



What's New in Pentana v5.2

VERSION 5.2 – SEPTEMBER 2017

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Introduction

Ideagen Pentana 5.2 is an enhancement release, available from September 2017. It is supplied as a free upgrade to existing supported customers 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 5.2. It outlines the enhancements made since Pentana 5.1. Please refer to our Application or Help Guides if you need a more detailed description of general product features.

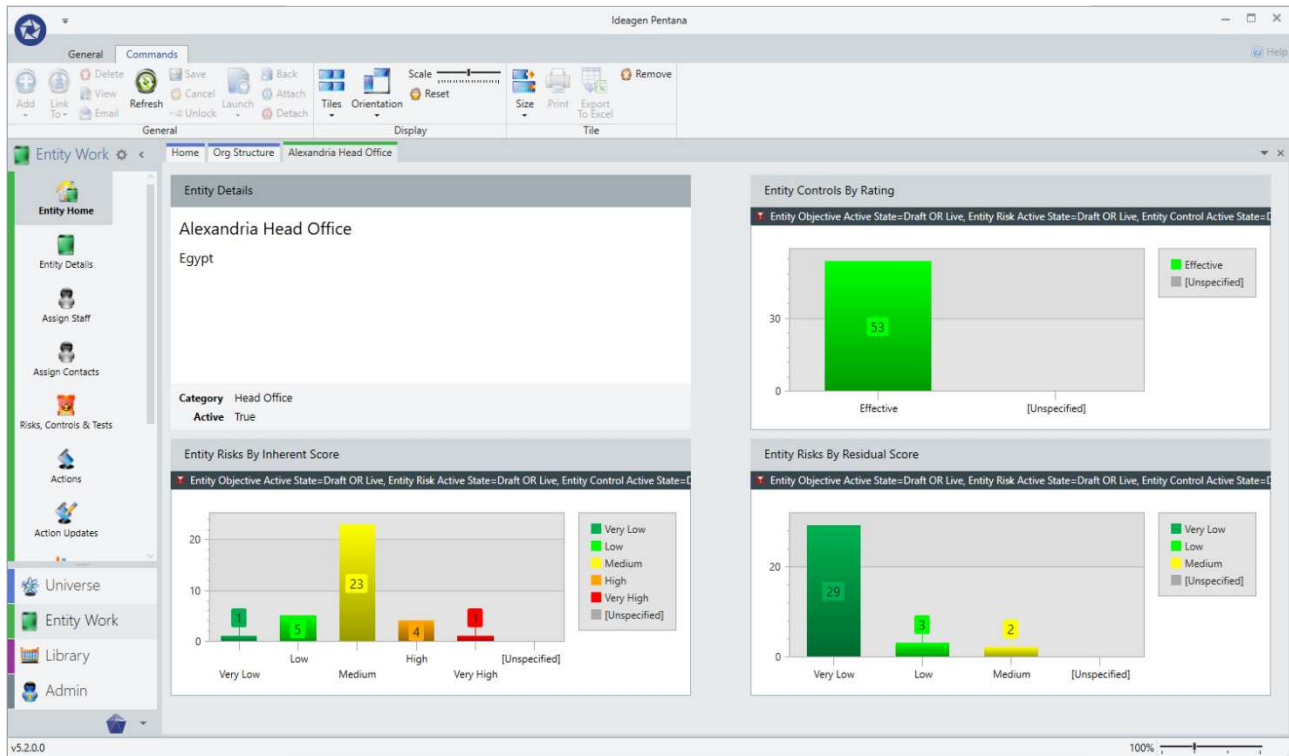
The major new features and selected minor enhancements in Ideagen Pentana 5.2 are described below. For a complete list of all enhancements please consult the Release Notes document.

Major New Features

Windows User Interface (WPF UI)

Entity Dashboard

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



The set of available Widgets includes numerous charts which are designed to indicate which areas of the Entity 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.

Client Dashboard

When a Client is launched (in a Multi-Client implementation), the user is now taken to a Client-level Dashboard which is like the Home Dashboard in terms of functionality but contains Widgets displaying data specific to that Client.

