



TriLine GRC V2.2.0 – New Features

Interface Changes.....	3
Action button icons refreshed and updated.....	3
Export grid options.....	3
Font for Standard Export of grid to MS Excel format	4
Export options	4
Audio Attachments.....	4
Blind Task alert.....	4
Task Summary	5
Menu Wrap.....	6
Security	7
Current Users.....	7
Identity Theft	8
Managing blocked IP Addresses	9
Single Sign On	9
Compliance.....	10
Source Obligation.....	10
Adding a Source Obligation to an existing Compliance Process	10
Automatic update from a Source Obligation on change	11
Unresolved Obligation Updates	12
Key Risk Indicators (KRI)	13
Contracts	14
Contract List.....	14
Changing the Current End Date	14
Events	15
Field Label	15
Display Text	16
Other Information Field Images	16
Other	17
Registers.....	18
Register List.....	18
Field Label	18
Display Text	18
Export / Import Register Types	18
Change to 'Closed' Status.....	19

TriLine GRC V2.2.0 – New Features

Other	19
Control Inventory	20
Dashboard	20
Interactive Dashboard	20
Reports	20
Security Centre.....	20
Document Library	21
AdHoc Read and Certify Tasks	21
Tags	21
Load Document records from a spreadsheet	22
Charts / Widgets	22
Obligations.....	23
Source Obligation.....	23
Obligations List.....	23
Search.....	23
Generate Tags	24
Integration	25
Transfer of Module, Topic, Obligation and Sub Obligation Owner	27
‘Applies to us’ changes	27
Alert Effective information.....	28
Statistics	29
Custom Reports	30
Nomenclature.....	31
Design Surface.....	31
After the Upgrade	32

TriLine GRC V2.2.0 – New Features

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

Interface Changes

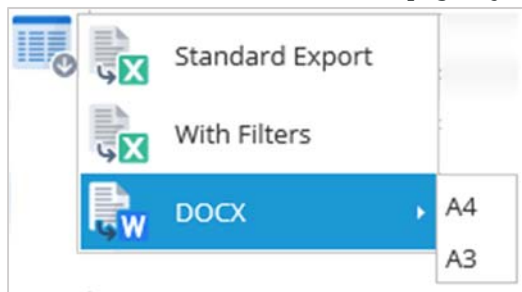
Action button icons refreshed and updated

To improve the overall look and feel we have refreshed the buttons used in the application. The new buttons have a look and feel that is consistent with the other parts of the application. While most buttons retain the same basic image, some have been changed to better reflect their function.



Export grid options

The available options for exporting grids has been expanded to now include DOCX format with a page size of A4 or A3. In both cases the page layout will default to landscape.

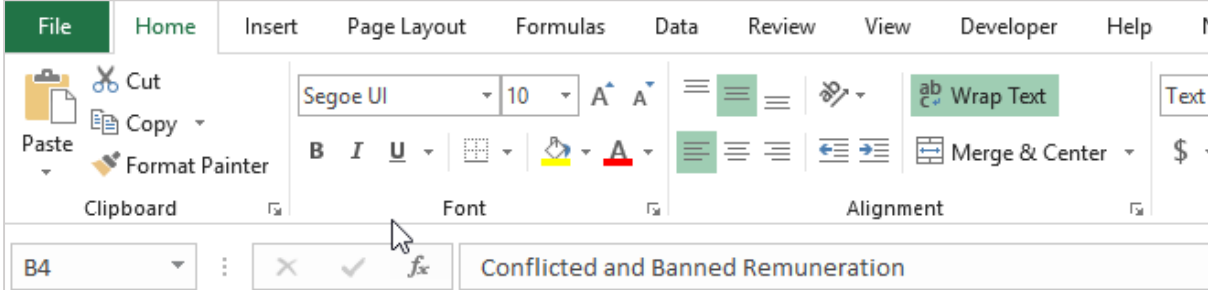


Number	Title	Description	Category	Responsible Officer	Business Unit	Status
21633	Australian Financial Services License (Product Issuers) : Advertising of Financial Services	Financial services licensees must provide the required warnings and information in promotional material, and must not engage in conduct that is misleading or deceptive, or that constitutes prohibited hawking of financial products.	Business Continuity	Finance Manager	Credit	Active
22345	Financial Requirements	The licensee must have procedures in place to ensure that it complies with ASICs financial requirements.	Environmental Policy	Executive Secretary	Business Development	Active

TriLine GRC V2.2.0 – New Features

Font for Standard Export of grid to MS Excel format

To improve the legibility of the spreadsheet, the default font in the spreadsheet has been changed to Segoe UI (the same font used in the TriLine GRC reports).



