



Ideagen Internal Audit

(formerly known as PentanaMK)

Service Definition Document

G-Cloud 15

Lot 2b Software as a Service (SaaS)

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Company Overview

Ideagen brings clarity and confidence to those businesses that put resilience at the heart of their operations.

Trusted by over 18,000 organisations worldwide – including over 1000 government agencies, more than 2000 hospitals and healthcare settings, as well as education, blue light services, life science and not-for-profit – our AI enabled solutions are proven to keep people, products and processes safe, increase efficiencies and streamline operations.

By unifying decades of deep regulatory expertise and innovation with affordable, best-in-class software we provide trusted, meaningful intelligence to support regulated and high-compliance industries with their audit, risk, health and safety, quality and compliance needs.

We are committed to continually improving the quality of our solutions, the environmental impact of our operations, and the security of the information that we safeguard. This commitment is demonstrated by our company certifications to ISO 9001, ISO 14001, ISO 27001 and ISO 45001. Ideagen also follows the guidance provided by ISO 26000.

Service Overview

Overview of the Service

Used by over 50 local councils and several national audit offices, Ideagen gives internal audit teams a more strategic and risk-aligned approach to internal audit, as well as the operational tools they need to work efficiently on a day-to-day basis.

Internal Audit departments in government and public sector have a responsibility to promote transparency, value for money and accountability. Ideagen Internal Audit helps them achieve that in all aspects of planning, workflow and reporting:

- Comply with all legislative requirements, including financial and ESG.
- Work to a consistent methodology that's easy to maintain.
- Create a culture of accountability, knowledge transfer and collaboration.
- Provide timely assurance, supported by live and trustworthy data.
- Provide external audits and inspectors with reports quickly and easily.

Ideagen Internal Audit provides a centralised system where all internal audit work can be planned, executed and reported

The software helps to ensure that audit work aligns to the frameworks and methodologies you're required to comply with, including the global internal audit standards.

Features and Benefits

Feature Area	Features and Benefits
Planning and scheduling	➤ Risk-assess the audit universe with a set of defined and weighted criteria. ➤ Gain total flexibility of provision. ➤ Easily identify any resourcing issues.
Project management	➤ Capture objectives, scope and more in the workflow. ➤ Easily manage multiple, overlapping and parallel audits. ➤ Capture and manage budgets aligned to audits. ➤ Manage actions and incidents with tools for follow-up, deadlines, closure and more
Audit universe	➤ Manage auditable entities and organisational structure centrally. ➤ Configure universe to your specifications. ➤ Map processes to entities.

Workpaper management	➤ Go paperless with your working papers in a single system of record. ➤ Display all goals, tests, criteria, samples, findings and evidence. ➤ Use standard and custom templates that automatically synchronise with users.
Risk & control management	➤ Create an unlimited number of risk registers. ➤ Document, monitor and update controls. ➤ Update and maintain a library of objectives, risks, controls and tests.
Dashboards	➤ Display scores and trends for risks and controls online. ➤ Allow control owners to monitor and manage their obligations. ➤ Automatically email any changes to relevant persons.
Reporting	➤ Create comprehensive, real time-reports for senior management. ➤ Save previously designed reports for future uses. ➤ Communicate high-impact data via graphs or charts. ➤

Outcomes and Deliverables

Organisations that use Ideagen Internal Audit can expect to achieve a range of desired outcomes:

- Ensure maximum efficiency by monitoring the Team's progress across workpapers, projects and workpapers.

- Find all the documents you need in one location, avoiding issues with duplication and inaccessibility.
- Work to a consistent methodology for each audit type that's easy to maintain.
- Spend less time managing systems and chasing follow-up actions.
- Create a culture of accountability, knowledge transfer and collaboration.
- Provide timely assurance, supported by live and trustworthy data.
- Consolidate data from across departments and services without manual work.
- Provide external audits and inspectors with reports quickly and easily.
- Help to promote transparency, value for money and accountability.
- Comply with all legislative requirements, including financial and ESG.
- See issues at-a-glance with personalised dashboards and engaging visuals.

Technical Requirements

Ideagen Internal Audit uses thick client and web portal. The latest version of the system requires browsers that support HTML5.

The client operating system requires Windows 10 and above.

The Ideagen Hosted Solution does not require Windows or SQL Server.

