TriLine GRC

An outline of enhancements

included in the latest version of

TriLine GRC (v1.0)

TriLine GRC V1.0.0.0 – New Features

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The following items, in no specific order, are included in TriLine GRC version 1.0.

This is not an exhaustive list of all enhancements, please refer to the Version History menu option for the complete list.

Please note: Given the highly configurable nature of TriLine GRC some of the terminology in this document may be different from that in your system.

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Help

Added search facility

The application Help screen now includes a search facility.
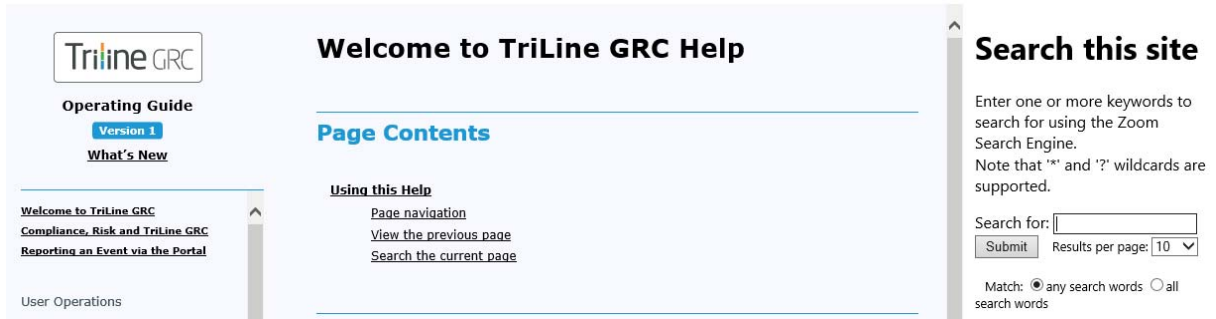
Interface

Changed menu structure

All the menus have been restructured to allow quick access to bring all related items for that module under the one tab. The menu items displayed will vary depending on the user's security rights.

A TriLine GRC Administrator would see this menu in Compliance:
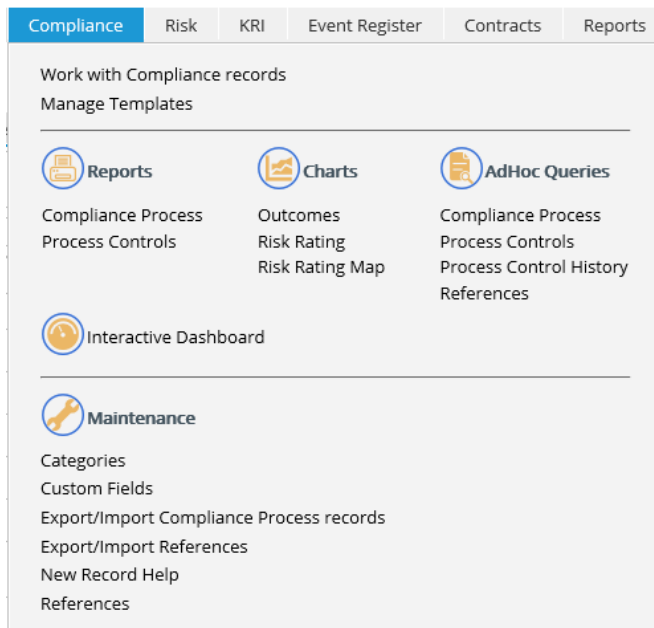
A User without Administrator rights but with Compliance Edit rights and access to Reports would see this:

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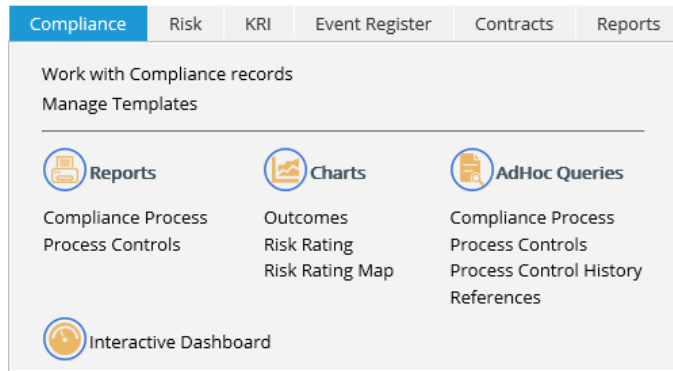
A User without Compliance Edit rights and no access to Reports would see this:

Similar menu layouts apply for Risks, Events, Contracts and Key Risk Indicators.

