# Tri ine GRC

# TriLine GRC V2.1.0 – New Features

| Interface Changes  | 3              |
|--|----------------|
| Logout Required  | 3              |
| Managing User Sessions                                     | 3              |
| My Tasks becomes My Summary                                | 4              |
| Create Register and Create Event                           | 5              |
| Button click feedback                                      | 5              |
| New options when exporting to MS Excel                     | 5              |
| Help menu location   | 6              |
| New Saved Layouts  | 6              |
| Register List  | 6              |
| Register AdHoc Query / Register History Adhoc Query        | 6              |
| Events with Form Fields                                    | 6              |
| Grids 'contained' within the available screen              | 7              |
| Linked KRI's moved from Assessment to Links tab on Risk    | 8              |
| Configuration Page   | 8              |
| Password Strength indicator on Login Page                  | 9              |
| Compliance Process Tasks retitled 1                        | 0              |
| Risk Rating Map 1  | 0              |
| AdHoc Queries, Reports and Charts 1                        | 1              |
| Report output format 1                                     | 1              |
| Reminder Date / Days in Adhoc Queries 1                    | 1              |
| Residual Risk Rating by Risk Chart 1                       | 2              |
| KRI by Trend Chart 1                                       | 3              |
| KRI by Rating Chart 1                                      | 3              |
| Taxonomy Report  | 4              |
| Linked Obligations as filters on Process Control reports 1 | 4              |
| Report File Name 1   | 5              |
| Events and Registers                                       | 6              |
| New field type 'Display Text' for Events and Registers 1   |                |
|  | 6              |
| Mandatory attachments for Events and Register Tasks 1      |                |
| Mandatory attachments for Events and Register Tasks        | 7              |
|  | .7             |
| Register Title field re-purposed 1                         | .7<br>.7<br>.7 |

| Portal Changes                                       | 9 |
|--|---|
| Merged Portal  | 9 |
| Portal Registration                                  | 9 |
| Portal History                                       | 9 |
| Fast Add Note or Attachment                          | 0 |
| Security Centre                                      | 0 |
| Portal Users included in 'Send Email to all Users'   | 0 |
| Archive Events                                       | 0 |
| Improved help text for fields                        | 1 |
| Limit who can create a new Register or Event record  | 2 |
| Statistics   | 3 |
| Maintenance  | 6 |
| Bulk loading Positions                               | 6 |
| Monitor alerts on errors                             | 7 |
| Add Notes to Compliance, Risk and KRI records        | 8 |
| Compulsory Note on Risk Assessment change (optional) | 9 |
| Risk Score Bands changed from 4 to 5                 | 0 |
| Change History for 'Contract With' records           | 0 |
| Tasks  | 1 |
| Contract Renewal Alert Task                          | 1 |
| Task Due Date change history   33                    | 2 |
| Express Complete One Click                           | 3 |
| Customise and create Interactive Dashboards          | 4 |
| Data Sources   | 5 |
| Getting Started                                      | 5 |
| Create a Home Screen icon on your mobile device      | 5 |
| Control Inventory                                    | 6 |
| Document Library Module                              | 8 |
| Effective Date                                       |   |
| Things to do before you upgrade                      |   |
| Things to do after your upgrade                      |   |
|  |   |

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

# **Interface Changes**

### **Logout Required**

This release has increased security. One of the new items is the inability for a user to be logged in more

than once. If a user does not logout using either the menu item or the 🔀 at the top right corner they will not be able to log back in for 30 minutes.

### **Managing User Sessions**

If a user does not logout correctly and they are unable to log back in ("You are already logged in" error message), a TriLine GRC Administrator can release the user's session from the Maintenance | Manage User Sessions menu.

# Manage User Sessions



i Current User S

| essions |         | • |  |
|---------|---------|---|--|
|         | wdobell |   |  |

Select the user from the dropdown list then click the delete icon. Note: The current use will not appear in the list.

Recommendation: Have more than one or create a 'spare' TriLine GRC Administrator position (with 'Do Not Display In Lists' selected) that can be used if the locked user is an Administrator.

### My Tasks becomes My Summary

The default landing page for TriLine GRC has been updated and will now load faster than before.

# Ourrent Tasks Roles & Responsibilities Temporary Allocation My Reports / Charts

The information on the Current Tasks, Temporary Allocation and My Reports / Charts remain the same.

| My Summary         | /            | A new tab 'Roles & Responsibilities' replaces th  |
|--------------------|--------------|---|
| 🔒 Current Tasks    | Roles & Resp | previous 'Responsible For' and 'Tasks' tabs.  |
| Responsible For    | Count        | This tab provides a summary of what the curren<br>User is Responsible for and what repeating Tasl |
| Compliance Process | 17           | they are required to complete.  |
| Process Control    | 25           | It now also includes a list of where the current  |
| Risk               | 7            | user is the Escalation Point (for Overdue Tasks)  |
| Risk Treatments    | 5            | The Count column shows how many of each iter  |
| KRI                | 5            | apply. For example, in the screen shot to the le  |
| Event Type         | 7            | the current user is the Owner for 7 Risk records  |
| Events             | 43           | To display the relevant data for each row simply<br>click on the text or number and the data will |
| Contracts          | 6            | appear to the right of the list.  |
| Contract Task      | 2            |   |
| Obligations        | 264          |   |
| Register Types     | 5            |   |
| Registers          | 15           |   |
| Repeating Tasks    |              |   |
| Process Control    | 20           |   |
| Risk Riview        | 6            |   |
| Risk Treatments    | 7            |   |
| KRI                | 9            |   |
| Contracts          | 5            |   |
| Escalation         |              |   |
| Escalation         |              |   |

### **Create Register and Create Event**

Full height forward and back buttons have been added to the create screens for Registers and Events to simplify moving between the pages of information.

| New              | Register record              |  | ×           |
|------------------|------------------------------|--|-------------|
| 0                | 🛞 Gifts and Ber              | Click here for more information  |             |
|                  | Title:*                      | Enter a short Title (up to 300 characters)   | Step 1 of 3 |
|                  | Date Received or Offered:*   | ×  | 0           |
|                  | Offered To:*<br>Information: | The <b>Donor</b> field provide the name and address of the person or organisation providing the Gift or Benefit. | 0           |
|                  | Donor:                       |  | 0           |
| $\boldsymbol{<}$ |                              | ~  | >           |
|                  | Relationship:*               | Customer Partner Existing Supplier   | 0           |
|                  | Reason:*                     | B / D TriLine GRC Default + (Font Size) + A - Co   | 0           |
|                  |                              |  |             |
|                  |                              |  | ~           |
|                  |                              |  |             |

#### **Button click feedback**

To improve confirmation that a button click has been processed, a new full-width coloured banner will display at the bottom of the screen.

#### Process Updated

The banner will be coloured green for a positive result, red for an error, yellow for a warning or blue for information.



Error messages will also be displayed on screen as they are currently.

#### New options when exporting to MS Excel

When exporting to MS Excel there are now two options: Standard export and With Filters.

|            |                                    | Standard export is th  | e same as y  | ou expe       | rience currer       | itly.                             |  |  |  |  |
|------------|------------------------------------|--|--------------|---------------|---------------------|-----------------------------------|--|--|--|--|
| <b>S</b> X | Standard Export                    |  |              | -             | 1                   | -                                 |  |  |  |  |
| Y          | With Filters                       | With filters has the spreadsheet ready for data filtering.                 |              |               |                     |                                   |  |  |  |  |
| Number     | Title                              | Description  | Category     | Consequences  | Responsible Officer | Business Unit                     |  |  |  |  |
| ABC88888   | This is for Regulatory Compliance. | We have to do these regulatory things to make<br>sure we keep our license. | Board Policy | Insignificant | GM- HR & Marketing  | Board of Directors                |  |  |  |  |
| ACC0005    | Prudential Return                  | The Prudential Return that the company is required<br>to submit.           | Legislative  | Moderate      | General Manager     | Finance                           |  |  |  |  |
| 1          |                                    |  |              |               |                     |                                   |  |  |  |  |
| Number     | - Title                            | Description     Category   | - Consequ    | iences        | Responsible Officer | <ul> <li>Business Unit</li> </ul> |  |  |  |  |
| ABC88888   | This is for Regulatory Compliance. | We have to do these regulatory things to mak Board Policy                  | Insignifie   | cant          | GM- HR & Marketing  | Board of Directors                |  |  |  |  |
| ACC0005    | Prudential Return                  | The Prudential Return that the company is re Legislative                   | Moderat      | e             | General Manager     | Finance                           |  |  |  |  |

Please Note: When exporting With Filters, MS Excel does not wrap text in cells.

### Help menu location

The Help menu has been moved from the main menu to the top banner. The functionality remains the same.

| 257 Cu      | rrent Tasks (1 | 87 Overdue) | ?   |
|-------------|----------------|-------------|---|
| Obligations | Reports        | Dashboard   | Show Help<br>TriLine GRC Support Centre<br>About TriLine GRC<br>Version History |

### **New Saved Layouts**

### **Register List**

The Register List now allows saving Layouts for each Register Type.

| œ | Gi             | ifts and Ben          | efit   | s Register                        |   |                 |   | Layouts Reli                                  | ationship = Customers |   |              | • Q  |            |
|---|----------------|-----------------------|--------|-----------------------------------|---|-----------------|---|---|-----------------------|---|--------------|------|------------|
|   | P              | age 1 of 1 (2 items)  |        |                                   |   |                 |   |   |                       |   |              | Page | size: 20 🔻 |
|   | Ente           | er text to search     |        |                                   |   |                 |   |   |                       |   |              |      |            |
|   | Drag           | g a column header her | e to ş | roup by that column               |   |                 |   |   |                       |   |              |      |            |
|   |                | * Number 4            | Ŷ      | Title                             |   | Register Status | 2 | Date Received or Offered $ \widehat{\gamma} $ | Danar                 |   | Relationship | Ŷ    | Value      |
| 2 | T <sub>o</sub> |                       | 9      | 5                                 | 9 | 9               | 9 |   |                       | 9 | Customer     | Ŷ    | Ŷ          |
|   |                | GB000009              |        | Carton of wine from Green Pty Ltd |   | Received        |   | 22/12/2016                                    | Green Pty. Ltd.       |   | Customer     |      | 300        |

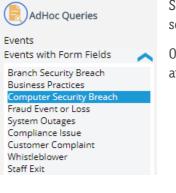
### **Register AdHoc Query / Register History Adhoc Query**

| AdHoc Queries   | AdHoc Queries        |        |
|---|----------------------|--------|
| Registers   | Registers            | $\sim$ |
| Conflict of Interest  | History              | $\sim$ |
| Gifts and Benefits<br>Keys<br>Natural Disaster<br>New Staff | Conflict of Interest |        |

For these items, you select the Register Type from the menu (rather than on the AdHoc Query screen).

