AUDIT & COMPLIANCE DASHBOARD

Providence
Software Solutions

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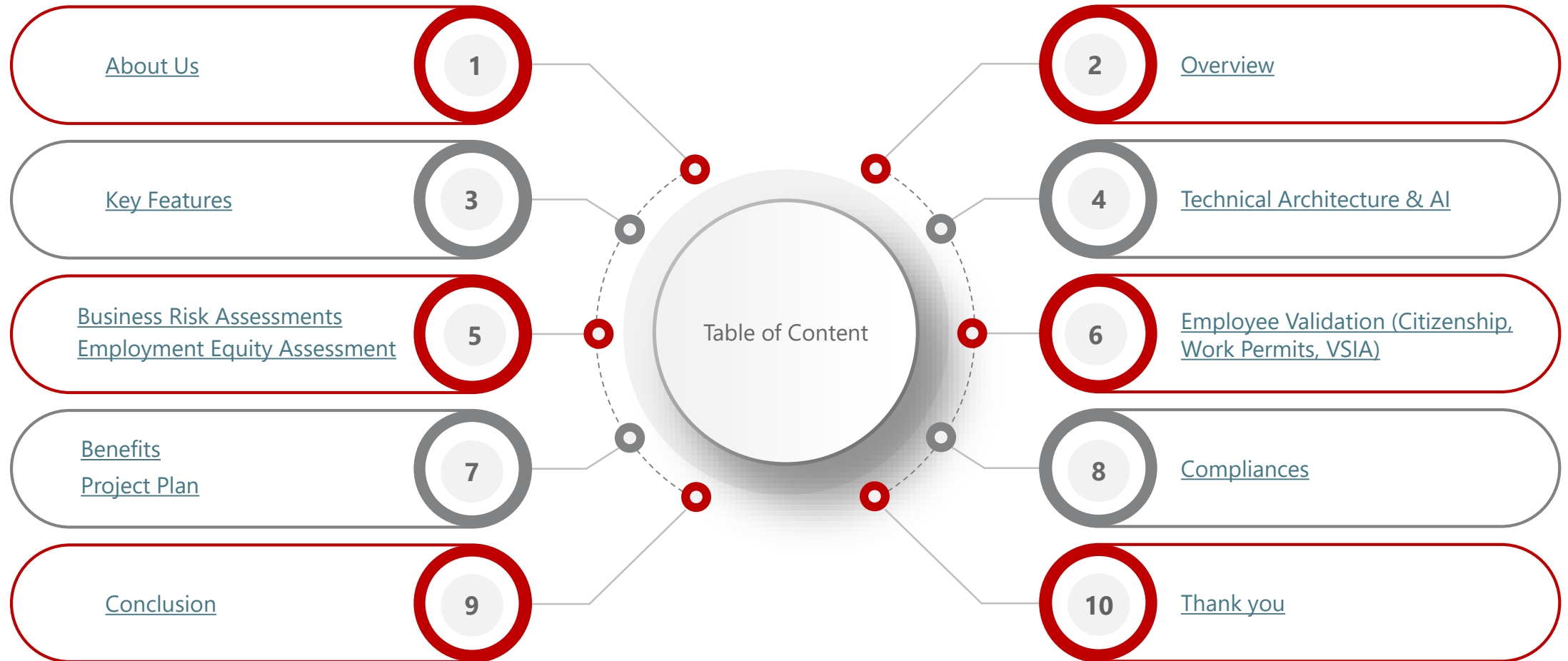
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The information shared in this presentation regarding the Audit & Compliance Dashboard solution is for informational purposes only. The content provided reflects the current capabilities, features, and potential benefits of the Audit & Compliance Dashboard as of the time of the presentation. While every effort has been made to ensure the accuracy, reliability, and relevance of the information, no guarantees are made regarding the completeness or timeliness of the data presented.

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The solution discussed is designed to address certain use cases within audit and compliance management, but its applicability to specific organizations or industries should be assessed independently. The effectiveness of the solution will depend on the specific needs, technological environment, and compliance requirements of each organization..