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Breadcrumb trail

TriLine GRC now keeps track of the last 10 pages you visited so you can easily return to any one of these pages simply by clicking the breadcrumb link. Simply click on the page you wish to return to.
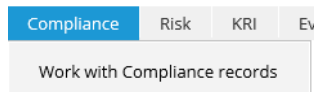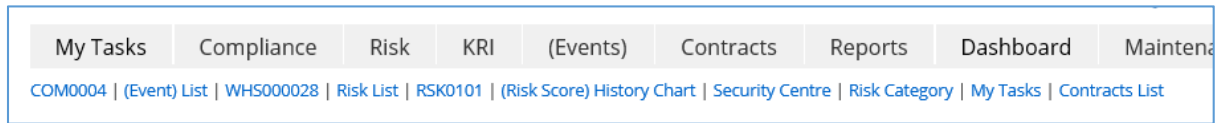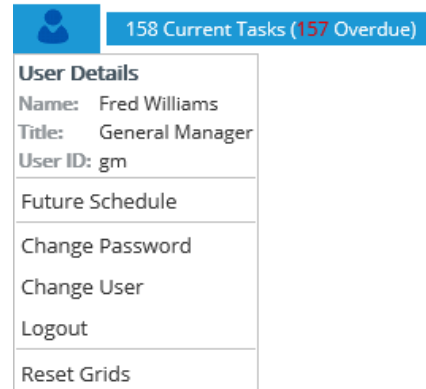

Current User icon

A new User Icon menu has been added to allow identification of the position logged in and fast access to common user functions.

Next to the User Icon is a display of the number of Current Task you have to do. If there are any overdue tasks, there will an extra display in red of that count. Click through to see 'My Tasks'.

Security Centre

Access to the Security Centre (for TriLine GRC Administrators) is through the Maintenance Tab. The Security Centre tabs have been renamed and simplified. **Task Team** groups have been moved to the security centre.
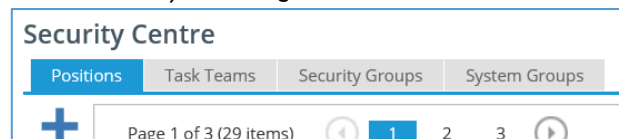
System Groups now shows various System Group to access and create Reports, KRI's, Processes, and Dashboards etc. This was previously under the Create and Interface tabs.
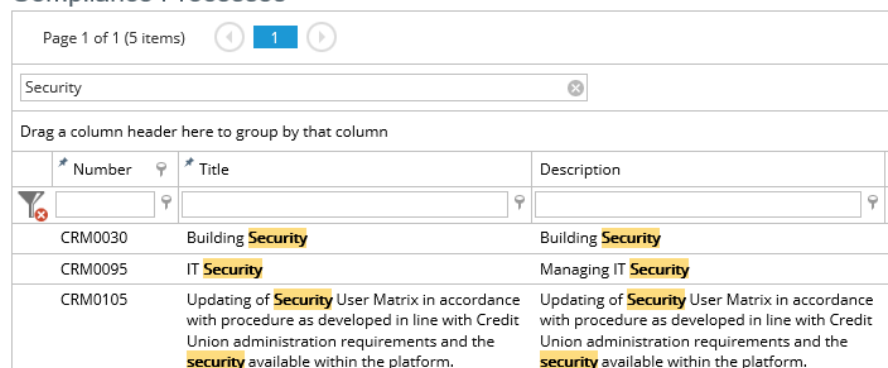
Searching grids

There is a new search option to allow you to quick search on any of the grids from key words or phrases. The search will apply to all columns displayed.

Matches will be highlighted in-line.

Multiple words in the search will be treated as an OR search.

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Navigation buttons

We have added navigation buttons when editing a record to simplify moving through the records. The list of available records will be filtered to match the previous grid screen. For example if you filter the list of Risks to a particular Category then click on the first in the list, only the records displayed in the list will appear in the dropdown. Clicking the navigation buttons will work through that list.
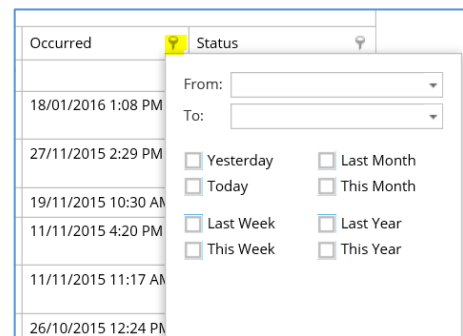
This applies to Risks, Compliance, KRI's, Events and Contracts

Date Filters

When filtering dates from a Grid view, you can now select date ranges and pre-set ranges such as 'Last year', 'This month' etc.
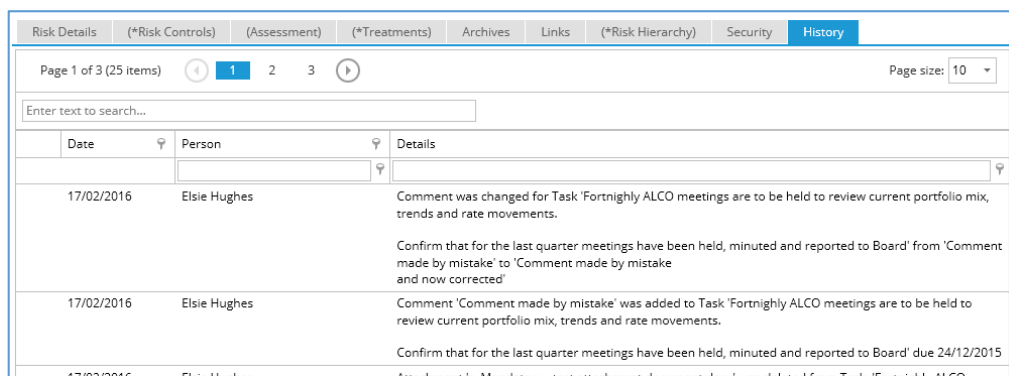
If a date range is selected it will be highlighted in the calendar displayed.

