

Office of Audit and Management Advisory Services Pentana Management Response Update Instructions

You will receive a Pentana generated email from AMAS@uconn.edu for open audit recommendations requiring corrective action based on the agreed due date recorded in Pentana. Please check your Junk Email Folder to see if the email was inadvertently flagged as spam. Direct Link to Pentana Web Module Login: [Pentana Web Modules](#).

Sample “Notification” Email:

From: Audit and Management Advisory Services <amas@uconn.edu>

Sent: Thursday, April 15, 2021 12:10 AM

To: [REDACTED]

Subject: Audit Follow-up on Open Audit Management Responses

Please provide a status for each “pending” Management Response assigned to you, which can be accessed via the “Management Response Tracking” dashboard tile at the following link: [Log into the Pentana Web Modules](#)

Instructions to assist you in accessing Pentana as well as updating and submitting the status of Management Responses can be found at [Audit and Management Advisory Services](#)

*Do not reply directly to this email, which was automatically generated from an intermittently reviewed department email account.

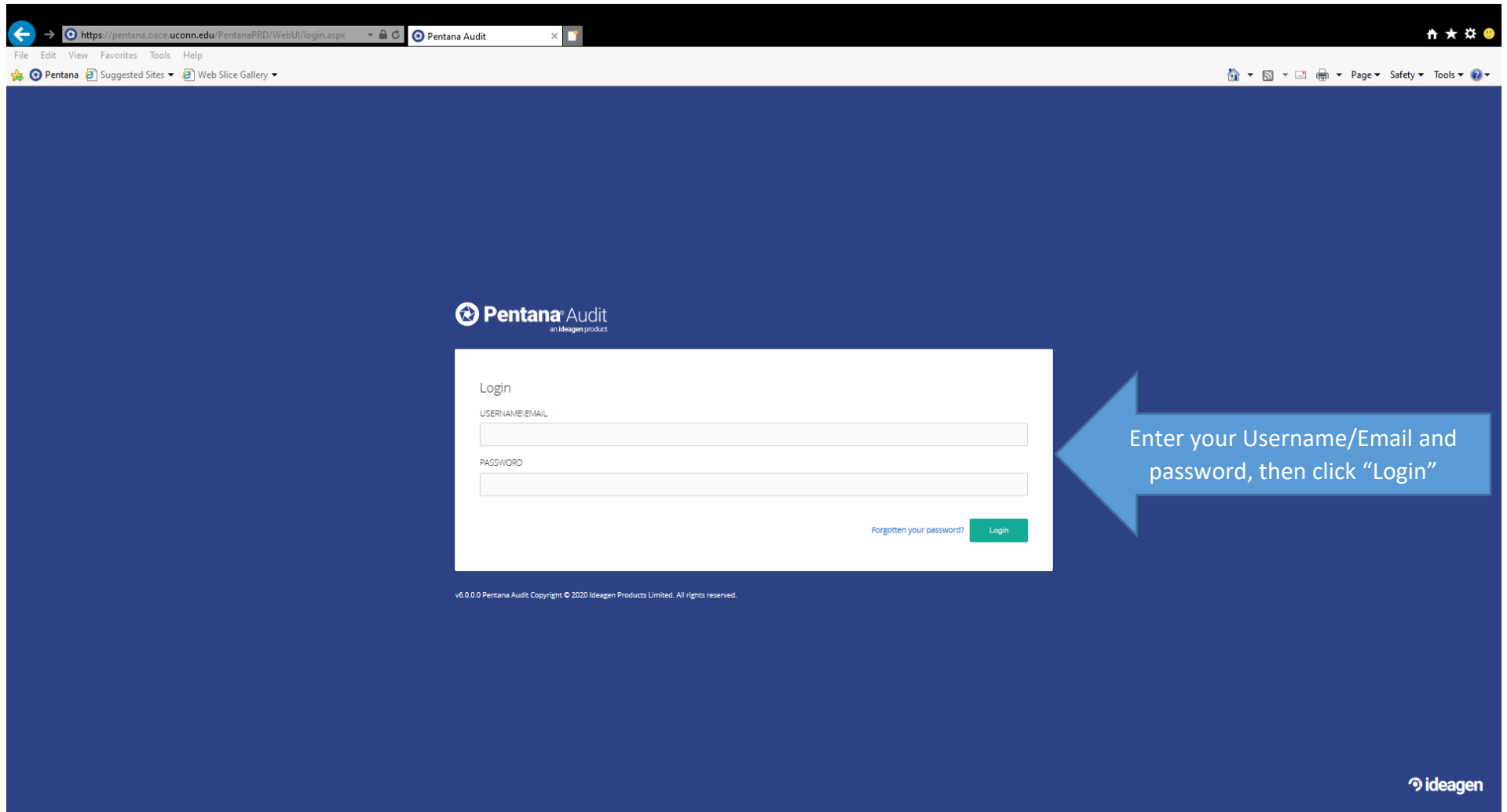
Please contact Angelo Quaresima, Interim Associate Vice President and Chief Audit Executive at 860-486-7177 (angelo.quaresima@uconn.edu) or Gregory Perrotti, UConn Storrs and UConn Health IT Audit Director, at 860-486-4526 (Gregory.perrotti@uconn.edu) with any questions regarding the Management Responses:

