



BARNOWL

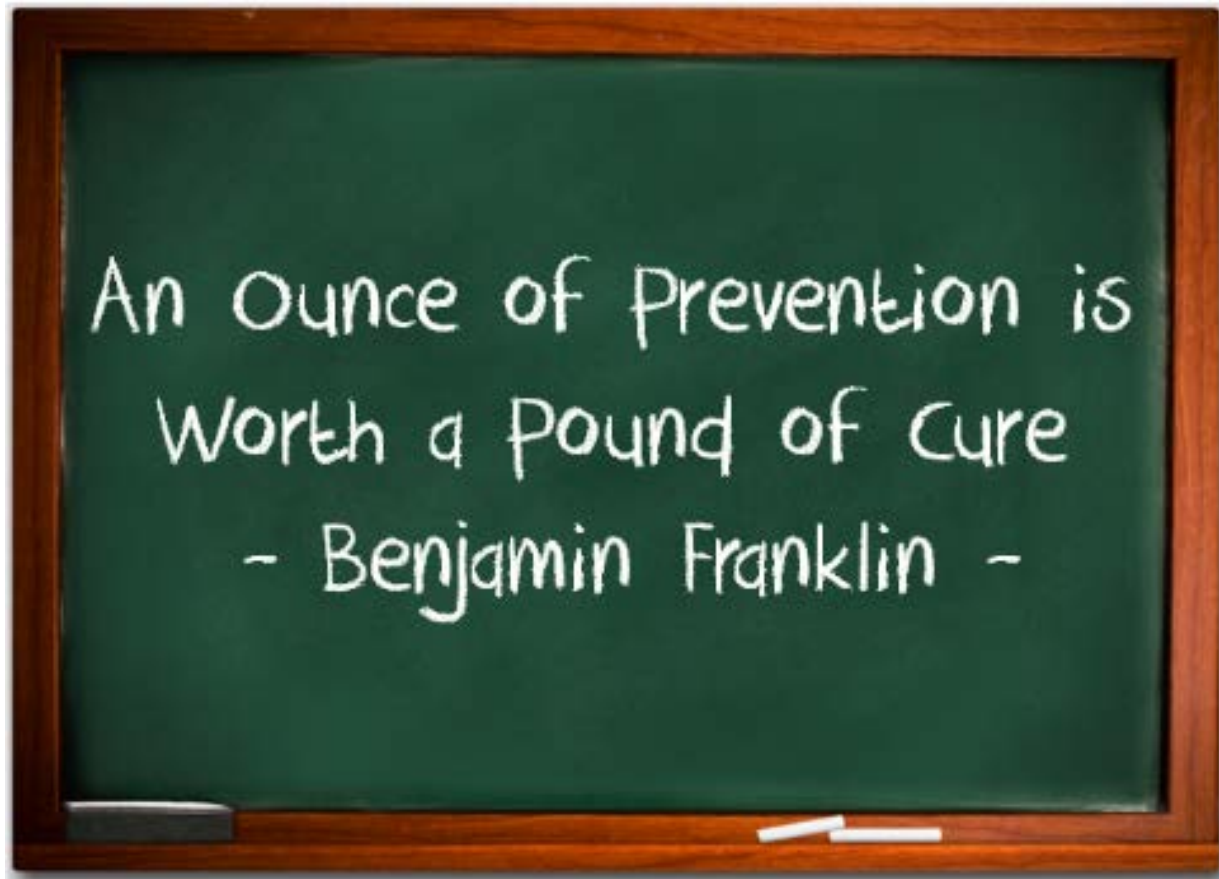
**Incident  
Management  
Spotlight**

# WHAT is Incident Management?

- The recording, management and analysis of risk incidents is a critical component of the operational risk management process.
- Risk and Control Self Assessment and key risk indicators, are primarily focused on preventing risk incidents from occurring and if they do occur, to ensure the negative consequence is limited.
- Incident management deals with a risk that has occurred and has, and will likely lead to, an actual negative consequence.

## The Question to Ask is:

- Could it have been prevented?



An ounce of prevention is  
worth a pound of cure  
- Benjamin Franklin -

# Which incidents should be defined as Risk Incidents?

- An incident that has actually taken place. Not something that may happen.
- Incidents that have caused an actual consequence (cost or a legal claim) or had the potential to cause a consequence but no actual consequence occurred at the time ('near misses').