	A	B	C
1	Number	Title	Description
2	21633	Australian Financial Services License (Product Issuers) : Advertising of Financial Services	Financial services licensees must provide the required warnings and information in promotional material, and must not engage in conduct that is misleading or deceptive, or that constitutes prohibited hawking of financial products.
3	22345	Financial Requirements	The licensee must have procedures in place to ensure that it complies with ASICs financial requirements.

Export options

The export options on the following pages now include the same options as other pages:


1. Audit Trail
2. Escalation Details
3. Future Schedule.

Audio Attachments

The audio file type of .WAV can now be added as an attachment when completing a Task, creating an Event or creating a Register record.

Blind Task alert

A new information alert will appear when editing a Task if Blind Task is set to true.

Actioned By	Executive Secretary	Click here to select Actioned By <div data-bbox="845 1624 1393 1702"> This is a Blind Task. Any Position or Task Team can be an Actioned By.</div>
-------------	---------------------	---

TriLine GRC V2.2.0 – New Features

Task Summary

The Task Summary has been moved to the User menu. The menu icon will vary depending on whether the User has current and/or overdue Tasks.





The User has no current or overdue Tasks.



The User has current Tasks (e.g. none are overdue).



The User has current and/or overdue Tasks.



User Details
Name: Ima Beancounter
Title: GM - Finance & Administration
User ID: James
IP Address:

Task Summary

Current: 39

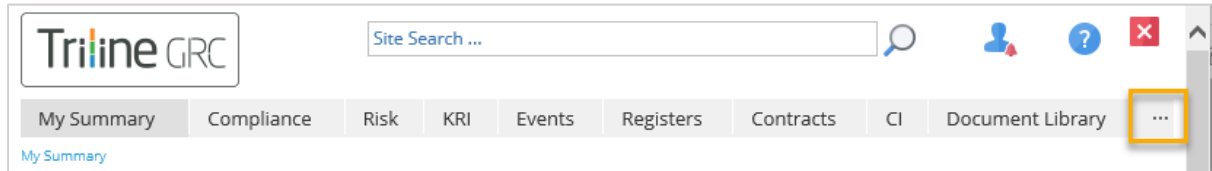
Overdue: 490

[Future Schedule](#)
[Change Password](#)
[Change User](#)
[Logout](#)

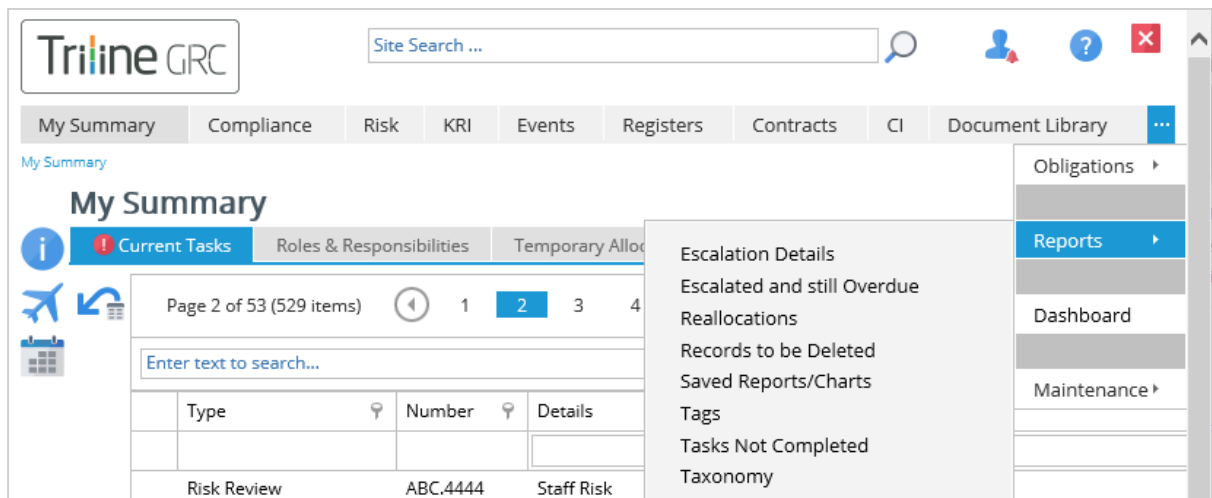
TriLine GRC V2.2.0 – New Features

Menu Wrap

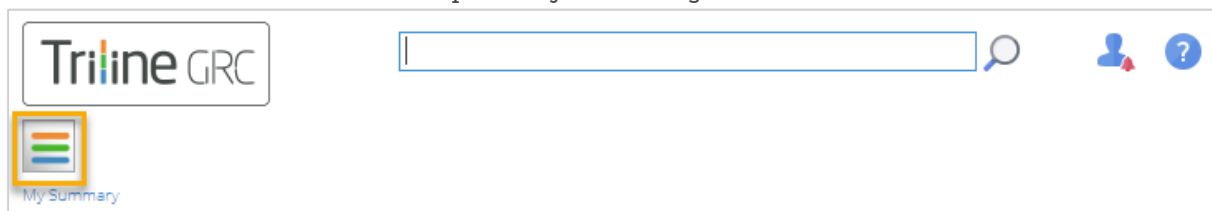
On smaller screens or if you need to reduce the browser window size, the menu will display an ellipsis character at the right.