Once the AdHoc Query screen appears the Saved Layout options will be available.

### **Events with Form Fields**



Select the Event Type from the menu (rather than on the AdHoc Query screen).

Once the AdHoc Query screen appears the Saved Layout options will be available.

### Grids 'contained' within the available screen

Where a grid could extend beyond the existing screen edge with the addition of extra columns the horizontal and vertical scrolling is now within the bounds of your screen for better access to menus and other features.

|                    | ext to search   |   |  |                               |   |   |   |  |                  |
|--------------------|---|---|--|-------------------------------|---|---|---|--|------------------|
| Drag a c           | column header   | r here to group by that column  |  |                               |   |   |   |  |                  |
| * 1                | Number  | Title   |  | Description                   |   |   | Category  | ٩  | Business Unit    |
| Y <sub>0</sub>     | Ŷ   |   | 9                                      |                               |   | 9   | 7   | 9  |                  |
| AB                 | ABC88888 This is for Regulatory Compliance.   |   |  |                               | p our                                   | ese regulatory things to make<br>license. So does this work. Is<br>? OK   | Board Policy  |  | Board of Directo |
| AB                 |   |   |  |                               | p our                                   | ese regulatory things to make<br>license. So does this work. Is<br>? OK   | Board Policy  |  | Board of Directo |
| AB                 | BC88888   | This is for Regulatory Compliance.  |  |                               | p our                                   | ese regulatory things to make<br>license. So does this work. Is<br>? OK   | Board Policy  |  | Board of Directo |
| AC                 | CC0005  | Prudential Return   |  | The Prudenti<br>required to s |   | eturn that the company is<br>it.  | Legislative   |  | Finance          |
| AC                 | CC0010  | Prudential Return 2   |  | Prudential R                  | eturn                                   | 2   | Legislative   |  | Business Develo  |
| AC                 | CC0015  | Prudential Return   |  | Prudential Re                 | eturn                                   | I   | Legislative   |  | Credit           |
| C4                 | 4   | A Change of Directors   |  |                               |   | ave to do when there is a   | Board Policy  |  | Credit           |
| <b>∑</b> ?         | Compliance F  | Process Status] Equals 'Active'   |  | change of Di                  | irecto                                  | rs at any time  |   |  |                  |
|                    |   |   |  | change of Di                  |   |   |   |  |                  |
| Ad                 | lhoc Que  | ry: Process Controls  |  | change of Ui                  |   | ayouts Saved Layouts  |   |  | à 🛍 🔒 🕂 🗷        |
| Ad                 | Ihoc Que  | ry: Process Controls  |  | change of Ui                  |   |   |   |  | à 🛍 🖯 🕂 🗷        |
| Ad                 | Ihoc Que<br>ter text to search<br>g a column head   | ry: Process Controls<br>h<br>der here to group by that column   |  |                               | La                                      | ayouts Saved Layouts  |   |  |                  |
| Ad<br>Ente<br>Drag | ter text to search<br>g a column head<br>* Number   | ry: Process Controls<br>h<br>der here to group by that column<br>Title  |  | Reminder Days                 | La                                      |   |   | Category   | ٩                |
| Ad<br>Ente         | ter text to search<br>g a column head<br>* Number   | ry: Process Controls<br>h<br>der here to group by that column   | Ŷ                                      | Reminder Days                 | La                                      | ayouts Saved Layouts Description  |   | Category   | 9<br>9           |
| Ad<br>Ente<br>Drag | Ihoc Que<br>ter text to search<br>g a column head<br>Number   | ry: Process Controls<br>h<br>der here to group by that column<br>Title<br>$\widehat{P}$   | ······································ | Reminder Days                 | La<br>s<br>• 9<br>0                     | ayouts Saved Layouts Description We have to do these regulatory sure we keep our license. So do   | / things to make<br>pes this work. Is   | Category   | 9<br>9           |
| Ad<br>Ente<br>Drag | Ihoc Que<br>ter text to search<br>g a column head<br>* Number<br>ABC88888<br>ACC0005<br>ACC0005                       | ry: Process Controls h der here to group by that column Title          Title         Y         This is for Regulatory Compliance.         Prudential Return         Prudential Return | 9                                      | Reminder Days                 | Lā<br>\$<br>\$<br>0<br>0                | Description<br>We have to do these regulatory sure we keep our license. So do this on a new line? OK The Prudential Return that the required to submit.   | , things to make<br>bes this work. Is<br>company is<br>company is                             | Category<br>Board Polic<br>Legislative<br>Legislative                | 9<br>9           |
| Ad<br>Ente<br>Drag | Ihoc Que<br>ter text to search<br>g a column head<br>Number<br>ABC88888<br>ACC0005<br>ACC0005<br>ACC0005              | ry: Process Controls h der here to group by that column Title  P This is for Regulatory Compliance. Prudential Return Prudential Return Prudential Return Prudential Return           | 9                                      | Reminder Days                 | La<br>s<br>0<br>0<br>0                  | ayouts Saved Layouts Description We have to do these regulatory sure we keep our license. So do this on a new line? OK The Prudential Return that the required to submit. The Prudential Return that the required to submit.  | y things to make<br>bes this work. Is<br>company is<br>company is<br>company is               | Category<br>Board Polic<br>Legislative<br>Legislative                | 9<br>9           |
| Ad<br>Ente<br>Drag | Ihoc Que<br>ter text to search<br>g a column head<br>* Number<br>ABC88888<br>ACC0005<br>ACC0005<br>ACC0005<br>ACC0005 | ry: Process Controls h der here to group by that column Title   | · · · · · · · · · · · · · · · · · · ·  | Reminder Days                 | La<br>s<br>↓ ♀<br>0<br>0<br>0<br>0<br>3 | Description Description We have to do these regulatory sure we keep our license. So do this on a new line? OK The Prudential Return that the required to submit. The Prudential Return that the required to submit. The Prudential Return that the required to submit.                                | y things to make<br>bes this work. Is<br>company is<br>company is<br>company is<br>company is | Category<br>Board Polic<br>Legislative<br>Legislative<br>Legislative | 9<br>9           |
| Ad<br>Ente<br>Drag | Ihoc Que<br>ter text to search<br>g a column head<br>Number<br>ABC88888<br>ACC0005<br>ACC0005<br>ACC0005              | ry: Process Controls h der here to group by that column Title  P This is for Regulatory Compliance. Prudential Return Prudential Return Prudential Return Prudential Return           | 9                                      | Reminder Days                 | La<br>s<br>↓ ♀<br>0<br>0<br>0<br>0<br>3 | Description Description We have to do these regulatory sure we keep our license. So do this on a new line? OK The Prudential Return that the required to submit. The Prudential Return that the required to submit. The Prudential Return that the required to submit. The Prudential Return that the | y things to make<br>bes this work. Is<br>company is<br>company is<br>company is<br>company is | Category<br>Board Polic<br>Legislative<br>Legislative                | 9<br>9           |

For the Event List and AdHoc Query screens where all records are displayed, the height of the grid will use all available vertical screen space.

### Linked KRI's moved from Assessment to Links tab on Risk

| Risk         |          | ··· . | <b>Ə</b> | Hardware | failure    |     |     |         |       |          |       |
|--------------|----------|-------|----------|----------|------------|-----|-----|---------|-------|----------|-------|
| Risk Details | Environr | ment  | Asse     | essment  | Treatments | Not | tes | Occuri  | rence | Archives | Links |
| Compliance   | KRI's    | Cont  | ract     | Events   | 🌔 Obligati | ons | Re  | gisters |       |          |       |

The Linked KRI's tab has been moved from the Assessment tab to the Links tab.

### **Configuration Page**

The Configuration page has been updated to simplify changes.

### 

Click anywhere on the section header (e.g. Tasks) to display the items within that section. **Configuration** 

| General   | Database      | Monitor         | Maintenance         | Risks        | Events        | Obligations                            | Customisation                                  | Portal |  |  |  |  |  |
|---|---------------|-----------------|---------------------|--------------|---------------|--|--|--------|--|--|--|--|--|
| ✓ General   |               |                 |                     |              |               |  |  |        |  |  |  |  |  |
| ▲ Tasks   |               |                 |                     |              |               |  |  |        |  |  |  |  |  |
|   | Attestatio    | n Comment:      |                     |              |               | egardless of the<br>quired for 'Yes' o | Outcome.<br>r 'Pass' Outcomes <mark>o</mark> i | nly.   |  |  |  |  |  |
| Show  | Express Comp  | olete Button:   | 🖌 lf ticked, the Ex | press Com    | plete Button  | will be shown (w                       | hen applicable).                               |        |  |  |  |  |  |
| E   | xpress Comple | te One Click:   | 🖌 lf ticked, only o | ne click wil | l be required | d to Express Com                       | plete a Task.                                  |        |  |  |  |  |  |
| Show Not Completed Button: 📝 If ticked, the Not Completed Button will be shown. |               |                 |                     |              |               |  |  |        |  |  |  |  |  |
|   | Use C         | Tritical Tasks: | 🗸 lf ticked, Tasks  | can be mar   | ked as Critic | al.                                    |  |        |  |  |  |  |  |

The Maintenance Tab has been moved to the Data Retention section on the General tab.