# BarnOwl's Standard Risk Incident Types:

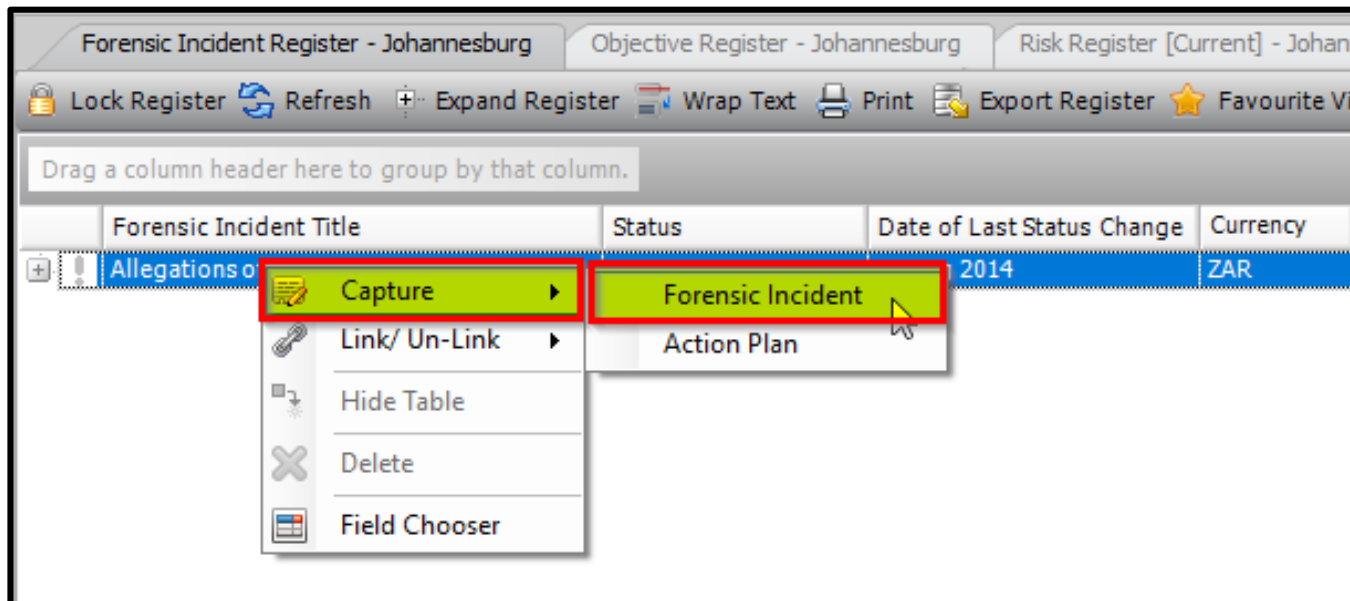
- **Loss Events** – An event that results in loss for the organisation.  
Eg. Loss of life, monetary loss, loss of assets, loss of staff.
- **Risk Experiences** – Incidents that almost caused loss.  
Eg. Workplace injuries, complaints, bad customer service, close calls (injuries that almost happened).
- **Consequences** – Knock-on effects of risks.  
Eg. Business operations halted for one month, loss of documentation, reputational damage, financial loss.

# Custom Risk Incident Types

- Custom risk incident types can be setup by your organization's BarnOwl administrator in the Server Manager Console.
- You can specify whether to enforce a Conflict of Interest policy for each risk incident type.
- BarnOwl automatically creates a separate set of registers for each risk incident type.
- Custom registers can also be created in BarnOwl by creating a risk incident type with the title of the custom register. Eg. Complaints register, Gifts register, Contract Management register, Forensic Incidents register, Tip-Offs register, Findings register, etc...

# Capturing a Risk Incident in BarnOwl

- A risk incident could be captured directly **in the relevant risk incident register**, and later linked to a risk, contributing factor or action plan. To link a risk incident, right-click on the incident and opt to link it to the relevant item.



# Capturing a Risk Incident in BarnOwl

## OR

- A risk incident can be captured directly **against a risk or contributing factor**. Right-click on the risk or contributing factor and opt to capture a risk incident.

The screenshot displays the 'Risk Register [Current] - Inventory' window. The table below shows risk data with columns for Risk Title, II, IL, IR, RI, RL, RR, and Risk Response Decision. A context menu is open over the 'Stock loss' row, with the 'Capture' option selected. The 'Capture' submenu is also open, showing 'Risk Incidents' selected, and the 'Loss Event' option is highlighted.