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COMPANY INFORMATION

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WHY TRUST US

Providence
Software Solutions

20+ YEARS INDUSTRY EXPERIENCE	1000+ COMPLETED PROJECTS	LEVEL 1 B-BBEE COMPLIANCE	GRC DEDICATED DEPARTMENT

LEVEL 1 AAA+ B-BBEE CONTRIBUTOR

CERTIFIED ISO9001 Occupational Health & Safety

CERTIFIED ISO12207 Occupational Health & Safety

CERTIFIED ISO22301 Occupational Health & Safety

CERTIFIED ISO27001 Occupational Health & Safety

CERTIFIED ISO45001 Occupational Health & Safety

Providence
Software Solutions

OUR SERVICES

CUSTOM SOFTWARE SOLUTIONS

We create tailored software solutions that innovate by leveraging cutting-edge technologies to drive efficiency, scalability, and competitive advantage
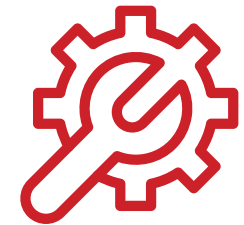
COMPLIANCE

Our GRC services ensure your operations meet industry standards while mitigating risks and safeguarding data integrity

INFRASTRUCTURE

We build and optimize secure, scalable IT infrastructure that future-proof your operations and ensure seamless performance, uptime, and disaster recovery.

MAINTENANCE & SUPPORT

Our support and maintenance team ensure your systems stay agile, secure and up-to-date, minimizing downtime and allowing your team to focus on innovation

"CUSTOMER SATISFACTION THROUGH PERFECTION"

Four words from which **PROVIDENCE** derives its soul

VISION

Providence aims to provide premier advisory services to its clients by shaping them to become industry leaders. This is done through providing them with a competitive edge in transformation, quality management systems, operational systems as well as risk management systems.

MISSION

Providence aim is to achieve customer delight through excellence in all we do, by offering world class services in assisting our customers to create an IT environment that provides a stable platform to enable informed management decisions that drives business profitability.

PROMISE

- Co-creation of innovative ideas and high impact results to our clients.
- Creation of lasting benefits in the societies and communities we live in.
- Ensure above market growth and value for our clients and stakeholders.
- Providing the highest standard of quality.
- Exemplary quality assurance practices providing seamless, worry-free control throughout the duration of a project and beyond.

Overview

Providence's **Audit Compliance Dashboard** is a centralized digital platform designed to streamline and automate compliance, audit tracking, and safety management across organizations.

Built on the Microsoft Power Platform, it combines:

- PowerApps for mobile inspections, incident logging, and permit management
- Power BI for real-time dashboards, compliance analytics, and risk visualization

The solution enables:

- Proactive risk identification and mitigation
- Automated compliance reporting and audit readiness
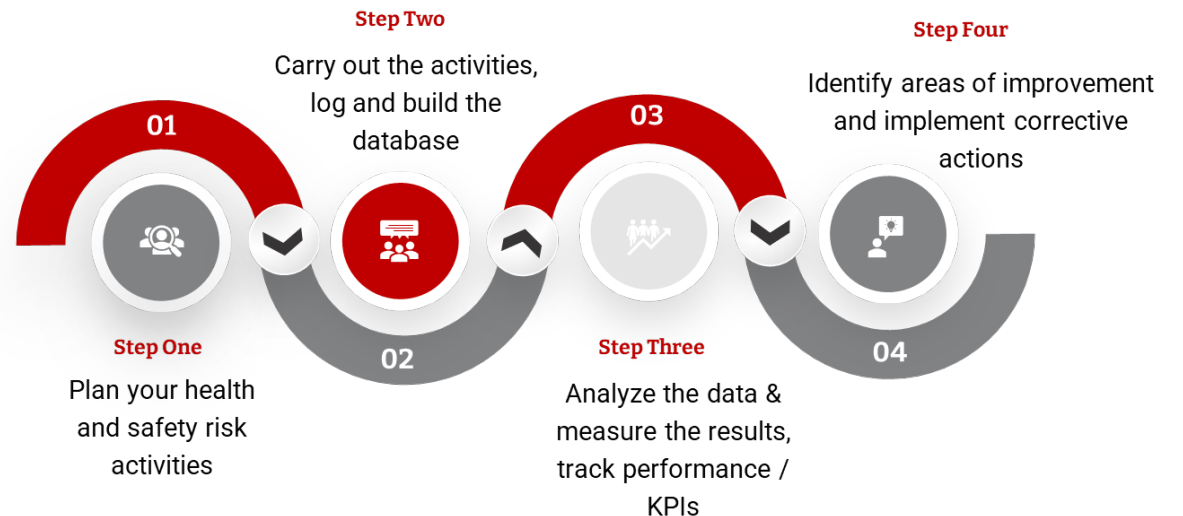- Centralized tracking of incidents, findings, and corrective actions