The set of available Widgets is the same as those on the Home Dashboard in a Single-Client implementation.

Hierarchy Matrix Functionality

The Hierarchy Matrix component is used in various places within the application including Action Tracker and Risk Exposure. Prior to v5.2 it was only capable of showing a matrix of Entity/Org Unit vs. Process/Process Area but it has now been generalized to use other segmentation(s) for one (or both) of the axis.

The following example is the Action Tracker showing Entity/Org Unit vs. Action Sign Off State and Finding Severity:

The screenshot shows the 'Action Tracker' view in the Ideagen Pentana application. The main area displays a grid with columns for 'Sign Off State' (Critical, High, Medium, Low, Observation) and 'Finding Severity' (1, 2). The rows represent different entities: Corporate (France, Germany, UK), Americas, Asia, and Africa. Below the grid, a list of actions is shown with their respective sign-off states, categories, priorities, departments, and owners.

Entity	Critical	High	Medium	Low	Observation	Severity 1	Severity 2
Corporate - France	4	-	7	2	1	-	-
Corporate - Germany	-	2	-	1	-	-	-
Corporate - UK	-	4	1	-	-	-	-
Americas	1	6	8	1	-	-	-
Asia	1	4	4	-	-	-	-
Africa	-	1	3	-	-	-	-

Action	Sign Off State	Category	Priority	Department	Owner
01.1 - Financial accountant journal approval	High	Process Improvement	High	UK	Andrew Nash
01.1 - Stores access	High	Procedure Change	High	EMEA	Barry Finch
02.1 - Budget sign off	High	Process Re-introduction	High	UK	Tony Hughes
03.1 - Quality assurance training	High	Process Re-introduction	High	EMEA	Barry Finch

The following example is the Risk Exposure showing Risk Category vs. Objective Category:

The screenshot shows the 'Risk Exposure' view in the Ideagen Pentana application. The main area displays a grid with columns for 'Objective Category' (Principal Risks, Record, Produce, Obtain, Safeguard, Correct, Monitor, Secure, Identify, Supply) and rows for various risk categories. Below the grid, a list of objectives and their associated risks is shown.

Risk Category	Principal Risks	Record	Produce	Obtain	Safeguard	Correct	Monitor	Secure	Identify	Supply
Completeness	53.1	36.2	57.8	37.9	-	-	-	-	-	50.6
Accuracy	-	52.4	55.2	40.8	-	-	-	-	-	53.5
Validity	-	47.3	38.4	-	57.7	77.2	-	-	32.0	44.3
Maintenance	-	-	-	-	-	-	-	-	-	-
Access	-	-	88.5	-	71.9	-	-	40.0	-	-
Efficiency	-	-	50.0	47.0	-	-	65.0	-	-	71.8
Operational	-	-	-	-	49.8	-	-	-	38.6	54.3
Damage or loss	-	-	-	40.0	65.4	-	-	-	-	47.1
Safety	-	-	-	-	61.1	-	-	-	-	-
Timeliness	-	-	-	-	-	-	-	-	-	-
Legal compliance	-	-	-	-	-	-	-	-	-	-

The user can choose to analyse by any segmentation (including custom fields) on the object in question (e.g. Action or Entity Risk) or a parent object (e.g. Audit, Entity Objective, etc.).

Risk Movement

Each Entity Risk/Control already has a "history" of Assessments with the most recent one being referred to as the "Current Assessment". In v5.2 each one now also has a "Previous Assessment" which is defined as the Assessment which applied at the time of the Last Review of that Entity Risk/Control.