Hosting Options and Locations

For UK users of the service, all data is stored in the Microsoft Azure Cloud in the UK South (London) region, however the solution is available from a range of international locations. UK West (Cardiff) is regional pair for DR and high availability. All data storage is geo redundant and will never leave the specified regions.

Data Back-Up and Restoration

Ideagen uses Azure Backup to protect the service infrastructure. Azure Backup is Microsoft's native cloud backup solution that provides automated, encrypted backup operations with both full VM and file-level recovery capabilities. Daily backup operations protect each Virtual Machine, scheduled according to the customer's deployment timezone. During each backup cycle, the system creates a VM snapshot and securely transfers the data to an encrypted storage vault.

To enable rapid restoration, snapshots are retained locally for 7 days, whilst the storage vault maintains a 30-day retention period. The full VM backup approach allows complete machine restoration following system failures, with additional file-level recovery capabilities available for restoring individual corrupted or deleted files.

The service maintains a documented Business Continuity and Disaster Recovery (BCDR) Plan, tested annually with all findings tracked through to corrective action. Testing scenarios cover critical situations including Availability Zone failures and Azure service disruptions that could impact service availability. Cross-functional business teams participate in testing exercises to ensure realistic validation of recovery procedures. Further details are available to buyers upon request.

Security

Information Assurance

Ideagen maintains a suite of Corporate Security Policies cover the management of security for both its internal operations as well as the services Ideagen provides to its Buyers, and applicable to all Ideagen Employees as well as any relevant Third Parties and Stakeholders. These policies, which are aligned with the ISO/IEC 27001:2022 standard to which Ideagen is externally Certified, govern all areas of security applicable to the services. All Policies are formally reviewed and

signed off by Management at least annually or on significant change, in line with our ISO 27001 Certification.

Additionally, Ideagen is certified under both Cyber Essentials and Cyber Essentials Plus. A comprehensive overview of Ideagen Policies, Standards, and Procedures, can be supplied upon request.

The information security of the business is currently overseen by our VP Global Cyber Security, who works closely with our IT Teams, our Product Managers and our Group DPO to ensure that all Technical and Organisational Measures are in place and maintained. Ideagen utilises the Microsoft Azure, M365 product suite and AWS cloud services and therefore has the benefit of the Microsoft and Amazon infrastructure and controls.

Privacy by Design

Ideagen has embedded privacy by design principles throughout its product and development lifecycle, prioritising the protection of User data throughout all processing activities. The service implements core privacy principles including data minimization, purpose limitation, and privacy by default, ensuring Users benefit from the highest privacy settings without additional configuration.

The service employs strong encryption and granular access controls to ensure Buyer Data remains secure. Privacy safeguards are integrated from initial design through to data deletion, with regular privacy reviews conducted as features evolve.

Ideagen has appointed a qualified and certified Data Protection Officer who oversees data protection compliance across the organisation and is registered with the Information Commissioner's Office in the UK.

Full details are available in [Data Protection Policy | Safeguarding your privacy](#)

Development Life Cycle

Ideagen delivers its software through Agile methodologies and has adopted the core principals of the Scrum framework, as defined in the Scrum Guide at [Scrum.org](https://www.scrum.org), to achieve this.

Ideagen Internal Audit developers follow OWASP guidelines and .NET security standard. There are Lead Developers who ensure that our development processes are followed, such as peer reviews, testing against the OWASP top 10, etc.

We do not currently undertake SAST for Ideagen Internal Audit, but we review code manually as part of the Software Development Lifecycle (SDLC) for all works undertaken.

As per the SDLC, the source code is subject to peer review on an ongoing basis. We do perform Security Penetration testing for each release, and action results accordingly.

Our Software Development Lifecycle (SDLC) document forms part of our ISO 27001 and ISO 9001 frameworks and is reviewed by our Risk & Audit Team and Document Owner at least annually or on event of a change.

Buyer Responsibilities

Working Together for Success

To ensure you get the most from our Services, we'll need you to designate a primary contact person before we begin. This person will be our go-to for important updates like maintenance notifications and service requests, and should have the authority to handle matters such as data releases, restorations, and configuration changes. Just share their name and email address with us, and we'll make sure they stay informed on everything that matters.