It is ideal for municipalities, enterprises, and public sector entities seeking to enhance regulatory transparency, reduce audit preparation time, and maintain continuous compliance with frameworks like PoPIA/GDPR, MFMA, and internal governance standards.

Solution

Key Benefits:

- Reduces incident rates through AI-driven risk alerts
- Encourages a strong, accountable safety culture
- Real-time dashboards show live KPIs and safety status
- Automates safety workflows (incident reporting, training, audits)
- Saves costs linked to downtime, penalties, and admin overload
- Enables compliance with ISO 45001, OSHA, and local regulations

Health and Safety Risk Management Process

Step Two
Carry out the activities, log and build the database

Step Four
Identify areas of improvement and implement corrective actions

01

03

Step One
Plan your health and safety risk activities

02

Step Three
Analyze the data & measure the results, track performance / KPIs

04

Key Features

Centralized Oversight

Provides a unified platform to monitor compliance across HR, OHS, supplier management, and employment equity. Enables real-time visibility and centralized control of risk data.

AI-Driven Risk Intelligence

Utilizes machine learning to predict compliance risks, detect anomalies, and automate document verification. Flags non-compliance and generates alerts for proactive resolution.

Smart Compliance Tracking

Includes a built-in compliance calendar to track critical deadlines such as permit renewals, audit cycles, and equity reporting. Sends automated reminders and escalations.

Live Scorecards & Visual Insights

Delivers real-time compliance status through color-coded dashboards and department-level scorecards. Supports drill-down reporting and trend analysis

Mobile & Remote Access

Enables mobile inspections and validations via PowerApps. Field teams can capture and update compliance data on-site, improving responsiveness and accuracy.

Audit-Ready Documentation

Maintains a secure, centralized repository of compliance evidence with version control and full audit trails. Ensures traceability for internal and external audits.
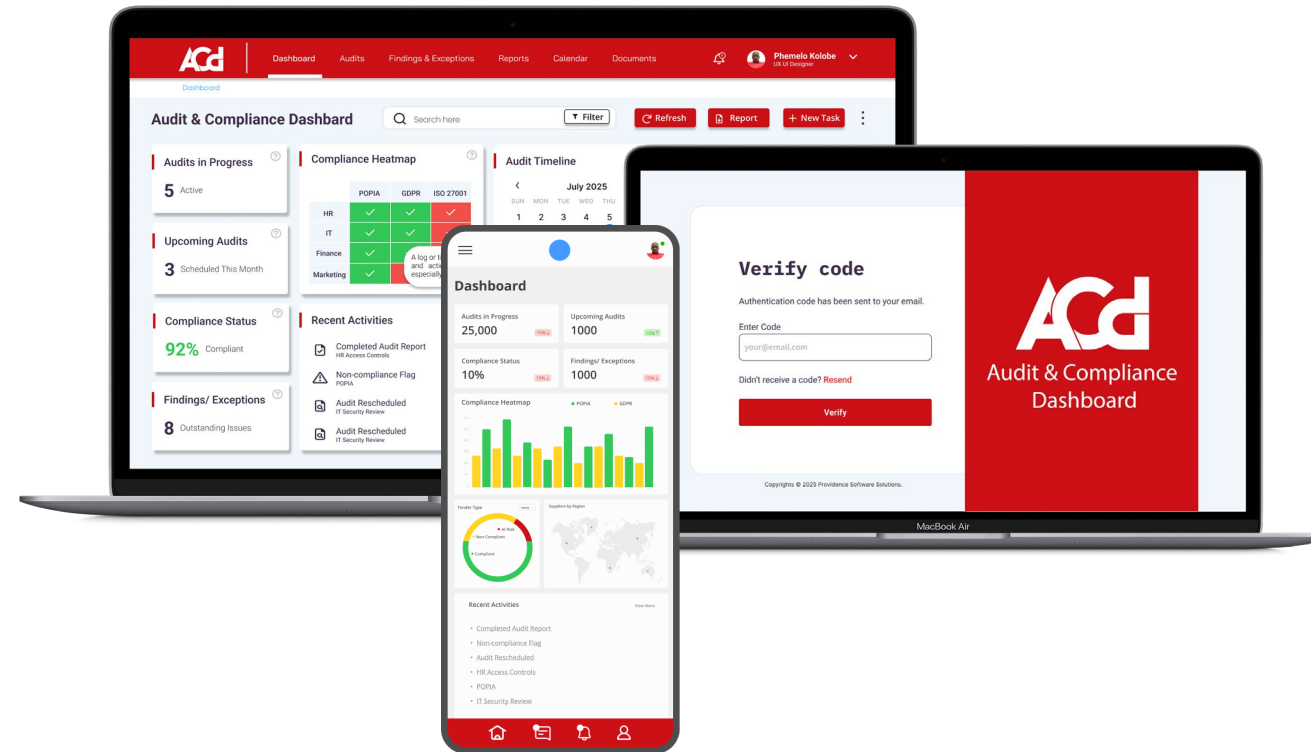
Technical Architecture & Specifications

