



What's New in Pentana v5.1

VERSION 5.1 – Q1 2017

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Introduction

Ideagen Pentana 5.1 is an enhancement release, available from March 2017. It is supplied as a free upgrade to existing supported customers, including those who migrate from our Pentana Audit Work System (“PAWS”) software, and as standard to new customers.

This document is intended as technical information for Ideagen staff and partners, to help clients prepare for upgrade to Pentana 5.1. It outlines the enhancements made since Pentana 5.0. Please refer to our Functional Overview or Help Guides if you need a more detailed description of general product features.

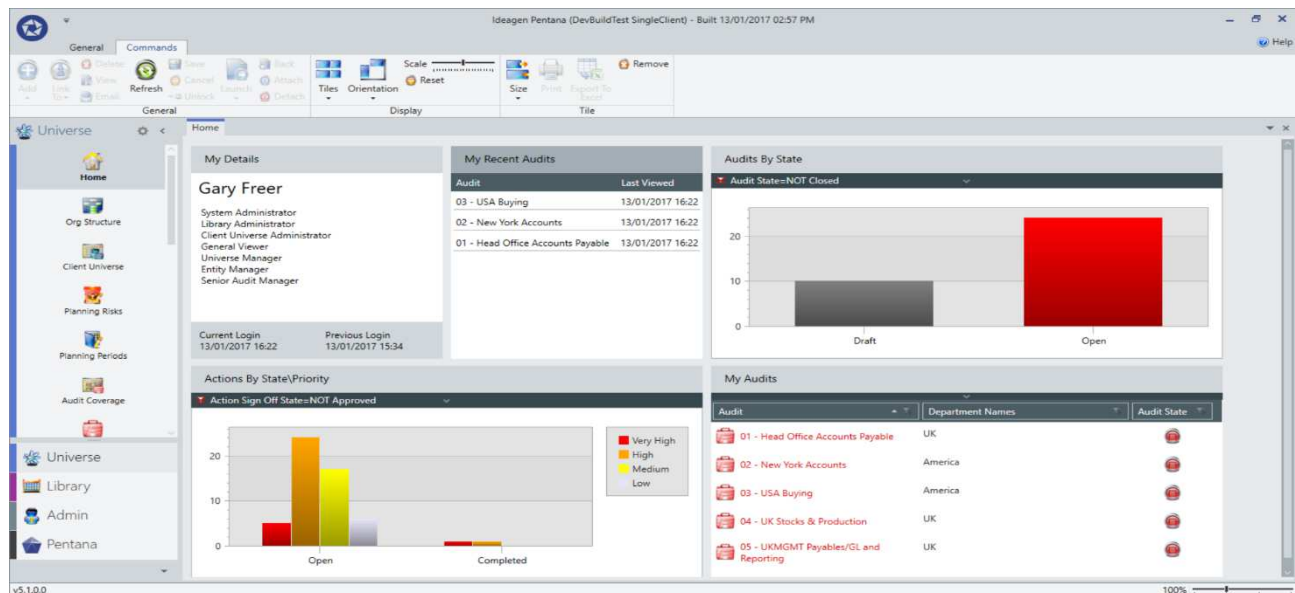
The major new features and selected minor enhancements in Ideagen Pentana 5.1 are described below. For a complete list of all enhancements please consult the Release Notes document.

Major New Features

Windows User Interface (WPF UI)

Home Dashboard

The Home screen which welcomes the user to Pentana has been improved to provide quicker/more flexible access to the most useful information.



