Pentana Audit

What's New in Pentana Audit v6.0

VERSION 6.0 – MAY 2020

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Introduction

Ideagen Pentana Audit v6.0 is an enhancement release, available from May 2020. It is supplied as an 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 v6.0. It outlines the enhancements made since Pentana Audit v5.4. 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 v6.0 are described below. For a complete list of all enhancements, please consult the Release Notes document.

Major New Features

Windows User Interface (WPF UI)

Sarbanes-Oxley Control Certification

Controls and Processes can now be certified within Pentana Audit to meet SOX requirements. This functionality is enabled by default but will only apply to Audit Types and Controls with the Certification flag enabled.
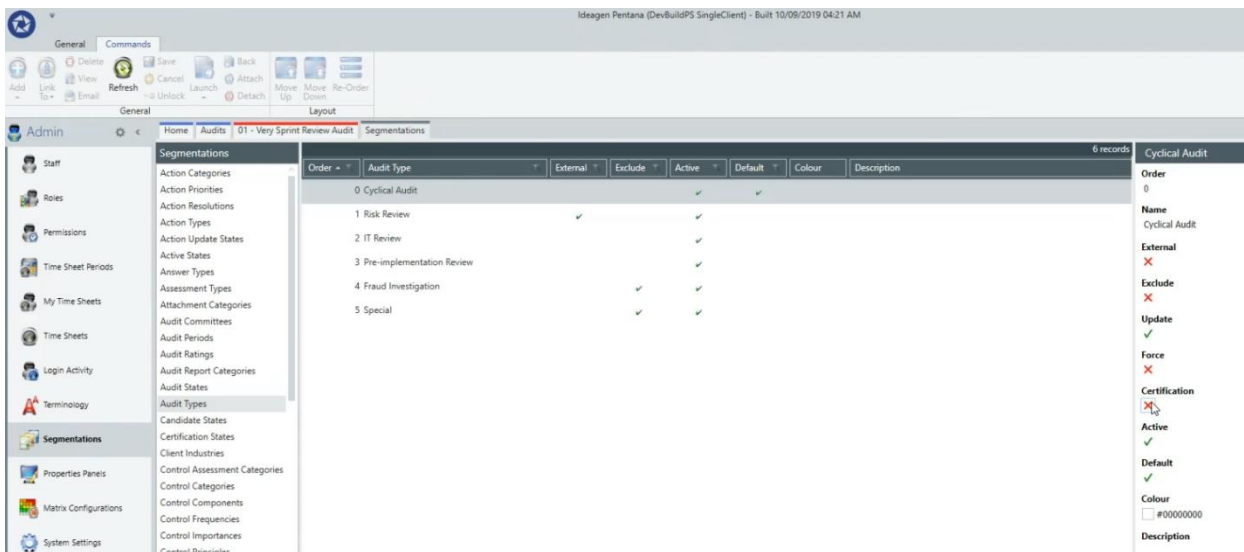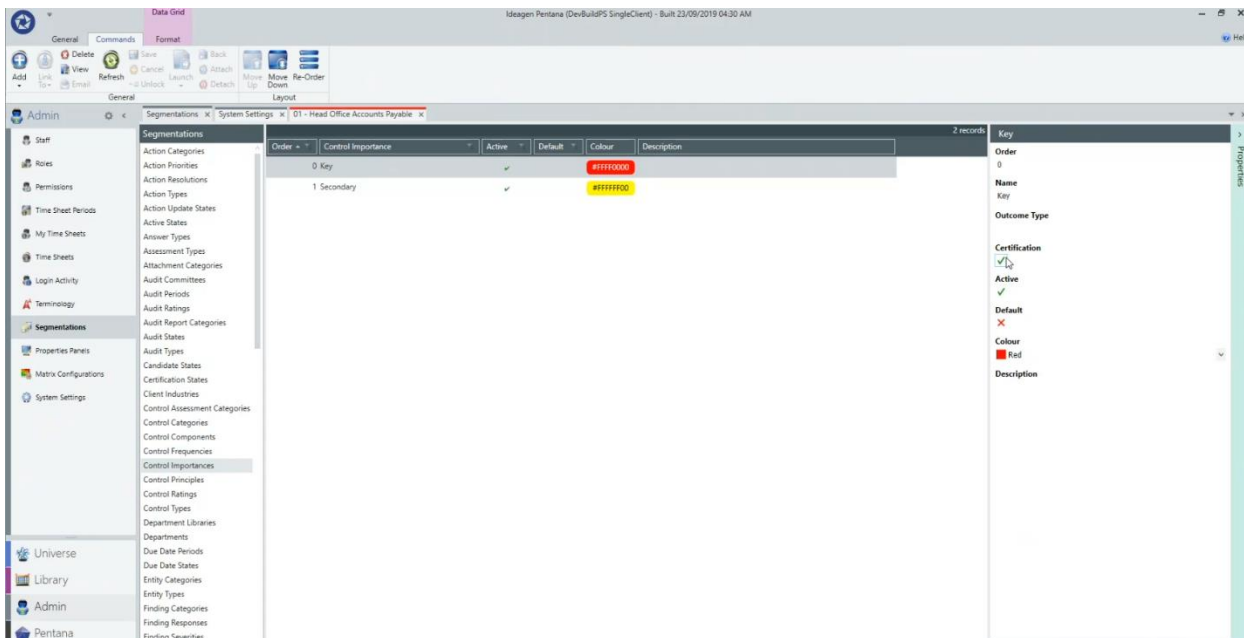
Once enabled and certification has occurred, then the information will be displayed within the Properties Box. The certification will also be pushed up to the Entity level when an Audit is completed.

Email notifications can be set up to alert users that they need to complete a certification. These email notifications occur via milestones. If a milestone is set up with the Control and/or Process Certification flag enabled, then when the actual date of that milestone is recorded within the Audit, the email notification is sent.

