TriLine GRC

TriLine GRC V2.0.0 – New Features

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TriLine GRC

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The following list of changes in version 2.0.0 are in no particular order.

Note: Some terminology may vary depending on your Configuration settings.

Database requirement for self-hosted customers

With this release your MS SQL Server needs to be version 2012 or greater.

User Security

The Secret Question is now compulsory. For existing Users it can be set on Password change. Passwords need to be 8 or more characters and be 'strong' (a mixture of upper case alpha characters, lower case alpha characters and numbers – other characters also increase the password strength).

New User Invitation

It is now possible to send an invitation via email to a New User (either a new Position or a new person in a Position) so that they can set their own password and Secret Question. The email also contains the normal link to your TriLine GRC site. The message content is defined in the Security Centre:

You can change the Subject and the main body of the Invitation email.

TriLine GRC

TriLine GRC V2.0.0 – New Features

To send the Invitation select 'Send Invitation' when adding or editing a Position:

Add New Position

Title: Financial Controller

First Name: Mary

Surname: Burke

User ID: mburke

Add Position: must be supplied

Edit Position: only if changing the Password

Password: ●●●●

Confirm Password: ●●●●

email: mary.burke@yourorg.com

Escalate To:

Display In Lists: ☑

See own Data only: ☐

Send Invitation: ☑

The resulting email looks like this:

**** DO NOT reply to this email ****

Hello Mary,

Our company is using the **TriLine GRC** system to manage Compliance and Risk. You are a vital part of this so you must set your password and Security Question.

Your User ID is shown below. Click on the link below to set your password and Security Question.

Please Note: Your password must be at least 8 characters long and consist of a combination of lower case characters, upper case characters, numbers and/or special characters.

Your User Id to access TriLine GRC is: mburke
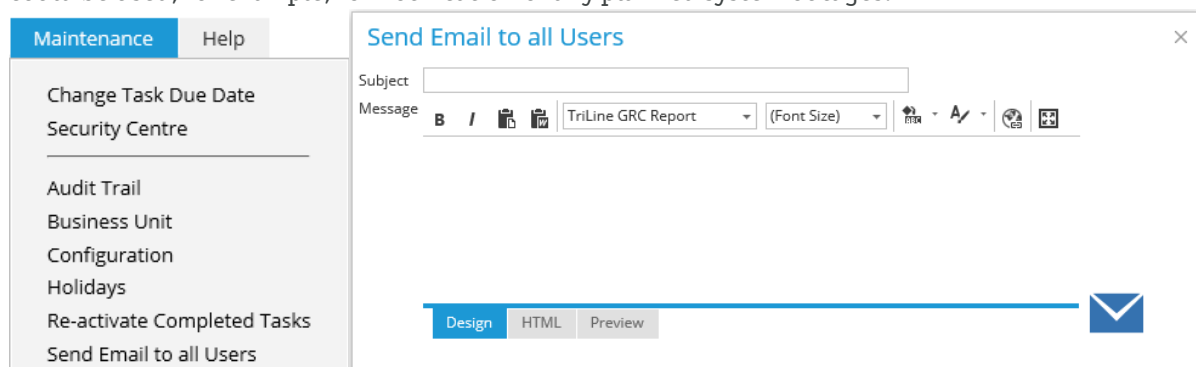
Click here to set your Password and Security Question
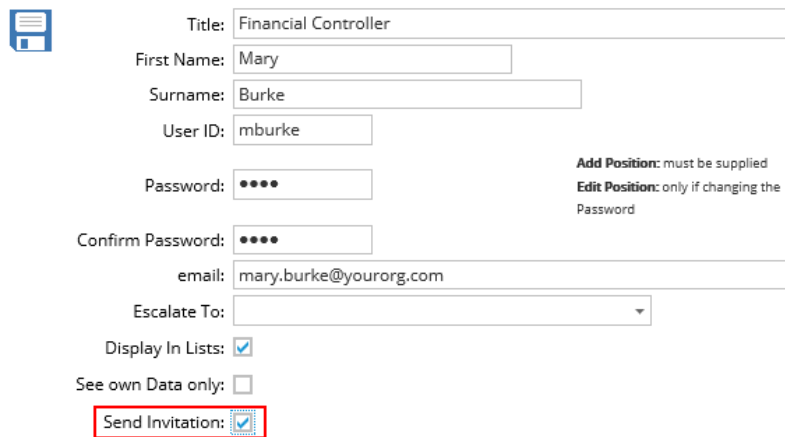
The URL for normal access to TriLine GRC is: http://host.triline-grc.net/ABC1234

Triline GRC Administrator

Send email to all Users

An Administrator can send an email to all TriLine GRC users with a new Maintenance menu option. This could be used, for example, for notification of any planned system outages.

Maintenance   Help

Change Task Due Date

Security Centre

Audit Trail

Business Unit

Configuration

Holidays

Re-activate Completed Tasks

Send Email to all Users

Send Email to all Users

Subject

Message

B *I*   TriLine GRC Report   (Font Size)

Design   HTML   Preview

TriLine GRC

TriLine GRC V2.0.0 – New Features

Module Administrators

The Module Administrator is a new role to manage the maintenance within a Module (Compliance, Risk, KRI, Events and Contracts). This role is not a full System Administrator and is limited to functions related to the Module. There can be multiple Positions designated as a Module Administrator within a Module and a Position can be a Module Administrator in multiple Modules.

Module Administrators are designated on the Security Centre – System Groups tab.

The menu displayed for each Module will include the same Maintenance items as seen by a System Administrator. For example, if the Position is an Administrator – Compliance then they would see the following 'extra' items on the Compliance menu:

They will also see a limited Maintenance menu where the records affected are limited by Module:

TriLine GRC

TriLine GRC V2.0.0 – New Features

Cookies are off the menu for grids

Up until now every time you changed the layout of a grid (e.g. removed a column or set a filter) the resulting layout of the grid was stored in a Cookie. When you returned to that page the most recent layout would be automatically restored. This allowed you to personalise your own view within TriLine GRC.

Unfortunately this feature has not been available to all customers. Some companies either delete Cookies overnight or do not allow them at all. You were also limited to one layout.

With this release we have changed the way the layout is saved and restored so that all customers will be able to benefit from this feature. It will also mean that whatever browser or device you use the layout will be the same.

If you have already set your favourite layout on one or more grids you will have to reset them with this release.

Please note: As with the previous cookie usage you will need to do 'something' to make the layout change be recorded (e.g. change the page, click through one of the records, sort the grid etc.).

Please note: The TriLine GRC Dashboard still requires Cookies to store the location of each Widget.

Save the layout of your favourite list

The Compliance List, Contracts List, Events List, KRI List and Risk List now have the facility to save multiple layouts (as you can already do with AdHoc Queries). Each user can define their own layouts.

Note: On the Event List screen the tick boxes to display 'Closed' records and records to be deleted are not included in the layout.

Hosted Email

If your site is hosted by TriLine GRC all outbound emails will be from: do-not-reply@triline-grc.net. We are making this change to improve the delivery of emails.
Note: You need to contact your IT support to ensure this email address is valid within your mail system.

Triline GRC

TriLine GRC V2.0.0 – New Features

Spell Checker

Each user can now create a custom dictionary of words using the Spell Checker function. Each user will have their own custom dictionary. The Spell Checker will ignore the following:

1. Words in capitals
2. A combination of words and numbers
3. Email addresses
4. Web URL's.

Formatted Text

Click the Spell Checker icon in the toolbar.