History Tab

When editing a record (e.g. Risk) in all modules there is a new tab called History. This tab shows the same information as available in the Audit Trail. This allows users who are not TriLine GRC Administrators to see activity on the record. The amount of History shown is controlled via the Configuration setting.

The history tab is not visible to the user where 'see own data only' is set.

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Compliance and Risk Titles

You can now specify an optional Title field for Compliance and Risk in addition to the existing Description field. Use of the Title field is set in the Configuration.

This allows for more concise reporting. It is limited to 300 characters. Initially it will be set to the first 300 characters of the Description field.

Selecting multiple Positions

There is a simpler interface when selecting multiple Positions (e.g. Risk Owner or Task Actioned By).

When the 'Click here' button is clicked a new selection area will be displayed allowing searching:

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Advanced Filter

The Advanced Filter (available on some pages) now includes the ability to compare values in different columns. The columns must be visible in the grid to be available for the formula.
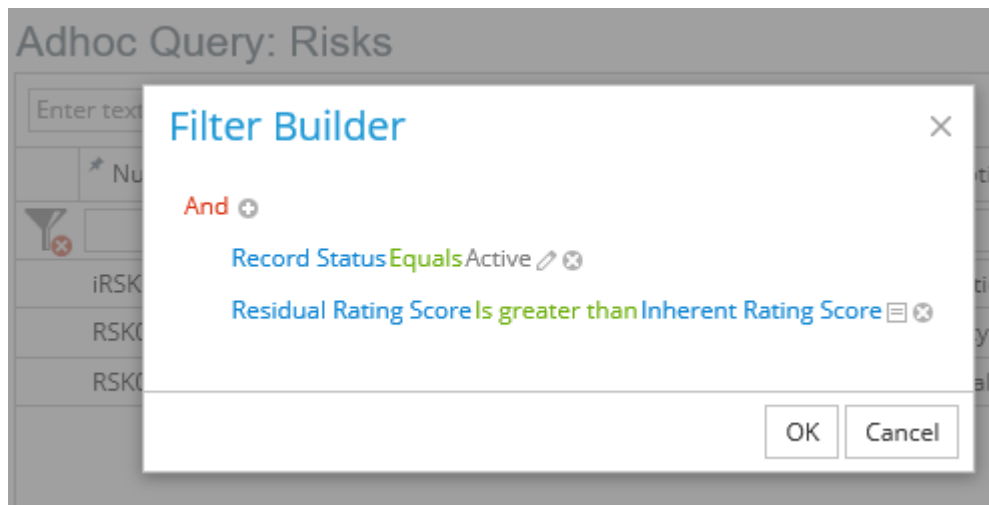
Other Interface Enhancements

Other changes and enhancements include:

- Faster access to the **Security Centre** and **Audit Trail** for system administrators. Now a direct first line option under Maintenance.

- Audit trail items are listed in most recent date order and now includes all changes made to every record.

- Audit trail items now include a time stamp to provide more information (note: older records will all show 12 Noon).

- Attachment and loading of files is now automatic. After you 'Browse' and select the file, it automatically uploads to the record. Multiple files can also be selected and loaded in one process. You can also drag and drop files to be attached.

- The grid navigation bar now appears at the top and bottom of all grids.

- Temporary reallocations and all export screens now include an item count at the foot of each grid.

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Configuration

There have been a number of changes to the global options available through the configuration menu. Global settings affect all users. Some of the new options include:

General tab

- Turn off the option to give each Compliance Process a risk rating.
- Choose to show the 'Title Field' for compliance Processes.
- Choose to show the 'Title Field' for Risks.
- Return to the last page of you previous session. Each time you log on you will return to the last page you were on.

Risks tab

You can now set the requirement for a Comment to be optional when completing a KRI Task if the Rating is in the 'best' (e.g. green) range. This is similar to a positive Outcome for Compliance Process Control and Risk Treatment Tasks.

Customisation tab

- Select colour separators for report content.

- Use your own logo on pages, in reports or on the Event Portal. If you have already set your own logo for the Event Portal you will need to reload it through this page and select 'Use Logo on Events Portal'.

- Set the page background colour.

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Risks

Highlighted ratings and scores

New fields have been added to the risk list to allow the Risk Score, Inherent Risk Rating and Residual Risk Rating to be exported in colour to Excel. Fields will be named in light with your configuration labels with the addition of "....Highlighted" (e.g. Risk Score (Highlighted).

Risk Assessment Screen

The risk assessment screen has been re aligned to show the flow of the risk assessment process:

Inherent Risk Rating ⇒ Controls ⇒ Residual Risk Rating

Note: The information displayed will depend on your Configuration.

The Risk Score formula will also be displayed (based on Configuration).

Risk Score

In line with accepted risk management practices (see ISO:31000), **Inherent Risk** is considered the risk without controls. The **Residual Risk** is the risk remaining after controls have been put in place.

When creating your risk score formula you now have the option to choose either the Inherent or Residual rating scores for Likelihood and Impact and then apply the ratings for Adequacy of Controls and their Management.

Other Risk Module Enhancements

- Export an archived record to PDF or RTF formats.
- More information in the Audit Trail when a record is modified.