### Password Strength indicator on Login Page

It is now possible to optionally include a Password Strength indicator on the Login page. The indicator does not impede the login process but is a visual reminder to the user of whether their password is strong or weak.

| Configurat                    | ion       |                |   |                 |                        |                       |               |                      |
|-------------------------------|-----------|----------------|---|-----------------|------------------------|-----------------------|---------------|----------------------|
| General Da                    | atabase   | Monitor        | Risks & KRI's   | Events          | Obligations            | Customisation         | Portal        |                      |
| ✓ General                     |           |                |   |                 |                        |                       |               |                      |
| ➤ Data Retention              | r         |                |   |                 |                        |                       |               |                      |
| <ul> <li>Interface</li> </ul> |           |                |   |                 |                        |                       |               |                      |
| :                             | Show Com  | pliance Risk:  | If ticked, Complete International Interna | oliance Risk    | and Risk Rating wi     | ill be shown.         |               |                      |
|                               | Use Comp  | pliance Title: | 📝 lf ticked, the C  | ompliance 1     | fitle field will be us | sed.                  |               |                      |
|                               | U         | se Risk Title: | 📝 lf ticked, the R  | isk Title field | d will be used.        |                       |               |                      |
|                               | Return t  | o Last Page:   | 🗸 lf ticked, User   | s will be retu  | irned to the last p    | age of their previous | session.      |                      |
|                               | F         | Failed Login:  | 🔄 lf ticked, an al  | ert will be se  | ent to the Notificat   | tion email address if | there is a fa | ailed login attempt. |
| Sh                            | ow Passwo | rd Strength:   | 🛃 If ticked, show   | a Password      | Strength inidicate     | or on the Login page  | t.            |                      |
| Login                         |           |                |   |                 |                        |                       |               |                      |
| User I                        | D: testU  | Jser           |   | ••••]           | _                      |                       |               |                      |
| Passwor                       | d: •••••  | •              |   |                 | ⇒                      |                       |               |                      |
|                               |           | Forgot ye      | our password  | ?               |                        |                       |               |                      |
|                               | (         |                |   |                 |                        |                       |               |                      |
|                               | Ye        | our passw      | ord is too Sim  | ple             |                        |                       |               |                      |
| Login                         |           |                |   |                 |                        |                       |               |                      |
| User II                       | D: testU  | ser            |   | ••••]           | _                      |                       |               |                      |
| Password                      | d: •••••  | ••••           |   | ••••]           | ⇒                      |                       |               |                      |
|                               |           | Forgot yo      | our password  | ?               |                        |                       |               |                      |
|                               | (         |                |   |                 |                        |                       |               |                      |
|                               |           | Your pass      | word is Stron   | g               |                        |                       |               |                      |

### **Compliance Process Tasks retitled**

To avoid confusion with the introduction of the Control Inventory module these tasks will no longer appear as a Type of 'Control Task' on the My Summary | Current Tasks tab or in emails. They will now appear as a Type of 'Compliance Task'.

| My S         | Summa                        | y           |                           |                                    |                  |                                   |            | Ima Beancounter, GM - Finance                           | & Adm | inistration |       |        | -                     |
|--------------|------------------------------|-------------|---------------------------|------------------------------------|------------------|-----------------------------------|------------|---|-------|-------------|-------|--------|-----------------------|
| 🛛 🕒 Ci       | urrent Tasks                 | Roles 8     | Responsibilities          | Temporary                          | Allocation       | My Reports / Charts               |            |   |       |             |       |        |                       |
| ø            | Page 2 of                    | 3 (26 items | s) (1                     | 2 3 (                              | $\triangleright$ |                                   |            |   |       |             |       | Page s | ize: 10 🔻             |
|              | Enter text to                | search      |                           |                                    |                  |                                   |            |   |       |             |       |        |                       |
|              | Туре                         | ٩           | Number 💡                  | Details                            |                  |                                   |            |   |       | Due         | 9     |        |                       |
|              | $\mathbf{Y}_{\mathbf{o}}$    |             |                           |                                    |                  |                                   |            |   | 9     |             |       |        |                       |
|              | Compl                        | ance Task   | CRM0025                   | Corporate Risk<br>(a) The Credit U |                  | place<br>that appropriate cover a | nd level c | of insurance is in place.                               |       | 28/04/201   | 7     | / 📰    | H                     |
|              | <b>D NOT rep</b><br>red McCu |             | s email ****              |                                    |                  |                                   |            |   |       |             |       |        |                       |
| The fol      | lowing are                   | overdue     | for complet               | on by you:                         |                  |                                   |            |   |       |             |       |        |                       |
| <u>Login</u> | <u></u>                      |             |                           |                                    |                  |                                   |            |   |       |             |       |        |                       |
|              |                              | Refere      | nce                       |                                    | Task             |                                   |            |   |       |             | Due   |        | Position              |
| Comp         | liance Task                  | CRM00       | 85 Complian<br>advice" ru |                                    |                  | · ·                               |            | ust ensure that members i<br>Financial Advisory Service |       | sting       | 30/06 |        | Operations<br>Manager |

### **Risk Rating Map**

The Compliance Risk Rating Map, Inherent Risk Rating Map and Residual Risk Rating Map now include a date at the bottom of the downloaded / copied image and on mouseover, displays a list of the records behind each value.

|    |              | Conseque   | nces |          |   |          |     |         |   |          |                              |  |
|----|--------------|------------|------|----------|---|----------|-----|---------|---|----------|------------------------------|--|
| Li | kelihood     | Insignific | ant  | Mino     | r | Modera   | ate | Major   |   | Catast   | rophic                       |  |
| AI | most Certain | High       | 1    | High     | 1 | Extreme  |     | Extreme |   | <u>د</u> |                              |  |
|    | Likely       | Moderate   |      | High     | 1 | High     | 1   | Extreme | 2 |          | 14 Staff Risk<br>5 Natural D |  |
|    | Possible     | Moderate   |      | Moderate |   | High     | 5   | High    |   | L        |                              |  |
|    | Unlikely     | Low        |      | Low      | 1 | Moderate |     | High    | 1 | High     | 1                            |  |
|    | Rare         | Low        | 7    | Low      |   | Moderate |     | High    |   | High     |                              |  |

### AdHoc Queries, Reports and Charts

#### **Report output format**

Reports can now be exported in DOCX format.

|         | ▶ 80 |                  | аны ( | ,D, | <b>.</b> D. | È.   | 0 | • |  |
|---------|------|------------------|-------|-----|-------------|------|---|---|--|
| 1 of 16 |      | <br>Whole Page 🔻 | T.    |     | ••••        |      |   | U |  |
|         |      |                  |       |     |             | PDF  |   |   |  |
|         |      |                  |       |     |             | RTF  |   |   |  |
|         |      |                  |       |     |             | DOCX |   |   |  |

### **Reminder Date / Days in Adhoc Queries**

The Reminder Date and Reminder Days have been added to the Process Controls, Risk (for Risk Review), Risk Treatment and Contract Task AdHoc Query screens.

### Adhoc Query: Process Controls

Layouts Saved Layouts

| Ent            | er text to search                                 |                                   |   |                 |               |  |  |  |  |  |
|----------------|---|-----------------------------------|---|-----------------|---------------|--|--|--|--|--|
| Drag           | Drag a column header here to group by that column |                                   |   |                 |               |  |  |  |  |  |
|                | * Number  | Title                             |   | Reminder Date 💡 | Reminder Days |  |  |  |  |  |
| T <sub>o</sub> | 9   |                                   | 9 |                 | ÷ 9           |  |  |  |  |  |
|                | CRM0025   | Corporate Risk Insurance in place |   | 21/07/2017      | 7             |  |  |  |  |  |
|                | CRM0025   | Corporate Risk Insurance in place |   | 20/05/2016      | 7             |  |  |  |  |  |

### **Residual Risk Rating by Risk Chart**

A new chart will be available showing the Residual Risk Rating by Risk.

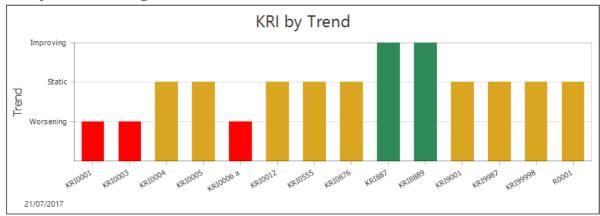


The available filters and options for the chart are:

- 1. Business Unit
- 2. Risk Category
- 3. Risk Sub Category
- 4. Risk Owner
- 5. Tags
- 6. Inactive records.

### KRI by Trend Chart

A new chart will be available showing KRI's by Trend. KRI By Trend / Rating

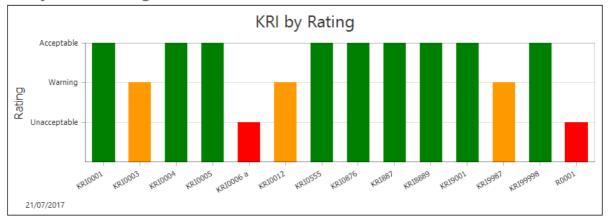


The available filters for the chart are:

- 1. Risk Category
- 2. Trend
- 3. Rating
- 4. Owner
- 5. Tags

### KRI by Rating Chart

A new chart will be available showing KRI's by Rating KRI By Trend / Rating



The available filters for the chart are:

- 1. Risk Category
- 2. Trend
- 3. Rating
- 4. Owner
- 5. Tags

### **Taxonomy Report**

Taxonomy

This creates a spreadsheet with the 'Taxonomy' of your system. For each module it lists Categories, Custom Fields, Status values etc. on a separate tab.

|                         | D Save As            |                         |                                   |                         |                |   |              |     |
|-------------------------|----------------------|-------------------------|-----------------------------------|-------------------------|----------------|---|--------------|-----|
|                         | A                    | В                       | C                                 | D                       | E              | F | G            |     |
| 1 Compliance Categories |                      | Compliance Process Cust | Compliance Process Custom Fields: |                         |                |   |              |     |
| 2                       | Board Policy         |                         | Field Name                        | Description             | Field Type     |   | Field Name   | De  |
| 3                       | Business Continuity  |                         | Custom Field 1                    | This is a text field    | Text           |   | L1           | Lis |
| 4                       | Environmental Policy |                         | Is required                       | Select this if required | Tick Box       |   | List Colours | Co  |
| 5                       | Legislative          |                         | List of things                    | List                    | List           |   |              |     |
| 6                       | Test                 |                         | Some Text                         | A multi-line text field | Multiline Text |   |              |     |
| 7                       |                      |                         | Test Date                         | Test date               | Date           |   |              |     |
| 8                       |                      |                         |                                   |                         |                |   |              |     |
|                         | C                    |                         |                                   |                         |                |   |              | >   |

### Linked Obligations as filters on Process Control reports

Obligations linked to a Process Control can now be used as a filter in the Compliance Controls reports. Obligations or Sub Obligations must be linked to a Process Control to be included. Only Obligation records will be included in the selection list but the resulting report will include Sub Obligations.