Other text fields

On other text fields the Spell Checker icon appears to the right of the field.
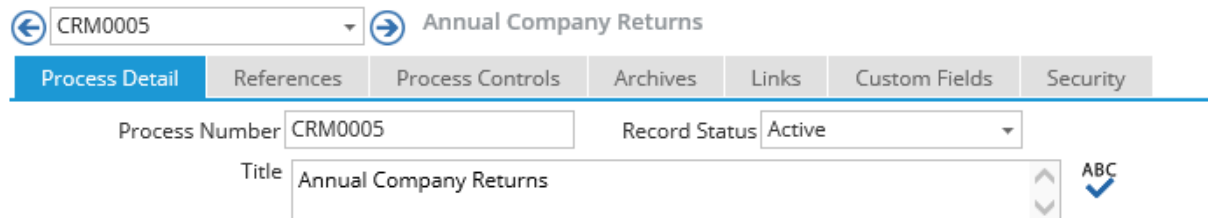
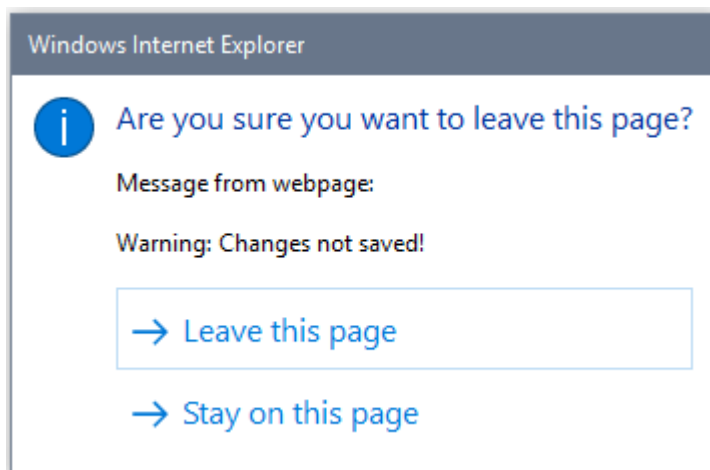TriLine GRC

TriLine GRC V2.0.0 – New Features

Add 'Changes made' alert when leaving a page

If changes are made when editing a Compliance Process, Risk, KRI, Event, Register or Contract an on screen indicator will appear (red/black asterisk next to the page title). This is a visual cue to alert the User that changes have been made and a Save may be necessary.

Compliance Process *

CRM0005   Annual Company Returns

| Process Detail | References | Process Controls | Archives | Links | Custom Fields | Security |

Process Number CRM0005   Record Status Active

Title Annual Company Returns   ABC ✓

If the User leaves the page without saving (e.g. select another menu item) a warning message will display.

Windows Internet Explorer

ⓘ Are you sure you want to leave this page?

Message from webpage:

Warning: Changes not saved!

→ Leave this page

→ Stay on this page

TriLine GRC

TriLine GRC V2.0.0 – New Features

More information in Audit Trail Login

For customers hosted by TriLine GRC or self-hosted customers where they allow external access to their TriLine GRC site we now capture the Geo-Location and operating system of any user that log's in or attempts to login.

Type	Reference	User Name	Date/Time	Details
Login	james	Ima Beancounter	27/06/2016 3:03 PM	Login with valid credentials from 502.26.120.110 at 15:03:30 Location: Brisbane Queensland Australia Operating System: Windows 10

An email is automatically sent to the Notification Email address when this occurs.

Mon 6/02/2017 11:32 AM

notification@trilinegrc.com

Failed login attempt to TriLine GRC

To   notification@trilinegrc.com

**** DO NOT reply to this email ****

Warning - A failed login attempt occurred into your TriLine GRC System. The details are as follows

Login attempt with **invalid** credentials (User ID: fred.smith)
At 11:31:47
Operating System: Windows 10

TriLine GRC

TriLine GRC V2.0.0 – New Features

Express Completion for Tasks

The Express Completion for Tasks provides a quick way of completing a Compliance Process, Risk Treatment or Contract Task. It is only available in the following situation:

1. Express Completion is selected in Configuration.
2. The Task has a positive/negative Outcome (e.g. True/False or Yes/No).
3. A comment is not required for a positive Outcome (Configuration setting).
4. An attachment is not required for the Task.

A new icon will appear on the Current Tasks tab of the My Tasks page next to the pen icons:
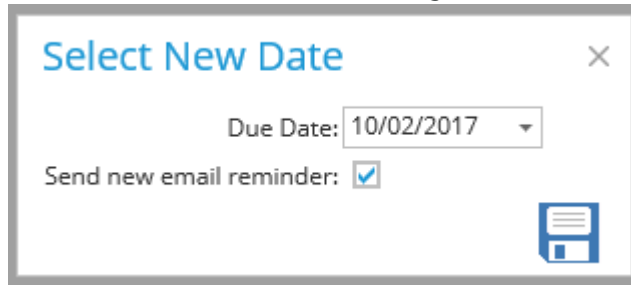

If Yes is clicked the Task will be completed.

If No is clicked the standard completion screen will be displayed.

TriLine GRC V2.0.0 – New Features

Change of Task Due Date

When the Due Date of a Task is changed a new reminder email can be sent to the Position.

Select New Date   ×

Due Date: 10/02/2017   ▼

Send new email reminder: ☑

The details of the change will be recorded and displayed in the Task history on screen and in reports.

KRI History

KRI0005   Call Centre staff retention

Due Date: 10/02/2017   ▼

| Details | Comments | Attachments |

Task: Obtain details on staff turnover by reason.

Due Date: 10/02/2017   **Actioned On:** 6/02/2017   **Reporting Period:** Monthly   **Ending:** Jan 2017

Value: 97.70%   **Target:** 97.70%   **Forecast:** 97.70%

Trend: 🟧   **Rating:** 🟢   **Threshhold:** 95.00%

Allocated To: GM - Finance & Administration
Ima Beancounter

Completed By: GM - Finance & Administration
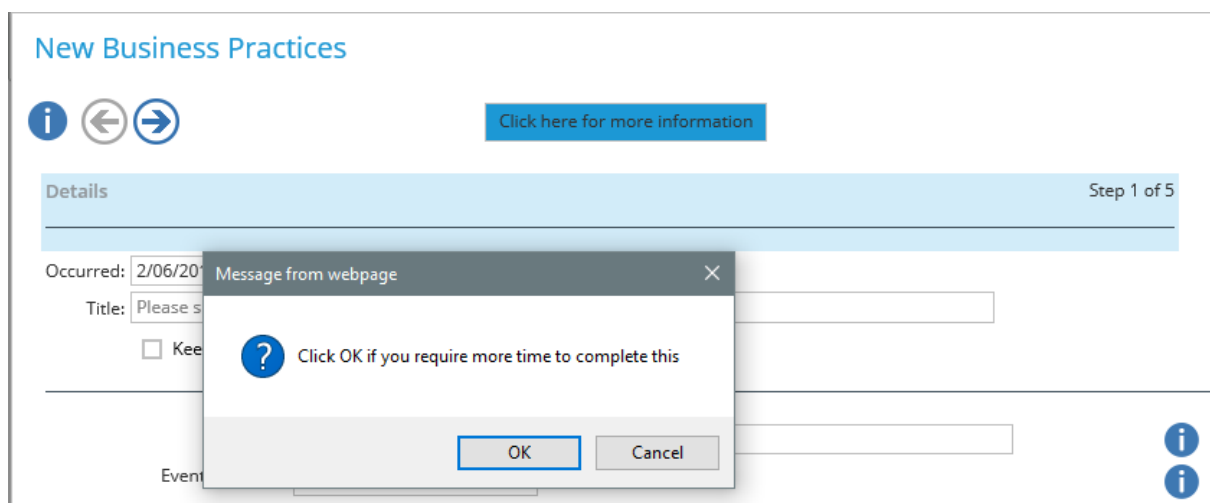Ima Beancounter

Original Due Date Changed

Original Due Date: 27/01/2017   Date Changed: 6/02/2017

Authorised By: Fred Williams, General Manager

Reason: Need more time to gather information

Creating an Event

When creating an Event the user will receive a warning after 25 minutes offering to extend the time to complete the Event. **Please Note:** For self-hosted customers the IIS Timeout needs to be set to more than 25 minutes.