Core Technologies:

- Microsoft PowerApps – for mobile-first safety applications (incident reporting, inspections, hazard logging)
- Microsoft Power BI – for analytics, dashboards, and trend tracking
- Microsoft Dataverse or SharePoint – as the backend for structured, scalable data management
- Azure Active Directory – for secure role-based access control

Platform Capabilities:

- Mobile offline support for remote sites
- Role-based permissions to protect data integrity
- Custom APIs available for integration with ERP, HR, and Document Management systems
- Configurable to support multi-site deployments and custom audit regimes

AI Integration

Providence's Audit & Compliance Dashboard integrates AI to automate compliance monitoring, risk detection, and audit readiness across departments.

AI Capabilities

- Automated compliance checks against regulatory frameworks
- Predictive risk scoring and anomaly detection
- Real-time alerts for policy violations or audit flags
- AI-generated audit trails and compliance summaries

Strategic Benefits

- Reduces audit preparation time
- Enhances regulatory transparency
- Supports PoPIA/GDPR, MFMA, and internal governance
- Enables proactive compliance management

Business Risk Assessments

Providence Software Solutions' Business Risk Assessment Module is a centralized digital platform designed to automate compliance, governance, and risk validation across HR, facilities, and supplier management.

Key Functional Areas:

Basic Conditions of Employment Validation

Mobile offline support for remote sites

Employment Equity Assessment

Tracks workforce demographics and equity targets.

Occupational Health & Safety (OHS) Assessment

Digitally audits facilities for safety compliance.

Employee Validation

Verifies identity, citizenship, and work eligibility.

General Business Compliance

Validates supplier tax, registration, and statutory documents.

the Basic Conditions of Employment Act (BCEA).

Ensures all employment contracts and working conditions comply with the Basic Conditions of Employment Act (BCEA).

How it works

- HR uploads employee contracts into the system.
- AI scans for compliance with BCEA standards (e.g., working hours, leave, overtime, remuneration).
- Non-compliant clauses are flagged for review.
- Generates compliance reports for HR and legal teams.

Digital & AI Enhancements

- Replaces manual contract reviews with automated validation.
- Real-time alerts when legislation changes.
- Ensures consistent application of employment standards.

mSCOA Compliance:

- Links employment data to HR and payroll segments.
- Ensures structured, auditable records for workforce expenditure.

HR uploads contracts → AI Scans for BCEA Compliance → Non-compliant Flagged for review → Generates Report

Employment Equity Assessment

Monitors workforce demographics and evaluates progress toward Employment Equity (EE) targets.
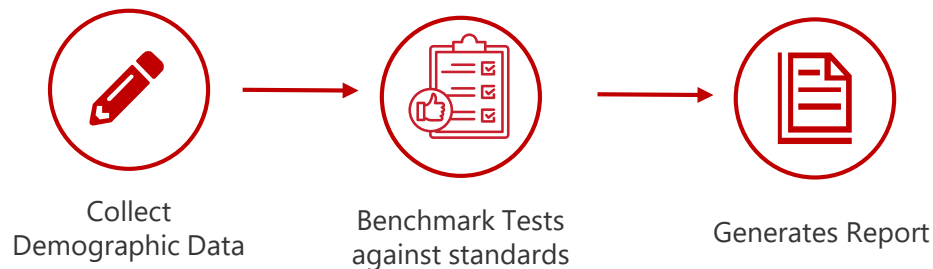
How it works:
- Collects demographic data (race, gender, disability, etc.).
- Benchmarks against EE targets and national standards.
- Generates reports for Department of Labour submissions.