### **Compliance Controls Reports**

| Select Report  | Completed Task  | <s *<="" th=""><th></th><th></th></s>  |                    |    |
|--|---|--|--------------------|----|
| Group By   | Group By  | *  |                    |    |
| opplied Filters<br>& Options                                   | Obligation» 179                                       | 937; AML/CTF Programs  |                    | Yo |
| Report Title   | Enter your own  | Report Title (Optional)  |                    | Т  |
| ilters & Option  | s   |  |                    |    |
|  |   |  | *<br>L1            |    |
| Date Range fro   | m: 9/08/2017  |  |                    |    |
| Date Range fro<br>Business Unit                                | m: 9/08/2017  | Select by date completed   | L1                 |    |
| Date Range fro<br>Business Unit<br>Category                    | m: 9/08/2017  | Select by date completed   | L1<br>List Colours |    |
| Date Range fro<br>Business Unit<br>Category<br>Outcome         | m: 9/08/2017<br>* * *                                 | Select by date completed Include Inactive Exclude Comments   | L1<br>List Colours |    |
| Date Range fro<br>Business Unit<br>Category<br>Outcome<br>Tags | m: 9/08/2017<br>* * * * * * * * * * * * * * * * * * * | <ul> <li>Select by date completed</li> <li>Include Inactive</li> <li>Exclude Comments</li> <li>Exclude Attachments List</li> </ul>                                 | L1<br>List Colours |    |
| Category<br>Outcome<br>Tags<br>Reference                       | m: 9/08/2017<br>* * * * * * * * * * * * * * * * * * * | <ul> <li>Select by date completed</li> <li>Include Inactive</li> <li>Exclude Comments</li> <li>Exclude Attachments List</li> <li>Completed Overdue only</li> </ul> | L1<br>List Colours |    |

### Report File Name

When you use the Report Export function the generated filename will be the same as the report Title. Compliance Process Reports

| ◀ ◀ 1 of 89 |  | - Whole Page - +   | - 🖶 🖷 👘 🔎 | 0      |
|-------------|--|--|-----------|--------|
|             | My Complian<br>ABC88888<br>Details<br>We have to<br>So does th<br>Is this on a<br>OK | My Compliance List.pdf - Adobe Rea<br>File Edit View Window Help<br>Den  Bookmarks Bookmarks |           | Sample |

# **Events and Registers**

### New field type 'Display Text' for Events and Registers

This new field type will allow for free-form text to be displayed in the form.

| Edit Register Field                |  |
|------------------------------------|--|
| Field Type: Display                | y Text 🔹   |
| Display Text: Inform               |  |
| Description: B                     | / TriLine GRC Default 🔹 (Font Size) 🔹 📸 📲 📰 🕅 * 🗛 * 🎼  |
| la t                               | he <b>Donor</b> field provide the name and address of the person or organisation providing the Gift or             |
|                                    | efit.  |
|                                    |  |
|                                    |  |
|                                    |  |
| Des                                | ign HTML Preview   |
| List Values:                       |  |
| Default Value:                     |  |
| Number of Decimals: $0$ $\ddagger$ |  |
| Required Field:                    |  |
| Backend Only: 🗌                    |  |
| Display In Lists: 📃                |  |
| Report Filter:                     |  |
| Currency Alert Value: 0            |  |
| Active: 🔽                          |  |
| Preview                            |  |
| 7-1 A                              |  |
| Title*                             | This field (of 300 characters) is automatically added to each Register   |
| Date Received or Offered*          |  |
| Offered To*                        |  |
| Information                        | In the <b>Donor</b> field provide the name and address of the person or organisation providing the Gift or Benefit |
| Donor                              |  |
|                                    |  |
|                                    |  |
|                                    |  |
| Deletionalia                       |  |
| Relationship*                      | Customer O Partner O Existing Supplier   |
| Reason*                            | B / 💼 🛍 TriLine GRC Default 👻 (Font Size) 👻 翰 * 🏘 🕅  |

### Mandatory attachments for Events and Register Tasks

#### New Task

| Descriptio | Schedule |   |
|------------|----------|---|
|            |          | sk 🗌 An Attachment is mandatory for Task Completion |

For each Task created for an Event or Register record an attachment can be mandatory.

### **Register Title field re-purposed**

With this release, you can change the field name for the Title field to be relative to the Register purpose (**Note:** It remains a text field of 300 character).

#### Edit New Staff

| Details Defau       | It Security New Record Help                       |                                |
|---------------------|---|--------------------------------|
|                     |   |                                |
| Name:               | New Staff   |                                |
| Prefix:             | NS 🔤  |                                |
| Title Field Name:   | Position  |                                |
| Title Prompt:       | Enter the Position being filled                   |                                |
| Portal:             | Show in Portal                                    |                                |
| Auto Alerts:        | ✓ Send an automatic alert to Register Owners on r | new entry                      |
| Status Change:      | Send an automatic alert to the creator on change  | e of Status                    |
| This Register is:   | Active  |                                |
| Icon:               | 💄 lcon 11 🔤 👻                                     |                                |
| Register Designers: | Company Secretary                                 | Click here to select Designers |
|                     |   |                                |
|                     |   |                                |
|                     |   |                                |
|                     |   |                                |

The field name will be used on all screens.

| New Staff Register           | er                   |   |                   |
|------------------------------|----------------------|---|-------------------|
| Page 1 of 1 (15 items)       |                      |   | Page size: 20 🔻   |
| Enter text to search         |                      |   |                   |
| Drag a column header here to | group by that column |   |                   |
| * Number 👻 🖓                 | Position             |   | Register Status 💡 |
| ۹                            |                      | 9 | 9                 |
| NS000048                     | Compliance Manager   |   | Being Managed     |

### **New Event and Register numbers**

New Event and Register records will be numbered sequentially within their respective Type.

### Fast Add Note or Attachment

The Event and Register List screens now include buttons to add a Note or Attachment from the List screen (without having to open the record).

| Ê        | G   | ifts a         | nd Be         | ne  | fits R      | egister       |             |       | Layo       | uts  | Saved Layouts      |   | •••] <b>•</b> •     | ا 🛱 💪 |   |
|----------|-----|----------------|---------------|-----|-------------|---------------|-------------|-------|------------|------|--------------------|---|---------------------|-------|---|
| 0        |     | Page           | e 1 of 1 (5 i | tem | is) (1      | 1             |             |       |            |      |                    |   |                     |       |   |
|          |     | Enter te       | ext to sear   | ch  |             |               |             |       |            |      |                    |   |                     |       |   |
|          |     | Drag a c       | olumn he      | ade | r here to g | roup by that  | column      |       |            |      |                    |   |                     |       |   |
|          |     | * 1            | Number        |     | <b>-</b> ₽  | Title         |             |       |            |      |                    |   | Register Status 🛛 💡 |       |   |
|          |     | T <sub>o</sub> |               |     | 9           |               |             |       |            |      |                    | 9 | 9                   |       |   |
|          |     | GE             | B000041       |     |             | Test for sec  | tion Header |       |            |      |                    |   | Received            | -     | 0 |
| Ev       | en  | ts Lis         | st            |     | 🗌 SH        | ow Closed     | records     | 🗌 Sho | ow Archive | ed i | records            |   | Layouts Saved La    | youts |   |
| 0        | En  | ter text       | to search     | ۱   |             |               |             |       |            |      |                    |   |                     |       |   |
|          | Dra | g a colu       | ımn head      | ler | here to g   | roup by tha   | t column    |       |            |      |                    |   |                     |       |   |
|          |     | * Nur          | mber          |     | Title       |               |             |       |            |      | Туре               | 9 | Events Status       | 9     |   |
| <b>X</b> |     |                |               | 9   |             |               |             |       |            | 9    |                    | 9 |                     | 9     |   |
|          |     | Cust0          | 00001         |     | Backend     | l fields in p | ortal       |       |            |      | Customer Complaint | t | Being Managed       |       |   |

**Note:** For the 'Registers List' you will need to Reset the Grid to display the column in the correct location.

#### **Import Events**

With this release you will be able to bulk import Event history. The URL for this will be https://yoursite/importEventRecords.aspx (e.g. https://host-au.triline-grc.net/abc1234/importEventRecords.aspx).

gic.net/abc1234/iniportEventRecords.aspx)

| Im   | port Events r             | ecords            |   |        |               |              |         |                  |        |
|------|---------------------------|-------------------|---|--------|---------------|--------------|---------|------------------|--------|
| Туре | s: Customer Complaint     |                   |   | -      |               |              |         |                  |        |
| Cre  | eate a spreadsheet temp   | late              |   |        |               |              |         |                  |        |
|      | File                      |                   |   |        |               |              |         |                  |        |
| 쁹    | Save As                   |                   |   |        |               |              |         |                  |        |
|      | А                         |                   | В |        | с             | D            | E       |                  |        |
| 1    | Number                    | Title             |   |        | Date Occurred | Date Created | User Id | Reported By Name |        |
| 2    |                           |                   |   |        |               |              |         |                  |        |
| 3    |                           |                   |   |        |               |              |         |                  |        |
| 4    |                           |                   |   |        |               |              |         |                  |        |
| 5    |                           |                   |   |        |               |              |         |                  |        |
| 6    |                           |                   |   |        |               |              |         |                  |        |
| 7    |                           |                   |   |        |               |              |         |                  |        |
| 8    |                           |                   |   |        |               |              |         |                  | $\sim$ |
| <    |                           |                   |   |        |               |              |         | >                |        |
| (    | Customer Complaint        | Information       |   |        |               |              |         |                  |        |
| Clic | k Browse to locate the Ev | vents import file |   | Browse |               |              |         |                  |        |

A spreadsheet template will be created for the selected Type with the basic fields, any Custom fields and the form fields for the Type.

### **Portal Changes**

#### **Merged Portal**

With this release, we have merged the Event and Register portals into a single entry point. The URL for the portal will be https://yoursite/portal.aspx (e.g. https://host-au.triline-grc.net/abc1234/portal.aspx).

The Password Challenge will no longer be available however the Captcha option is still available.

#### **Portal Registration**

To increase the security around Portal access, all users will have to be registered – except for existing TriLine GRC Positions. Users can self-register, be added in the Security Centre as 'Portal Only' users or bulk loaded via a spreadsheet. Self-registration can be automatic or require approval by a TriLine GRC Administrator. An email address is required for self-registration and will be limited by the Domain Name from the person's email address.

#### **Portal History**

Portal History for the current user will be available by clicking the History button on the Portal screen.

| <b>Triline</b> GRC | Sample with Scheduled Reports |   |
|--------------------|-------------------------------|---|
| Create             |                               | 0 |
| Select             | -                             | H |

The History is displayed in a popup window and will include Events and Registers.

|        | Portal I |                      | 1 1 1 1 No                   |
|--------|----------|----------------------|------------------------------|
| Crea   | Events   | Registers            |                              |
| Select | 0        | Enter text to search |                              |
|        |          | Drag a column header | here to group by that column |
|        |          | * Number             | Title                        |
|        | ->X      | ٩                    |                              |

#### Fast Add Note or Attachment

For each Event and Register record displayed in the Portal History there are two new buttons to allow a Note or an Attachment to be added to the record.

| Porta | al Hi | sto  | ory                       |         |                |   |                              |               |                   |   |            |   |
|-------|-------|------|---------------------------|---------|----------------|---|------------------------------|---------------|-------------------|---|------------|---|
| Event | s     | Regi | sters                     |         |                |   |                              |               |                   |   |            |   |
|       | 3     | Drag | a column header here to g | group t | by that column |   |                              |               |                   |   |            |   |
|       |       |      | Number                    |         | Register       | 9 | Details                      | Status        | Managed By        | 9 | Created    |   |
|       |       |      | Ŷ                         |         |                | 9 | 9                            | 9             |                   | 9 | ¥ 9        |   |
|       |       |      | N5000048                  |         | New Staff      |   | Position: Compliance Manager | Being Managed | Company Secretary |   | 12/05/2017 | ^ |

The designated Manager of the Event or Register will be notified by email that a new Note or Attachment has been added.

