evidence			
Compile a skills programme	1.00 - Effective	Skills programme is useful to determine gaps in skills.				
	Action Plan Title	Start Date	Due Date	Status	%Comp	
	Skills programme to be updated to reflect new employees	24 May 2016	31 May 2016	Not Started	0	
Conduct Employee Satisfaction Survey	1.00 - Effective					

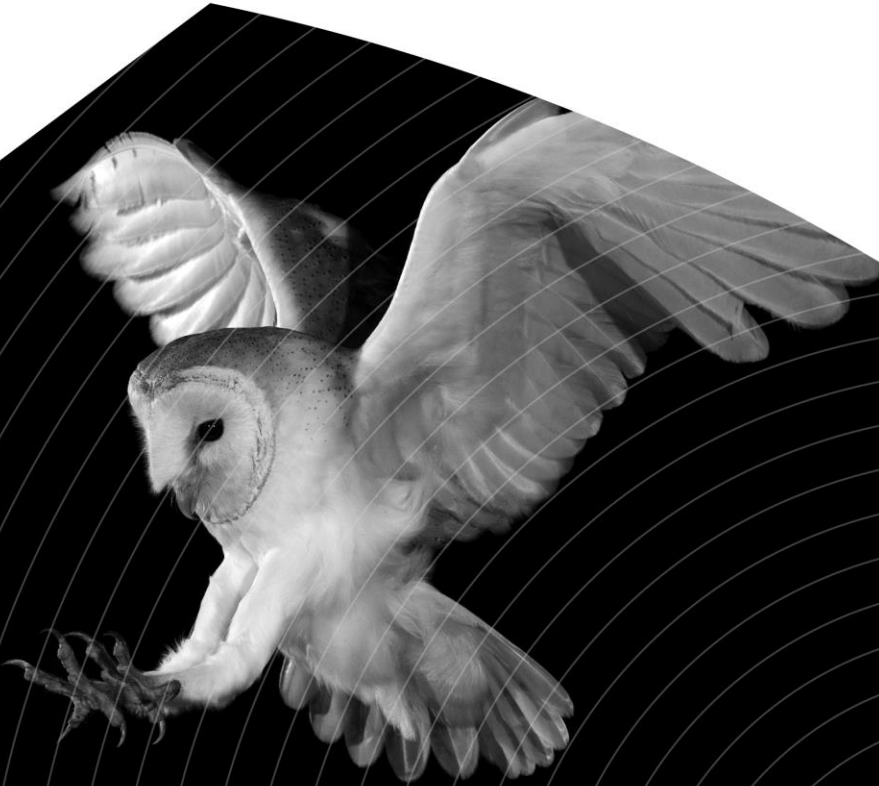
- You can undo the Vote Finalisation and return to the vote by clicking the Undo Finalise  button on the toolstrip

Vote Result Screen 8.1.1

- Ability to vote on Control Adequacy only
- Ability to open control details on Control Rating Votes



BARNOWL



GENERAL ENHANCEMENTS

General Enhancements

- Various stability and performance enhancements throughout BarnOwl.
- Show all /Show Unaligned Projects toggle added to Audit Alignment screen to hide projects which have already been aligned in ERM.
- Objective Register drills down to all levels of detail.
- Risk quantitative impact values increased to 1,000,000, 000,000.
- Key Indicator Register added in the Process Tree.
- Key Indicator target values can be backdated.
- Dynamic validation on Control ratings votes.
- Progress notes and Custom Fields available on Action Plan emails.
- Risk Capture, Contributing Factor Capture and History screens can be maximised.
- Improved error messages and log file access during Synchronisation.
- Log file available for download in the Web Interface.

Questions?



Help and Support

I need help - what do I do?

