# Pentana Vision 3.2

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# What is Pentana Vision 3.2?

Pentana Vision 3.2 is an enhancement release, available from July 2014. It is supplied as a free upgrade to supported customers and as standard to new Pentana Vision customers, including those who migrate from our Pentana Audit Work System ('PAWS').

This document is intended for Ideagen partners and customers, to help prepare for upgrade to Pentana Vision 3.2. It outlines the enhancements made since Pentana Vision 3.0, including those introduced in the limited-scope Pentana Vision 3.1 release. Please refer to our Functional Overview or Help Guides if you need a more detailed description of general product features.

# What does Pentana Vision 3.2 contain?

Pentana Vision 3.2 contains general enhancements that will benefit both new and existing customers. The enhancements are described below under the following headings:

- Planning and Scheduling
- Incident Management
- Entity Actions
- Retain integration
- Assignments
- Licensing enforcement
- Other enhancements

## Planning and Scheduling

Pentana Vision 3.2 introduces comprehensive and flexible new universe planning, risk assessment and scheduling features including:

- Maintainable library of 'Planning Risks'
  - Planning Risks are maintainable separately per Client (in multi-client mode)
  - Optionally apply weightings to different Planning Risks
  - Optionally restrict which Planning Risks are assessed based on Entity Type and Process Type criteria
- New 'Planning Periods' concept
  - Planning Periods may be of variable lengths
  - Snapshot of the universe is taken when the Planning Period is activated
  - Optionally work on multiple Planning Periods at the same time
  - Completion and Approval sign offs over each planning cycle
- Planning Risk Assessment options
  - Simple out-of-the-box assessment model, with automatic roll-ups across the universe

- o Customer-specific assessment models can be plugged-in via a straightforward customization service
- o Optionally restrict parts of the universe or risks for assessment by individual owners
- o Optionally copy in assessments from a previous Planning Period
- o Multi-select and assess the planning risks in bulk for faster data input
- o Navigators and quick filters to easily interrogate the assessments
- Planning Risk Exposure analysis
  - o Flexible, graphical display of planning risk ratings by universe matrix
  - o Toggle between Average and Max rating modes
  - o Expand/collapse universe and drill into more detail
  - o Display and navigate into the detailed assessments
- Scheduling features
  - o Flexible, graphical display by universe matrix
    - ▪ Colours based on Scheduling Factors, Planning Risks or Specific Risks
    - ▪ Values based on a Count of Candidate Audits, Coverage % or None
  - o Auto-suggest the schedule based on a combination of Scheduling Factors:
    - ▪ Minimum Fixed Frequencies
    - ▪ Last Audit Ratings
    - ▪ Planning Risk ratings
    - ▪ Specific (Entity) Risk ratings
- New 'Candidate Audits' concept
  - o Candidates are potential assignments, not visible to general users until confirmed
  - o Create Candidates individually or in bulk based on Scheduling Factors
  - o Candidates can have flexible Entity/Process scope, same as eventual Audits
  - o Visual indicators of possible 'over' and 'under' planning across the universe
    - ▪ Over → Candidate exists, not suggested according to Scheduling Factors
    - ▪ Under → Suggested per Scheduling Factors, but no Candidate exists
  - o Qualify and amend Candidates before committing them as 'real' Audits
    - ▪ Attributes of the Candidate pass through into the Audit properties
    - ▪ Audit References are auto-generated based on a simple rule; customer-specific rules can be plugged in via a straightforward customization service.
- Revisions to enhance the 'Audit Coverage' screen
  - o Colours based on Planning Risks, Specific Risks, Coverage or Progress
    - ▪ Additional toggle modes when based on Specific or Planning Risks
  - o Values based on Count of Audits, Coverage %, Progress or None
  - o Risk Rating navigator has been removed since it is no longer needed

## Incident Management

Pentana Vision 3.2 introduces flexible Incident Management features, to help satisfy Operational Risk Management (ORM) and Enterprise Risk Management (ERM) requirements.  The capabilities are more comprehensive than in the equivalent 'Loss Event' features in PAWS.