### **Security Centre**

Registered Portal Users will appear in the Security Centre on a separate tab. Security Centre

| Positi | ons Por    | rtal Users     | Task Teams | Security Grou | ps System Groups | User En | nails   |   |         |                 |
|--------|------------|----------------|------------|---------------|------------------|---------|---------|---|---------|-----------------|
| +      | Page 1 o   | of 1 (6 items) | 1          | $\bigcirc$    |                  |         |         |   |         | Page size: 10 🔻 |
|        | Enter text | to search      |            |               |                  | ]       |         |   |         |                 |
|        |            | Title          |            |               | First Name       |         | Surname |   | User ID |                 |
|        |            |                |            | 9             |                  | 9       |         | 9 | 9       |                 |
|        | / 📋        | Environme      | nt Officer |               | Greg             |         | Green   |   | greg    | 🖉 🖻 🎐           |

Features:

- 1. Add a new Portal User individually or via spreadsheet
- 2. Update the Portal User details
- 3. Approve or Block Portal access
- 4. Display the Portal Usage History for the User
- 5. Convert the Portal User to a TriLine GRC User.

#### Portal Users included in 'Send Email to all Users'

The option to send an email to all Users (Maintenance | Send Email to all Users) now has a selection to include Portal Users (with an email address).

| Send               | En | nai   | l to  | all   | Users       |         |   |             |   |             |   |    |   |     |             |
|--------------------|----|-------|-------|-------|-------------|---------|---|-------------|---|-------------|---|----|---|-----|-------------|
| Subject            |    | Inclu | de Po | ortal | Users       |         |   |             |   | 1           |   |    |   |     |             |
| Subject<br>Message | в  | 1     | ĥ     |       | TriLine GRC | Default | Ŧ | (Font Size) | - | <b>(1</b> ) | Ŧ | A, | - |     | К.Я.<br>2 М |
|                    |    |       |       |       |             |         |   |             |   |             |   |    |   | 463 |             |

### **Archive Events**

To improve the response time on the Events list (if you have a lot of Closed Events) it is now possible to 'Archive' Events. To be Archived an Event must be in your 'Closed' Status. Once archived they won't appear in the Event List even if you select 'Show Closed records'. You must select 'Show Archived records' to display them.

### Events List

| Show Closed records |
|---------------------|
|---------------------|

A new menu item will appear if the User has Edit Rights to any Events.

To be able to Archive an Event the User must have Edit rights to the Event.

For all charts, queries and reports Archived Events will be treated as 'Closed'. For example if you select 'Include Closed records' on the

Event List report, any Archived Events will appear in the report if they are within the selected date range.

### Improved help text for fields

For both Events and Registers the help text displayed has been improved when hovering over the information button for a field. The information will include the 'Description' defined for the field, valid field values and whether the field is required.

| 🜐 Gifts and Be             | nefits   | lick here for m | ore information  |                                |             |
|----------------------------|--|-----------------|------------------|--------------------------------|-------------|
|                            |  |                 |                  |                                | Step 1 of 3 |
| Title:*                    | Enter a short Title (up to 300 characters)         |                 | This field       | enefit was received or offered | ì           |
| Date Received or Offered:* | T  |                 | Accepts: a date  | enent was received or offered  | 0           |
| Offered To:*               |  | *               | Accepts, a date  |                                | 0           |
| Information:               | In the Donor field provide the name and address of | the person or   | * Required Field |                                |             |

#### Limit who can create a new Register or Event record

You can now limit who can create individual Register or Event records by selecting a Task Team. Only Members of the Task Team will see the Type on the new menu.

Normal security will apply to the created record.

If the Register or Event record is available in the Portal then the limitation will not apply in either TriLine GRC or the Portal.

### Edit Events Type

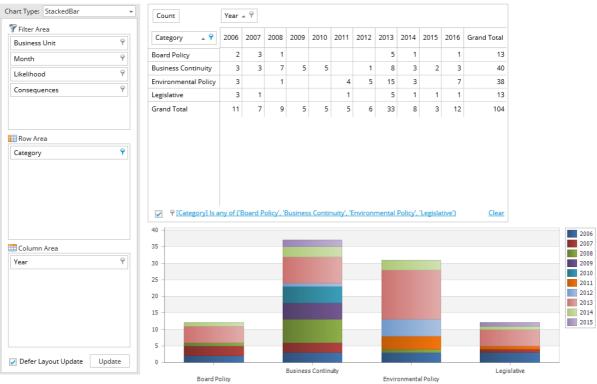
| Type Name: Sta         | aff Exit                               |                                |
|------------------------|--|--------------------------------|
| Prefix: SE             |  |                                |
| Not in Portal:         |  |                                |
| Limit by Task Team: Se | lect Task Team (Optional)              | <b>•</b>                       |
| Active: 🔽              |  |                                |
| Anonymous Reporter: 🗌  |  |                                |
|                        |  |                                |
|                        |  |                                |
| Edit New Staff         |  |                                |
| Details Defau          | It Security New Record Help            |                                |
|                        |  |                                |
| Name:                  | New Staff                              |                                |
| Prefix:                | NS                                     |                                |
| Title Field Name:      | Position                               |                                |
| Title Prompt:          | Enter the Position being filled        |                                |
| Portal:                | 🗹 Show in Portal                       |                                |
| Limit by Task Team     | Select Task Team (Optional)            | - w.                           |
| Auto Alerts:           | Send an automatic alert to Register Ow | ners on new entry              |
| Status Change:         |  |                                |
| This Register is:      | Active                                 |                                |
| lcon:                  | 🔎 Icon 11 🛛 👻                          |                                |
| Register Designers:    | Company Secretary                      | Click here to select Designers |

 $\times$ 

# **Statistics**

Most modules now include one or more Statistics screens.

#### Process Control Task Statistics



Each screen consists of a pivot grid, a chart and a number of fields that can be used in either the Row or Column areas. The chart is automatically updated with any change to the pivot grid. Data in both the Row and Column areas can be nested.

| Count                    |                     | Category  | ▲ 🕈 Status   | <b>▲</b> 🖗               |              |           |              |                    |
|--------------------------|---------------------|-----------|--------------|--------------------------|--------------|-----------|--------------|--------------------|
| Residual Risk Rating 🔺 💡 | Risk Score Band 🔺 📍 | Capita    | l Risk       | Capital<br>Risk<br>Total | )<br>Ethical | Finance   | ial          | Financial<br>Total |
|                          |                     | Effective | Unacceptable | TOLAI                    | Effective    | Effective | Unacceptable |                    |
| Catastrophic             | High                |           |              |                          |              |           |              |                    |
|                          | High                | 1         | 1            | 2                        |              |           |              |                    |
| Extreme                  | Low                 |           |              |                          | 1            |           |              |                    |
|                          | Moderate            |           |              |                          |              |           | 1            | 1                  |
| Extreme Total            |                     | 1         | 1            | 2                        | 1            |           | 1            | 1                  |
| High                     | Low                 | 2         |              | 2                        | 1            | 1         |              | 1                  |
| <ul><li>Low</li></ul>    | Low                 | 1         |              | 1                        |              | 1         |              | 1                  |
| Moderate                 | Low                 | 1         |              | 1                        |              |           |              |                    |
| Grand Total              |                     | 5         | 1            | 6                        | 2            | 2         | 1            | 3                  |

The pivot grid can be exported to MS Excel as can the underlying data. For example, by clicking on the last figure in the Capital Risk Total column (above) the six Risks that relate are displayed in a grid that can be exported.

| ILE Home In | =<br>sert Page Layout Formi | ilas Data Review | View Developer                      | riskStatistics.aspx (Reac<br>New Tab TEAM | I-Only] - Excel   |                       |   | ? 🗷 - 🗆<br>James Organ - 🗖              |
|-------------|-----------------------------|------------------|-------------------------------------|---|---|-----------------------|---|---|
| Clipboard   | 1                           | -                | 🖅 🛱 Merge & Center 🔸                | General<br>\$ - % • \$ %                  | Conditional Format as Cell<br>Formatting - Table - Styles<br>Styles | Insert Delete Format  | ∑ AutoSum * A<br>→ Fill * Sort & Find &<br>Clear * Filter * Select *<br>Editing |   |
| 16 🔫 i      | $\times \checkmark f_x$     |                  |                                     |   |   |                       |   |   |
| A           | В                           | c                | D                                   | E   | F G   | н                     |   |   |
| Number *    | Risk                        | * Status         | <ul> <li>Risk Score Band</li> </ul> | Category *                                | Risk Rating * Risk Appetite *                                       | Inherent Consequences | * Residual Consequences   | <ul> <li>Inherent Likelihood</li> </ul> |
| A1          | A1                          | Effective        | LOW                                 | Capital Risk                              | Low Low   | Insignificant         | Insignificant   | Rare                                    |
| R56         | Test                        | Effective        | High                                | Capital Risk                              | Extreme Low   | Insignificant         | Major   | Rare                                    |
| RDK0999     | Hostile Takeovers           | Effective        | Low                                 | Capital Risk                              | High Low  | Catastrophic          | Minor   | Possible                                |
| R5K0001     | Hardware failure            | Effective        | Low                                 | Capital Risk                              | High Moderate   | Major                 | Insignificant   | Possible                                |
| XXX6688     | A Test of something         | Effective        | Low                                 | Capital Risk                              | Moderate Low  | Moderate              | Minor   | Likely                                  |
| AAA0066     |                             |                  |                                     |   |   |                       |   |   |

Note: All available columns will be included in the export.