The Three Lines of Support

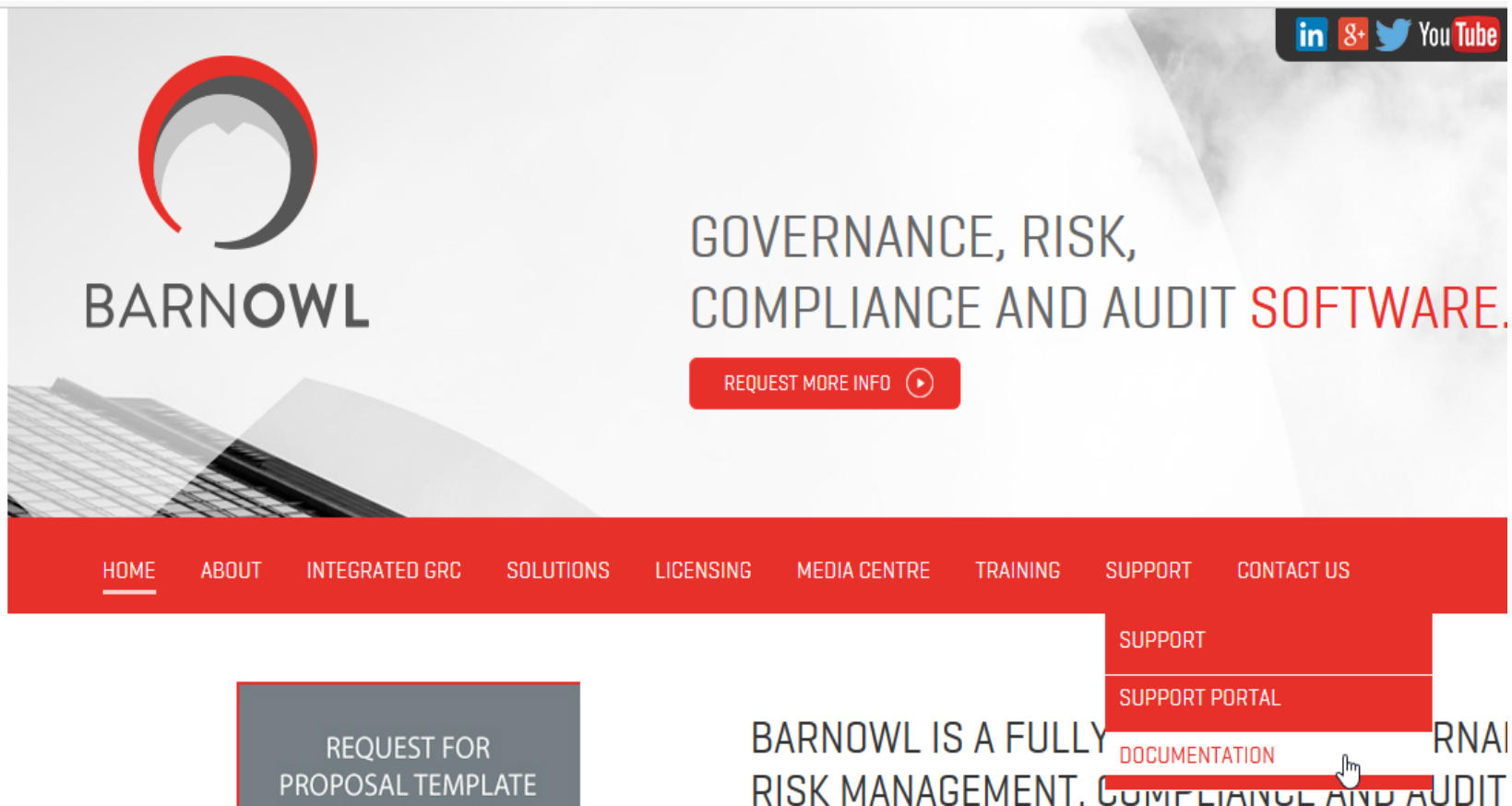
The three lines of support are:

- Can I help myself?
 - Select the Help menu or press <F1> in BarnOwl
- Can the BarnOwl Champion help me?
- BarnOwl support.

BarnOwl Online Help

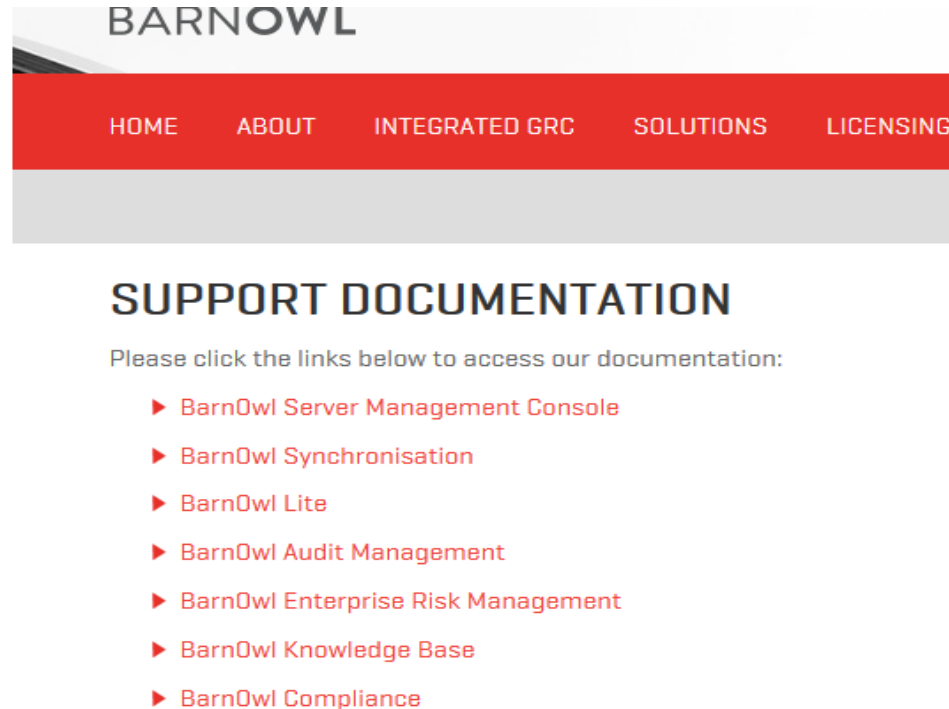
Where do I find Help?