The "Previous Assessment" information can be shown on the Entity Risk Register together with an indication of whether each individual Risk/Control is increasing or decreasing as shown below:

Entity Risk	Previous Assessor	Previous Assessment	Previow	Assessment Res	Assessment Residua	Assesse	Assessment
1 - Investment Performance Not Monitored	Possible	Light	32	Light	Remote	25	↓
1 - Training Needs Not Identified	Possible	Moderate	50	Light	Remote	25	↓
1 - Bad Pension Eligibility Decisions	Remote	Very Light	7	Light	Possible	32	↑
1 - Confidential Information Is Accessible	Remote	Very Light	7	Light	Remote	25	↑
1 - Entitlement Incorrectly Calculated	Remote	Very Light	7	Light	Remote	25	↑
1 - Inaccurate Unit Price Calculations	Remote	Very Light	7	Light	Remote	25	↑
1 - Inconsistent Recruitment Procedures	Very Remote	Very Light	0	Light	Remote	25	↑
1 - Incorrect Entitlement Used	Remote	Very Light	7	Light	Remote	25	↑
1 - Information Inaccurate	Remote	Very Light	7	Light	Remote	25	↑
1 - Legal Requirements Not Complied With	Remote	Very Light	7	Light	Remote	25	↑
1 - Legal Requirements Not Complied With	Remote	Very Light	7	Light	Remote	25	↑
1 - Legal Requirements Not Complied With	Possible	Very Light	15	Light	Remote	25	↑
1 - Staff Not Appraised	Remote	Very Light	7	Light	Remote	25	↑
1 - Unauthorised Data Amendments	Remote	Very Light	7	Light	Remote	25	↑
1 - Pension Scheme Rules Unclear	Remote	Light	25	Light	Remote	25	—
1 - Poor Awareness Of Regulation	Remote	Light	25	Light	Remote	25	—

Furthermore, the Risk Exposure (and Control Coverage) can be used to show the movement for a set of records. In this example the arrow indicates that for Africa/Human Resources the trend is for the Risks to be "increasing" such that the average has moved from Yellow to Orange since the Last Review of each item.

Org Unit	Governance	Central Functions	ICT	Purchasing	Inventory	Production	Selling	Finance	Human Resources
Corporate	-	-	-	-	-	-	-	57.5	46.1
Europe	-	-	-	-	49.7	-	37.3	51.8	48.6
Americas	-	-	-	-	50.3	-	-	54.3	-
Asia	-	-	-	-	48.2	-	-	-	-
Africa	-	-	-	-	61.2	-	65.0	-	60.8

Previous Assessment: 49.61 (Yellow)

Assessment: 60.76 (Orange)

When this "movement" analysis is combined with the change described above (using segmentations as the axis rather than being limited to the Audit Universe) this screen is now an extremely powerful tool for analysing which types of Risk are trending up/down.

Entity Risk/Control Notifications

There are now standard Robot Jobs to send Initial and Reminder Emails relating to the External Assessment of Entity Risks/Controls (which can now be done via the Web UI).

The parameters for these Jobs are like those for the analogous Jobs used for Action Tracking and can therefore be configured via System Settings and the App Manager.

There are three new date fields on Entity Risk/Control which are used to manage this life-cycle:

- **Due Date** – when the External Assessment was originally due.
- **Notified Date** – when the Business Owner was initially notified of the request for an Assessment.
- **Respond by Date** – when the Business Owner is expected to respond by.