The following screens and fields are available (**Note:** the availability of fields and the field names could vary based on your configuration):

| Screen               | Fields   |  |  |  |  |  |  |
|----------------------|--|--|--|--|--|--|--|
| Process Control Task | Category                                       |  |  |  |  |  |  |
|                      | Year (the year the task was completed)         |  |  |  |  |  |  |
|                      | Month (the month the task was completed)       |  |  |  |  |  |  |
|                      | Business Unit                                  |  |  |  |  |  |  |
|                      | Likelihood (requires Compliance Risk Rating)   |  |  |  |  |  |  |
|                      | Consequences (requires Compliance Risk Rating) |  |  |  |  |  |  |
| Risk                 | Category                                       |  |  |  |  |  |  |
|                      | Residual Risk Rating                           |  |  |  |  |  |  |
|                      | Business Unit                                  |  |  |  |  |  |  |
|                      | Risk Score Band                                |  |  |  |  |  |  |
|                      | Risk Appetite                                  |  |  |  |  |  |  |
|                      | Risk Status                                    |  |  |  |  |  |  |
|                      | Inherent Consequences                          |  |  |  |  |  |  |
|                      | Residual Consequences                          |  |  |  |  |  |  |
|                      | Inherent Likelihood                            |  |  |  |  |  |  |
|                      | Residual Likelihood                            |  |  |  |  |  |  |
|                      | Sub Category                                   |  |  |  |  |  |  |
| Treatment Task       | Category                                       |  |  |  |  |  |  |
|                      | Year (the year the task was completed)         |  |  |  |  |  |  |
|                      | Month (the month the task was completed)       |  |  |  |  |  |  |
|                      | Business Unit                                  |  |  |  |  |  |  |
|                      | Residual Likelihood                            |  |  |  |  |  |  |
|                      | Residual Consequences                          |  |  |  |  |  |  |
|                      | Residual Risk Rating                           |  |  |  |  |  |  |
|                      | Risk Score Band                                |  |  |  |  |  |  |
|                      | Risk Appetite                                  |  |  |  |  |  |  |
|                      | Risk Status                                    |  |  |  |  |  |  |
|                      | Sub Category                                   |  |  |  |  |  |  |
| KRI                  | Risk Category                                  |  |  |  |  |  |  |
|                      | Rating   |  |  |  |  |  |  |

| Screen            | Fields                               |  |  |  |  |  |  |
|-------------------|--------------------------------------|--|--|--|--|--|--|
|                   | Trend                                |  |  |  |  |  |  |
| Events            | Category                             |  |  |  |  |  |  |
|                   | Year (the year the Event occurred)   |  |  |  |  |  |  |
|                   | Month (the month the Event occurred) |  |  |  |  |  |  |
|                   | Туре                                 |  |  |  |  |  |  |
|                   | Cause                                |  |  |  |  |  |  |
|                   | Category                             |  |  |  |  |  |  |
|                   | Sub Category                         |  |  |  |  |  |  |
| Contracts         | Business Unit                        |  |  |  |  |  |  |
|                   | Contract Type                        |  |  |  |  |  |  |
|                   | Entity                               |  |  |  |  |  |  |
|                   | Status                               |  |  |  |  |  |  |
| Control Inventory | Business Unit                        |  |  |  |  |  |  |
|                   | Туре                                 |  |  |  |  |  |  |
|                   | Effectiveness                        |  |  |  |  |  |  |

### **Maintenance**

### **Bulk loading Positions**

A facility has been added to allow multiple Positions to be added via a spreadsheet. Positions can be TriLine GRC Users or Portal Users.

| Security | Centre |
|----------|--------|
|----------|--------|

| Crea    | te a spreadsheet te | emplate          |   |        |            |   |          |
|---------|---------------------|------------------|---|--------|------------|---|----------|
|         | File                |                  |   |        |            |   | $\wedge$ |
| 8       | Save As             |                  |   |        |            |   |          |
|         | A                   |                  | В |        |            | с |          |
| 1 U:    | ser Id              | Position Title   | _ |        | First Name | - |          |
| 2       |                     |                  |   |        |            |   |          |
| 3       |                     |                  |   |        |            |   |          |
| 4       |                     |                  |   |        |            |   |          |
| 5       |                     |                  |   |        |            |   |          |
| 6       |                     |                  |   |        |            |   |          |
| 7       |                     |                  |   |        |            |   |          |
| 8       |                     |                  |   |        |            |   | -        |
| 1       |                     |                  |   |        |            | 1 | •        |
| Sh      | eet1 Informat       | tion             |   |        |            |   |          |
| C11.1.1 | Browse to locate th | - Desitions file |   | Browse |            |   |          |

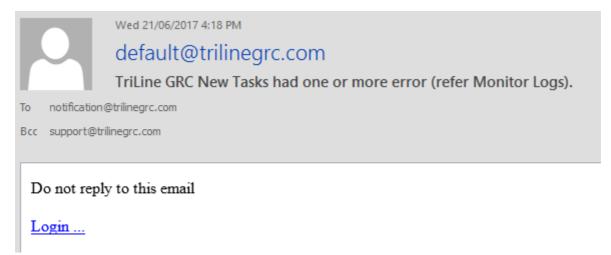
#### **Monitor alerts on errors**

If an error occurs during any of the Monitor runs (New Tasks, Critical Tasks and Overnight) a log file is written. To ensure you are aware of the problem an email will be sent to the Notification Email address.

# Configuration

| General | Database  | Monitor | Maintenance | Risks | Events | Obligations |  |  |  |  |  |
|---------|---|---------|-------------|-------|--------|-------------|--|--|--|--|--|
|         |   |         |             |       |        |             |  |  |  |  |  |
|         | Default Email: default@trilinegrc.com           |         |             |       |        |             |  |  |  |  |  |
| No      | Notification Email: notification@trilinegrc.com |         |             |       |        |             |  |  |  |  |  |

These types of error cannot be resolved by your staff so a copy will also be sent to TriLine GRC Support for investigation and resolution.



No sensitive information is included in the email.

## Add Notes to Compliance, Risk and KRI records

You can now add Notes to Compliance, Risk and KRI records. The Notes can be (optionally) excluded from list reports.

#### **Compliance Process**

| CRM    | 0005      | •              | Annual Compa           | ny Returns   | 5             |             |                   |          |         |
|--------|-----------|----------------|------------------------|--------------|---------------|-------------|-------------------|----------|---------|
| Proces | ss Detail | References     | Process Controls       | Notes        | Archives      | Links       | Custom Fields     | Security | History |
|        | Page 1    | of 1 (1 items) |                        |              |               |             | Page size: 5 🔻    |          |         |
|        |           | Note           |                        |              |               |             |                   |          |         |
|        |           |                |                        |              |               |             | ٩                 | 2        |         |
|        | / 1       | Annual ret     | turns were delayed due | e late chang | es to account | ing standar | ds.               |          |         |
|        |           |                |                        |              |               | Ima Beanco  | ounter 29/05/2017 |          |         |

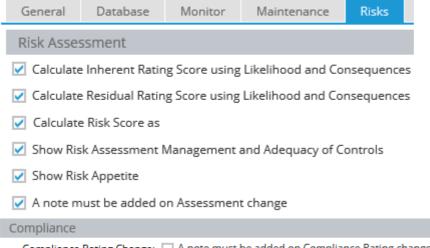
### **Compliance Process Reports**

| Set | tings            |               |        |                          |                |    | $\times$ |
|-----|------------------|---------------|--------|--------------------------|----------------|----|----------|
| 5   | Group By         | Group By      |        | -                        |                |    |          |
|     | Applied Filters  |               |        |                          |                |    |          |
| Q   | & Options        |               |        |                          |                | _  |          |
|     |                  |               |        |                          |                |    |          |
|     |                  |               |        |                          |                |    |          |
|     |                  |               |        |                          |                |    |          |
|     | Report Title     | Enter your ov | /n Rej | port Title (Optional)    |                | 7. |          |
|     | Filters & Option | ns            |        |                          |                |    |          |
|     | Business Unit    |               | -      | Include Inactive         | List of things |    | -        |
|     | Category         |               | -      | Each record on new page  |                |    |          |
|     | Responsible C    | )fficer       | -      | Exclude Process Controls |                |    |          |
|     | Consequence      | 5 .           | -      | Exclude Links            |                |    |          |
|     | Likelihood       |               | -      | Exclude References       |                |    |          |
|     | Risk Rating      |               | -      | Exclude Notes            |                |    |          |
|     | Tags             |               | *      |                          |                |    |          |
|     | Reference        |               | •      |                          |                |    |          |
|     | Sub Reference    | 2             | •      |                          |                |    |          |

# Compulsory Note on Risk Assessment change (optional)

You can now configure whether a Note must be added to a Risk if anything on the Assessment tab is changed or Compliance if the Risk Rating is changed.

# Configuration



Compliance Rating Change: 🔲 A note must be added on Compliance Rating change (requires Show Compliance Risk).

When the option is selected and there is a change on the Assessment tab, a compulsory note will need to be entered before the changes are made.

|   | ld A  | Ass | ess  | me    | nt N   | lote  | 2    |   |      |         |   |       |              |      |   |     |
|---|-------|-----|------|-------|--------|-------|------|---|------|---------|---|-------|--------------|------|---|-----|
| в | I     | 6   |      | TriLi | ne GR  | C Def | ault | * | (Fon | t Size) | • | <br>Ē | र्को<br>लेखन | - A/ | • | йвс |
|   |       |     |      |       |        |       |      |   |      |         |   |       |              |      |   |     |
|   |       |     |      |       |        |       |      |   |      |         |   |       |              |      |   |     |
|   |       |     |      |       |        |       |      |   |      |         |   |       |              |      |   |     |
|   |       |     |      |       |        |       |      |   |      |         |   |       |              |      |   |     |
|   |       |     |      |       |        |       |      |   |      |         |   |       |              |      |   |     |
| D | esigr |     | HTML | P     | reviev | v     |      |   |      |         |   |       |              |      |   |     |
|   |       |     |      |       |        |       |      |   |      |         |   |       |              |      |   |     |

## **Risk Score Bands changed from 4 to 5**

A 5<sup>th</sup> Risk Score Band is now available for customer's using Risk Scoring.

**Note:** This is not an optional setting.

On implementation, the 5<sup>th</sup> Band will be named 'Band 5' with the current maximum value and colours. The value of the 4<sup>th</sup> Band will be changed to the current maximum minus 1.

| Risk Score Ba | nds |              | Maximum |
|---------------|-----|--------------|---------|
| #008040       | -   | Low          | 8 🖕     |
| #FFCC00       | *   | Moderate     | 15 🗘    |
| #FF6600       | •   | High         | 20 🌲    |
| #FF00FF       | *   | Extreme      | 23 🜲    |
| #FF0000       | •   | Catastrophic | 25 🌲    |

### Change History for 'Contract With' records

The history of any changes to a 'Contract With' record will be displayed on a new tab.