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Tasks

Reactivate a completed task

You can now reactivate a completed task if the result or outcome needs to be amended. This is accessed from the Maintenance menu, by an Administrator.

A Reason for the re-activation must be provided.

The reactivated task will appear in the My Task List of the Actioned By

Modify comments on an uncompleted task

Until a task is marked as 'Completed' you can delete or amend Comments

Modify a completed task

An Administrator, a user with Edit rights to the parent record or the user that completed the task can now modify the task in the history display.

Click the pencil icon to modify the basic details.

A Reason for the update must be provided.

The other tabs allow for modification of Comments and Attachments.

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Other Task related Enhancements

- When editing a Task, the Due Date and the Scheduled date will be display (this can vary when the Due date is a weekend or Holiday)
- Capture and report on the number of days before or after the due date

Completed (Business days)

On time : 34

<=5 Days Late : 15

6 to 10 Days Late : 7

11+ Days Late : 14

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Key Risk Indicators

Recording KRI results

You no longer need to specify a date range when entering the latest KRI values, just the period ending (Month / Year).

All reporting is based around period end.

Load results for multiple KRI's from a spreadsheet

A facility has been added to allow the bulk upload of KRI results – either historical data or for multiple KRI's. An appropriately formatted spreadsheet is required with key headings which are used to link the data into the KRI data base. You can also optionally add 'comments' via the spreadsheet.

- Prepare a spreadsheet with the data to be loaded in this format. The spreadsheet can be manually created or you might be able to generate it from your

  data warehouse or other platform (such as your Visual Risk Treasury data). Note the specific heading names.
- **Note:** KRI numbers must match exactly with the numbering convention used in TriLine GRC.

When the data is uploaded the system will automatically calculate the Trend and Rating values based on the current values. Once the data is loaded you will get the opportunity to review and modify the values.

A new flag is used to indicate KRI's where the value will be loaded from a spreadsheet.

A reminder email will be sent but no Task will be generated.

Note: As no Task is generated there will be no second reminder, overdue reminder or Escalation.

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Edit KRI History

As well as being able to modify the basic details of a KRI Task (as noted in the Task section above), editing a KRI History allows you to update the Value, Forecast (if used), Trend and Rating.

Dashboard Widget

A new dashboard widget has been added, aligned to the 6 monthly KRI report.

Other KRI related Enhancements

- "Action By" now an option from the "Column Chooser" on the main KRI grid.
- New field added to KRI grid to allow exporting of Rating and Trend in colour via Excel.
- Export an archived KRI record in PDF or RTF format

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Events

Information for each event type

You can now create specific instructions or help for each Event Type.

A new button will appear when creating a new Event – when clicked it will display the information.
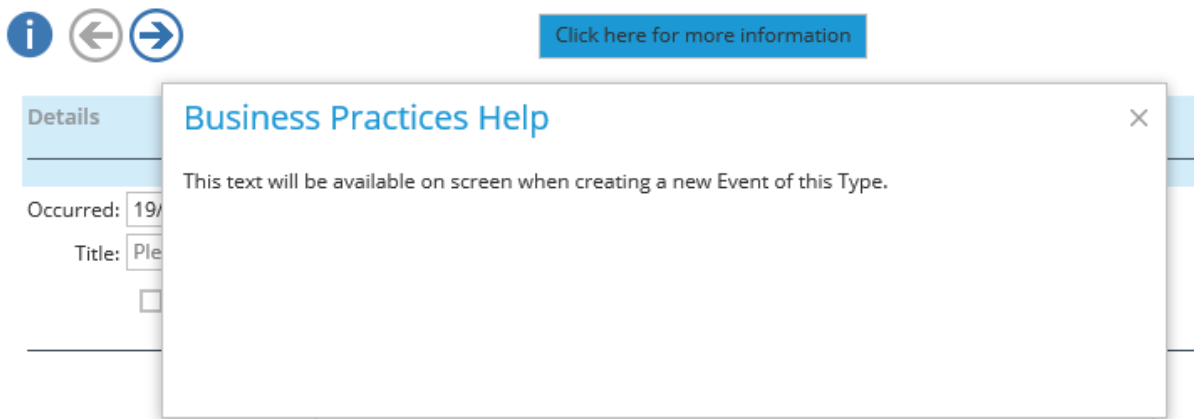
Event Title

Added an Event Title field to provide a short 'handle' on each Event

This will become the primary descriptor for Events, allowing more succinct reporting etc. This field is limited to 300 characters. For existing Events this will initially be set to the first 300 characters of the Description field. The Description field has been renamed to 'Other Information'.

The Event Title will appear on the initial screen when creating a new Event.
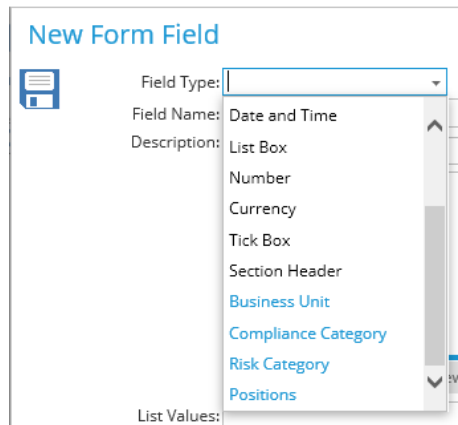
Creating a new Event

The layout and flow of the new Event screen has been modified to provide a simpler interface. The basic information and custom fields are included on the first screen. The second screen will be the form fields (if specified) and then the 'Other Information'. A new completion screen has been added at the end after Attachments.