Incident Management features include:

- Raise Incidents independently of audits (on a per client basis when in multi-client mode)

- Define Incident scope in relation to the Universe, optionally linking to specific Entity Risks

- Classify each Incident (e.g. 'Actual Loss', 'Near Miss') and capture monetary values

- Add further documentation via Attachments, Review Points and Cross References

- Manage the Incident life cycle (e.g. Draft, Live, Complete, Approved and Closed) and ascribe ownership and interested parties.

- Define corrective Incident Actions and manage their subsequent execution as part of centralized Action Tracking

- Flexible role permissions control who can raise, read and manage Incidents

- Analysis charts and Incident Tracker

## Entity Actions

Where customers use the Entity level within Pentana Vision to maintain Entity Risk Registers, this mode has been extended in Pentana Vision 3.2 by enabling Actions to be defined and managed in respect of Entity Objectives, Risks and Controls.

Unlike at Audit level, where Actions must attach to Audit Findings, at Entity level the Actions can be attached directly to the relevant item.

Three distinct types of Action are thus defined in Pentana Vision 3.2:

- Client level →Incidents →Incident Actions
- Entity level →Entity Actions
- Audit level → Audit Findings → Audit Actions

All types of Action can be maintained centrally in the Action Tracker module and are subject to the normal Action Update lifecycles.

## Retain integration

The level of integration between Pentana Vision and Retain (staff planning) and Retain Time (actual time recording) has been extended in Vision 3.2. Under Vision 3.0 and prior, the integration was limited to auto-adding Audits as Tasks and Staff as Resources in Retain. Extensions to this feature under Vision 3.2 include:

- Budget, Planned and Actual Times are now captured by Person within an Audit, with the details stored against the 'Audit Assignment' records
  - Budget Time is entered in Pentana Vision
  - Planned Time is calculated from Retain (if present)
  - Actual Time is calculated from Retain Time (if present)
  - Totals are automatically rolled up and reportable by and across Audits
- When people are assigned to an Audit in Vision this automatically creates 'ghost' bookings in Retain:
  - Booking start dates and lengths are determined from the planned start date of the Audit and budget time of each assignment respectively
  - Retain planners can convert the 'ghost' bookings into 'real' bookings at their discretion
- Booking entries (in Retain) and actual times (in Retain Time) automatically update the corresponding Audit Assignment details held within Vision
  - Planned Time and Actual Time values are updated
  - A new Audit Assignment is auto-created in Vision if the person was previously unassigned (see also 'Assignments' below).
- When an Audit is deleted from Pentana Vision it is now 'soft' deleted in Retain
  - This is in order to preserve the historical information
  - Retain Security Manager can be adapted to set up suitable rules over such records
- Vision user (Identity) information can be synchronized to Retain, thereby reducing setup effort.

These integration features can be enabled after upgrade to 3.2 by some simple customizations. Customers that are already using Pentana Vision with Retain and/or Retain Time should please contact Ideagen or your local partner for guidance on how to enable these features.

## Assignments

When assigning Staff and Contacts to an Entity, it is now possible to assign the person to specific *Processes* within that Entity. This can be used in conjunction with related security features, for example if you want to limit a user to only the data relating to certain Processes within an Entity.

The Staff and Contacts screens now include the ability to quickly assign each person to multiple Clients, Entities and Audits. You can also remove existing assignments for a person in bulk. This makes is easier to handle updates when a person leaves the organization, for example.

Budget, Plan and Actual times can now be captured in respect of individual Staff (and Contact) assignments within an Audit.  If using Pentana Vision with Retain and/or Retain Time then the Plan and Actual times can be automatically updated as described earlier.