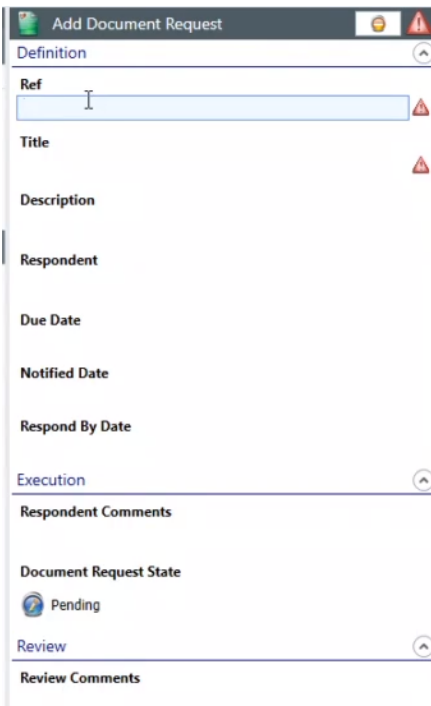| Order ▲	Milestone	Active	Audit Type Names	Guidance	Mapping
0	Start Audit	✔		This should be the first milestone, and is mapped to StartMilestone. Because it is mapped, it appears in the Audit Details and has variance (and target variance) fields.	StartMilestone
1	Controls ready for Certification	✔	Risk Review SOX Audit (10-K) SOX Certification (10-Q)	Triggers the Certification email(s) to Control Business Owner(s) when the Actual Date is set. (email robot job is off by default)	
2	Processes ready for Certification	✔	Risk Review SOX Audit (10-K) SOX Certification (10-Q)	Triggers the Certification email(s) to Audit Process Business Owners when the Actual Date is set. (email robot job is off by default)	
3	Issue Report	✔		This is the report milestone, and is mapped to ReportMilestone. Because it is mapped, it appears in the Audit Details and has variance and target variance fields (KPI - key performance indicator - the target variance is calculated from the offset).	ReportMilestone
4	End Audit	✔		This is the end milestone, and is mapped to EndMilestone. Because it is mapped, it appears in the Audit Details and has variance and target variance fields (KPI - key performance indicator - target variance is calculated from the offset).	EndMilestone

Sarbanes-Oxley PBC (Prepared/Provided by Client) Requests

A Document Request can be made directly to a Step/Test in an Audit or a Test in an Entity. The Business Owner will be notified via email notification and can Add the Attachment(s) to the Request to satisfy it. The Auditor can then act upon it. No additional configuration is required to enable this functionality.
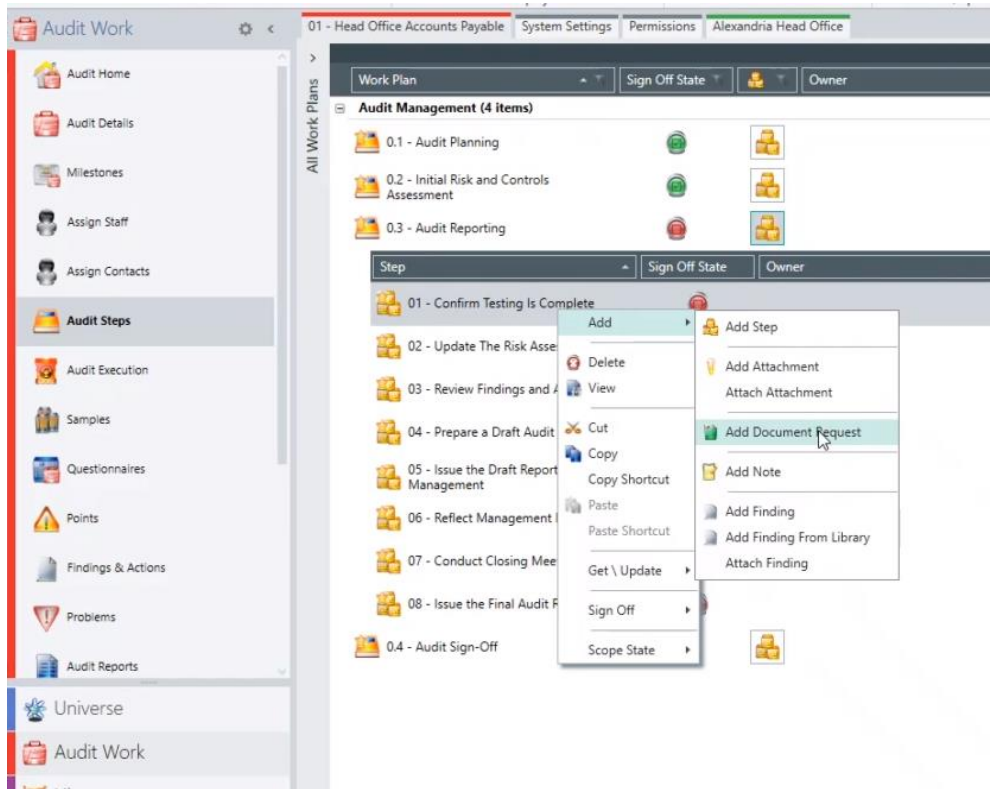
Document Requests have their own spine item within the Audit to enable the user to easily see Requests that are Pending, Submitted Accepted, or Rejected. All Document Requests need to be Accepted before the parent Step/Test can be Approved.

Document Request Templates can also be added to the Library to be used again. These are then brought into the Audit using the "Get From Library" feature.

Analysis is also available for Document Requests.