**Contract With** 

| Details | Notes                | Custo | m Fields              | Contacts                 | Linked Contra | ts | History                        |                 |  |  |  |  |
|---------|----------------------|-------|-----------------------|--------------------------|---------------|----|--------------------------------|-----------------|--|--|--|--|
| Pag     | e 1 of 1 (9 item     | s) (  | 1                     | $\triangleright$         |               |    |                                | Page size: 10 🔻 |  |  |  |  |
| Enter   | Enter text to search |       |                       |                          |               |    |                                |                 |  |  |  |  |
|         | Date                 | 9     | Person                |                          |               | 9  | Details                        |                 |  |  |  |  |
|         |                      |       |                       |                          |               | 9  |                                | 9               |  |  |  |  |
|         | 12/07/2017           |       | GM - Fina<br>Ima Bean | nce & Admini:<br>counter | stration      |    | Contact Added: John Berkhalter |                 |  |  |  |  |

## Tasks

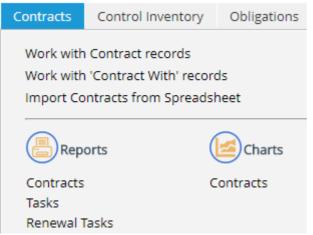
### **Contract Renewal Alert Task**

The Contract Renewal Alert has been changed to an optional Task that can be generated prior to the Notice Period date.

| Renewal Term   | Automatic Rollover |                  |            | - | For a further | 12 | *      | Month/s | * | ]                    |
|----------------|--------------------|------------------|------------|---|---------------|----|--------|---------|---|----------------------|
| Start Date     | 30/11/2015 -       | Initial End Date | 30/11/2016 | • | Notice Period | 3  | *<br>* | Month/s | * | 🔽 Send Reminder      |
| Execution Date | 12/11/2015 -       | Current End Date | 30/11/2017 | • | Reminder 1st  | 30 | *      | 2nd 10  | * | Days before Due Date |

In the example above the Reminder Date for the Task would be 31/7/2107 - Current End Date minus the Notice Period (3 Months) minus the 1<sup>st</sup> Reminder Days (30). Normal Task handling applies to the Task

A new suite of reports has been added for Contract Renewal Tasks (Current, Overdue and Completed).



A default value can be defined for the 1<sup>st</sup> Reminder Days in the Configuration.

### Configuration



First Reminder Days: 30 🌲 Default 1st Reminder Days for Renewal Tasks

### Task Due Date change history

#### The Task Due Date history is now available for all modules.

Compliance Process Task Due Date Changes

| Ent | er text to search |  |            |                        |            |                                  |           |   |  |  |
|-----|-------------------|--|------------|------------------------|------------|----------------------------------|-----------|---|--|--|
|     |                   |  | Due        | Due Date               |            | Due Date                         |           |   |  |  |
|     | Number            | Task Details   |            | Original 9 Current 9 ( |            | Actioned By                      | Completed | 9 |  |  |
|     | 9                 | 9  |            |                        |            | 9                                |           |   |  |  |
|     | CRM0095           | IT Security<br>(g) The keypad access code for the server room must be changed<br>every six months in accordance with IT Security Policy. | 30/03/2016 | 12/08/2016             | 28/07/2017 | Company Secretary<br>Arthur Boyd |           |   |  |  |
|     | CRM0065           | Induction Process<br>(c) Compliance reports his or her findings to the Board and the<br>Internal Compliance Committee.                   | 8/08/2012  | 24/05/2016             | 24/05/2016 | Company Secretary<br>Arthur Boyd | <b>V</b>  |   |  |  |

The details will be available from the module Reports menu.

| Compliance                                       | Risk  | KRI                              | Events | Registers |  |  |  |  |  |  |  |  |
|--|-------|----------------------------------|--------|-----------|--|--|--|--|--|--|--|--|
| Work with Compliance records<br>Manage Templates |       |                                  |        |           |  |  |  |  |  |  |  |  |
| Report   | ts    |                                  | Ch     | Charts    |  |  |  |  |  |  |  |  |
| Compliance<br>Process Con<br>Task Due Da         | trols | Outcom<br>Risk Rati<br>Risk Rati | ng     |           |  |  |  |  |  |  |  |  |

The list can be exported to Excel.

### **Express Complete One Click**

A new configuration item will allow a single click to Express Complete a Task. **Configuration** 

| combai   |              |               |                     |              |               |                    |                   |        |  |  |  |  |  |
|--|--------------|---------------|---------------------|--------------|---------------|--------------------|-------------------|--------|--|--|--|--|--|
| General  | Database     | Monitor       | Maintenance         | Risks        | Events        | Obligations        | Customisation     | Portal |  |  |  |  |  |
| ✓ General  |              |               |                     |              |               |                    |                   |        |  |  |  |  |  |
| ▲ Tasks  |              |               |                     |              |               |                    |                   |        |  |  |  |  |  |
| Attestation Comment: If ticked, a Comment will be required regardless of the Outcome.<br>If not ticked, a Comment will <b>not</b> be required for 'Yes' or 'Pass' Outcomes <b>only</b> . |              |               |                     |              |               |                    |                   |        |  |  |  |  |  |
| Show   | Express Comp | olete Button: | 📝 lf ticked, the Ex | press Com    | plete Buttor  | n will be shown (w | /hen applicable). |        |  |  |  |  |  |
| Ex   | press Comple | te One Click: | 🖌 lf ticked, only o | ne click wil | l be required | d to Express Com   | plete a Task.     |        |  |  |  |  |  |
| Show Not Completed Button: 📝 If ticked, the Not Completed Button will be shown.  |              |               |                     |              |               |                    |                   |        |  |  |  |  |  |
| Use Critical Tasks: 📝 If ticked, Tasks can be marked as Critical.  |              |               |                     |              |               |                    |                   |        |  |  |  |  |  |

On the My Summary page, the mouseover tooltip will vary depending on the configuration setting.

#### One Click not selected: ···· -Ima Beancounter, GM - Finance & Administration My Summary Current Tasks Roles & Responsibilities Temporary Allocation My Reports / Charts 6 Page 1 of 16 (160 items) 🕢 1 2 3 4 5 6 7 14 15 16 () Page size: 10 🔻 Enter text to search.. Express Complete Туре ♀ Number ♀ Details Outcome Is action required?: No Action Required Yø Waiver of adverse costs liability for small businesses Obligation Task 7339 13/03/2017 / 🖙

The existing confirmation popup will display on click.

#### One Click selected:

| My S | um  | mary           |          |            |        |     |         |          |          |       |        |          |    | lma  | Beanco | ounter, G | M - Finance & Administration 🔤 👻  |
|------|---|----------------|----------|------------|--------|-----|---------|----------|----------|-------|--------|----------|----|--|--------|-----------|---|
| 🕒 Ci | irrent  | Tasks F        | Roles &  | Responsibi | lities | Ten | nporary | Allocati | on       | My Re | eports | / Charts |    |  |        |           |   |
| 6    | D   | age 1 of 16 (1 | 160 iter | ns)        | 1      | 2   | 3       | 4        | 5        | 6     | 7      |          | 14 | 15   | 16     |           | Express Complete  |
|      |   | age i oi io (i | roo ner  |            |        |     |         |          |          |       |        |          |    | 15   | 10     | 0         | Mark this Task as Completed today by you with no comments or attachments. |
|      | Ente  | er text to sea | rch      |            |        |     |         |          |          |       |        |          |    |  |        |           | A Positive Outcome will be recorded.                                      |
| -    | Type 💡 Number 🖓 Details   |                |          |            |        |     |         |          |          |       |        |          |    | Outcome<br>Is action required?: No Action Required |        |           |   |
|      | Obligation Task 7339 Waiver of adverse costs liability for small businesses |                |          |            |        |     |         | mall b   | usinesse | 5     |        |          |    | 13/03/2017 🤌 🎤 💽                                   |        |           |   |

The Task will be 'Express Completed' on click.

## **Customise and create Interactive Dashboards**

Dashboard + & × DASHBOARDS **Risk Summary** G Risk Summary Residual Consequences Residual Likelihood Sub Cated Residual Risk Rating Insignific... Catast... Residual Risk Score Rare: 8 Inherent Risk Rating Residual Risk Rating Risk Score Extreme: 11 Extreme: 6 Cat... Mod... Low: 9 Low: 8 Risk Numbe Risk Risk Score Band Status A1 Information Risk Effective: 21 Staff Risk And the Risk of Staff ABC.4444 Low: 22 iFRE8989 A Test S iRISK1999 Reputa iRSK0040 Third Party Providers

Your interface with the Interactive Dashboards has changed:

All the Interactive Dashboards for each module will be available on one page rather than multiple menu items.

It is also possible for authorised staff (TriLine GRC Administrators and members of a new System Security Group - Dashboard Designers) to modify existing Interactive Dashboards and create new ones in most modules.

| Dashboar               | rd                                       |                               |                       | 4 B X                         |
|------------------------|--|-------------------------------|-----------------------|-------------------------------|
| COMMON                 | Risk Summary                             |                               |                       | )<br>D                        |
| ΞΣ                     | Reputation                               | OPTIONS X                     | Residual Consequences | Residual Likelihood           |
| . <b>     </b><br> ● ◎ |  | STYLE                         | Catastroph_           | Likely: 5 Possible: 8 Almost. |
| E (8)                  | Financial<br>E Capital Risk              | COMMON                        | ₩ajor: 4              | Unlikely: 3                   |
| iai 🛏                  | 0 1 2                                    | LAYOUT                        | Minor: 3 Moderate: 6  | Rare: 8                       |
| <b>•</b>               | <u>و</u> 20                              | LABELS                        | Inherent Risk Rating  | Residual Risk Rating          |
| MAPS                   | So S | COLORING<br>COLOR SCHEME      | Edreme: 11            | Etreme: 6                     |
| FILTER                 |  | Catastrophic<br>Insignificant | High: 7 Moderate: 1   | Low 9                         |
|                        |  | Major<br>Minor<br>Moderate    |                       | Status                        |
| N CA                   | Low: 22<br>High:<br>Moderate:            |                               | of Staff              | Unacceptable: 6               |

All existing Interactive Dashboards will be available and can be modified as required.

#### **Data Sources**

Initially we provide a number of 'Data Sources' to match the existing suite of Interactive Dashboards. If your creative flair requires data in a layout / format we don't provide by default then you can contact us and we will attempt to meet your needs.

### **Getting Started**

Previously each Interactive Dashboard was customised to your configuration as it was loaded (e.g. Risk Rating colours). We are unable to do that with this new version. You will need to customise each of the Dashboards to meet your specific configuration (e.g. set colours for Risk Rating). This is a one-off exercise. Using the Dashboard Designer is documented in the TriLine GRC Help.

**Note:** By defining your own colours in the Dashboard, when the Dashboard is exported the colours will appear in the output.

### Create a Home Screen icon on your mobile device

You can now create a Home Screen icon on your mobile device for your TriLine GRC site.

Follow the instructions for your particular device.