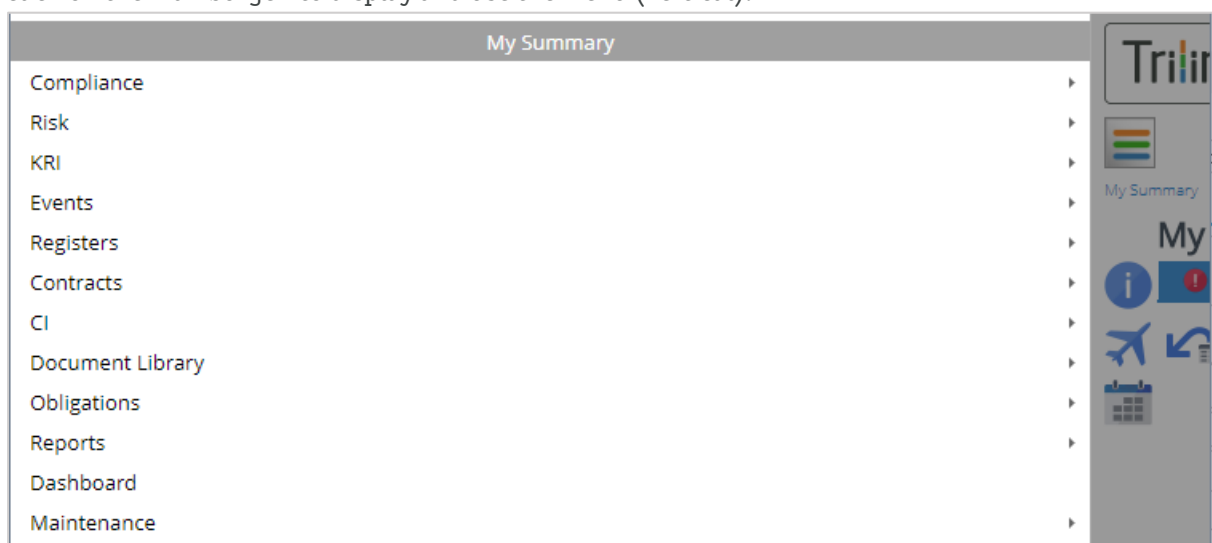
Click on the ellipsis to display and use the hidden menu items.



On smaller screens the menu will be replaced by a 'hamburger' icon.



Click on the 'hamburger' to display and use the menu (vertical).



TriLine GRC V2.2.0 – New Features

Security

Password Strength

A Password Strength Indicator has been added to the Security Centre for Positions and Portal Users.

Security Centre					
Positions	Portal Users	Task Teams	Security Groups	System Groups	User Emails
Page 2 of 2 (12 items) 1 2 Page size: 10					
Enter text to search...					
	Title	First Name	Surname	User ID	Strong Password
	Marketing Manager	Iva	Longlunch	ivaLong	
	Operations Manager	Fred	McCubbin	fm	
Page 2 of 2 (12 items) 1 2 Page size: 10					

Note: It is strongly recommended that you review this list as soon as possible and advise any users with a weak password to change their password.

Current Users

A list of the current users of the system is available from the Maintenance menu.

TriLine GRC

Site Search ...

489 Current Tasks (387 Overdue)

My Summary

Compliance

Risk

KRI

Events

Registers

Contracts

CI

Document Library

Obligations

Reports

Dashboard

Maintenance

[Unresolved Obligation Updates](#)

[Compliance List](#)

[Compliance: CRM0020](#)

[Process Control Task Statistics](#)

[Security Centre](#)

[Current Users](#)

Current Users

Enter text to search...

User ID: exeSec

Title: Executive Secretary

Logged On: 25/06/2018 1:05 PM

Last Activity: 25/06/2018 3:37 PM

Portal Login: ☐

User ID: finMan

Title: GM - Finance & Administration

Logged On: 25/06/2018 2:59 PM

Last Activity: 25/06/2018 3:46 PM

Portal Login: ☐

Count=2

Note: Users who exited TriLine GRC without using the Logoff options may appear in this list until the system cleanup occurs.

Note: Users who do not select 'Logoff' from the menu or click the 'Red X' (top right of the screen) to logoff may appear in this list until the hourly system clean-up occurs.

TriLine GRC V2.2.0 – New Features

Identity Theft

To provide improved security if identity theft has occurred we now monitor the IP address of each user logging in. If no previous login has been recorded that is considered to be a valid IP address.