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Form Fields

You can now use existing system data in the Event Type form fields: Business Units, Compliance Category, Risk Category and Positions.

When adding a new field to a form these fields are highlighted in blue in the Type selection.

Date ranges added to Event Dashboard Widgets

The Event Dashboard widgets now all include a date range selection as well as the existing filters.

Note: Widgets will 'remember' the last set of filters and you may need to update the date range.

Event Charts

The Event widgets are now also available as charts. When using the Save Chart feature you can specify a date period (e.g. previous calendar month) so that every time the chart is created it will automatically update the date range.

Other Event/ Incident register related Enhancements

- Custom fields can now be back end only.
- New Ad Hoc query to show complete list of Categories and sub categories
- Notes added to Ad Hoc Query
- Event List now has a scroll bar instead of a paging control to quickly navigate through large numbers of records

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Compliance

References - new AdHoc Query

A new Ad Hoc query allows you to obtain a full listing of all references and sub references
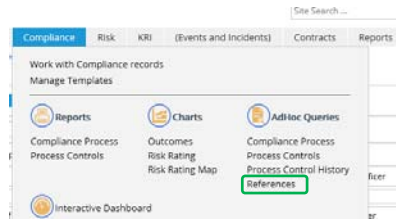
Other Compliance related Enhancements

Compliance Risk Rating is now optional (refer

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- Configuration).
- Export an archived Compliance Process in PDF or RTF format
- Enhancements enabling you to add, edit or delete Comments

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Charts

Outcome Chart
Now you can display outcomes across a range of months. This is available for Compliance Outcomes and Risk Treatment Outcomes.
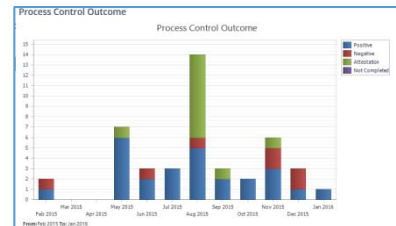
KRI Charts
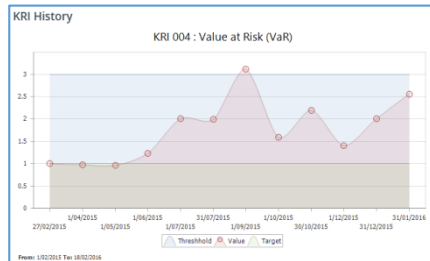
General clean-up of charts with marker values removed or repositioned.

Risk Rating MAp
- New filters for Category, Business Unit, Owner and Tags

Compliance Risk Rating Map
- New filters for Category, Business Unit, Responsible Officer and Tags
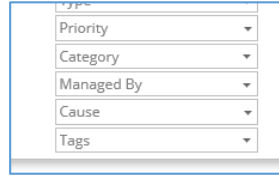
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Dashboards

Key changes to dashboard widgets include:

Dashboard widgets

- All widgets now have a filter for Tags

Interactive dashboards

- The Risk, KRI and Compliance interactive dashboard now use your selected colours for rating and score bands.
- Individual elements may be exported to PDF or Image formats. **Note:** Your selected colours will not be exported to PDF or image. Use a screen capture application if this is important.
- Event dashboard can be filters by status.

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Adhoc Queries

Saved Layouts

The Adhoc Queries now have the facility to save and recall layouts. The layouts will include any columns that have been selected and any column filters applied. It will not include any date selections on history pages (e.g. Treatment History).

	Number	Title	Description	Category	Owner	Business Unit
						Finance
	iRSK1999	Reputation	Reputation	IT	HR Manager	Finance
	RSK0010	Liquidity	Liquidity	Financial	General Manager	Finance
	RSK0025	Financial Loss	Financial Loss	Financial	General Manager	Finance

Adhoc Query: Risks — Layouts: Finance Department Risks

An existing layout can be updated but not renamed.

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Reports

Following on from the Reports survey completed in the second half of 2015 we are pleased to present a significant number of enhancements and new reporting options available.

Many reports now include a wider range of filter options and layouts. Some now also include mini charts.

A large number of reports are best viewed 'on screen' as they allow drill down through the records. You can also review many of the attachments from the reports. All reports can be produced as PDF and RTF files but these, of course, lose the drill down capabilities.

Not all examples of the new reports are shown, only a select sample. A list of the reporting enhancements is below. We can provide you with more specific assistance with reports if you need it.