### **Control Inventory**

The Control Inventory provides a mechanism for TriLine GRC customers to measure the 'Effectiveness of Controls'. It is not envisaged that there will be a one-to-one relationship to a Process Control or Treatment but rather a 'super-set' or 'aggregation' of a number of related items (e.g. Compliance Processes, Process Controls, Risk, Treatments, KRI's etc.). A Task generated from the Control Inventory is only to record the current Control Effectiveness.

For example: Segregation of Duties in Loans Area

The Control has a corporate Policy. Annual Policy review Task (Process Control) Hindsight Review (KRI) The Policy is in the Document Module and every time it is reviewed each staff member has to sign off that they have read the Policy. An Event to report incidents. Listed as a key control in one or more risks. The person completing the Task would review all of the above and then record the Effectiveness.

### (Control Inventory)

| CI0005          |                                | • 🌖 S                    | taff - Rem | uneration                   |        |            |            |       |        |                     |          |             |        |         |         |
|-----------------|--------------------------------|--------------------------|------------|-----------------------------|--------|------------|------------|-------|--------|---------------------|----------|-------------|--------|---------|---------|
| Details Co      | ustom Fields                   | Links                    | Tasks      | Notes                       | Arch   | ives       | -          | Secur | ity    | His                 | tory     |             |        |         |         |
| Number          | CI0005                         |                          | Re         | cord Status                 | Active |            |            |       | -      |                     |          |             |        |         |         |
| Туре            | Preventative                   |                          |            |                             |        |            |            |       |        |                     |          |             |        |         |         |
| Title           | Staff - Remune                 | eration                  |            |                             |        |            |            |       |        |                     |          |             | SC     |         |         |
| Description     | ኤዕ 🖻                           | <b>N</b>                 | <u>م</u>   | $\mathbf{X}^2 \mathbf{X}_2$ | 0      | <b>*</b> = | <b>+</b> = | ABC   | P      | 0                   | <u>_</u> |             | T K    | R N     |         |
|                 | TriLine GRC D                  | efault)                  |            | t Size) 🔻                   | в      | 1          | U          | S     | ≣      | Ξ                   | =        | <b>ener</b> | - A,   | / -     |         |
|                 | The effective<br>levels (recog | gnising there            |            |                             |        |            |            |       | per of | <sup>i</sup> key st | taff lo  | st and      | i staf | f satis | faction |
| 0               |                                |                          | review     |                             |        |            | _          |       |        |                     |          |             |        |         |         |
| Owner           | enter operadi                  | 0                        |            |                             |        |            | *          |       |        |                     |          |             |        |         |         |
| (Business Unit) |                                |                          |            |                             |        |            | *          |       |        |                     |          |             |        |         |         |
| Tags            | Staff Turnove                  | r X                      |            |                             |        |            |            |       |        |                     |          | _ <         | >      |         |         |
| Effectiveness   | Not Rated                      |                          |            |                             |        | ,          | •          | đ     |        |                     |          |             |        |         |         |
|                 | Last Review: 5/<br>By: Cł      | 09/2017<br>nief Risk Off | ficer      |                             |        |            |            |       |        |                     |          |             |        |         |         |

| (Contr                     | ol Inventory)  |                                  |
|----------------------------|--|----------------------------------|
| CI0005                     | ▼  |                                  |
| Details                    | Custom Fields Links Tasks Notes Archives Security History  |                                  |
| Compl                      | ance Risk KRI Contract Documents   |                                  |
|                            | - 🚱  |                                  |
| Pag                        | e 1 of 1 (1 items)   | Page size: 5 🔻                   |
| Enter                      | ext to search  |                                  |
| 1                          | umber Process  | Status                           |
| <i>S</i> 0                 | DM0024 Staff Remuneration  | Active                           |
| CI0005<br>Details<br>Compl |  |                                  |
|                            | Page 1 of 1 (3 items)  | Page size: 5 🔻                   |
| 67                         | Enter text to search   |                                  |
|                            | Risk Number 🖗 Risk   | Status 💡                         |
|                            |  | Active                           |
|                            | RSK0903         Staff Payroll           Pstropp1         Pstropp1  | Active                           |
|                            | RSK0904     People - right person, right job, risk skills, right time  |                                  |
|                            | RSK0906 Pay and Conditions   | Active H                         |
| CI0005                     | Inventory)         Image: Staff - Remuneration         Custom Fields       Links         Tasks       Notes         Archives       Security         History |                                  |
| Compliar                   | ze Rísk KRI Contract Documents   |                                  |
|                            | - <del>《</del>   |                                  |
|                            | Page 1 of 1 (2 items)  | Page size: 5 🔹                   |
| <b>2</b>                   | nter text to search  |                                  |
|                            |  | Rating 💡                         |
| _                          |  | • 1 Assessable                   |
|                            | <b>V</b>   | 1 Acceptable                     |
| •                          | KRI009 Key Staff Lost 0 Stable   | <ul> <li>1 Acceptable</li> </ul> |

### **Document Library Module**

The Document Library Module is an optional module that provides the following:

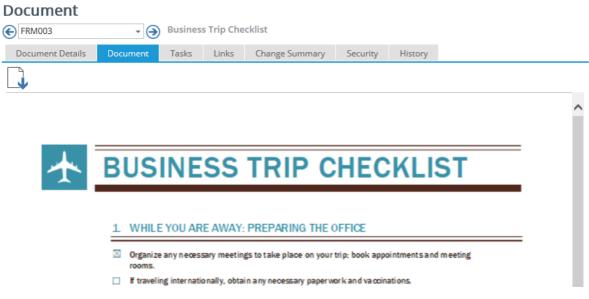
- 1. A repository of documents that can be viewed on-line by all staff (via the TriLine GRC Portal or within TriLine GRC) not just TriLine GRC users.
- 2. The ability to upload documents and allocate a Category (e.g. Human Resources, Customer Complaints etc.) and a Type (e.g. Policy, Procedure, Form etc.).
- 3. A Document Review cycle can be initiated from within TriLine GRC.
- 4. Capture metadata about the document (e.g. Version, Summary).
- 5. Create an archive of Document versions with accompanying change summary.
- 6. Link a Document to other Documents (e.g. Form to Procedure) and records in other TriLine GRC modules (e.g. Risk).
- 7. Create a 'Read and Certify' Task for Documents where a new version must be read by all staff (linked by TriLine GRC Security).
- 8. Documents can be downloaded (configurable by Document).
- 9. Track who has viewed and downloaded the document.

The Document Module is not intended to be the primary repository for customer documents. It is strongly recommended that only the 'published' version of any document be available (e.g. PDF format).

|   | Documen     | t                       |                       |                     |          |                          |          |  |
|---|-------------|-------------------------|-----------------------|---------------------|----------|--------------------------|----------|--|
|   | FRM003      | - <b>Ə</b>              | Business Trip Ch      | ecklist             |          |                          |          |  |
| F | Document De | tails Document          | Tasks Links           | Change Summary      | Security | History                  |          |  |
| 4 | Number      | FRM003                  | Date Added: 26/09/2   | 2017 Status: Active |          | ffective Date 30/09/2016 | <b>•</b> |  |
|   | Title       | Business Trip Checklist |                       |                     |          |                          |          |  |
| Î | Summary     | в / в 🕅 Т               | riLine GRC Default    | ▼ (Font Size)       |          |                          |          |  |
|   |             | Checklist to be com     | pleted when undertaki | ng a business trip. |          |                          |          |  |

|                   | Design HTML Preview |   |
|-------------------|---------------------|---|
| Туре              | Form                | • |
| Category          | Marketing           | * |
| Version           | 3.4                 |   |
| Owner             | HR Manager          | • |
| Display In Portal |                     |   |
| Allow Download    | $\checkmark$        |   |

The document can be viewed on screen and downloaded if required.



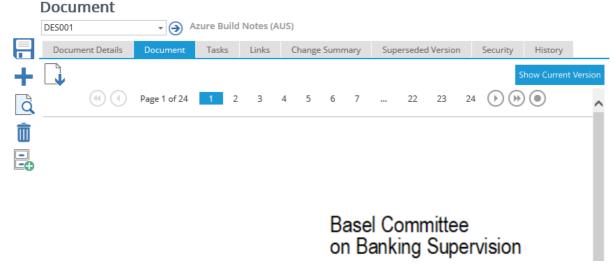
### **Effective Date**

As you go through the review cycle of a document you will be able to upload a new version of the document that will be 'Effective' from a date in the future.

The TriLine GRC Portal and TriLine GRC Document will always display the 'current' version of the document with an indication of when the document will be superseded.

| Tri  | line GRC      |   | Q | 302 Current Tasks (302 Overdue) | 0 |
|------|---------------|---|---|---------------------------------|---|
| My 5 | Current Docun | nent                                    |   |                                 | × |
|      | L             | ll be superseded on 31/10/2017          |   |                                 |   |
| 0    |               | 1           <b>1</b>           <b>2</b> | 3 |                                 |   |
| +    |               |   |   |                                 |   |

If the Document record is displayed the 'new' version will be displayed by default with the option to display the 'current' version.



### Things to do before you upgrade

- 1. If you require a default of more than the 30 days on contract reminder renewals, please inform TriLine GRC before the upgrade.
- 2. Have a list of valid Domain Names for people using the TriLine GRC portal ready for entry.
- Advise all staff using the TriLine GRC portal that they will need to register before they can
  access the upgraded portal.
  To register they will need to enter their details including an email address and an activation or
  approval required email will be sent to their address.

Alternatively, once the site is upgraded, the list of users can be added via a spreadsheet and an invitation email can be sent.

4. Advise staff of changes to Task completion if Express Complete One Click is to be used.

# Things to do after your upgrade

- 1. **Important**: Advise your staff to use the Logout menu item or click the red in the top right corner of the page otherwise they may not be able to log back in for 30 minutes.
- 2. **Important**: If you only have one TriLine GRC Administrator position create a 'spare' (with 'Do Not Display In Lists' selected) in case the Administrator position is locked out due by failing or being unable to logout correctly.
- 3. If you are using a password challenge and Captcha for your existing portals you will need to reset the values on the Maintenance | Configuration page. **Note:** The password challenge is no longer available.
- 4. Advise your staff of the change from My Tasks to My Summary.
- 5. Update any existing URL's you may have created to the Events or Register portals on your intranet or desktops to the new single portal URL (https://yoursite/portal.aspx).
- 6. Enter the valid Domain Names for TriLine GRC portal access.
- 7. Modify each of the Interactive Dashboards to your configuration. This could include: setting the colours (e.g. Risk Rating, Risk Score, KRI Trend and KRI Rating), removing unwanted items (e.g. if not using Risk Scoring) and terminology (e.g. Event).
- 8. If Risk Scoring is used, then set the Risk Score Bands for the five bands (previously four).
- 9. Set the Password Strength indicator if required.