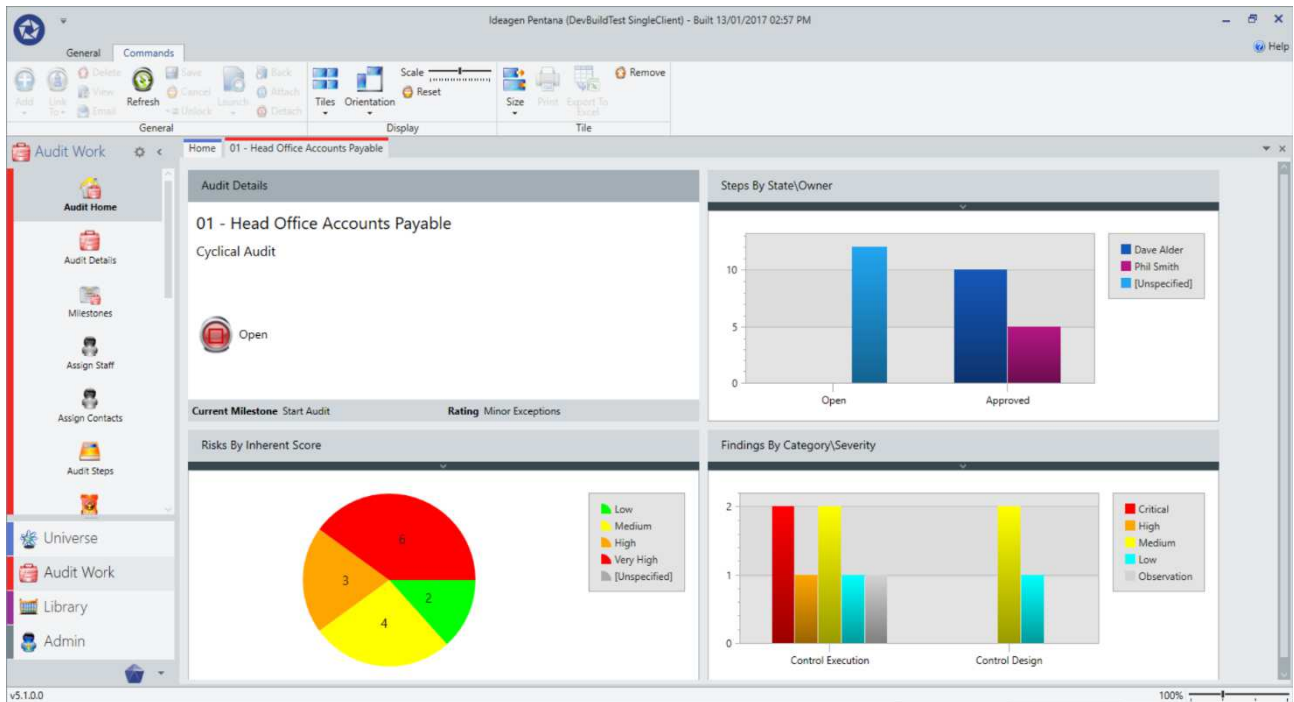
The improvements include:

- New “tile” interface
- New Widgets (including Charts)
- Improved layout options (multiple columns, variable sized Widgets)
- Improved Widget picking interface
- Improved configuration options (e.g. filtering, column picking)
- Load/Save Views (including making a saved view “public”)

The set of available Widgets has also been increased from previous versions.

Audit Dashboard

When an Audit is launched the user is now taken to an Audit-level Dashboard which is similar to the Home Dashboard in terms of functionality but contains Widgets displaying data specific to that Audit.



The set of available Widgets includes numerous charts which are designed to indicate overall Audit progress and which area of the Audit need attention. They direct the user toward the work they need to perform rather than them having to go searching for it by clicking each spine item in turn.

Time Recording

Time spent on Audits (and non-Audit Tasks) can now be recorded within Pentana rather than using the external Retain Time application.

The screenshot shows the 'My Time Sheets' dashboard for 'Gary Freer'. It displays a table of time recorded on various audits and tasks from 01/01/2017 to 13/01/2017.

Name	Component	Mon 02/01/2017	Tue 03/01/2017	Wed 04/01/2017	Thu 05/01/2017	Fri 06/01/2017	Mon 09/01/2017	Tue 10/01/2017	Wed 11/01/2017	Thu 12/01/2017	Fri 13/01/2017	Total
Audits												
02 - New York Accounts		8.00	8.00	8.00	8.00	0.00	0.00	0.00	0.00	0.00	0.00	32.00
03 - USA Buying		0.00	0.00	0.00	0.00	8.00	0.00	0.00	0.00	8.00	8.00	24.00
		8.00	8.00	8.00	8.00	8.00	0.00	0.00	0.00	8.00	8.00	56.00
Tasks												
Holiday		0.00	0.00	0.00	0.00	0.00	8.00	0.00	0.00	0.00	0.00	8.00
Sickness		0.00	0.00	0.00	0.00	0.00	0.00	8.00	0.00	0.00	0.00	8.00
Training		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
		0.00	0.00	0.00	0.00	0.00	8.00	8.00	0.00	0.00	0.00	16.00
		8.00	8.00	8.00	8.00	8.00	8.00	0.00	8.00	8.00	0.00	72.00