	Risk Title	II	IL	IR	RI	RL	RR	Risk Response Decision
	Increased inventory holding costs	4,00	4,00	16,00	3,00	3,00	9,00	
	Shortage of supply	4,00	5,00	20,00	4,00	4,00	16,00	
	Stock loss	4,00	4,00	16,00	4,00	3,00	12,00	
	Stock outs	3,00	4,00	12,00	3,00	2,00	6,00	

Context Menu Options:

- Create/Link
- Capture**
- Link/ Un-Link
- Merge Risks
- Hide Table
- Apply
- Delete
- Field Chooser

Submenu Options (under 'Capture'):

- Control Adequacy
- Risk Incidents**
- Key Risk Indicator
- Action Plan
- Survey

Sub-submenu Options (under 'Risk Incidents'):

- Risk Experience
- Loss Event**
- Consequence
- Forensic Incident
- Findings
- Resolution
- Policy
- Exceptions
- IDP



# Main Tab

- **The main details of the risk incident are captured on the main tab:**
  - Title of Risk Incident
  - Type or Incident
  - Description of Incident
  - Status
  - Risk Category
  - Risk Subcategory
  - Occurrence Date
  - Originator Name
  - Amount

# Main Tab

Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation\Joha...]

New... Edit Delete History Save Close Save & Close

**Main** More... Owners Units Forensic Data

**Risk Incident**

**Title** Allegations of procurement irregularities

**Type** Forensic Incident

**Description**  
According to the report, the company may have violated procurement procedures by committing taxpayers' funds to the Head Office building project through opaque procedures, contrary to the legislated regulations.  
  
There is no evidence to show the extension of contract period and variation of contract sum were approved by the Tender Committee of the

**Status** In Progress - Financial Quantification

**Occurrence Date** Friday , 29 August 2014, 14:58

**Originator**

**Originator Name** Manager, IA

**Forensic Incident Amount**

**Amount** 4 000 000,00

**Forensic Incident Category**

**Category** Corruption

**Subcategory** Employee

# More Tab

- **Custom information (in the form of Custom Fields) required by the organization can be captured on the More tab:**
  - How Forensics was made Aware?
  - Date Reported to Forensics
  - Corruption Category
  - Loss Amount
  - Recoveries Amount
  - Net Amount (Formulae Field)

# More Tab

Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation\Joha... - □ ×

New... Edit Delete History Save Close Save & Close

Main **More...** Owners Units Forensic Data

Detail

Classification	Enquiry
How Forensics made aware	Referral from Audit
Date Reported to Forensics	Thursday , 12 June 2014
Causal Analysis	<input type="checkbox"/> Management override of/ Non-compliance to internal controls/ business p <input type="checkbox"/> Corrupt/ dishonest/ unethical employee(s) <input checked="" type="checkbox"/> External party commits economic crime <input checked="" type="checkbox"/> Collusion of employees with external parties for reward to defraud compa < █ >
Corruption Category	Procurement
Loss	100 000,00
Recoveries	30 000,00
<b>Net</b>	70 000,00

# Owners Tab

- Select **who** should take ownership of the risk incident
- Specify the **type of ownership** per selected owner
- **Conflict of Interest Status will automatically update** based on whether a conflict has been declared or not. This will only occur if the system is setup to send out a Conflict of Interest Declaration Email (per incident type) to the Incident Owners.