For any technical issues related to the Pentana Web Application, including issues related to logging into the application, etc., contact Greg Perrotti, IT Audit Director, Audit & Advisory Management Services, at Gregory.perrotti@uconn.edu.

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Pentana Management Response Update Instructions

Please note you must be on UConn/UConn Health's network or VPN to access the Pentana Web Module. We suggest you add the webpage to your browser's favorites for future reference. See "Pentana Password Management" document on AMAS website for assistance with setting up and maintaining your password.



The screenshot shows a web browser window with the URL <https://pentana.ocr.uconn.edu/PentanaPRD/WebUI/login.aspx>. The page features the Pentana Audit logo (an ideagen product) and a login form. The form includes a "Login" heading, a "USERNAME/EMAIL" field, a "PASSWORD" field, a "Forgotten your password?" link, and a green "Login" button. A blue arrow points from the right side of the form to the text: "Enter your Username/Email and password, then click 'Login'". The footer of the page contains the text "v6.0.0.0 Pentana Audit Copyright © 2020 Ideagen Products Limited. All rights reserved." and the ideagen logo.

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Pentana Home Dashboard:

The screenshot shows a web browser window displaying the Pentana Home Dashboard. The browser's address bar shows the URL: pentana.oace.uconn.edu/PentanaPRD/WebUI/index.aspx#Home?context=ll9su0dreo. The dashboard header includes the Pentana Audit logo, an "an ideagen product" tagline, and a "Home" label. The main content area features three panels: "Management Response Tracking" with a red notification bubble containing the number "1" and the text "Pending Management Response Update"; "Incident Reporting" with a warning icon and a link "Click here to view Incidents"; and "Questionnaires" with a checkmark icon and a green notification bubble containing the number "0" and the text "Pending Audit Questionnaires". A blue callout box with an upward-pointing arrow is positioned over the "Pending Management Response Update" link, containing the text: "Click on 'Pending Management Response Update' link for a list of recommendations which are pending a response update". The footer of the dashboard includes the text "Ideagen | Help | About" and the Ideagen logo.

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How to enter a Management Response Update for an open audit recommendation:

The screenshot shows the Pentana Audit web application interface. The top navigation bar includes the Pentana Audit logo and a user profile icon labeled 'All Clients Change'. Below the navigation bar, there are filters for 'Management Response Update State', 'Respond By Date', and 'Respondent'. A search bar is also present. The main content area displays a table with the following columns: Name (Client), Name (Audit), Name, Sign Off State (Management Response), Owner, Management Response Update State, Respond By Date, and Original Due Date. The table contains four rows of data, each representing an audit recommendation. A blue callout box with an upward-pointing arrow is positioned over the 'Management Response Update' link in the 'Name' column of the second row. The text inside the callout box reads: 'Under the “Name” column, Click on the desired “Management Response Update” link to commence the response update process'. The bottom right corner of the page shows '1 - 4 of 4'.

Name (Client)	Name (Audit)	Name	Sign Off State (Management Response)	Owner	Management Response Update State	Respond By Date	Original Due Date
01 - UConn	19-06a -		Open		Pending	5/3/2021	12/4/2019
01 - UConn	19-06a -		Open		Pending	5/3/2021	3/1/2020
01 - UConn	19-06b -	2019-06b-03 - Segregation of Duties	Open		Pending	5/8/2021	12/31/2020
01 - UConn	19-06b -		Open		Pending	5/8/2021	12/31/2020

Under the “Name” column, Click on the desired “Management Response Update” link to commence the response update process

Office of Audit and Management Advisory Services Pentana Management Response Update Instructions