General (affects most reports)

- Ability to specify what sections of the report to print (e.g. Comments and Attachments can be included or excluded from Task reports). This provides the ability to produce summary or detailed reports as required.
- Ability to display an Attachment to a completed task from within the report. Note: This is not available in any exported version (e.g. PDF).
- New Search facility that returns all occurrences in the report.
- Date range selection on Tasks completed reports searches the Due Date rather than the Completion date.
- Configurable report logo and colours for report segments (see **Error! Reference source not found.**).
- Added Table of Contents for searching the report (also available in PDF output).
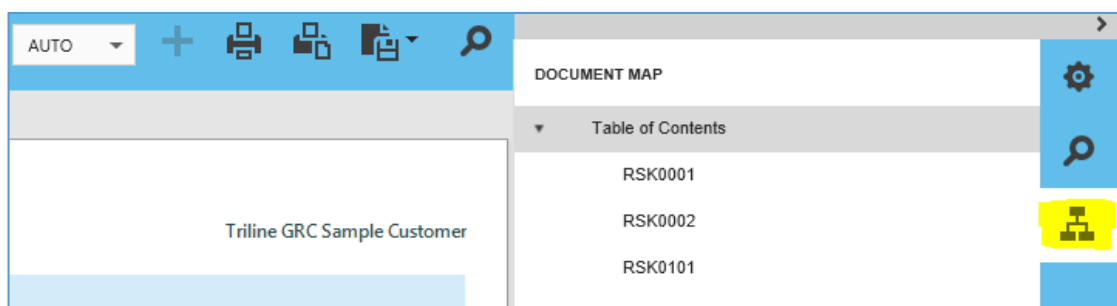
- Added new filter 'Completed Overdue only' for Task reports.

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Escalated report

Escalated but still Overdue

New report showing Tasks that were escalated to a Position and are still overdue (across all modules).

Compliance reports

Compliance Completed Tasks

Added a list of attachments for each task, an Outcome Summary chart and a Completed Summary chart showing when a task was completed in relation to the Due Date.
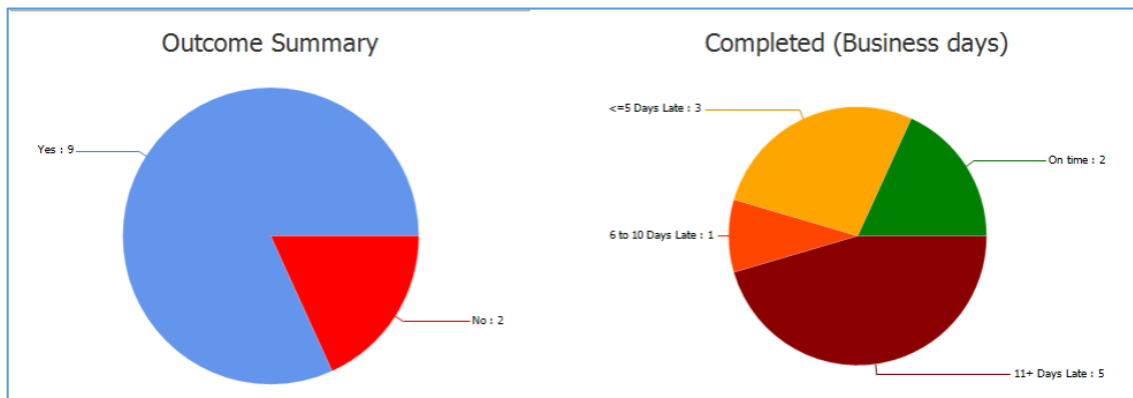
Compliance Current Tasks

Added the number of calendar days overdue for each task and Critical Task indicator.
When Group By selected a Summary chart will be printed for the selected grouping.

Compliance List

Layout reformatted to clearly define the report segments (including colour codes). New filters to exclude Process Controls and/or Links and/or References from the report.

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Compliance Overdue Tasks

Added the number of calendar days overdue for each task, Critical Task indicator and a summary chart of days overdue in the report footer. You are able to specify a Due Date range or number of days overdue. When Group By selected a Summary chart will be printed for the selected grouping.

Compliance Task Summary

New report showing a summary of current Compliance Control Tasks per Position. Tasks are separated into current (Not Overdue) and overdue. Overdue tasks are split by calendar days overdue (7, 14, 30, 30+ days).

Click **Show Tasks** to display on screen the Tasks for a Position within the report.

Click the **Position Title** to display the current tasks for that Position.

Risk reports

Current Risk Reviews

New filters for Actioned By and Critical Reviews. Added number of days overdue. When Group By selected a Summary chart will be printed for the selected grouping.
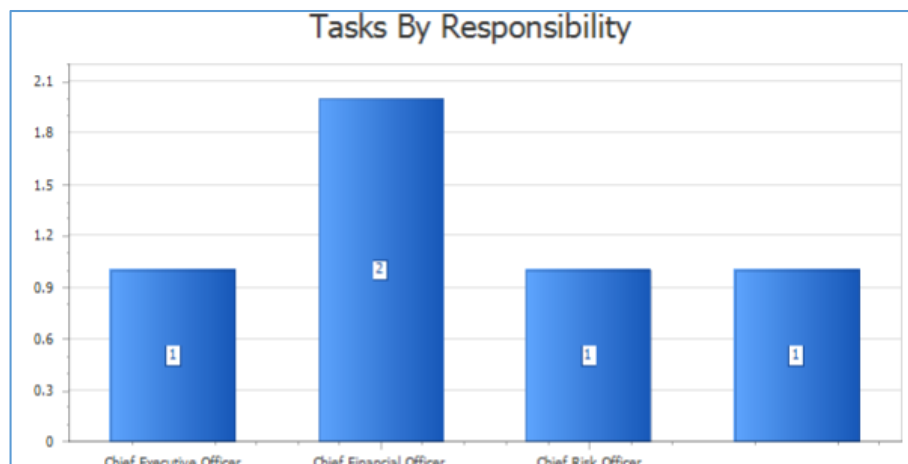
Overdue Risk Reviews

New report showing Overdue Risk Reviews only. Filters are similar to Current Risk Reviews plus the facility to specify a due date range or the number of days overdue. When Group By selected a Summary chart will be printed for the selected grouping.