New Business Practices

ℹ ⬅ ➡   Click here for more information

| Details | Step 1 of 5 |

Occurred: 2/06/201

Title: Please s

☐ Kee

Message from webpage   ×

? Click OK if you require more time to complete this

OK   Cancel
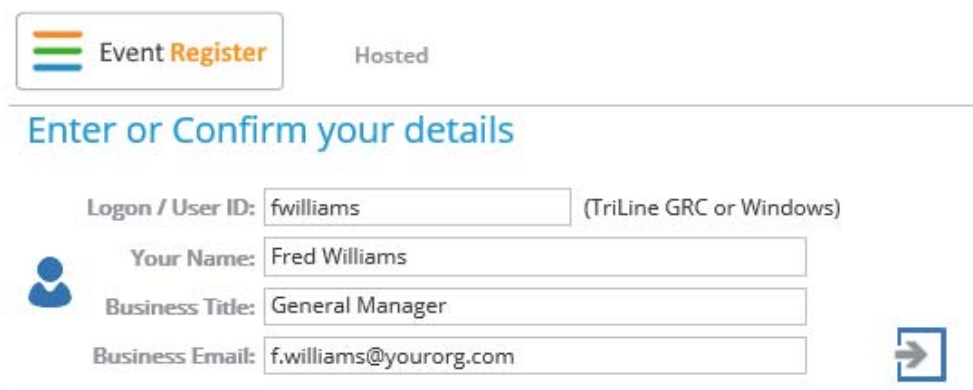
Event

TriLine GRC V2.0.0 – New Features

Event Types linked to Event Categories

Event Types are now linked to Event Categories. Only the linked Categories will be available when editing an Event. If the Event Type is changed the Category and Sub-Category will have to be selected again. When creating a new Category there will be an option to automatically link all Event Types. When creating a new Type there will be an option to automatically link all Event Categories.

On upgrade to this version all Event Types will be linked to all Categories.

Event Portal

The field names in the Event Portal have been modified to provide more clarity on the values expected to be entered.

Notification on change of Event Type Managers

When the list of Event Type Managers is modified all selected positions will be advised of the membership of the list.

Event List AdHoc Queries

The two Event List AdHoc Queries now includes a 'Days' column showing the number of days since the Event was created if not closed or the number of days the Event was open for.
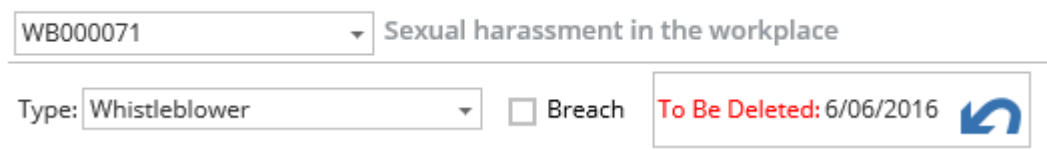
The date range selection has been improved to ensure that all records where Occurred Date is the 'To' date will be returned.

Recover Deleted Events

It is now possible for Administrators to recover deleted Events (depending on your Configuration settings for Deletion Days). When there are Events that have been 'deleted' a new option will appear on the Event List screen for Administrators to display Events marked 'To be deleted'. A new column will also be available to display the record status (Active or To be deleted).

On the Event screen a new option will appear to reactivate the Event if required.

A list of Events to be deleted will appear in the 'Records To Be Deleted' report.

TriLine GRC V2.0.0 – New Features

Navigation buttons on new Event screen

The new Event screen now has navigation buttons at the 'four corners' of the screen to simplify moving between the pages.

New Customer Complaint

Click here for more information

Attachments   Step 4 of 5

Browse ...   Remove

Add File

Event Notes

The facility has been added to allow Event Notes to be edited and deleted.

TriLine GRC V2.0.0 – New Features

Highlight Inactive and To Be Deleted records in lists

When Inactive or To Be Deleted records are selected to be displayed in lists they will be colour highlighted. Placing the mouse over a record to be deleted will display the deletion date.

Compliance Processes

	Number	Title	Status	
		for Regulatory Compliance	Active	
	C4	A Change of Directors	To Be Deleted	
	CRM0010	Reputation	Inactive	

Page 1 of 2 (23 items) 1 2

Enter text to search...

Drag a column header here to group by that column

To be deleted on 15/06/2016
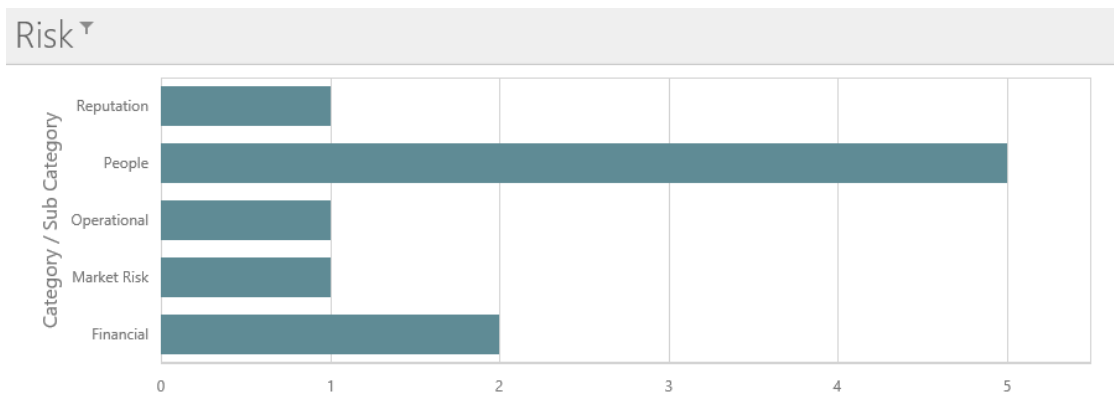
Redefined Y Axis on bar charts

The Y Axis on bar charts will no longer display random tick marks.

Current:

New:
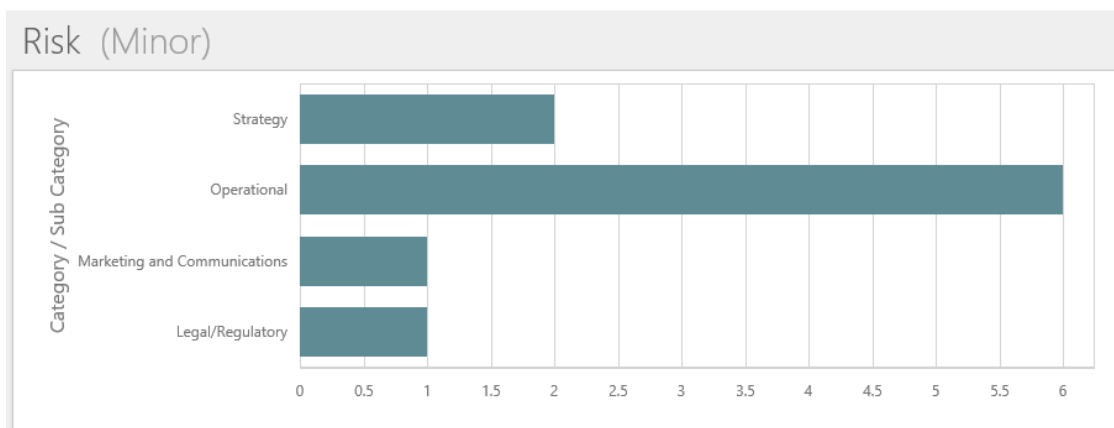
TriLine GRC

TriLine GRC V2.0.0 – New Features

Add Group By to AdHoc Queries

Most AdHoc Query screens now include the ability to use the Group By function (drag a column into the Group By area). Data exported to MS Excel will be in Group Order.

Adhoc Query: Compliance Process

Layouts | Saved Layouts

Enter text to search...

