



# Pentana Audit

## Release Notes

Version 6.0.1 – February 2021



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# Headline Changes

| Key          | Type        | Description  | Version |
|--------------|-------------|--|---------|
| VIS_WEB-1070 | Improvement | Audits can now be managed in the Web UI, including access to the Audit Execution features such as Risk assessments, Work Plans and Steps, Findings and Actions, Reporting.   | 6.0     |
| VIS-10604    | Improvement | The subject and body texts of email notifications can now be configured using System Settings, making them much more accessible.   | 6.0     |
| VIS-10517    | Improvement | Accounts and Assertions can be now be maintained in Pentana Audit to help fulfill requirements under SOX.  | 6.0     |
| VIS-10585    | Improvement | A new Business Viewer role has been added to address the problem of non-business user usage of the Web UI. Business Viewer is a default Role for new Contacts while "General Viewer" remains a default for Staff.                  | 6.0     |
| VIS-10349    | Improvement | Document Requests are a new kind of object to assist in building the "provided by client" list as a part of SOX. Document Requests can be attached to Tests and Steps within an Audit and addressed to a user who must fulfill it. | 6.0     |
| VIS_API-33   | Improvement | A REST-ful API is now available for reporting use cases. The API is available to any registered Pentana Audit user but can only be used to read data.  | 6.0     |

# Security Changes

| Key          | Type | Description  | Version |
|--------------|------|--|---------|
| VIS_WEB-1255 | Bug  | Added explicit X-Frame_Options to custom headers in web.config to prevent click-jacking in WebUI and FBA sites   | 6.0     |
| VIS-10913    | Bug  | Fix an issue where It was possible for the WPF UI to ignore the setting for expired passwords when using FBA. Provided improved feedback in the login box for locked accounts and expired passwords. | 6.0     |
| VIS-10461    | Bug  | Password reset tokens now expire properly after a configurable amount of time has elapsed  | 6.0     |

# Major Changes

| Key          | Type        | Description   | Version |
|--------------|-------------|---|---------|
| VIS-10839    | Bug         | Risks would lose child Controls under certain conditions when being resynced after Offline Working.                     | 6.0     |
| VIS-10047    | Bug         | Answering a Question did not correctly refresh the Progress Bar, Menus or visibility of later Questions based on logic. | 6.0     |
| VIS-10277    | Bug         | Resolved a number of specific exceptions triggered by an installation of dotnet 4.8+                                    | 6.0     |
| VIS_WEB-1131 | Improvement | Audits in the Web UI show summary information on their landing pages.   | 6.0     |
| VIS_WEB-1558 | Improvement | The Questionnaires associated with an Audit can now be viewed in the Web UI.  | 6.0     |
| VIS_WEB-1537 | Improvement | All the Actions across an Audit can be viewed in one place in the Web UI.   | 6.0     |
| VIS_WEB-1336 | Improvement | Processes within an Audit can now be edited and maintained in the Web UI.   | 6.0     |
| VIS_WEB-1338 | Improvement | Objectives within an Audit can now be edited and maintained in the Web UI.  | 6.0     |
| VIS_WEB-1335 | Improvement | Reviews of objects such as Findings, Risks, Controls, etc., can now be managed in the Web UI.                           | 6.0     |
| VIS_WEB-1451 | Improvement | Accounts and Assertions on Processes, Risks, and Controls in an Audit can now be managed in the Web UI.                 | 6.0     |
| VIS_WEB-1468 | Improvement | Processes, Objectives, Risks, Controls, and Tests can all be deleted from their corresponding data-grids in the Web UI. | 6.0     |
| VIS_WEB-1479 | Improvement | The Reports associated with an Audit can now be managed in the Web UI, including population of a new instance.          | 6.0     |
| VIS_WEB-1425 | Improvement | The Linked Controls feature where Controls can be linked to more than one Risk is available in the Web UI.              | 6.0     |
| VIS_WEB-1360 | Improvement | Risks within an Audit can now be edited and maintained in the Web UI.   | 6.0     |
| VIS_WEB-1361 | Improvement | Controls within an Audit can now be edited and maintained in the Web UI.  | 6.0     |