Digital & AI Enhancements
- Automates equity reporting and reduces manual data entry.
- AI predicts future equity gaps based on hiring trends.
- Recommends recruitment strategies to meet compliance goals.

mSCOA Compliance:
- Aligns with HR and governance segments.
- Supports equity-related reporting and strategic workforce planning.

Collect Demographic Data → Benchmark Tests against standards → Generates Report

Occupational Health & Safety (OHS) Assessment

Digitally audits office buildings and facilities for compliance with OHS regulations.

How it works:
- Inspectors use mobile apps to conduct safety checks.
- AI analyzes inspection data to identify high-risk areas.
- Generates compliance certificates and action plans.

Digital & AI Enhancements
- Eliminates paper-based inspections.
- Real-time risk tracking and resolution.
- Ensures consistent safety standards across all facilities.

mSCOA Compliance:
- Links OHS costs and compliance to facilities and operational segments.
- Supports traceability of safety-related expenditures.

Inspector Conducts Tests on Mobile → AI Analyses data → Generates Report

Employee Validation (Citizenship, Work Permits, VSIA)

Verifies employee identity, citizenship, and legal work eligibility.
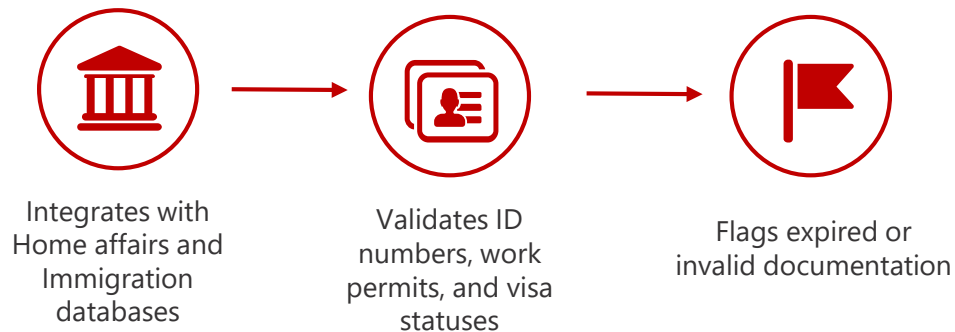
How it works:

- Integrates with Home Affairs and immigration databases.
- Validates ID numbers, work permits, and visa statuses.
- Flags expired or invalid documentation.

Digital & AI Enhancements

- Automates re-verification and renewal alerts.
- AI predicts permit expiry trends and workforce risk exposure.
- Enhances workforce integrity and audit readiness.

mSCOA Compliance:

- Ensures HR records are compliant and traceable under payroll and governance segments. .

General Business Compliance (Suppliers & Vendors)

Validates supplier legitimacy and compliance with statutory requirements.

How it works:

- Verifies tax clearance, CIPC registration, and B-BBEE status.
- Integrates with SARS and CIPC APIs.
- Flags non-compliant or high-risk vendors.

Digital & AI Enhancements

- Speeds up supplier onboarding.
- AI scores supplier risk based on historical behavior.
- Centralizes compliance documentation for audit readiness.

mSCOA Compliance:

- Aligns supplier data with Supply Chain Management (SCM) and financial segments.
- Supports transparent procurement and audit trails.

Integrates with Home affairs and Immigration databases → Validates ID numbers, work permits, and visa statuses → Flags expired or invalid documentation

Inspector Conducts Tests on Mobile → AI Analyses data → Generates Report

Benefits

Dynamic Compliance Tracker

Real time updates and alerts to keep you aligned with multiple regulatory frameworks

Policy Management Suite

Manage the entire lifecycle of governance policies from drafting to approval and compliance monitoring.