Category ▲

		Number	Title	Business Unit	Status

⊕ Category: Board Policy

⊕ Category: Business Continuity

⊙ Category: Environmental

| | CRM0055 | Due Diligence Process (conformance checking of business processes) for all major projects. (eg IT systems update) | Risk and Compliance | Active |
| | CRM0075 | Advertising | Executive Management | Active |

A	B	C	D	E
	Number	Title	Business Unit	Status
	Category: Environmental			
	CRM0055	Due Diligence Process (conformance checking of business processes) for all major projects. (eg IT systems update)	Risk and Compliance	Active
	CRM0075	Advertising	Executive	Active

Triline GRC

TriLine GRC V2.0.0 – New Features

Current Tasks by Business Unit

This new Dashboard Widget will display Current Tasks by Business Unit.
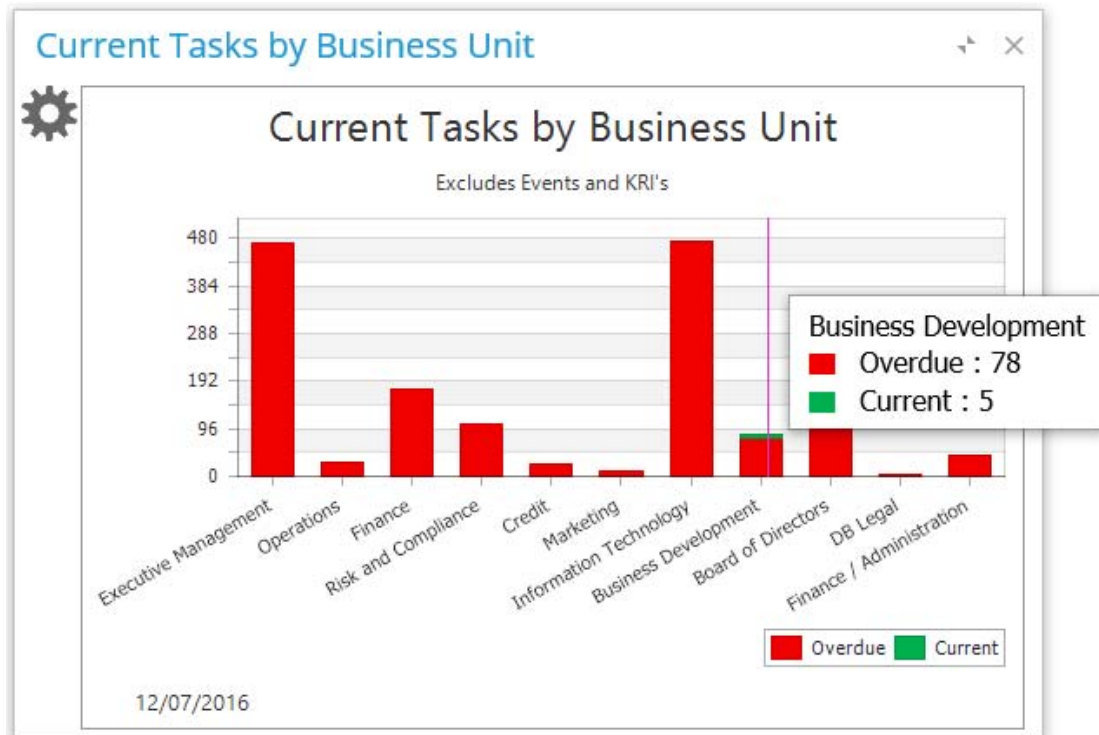
Filters include: Actioned By, Responsible Officer / Owner and Tags.

Note: The chart does not include KRI, Register or Event Tasks as these record types are not linked to a Business Unit.

Tasks Completed reports

All Task Completed reports now include an option to select records by the date completed rather than the due date of the Task (default).
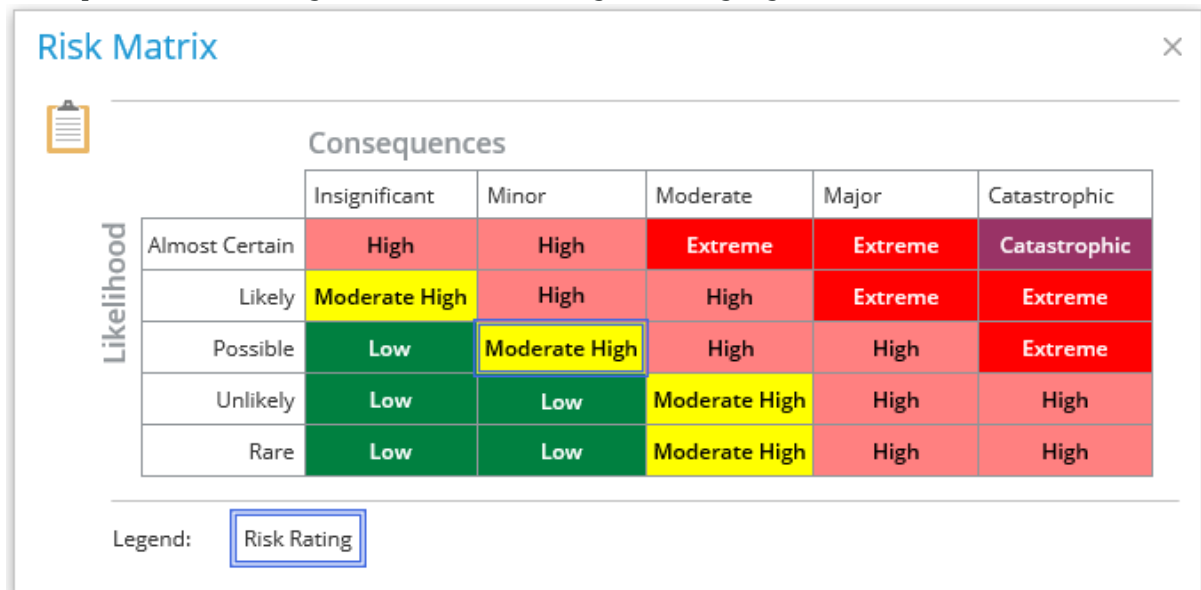
TriLine GRC

TriLine GRC V2.0.0 – New Features

Highlight current values in the Risk Matrix

When the Risk Matrix is displayed for a Risk the Inherent and Residual values will be highlighted in the Matrix.
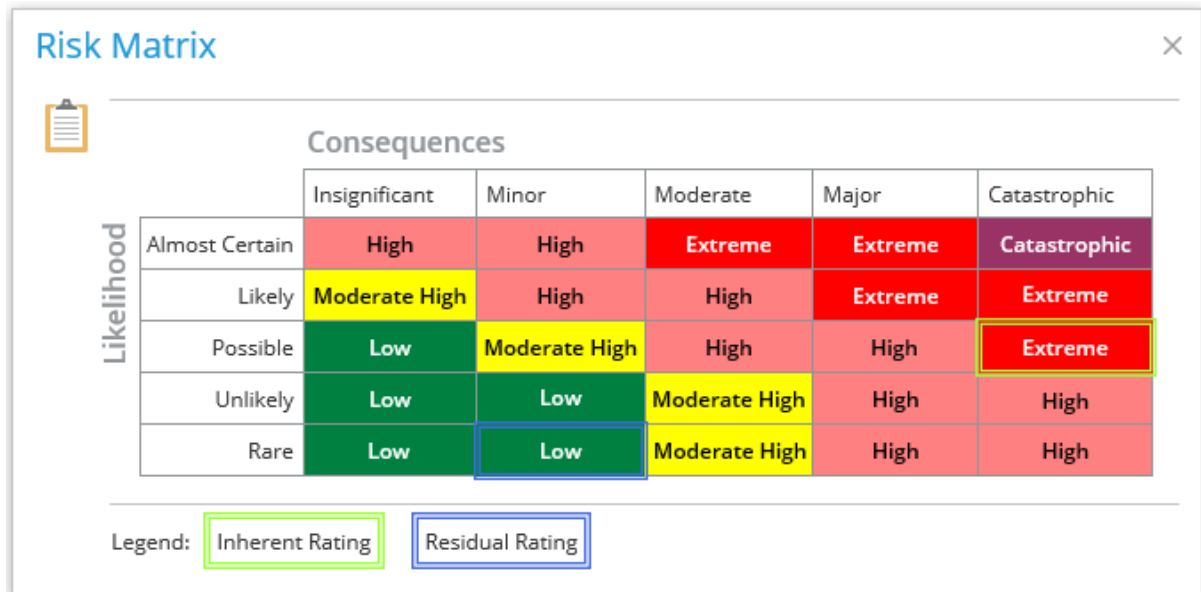
If Compliance Risk is being used the current Rating will be highlighted.