Management Response Update, Continued

The screenshot displays the Pentana Audit software interface. The browser address bar shows the URL: <https://pentana.oace.uconn.edu/PentanaPRD/WebUI/index.aspx#Vi>. The page title is "2019-06b-03 - Segregation ...". The Pentana Audit logo is visible in the top left, and "All Clients" is in the top right. The main content area is titled "2019-06b-03 - Segregation of Duties" and is in a "PENDING" state. The interface is divided into several sections:

- Management Response Update (Left Sidebar):** Contains fields for "Definition", "Respondent", "Notified Date" (4/15/2021), "Respond By Date" (5/8/2021), "Audit Observation", "Execution", "Owner", "Revised Due Date" (12/31/2020), and "Management Response Update".
- Parent Information (Main Content Area):** Features tabs for "Notes", "Attachments", and "Parent Information". The "Parent Information" tab is active, showing a list of parents with icons and names, including "01 - UConn", "19-06b - I", "1014 - A", "1014 - A", "1014 - A", "A - A", "1560-1563 - Accounts Payable", "1560-1563 - Accounts Payable (08.02 - Employees' Expenses)", "2019-06b-03 - Segregation of Duties", and "2019-06b-03 - Segregation of Duties".

Three blue arrows provide instructions:

1. Click on "Parent Information" tab to review the audit report observation and management response update history
2. Click for "Audit Observation" details
3. Click for "Management Response Update" history details

Office of Audit and Management Advisory Services Pentana Management Response Update Instructions

Management Response Update, Continued

The screenshot displays the Pentana Audit web application interface. The browser address bar shows the URL: <https://pentana.oace.uconn.edu/PentanaPRD/WebUI/index.aspx#Vi>. The page title is "2019-06b-03 - Segregation of Duties". The interface includes a navigation menu with "Pentana Audit" and "an ideagen product". The main content area is titled "Management Response Update" and contains several sections: "Notified Date" (4/15/2021), "Respond By Date" (5/8/2021), "Auditor's Comments", "Execution" (Owner), "Revised Due Date" (12/31/2020), "Management Response Update" (with an expander icon), and "Review" (Auditor's Rejection Comment). A list of items is visible on the right, including "01 - UConn", "A -", "A -", "1560-15", "1560-1", and "2019-06b-03 - Segregation of Duties". Two blue callout boxes with arrows provide instructions: 1. Please note "Respond By Date". If a response is not submitted by the due date, you will continue to receive automated reminder emails from Pentana (see sample email on page 13). 2. Click on "Management Response Update" expander icon to open text box.

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Management Response Update, Continued

The screenshot shows the Pentana Audit web application interface. The main content area is titled "Management Response Update" and contains a text editor with a dropdown menu set to "Tahoma". The text in the editor reads: "Travel Services is developing a report where any exceptions approved by a Delegatee will be reported to the Delegator on a monthly basis." A blue callout box with a white border contains the following instructions:

1. Enter your corrective action update within the "Management Response Update" text box.
 - If the Audit Recommendation has been completed, please include an implementation date with your response update.
 - If corrective action is still in progress and will not be completed by the due date, you may request a revised due date with your response update.

Below the text editor, there are "Ok" and "Cancel" buttons. A second blue callout box with a white border and a downward-pointing arrow contains the instruction: "2. Click on 'OK' when completed to exit the text box".

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How to add attachments to your Management Response Update:

The screenshot displays the Pentana Audit web application interface. The browser address bar shows the URL <https://pentana.oacc.uconn.edu/PentanaPRD/WebUI/index.aspx#Vi>. The page title is "2019-06b-03 - Segregation of Duties". The application header includes the Pentana Audit logo and "All Clients" link. The main content area is titled "Management Response Update" and features several sections: "Respond By Date" (5/8/2021), "Auditor's Comments", "Execution" (Owner), "Revised Due Date" (12/31/2020), "Management Response Update", and "Review" (Auditor's Rejection Comment). The "Attachments" tab is selected, showing a table with columns: Name, File Name, Category, Reservation By, and File Size. A green "+ Add Attachment" button is visible above the table. A blue callout box with an arrow points to the "Attachments" tab, containing the text: "1. If applicable, click on 'Attachments' tab to upload supporting documents". Another blue callout box with an arrow points to the "+ Add Attachment" button, containing the text: "2. Click on 'Add Attachment' to upload documents from your computer". The table currently displays "There are no items".