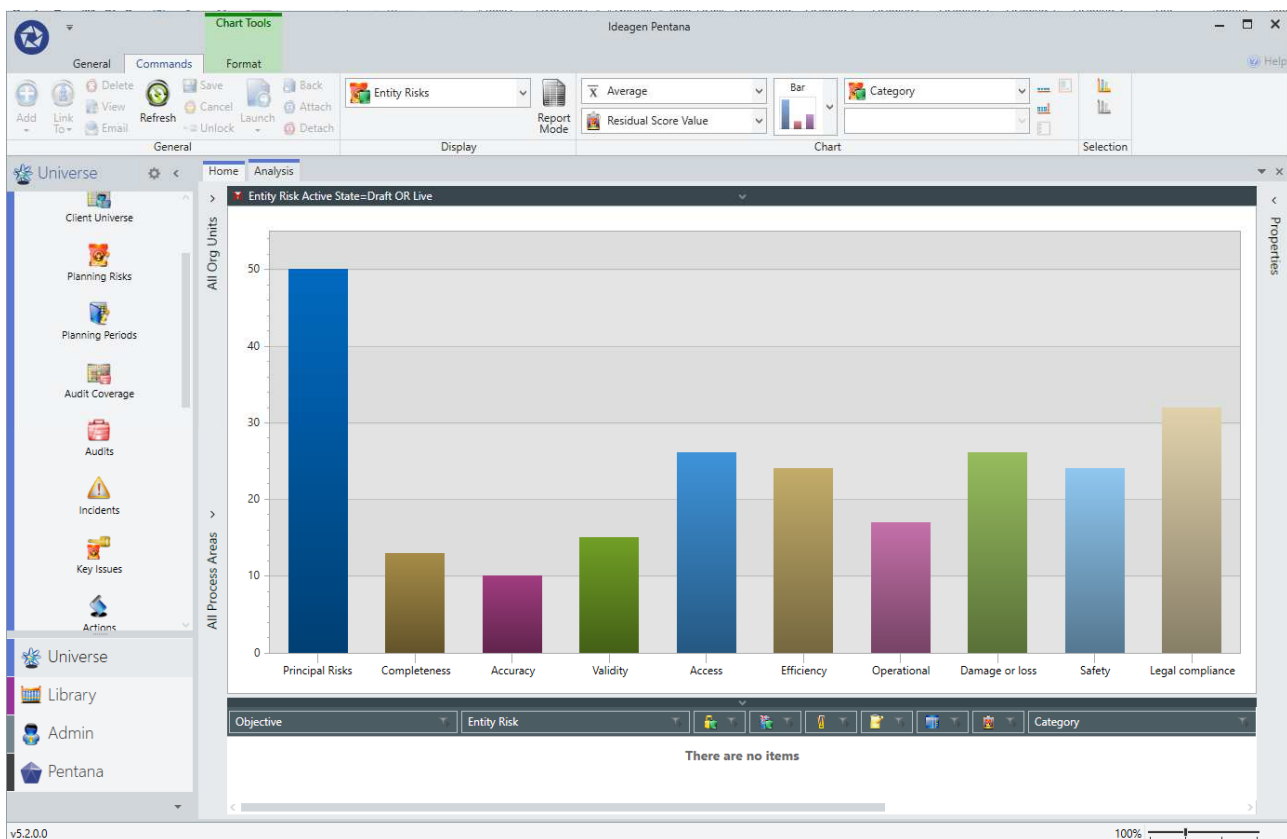
As with Action Tracking there are System Settings to control how many days the Business Owner must respond after the Initial and Reminder notification.

There is no equivalent of the Action Tracking Rejection Email because there is no equivalent to the Action Update object in this case.

Chart by Numeric Fields

The Analysis screens have previously been limited in that they only allow the user to Count the number of records in each Category/Series. It is often useful to also find the Sum, Average, etc. of a Numeric field over each Category/Series.

The following example shows the Average Entity Residual Risk Score over each Risk Category but other useful analyses would include Sum of Time Sheet Line Values over each Audit (or Audit Type) or Incident Values over each Incident Type, for example.



Audit Processes

Within an Audit it was not previously possible to add child objects such as Attachments or have Custom Fields at Process-level because there was no database table to represent a Process within an Audit.

This table does now exist and, like Entity Process, the records are automatically added/deleted when the user changes the Audit Scope.

It is therefore now possible to add a Process-level calculated Custom Field which is the average Risk Score (for example) within that Audit Process. This will be persisted in the database and can easily be included in Doc Pop reports rather than having to perform that calculated every time the report is run.

Auto-commit Attachments

When an Attachment (e.g. a Word document) is launched from within the application it is now monitored so that when the user closes it and returns to the Pentana they are immediately prompted whether they wish to Commit (or Discard) the file, or if they wish to Ignore the file (to continue to work on it later).

This makes it much easier for the user to remember to Commit the files as they were previously not reminded about them until they eventually close the application entirely.

Copy/Paste Attachments

It is now much easier to Copy/Paste Attachments (including in bulk) out of Pentana into an Email or Explorer, etc. when it is necessary to share them externally.

When the user chooses to Copy an Attachment, they are now asked if they wish to download the file(s) so they can be Pasted outside of the application. Choosing "Yes" takes longer but then puts the physical file(s) on the Windows Clipboard for the user to Paste wherever they wish. Choosing "No" still copies the "shortcut" to the file so it can be Pasted within the application to make a duplicate.