Sarbanes-Oxley Accounts and Assertions

Users are now able to include Accounts and Assertions to show coverage. Accounts can be set for Processes, Risks, and Controls. Assertions can be set for Risks and Controls

Financial Accounts (such as US GAAP Chart of Accounts) are set up in the Library (under their own Navigation spine item) and can be arranged into groups. Clients in a multi-client environment share one set of Accounts.
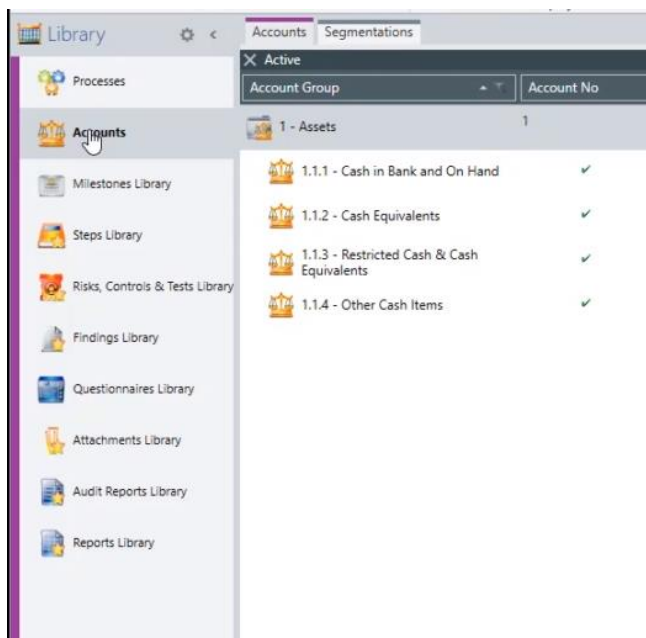
Financial Assertions are set up in Admin - Segmentations.
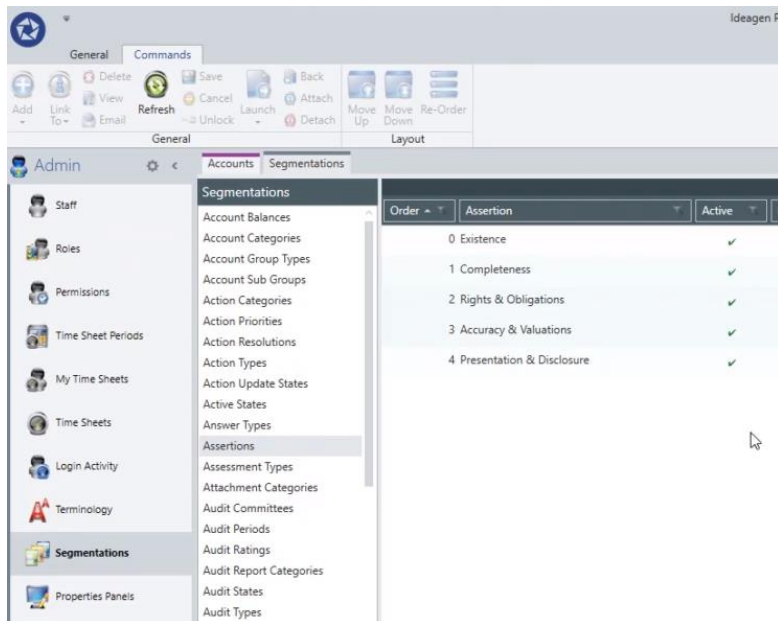
Accounts and Assertions have also been added to the relevant Analysis, Risk Exposure, and Control Coverage screens for further data analysis and reporting. Two new tracker screens have also been created – Entity Risk Tracker and Entity Control Tracker – to show counts for Entity information, including counts of Accounts/Assertions covered. There is no configuration needed to view these tracker screens.
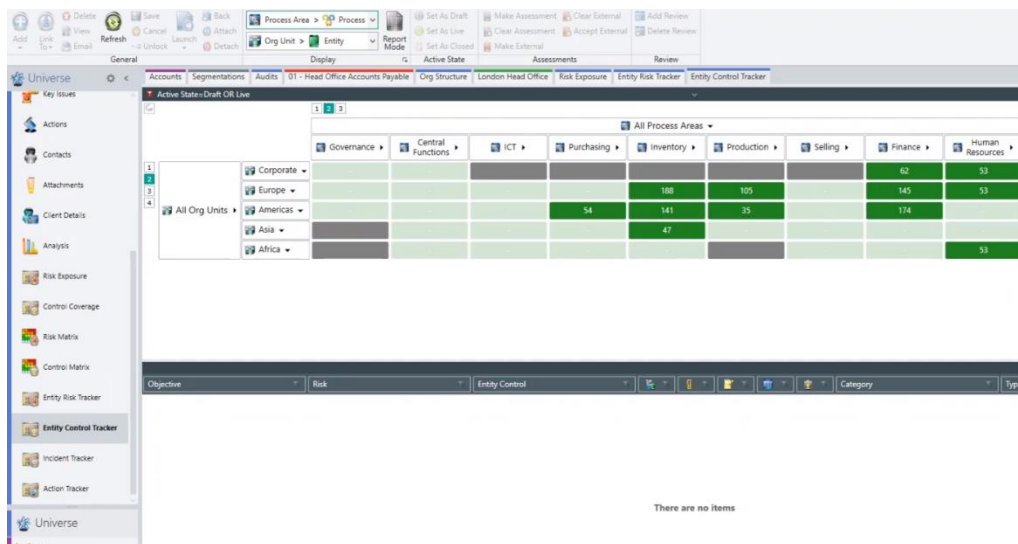
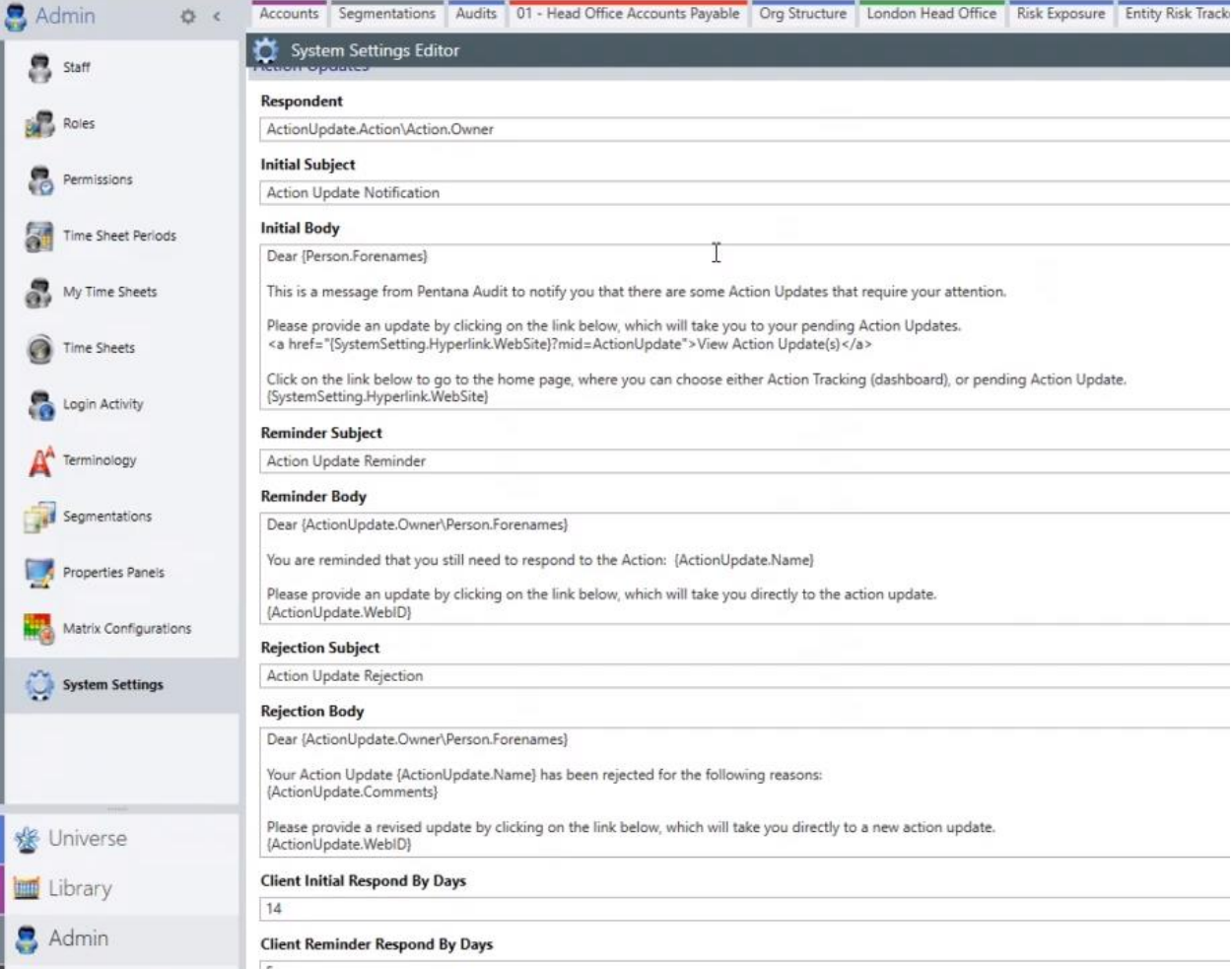# New Sarbanes-Oxley Work Plan and Audit Report Template