# Owners Tab

Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation\Joha... — □ ×

New... Edit Delete History Save Close Save & Close

Main More... **Owners** Units Forensic Data

Owners

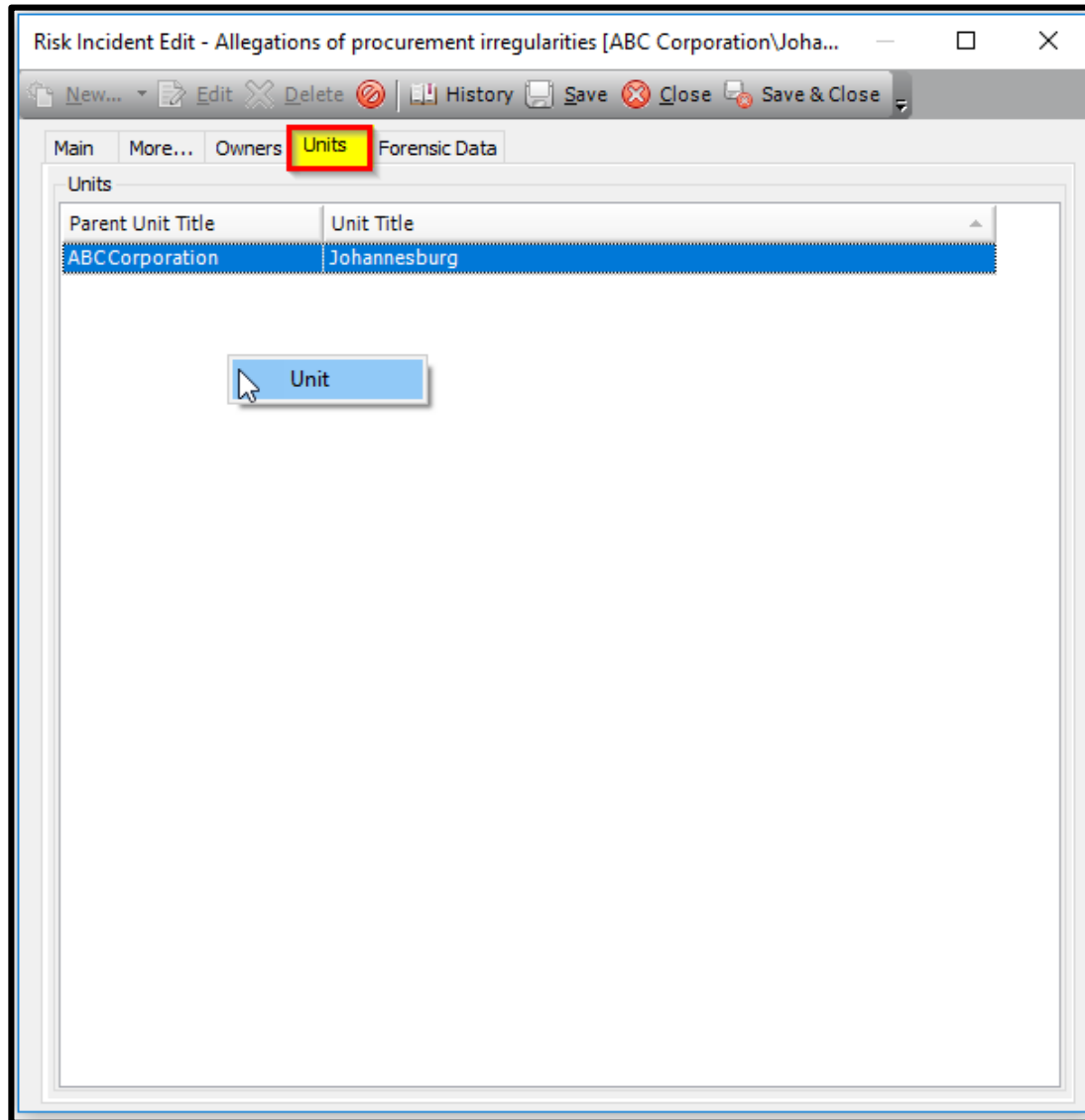
Risk Incident Owner Title	Owner Type	Conflict of Interest
Manager, IA	Informed	No
Manager, Risk	Accountable	Not disclosed

Owner

# Units Tab

- This tab displays all the business units the risk incident has been linked to.
- Right-click on a risk incident, to link the risk incident to other business units.
- The risk incident will appear in the Risk Incident register of each of the unit's it has been linked to.

# Units Tab






# Forensic Data Tab

- The Forensics Data tab contains additional information which can be used when conducting a forensic investigation or forensic audit.
- The following tabs are available under the Forensic Data tab:
  - **Locations tab**
  - **Business Unit Specific Data tab**
  - **Significance Rationale tab**
  - **Stakeholders tab**
  - **Implicated Parties tab**
  - **Accounting tab**

# Forensic Data - The Locations Tab

- This tab enables you to add locations to your incident. You can add more than one location, if the incident occurred at different sites.
- Click the  button and select a region and location from the drop-down lists.
- Your BarnOwl administrator can setup the required Regions and locations in the Server Manager Console under the Risk Management Setup (Server Management Console > Risk Management > Parameters > Risk Incidents > Regions/Locations)

# Forensic Data - The Locations Tab

The screenshot shows a software window titled "Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation]\Joha...". The interface includes a menu bar with options: New..., Edit, Delete, History, Save, Close, and Save & Close. Below the menu bar, there are several tabs: Main, More..., Owners, Units, Forensic Data (highlighted in yellow), Locations (highlighted in yellow), Business Unit Specific Data, Significance Rationale, Stakeholders, Implicated Parties, and Accounting. Under the "Locations" tab, there are three buttons: "+ Add new Location", "X Delete selected Location", and "Save column order". The main content area is titled "Allegations of procurement irregularities" and contains a table with two columns: "Region" and "Location".

Region	Location
Gauteng	Pretoria West
Gauteng	Randburg

## Forensic Data – Business Unit Specific Data

- This tab consists of custom fields, which can be created to contain any unit-specific data.
- Custom fields are fields that BarnOwl does not provide as standard, and are usually fields which are specific to an organisation's methodology.
- Custom fields are created by your BarnOwl Administrator in the Server Manager Console.