Over/Under Budget Fields

Calculated fields have been added to Audit and Audit Assignment to display the difference between the Budget, Planned and Actual Time and, at Audit level, the difference between the pairs of Effort and Time values. Since users can now also Chart by Numeric fields (see above) and roll-up these new fields to Department, for example, it is now easy to analyze which parts of the organization are under/over performing, etc.

Tick Many Value-Dependent Segmentations

Value-dependent segmentations are when there is a pair of fields for which the selected value in the first ("parent") field determines which are the allowed values of the second ("child") field. Until now the only scenario which has been supported is when both the "parent" and "child" are Tick One fields.

In v5.2 it is now possible for the "child" to be a Tick Many field and yet still be dependent on the value of the "parent" Tick One field.

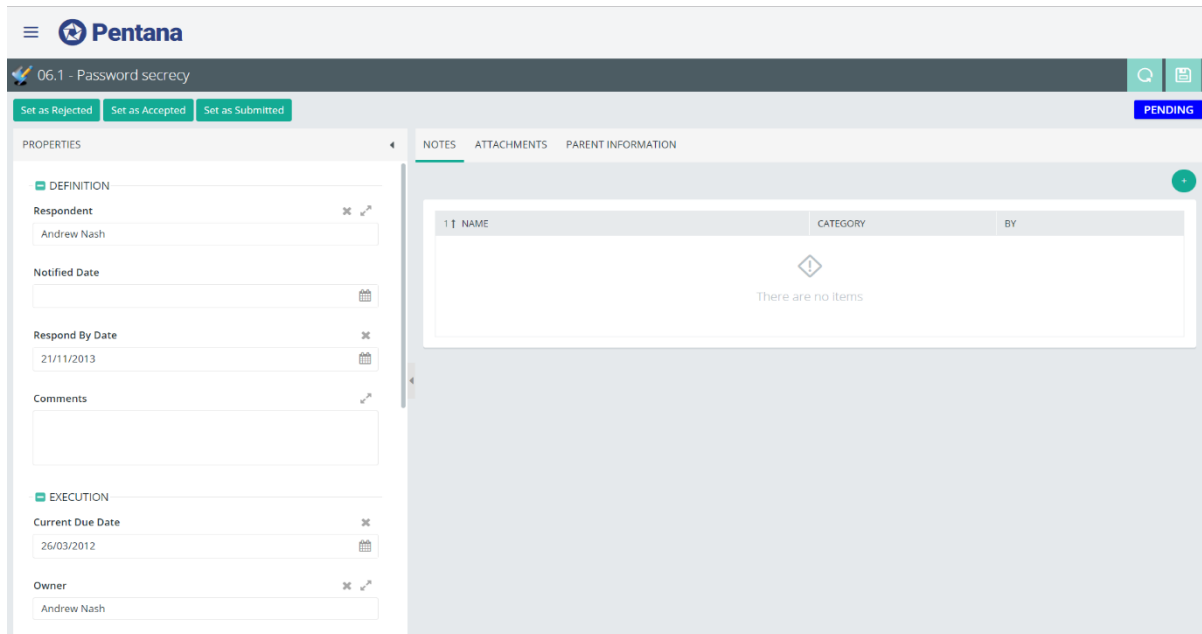
Web User Interface (Web UI)

Accept/Reject Action Updates

The Action Tracking module previously allowed Business Users to mark their Action Updates as “Submitted” but assumed the Manager (typically an Auditor) would use the WPF UI for the remainder of the life-cycle, i.e. “Accept” (or “Reject”) the Action Update and then “Complete” the parent Action.

They could, however, already use the Web UI to “Complete” the Action if they wished but it was not possible for them to perform the previous step of “Accept” (or “Reject”) the Action Update.

