



Ideagen Internal Audit and Risk Management

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

Ideagen Internal Audit and Risk Management gives functional expertise to both Internal Auditors and Risk Managers, while also allowing them to work independently in one system.

This is one natively-built environment, so it's integrated from the ground up – as opposed to two separately built 'modules' that require a connection. It gives you a truly centralised view of the risk and control lifecycle that drives continuous improvement.

Best value system for Public Sector Teams

One-stop shop for all your internal audit and enterprise risk management work. Ideagen gives you a simple and transparent licensing structure and allows you to scale easily.

Unlimited audits and controls

There's no limit to the amount of locations, processes and controls you can have in the system. Do as many audits – and audit types – as you need to, with no annual caps.

Increased audit capacity

Teams that use Ideagen have reported a +35 % increase in audit capacity due to process automation and better oversight of projects and resources.

Less time spent managing systems

Handle vast and varied datasets from across your organisation in a single, secure place. Automate data collection and number-crunching so you can spend more time on strategic work.

Aggregate scoring across all units

See the full risk exposure across all locations and processes. Risk teams have a better understanding of how internal audit have tested the controls, and internal audit have more visibility of how their recommendations are applied.

Maps to your universe

The system will mirror your hierarchy of locations and processes. Because it's mapped to your universe, you can link any piece of information to any object within the same system.

Features and Benefits

Internal Audit Functionality

Area	Feature	
Audit universe	ARC Universe data structure	✓
	Multi-level ownership	✓
	Custom fields/reports	✓
	Link objects	✓
	Entity management	✓
ORCT	Objectives	✓
	Risks	✓
	Controls	✓
	Tests	✓
	Registers	✓
	Store, manage and link documents	✓
	Library management	✓
Audit work	Audit workflow	✓
	Overall audit planning	✓
	Audit creation	✓
	Audit roll forward	✓
	Key dates	✓
	Scheduling, notifications, alerts and reminders	✓
	Audit methodology	✓
	Audit trail	✓
	Expected controls	✓
	Testing	✓
	Action management	✓
	Audit findings	✓
	Review points	✓
	Audit reports	✓
	Update to library	✓
	Update to entity	✓
	Time recording	✓
	Audit problems	✓
	Audit questionnaires	✓

Risk	Assessments (matrix, banding, formula)	✓
	Heat maps	✓
	Incident management	✓
	Rule based and multi-impact risk scoring	✓
	Assessment history	✓
	Risk aggregation	✓
Reporting and data visualisation	Dashboards - pre configured	✓
	Reporting - pre configured	✓

Enterprise risk Management Functionality

Area	Features	
Universe	Universe data structure	✓
	Multi-level ownership	✓
	Custom fields/reports	✓
	Link objectives	✓
	Entity management	✓
ORCT	Objectives	✓
	Risks	✓
	Controls	✓
	Tests	✓
	Registers	✓
	Store, manage and link documents	✓
	Library management	✓
Risk	Assessment (matrix, banding, formula)	✓
	Heat maps	✓
	Incident management	✓
	Rule based and multi-impact risk scoring	✓
	Assessment history	✓

	Risk aggregation	✓
Reporting and data visualisation	Dashboards – pre configured	✓
	Reporting – pre configured	✓

Systems and Access

Area	Feature	
Systems and access	Multi-Client Environment	✓
	SSO	✓
	Search	✓
	Record retention	✓
	Mobile working	✓
	Global search	✓
	O365 document integration	✓

Outcomes and Deliverables

Ideagen has experience of deploying our software into over 335 Public Sector organisations. We have a vast understanding of the operational and regulatory requirements of the UK public sector and this expertise is reflected in the quality of our solutions.

Internal audit and risk management functions that use Ideagen report:

- 35 % increase in audit capacity
- 50 % data collection and reporting
- 70% less time spent chasing follow up actions
- Faster onboarding due to simpler user experience and step by step workflows

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 Audit & Risk Management is cloud-native and browser-based, designed for use on laptops and desktop computers.

Customers can use the two latest major versions of the following browsers to work with Ideagen Audit & Risk Management:

- Microsoft Edge
- Google Chrome

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 also available from a range of 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

Backups are configured through a managed service to support our RTO and RPO requirements. The backup strategy involves daily full backups along with differential backups, ensuring that data can be restored quickly and accurately in the event of a failure. Backups are stored redundantly across multiple facilities and multiple devices within each facility. Importantly, to address regulatory requirements, backup data never leaves the customers nominated region. Data is transferred between locations using TLS 1.2, with automatic encryption of data once it is uploaded using the AES-256 algorithm.