If any future login is from a new location (IP address) they will receive the following email:

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

Hello Ima,

A login to TriLine GRC using your credentials has been recorded at a new location or IP Address. The details are:
203.217.19.141
Location: Sydney New South Wales Australia
Operating System: Windows 10

If this login was performed by you then no further action is required (to check your IP Address hover over the User icon in TriLine GRC).

If this was not performed by you please complete the following:


- o [Click here](#) immediately to block any further access from that location.
- o Change your TriLine GRC password as soon as possible to prevent further intrusion.
- o Ask your TriLine GRC Administrator to provide a list of recent activity with your credentials to assess any impact.

Triline GRC Administrator

If this is not the user they can click on the link to immediately block any further activity from that IP address. The following message will be displayed.

IP Address 203.217.19.141 has been blocked from further access for User Id: 'james' Title: 'GM - Finance & Administration'. Please close this browser window or tab.


If a login is attempted from a blocked location, it will be rejected and an email sent to the TriLine GRC Administrator:

 Sample With Custom Reports

Login

User ID:

Password:



[Forgot your password?](#)

Your login has failed. Please contact your Administrator

TriLine GRC V2.2.0 – New Features

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

**** Warning ****

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

A login attempt with valid credentials for User ID: 'james' Title: 'GM - Finance & Administration' occurred from a **banned IP Address** 203.217.19.141 at 16:24:14

Location: Sydney New South Wales Australia

Operating System: Windows 10

Managing blocked IP Addresses

The IP addresses used for each Position can be reviewed in the Security Centre:

	Title	First Name	Surname	User ID	Strong Password	
	Manager					
	Business Development Manager	William	Dobell	wdobell		
	Compliance & Risk Manager	Justin	Case	jcase		

The 'red' icon indicates that the Position has at least one banned IP address.

IP Address List: Compliance & Risk Manager				
	IP Address	Location	Valid	
	103.217.123.xxx	Tashkent Uzbekistan		
	203.216.13.xxx	Pyongyang North Korea		
	203.217.12.xxx	Brisbane Queensland Australia		
				Save changes Cancel changes

Click on the switch in the Valid column to block or allow access as required then click Save Changes.

Single Sign On

It is now possible to use Single Sign On (SSO) to access TriLine GRC using either LDAP or SAML protocols. Your SSO service must be available for access across the Internet. Please contact TriLine GRC for more information.

TriLine GRC V2.2.0 – New Features

Compliance

Source Obligation

A 'Source Obligation' is an Obligation that was used to automatically create a Compliance Process or Process Control.

The Source Obligation information will now appear on the Compliance Process and Process Control screens to provide instant access to the underlying Source.

Compliance Process

21633 → Australian Financial Services License (Product Issuers) : Advertising of Financial Services

Process DetailReferencesProcess ControlsNotesArchivesLinksCustom FieldsSecurityHistorySource Obligation

Delete Source Obligation link

Module : 21139 Australian Financial Services License (Product Issuers)
Topic : 17865 Australian Financial Services License (Product Issuers)
Obligation : 21633 Advertising of Financial Services

Practical Guidance

Remedial Action
Consequence
Directional
Questional
Compliance Source

Financial services licensees are under certain obligations when promoting their services and providing information to the public to ensure that members of the public are:

- Adequately warned about the nature of the services and any advice provided in the promotional material
- Not misled as to the nature of the services, including in relation to the price and availability of the services
- Not subjected to unsolicited offers to issue or sell a financial product, in certain circumstances

Specifically, these obligations require that:

Edit Task

Process: 23416 Conflicted and Banned Remuneration

iDetailsSchedule / Custom FieldsSource Obligation

Delete Source Obligation link

Module : 22986 Asset Management
Topic : 23002 Asset Management
Obligation : 23416 Conflicted and Banned Remuneration
Sub Obligation : 23419 An Australian financial services licensee must not accept conflicted or banned remuneration

Practical Guidance

Remedial Action
Consequence
Directional
Questional
Compliance Source

An organisation that holds an Australian financial services (AFS) licence must not accept conflicted remuneration and must also take reasonable steps to ensure that its representatives do not accept conflicted remuneration. The organisation will have contravened this prohibition if:

- A representative of the organisation (including an authorised representative) accepts conflicted remuneration, and
- The organisation is a responsible licensee in relation to the contravention

The conflicted remuneration prohibition applies to a range of benefits received by an organisation that holds an AFS licence and its representatives. This includes benefits passed on by:

- the organisation on whose behalf the representative acts, or

Note: For existing customers any Compliance Process records that were created from an Obligation will have the Source Obligation 'link' automatically.

Adding a Source Obligation to an existing Compliance Process

A Source Obligation can be designated to any existing Compliance Process by clicking the Add Source Obligation button on the Source Obligation tab.