There is a new Sarbanes-Oxley work plan, available upon request.

Upon request, there is also a Management Certification Report (in addition to the Audit Report) in the Audit Reports Library. This is in the format expected for SOX reporting and works for both quarterly and annual SOX audits.

System Settings – Email Notifications

There have been new items added to Admin – System Settings. These allow users with appropriate permissions to make their own changes to Email Notification text without requiring Ideagen to make those changes for them. This will allow much flexibility for the customer, as all subject and textual changes previously had to be made through Ideagen prior to v6.0 for Action emails, as well as the new Certification email process.

Reporting API

Pentana Audit provides customers limited access to their data via a REST-ful API (Application Programming Interface). You can think of this as a means of reading data from the application without using either its Web or Desktop user interfaces. Instead the API serves as the interface. The API does not provide direct database access, and it does not let you write data. The same rules of ownership and permission apply. You will only be able to access the same data you would via the Web or Desktop interfaces.

Provision of an API enables Pentana Audit customers to use their data in third party systems such as a BI (business intelligence) reporting tool. Access to the API is provided as is. Customers will need to provide their own connector software to be able to successfully connect Pentana Audit to any third-party system.

While you are unable to submit new data or make changes to things such as System Settings via the API, you are able to read data from almost every data or business object on the system, including any custom fields or objects that might have been added.

Some objects, such as Users, are restricted in what data you can return to ensure compliance with privacy data standards. You can control what User data is returned via the API in the Desktop application. For more information consult the V6 User Manual.

The API is available to any Pentana Audit user. There is an additional charge for API functionality.

Web User Interface (Web UI)

New Home Tiles

Prior to v6.0, there were four home tiles available within the Web UI:

1. Action Tracking
2. Entity Risk Management
3. Incident Reporting
4. Questionnaires

These four tiles were made up of tasks targeted towards Contacts (ie, Business Owners), allowing the Contacts to perform necessary work without requiring access to and licenses for the WPF UI.