The functionality includes:

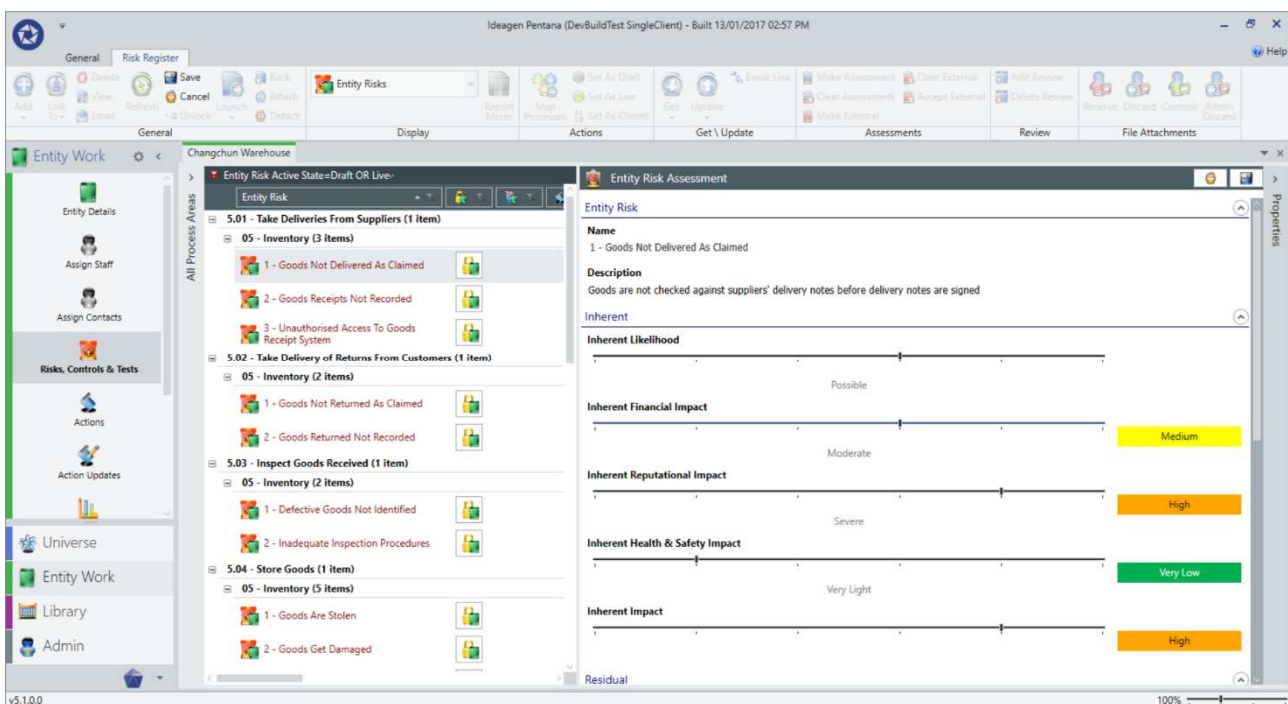
- Time can be recorded against an Audit or Task (e.g. Holiday)
- For Audits it can be broken down by Component (e.g. Fieldwork) if required
- Comments can be added against each Time Sheet Line
- Time Sheet can be marked as Completed/Approved
- System Settings to control day length and weekend visibility, etc.
- Flexible validation rules for Time Sheets (e.g. Warn/Force exact time to be recorded)
- Flexible Time Sheet Periods (Weekly, Monthly, etc.)
- Control over which of the Staff (or Contacts) must record time
- Dashboard Widgets for Managers to see Time Sheets which are “overdue”

The recorded time is then rolled-up to Audit level to allow the Audit Manager to compare the Budget/Planned Time vs. Actual Time which has been recorded.

It is no longer necessary to implement Retain (or configure the associated Robot Jobs to get/set data) unless it is required for the Wallchart functionality.

Multiple Risk Impacts

Pentana can now be configured to allow Risk Impact to be measured in terms of multiple factors such as “Financial”, “Reputational”, “H&S”, etc.