TriLine GRC V2.0.0 – New Features

Risk Aggregation by Category

A new option is available where Risk Scoring is being calculated to display the Risk Aggregation by Category. The Aggregation will show the number of Risks in each Category and Sub-Category, the maximum Risk Score, minimum Risk Score, average Risk Score and median Risk Score (the mid-point). Clicking the icon to the right will display the Risks in that Category or Sub-Category. Both the Aggregation grid and the Risk grid can be exported to MS Excel. The colours relate to the Risk Score Bands.

Risk Aggregation by Category

Page 1 of 1 (10 items) 1 Page size: 10

Enter text to search...

	Category	Risks	Maximum	Minimum	Average	Median	
⊞	Capital Risk	3	13.5	0.75	6.25	4.5	
⊞	Ethical	2	4	3	3.5	3.5	
⊟	Financial	3	9	1.13	3.88	1.5	

Page 1 of 1 (2 items) 1 Page size: 10

Enter text to search...

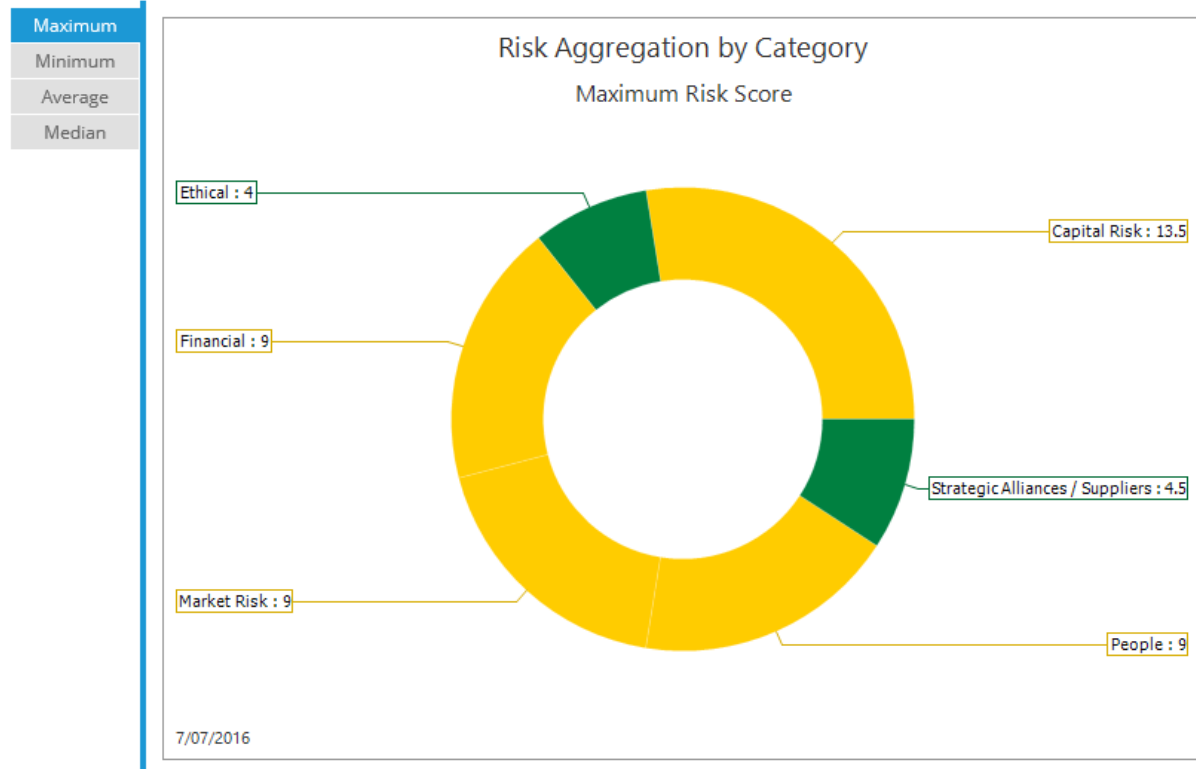| Sub-Category	Risks	Maximum	Minimum	Average	Median	
Cash Flow	2	9	1.5	5.25	5.25	
Interest Rates	1	1.13	1.13	1.13	1.13	

Page 1 of 1 (2 items) 1 Page size: 10

TriLine GRC V2.0.0 – New Features

Risk Aggregation by Category Charts

A new option is available where Risk Scoring is being calculated to display the Risk Aggregation by Category in chart form. An individual chart is available for each Risk Score measure (Maximum, Minimum, Average and Median). The colours relate to the Risk Score Bands.
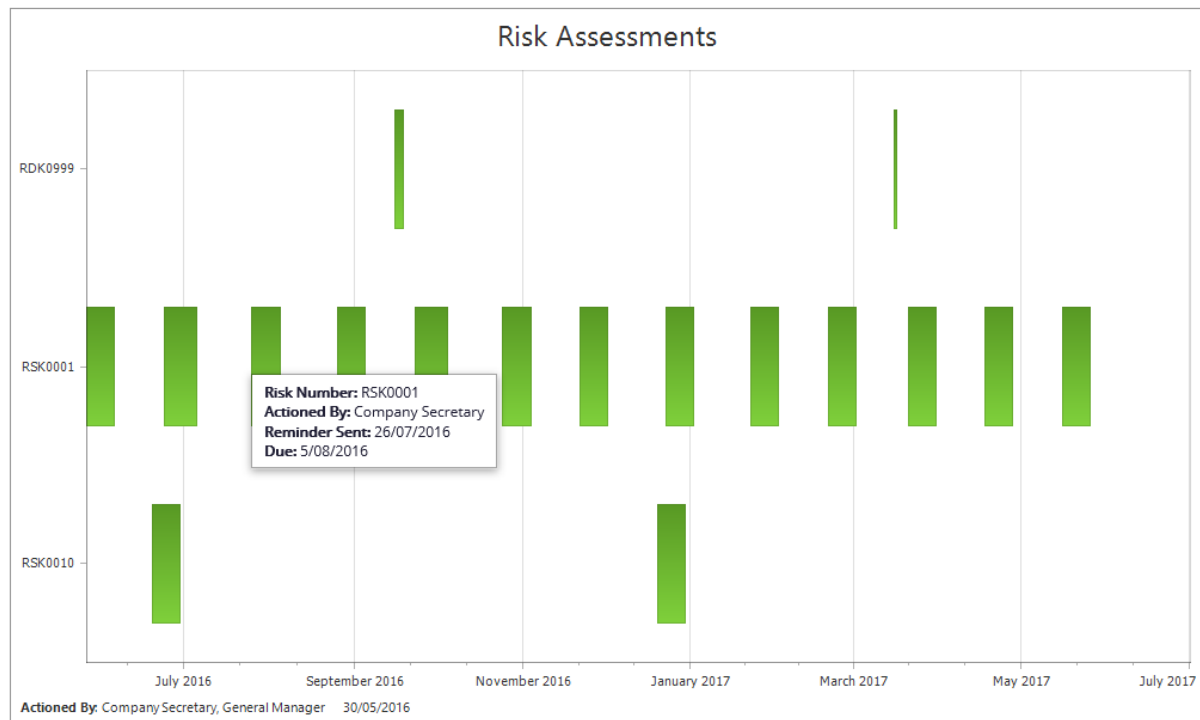
Risk Assessments Gantt chart

This chart will show future Risk Reviews. The range for each one represents the Reminder and Due dates of the task. The available selection criteria are:

1. Due Date range
2. Business Unit
3. Risk Category
4. Risk Owner
5. Review Actioned By
6. Tags

Risk Assessments

TriLine GRC V2.0.0 – New Features

Risk Rating Score Comparison chart

If both Inherent Rating Score and Residual Rating Score are selected in the Configuration a new chart will be available.