Now, with v6.0, we are introducing Audit-focused tasks into the Web UI to allow a web-based User Experience for our Staff as well as Contacts. This means that an additional seven home tiles are now available within the Web UI. Some of the below are Staff-focused and some are Contacts-focused:

1. Action Management
2. Audit
3. Document Requests
4. Document Request Management
5. Incident Management
6. SOX Certifications
7. SOX Certification Management
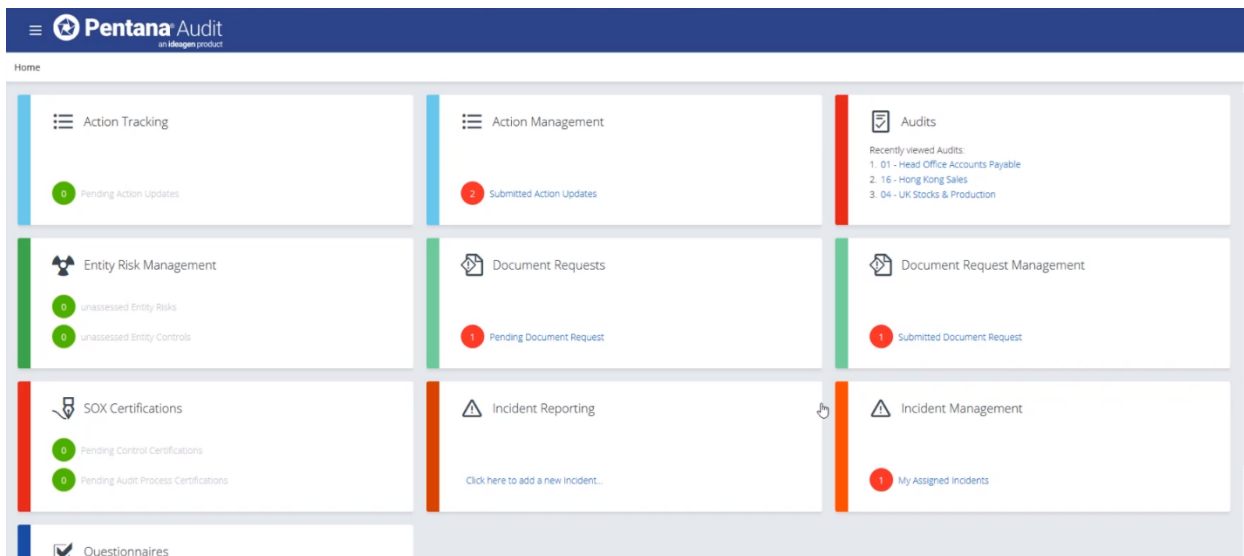
The intention is not that all Staff and Contacts will see all eleven tiles. In order to determine which tiles are available to Staff/Contacts, the following permissions are used as set up in the WPF UI under Admin – Permissions. Staff tend to be General Viewers and Contacts are Business Viewers (newly created to allow this distinction).

Admin

- Staff
- Roles
- **Permissions**
- Time Sheet Periods
- My Time Sheets
- Time Sheets
- Login Activity
- Terminology
- Segmentations
- Properties Panels
- Matrix Configurations
- System Settings

- Universe
- Library
- Admin

Home | Roles | Permissions

Permissions Editor

Find: web

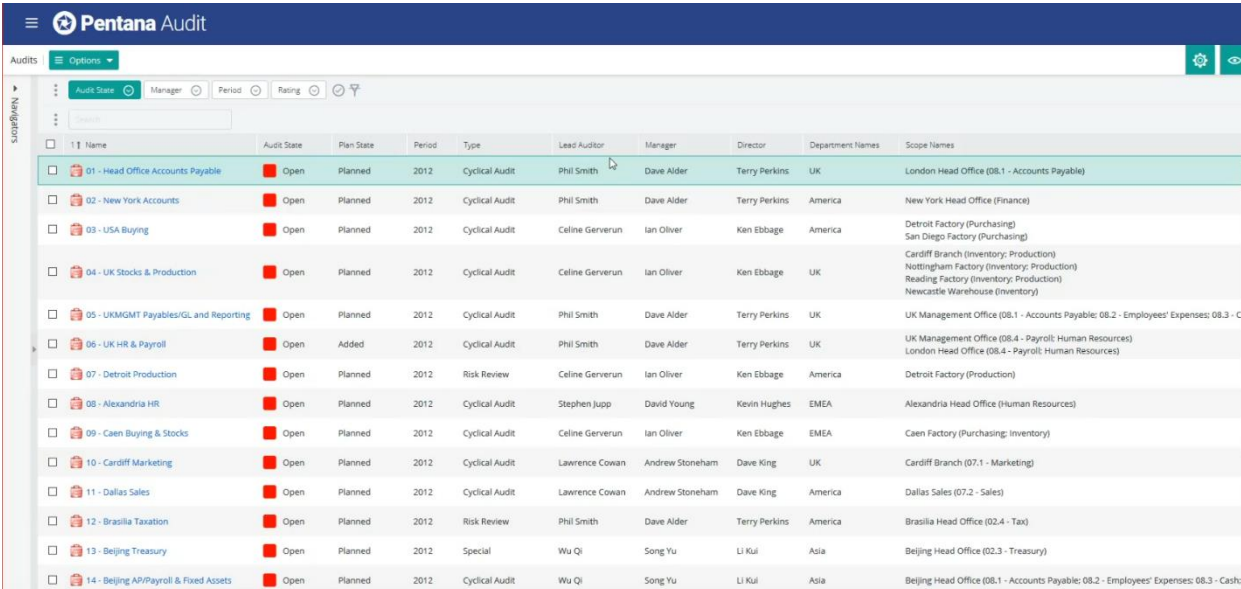| Permission	System Administrator	User Administrator	Client Administrator	Library Administrator	Library Viewer	General Viewer	Business Viewer
Launch Web Action Tracking	Grant	Grant	Grant	Grant	Grant	Deny	Grant
Launch Web Action Management	Grant	Grant	Grant	Grant	Grant	Grant	Deny
Launch Web Audit	Grant	Grant	Grant	Grant	Grant	Grant	Deny
Launch Web Entity Risk Management	Grant	Grant	Grant	Grant	Grant	Deny	Deny
Launch Web Document Requests	Grant	Grant	Grant	Grant	Grant	Deny	Grant
Launch Web Document Request Management	Grant	Grant	Grant	Grant	Grant	Grant	Deny
Launch Web SOX Certifications	Grant	Grant	Grant	Grant	Grant	Deny	Deny
Launch Web SOX Certification Management	Grant	Grant	Grant	Grant	Grant	Deny	Deny
Launch Web Incident Reporting	Grant	Grant	Grant	Grant	Grant	Deny	Deny
Launch Web Incident Management	Grant	Grant	Grant	Grant	Grant	Deny	Deny
Launch Web Questionnaires	Grant	Grant	Grant	Grant	Grant	Deny	Deny

