



Ideagen Risk Management

(formerly known as Pentana Risk)

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

Since 2003 we have helped customers in Government and the Public Sector to identify challenges, mitigate risk and make the most of opportunities for improvement.

Ideagen Risk Management provides real-time visibility of, and control over, performance and risk across your organisation. It enables this by connecting data, documentation, KPIs and actions from across all units into on central workspace.

Government Risk and Performance Teams work with a wide range of complex data sets, from many sources. Ideagen Risk Management removes the manual work and cuts the time spent on managing data and systems. Instead, users have the flexibility to access and present the data they need at any time, so that stakeholders get a fast understanding of performance.

The flexibility of Ideagen Risk Management makes it easier to keep pace with your evolving body of actions and controls, so you can be confident in the accuracy of reporting.

The whole system is designed to help public sector bodies meet their legislative requirements and provide assurance in a way that promotes transparency, accountability and value-for-money.

Features and Benefits

Ideagen Risk Management is a SaaS risk and performance management software application. It delivers rich functionality through an integrated suite of modules:

- KPI Management (Key performance indicators)
- Risk Management
- Action Management
- Dashboards, Charts and Management Reporting
- Appraisal and Competence Management
- Audit Recommendations
- Document and Policy Management
- Incident Reporting, Feedback and Complaints Management

Feature area	Features and benefits
KPI Management	➤ Visualise performance against targets in real time. ➤ Traffic-lighted gauges quickly identify problem areas.

	➤ Track trends over time, performance against benchmarks and save time in reporting. ➤ Full audit trail tracks every change to data including who made changes and why. ➤ Extract data from business systems and spreadsheet to auto populate Ideagen Risk Management. ➤ Add commentary, supporting documents and analysis to KPIs.
Risk Management	➤ Identify and prioritise all enterprise-wide risks with customisable risk matrices. ➤ Risk register heat maps show live count of risks at each risk score. ➤ Quickly compare current risk status to original and target risk. ➤ Create mitigation actions, assign ownership and set deadline dates. ➤ Automatic email alerts of status changes, escalations and reminders of planned risk assessments.
Action Management	➤ Proactively manage actions against deadlines backed up by automatic reminders and escalation. ➤ Monitor original vs. current due dates and planned vs. actual start dates. ➤ Easily review progress across multiple projects through Gantt charts. ➤ Collapse actions into milestones to streamline the process of updating.

	➤ Add supporting documentation, commentary, expected outcomes and financial information.
Dashboards, Charts and Management Reporting	➤ High level reporting and executive dashboard displaying compliance and control objectives. ➤ Visualise high impact information that lets you make quick decisions. ➤ Analyse large and diverse datasets almost instantly. ➤ Prioritise recommendations and record management response. ➤ Workflow drives assessments and automates production of reports.
Appraisal and Competence Management	➤ Consolidate performance highlights, goals and development plans for every employee. ➤ Gain a clear view of individual contribution to the big picture. ➤ Customisable workflows, templates and notifications automate the appraisal process. ➤ Identify strengths and competency gaps within the workforce. ➤ Visual display of employee appraisal including overall score, weighted score and target performance.
Audit Recommendations	➤ Improve collaboration and transparency in progressing recommendations arising from risk and control reviews. ➤ Establish audits as the starting point for strategic organisational change projects.

Document and Policy Management	➤ Collaborative review of draft policies. ➤ Workflow driven approval, publishing and change control with email reminders. ➤ Set deadlines for total acceptance and monitor percentage sign-off of individuals and employee groups. ➤ Personalised policies hub consolidates all policies relevant to the individual. ➤ Improve visibility for management with dashboards and report builder.
Incident Reporting, Feedback and Complaints Management	➤ Profile complaints and incidents to easily investigate patterns and avoid recurrence. ➤ Workflows, templates and default actions ensure consistent approach to feedback and incidents. ➤ Automatically escalate unresolved complaints to the right people for quick resolution. ➤ Linked to Action Module, where Managers can see plans put in place to improve services. ➤ Record personal details securely and safely. ➤ API support to allow custom forms and systems to populate the Inform Module, including a web form.