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| VIS_WEB-1362 | Improvement | Tests within an Audit can now be edited and maintained in the Web UI.  | 6.0 |
| VIS_WEB-1357 | Improvement | SOX Certifications can now be managed in the Web UI.   | 6.0 |
| VIS_WEB-1414 | Improvement | A new Dashboard widget which summarises Document Requests has been added to the Web UI.  | 6.0 |
| VIS_WEB-1415 | Improvement | Document Requests on Steps and Tests can now be managed in the Web UI.   | 6.0 |
| VIS_WEB-1214 | Improvement | The Findings attached to an Audit can now be managed in the Web UI.  | 6.0 |
| VIS_WEB-1184 | Improvement | Work Plans and Steps within an Audit can now be managed in the Web UI.   | 6.0 |
| VIS_WEB-1218 | Improvement | Points on objects such as Findings, Risks, Controls, etc., can now be managed using the Web UI.  | 6.0 |
| VIS_WEB-1198 | Improvement | Objectives, Risks, Controls, and Tests can now be brought into an Audit from the Library using the Web UI.   | 6.0 |
| VIS_WEB-1114 | Improvement | Objectives, Risks, Controls, and Tests can now be brought into an Audit from an Entity using the Web UI.   | 6.0 |
| VIS_WEB-1210 | Improvement | Staff and Contacts can now be assigned and unassigned using the Web UI.  | 6.0 |
| VIS_WEB-1246 | Improvement | Attachments on objects such as Findings, Audits, Risks, etc., can now be managed in the Web UI.  | 6.0 |
| VIS_WEB-1116 | Improvement | An Audit's Milestones can now be viewed and managed in the Web UI.   | 6.0 |
| VIS_WEB-1267 | Improvement | Work Plans and Steps can now be brought into an Audit from the Library using the Web UI.   | 6.0 |
| VIS-10520    | Improvement | Processes, Risks and Controls at Audit and Entity level can now be linked to Accounts to help fulfill requirements under SOX.  | 6.0 |
| VIS-10521    | Improvement | A Refresh Process button has been added to refresh the definition information of an Entity Process should its Library information have changed.                        | 6.0 |
| VIS-10522    | Improvement | New screens for tracking Entity Risks and Entity Controls have been added to allow the analysis of the Accounts and Assertions as part of fulfilling SOX requirements. | 6.0 |
| VIS-10586    | Improvement | New permissions have been added to control access to Web UI modules.   | 6.0 |

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| VIS-10325  | Improvement | Audits of certain types can be flagged for assessments. Audits where this flag is true require that Risks and Controls are assessed before they are completed.   | 6.0 |
| VIS-10326  | Improvement | Milestones can be used to trigger email notifications that SOX Certifications are ready to be performed and submitted.   | 6.0 |
| VIS-10328  | Improvement | Details of SOX Certifications are copied into the corresponding Entity objects when an Audit is signed off.  | 6.0 |
| VIS-10333  | Improvement | SOX Certifications use email to notify relevant parties using the standard Pentana Audit practices.  | 6.0 |
| VIS-10321  | Improvement | New permissions have been added to restrict and control SOX Certifications of Processes and Controls.  | 6.0 |
| VIS-10323  | Improvement | Audits of certain types can be flagged for SOX Certifications. Audits where this flag is true require that Processes and Controls are certified before they are completed.                                   | 6.0 |
| VIS-10347  | Improvement | New Permissions have been added to restrict and control the use of Document Requests in an Audit.  | 6.0 |
| VIS-10353  | Improvement | Document Requests notify relevant parties over email using the standard Pentana Audit email practices.   | 6.0 |
| VIS_API-91 | Improvement | Personally Identifiable Information is withheld from API requests. Only a Person's system id and name can be retrieved by default. A System Setting allows this to be changed to include more Person fields. | 6.0 |
| VIS_API-35 | Improvement | An asterisk (*) can be used in when calling the /query/ endpoint of the API to return all the available fields of the selected perspective.  | 6.0 |
| VIS_API-38 | Improvement | API requests can be made via POST should a query be too long to be used safely in the URL of a GET request.  | 6.0 |
| VIS_API-39 | Improvement | The user() pseudo-function can be used to refer to the authenticated user when querying the API.   | 6.0 |
| VIS_API-37 | Improvement | The API returns pagination information for any multi-page response in the X-Pagination HTTP header.  | 6.0 |
| VIS_API-49 | Improvement | JSON Web Tokens can be used as a means of API authentication. JWT tokens must be used with all API requests.   | 6.0 |

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| VIS_API-58 | Improvement | The API implements throttling to prevent overuse and to protect the server resources. Contact Pentana Support to learn more. | 6.0 |
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# Minor Changes

| Key          | Type | Description   | Version |
|--------------|------|---|---------|
| VIS-11163    | Bug  | Document Requests can now only be deleted by the appropriate users.   | 6.0.1.0 |
| VIS-11127    | Bug  | Changing the reference of attachments no longer causes the application to lock up.  | 6.0.1.0 |
| VIS-11121    | Bug  | Audits containing samples can now be completed properly in all cases  | 6.0.1.0 |
| VIS_WEB-1675 | Bug  | Charts now tolerant to blank values in fields such as Finding Severity or Category.   | 6.0.1.0 |
| VIS_WEB-1688 | Bug  | Attachments can now be uploaded when Cyrillic alphabet has been used to name files  | 6.0.1.0 |
| VIS_APP-383  | Bug  | Fixed: If you have a custom segmentation called Source and link it to Incident, Key Issue, Audit or Problem, it can cause the upgrade to 5.4 to fail. | 6.0.1.0 |
| VIS_WEB-1268 | Bug  | The "Delete" button for an Action was not being enabled/disabled correctly for some parent types (e.g. Actions for Incidents, etc.)                   | 6.0     |
| VIS-10641    | Bug  | An error occurred when opening a Time Sheet if it contained more than one value for the same line/day.  | 6.0     |
| VIS-10642    | Bug  | Data grid selection is now retained after saving a record in an adjacent property pane.   | 6.0     |
| VIS-10643    | Bug  | The "default" Answers to the Detail Sections of a Questionnaire were not copied into the Audit when the Tailoring Section was set to Completed.       | 6.0     |
| VIS-10633    | Bug  | An error occurred when double-clicking a custom Chart Tile on the Home Dashboard in a Multi-Client implementation.                                    | 6.0     |
| VIS-10649    | Bug  | Review State for newly added records (e.g. Actions) was defaulting to empty rather than the expected value of "Not Reviewed".                         | 6.0     |
| VIS-10658    | Bug  | Analysis screens handle large volumes of data more gracefully   | 6.0     |
| VIS-10690    | Bug  | The user interface now refreshes correctly after rejecting an Action Update.  | 6.0     |
| VIS-10704    | Bug  | Retired entities no longer cause issues when setting the scope of an Audit.   | 6.0     |