Compliance Process

CRM0020 → Change of Directors

Process DetailReferencesProcess ControlsNotesArchivesLinksCustom FieldsSecuritySource Obligation


Add Source Obligation

TriLine GRC V2.2.0 – New Features

Automatic update from a Source Obligation on change

If a Source Obligation is changed, an alert will be sent to the Obligation Owner advising them of the change. It is possible to automatically update the text in the Compliance Process from the Obligation.

Compliance Process

21633  Australian Financial Services License (Product Issuers) : Advertising of Financial Services

Process Detail

References

Process Controls

Notes


Archives

Links

Custom Fields

Security

History

 **Source Obligation**

Update from Obligation

Clear the Update Notice

Delete Source Obligation link

Module :

21139 Australian Financial Services License (Product Issuers)


Topic :

17865 Australian Financial Services License (Product Issuers)

Obligation :

21633 Advertising of Financial Services

The fields to be updated are optional to allow for any customisation of the original Obligation text.


Update from Obligation 

Do you want to replace the following Compliance Process information with new Obligation information?


☒ Title

☒ Description

☒ Risk

2 








Version Number



Note: The same applies to Process Controls with a Source Obligation.

The Version Number and Last Change Date will be updated and an Archive record created automatically. If the change is to a Process Control you will need to archive manually before applying the change.

A new column has been added to the Compliance Process and Process Control lists to indicate that the record has a Source Obligation. If the column is highlighted it indicates that the Source Obligation has been updated but the changes have not been applied or rejected.

 Number 	Title	 
 		
20800	Authorised Deposit-taking Institutions : Authorisation under APRA : Outsourcing	<input checked="" type="checkbox"/>
21633	Australian Financial Services License (Product Issuers):Advertising of Financial Services	<input checked="" type="checkbox"/>
9205	Tax : Land Tax	<input checked="" type="checkbox"/>
ABC88888	Reporting and Record Keeping	<input checked="" type="checkbox"/>
C4	A Change of Directors	<input type="checkbox"/>

TriLine GRC V2.2.0 – New Features

Unresolved Obligation Updates

A list of Unresolved Obligation Updates will be available from the Compliance and Obligation menus (for TriLine GRC Administrators and Compliance Module Administrators) to assist in managing available updates if there are unresolved updates.

Unresolved Obligation Updates					
Page 1 of 1 (5 items) ◀ 1 ▶					
<input type="text" value="Enter text to search..."/>					
Drag a column header here to group by that column					
Compliance		Responsible	Type	Obligation	
20800	Authorised Deposit-taking Institutions : Authorisation under APRA : Outsourcing	GM - Finance & Administration (Ima Beancounter)	Compliance Process	20800	20205 Authorised Deposit-taking Institutions 17859 Authorisation under APRA 20800 Outsourcing
22345 (B)	Financial Requirements	GM - Finance & Administration (Ima Beancounter)	Process Control	22344	21139 Australian Financial Services License (Product Issuers) 17865 Australian Financial Services License (Product Issuers) 22345 Financial Requirements 22344 Surplus liquid funds requirement

Note: To 'resolve' an Obligation Update select 'Update from Obligation' or 'Clear the Update Notice' on the Source Obligation tab of the Compliance Process or Process Control.


TriLine GRC V2.2.0 – New Features

Key Risk Indicators (KRI)


The 'current value' can be excluded from the KRI 12 Month History report.

KRI History


Settings

 Select Report

12 month Summary

 Group By

Group By

 Applied Filters & Options

Exclude Current

Report Title

Enter your own Report Title (Optional)

Filters & Options

Start Month

Dec 2017

Tags

Owner

Risk Category

Rating

Trend

☐ Exclude Measure

☐ Exclude Comments

☒ Exclude Current Value

TriLine GRC V2.2.0 – New Features

Contracts


Contract List

The following columns are now available on the Contract List screen:

1. Renew For
2. Notice Period
3. Current End Date

Changing the Current End Date

If the Current End Date is changed when editing a Contract record a mandatory comment will need to be entered. The change will be recorded in the Contract Renewal History.

Execution Date	19/11/2015	Current End Date	5/12/2018	Reminder 1st	30	2nd	10	Days before Due Date	
<div>** Mandatory ** Click here to supply the reason for the change to the Current End Date</div>									

TriLine GRC V2.2.0 – New Features

Events

Field Label

Each field in an Event Form now has a new option – ‘Field Label’. This will be used instead of the Field Name when the form is created to simplify the use of the form. The Field Label does not have to be unique.