There is a documented BCDR plan for the Ideagen Audit & Risk Management service which is tested annually, with all findings tracked through to corrective action. Testing scenarios cover critical situations including Availability Zone failures and AWS 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 customers, 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 Audit and Risk Management 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.

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

Scan outcomes are consistently reviewed to identify any security vulnerabilities.

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 forms part of our ISO27001 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

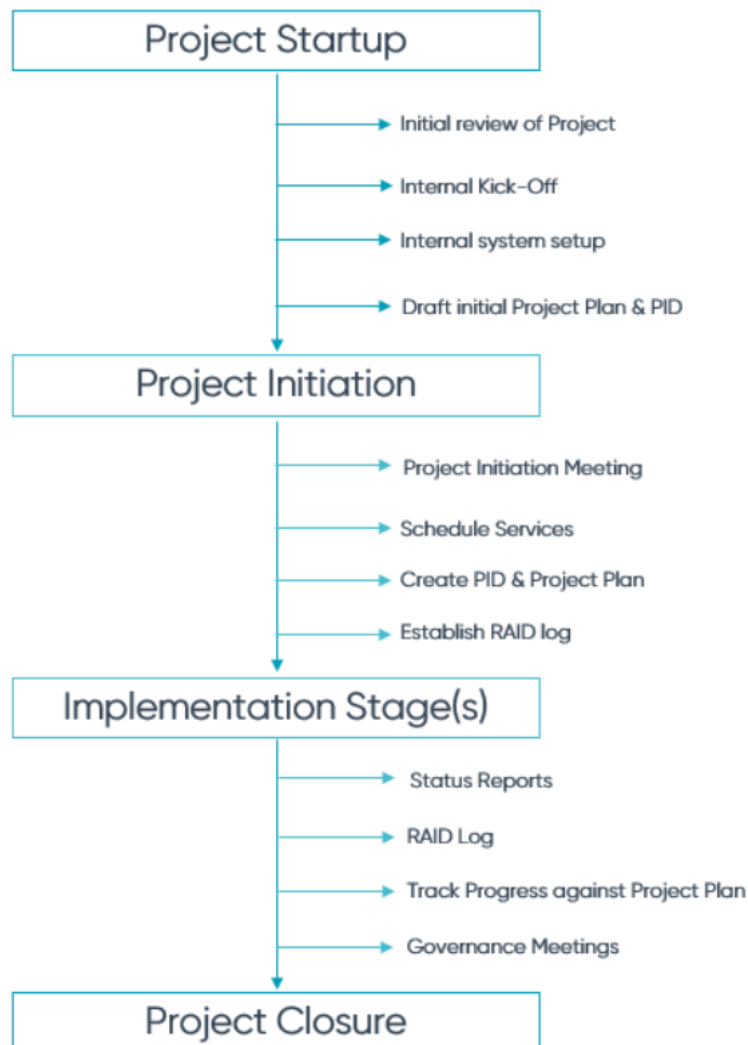
Project Management Services

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.

Service Constraints

We release updates on an ongoing basis (approx. 1/month).

Updates are applied automatically. The solution always operates on a single live application version across all our customers, so the previous 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.

Regarding new releases, update announcements are published via Ideagen customer portal and marketing communications. The email notifications will be issued to the individual nominated by the customer as the solution service contact with new release packs.

We release updates on an ongoing basis (approx. 1/month).

All product upgrades are seamlessly deployed to the production stack, ensuring uninterrupted service during updates.

Buyer tenants are hosted on the production stack, facilitating a unified upgrade process that automatically updates all customer tenants and their respective instances.

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.

The backup strategy involves daily full backups along with differential backups, ensuring that data can be restored quickly and accurately in the event of a failure. These backups are regularly tested to verify their integrity and effectiveness. In addition to data backups, Ideagen has established a comprehensive Business Continuity and Disaster Recovery (BCDR) Plan. This Plan outlines the Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) for various scenarios, ensuring that services are restored promptly and that data loss is minimized. Detailed procedures for disaster recovery are maintained and reviewed regularly to accommodate any changes in the operating environment.

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 Internal Audit and Risk Management Service Level Agreement \(SLA\) – Ideagen Audit & Risk Management | 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 Luminate](#)

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 gather any additional information.