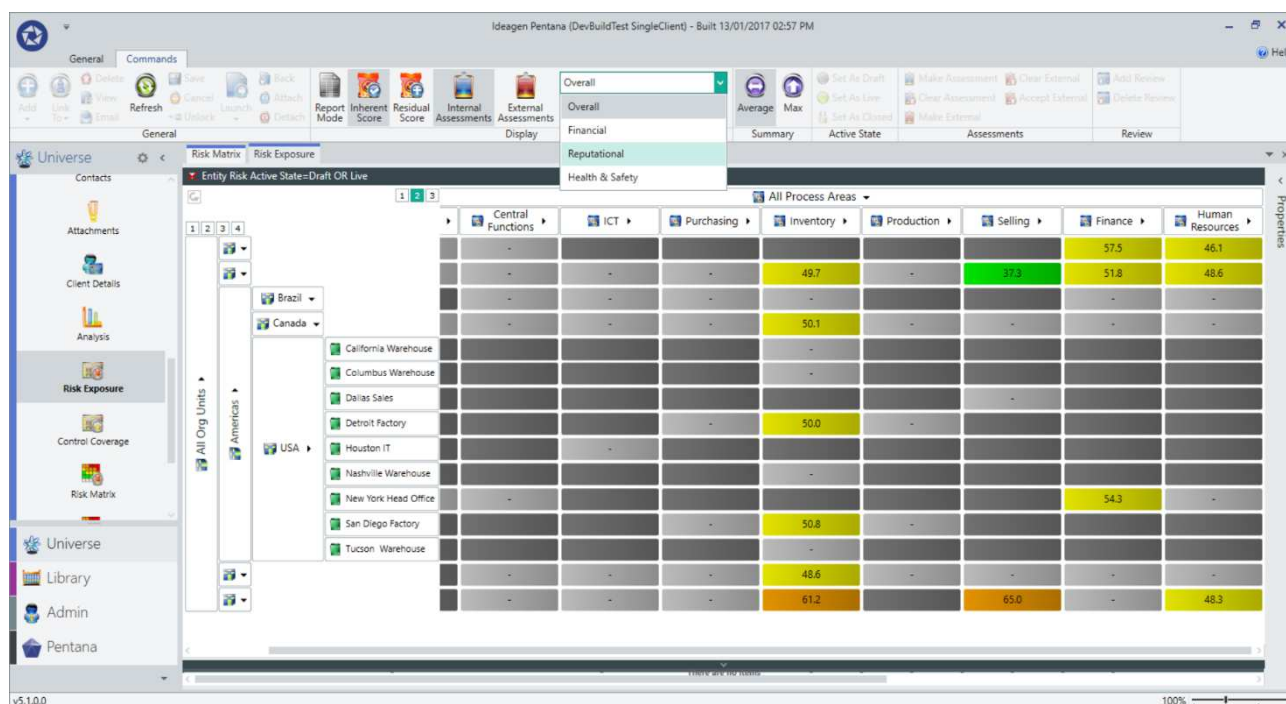
The screenshot shows the 'Entity Risk Assessment' window for 'Changchun Warehouse'. The 'Entity Risk' is '1 - Goods Not Delivered As Claimed'. The 'Description' is 'Goods are not checked against suppliers' delivery notes before delivery notes are signed'. The 'Inherent Likelihood' is 'Possible'. The 'Inherent Financial Impact' is 'Medium', 'Inherent Reputational Impact' is 'High', 'Inherent Health & Safety Impact' is 'Very Low', and the 'Inherent Impact' is 'High'. The 'Residual' impact is also 'High'.

When Multiple Impacts are turned on the “overall” Impact is calculated as the largest of the scores for each individual factor.

The Ratings and Scores which arise from each individual Impact Score (after combining it with the Likelihood) are all available to show as column on the Data Grid (and hence on reports).

This new functionality has also been added to the Web UI.

The data can be used to generate the data displayed on the Risk Matrix and Risk Exposure, etc. so it is possible to analyse how the Risk associated to a specific factor (e.g. Reputation) is spread across the Audit Universe:



Reviews & Points

The relationship between Reviews and Points (which was previously potentially confusing and illogical) has been removed so they are now completely independent of one another.

Most Audit-level objects such as Steps, Tests, Findings, etc. can still have Points but they are no longer allowed outside of an Audit. In particular, they can no longer be added to Actions and Key Issues/Incidents but this should not present a problem because the user can instead use Action Updates and Actions respectively in place of Points.

