What’s New in Pentana Audit v5.4

VERSION 5.4 – Q2 2019
# Table of Contents

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<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>2</td>
</tr>
<tr>
<td>Major New Features</td>
<td>3</td>
</tr>
<tr>
<td>Windows User Interface (WPF UI)</td>
<td>3</td>
</tr>
<tr>
<td>Linked Controls</td>
<td>3</td>
</tr>
<tr>
<td>Local Matrix Configuration</td>
<td>4</td>
</tr>
<tr>
<td>Check Out &amp; Check In</td>
<td>4</td>
</tr>
<tr>
<td>Retain Integration</td>
<td>4</td>
</tr>
<tr>
<td>Dashboards</td>
<td>5</td>
</tr>
<tr>
<td>Time Sheets</td>
<td>6</td>
</tr>
<tr>
<td>Web User Interface (Web UI)</td>
<td>7</td>
</tr>
<tr>
<td>Linked Controls</td>
<td>7</td>
</tr>
<tr>
<td>Local Matrix Configuration</td>
<td>7</td>
</tr>
<tr>
<td>Export to Excel</td>
<td>7</td>
</tr>
<tr>
<td>Guidance</td>
<td>8</td>
</tr>
<tr>
<td>URL</td>
<td>8</td>
</tr>
<tr>
<td>Progress Bar</td>
<td>8</td>
</tr>
<tr>
<td>My Profile</td>
<td>8</td>
</tr>
<tr>
<td>System Settings</td>
<td>8</td>
</tr>
<tr>
<td>Technical</td>
<td>9</td>
</tr>
<tr>
<td>Security</td>
<td>9</td>
</tr>
<tr>
<td>LDAP</td>
<td>9</td>
</tr>
<tr>
<td>Click Once</td>
<td>9</td>
</tr>
<tr>
<td>Refresh</td>
<td>9</td>
</tr>
<tr>
<td>Minor Enhancements</td>
<td>10</td>
</tr>
</tbody>
</table>
Introduction

Ideagen Pentana Audit v5.4 is an enhancement release, available from April 2019. It is supplied as a free upgrade to existing supported customers and as standard to new customers.

This document contains functional and technical information and is intended for Ideagen staff, partners, and customers to help them prepare for an upgrade to Pentana Audit v5.4. It outlines the enhancements made since Pentana Audit v5.3. 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 Audit v5.4 are described below. For a complete list of all enhancements please consult the Release Notes document.
Major New Features

Windows User Interface (WPF UI)

Linked Controls

Controls can now be linked to more than one Risk within the Library, Entity, and Audit, within a single Process. This feature is enabled/disabled via a System Setting (the default setting is “Disabled” for upgrades to v5.4). The original Controls are shown in yellow, and the linked Controls are shown in Orange. When viewing from a Risk perspective, all original and linked Controls can be shown as children of the Risk. When viewing from a Control perspective, the original and linked Risks are shown using a hover-text field.

With this new functionality, there is one record of the Control. If a Control is edited or assessed then the change is reflected throughout the linkage, without requiring a refresh. This also means that the Control Matrix only displays the Control one time, even if the Control is linked to more than one Risk. For Analysis at the Control perspective, this means that the Control is listed once. However, for Analysis at the Risk or Objective perspectives it could be listed more than once depending on how many Risks it was linked to. The same logic applies to child Tests and Findings.

It is worth noting that deleting a linked Control will also delete the original Control. Linked Controls should be removed using the “Link to Controls” command. The same logic applies for “Out of Scope.”

Linked Controls remain intact when using the various “Get From” and “Refresh” paths.

Tests remain a child of only one Control. However, if the parent Control is linked to multiple Risks/Objectives, then the Test itself is essentially linked to multiple Risks/Objectives as well. This logic also applies to Findings.