Outcomes and Deliverables

Ideagen Risk Management is feature-rich software for tracking and reporting performance management. It is also designed to give strategic oversight of risks and controls across all departments. The system gives users instant access to live

data in one place, with visual and engaging ways to present that data to each stakeholder group.

Case Studies



The Council has been working with Ideagen Risk Management solutions for nearly 20 years to manage performance reporting and risk management. Over 1,000 employees use the system, across all service areas.

Having a single system for performance management is part of their ongoing improvement strategy. It has evolved over the years to reflect their structure, categorisations, expectations and guidance. It also keeps pace with the high volume of actions that are added to the system.

The Team is very quickly able to pull information for specific activities and functions, including auditors and inspectors.

"Having a central location for performance reporting helps when we have various external audits or inspections. We can run specific system reports that are relevant according to their requirements. For example, we recently had an external assessor onsite to look at our approach to customer engagement. We could very quickly pull off satisfaction levels and key customer results for the broad range of services that the assessor was interested in. We have that flexibility to act quickly. We do not find it necessary to chase individuals or services for the required data or information. It is already available in the system."

– Project and Systems Manager, Performance and Improvement Service



"We use the Ideagen Risk Management system to help track and manage our progress against audit recommendations and can quickly identify high priority

areas and where actions need to be taken." – Corporate Performance Manager,
Somerset Council

Trial Service

As opposed to trials, we believe clients get better value from a Proof-of-Concept bespoke demonstration, where we will use data and methodology as provided by the client, build that into our system, then provide a comprehensive bespoke demonstration of the system to the client with data, and a structure, that resonates with them.

Technical Requirements

Ideagen Risk Management Ion is a web-based application that runs from a web browser (for the Browser version) and through the Java Runtime Environment (for the Classic version).

Ideagen Risk Management Ion Browser

- System requirements
 - Microsoft Windows 7 or later
 - Apple Mac OS 10 or later
- Minimum resolution of 1024x768

Browsers supported

- Google Chrome (recommended latest stable version)
- Mozilla Firefox (recommended latest stable version)
- Apple Safari (recommended latest stable version, Mac OS only)
- Microsoft Edge (recommended latest stable version)

For the Mobile version

- Apple iOS and Mobile Safari (latest stable version)

Ideagen Risk Management Ion Classic Version

- System requirements:

- Microsoft Windows 7 or later
- Minimum resolution of 1024x768

Other Programs

- Java version 8

For Reports

- Google Chrome (recommended latest stable version)
- Mozilla Firefox (recommended latest stable version)
- Apple Safari (recommended latest stable version)

Hosting Options and Locations

For UK users of the service, all data is stored in the AWS Cloud in the eu-west-2 (London) Region, however the solution is available from other international locations. AWS operate at least three availability zones per region for DR and high availability. All data storage is geo redundant and will never leave the specified regions.

Data Back-Up and Restoration

The compute infrastructure of Ideagen Risk Management on AWS is completely transient with automated machine replacement should a critical resource go offline or become unhealthy with no data loss.

There is a documented BCDR Plan for the Ideagen Risk Management Service which is tested at least annually. Findings from BCDR testing are tracked to ensure corrective measures are implemented. The Plan includes various scenarios such as loss of an Availability Zone and loss of a critical AWS service which impacts the availability of the Ideagen Risk Management Service. Testing involves multiple Teams within the business to ensure it is as realistic as possible. Further details can be provided to the buyer on 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 principles of the Scrum framework, as defined in the Scrum Guide at Scrum.org, to achieve this.

Ideagen Risk Management Ion developers follow OWASP guidelines. There are Lead Developers who ensure that our development processes are followed, such as peer reviews, testing against the OWASP top 10, etc.

Our pipelines perform Static Application Security Testing (SAST) with each individual artefact build, at all stages of development. Engineers can also run these scans on demand. Scan outcomes are consistently reviewed to identify any security vulnerabilities.

We conduct Dynamic Application Security Testing (DAST) prior on every production release.

Scan result reports are only accessible within Ideagen itself.

As per the SDLC, the source code is subject to peer review on an ongoing basis. The Cyber Security Unit (CSU) actively undertake regular penetration testing and vulnerability scans to discover any potential vulnerabilities within Ideagen software.