- www.barnowl.co.za/support/documentation



BarnOwl Online Help

- Select the module for which you need help:



- Knowledgebase includes Frequently asked questions, Spotlight sessions, Tip of the month and User groups.

Viewing a Help Topic

- BarnOwl Help opens with the topic contents on the left.
- Select a topic in the left-hand pane to display in the right hand pane.

The screenshot displays the BarnOwl Help application interface. On the left, a 'Contents' pane lists various topics, with 'Completing a Vote' highlighted. The main right-hand pane displays the content for 'Completing a Vote', which includes a description of the voting process and a list of steps to follow. Below the steps, there is a section titled 'Please select a template' featuring a dropdown menu with several options, including 'Control Vote (HR)', 'CSA 2015 (HR)', and 'Inspect Sales Receipts (Sales Management Audit July 2015)'.

BARNOWL

Contents

- Introduction
- Working with the BarnOwl Web Interface
- Using the Voting Function
 - Completing a Vote**
 - Voting in A Survey or Questionnaire
 - Adding Supporting Evidence to a Vote, Survey or Questionnaire
 - Creating an Action Plan in a Vote, Survey or Questionnaire
- Working in Moderation Mode

Completing a Vote

As part of the risk assessment process, a risk manager can request a vote on the effectiveness of risk controls.

The voting screen in BarnOwl Lite can also be accessed from a URL which is e-mailed to each user required to vote.

To do this:

1. On the BarnOwl Lite landing page, click "Voting".
2. From the drop-down list, select the applicable voting template. Risk votes and Audit votes are listed separately.

Please select a template

(Select Template)

(Select Template)

(ERM Templates)

Control Vote (HR)

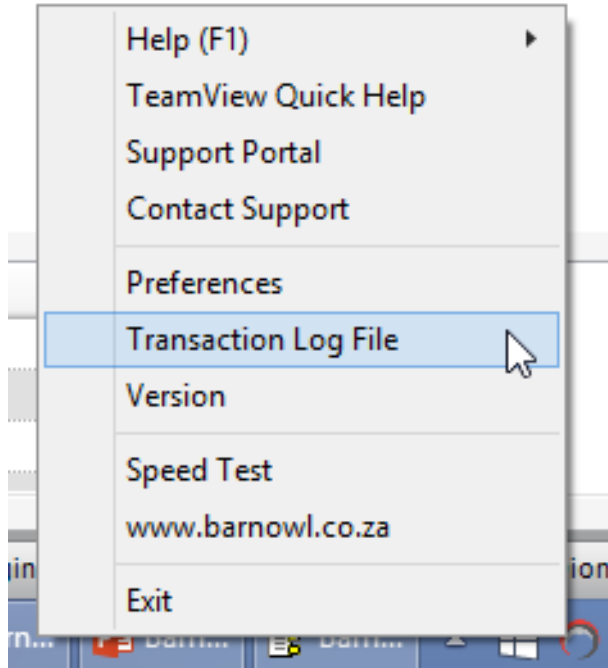
CSA 2015 (HR)

(IA Templates)

Inspect Sales Receipts (Sales Management Audit July 2015)

Obtaining Technical Support

- BarnOwl has a Client Support Portal where you can view the progress of all tickets.
- Send an e-mail to support@barnowl.co.za.
- Be as specific about the problem as you can and include screenshots if possible.
- If Support requests a log file, you can access it by right-clicking the BarnOwl tray icon and selecting Transaction Log File.



Thank you



BARNOWL



www.barnowl.co.za/support/documentation
support@barnowl.co.za

011 540 9112