Your Role in Managing the Solution

To help you maintain control and get the best results from our Software and Services, you'll take care of:

- Managing user security and permissions within the Software
- Setting up and maintaining your user desktops and network access
- Implementing, testing, and configuring your database as your needs evolve
- Providing us with accurate information as outlined in our guidance
- Keeping us updated on any operational changes that might affect the Services
- Creating and configuring user accounts
- Meeting your obligations on time and in line with applicable laws

Access and Collaboration

To deliver great service, we may occasionally need access to your equipment, information, data, personnel, or systems. We'll always keep our requests reasonable and work around your schedule. If our Team visits your premises, we ask that you help us maintain a safe and secure working environment, we'll do the same if you visit us!

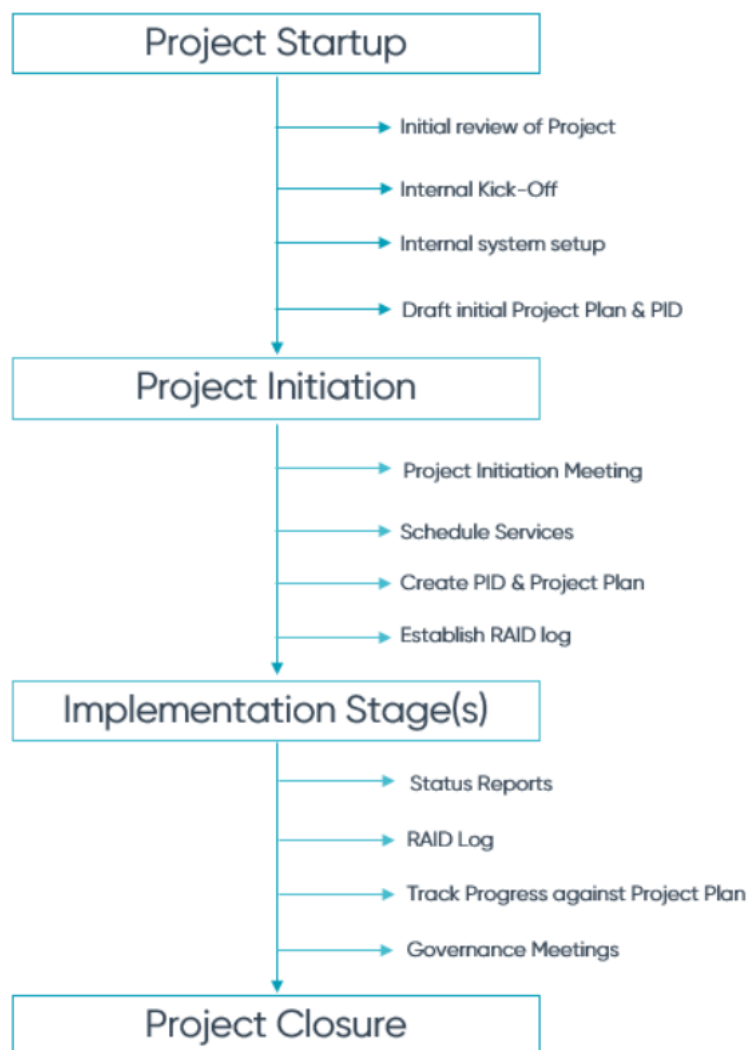
Onboarding and Offboarding

Project Management Services

At Ideagen, we work with some of the biggest names across key industries, supporting them to integrate their new software products into their business and acting as a mentor throughout the process. That's why we have a mature, well established Project Management Framework and Prince2 qualified Project Managers to help guide you through the stages of the software delivery process and ensure your requirements are realised.

Our Project Management Services can include an adapted Prince2 Methodology tailored to the most suitable delivery approach for each project. Including a thorough Project Initiation Stage, the provision of core documentation, progress and governance calls, stage boundary processes, extensive reporting and a risk management strategy with a managed RAID log.

There are 4 key stages to the Project Management Approach at Ideagen. They are shown in the chart below.



Training

Ideagen collaborates closely with Buyers throughout the Implementation Phase, providing a tailored end-to-end "Train the Trainer" approach. Our services include software deployment, user documentation, and e-learning resources. We emphasize the development of clear and measurable learning outcomes, offering consultation to achieve your objectives. Training is conducted by experienced Consultants to ensure effective software adoption aligned with defined learning outcomes.