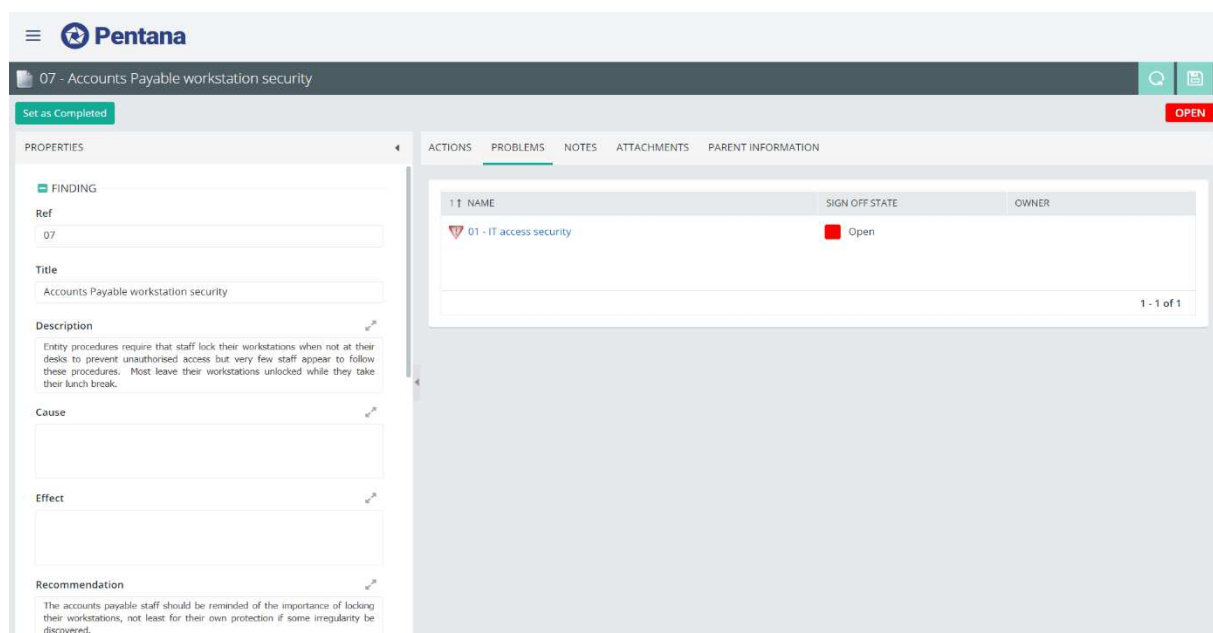
This “gap” has now been filled so the full Action Update life-cycle can be performed via the Web UI if required.



The screenshot shows the Pentana Web UI interface for an Action Update. The top navigation bar includes the Pentana logo and a search icon. Below the navigation bar, there are three buttons: "Set as Rejected", "Set as Accepted", and "Set as Submitted". The main content area is divided into two sections: "PROPERTIES" on the left and "NOTES ATTACHMENTS PARENT INFORMATION" on the right. The "PROPERTIES" section is further divided into "DEFINITION" and "EXECUTION" sections. The "DEFINITION" section includes fields for "Respondent" (Andrew Nash), "Notified Date", and "Respond By Date" (21/11/2013). The "EXECUTION" section includes fields for "Current Due Date" (26/03/2012) and "Owner" (Andrew Nash). The "NOTES ATTACHMENTS PARENT INFORMATION" section is currently empty, displaying a message "There are no items".