Please note that Sampling a Test is now disallowed if it is related to more than one Objective via Linked Controls. This is because sampling occurs within one Objective and the Linked Controls functionality allows a Linked Test to have more than one Objective potentially.
Local Matrix Configuration

It is now possible to have different Risk and Control matrix sizes and configurations for different levels of the Organisation Structure. This feature is enabled and disabled via a System Setting. The default setting is “Disabled” for upgrades to v5.4.

“Local Matrices” are set up as child matrices. The child matrix is mapped to the parent matrix to allow appropriate group roll-up for reporting purposes. Charting and Analysis can also occur at either the Local or Group levels.

Org Units and Entities can be set to a local matrix through the Organisation Structure, and when a Risk or Control is assessed the appropriate matrix is used. The “Get” and “Update” functionality for Risks and Controls Assessments is only available for matrices of matching configurations.

Check Out & Check In

The “Check Out” dialog box has been redesigned and now includes several new quick filters for quick, convenient access such as My Open Items and Completed Items. Additionally, all records that do not match the quick filters can be checked out as read only by selecting a single tick box.

The “Check In” dialog box has also been redesigned and now includes the quick filters. For consistency, the “Undo Check Out” dialog box has been redesigned.

The new Linked Controls functionality is available for Check Out and Check In. When an Objective that includes a Linked Control is checked out, the Objective that it is linked to will also be checked out as read-only.

Retain Integration

Changes have been made to allow audit planning to occur within Retain, with the changes pushed to Pentana Audit through the Robot:
When a person is assigned to an Audit in Retain, a robot job pushes the person to Pentana Audit and assigns them to the Audit. There is now a system setting in place that sets the person being added as either “Inactive” or “Active” by default.

A system setting has been added to allow the Budget Time for a person to equal the sum of all bookings made for that person within Retain, including ghost bookings. When Budget Time is changed in Pentana Audit, it will also reflect in Retain. The Planned Time remains the same in that it represents total amount of time for confirmed bookings within Retain.

When a booking is deleted in Retain, the person is changed to “Inactive” within Pentana Audit and both the Budget Time and Planned Time are set to zero.

A system setting has also been added that allows the Planned Start Date within Milestones in Pentana Audit to change if the confirmed booking in Retain changes. The Planned Start Date will reflect the earliest booking date, if it differs by person.

Additionally, the synchronization of “Audit” in Pentana Audit and “JOB” in Retain, and “Person” in Pentana Audit and “RES” in Retain can now optionally be two-way, subject to Pentana Audit Business Rules.

**Dashboards**

On the Home screen, Aggregation Grid tiles can now be configured, allowing the user to create tiles of their own design, similar to Chart tiles.
Users attempting to “Reset” a Dashboard will be reminded that doing so will revert to the default dashboards.

**Time Sheets**

Users can now export Time Sheet data to Excel from within the Time Sheets screen.

Improvements have also been made for entering Time Sheet data.

- When adding an Audit to a Time Sheet, there is now a Filter Bar to help the user find the Audit they are looking for.

- There is now the option to “Copy Previous” which will copy the Audits and Tasks from the prior Time Sheet and add them to the current Time Sheet.

The Time Sheet Period Navigator now includes a toggle to Show/Hide Closed Time Sheet Periods.
Web User Interface (Web UI)

Linked Controls

The display of parent information is now hierarchical to allow for Linked Controls, similar to how it is displayed in Pentana Audit.

The Web UI displays Controls that have been linked within Pentana Audit, as well as allowing the user to link Controls directly within the Web UI. Users viewing Controls in the Web UI can navigate to the original or any linked Risks for that Control. The same color scheme as Pentana Audit—yellow for original Controls and orange for linked Controls—is used.

Just like Pentana Audit there is one record for the Control. If a Control is edited or assessed, then the change is reflected throughout the linkage. This means that the Control Matrix only displays the Control once, even if the Control is linked to more than one Risk.

Local Matrix Configuration

Risk and Control Assessments in the Web UI utilize the local matrix set in Pentana Audit.