The Assignments records also include a new 'Active' flag.  This is added for security purposes and in order to preserve historical data.  Specifically:

- Where a new Audit Assignment is auto-created through Retain or Retain Time entries, it will initially be flagged as 'Inactive' in order to prevent people being granted access simply through the existence of bookings or actual time entries;

- Marking an Assignment as 'Inactive' will remove access permissions (for those users who are limited to assigned Audits/Entities only) while preserving any Budget/Plan/Actual data.

## Licensing enforcement

Licensing enforcement has been implemented in Pentana Vision 3.2.

When customers upgrade to 3.2 a licence file will be installed as part of the upgrade.  The number of active user identities is automatically compared against the customer's license entitlement and suitable warnings are displayed should the licence limit be exceeded.

The main licensing model remains a 'named user' basis; however, customers can also purchase Occasional User licenses on a 'concurrent user' basis.  Additional options include Perpetual versus Rental licensing and time-based Evaluation licences.

A new 'Login Activity' screen is also available within the Admin spine.  This option allows administrators to monitor usage, to help manage activity within the customer's license entitlement.

## Other enhancements

Other enhancements in Pentana Vision 3.2 include:

- Spine items – new navigation settings allow users to set their preferred layout and positioning of the Spine items, in order to improve clarity and save screen space.

- Universe – a new 'Client Universe' screen has been added; this enables users to quickly view and set Owners and Fixed Frequencies (see 'Planning features' above) across multiple Entity/Processes.

- Universe Matrix – the row headers are now handled as a 'freeze panes' on screens such as Audit Coverage, Risk Exposure, etc., for greater ease of navigation when scrolling across a large matrix.

- Universe Matrix – when saving Views, if the matrix had been drilled into lower levels, the 'drill into' state is now saved as part of the View.

- File Attachments – when jumping to a file attachment via a hyperlink or cross-reference, the file is now automatically launched, rather than just jumping to the file attachment record.

- Analysis – a new 'Control Coverage' screen has been added; this allows analysis of Entity level Controls across the universe in a comparable way to the (Entity) Risk Exposure screen.

- Analysis – ability to collapse the Chart section entirely in order to save space; sometimes users just want to see the data grid and not the chart.

- Findings & Actions – Org Unit and Process navigators have been added to the Findings & Actions screens, to provide quicker navigation and selection.

- Unassigned Audits – it is now possible to define a role that will be applied to users on those Audits to which they are NOT specifically assigned.

- Audit Trails – the Audit Trail log now indicates modified fields with a light red background, to make it easier to identify what data has been changed.

- Analytics – improvements have been made to our optional module through which customers can integrate the results from tools such as ACL or Arbutus with audit execution in Pentana Vision.

- Audit Sign-off – an inconsistency re which fields become read-only at Audit Completion has been addressed. This now matches other parts of the system; 'Definition' fields become read-only while 'Execution' fields remain editable.

- Review Points – the Review Points raised within an Audit can now be automatically purged when an Audit is 'Approved' based on a new flag against Review Point Category.

- Entity Risks, Controls & Tests – a new 'Entity Processes' display mode is available. This allows users to more easily capture details such as the Owner, Business Owner and required Audit Frequency against each Entity/Process combination.

- Emails – Within the body of email notifications (available as a straightforward customization service) it is now possible to include hyperlinks that will launch the user directly into the relevant item within Vision, such as an Audit, Questionnaire or Action.

- Terminology – A 'Find' filter has been introduced in Elements mode of the Terminology screen, to help find common terms more easily.

- External applications – when launching an external application it is now possible to pass context information such as the current record Id into that external program as a command line parameter. This is an enabler for more powerful custom integrations.

- System Information – technical information can be displayed by clicking on the software version label at the bottom left of the screen; a dialog shows licensing information and provides technical details that can be useful when investigating support issues.

- Unexpected Errors – the UXE error screen has been simplified in order to make it less disconcerting to end-users.  Customers are nevertheless still encouraged to send details of such errors to the Ideagen Support team, to help with fault diagnosis.

## Next Steps

For more information about Pentana Vision 3.2, please contact Ideagen or your local partner.