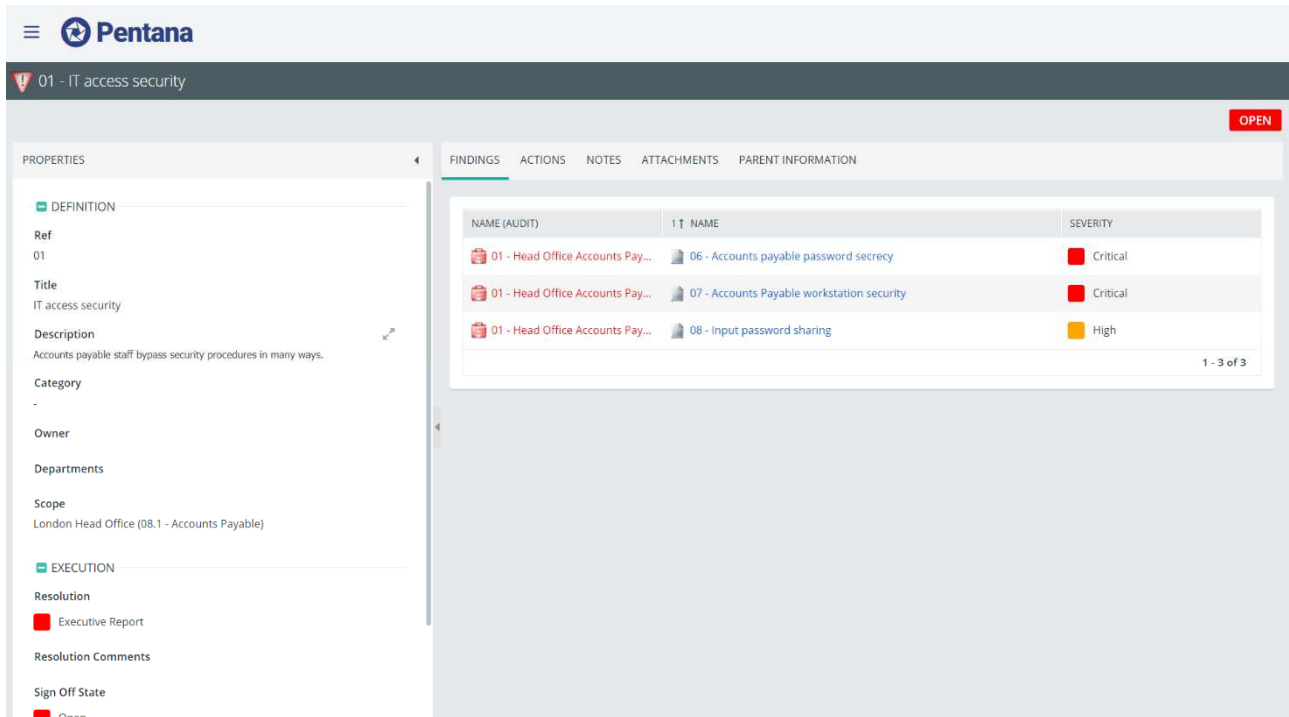
Problems & Findings

It is now possible to view which Problem(s) each Finding relates to through the Web UI as it is often useful information to a user who is responding to a Finding or performing a subsequent Action.



The screenshot shows the Pentana Web UI interface for a Finding. The top navigation bar includes the Pentana logo and a search icon. Below the navigation bar, there are three buttons: "Set as Completed", "Set as Open", and "Set as Closed". The main content area is divided into two sections: "PROPERTIES" on the left and "ACTIONS PROBLEMS NOTES ATTACHMENTS PARENT INFORMATION" on the right. The "PROPERTIES" section is further divided into "FINDING" and "RECOMMENDATION" sections. The "FINDING" section includes fields for "Ref" (07), "Title" (Accounts Payable workstation security), "Description" (Entry procedures require that staff lock their workstations when not at their desks to prevent unauthorised access but very few staff appear to follow these procedures. Most leave their workstations unlocked while they take their lunch break.), "Cause", "Effect", and "Recommendation" (The accounts payable staff should be reminded of the importance of locking their workstations, not least for their own protection if some irregularity be discovered.). The "ACTIONS PROBLEMS NOTES ATTACHMENTS PARENT INFORMATION" section is currently empty, displaying a message "There are no items".

The user can also view the Problem details (read-only) which includes which other Findings it relates to:



The screenshot displays the Pentana web interface for a specific problem. The header shows the Pentana logo and the problem ID '01 - IT access security'. A red 'OPEN' button is visible in the top right corner. The main content is divided into two panels: 'PROPERTIES' on the left and 'FINDINGS' on the right.

PROPERTIES Panel:

- DEFINITION:**
 - Ref:** 01
 - Title:** IT access security
 - Description:** Accounts payable staff bypass security procedures in many ways.
 - Category:** -
 - Owner:** -
 - Departments:** -
 - Scope:** London Head Office (08.1 - Accounts Payable)
- EXECUTION:**
 - Resolution:** Executive Report
 - Resolution Comments:** -
 - Sign Off State:** Open

FINDINGS Panel:

The 'FINDINGS' panel is active and displays a table of related findings. The table has three columns: 'NAME (AUDIT)', 'NAME', and 'SEVERITY'. There are three rows of data, each with a red icon in the first column.