Export to Excel

Any Data Grid in the Web UI can now be Exported to Excel including the current columns, filters, sorts settings, etc. This allows for better reporting and output of Web UI data.
Guidance

Guidance for each field input within Pentana Audit is now displayed on the Web Property Grid.

URL

URLs can now be set to take a user directly to a dashboard within the Web UI.

Progress Bar

The progress Bar has been improved for Web UI.

My Profile

A “My Profile” screen has been added to the Web UI, similar to “My Details” screen in Pentana Audit. This screen shows login information, email address, manager, department information, and assigned roles for the user.

System Settings

There is now a System Setting for controlling the page size for Web Data Grids. The previous maximum was 20 rows of data per page.

Another System Setting has been added to allow an administrator to control additional white-listed characters in the Web UI.
Technical

Security
FBA passwords can be configured to prevent users from recycling their password within a given time period, and to expire after a given time.

Password reset links will now only remain valid for a configurable amount of time. Additionally, the Password Reset Confirmation page now navigates the user back to the Web UI, if present.

Application of a language pack can now be done via a power shell rather than only through app manager.

LDAP
If the database has been set up such that users can be added from LDAP, and the robot job is set up to sync between Pentana Audit and LDAP, then the robot job can now add Staff and Contacts matching certain criteria, in addition to updating and deleting.

LDAP Identity Mappings can now be edited via the App Manager.

Click Once
The size of the Click Once package has been reduced to make deployment faster.

Refresh
Screens showing only locally-cached data now refresh from the server on demand. This allows changes made by other users to be visible more quickly.
Minor Enhancements

The following is a selection of other minor enhancements in Pentana Audit v5.4:

Audit/Process Sign Off - A System Setting has been added to make the Audit/Process Sign Off automatic on Audit Completion, if Processes are not used in an Audit.

Audit Completion – Cancelling the “Upload to Entity” dialog at the end of an Audit now results in the Audit remaining Open, rather than marking it as Completed when the “Upload to Entity” did not occur.

Org Structure Navigator – The Org Structure Navigator in all Audit-level screens now only shows the part of the Universe that is relevant to the Audit.

Assign Person – When Assigning a Person to an Audit, there is now a Filter Bar which will help the user find the Person they wish to add.

Actions Navigation – If an Action is selected through a cross-reference, the navigation takes the user to the Actions screen for “Not Tracked” Actions, or the Action Updates screen for “Tracked” Actions.

Review of Actions – Actions can now be Reviewed on any screen including Action Tracker and Analysis.

Entity Business Reviewer – There is a new field on the Entity Process, Objective, Risk, Control, and Test called a “Business Reviewer.” This field is hidden within Properties Panels by default. This information can also be displayed in a home screen dashboard in the Web UI.

Cross Reference Navigation – If any item is selected through a cross-reference, the navigation takes the user to the target screen as always. However, if the cross-referenced item is not visible on the target screen due to Filters, then the Filters are removed to ensure visibility.

Login Activity Screen - Logout of the Web UI is now recorded in the Login Activity screen.

Display of Parent Information – On the Property Grid, the Parent Information has been removed and replaced with a “Context Information” window that can be accessed by hovering over the relevant icon.

Change Navigation Pane Headers – The Terminology screen now allows users to rename the Navigation Pane Headers such as Universe, Library, Admin.

Rich Text Editor – The Rich Text Editor remains open if the user clicks “Save” during an edit rather than automatically closing upon Save.

Attachments in Rich Text Fields – There is a new button called “Attachment Link” which allows the user to easily link an Attachment when editing a Rich Text Field.

Floatable Tabs – User Interface tabs in the Pentana Audit screen can now be “floated” and moved away from the main application window, letting users see more than one page of information at once.

Navigation in Web UI – The “Back” Navigation has been improved in the Web UI from various screens to return the user to the prior screen rather than default or entry screens.

Make Assessment in Web UI – The “Make Assessment” button has been moved and made more prominent on the “Assess Register” page.