Edit Form Field



Field Type:	Text
Field Name:	Initial Result
Field Label:	Result of Investigation

Customer Complaint Form Fields					
Enter text to search...					
	Field Name	Field Label	Description	Active	Field Type
	Customer	Customer Name	The customer's name	<input checked="" type="checkbox"/>	Text
	Complaint	Complaint	Describe what the customer is concerned about	<input checked="" type="checkbox"/>	Text
	Initial Header	Initial Investigation	Section Header	<input checked="" type="checkbox"/>	Section Header
	Initial Result	Result of Investigation	What was found in the investigation	<input checked="" type="checkbox"/>	Text
	Initial Customer Response	Customer Response	The customer's response to the results of the initial investigation	<input checked="" type="checkbox"/>	Text
	Resolved first time	Complaint Resolved	Was the complaint resolved after the first investigation	<input checked="" type="checkbox"/>	Tick Box
	Further Header	Further Review or Investigation	Section Header	<input checked="" type="checkbox"/>	Section Header
	Further Result	Result of Investigation	What was found in further investigation	<input checked="" type="checkbox"/>	Text
	Further Customer Response	Customer Response	The customer's response to the further investigation	<input checked="" type="checkbox"/>	Text
	Resolved 2nd Time	Complaint Resolved	Was the complaint resolved after further investigation	<input checked="" type="checkbox"/>	Tick Box

Form Preview

Customer Name*:	<input type="text"/>
Complaint*:	<input type="text"/>
Initial Investigation	
Result of Investigation:	<input type="text"/>
Customer Response:	<input type="text"/>
Complaint Resolved:	<input type="checkbox"/>
Further Review or Investigation	
Result of Investigation:	<input type="text"/>
Customer Response:	<input type="text"/>
Complaint Resolved:	<input type="checkbox"/>

Highlighted rows are Backend only

Note: The Field Name must be unique for each field.

For clarity, the Adhoc Query with Form Fields will use the Field Name as the column header rather than the Field Label.

TriLine GRC V2.2.0 – New Features

Display Text

The new 'Display Text' field type allows text information to be included within a form.

Form Preview

Customer Name*:	<input type="text"/>
Complaint*:	<input type="text"/>
Initial Investigation	
Action Required:	Review the customer's complaint. Respond to the customer within 3 days of the complaint being received.
Result of Investigation:	<input type="text"/>
Customer Response:	<input type="text"/>
Complaint Resolved:	<input type="checkbox"/>
Further Review or Investigation	
Action Required:	If the customer does not accept the initial findings then a further investigation must occur. Respond to the customer within 7 days.
Result of Investigation:	<input type="text"/>
Customer Response:	<input type="text"/>
Complaint Resolved:	<input type="checkbox"/>

Highlighted rows are Backend only

Other Information Field Images

Pasting images into the Other Information field of an Event can have a serious impact on performance and presentation on the Event List screen. With this release you will not be able to paste an image into the Other Information field. Images can instead be 'pasted' into the Event on the Attachments page of the New Event wizard. Any images will appear as attachments.

New Events ×

i

Customer Complaint

Attachments / Images Step 4 of 5

Browse ... Remove

[Add File](#)

Paste images below ...

TriLine GRC V2.2.0 – New Features



Other

The salutation on the new Event confirmation email has been improved.

Tick boxes can no longer be a required field.


AdHoc Query With Form Fields includes the Form Field Description as a 'tooltip' on mouse over the column heading.

AdHoc Query: Customer Complaint with Form Fields

From: 1/05/2018 To: 26/06/2018  

Drag a column header here to group by that column

Describe what the customer is concerned about

	Number	Priority	Status	Customer	Complaint	Initial Result
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

TriLine GRC V2.2.0 – New Features

Registers

Register List

The Register Status selection has moved to the top of the screen.

Gifts and Benefits Register Layouts [Saved Layouts](#)

Select one or more Register Status: ☒ Received ☒ Under Review ☐ Disposed ☐ Accepted

Page 1 of 1 (2 items)

Enter text to search...

Drag a column header here to group by that column

Number	Title	Register Status	Date Received or	Donor
--------	-------	-----------------	------------------	-------

If there are more than eight Status values the list will wrap.

Field Label

Each field in a Register now has a new option – ‘Field Label’. This will be used instead of the Field Name when the form is created to simplify the use of the form (similar to the Event as described above).

Note: The Field Name must be unique for each field.

For clarity, the Adhoc Query will use the Field Name as the column header rather than the Field Label.

Display Text

The Display Text field type allows for information to be provided within a Register (similar to the Event as described above).

Export / Import Register Types

You can now Export and Import Register Types.

Export / Import Data

Export Register Types Import Register Types

Enter text to search...

☐ Register Type

☐ Conflict of Interest

☐ Export From Event

☐ Gifts and Benefits

☐ Keys

☐ Natural Disaster

☐ New Staff

☐ Test

0 Items selected

TriLine GRC V2.2.0 – New Features

Change to 'Closed' Status

If a Register is changed to a 'Closed' Status any outstanding Tasks will be deleted.