Configuration

| General	Monitor	Maintenance	Risks	Event Register	Customisation

Risk Assessment ⓘ

☑ Calculate Inherent Rating Score using Likelihood and Consequences as | Inherent Rating Score |

☑ Calculate Residual Rating Score using Likelihood and Consequences as | Residual Rating Score |

The chart will show the comparison between the Inherent and Residual Rating Scores.

Risk Rating Score Comparison
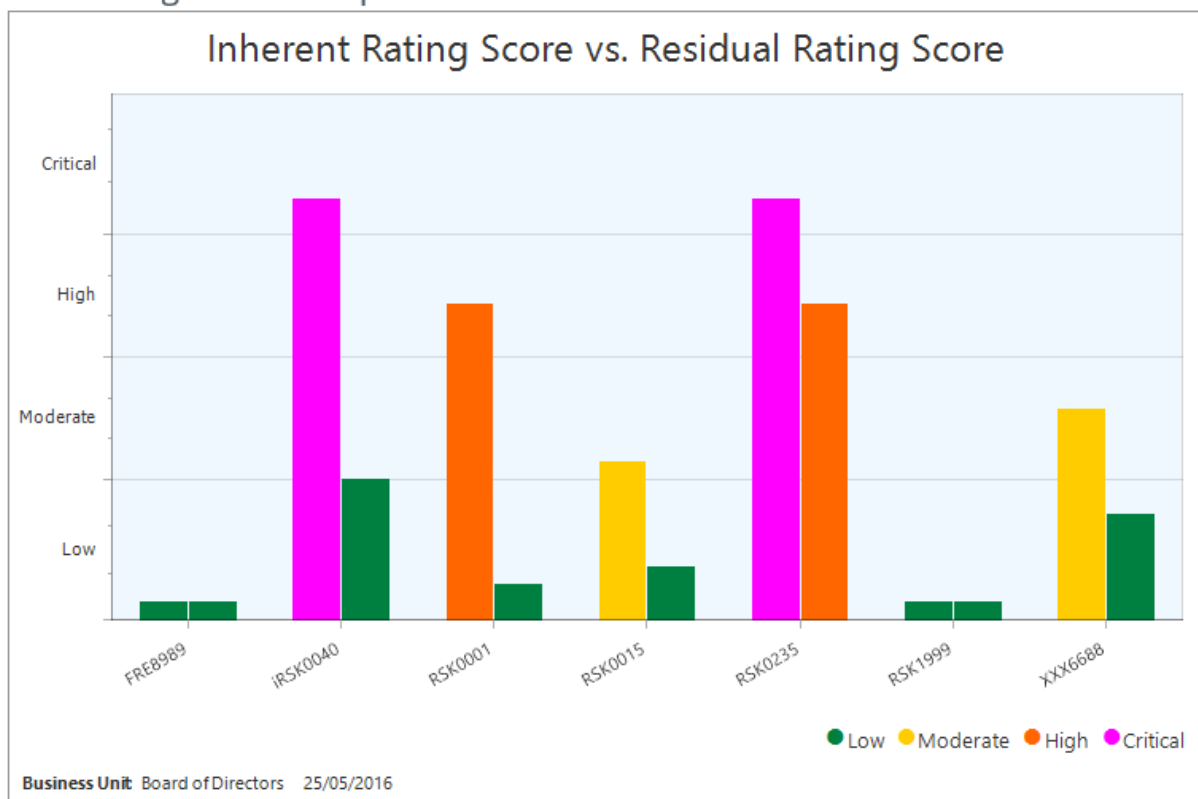
TriLine GRC

TriLine GRC V2.0.0 – New Features

Risk Summary Report

This new report provides a high-level summary of your Risks is available on the Risk Reports screen. The fields that appear and the terminology will be based on your configuration.

Number	Risk	Inherent Rating	Inherent Rating Score	Residual Rating	Residual Rating Score	Risk Score	Appetite	Status	Next Review
ABC.4444	Staff Risk	Catastrophic	30.00	Extreme	16.00	4.00	25.00	Effective	27/09/2016
iRSK0040	Third Party Providers	Extreme	24.00	High	8.00	3.00	30.00	Effective	1/07/2016
iRSK1999	Reputation	Moderate	6.00	Low	1.00	0.06	2.00	Effective	
RDK0999	Hostile Takeovers	Extreme	18.00	High	8.00	4.50	0.00	Effective	19/09/2016

The filters for the report are very similar to the Risk List report with the addition of being able to select the top 5, 10, 15 or 20 Risks by the Risk Score.

Clicking the 'filter' icon in the report viewer (top right) allows you to sort the report by any of these fields: Risk Number, Risk Score, Inherent Rating, Inherent Rating Score, Residual Rating, Residual Rating Score and Risk Status.

Risk Assessment Dashboard

The Risk Assessment tab now includes a Risk Assessment Dashboard. The Dashboard shows the Inherent Rating Score, Residual Rating Score and Risk Score as a 'gauge'. Each colour represents a Risk Score band.

The terminology, colours and 'gauges' shown will be consistent with you configuration settings.
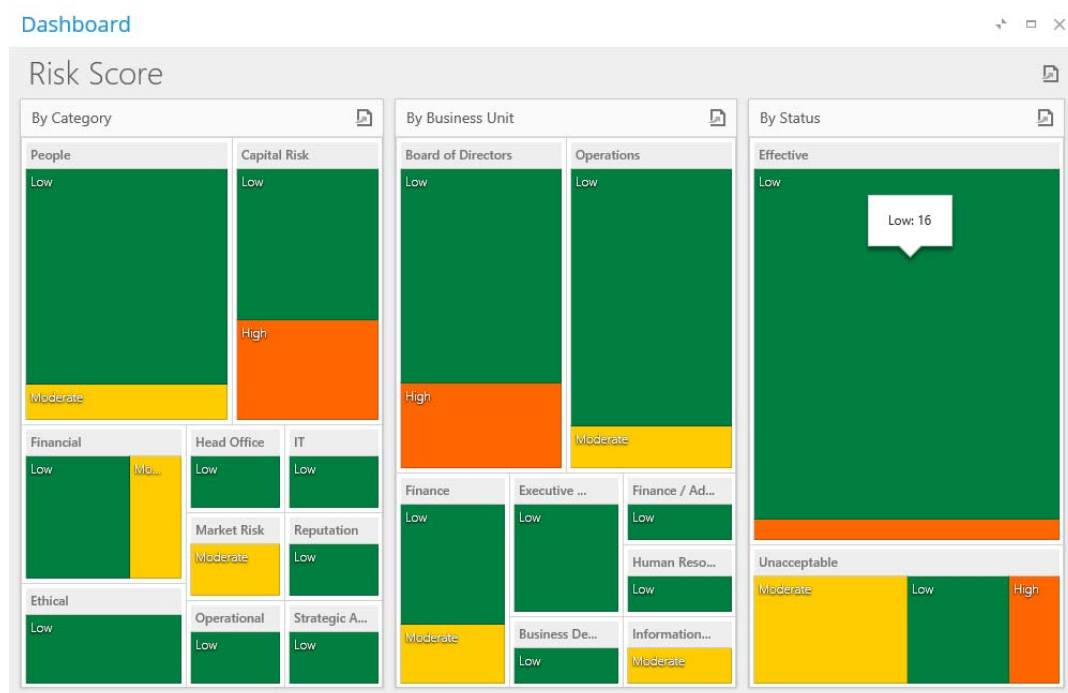
TriLine GRC