Each of these tiles has a dashboard which the user can set up according to their preferences for layout and/or additional information to be included.

Action Management in Web UI

This tile is targeted to the Audit team for viewing and managing Actions, per permissions that they have been granted. This allows the Audit team to easily see the status of Actions and whether the Business Owner has addressed Actions or whether the Audit team needs to Accept or Reject Actions that the Business Owner has Submitted.

Audit in Web UI

Upon entering the Audit tile, the user will be able to view and perform Audit work, per their allowed permissions. This includes assessing risks and controls, making Document Requests (new for v6.0), adding Attachments, signing off Work Plans/Steps, and Objectives, Risks, Controls, and Tests, adding and addressing Review Points, creating an Audit Report, etc.


Audits can be filtered by Org Structure or Process Area within the Navigation Pane. Filters and Search boxes can also be added to the data grid itself and utilized for data selection. Columns can be added and re-ordered within the data grid according to the user's preference, and views can be set up and saved for future use.

Data grids can be exported to Excel, like the WPF UI.

There is also the ability to "multi-select" within the Web UI if changes need to be made in bulk.
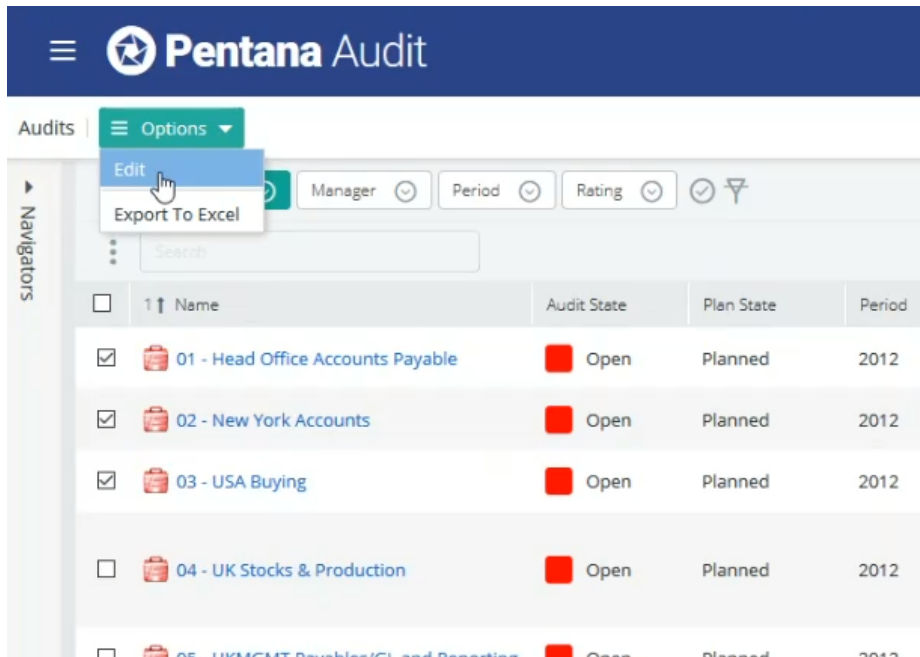
Upon entering the Audit, the user is presented with an Audit Home screen, which can be configured with additional information according to preference. From there, the user can navigate to objects within Audit Steps and Audit Execution.
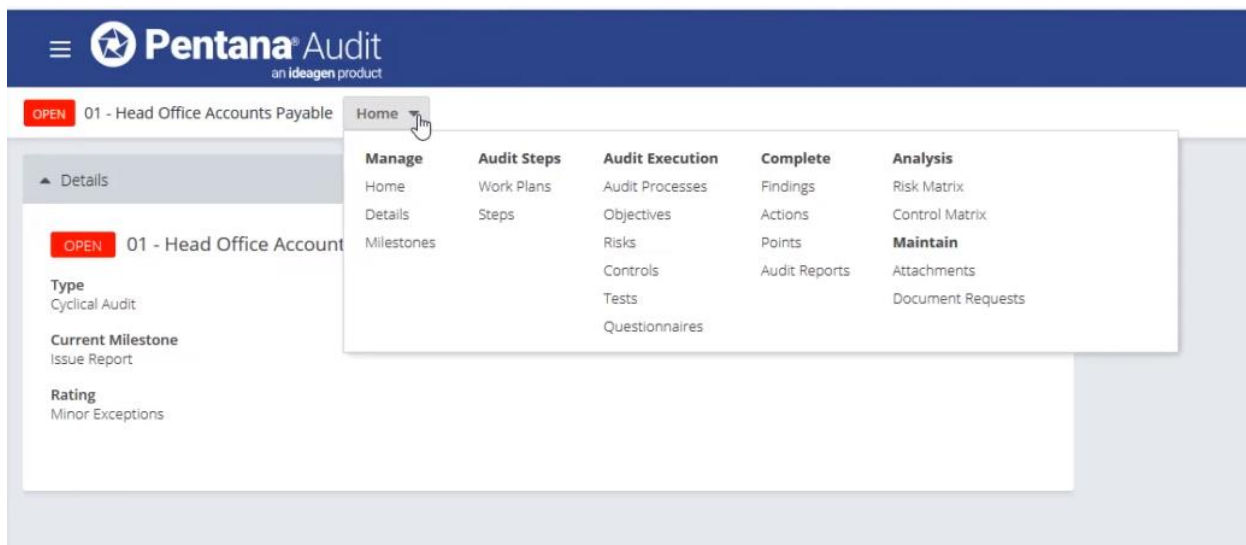
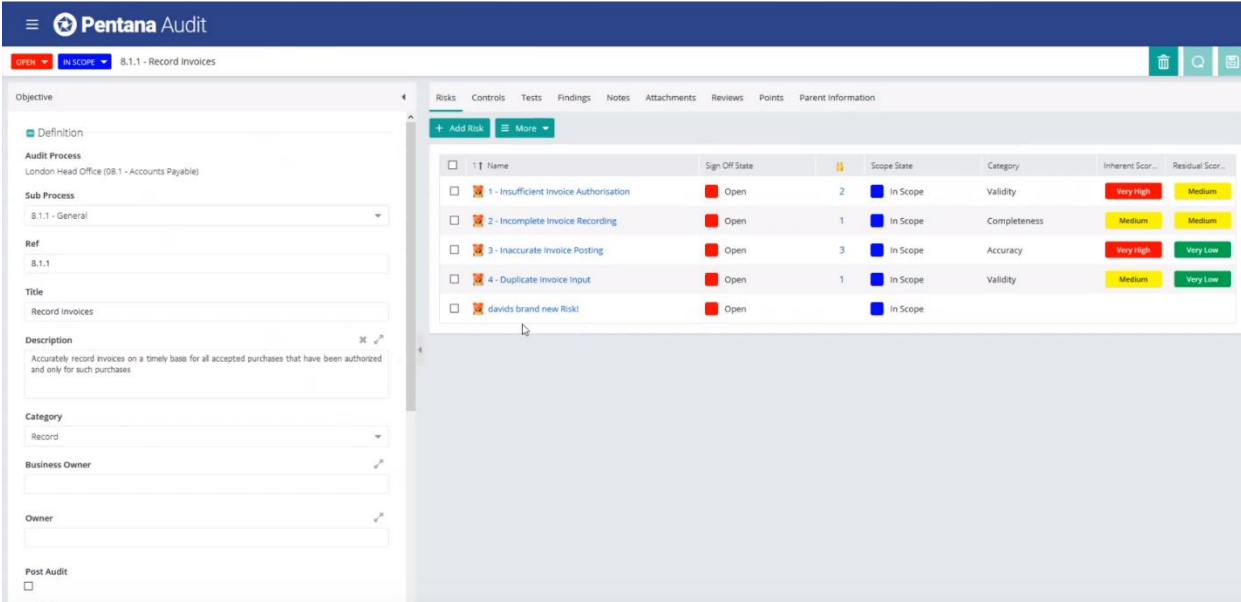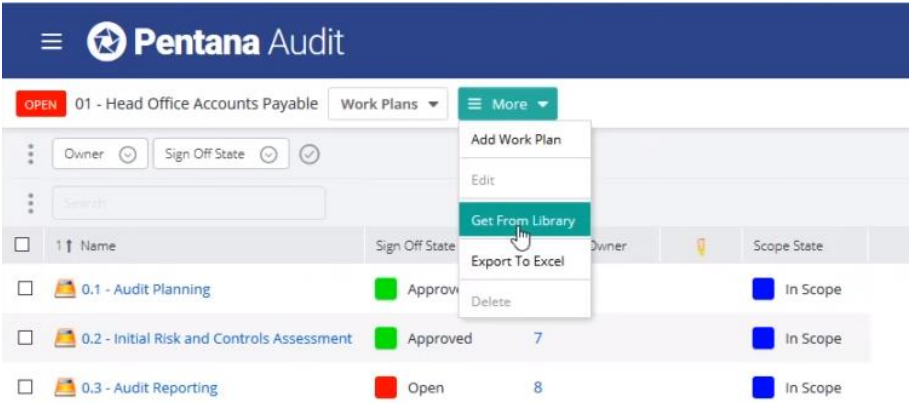Some objects can also be added through the Web UI within Audit Steps and Audit Execution, subject to permissions. Each object also has its own notebook, which allows for additional information to be displayed and acted upon.

In addition, Work Plans/Steps and Processes, Objectives, Risks, and Tests can also be brought in from the Library or Entity within the Web UI.
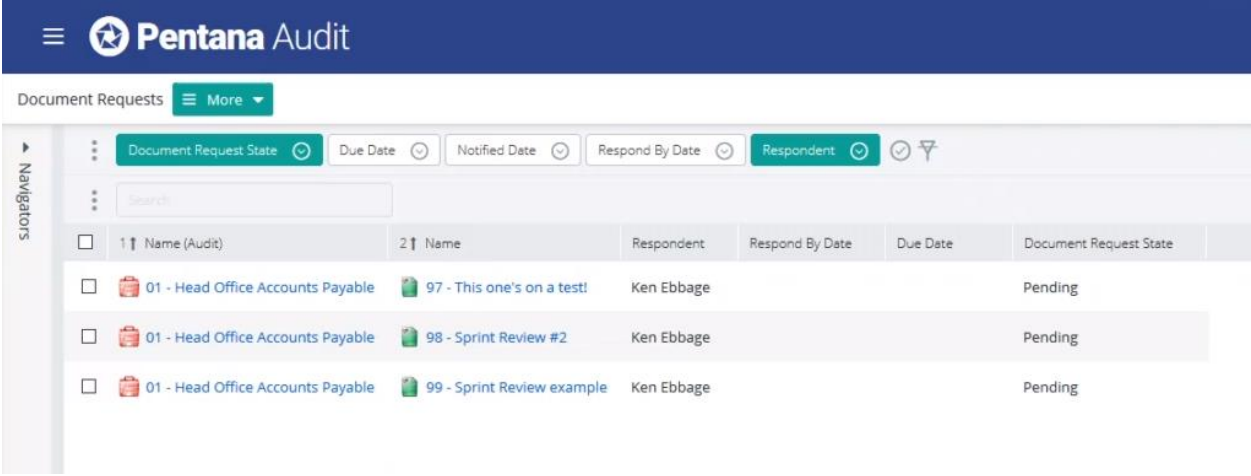
Document Requests in Web UI