Buyer Service Constraints

For the Ideagen Hosted Solution, hotfixes are deployed automatically across the platform. Only major releases require an approval process. When a hotfix is issued for the major version currently in use, all hosted customers receive the update simultaneously.

Outage and Maintenance Management

Ideagen is notified of vulnerabilities through our own internal testing along with independent external assessments and system patch monitoring. Each vulnerability is reviewed to determine if it is applicable to Ideagen's hosting environment and its potential impact. If a zero-day vulnerability is discovered, we will assess its impact to the system and if required patch at the earliest opportunity.

Minor releases typically run on a quarterly cadence, but major releases are quite sporadic. Major releases depend on the change; if the change impacts the technical architecture of the product, then we do a major release.

For the Ideagen Hosted Solution, hotfixes are deployed automatically across the platform. Only major releases require an approval process. When a hotfix is

issued for the major version currently in use, all hosted customers receive the update simultaneously.

Users are notified when upgrades are available. Customers need to roll out a new client during an upgrade. The client application is installed with an .msi installer, so installation may be automated with deployment tools such as SCCM.

Minor Client application updates can also be checked automatically by using the Update Service, which can be enabled at the point of installation for the Client. This allows for Client-side code updates to be pushed out as they become available.

All products are monitored using a managed SIEM/UEBA parsing. If any thresholds are met, alerts are presented via our ticketing system to our Cloud and Cyber Operations Team with automatic escalation procedures. Ideagen operate a formal Incident Management Policy and confidential processes that form part of our ISO 27001:2022 programme and as such is reviewed and externally audited at least annually. This area is further evidenced through the Ideagen ISO 27001:2022 Certificate and the Statement of Applicability.

Azure Backup runs daily each night for each Virtual Machine, the time the backups run depends on the time zone selected for the customer deployment. The job will first take a snapshot of the VM, then securely transfer the data to an encrypted storage vault. The snapshot is kept locally for 7 days to allow for rapid restoration if needed. The vault has a retention period of 30 days.

The back up is a full VM back up allowing us to quickly restore the entire machine should any issues occur, but it is also possible to utilize file recovery with the backups allowing us to restore individual files that may have become corrupt or deleted.

Service Levels

Ideagen is committed to delivering high-quality service. Sometimes, routine system maintenance, patching, and updates require occasional planned downtime. Our Cloud Operations Team continuously monitors the solution and allocates resources as needed. When performance issues arise, our Support Team reviews and performs the necessary remediation work.

For all Support service level information, please refer to: [Ideagen Audit • Alto Service Level Agreement \(SLA\) – Ideagen Internal Audit • Alto | Help | Ideagen Luminare](#)

The link above outlines priority classification, response times, and gives details of how to contact Ideagen Support.

Ideagen offer three levels of Customer Success Plans which can be purchased offering three levels of support; Premier, Standard and Essential, full information can be found at: [Plan comparisons – Ideagen Customer Excellence \(Standard\)](#)

After Sales Support

You will be assigned a designated Account Manager who will be the primary contact point for any questions post implementation. The Premier Success Plan also provides access to an in-region Buyer Success Manager as well as a dedicated phone number for directly contacting the Support Team.

The Account Manager / CSM will actively seek to contact you to establish monthly and quarterly reviews at a mutually convenient time to ensure that you are maintaining value from your solution, and happy with the service provided by Ideagen.

For all service level information, please refer to: [Ideagen Support Service Level Agreement \(SLA\) – Help | Ideagen Luminare](#)

Access to Data (upon exit)

We want to make sure you have everything you need when our Contract comes to an end. Please remember to download and save any of your data from the Software before the termination date, this is important because your data will be permanently deleted from our systems after that point.

Once the Contract ends, and unless otherwise agreed, we won't be able to maintain your data or other information you've submitted, and we'll proceed with deleting all copies from our systems (unless we're required by law to keep them).

If you'd like our assistance extracting your data from the Software, just let us know at least 30 days before your termination date, we'll do our best to help. Please note that any assistance we provide will be subject to our standard professional services rates to cover our time and costs.

Contact Details

Please email g-cloud@ideagen.com with a brief description of your requirements and include the following contact details:

- Name
- Role
- Contact e-mail
- Telephone number
- The solution you are interested in

Ideagen will pass your enquiry to the most appropriate Team Member who will contact you to contact you to gather any additional information.