TriLine GRC V2.0.0 – New Features

Residual Risk Rating and Residual Risk Score Dashboards

Two new Dashboards are available for Risk from the Risk Menu – Residual Risk Rating and Residual Risk Score (if configured). The new Dashboards will display the number of Risks by Category, Business Unit and Risk Status for each Risk Rating and Risk Score band value. For example, in the screen shot below there are 5 Risks with a Rating of High in the People Category:
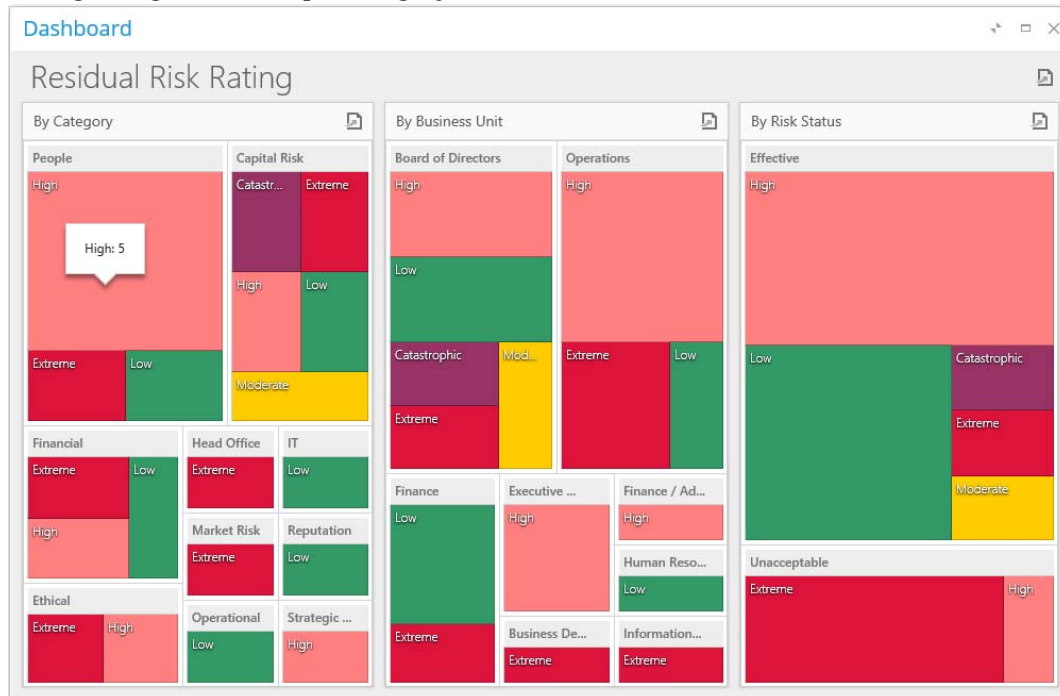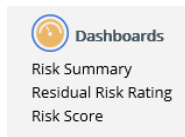
In the screen shot below there are 16 Risks with a Residual Risk Score in the Low band where the Status is Effective:

Note: The volume of each colour block reflects the size not the shape. In the Capital Risk example in the Risk Rating Dashboard all the values are the same even though the shapes are different.

TriLine GRC V2.0.0 – New Features

Changes to the Risk Score Calculation recorded for each Risk

When the Risk Score Calculation is modified all Risk records are updated to reflect the new calculation. With this release the changes will now appear in the History for each Risk.

Risk

RSK0001   Hardware failure

| Risk Details | Environment | Assessment | Treatments | Occurrence | Archives | Links | Custom Fields | Risk Hierarchy | Security | History |

Page 1 of 4 (33 items)   1   2   3   4   Page size: 10

Enter text to search...

Date	Person	Details
30/09/2016	Ima Beancounter	Updates on change of Risk Score formula or values Risk Score changed from 44.00 to 11.00

TriLine GRC

TriLine GRC V2.0.0 – New Features

KRI History Order

A new configuration setting will allow KRI History to be presented in 'Latest → Oldest' (default setting) or 'Oldest → Latest' order. This is a global setting.

KRI 6 Month Summary

All KRI's

Number	Title	May 2016	Apr 2016	Mar 2016	Feb 2016	Jan 2016	Dec 2015
KRI0001	Number of Customer Complaints		■2				
KRI0003	Loan portfolio			■$1.23B			

KRI 6 Month Summary

All KRI's

Number	Title	Dec 2015	Jan 2016	Feb 2016	Mar 2016	Apr 2016	May 2016
KRI0001	Number of Customer Complaints					■2	
KRI0003	Loan portfolio				■$1.23B		
KRI0006 a	Test for Owner	■13.95	■12.75	■15.4	■15.4	■15.7	

This applies to reports and Dashboard Widgets.

KRI Interactive Dashboard

The Category chart of the Dashboard has been modified to display the Rating by Category. The colours in the chart will be set to your KRI Rating values.
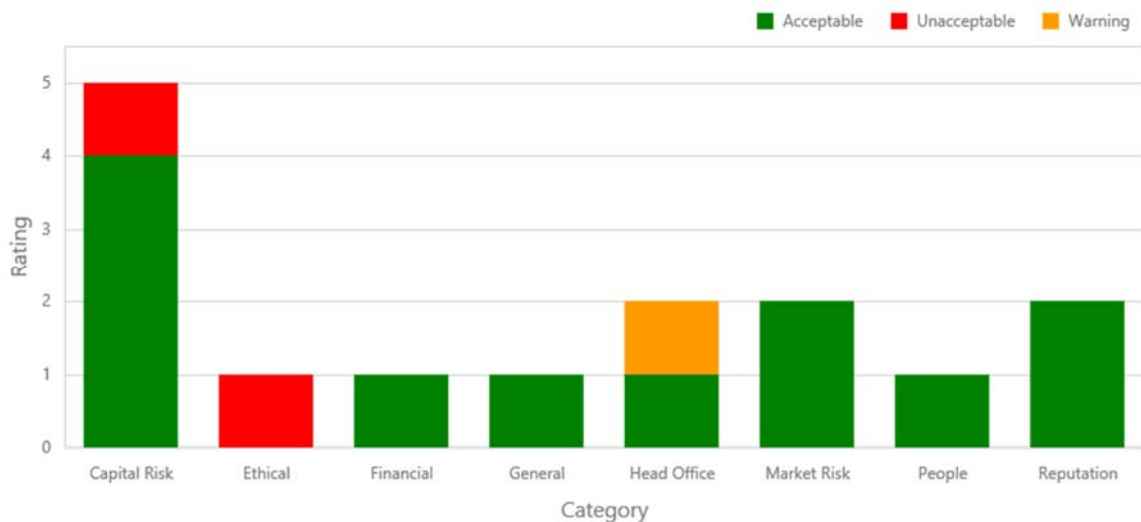
Remember: Any Interactive Dashboard or Dashboard element that is exported will not show 'your' colours. For best results use the Snipping Tool (for MS Windows) to cut any required image or right click on the element and select 'Save Picture As' from the popup menu and then select PNG as the file type (if using MS Internet Explorer or MS Edge).