Our Software Development Lifecycle (SDLC) Document (available upon request) forms part of our ISO 27001 and ISO 9001 Frameworks and is reviewed by our Risk and Audit Team and Document Owner at least annually or in 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!

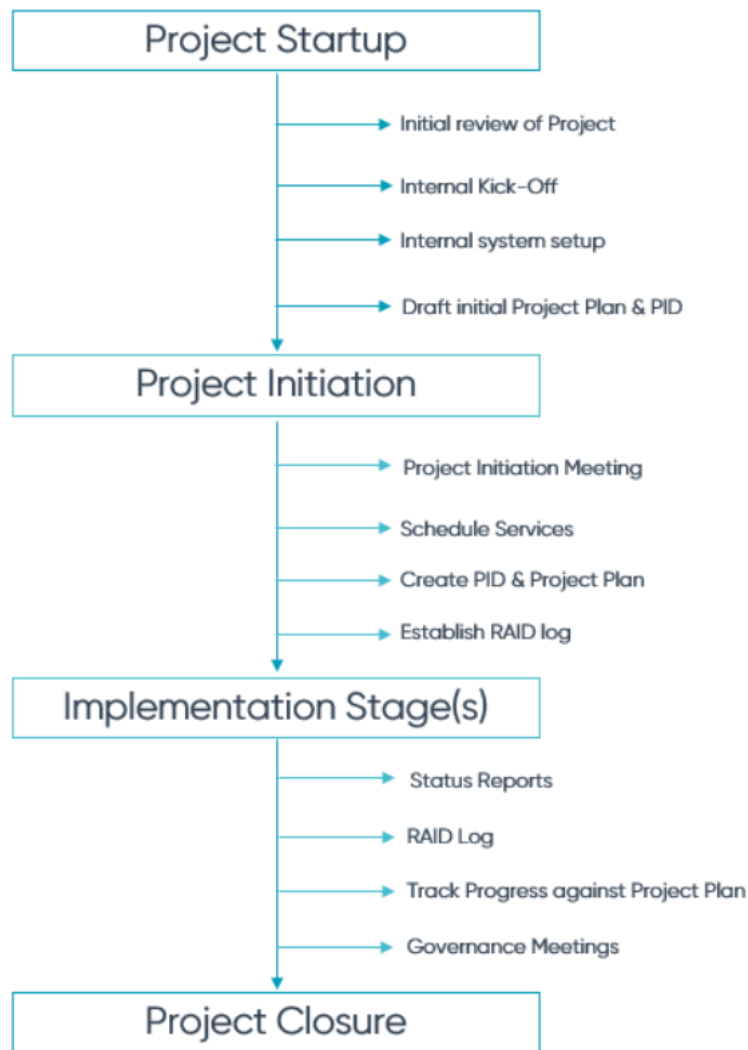
Onboarding and Offboarding

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

Updates are applied automatically.

When we release, we schedule the deployment outside office hours for all customers.

Once the updates have been released, the next time the users' login to the app they will be using the new version.

Ideagen Risk Management always operates on a single live application version across all our customers, so an old version cannot be retained by any customer.

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.

Ideagen Risk Management Ion follows a six-monthly release cycle, with occasional out-of-cycle releases for critical features or functionality.

Updates are applied automatically.

At least 48 hours before a planned release, notification emails will be sent out to any customers subscribed to our mailing list. This notification will include:

- Brief overview of changes
- Link to the full release document, outlining changes
- Link to a release webinar (where applicable)
- Scheduled downtime (you can also check this on the status page).

When we release, we schedule the deployment outside office hours for all customers.

Once the updates have been released, the next time the users login to the app they will be using the new version.

The solution always operates on a single live application version across all our customers, so an old version cannot be retained by any customer.

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.

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There is a documented BCDR Plan for the Ideagen Risk Management Service which is tested at least annually. Findings from BCDR testing are tracked to ensure corrective measures are implemented. The Plan includes various scenarios such as loss of an Availability Zone and loss of a critical AWS service which impacts the availability of the Ideagen Risk Management Service. Testing involves multiple Teams within the business to ensure it is as realistic as possible. Further details can be provided to the buyer on request.

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 Risk Management • Ion Service Level Agreement \(SLA\) – Ideagen Risk Management • Ion | 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.