Many objects (including those outside of an Audit, like Action) continue to have Reviews and this functionality has also been improved to include displaying each item's Review "history" as a child Data Grid and allowing the "Last Review" information to be easily included on screen/reports.

Each item now also has a "Review State" to indicate if it is "Not Reviewed", "Changed" (since Last Review) or "Reviewed" (and not subsequently changed).

Entity-level Reviews

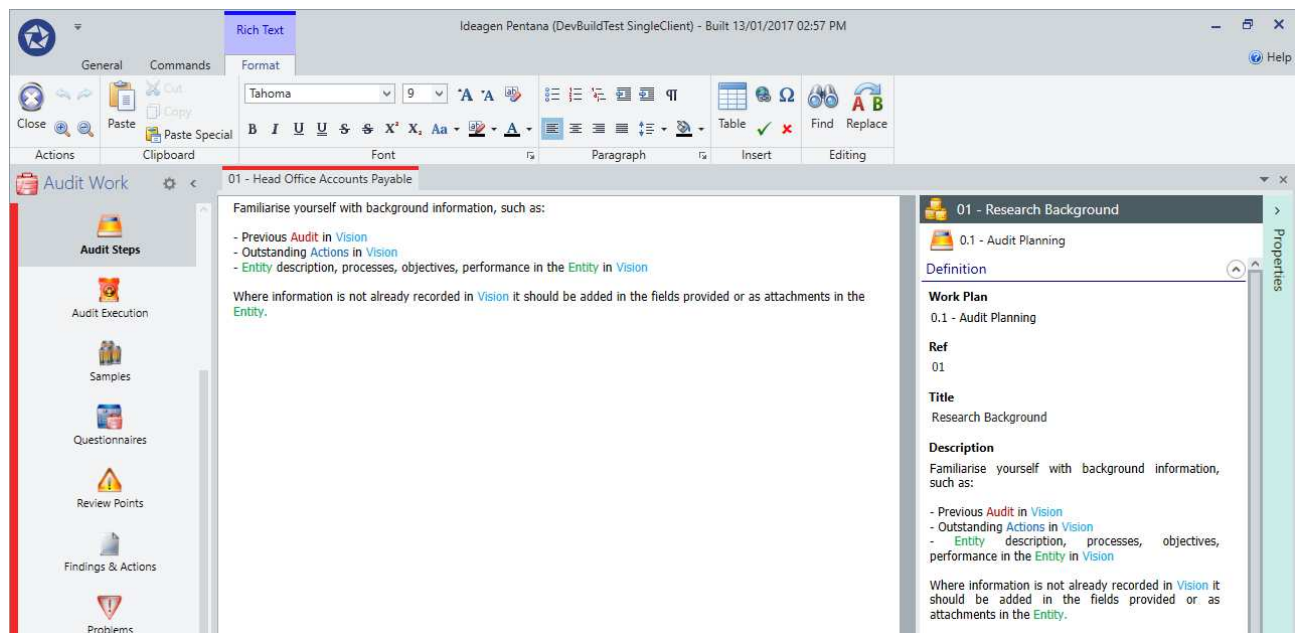
To make it easier for the Entity Risk Register to be assessed/reviewed in an on-going cycle the Entity ORCTs can now have "Reviews" in the same way as their Audit-level counterparts.

As at Audit-level, an Entity ORCT can be Reviewed by multiple users with the most recent one being displayed as the "Last Review" (for reporting purposes). If an item has been "Reviewed" and is subsequently changed or re-assessed (or has the assessment cleared), it reverts to a "Changed" state so the Risk Manager can easily see that it needs to be re-reviewed. This new functionality has also been added to the Web UI.

It is therefore no longer necessary to create a Risk Review Audit in order to carry out a periodic re-assessment of the Entity Register, although an Audit is still required/recommended if you wish to include Findings, Points, etc. in your review.

Rich Text Editing

The interface for editing Rich Text fields has been greatly improved and is now a full screen editor with a large number of text editing commands available via the Ribbon:



Basic formatting options include font/size, bold, underline, italics and colours, etc. but some advanced options are now also fully supported such as alignment, bullet points, tables, tick/cross icons and commands like Cut, Copy, Paste, Find and Replace.