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| VIS-10817 | Bug | Items with Open Points against them would not be checked out correctly if the "Entire Audit" option was chosen for Offline Working.  | 6.0 |
| VIS-10424 | Bug | If Definition Sign Off was enabled for Actions, the Implementation Date field was not being set to "today" when the Action is Completed.   | 6.0 |
| VIS-10436 | Bug | An error occurred when removing filters from the Data Tree on the Org Structure and (Library) Processes screens.   | 6.0 |
| VIS-10503 | Bug | In Multi-Client Mode the cross-Client Analysis screen did not include data for Audits with no Scope when the user chose a specific Client from the list. This affected various Audit-level perspectives including Work Plan, Step, Point and Questionnaires. | 6.0 |
| VIS-10526 | Bug | An error could occur when auto-populating Objectives into an Audit whose Scope covered more than one Entity and where the Processes differ across those Entities.  | 6.0 |
| VIS-10561 | Bug | The Audit/Process attribute of an Objective was editable when it should have been read-only, e.g. if the Objective was Confirmed, Approved or Locked.  | 6.0 |
| VIS-10457 | Bug | An error could occur when quickly clicking between spine items for screens which include a Hierarchy Matrix.   | 6.0 |
| VIS-10545 | Bug | Filtering on Person field (e.g. Audit Director) using a text search did not work correctly and never returned any records even if there were matches.  | 6.0 |
| VIS-10332 | Bug | The Permission Guidance text did not appear (in English) as hover text (or on the Permissions Report) if the user had different language selected.   | 6.0 |
| VIS-10390 | Bug | A business rule error was incorrectly being shown when selecting "Include Action Updates = All" on the Get Findings (from another Audit) dialog.   | 6.0 |
| VIS-9871  | Bug | Adding a new Action Update (or Risk/Control Assessment) caused the previous record (if any) to incorrectly appear "modified".  | 6.0 |
| VIS-8815  | Bug | Export to Excel for Questionnaires now includes answers of all types (text, number, selection, etc.)   | 6.0 |
| VIS-10035 | Bug | The Action Tracker incorrectly displayed only the Entity-level Actions when the user chose to analyse by an Entity attribute (e.g. Entity Category).   | 6.0 |
| VIS-10036 | Bug | The Analysis screen (when in Actions Display Mode) incorrectly displayed only the Entity-level Actions when the user chose to chart by an Entity attribute (e.g. Entity Category).   | 6.0 |

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| VIS-9990  | Bug         | Fixed an issue in the Retain update where deleted records did not show as such until the Retain UI had its cache cleared  | 6.0 |
| VIS-10265 | Bug         | When a Tick Many field (e.g. Audit.Departments) was hidden from users via the Properties Panels screen the corresponding "buddy" field (e.g. Audit.DepartmentNames) was not being removed from the Data Grid Column Picker (in either UI).  | 6.0 |
| VIS-10060 | Bug         | The concurrent licence limit (for Occasional Users) was not being enforced at all times.  | 6.0 |
| VIS-10064 | Bug         | An error occurred when removing columns (via the Column Picker) on the Roles and Matrix Configurations screens.   | 6.0 |
| VIS-10251 | Bug         | Data Grids/Charts displayed only the Entity-level Actions when the user chose to filter by an Entity attribute (e.g. Entity Category).  | 6.0 |
| VIS-10285 | Bug         | All Action Updates were being included even iff the user selected to include only the "Open" Action Updates when doing a Get of Findings (and Actions) from one Audit to another. This has been fixed so that it now only includes Pending and Submitted Action Updates in that case. | 6.0 |
| VIS-10287 | Bug         | An error occurred when moving an Entity Objective to a different Entity/Process.  | 6.0 |
| VIS-10033 | Improvement | An Entity attribute (e.g. Entity Category) can now be used as a filter on a grid of many types of objects including Entity and Audit-level ORCTs.   | 6.0 |
| VIS-10034 | Improvement | An Entity attribute (e.g. Entity Category) can now be used as a dimension on the Risk Exposure/Control Coverage screen.   | 6.0 |