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Risk List

Layout reformatted to clearly define the report segments (including colour codes). Re-titled Adequacy and Management to be more indicative.

New filters to exclude Treatments and/or Links and/or KRI's and/or Risk Hierarchy from the report.

New filters to include segments such as Causes and Impact.

Risk Score Change

Added a mini chart showing Risk Score movement for the previous 24 months.

Risk Review Task Summary

New report showing a summary of current Risk Review Tasks per Position. Tasks are separated into current (on time) and overdue. Overdue tas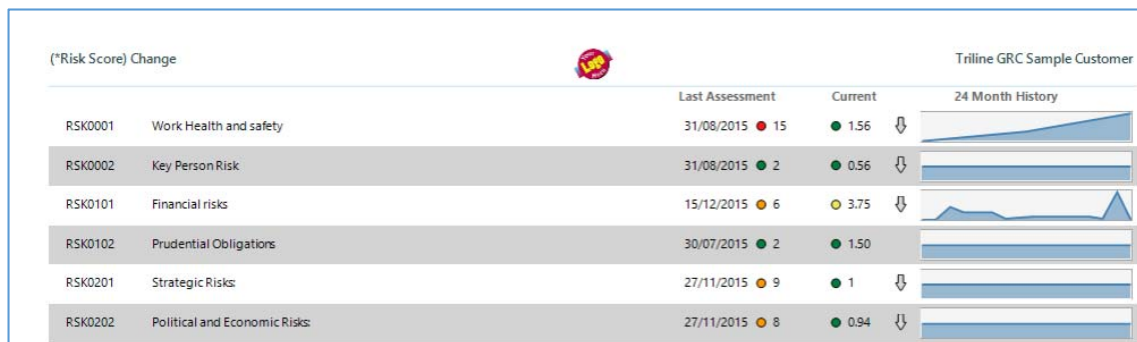ks are split by calendar days overdue (7, 14, 30, 30+ days). Click the Title to display the current tasks for that Position. Display the Tasks for a Position within the report.
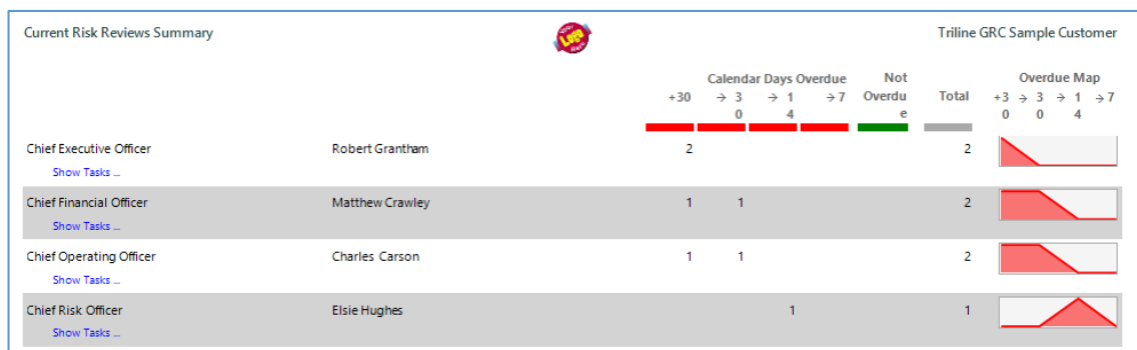
Risk Reviews Completed

New filter for Actioned By. Added a chart of the Risk Status recorded at the time of completion. Added list of Attachments. New setting to exclude Comments and the Attachments List from the report.

Risk Treatment Current Tasks

Added the number of calendar days overdue for each task and Critical Task indicator. Also able to specify a Due Date range. When Group By selected a Summary chart will be printed for the selected grouping.

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Risk Treatment Overdue Tasks

Added the number of calendar days overdue for each task, Critical Task indicator and a summary chart of days overdue in the report footer. Also able to specify a Due Date range or number of days overdue. When Group By selected a Summary chart will be printed for the selected grouping.

Risk Treatment Task Summary

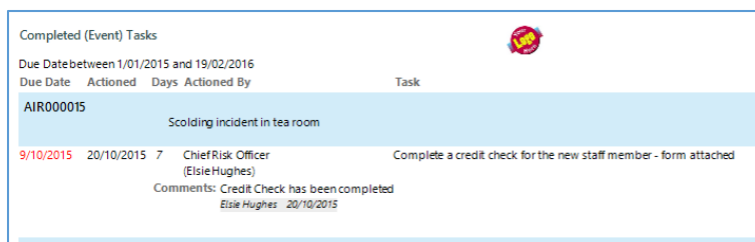New report showing a summary of current Risk Treatment Tasks per Position. Tasks are separated into current (on time) and overdue. Overdue tasks are split by calendar days overdue (7, 14, 30, 30+ days). Click the Title to display the current tasks for that Position. Display the Tasks for a Position within the report.