Retire Entity/Processes

Entity and Process already each had an Active flag which could be set to False as they have become obsolete, for example. Inactive items are hidden from the Navigators and Hierarchy Matrix and can no longer be used for the Scope of an Audit or Action, etc.

However, in order to set an Entity or Process to inactive it was first necessary to “close” off all the linked items and while they were being closed there was no way of preventing user from assigning new items to them apart from by changing their name to “do not use”, for example.

It is now possible to mark each Entity or Process as “Retired” which has the effect of preventing new items from being assigned to them and yet still showing them on the Navigators and Hierarchy Matrix in order to track the remaining “open” items which are still linked to them.

When no “open” items remain the Entity or Process can then finally be set to Inactive as before.

Convert Staff to Contact

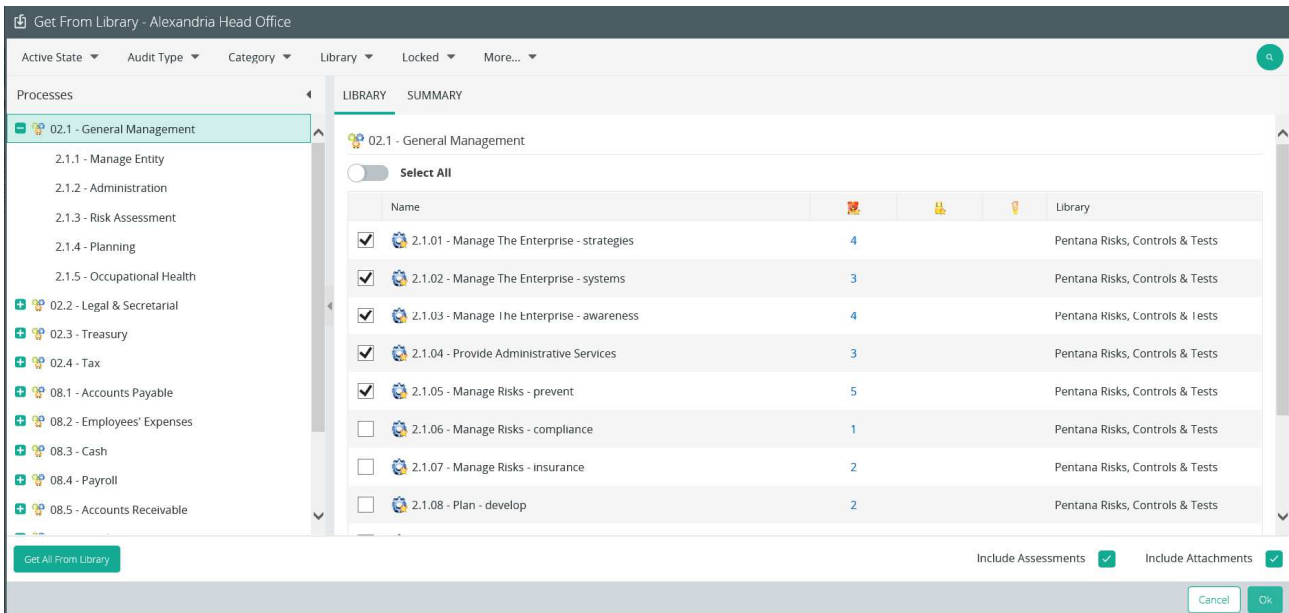
It was previously possible to “convert” a Contact to Staff in the event that they change from being a Business User to a full member of the Audit Team but it is now possible to convert back the other way, i.e. from Staff to Contact if required.

Note that due to data integrity issues it is not possible to convert a Staff to Contact if either Retain is in use (since the Staff could have booking information in Retain which would be lost) or it is a Multi-Client implementation (since it would be necessary to pick a particular Client and any data associated to other Clients would be lost).