Custom Compliance Checks

Tailor-made checklists for different departments or job roles that reflect actual policy requirements.

Incident logging with workflow

Streamlined incident capture, investigation and escalation promoting timely resolution.

Risk Registers and Visual Heatmaps

Prioritise risks visually and assign mitigation actions with clear deadlines.

Secure Audit Documentation

Centralised, encrypted storage with version control and full audit trails.

Historical Analysis & Forecasting

Detects patterns in incident occurrences and compliance failures, helping prevent future issues.

Customizable Executive

Role-based views with KPI tracking, exception reporting and trend analysis

Core Functional Features

| Feature	Description
Incident Logging	Mobile forms for reporting hazards, near misses, or events in real-time
Audit Management	Tracks upcoming audits, stores evidence, and automates audit cycles
Notification Engine	Sends alerts when thresholds or safety policies are breached
Compliance Checklists	Customizable per department, job role, or site
Historical Analytics	Identify trends and predict future risks
Mobile Offline Support	Full functionality without internet; syncs when reconnected
Role-Based Access	Enforce security and visibility by user role or department

Before and After Implementation

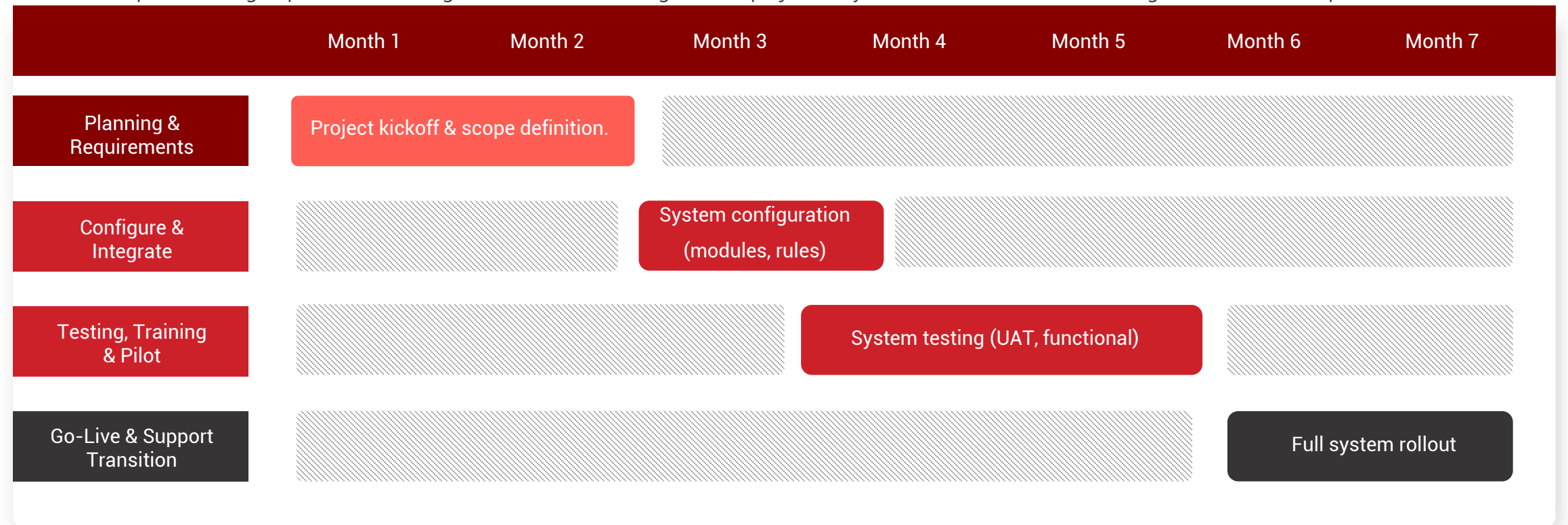| Category	Before	After
Safety Visibility	Fragmented, delayed reporting	Real-time dashboards with mobile access
Audit Readiness	Manual records, inconsistent evidence	Always-on audit status and documentation
Workflow Efficiency	Paper-based, slow	Automated with mobile apps and notifications
Incident Response	Delayed, uncoordinated	Immediate alerts and mobile logging
Training Oversight	Incomplete and untracked	Tracked digitally with automated alerts