NAME (AUDIT)	NAME	SEVERITY
01 - Head Office Accounts Pay...	06 - Accounts payable password secrecy	Critical
01 - Head Office Accounts Pay...	07 - Accounts Payable workstation security	Critical
01 - Head Office Accounts Pay...	08 - Input password sharing	High

At the bottom right of the findings table, it indicates '1 - 3 of 3'.

Technical

Bulk Workflow Performance

When records are deleted in bulk (i.e. by selecting multiple rows on a Data Grid) these are now deleted from the database in batches which reduces the number of round-trips and therefore improves performance when working over a wide-area with poor latency.

In later versions, this pattern will be applied to other frequently used bulk operations such as Set as Completed/Approved, etc.

Hierarchy Matrix Performance

The performance of the Risk Exposure and Control Coverage screens has been improved by moving more of the calculation work to the server, thus reducing the total amount of network traffic, especially when the Audit Universe is very large.

The construction of the row/column headers has also been improved which gives a performance benefit for all screens containing a Hierarchy Matrix, i.e. including Action Tracker, etc.

The performance of the Data Tree (typically used to show the Org Structure navigator) has also been significantly improved especially when the Audit Universe is very large.

Questionnaire Performance

The interface for opening, answering and closing an Audit Questionnaire has been optimized to significantly improve performance, especially when working over a wide-area with poor latency.

Retain Integration

The Robot Job responsible for adding a “ghost” booking to Retain when an Audit Assignment is added to Pentana has been extended so that it now also modifies that booking if the Audit Assignment changes length.

There is also a new Standard Customization to force all existing Audit Assignments on to the Robot Queue to refresh them in Retain. The functionality and purpose of this Customization is the same as the one which already exists for Audits/Staff.

Remove .NET 4.0 Dependency

The application now requires .NET 4.5.2 or later to run on the Client and Server so .NET 4.0 is no longer sufficient. This change is to allow the developers to make use of new technology to improve performance and reliability.

Minor Enhancements

The following is a selection of other minor enhancements in Pentana 5.2:

Show Staff to Contacts – There is a new System Setting to "Show Staff to Contacts" which can be used to control the visibility of Staff in both UIs when logged in as a Contact. In Single-Client mode it defaults to True and in Multi-Client mode it defaults to False but can be changed in either case as required.

Launch to Analysis – Double-clicking a Chart on any of the Dashboard screens now launches the appropriate Analysis screen with the same Chart displayed so the user can drill-in to show the specific records.

Budget Effort – Each Entity/Process can now be assigned a Budget Effort which is used to set the default value on an Audit (and Candidate Audit) when its Scope is changed by totaling up the value for all cells covered by the Audit.

Website Email Tag – It is now possible to insert a System Setting value into an email body using a tag like {SystemSetting.Hyperlink.WebSite}.

Time Sheet Interface – The totals row on a Time Sheet are now color-coded to indicate if they are valid per the System Settings.

Audit Completed/Approved – The Completed By/Time and Approved By/Time fields at Audit level are now available by default on the Column Picker.

Review History – Each Person can now Review each object (e.g. Risk) more than once so the Reviews child grid contains a complete history of all Reviews made.

Assessment Filters – On the Pre-Filters interface the Assessment fields for Risks (and Controls) are now displayed on their own Tabs to separate them from the fields on the parent Risk (or Control).

Last Audit Date – There are now separate System Settings to control which Milestone/Date to use when determining the Current Audit (for a given Entity/Process). Previously it was hard-coded to use the Planned Date of whichever Milestone was being used for the Last Audit. These are like the existing ones used to determine the Last Audit.

Rich Text Keyboard Support – The Rich Text editor can now be opened and closed using keyboard shortcuts (Enter/Space and Escape).

Close Tabs – User can now choose where the "X" icon to close Tabs is located, i.e. on each Tab, in the Header, or in both.