Web User Interface (Web UI)

Get from Library/Entity

When managing an Entity Register in the Web UI it is now possible to “get” ORCTs from either the Library or another Entity which is mapped to the same Processes:



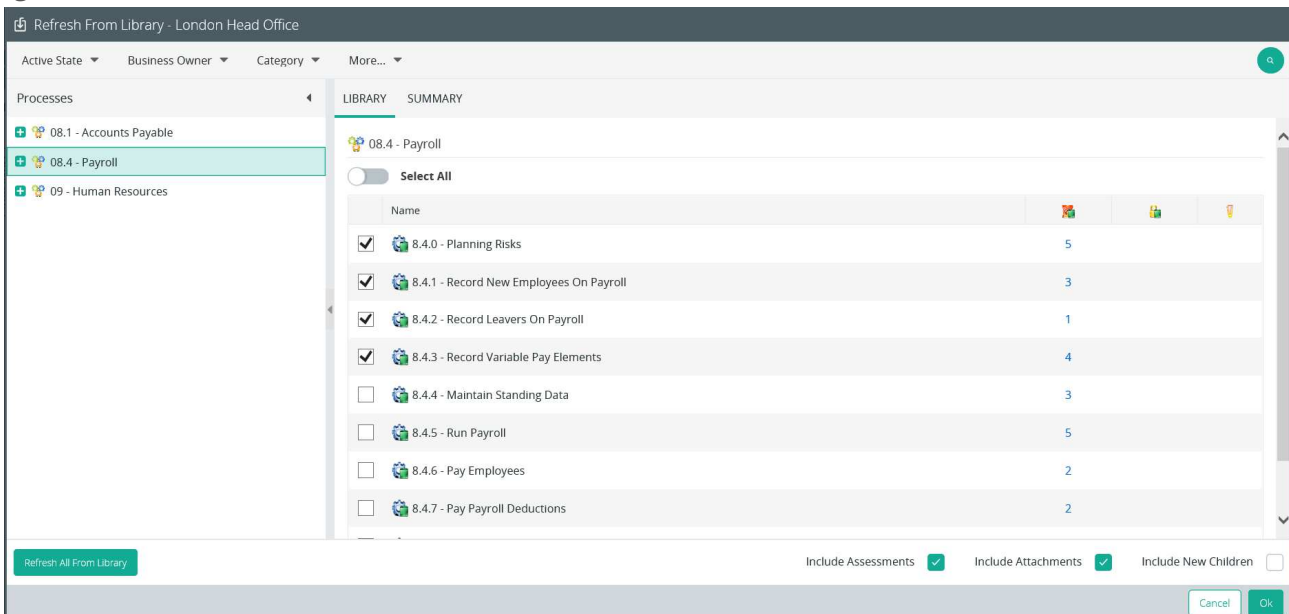
The screenshot shows the 'Get From Library - Alexandria Head Office' interface. On the left, a sidebar lists processes under '02.1 - General Management' and '02.2 - Legal & Secretarial'. The main area displays a table of ORCTs for '02.1 - General Management'. The table has columns for Name, a count, and Library. A 'Select All' toggle is at the top of the table. At the bottom, there are checkboxes for 'Include Assessments' and 'Include Attachments', and 'Cancel' and 'Ok' buttons.

Name	Count	Library
<input checked="" type="checkbox"/> 2.1.01 - Manage The Enterprise - strategies	4	Pentana Risks, Controls & Tests
<input checked="" type="checkbox"/> 2.1.02 - Manage The Enterprise - systems	3	Pentana Risks, Controls & Tests
<input checked="" type="checkbox"/> 2.1.03 - Manage The Enterprise - awareness	4	Pentana Risks, Controls & Tests
<input checked="" type="checkbox"/> 2.1.04 - Provide Administrative Services	3	Pentana Risks, Controls & Tests
<input checked="" type="checkbox"/> 2.1.05 - Manage Risks - prevent	5	Pentana Risks, Controls & Tests
<input type="checkbox"/> 2.1.06 - Manage Risks - compliance	1	Pentana Risks, Controls & Tests
<input type="checkbox"/> 2.1.07 - Manage Risks - insurance	2	Pentana Risks, Controls & Tests
<input type="checkbox"/> 2.1.08 - Plan - develop	2	Pentana Risks, Controls & Tests

The interface and functionality matches the WPF UI as closely as possible and allows the user to filter the source data, select the required Objectives (including allowing them to view the child Risks/Controls and select/deselect them individually), choose to “Select All” if required and choose to include Assessments, Attachments, etc. where applicable.

Refresh from Library

Furthermore, when an Entity Register contains items which originated in the Library it is now possible to “refresh” them in order to apply any changes which have been made to the Library since they were “got”:



The screenshot shows the 'Refresh From Library - London Head Office' interface. On the left, a sidebar lists processes under '08.1 - Accounts Payable', '08.4 - Payroll', and '09 - Human Resources'. The main area displays a table of ORCTs for '08.4 - Payroll'. The table has columns for Name, a count, and Library. A 'Select All' toggle is at the top of the table. At the bottom, there are checkboxes for 'Include Assessments', 'Include Attachments', and 'Include New Children', and 'Cancel' and 'Ok' buttons.