Audit & Compliance Dashboard
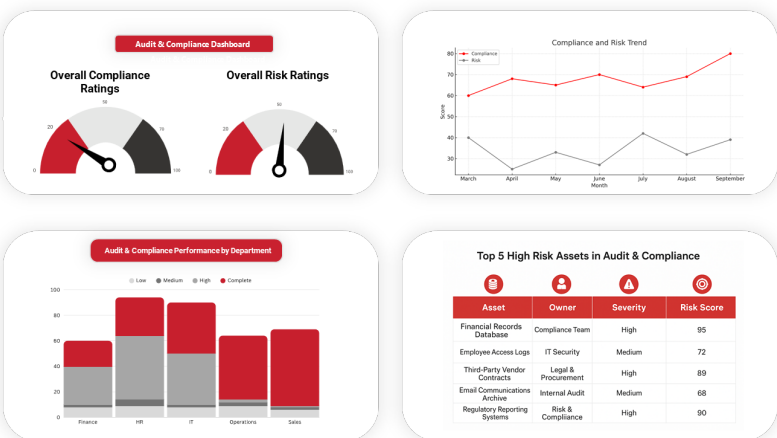
Cybersecurity Dashboard with Risk and Compliance
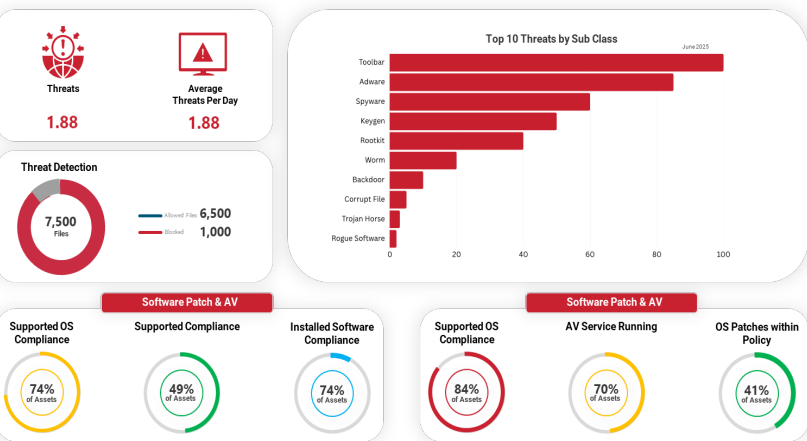
Project Plan

The planning and rollout of the Audit and Risk Compliance Dashboard is designed to support any chosen project methodology—whether traditional, agile, or hybrid. The focus is on aligning the solution with organizational compliance goals, ensuring seamless integration with existing systems, and enabling structured data capture for audit readiness.

Key planning activities include stakeholder alignment, risk identification, resource coordination, and phased implementation. The dashboard's flexibility and modular design allow it to adapt to evolving requirements, making it a valuable tool throughout the project lifecycle—from initiation to monitoring and continuous improvement.

	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7
Planning & Requirements	Project kickoff & scope definition.						
Configure & Integrate			System configuration (modules, rules)				
Testing, Training & Pilot				System testing (UAT, functional)			
Go-Live & Support Transition						Full system rollout	

Compliances

PCI DSS (Payment Card Industry Data Security Standard):

Ensures secure handling of sensitive financial data, particularly in environments where procurement systems process payments or sensitive vendor information.

ISO 27001 – Information Security Management Systems (ISMS):

Framework for managing information security risks. Ensures the confidentiality, integrity, and availability of asset-related data across departments.

ISO 22301 – Business Continuity Management Systems (BCMS):

Ensures that essential asset and infrastructure data can be recovered quickly and operations restored during disruption, outage, or disaster.

ISO 14001 – Environmental Management Systems (EMS):

Supports tracking and managing environmentally sensitive assets and electronic waste for sustainability compliance.

ISO 45001 – Occupational Health & Safety (OH&S):

Integrated with asset usage to ensure safety-compliant equipment deployment and tracking in high-risk environments.

Annual Financial Audits:

Provides detailed asset registers, depreciation logs, and usage reports ready for audit scrutiny and verification.