This tile is targeted to Business Owners who need to provide documentation per Document Requests they have received from the Audit team. The home tile will display their number of Pending Document Requests, which can be drilled into and then attach the relevant documentation requested.

The Business Owner can also see Document Requests that they have previously submitted.

Document Request Management in Web UI

This tile is targeted to the Audit team for managing the Document Requests received from the Business Owners. The Document Requests can then be Accepted or Rejected.

Incident Management in Web UI

This tile is targeted to the Audit team for viewing and managing Incidents assigned to them.

SOX Certifications in Web UI

This tile is targeted to Business Owners who need to certify their assigned SOX Controls/Processes. The home tile will display their number of Pending SOX Certifications, which can be drilled into and then Certified as requested.

The Business Owner can also see SOX Certifications that they have previously made.

## SOX Certification Management in Web UI

This tile is targeted to the Audit team for managing the SOX Certifications requested from the Business Owners.

Technical

End User License Agreement (EULA)

A EULA is now made available to the user upon first login to either the WPF UI or Web UI for v6.0. Upon accepting the EULA in either the WPF UI or Web UI, the user will not be asked again within either UI.
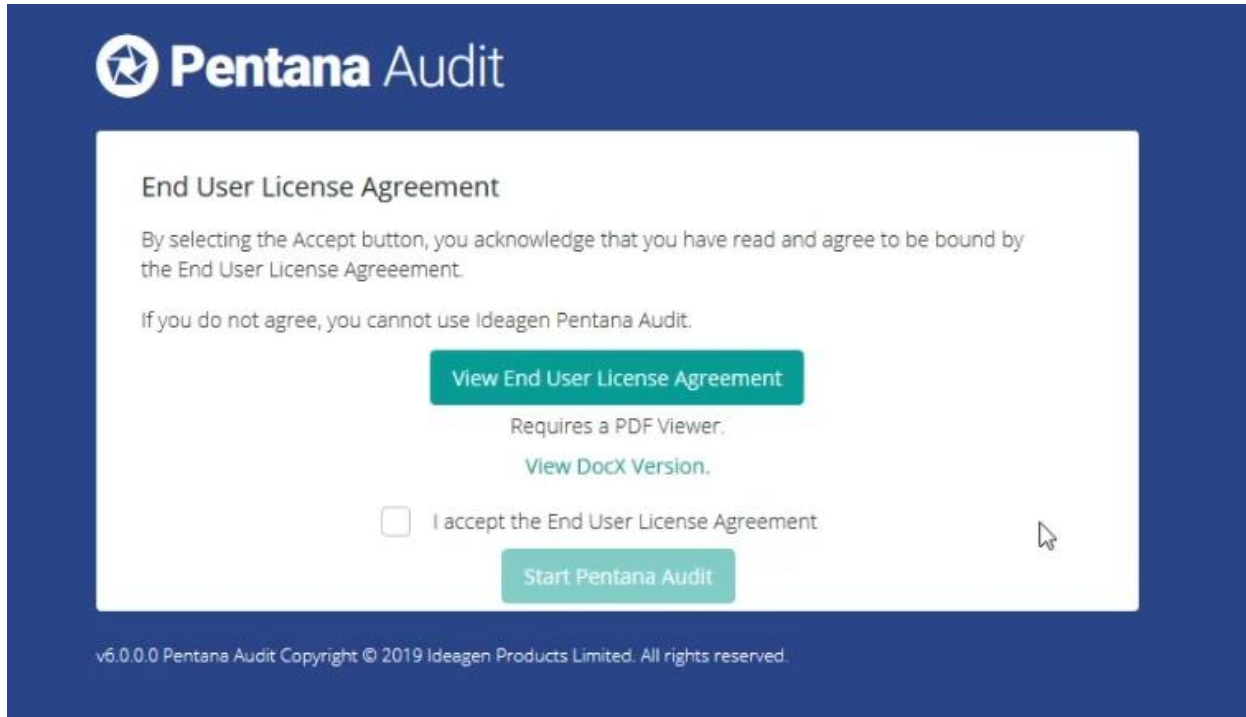
Minor Enhancements

The following is a selection of other minor enhancements in Pentana Audit v6.0:

Remember Me – The "Remember Me" option has been removed from the Web UI login for security purposes.

Refresh Process – A "Refresh Process" button has been added to the ribbon bar within the Entity to allow an easy way to quickly refresh process(es), especially if Library information has changed, prior to downloading to the Audit level.

Views & Tiles – There are now 115 views and 79 tiles (home screens). In addition, the Views Report Template in the Reports Library has been enhanced to show all columns. These are available upon request.

Terminology - There is guidance (hover text) on more fields, especially where it is difficult to remember the difference – for example Score and Value in a Result, Dates in Actions and Action Updates.