Name	Count	Library
<input checked="" type="checkbox"/> 8.4.0 - Planning Risks	5	
<input checked="" type="checkbox"/> 8.4.1 - Record New Employees On Payroll	3	
<input checked="" type="checkbox"/> 8.4.2 - Record Leavers On Payroll	1	
<input checked="" type="checkbox"/> 8.4.3 - Record Variable Pay Elements	4	
<input type="checkbox"/> 8.4.4 - Maintain Standing Data	3	
<input type="checkbox"/> 8.4.5 - Run Payroll	5	
<input type="checkbox"/> 8.4.6 - Pay Employees	2	
<input type="checkbox"/> 8.4.7 - Pay Payroll Deductions	2	

This interface also matches the WPF as closely as possible and includes a checkbox to allow the user to decide if the “refresh” should include any new child items which have been recently added in the Library.

Risk/Control Matrix

The Web UI now also includes a Risk/Control Matrix UI to show the spread in terms of Likelihood/Impact and Design/Operation respectively.

As in the WPF UI it allows the user to filter the data, including via the Entity and Process Navigators and then shows the number of Risks/Controls which fall into each cell of the matrix. The user can then click a specific cell or Rating to drill into the individual records.

On the Risk Matrix the user can choose to plot using the “overall” Impact or using one of the individual Impact factors described above, i.e. Financial, Reputational, H&S, etc.

Multi-Client

Multi-Client mode is now fully supported in the entire Web UI. When viewing an Action or Risk Register, etc. it is now transparent which Client that record is related to and the user can toggle between Clients by selecting them from the menu bar.

Client-level permissions are applied throughout so if a user is not authorized to see a specific Client that data is hidden from them at all times.

Technical

Windows Authentication for Web UI

The Web UI can now also be configured to use Windows Authentication if required. This acts to reduce the administrative burden of using Forms-based authentication on a large internal implementation.

Forms-based authentication is still supported as it remains useful in the event that the Web UI is being exposed to external users who are not part of the same domain.

Multiple Services

The Pentana Service can now be configured to make better use of the processing power available on a single server. The two TngServices can now be spun-up multiple times (by configuring it in IIS) so that multiple cores can be utilized when concurrent usage is particularly high. This option was not previously available due to the risk of the multiple services introducing data integrity issues when they made conflicting changes.

This improvement increases the scalability of a Pentana implementation and further improvements are planned for upcoming versions.

Minor Enhancements

The following is a selection of other minor enhancements in Pentana 5.1:

Get Out of Scope items – When “getting” Steps or ORCTs from one Audit to another this now includes items which were “Out of Scope” in the source Audit because they may now apply. These items default to “Out of Scope” in the target Audit too but can be changed to “In Scope” by the user as required.

Data Grid Warning/Limit – There are now System Settings to control the number of records above which a) the user is warned of the likely performance hit and b) the user is prevented from exceeding. Both settings are optional and if they are reached the users are required to apply a filter in order to return less records.

Risk/Control Assessment Property Grid Section – The current assessment values are now shown read-only on the Risk/Control Property Grid.

Charting by Segmentations – A number of standard segmentations which were missing from the Analysis screen have been added.

Exposing Super-Segmentations – Super-segmentations, i.e. where a segmentation such as Outcome are themselves categorized by a further segmentation such as Outcome Type, are now available on the Column Picker, Pre-Filters and Chart Segmentations. It is therefore now possible to report/analyze on all such relationships including Findings by Outcome Type, Tests by Result Type, etc.

Analyze Audit Notes – The Analysis screen within an Audit now contains a Notes Display Mode.

Action Update “history” fields – There are now calculated fields on each Action Update storing when they were Submitted, Rejected and Accepted and by who. This makes it easier to report on the life-cycle of Actions and their Updates.

Hierarchy Matrix usability – The Row Headers on a Hierarchy Matrix can now be collapsed so they take up less screen real estate and allow the user to see more of the data cells.

Web Problems – When viewing a Finding or Action in the Web UI it is now possible to see read-only information about which Problem(s) they relate to.