The screenshot shows the 'Gifts and Benefits Register' interface. The main form displays details for a register with Number 'GB000010' and Title 'Trip to Melbourne F1'. The Status is set to 'Disposed'. A modal window titled 'Message from webpage' is open, displaying a warning message: 'There are 2 Tasks outstanding which will be deleted on change to Disposed status.' It provides instructions to click OK to confirm or Cancel to not change the status. It also lists two tasks: 'Review the relationship with the vendor to ensure the gift is within guidelines' (Due Date: 25/06/2018, Actioned By: Compliance & Risk Manager) and 'Ensure the details of the gift are included in the FBT list' (Due Date: 29/06/2018, Actioned By: General Manager).

If the Actioned By has already received an email notification of a Task they will be advised that the Task no longer needs to be completed.

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

Hello Jasmine,

The following Task does not need to be completed as the record has been closed.

Number: CON000090

Title: Conflict of Interest Register

Due Date: 22/05/2018

Task: Verify that all standard procedures have been completed

Triline GRC Administrator

Other

The salutation on the new Register record confirmation email has been improved.

Tick boxes can no longer be a required field.

TriLine GRC V2.2.0 – New Features

Control Inventory

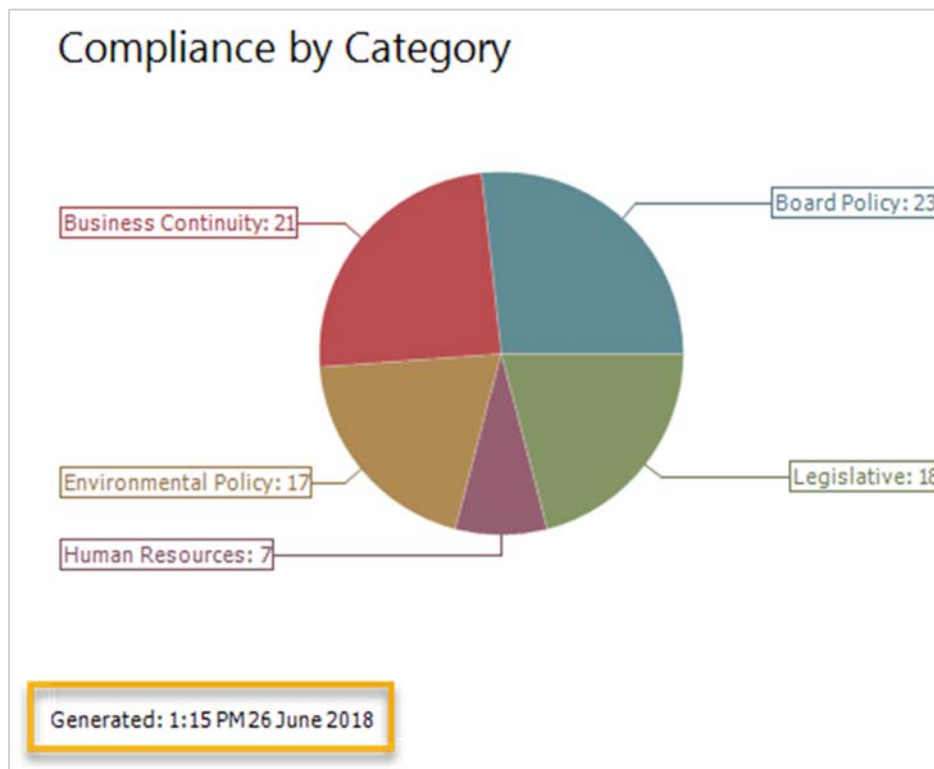
An email notification will be sent to the Owner if the Effectiveness is changed by another Position.

Dashboard

All widgets now include a filter of the widget type. For example, on the Risk By Risk Category widget there is now a filter for Risk Category.

Interactive Dashboard

When exporting a complete Dashboard or an individual element to a PDF or image, a date/time stamp will be added to the output.



Reports

More information added to the Taxonomy Report (Control Inventory, Document Library, Positions, Task Teams and Security Groups).

Security Centre

Export of Position Usage or Portal Usage to XLSX now uses the Position Title as the default file name.

TriLine GRC V2.2.0 – New Features

Document Library

AdHoc Read and Certify Tasks

It is now possible to create Read and Certify Tasks for a Document without a formal review process occurring by clicking the Create Read and Certify Tasks button.

Create Read and Certify Tasks



You will receive a prompt to confirm the requirement.

Create Read and Certify Tasks



Please confirm you want to create Read and Certify Tasks

No

Yes

Then you can select all Positions with View access or select from the list of Positions.

Create Read and Certify Tasks



Due Date: 24/07/2018 2nd Reminder: 0 Days

☒ Create Tasks for all Positions with View access

Create Read and Certify Tasks



Due Date: 24/07/2018 2nd Reminder: 0 Days

☐ Create Tasks for all Positions with View access

Enter text to search...