TriLine GRC V2.0.0 – New Features

KRI Rating by Category Chart / Widget

This chart will display the KRI Rating by Category and will be available from the KRI Charts menu and from the Dashboard.
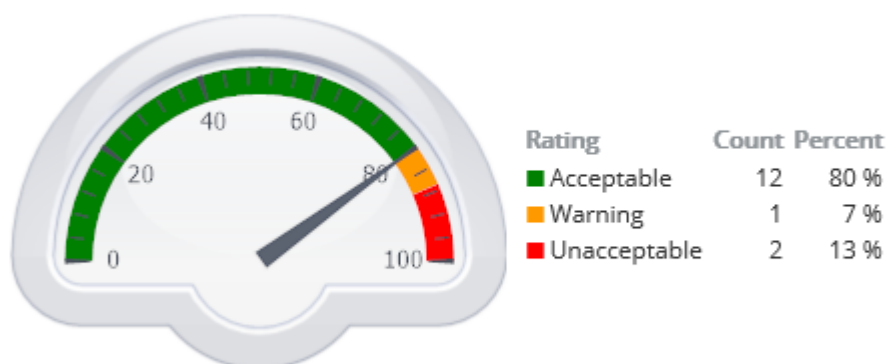
The Filters available for this chart are: Trend, Owner and Tags.
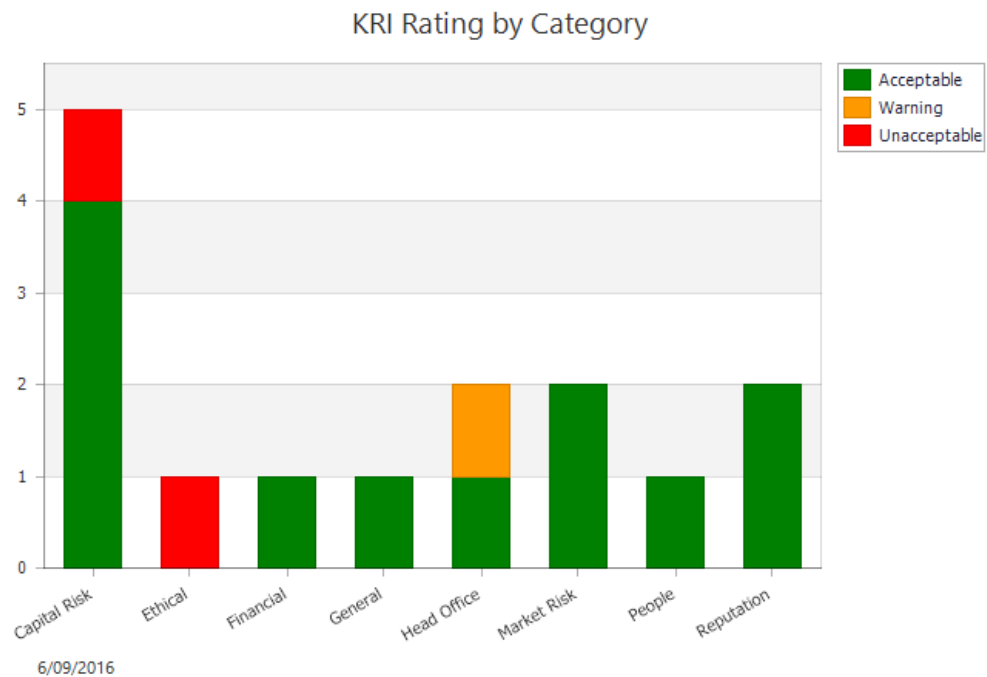
KRI Rating as Percent Chart / Widget

This chart displays the latest KRI Rating as a percent and will be available from the KRI Charts menu and the Dashboard.

The Filters available for this chart are: Category, Trend, Owner and Tags.

To copy the chart right click on the image and select copy. This will copy just the image.

To copy all the information on-screen (e.g. title, filters and legend) click the Copy to Clipboard icon which will appear to the left of the image.

TriLine GRC V2.0.0 – New Features

KRI Current Summary Report

The KRI Current Summary report provides a high-level summary of KRI Rating. You can also optionally include the KRI 6 Month Summary report in the same document to provide more granular information.

The Filters available for this report are: Category, Owner, Tags, Trend and Rating.

TriLine GRC V2.0.0 – New Features

KRI History available when viewing a KRI

The KRI History chart can now be displayed when viewing a KRI. Click the chart icon on the Measurement tab to automatically display the history for the previous 12 months.

The history range can be modified on the displayed chart.

TriLine GRC V2.0.0 – New Features

Export KRI History

The KRI History screen now has the option to export the Summary to MS Excel.

New filters for Process Control reports

You can now select from the Process Control Custom Fields as filters for the Completed Tasks, Current Tasks, Current Tasks Summary and Overdue reports.

New filters for Treatment reports

You can now select from the Treatment Custom Fields as filters for the Completed Tasks, Current Tasks, Current Tasks Summary and Overdue reports.

TriLine GRC V2.0.0 – New Features

In-Report Sorting

The following reports now allow sorting within the report by clicking on the 'filter' icon in the report viewer (top right). The sort options will be relevant to the report content and your Configuration settings.

If Group By is set for the report the sorting will be within each Group.

Report	Sort Options
Risk Capital Allocation	Risk Number Capital Amount Capital Percent
Risk Summary Report	Risk Number Risk Score Inherent Rating Inherent Rating Score Residual Rating Residual Rating Score Risk Status Next Review Date
Risk Score Exceeds Appetite	Risk Number Risk Score Risk Appetite
Risk Score Change	Risk Number Risk Score
Escalated and still Overdue	Record Number Due Date Allocated To
KRI 12 Month Summary	KRI Number Current Rating
KRI 6 month Summary	KRI Number Current Rating
KRI Current Summary	KRI Number Current Rating **Note:** Sorting does not extend to the 6 Month Summary report if included.

TriLine GRC V2.0.0 – New Features

Interactive Dashboards

The Events and Contracts Interactive Dashboards include a timeline selection. With this release there is a new button available when you hover over the timeline that will allow you to select a timeline without dragging.
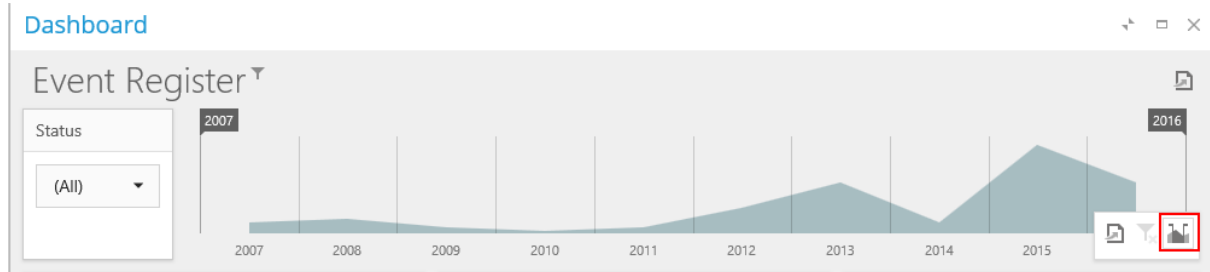
Select the timeline from the popup.

TriLine GRC V2.0.0 – New Features

LexisNexis Obligations

Australian hosted customers can now subscribe* to the LexisNexis Obligations and have it fully integrated within TriLine GRC- refer http://www.lexisnexis.com.au/compliance/.

* LexisNexis content is only available in Australia at the moment.

Registers

It is now possible to create your own 'Registers' in a similar manner to the existing Event module but without the extraneous fields. Each Register will consist of a 'form' that you can design yourself.

One or more positions can be allocated as 'Designer' for an individual Register. The Register Designer will have complete control over the design of the form and the security related to the Register.

As well as the existing field types available for Events we have added the following field types:

Multi-select Box	List of values (select one or more)
Radio-button List	List of values (select one only) – displayed three across
Notification	List of existing TriLine GRC Positions (select one only) to be notified on a new record. Only Positions with security rights to the Register Type will be available for selection. This will be a compulsory field if included.
Currency with Alert on value	Currency value with an alert value defined (whole number). If the value entered is greater than or equal to the alert value an email is sent to the Register Owners.

Each Register will:

1. consist of any number of customer defined fields
2. have a prefix code added to the automatic number (can be changed)
3. have an (optional) icon to be displayed on screen (select from pre-defined list)
4. be available in a common portal (for all Registers) to allow records to be created 'outside' of TriLine GRC
5. have the standard TriLine GRC security paradigm applied
6. have it's own unique Status values
7. have a flag to indicate if the creator will be advised on change of Status (global for all records of that Register type)
8. have a mandatory Title field included automatically (300 characters).

Triline GRC

TriLine GRC V2.0.0 – New Features

The available icons are:

Types of Register

		Icon	Name		Prefix		Portal	Auto Alert	Status Update		
						🔍	🔍	🔍	🔍		
✏️	🗑️	🪙	Conflict of Interest		CON		☑	☑	☑		
✏️	🗑️	🎁	Gift and Benefit		GaB		☑	☐	☐		

TriLine GRC V2.0.0 – New Features

New Gift and Benefit Register record

Gift and Benefit

Field	Value
Title:*	Melbourne Cup
Recipient*	Marketing Department
Date received or offered*	1/11/2016
Type of Gift or Benefit*	Hospitality
Description*	Melbourne Cup function at Hilton Hotel
Presented by*	ABC Pty. Ltd.
Estimated value*	$400
Intended use	

Review

Field	Value
Reviewed By*	Company Secretary

Triline GRC