Event reports

Event Completed Tasks

Added a list of attachments for each task and a Completed Summary chart showing when a task was completed in relation to the Due Date. Now able to specify if the comments and attachments list are included in the report.

Event List

Layout reformatted to clearly define the report segments (including colour codes). New filters to exclude Tasks and/or Notes and/or Links from the report.

Event Overdue Tasks

Added the number of calendar days overdue for each task, Critical Task indicator and a summary chart of days overdue in the report footer. Also able to specify a Due Date range or number of days overdue.

Future Schedule

Reminder Sent date added to Task Due grid and Reminders Sent tab removed. Facility to view by Task Due Date or when the Task Reminder is sent. Indicator added if Reminder Date is prior to the From date of the range entered (e.g. Task will be generated on the usual Position) or if the Due Date is after the To Date when selecting Reminder Dates.

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KRI reports

KRI 12 Month Summary

New filters Category and Trend. Ability to select a Grouping (Category, Trend, Rating, Owner or none). Ability to exclude the Measure from the report. Added the Comment from the most recent Task completion.
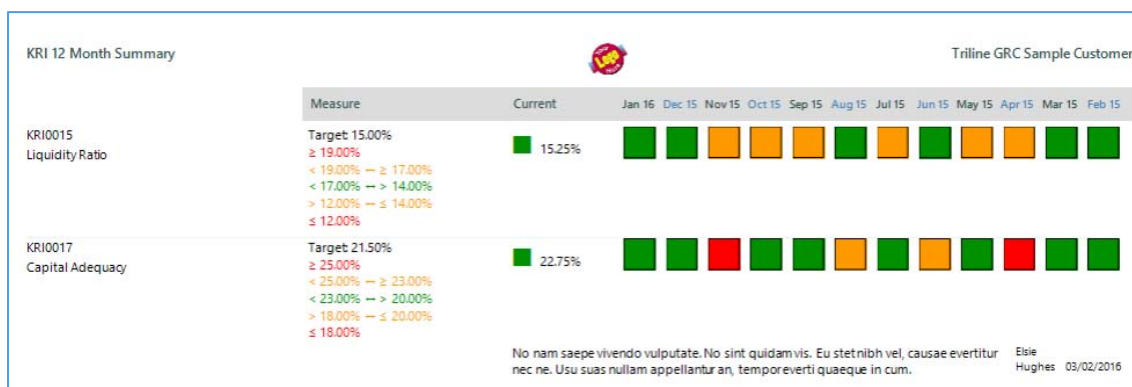
KRI 6 Month Summary

Added filters for Tags, Owner, Category, Rating and Trend. Ability to select a Grouping (Category, Trend, Rating, Owner or none). Ability to exclude the Measure from the report. Added the Comment from the most recent Task completion.
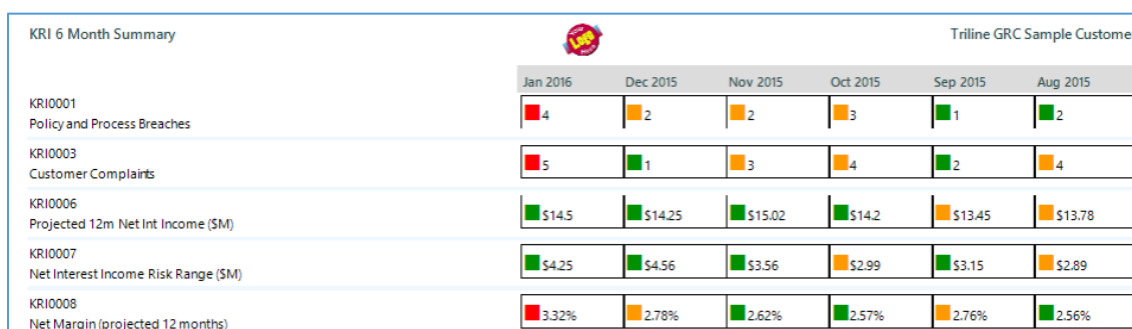
KRI Completed Tasks

Added a list of attachments for each task (optional) and a Completed Summary chart showing when a task was completed in relation to the Due Date. Now able to specify if the comments and attachments list are included in the report.

KRI Current Task Summary

New report showing a summary of current KRI Tasks per Position. Tasks are separated into current (on time) and overdue. Overdue tasks are split by calendar days overdue (7, 14, 30, 30+ days). Click the Title to display the current tasks for that Position. Display the Tasks for a Position within the report.

KRI Current Tasks

Added the number of calendar days overdue for each task and Critical Task indicator. When Group By selected a Summary chart will be printed for the selected grouping.

KRI List

Layout reformatted to clearly define the report segments (including colour codes). New filters to exclude Tasks and/or Links from the report. New charts for Trend and Rating summaries.

KRI Overdue Tasks

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Added the number of calendar days overdue for each task, Critical Task indicator and a summary chart of days overdue in the report footer. Also able to specify a Due Date range or number of days overdue. When Group By selected a Summary chart will be printed for the selected grouping.

KRI Task History

Added facility to start each KRI on a separate page. Added an optional chart for each KRI to track Value against Forecast. Record selection is now based on the period end rather than the Task Due date.