# Forensic Data – Business Unit Specific Data Tab

The screenshot displays a web application window titled "Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation]\Joha...". The interface includes a menu bar with options: New..., Edit, Delete, History, Save, Close, and Save & Close. Below the menu bar, there are several tabs: Main, More..., Owners, Units, **Forensic Data**, Locations, **Business Unit Specific Data**, Significance Rationale, Stakeholders, Implicated Parties, and Accounting. A search icon and the word "Search" are highlighted with a red box. The "Business Unit Specific Data" sub-tab is also highlighted with a red box. The main content area is titled "Detail" and contains the following fields:

- Significant Matter?
- Substance Yes
- Substance Type
  - Economic Crime: Fraud
  - Economic Crime: Theft
  - Economic Crime: Falsification
  - Economic Crime: Corruption
  - Ethics: Non-cc
  - Ethics: Non-de
  - Ethics: Other
  - Compliance: C

# Forensic Data – Significance

## Rationale Tab

- This tab enables you to add a significance rationale which may be relevant to the risk incident.
- Click on the  button and select significance category and sub-category from the drop-down lists.
- Significance Rationale categories and subcategories are setup in the Server Manager Console by your BarnOwl Administrator  
**(Server Management Console > Risk Management > Parameters > Risk Incidents > Significance Rationale Categories)**

# Forensic Data – Significance Rationale Tab

Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation\Johanne...]

New... Edit Delete History Save Close Save & Close



Main More... Owners Units **Forensic Data** Locations Business Unit Specific Data **Significance Rationale** Stakeholders Implicated Parties Accounting

+ Add new Significance Rationale X Delete selected Significance Rationale Save column order

Allegations of procurement irregularities

Significance Category	Significance Subcategory
Employee involved is a level 3 or higher	Employee involved is a level 3 or higher
Legal non-compliance	Potential reputational damage
Value exceeds R100,000	Value exceeds R100,000

# Forensic Data - Stakeholders Tab

- This tab enables you to add any person or legal person who is a stakeholder to the risk incident.
- Click the  button. A new row appears in the grid.
- Type in the first name and last name of the stakeholder. Select the date on which the stakeholder was informed, from the date picker.
- Click the  button to open the stakeholder capture form. You can also create custom fields for stakeholders.



# Forensic Data - Stakeholders Tab

Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation\Johanne... - □ ×

New... Edit Delete History Save Close Save & Close

Main More... Owners Units **Forensic Data**


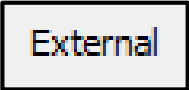
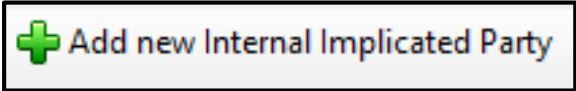

Locations Business Unit Specific Data Significance Rationale **Stakeholders** Implicated Parties Accounting

+ Add new Stakeholder Delete selected Stakeholder Save column order

Allegations of procurement irregularities

First Name	Last Name	Date Informed
Themba	Sithole	2014/08/29
John	Smith	2014/08/29

# Forensic Data – Implicated Parties Tab



- This tab enables you to add any person who is an implicated party to the risk incident.
- You can add an internal implicated party (i.e. an employee) by clicking the  button.
- You can add an external implicated party by clicking the  button.
- Click the  button. A new row appears in the grid.
- Click the  button to open the implicated Parties capture form.
- You can also create custom fields for the internal and external implicated parties tabs.

# Forensic Data – Implicated Parties Tab

The screenshot displays the 'Risk Incident Edit' application window. The main menu includes 'Main', 'More...', 'Owners', 'Units', 'Forensic Data', and 'Accounting'. Under 'Forensic Data', the 'Implicated Parties' sub-tab is selected. Below this, there are buttons for 'Internal' and 'External'. The main area shows a table titled 'Allegations of procurement irregularities' with the following data:

First Name	Last Name	Employer of alleged Offender	Disciplinary
Billy	Thornton	ABC Corp KZN	Yes
Matthew	Slabbert	ABC Corp JHB	Yes

# Forensic Data - The Accounting Tab

- This tab enables you to add any financial transactions which occurred during or as a result of the incident.
- Click the  button. A new row appears in the grid.
- Click the  button to open the Incident transaction capture form.
- You can also create custom fields for this form.

# Forensic Data - Accounting Tab

Risk Incident Edit - Allegations of procurement irregularities [ABC Corporation\Johanne...]