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How to save your Management Response Update:

The screenshot shows the Pentana web application interface. The browser address bar displays <https://pentana.oacc.uconn.edu/PentanaPRD/WebUI/index.aspx#Vi>. The page title is "2019-06b-03 - Segregation ...". The application header includes the Pentana logo, a "PENDING" dropdown menu, and an "All Clients" button. The main content area is divided into two panes. The left pane, titled "Management Response Update", contains several sections: "Respond By Date" (5/8/2021), "Auditor's Comments" (empty text area), "Execution" (with "Owner" field), "Revised Due Date" (12/31/2020), "Management Response Update" (empty text area), and "Review" (with "Auditor's Rejection Comment" field). The right pane, titled "Attachments", shows a table with columns "Name", "File Name", "Category", "Reservation By", and "File Size". The table is currently empty, displaying "There are no items". Two blue callout boxes with arrows provide instructions: one points to the "PENDING" dropdown with the text "2. Please note: your response update remains in 'Pending' status after it is saved.", and the other points to a save icon in the top right with the text "1. Click on 'Save' icon to save your 'Management Response Update'".

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How to submit your Management Response Update to AMAS for review:

The screenshot shows the Pentana web application interface. A blue callout box with a white arrow pointing to the 'Set as Submitted' dropdown menu contains the following text:

Click on drop box and select "Set as Submitted" to submit your "Management Response Update" to AMAS for review. Please note that your response update can only be revised while in the "Pending" status.

Note: You need to perform this step otherwise your response will not register in Pentana.

The interface includes a navigation menu with 'Pentana' and 'All Clients' options. The main content area shows a form for a 'Management Response Update' with fields for 'Respond By Date' (5/8/2021), 'Auditor's Comments', 'Execution' (Owner), 'Revised Due Date' (12/31/2020), and 'Management Response Update'. Below the form is a 'Review' section with 'Auditor's Rejection Comment'. A table with columns 'Name', 'File Name', 'Category', 'Reservation By', and 'File Size' is visible, showing 'There are no items'.

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Management Response Update, Submitted Status Continued

Management Response Update

Definition

Respondent

Notified Date
4/15/2021

Respond By Date
5/8/2021

Auditor's Comments

Execution

Owner

Revised Due Date
12/31/2020

Management Response Update

Review

Auditor's Rejection Comment

Notes Attachments Parent Information

+ Add Attachment More

<input type="checkbox"/>	Name	File Name	Category	Reservation By	File Size
There are no items					

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AMAS Management Response Update Review – Accepted Status:

AMAS will review the submitted response update and “Set as Accepted” resulting in one of the following scenerios:

- If the response update satisfies the completion of the recommendation, AMAS will close-out the recommendation.
- If the corrective action is still in progress and will not be implementated by the due date, you will continue to receive automated emails requesting a response update until the corrective action has been completed to close the recommendation.

AMAS Management Response Update Review – Rejected Status:

If your submitted response update is “Set as Rejected” by AMAS, you will receive a Pentana generated email detailing why your Management Response Update was returned (see sample email on page 14). Click on the link within the email to view the Management Response Update within Pentana Web Module. Your response update will need to be revised and resubmitted.

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You will continue to receive weekly automated “Reminder” emails if your Management Response Update is not submitted to AMAS by the noted “Respond by Date” (see page 6).

Sample “Reminder” Email (audit issue referenced in the email below is for illustrative purposes only):

From: Audit and Management Advisory Services <amas@uconn.edu>

Sent: Wednesday, April 7, 2021 11:55 PM

To: [REDACTED]

Subject: Audit Follow-up Management Response Status Reminder

You are reminded that you have not yet responded with the status of the Management Response for: [REDACTED]

Please click the following link to provide an update to the Management Response: [REDACTED]

Instructions to assist you in accessing Pentana as well as updating and submitting the status of Management Responses can be found at [Audit and Management Advisory Services](#)

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You will receive a “Rejection” email from AMAS requesting additional action if your submitted Management Response Update is inadequate or if additional information is required to resolve the recommendation.

Sample “Rejection” Email (audit issue referenced in the email below is for illustrative purposes only):

From: Audit and Management Advisory Services <amas@uconn.edu>
Sent: Thursday, July 2, 2020 2:49 PM
To: [REDACTED] >
Subject: Audit Follow-up Management Response Returned for Further Work

Your Management Response Update has been returned for the following reason(s):

[REDACTED]

Please click the following link to view the Management Response and provide an updated response: [REDACTED]

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