**mSCOA Compliance Audits (Municipalities):**

Aligns with segmented financial structures, enabling clean audit trails, standardized asset categorization, and real-time reconciliation with ERP systems. This is supported by:

- Standardized asset data and naming for accurate reporting and audit readiness
- Integration with ERP/HR systems to align operational and financial data
- Role-based access and workflows that reflect municipal structures and approval processes
- Exportable, structured reports that meet mSCOA's audit and compliance formats

Forensic & Fraud Investigations:

Full activity logs, change history, and system-wide tracking provide evidence for internal investigations and risk reviews.

Compliances
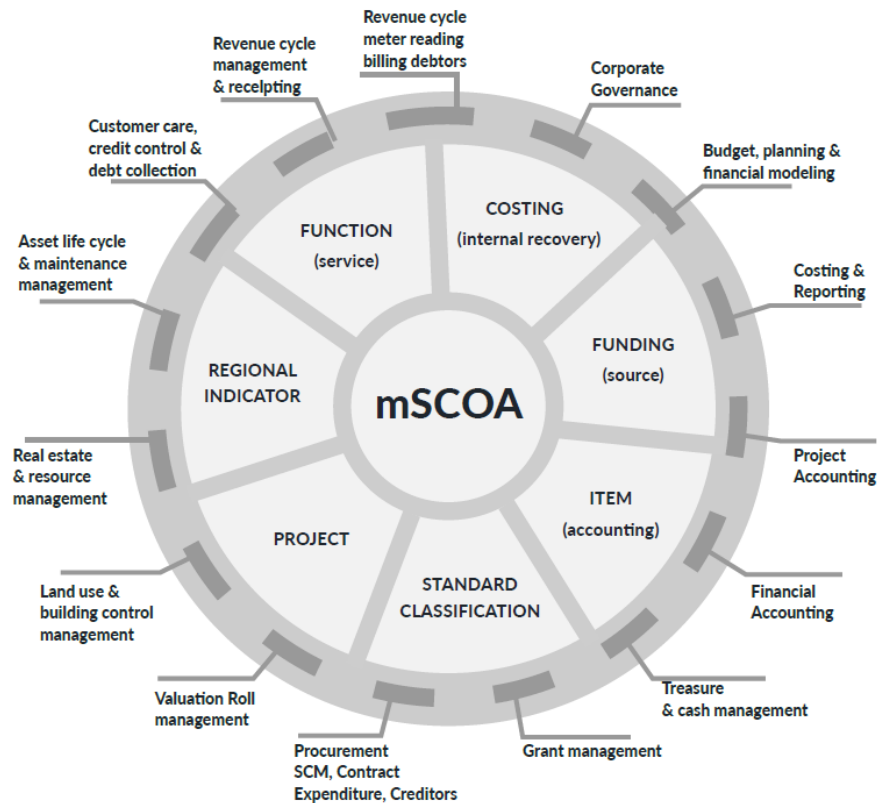
Seven mSCOA Segments and Fifteen Business Processes

Information Protection with Microsoft Purview

- Microsoft Purview Information Protection to classify, label, and safeguard sensitive asset data.
- Ensures that all information—whether at rest, in use, or in motion—is protected across cloud and on-premise environments.
- Sensitivity labels and policies are applied to asset data to control access and enforce compliance.
- Supports end-to-end visibility and control of information through:
  - Unified data classification and labeling
  - Encryption and rights management
  - Policy enforcement based on sensitivity or user role
- Helps organizations meet data protection standards under PoPIA/GDPR, while supporting mSCOA's governance model through:
  - Secure audit trails
  - Role-based access aligned with financial functions
  - Protection of financial records and asset metadata from unauthorized access

Conclusion & Next Steps

Providence Software Solutions is committed to delivering a modern, secure, and highly functional Enterprise Content Management System that enhances efficiency, transparency, and user experience.

Our expertise in enterprise IT solutions and a proven track record in delivering high-quality services, positions us as the ideal solution provider

Through a comprehensive design and development process, we deliver a user-friendly platform that supports seamless navigation, high performance, and compliance with governance standards. The solution is built on a scalable and secure infrastructure incorporating advanced security protocols, automated backups, ensuring data integrity and system reliability. Our tailored systems will streamline and improve workflows.

We look forward to partnering you in modernizing and improving your enterprise content management.

THANK YOU

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