New... Edit Delete History Save Close Save & Close

Main More... Owners Units **Forensic Data**

Locations Business Unit Specific Data Significance Rationale Stakeholders Implicated Parties **Accounting**

+ Add new Transaction X Delete selected Transaction Save column order N/A

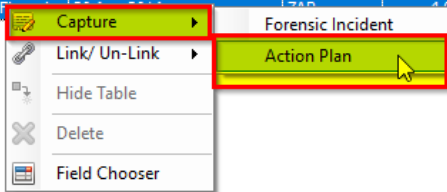
Allegations of procurement irregularities

Value	Transaction Date	Status	Comments
100000,00	2018/02/27	Incomplete	
200000,00	2018/02/27	Incomplete	Cost revisions
3800000,00	2014/07/16	Incomplete	Initial project va

# Capturing Action Plans Against Incidents

- To capture an action plan against a risk incident, right-click on the risk incident and opt to capture an action plan.

Forensic Incident Title	Status	Date of Last Status Change	Currency	Amount	Forensic Incident Catego...	Forensic Incident Subcat...	Occurrence Date	Originator
Allegations of procurement irregularities	In Progress		GBP	1 000 000,00	Corruption	Employee	29 August 2014	Manager, IA



The screenshot shows a table with a context menu open over a row. The menu includes options like 'Capture', 'Link/ Un-Link', 'Hide Table', 'Delete', and 'Field Chooser'. A sub-menu is open under 'Capture', showing 'Forensic Incident' and 'Action Plan'. The 'Action Plan' option is highlighted by the mouse cursor.

# Capturing Action Plans Against Incidents

Action Plan Edit - Allegations of procurement irregularities

New... Edit Delete History Send Mail Save Close Save & Close

Main More...

Action Plan Information

**Title** Put a control in place to manage procurement problems

Reference

Description

Current Status Summary

Status Half Way

Percentage Complete 50

Start Date Wednesday, 20 September 2017

End Date Wednesday, 22 November 2017

Progress notes

Originator

Originator Name Manager, IA

Owners Escalation Recurrence Email Defaults

Owners

Action Plan Owner Title	Owner Type
ditta, ali	Responsible
Manager, IA	Accountable

# Reporting on Risk Incidents

- You could customize the layout and format of the risk incident register or the flat or global risk incident register, save it as a favourite view (for future use), and export it to Excel or Word to use as a report.
- You could use some of the standard reports BarnOwl has on offer for risk incidents, by clicking on the Reports option.
- You could customize a dashboard report to only reflect risk incidents, and also specify which types of risk incidents you want to include in the report.

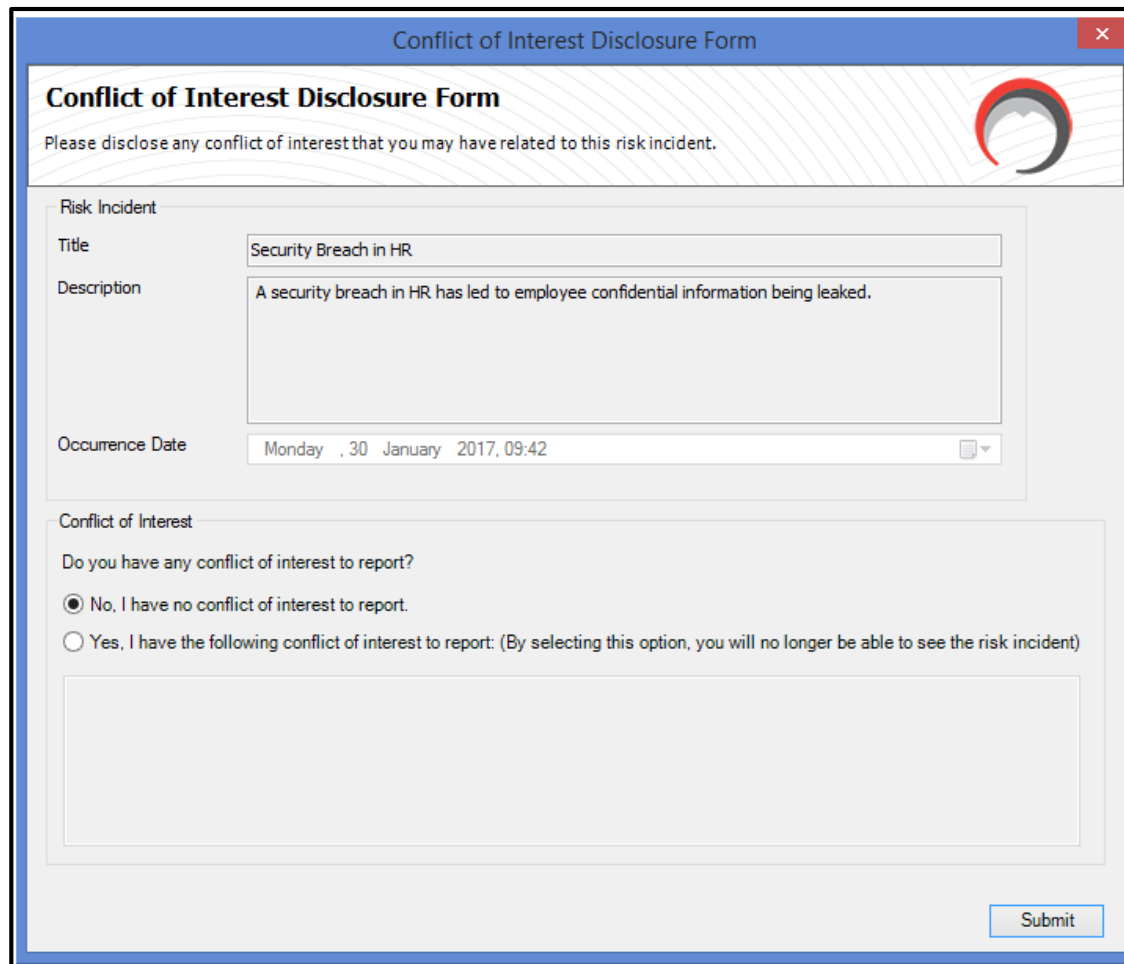


# Enabling Conflict of Interest Disclosure

- If the risk incident type has been configured by the system administrator to require a declaration of a conflict of interest, each risk incident owner will be required to specify whether there is a potential conflict of interest.
- If the owner specifies no conflict of interest, this is recorded, and an email is sent to the risk incident originator to say that there is no conflict of interest.
- If an owner declares a conflict of interest, they will not be able to view or open the risk incident.
- The risk originator can decide whether to remove the owner, and assign the risk incident to another owner, or alternatively can override the conflict of interest, enabling the owner to view and open the incident.

# Conflict of Interest Disclosure Form

- The Conflict of Interest disclosure form is displayed when the user assigned as an owner opens the risk incident for the first time.



The screenshot shows a web browser window titled "Conflict of Interest Disclosure Form". The form has a blue header bar with the title and a close button. Below the header, there is a sub-header "Conflict of Interest Disclosure Form" and a logo on the right. The main content area is divided into two sections: "Risk Incident" and "Conflict of Interest".

**Risk Incident**

Title: Security Breach in HR

Description: A security breach in HR has led to employee confidential information being leaked.

Occurrence Date: Monday, 30 January 2017, 09:42

**Conflict of Interest**

Do you have any conflict of interest to report?

No, I have no conflict of interest to report.

Yes, I have the following conflict of interest to report: (By selecting this option, you will no longer be able to see the risk incident)

Submit

# Declaring a Conflict of Interest

- **To declare a conflict of interest:**

- In the conflict of interest screen, click the “Yes” option.
- Type a reason for the conflict of interest.
- Then click the Submit button.

Conflict of Interest

Do you have any conflict of interest to report?

No, I have no conflict of interest to report.

Yes, I have the following conflict of interest to report: (By selecting this option, you will no longer be able to see the risk incident)

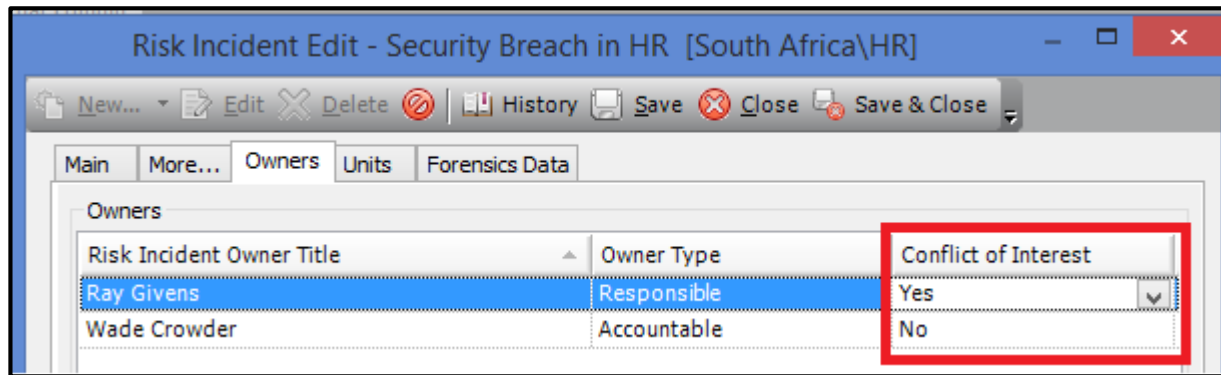
My information was leaked during this incident. I am not able to remain impartial in this.

Submit

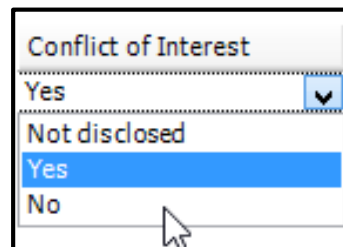
- After you submit a statement of conflict of interest, you will not be able to see the risk incident.

# Overriding a Conflict of Interest

- **To override a conflict of interest:**
  - Open the risk incident and click on the Owners tab. A list of owners and owner types is displayed. A third column indicates whether a conflict of interest has been disclosed.

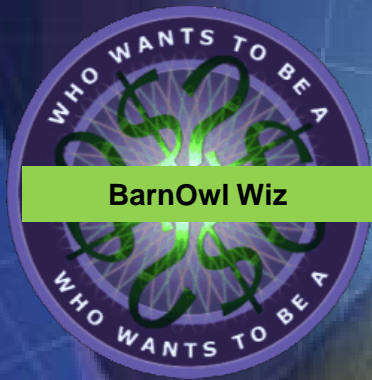


- To override a conflict of interest, click the conflict of interest in the grid. Click the arrow next to the conflict of interest declaration, and change "Yes" to "No".
- The Conflict of Interest is removed and the user will be able to view the Risk Incident.





**BarnOwl Wiz**



# WHO WANTS TO BE A BARNOWL WIZ

Test your knowledge and earn some extra credit

## Game Rules

- The presenter will select a willing participant to answer a question
- For each of the 10 questions that are correctly answered, a spot prize will be won
- The value of the spot prizes increase with the level of questioning

- 10 ► BarnOwl Wiz
- 9 ► Great-Grand Master
- 8 ► Grand Master
- 7 ► Master
- 6 ► Accomplished
- 5 ► Advanced
- 4 ► Intermediate
- 3 ► Apprentice
- 2 ► Beginner
- 1 ► Interested

Level One - Interested

50:50



Team

## Question One

The History button allows a user to.....

A. .... View a list of users who have updated or edited the risk incident.

B. .... View all changes made to the selected risk incident.

C. .... View all the business units the risk incident has affected.

D. .... View all changes made to the selected risk incident, as well as view the user who made the changes.

Level Two - Beginner

50:50



Team

## Question Two

What type of information is captured on the “More” tab?

A. Forensic Data

B. Findings Data

C. Risk Incident Status  
Details

D. Organization Specific  
Information





## Question Three

Which of the following statements is FALSE

.....

A. Risk Incidents can be linked to multiple different business units

B. The Forensic Data tab does not need to be captured, if it is not relevant

C. All incidents that have occurred should be captured, regardless of significance

D. Action plans can be linked to risk incidents



## Question Four

What question should you always ask when dealing with a risk incident?

A. What happened?

B. Could it have been prevented?

C. How much did it cost the organization?

D. Who is to blame?

Level Five - Advanced

50:50



Team

## Question Five

Which of the following Risk Incident types is NOT standard in BarnOwl .....

A. Consequences

B. Forensic Incidents

C. Loss Events

D. Risk Experiences

Level Six - Accomplished

50:50



Team

## Question Six

Which report in BarnOwl can be customized to reflect Risk Incident data in your own format?

A. Bowtie Report

B. Fraud Report

C. Risk Dashboard Report

D. Risk Incidence Report



## Question Seven

Documents/Links can be attached on the .....

A. Main tab

B. "More" tab

C. Units tab

D. None of the above



## Question Eight

When it comes to the way BarnOwl enforces the Conflict of Interest policy, the following statement is FALSE:

A. A conflict of interest can be over ridden by the Risk Incidence originator.

B. If a Risk Incidence owner has declared a conflict of interest, they will still be able to view the risk incident.

C. The Risk Incident owner will be forced to disclose a conflict of interest when they attempt to open the risk incident for the first time.

D. The conflict of interest policy is setup per Risk Incident type.



## Question Nine

**What is the main difference between a flat register and a global register?**

A. The global register displays information for the entire organization, and the flat register only provides information for a specific unit.

B. The flat register loads information specific to an item, and the global register displays all linked items for the current unit together with all child units.

C. All of the above

D. None of the above



## Question Ten

When creating/editing Risk Incident types in the Server Manager Console, you can also .....

A. Opt to create a separate register for each Risk Incidence type

B. Select a default owner for the Risk Incident type

C. Enforce a Conflict of Interest policy per Risk Incident type

D. Specify the Risk Incident Category and Sub Category





**BarnOwl Wiz**



# Any Questions?

Go to [www.barnowl.co.za/support/documentation](http://www.barnowl.co.za/support/documentation)  
for the latest version of the Online Help