<input checked="" type="checkbox"/>	Title	Name
<input type="checkbox"/>	Not allocated	Not allocated
<input checked="" type="checkbox"/>	Compliance & Risk Manager	Justin Case
<input checked="" type="checkbox"/>	GM- HR & Marketing	Rupert Bunny
<input checked="" type="checkbox"/>	HR Manager	Margaret Preston
<input type="checkbox"/>	Training Officer	Ewell Learn


Tags

Tags can now be added to Document records.

TriLine GRC V2.2.0 – New Features

Load Document records from a spreadsheet

You can now load a list of Document records using a spreadsheet (template generated by TriLine GRC).



Load Document Library records

Create a spreadsheet template

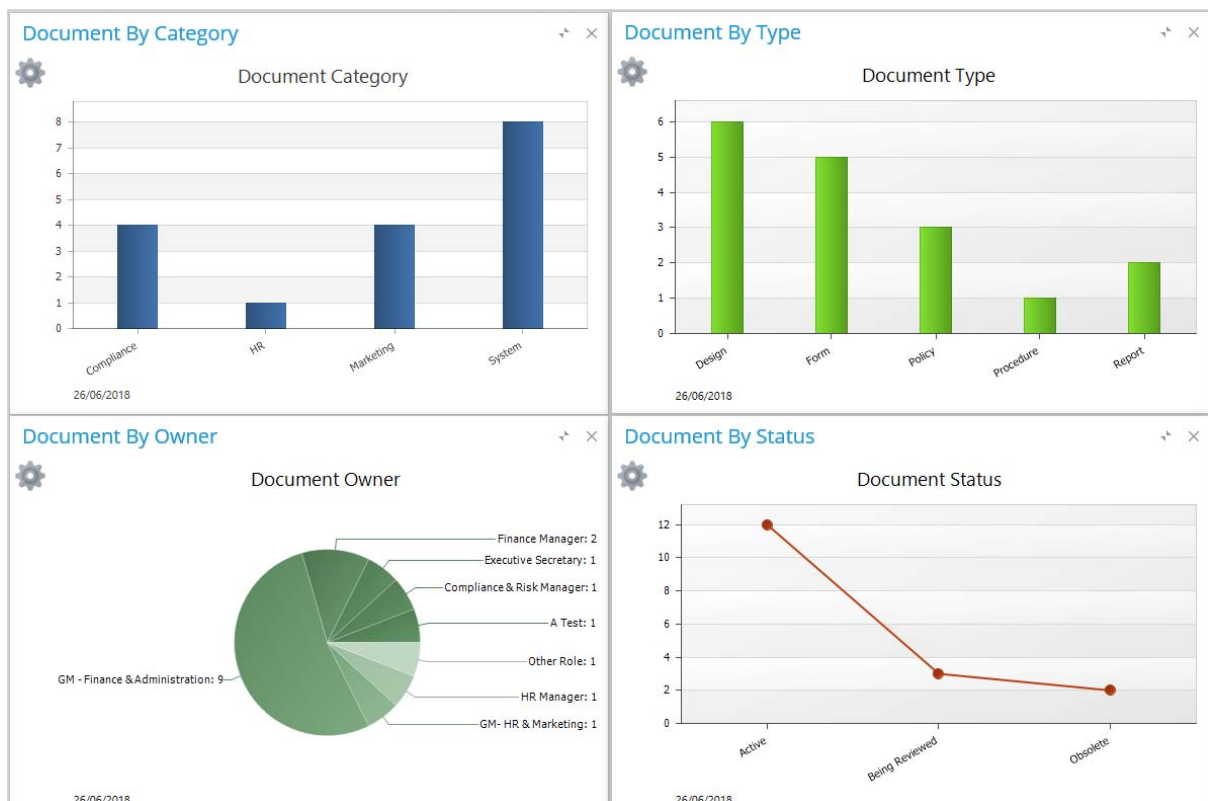
Click Browse to locate the Document records import file

Browse...

Note: The actual Document will need to be loaded individually.

Charts / Widgets

Charts and Widgets by Type, Category, Owner and Status added.



TriLine GRC V2.2.0 – New Features

Obligations

Source Obligation

Refer to the Compliance information above.

Obligations List

The Obligations list now includes all Sub Obligations.

Obligations

Obligations Search...

Layouts

Saved Layouts

Page 1 of 299 (2990 items)

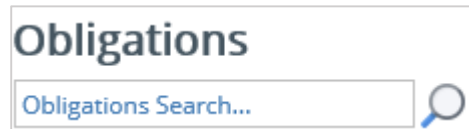
Enter text to search...

Drag a column header here to group by that column

<div><div></div><div>Number</div><div></div></div>	<div><div></div><div>Module</div><div></div></div>	<div><div></div><div>Topic</div><div></div></div>	<div><div></div><div>Obligation / Sub Obligation</div><div></div></div>	<div><div></div><div>Applies to Us</div><div></div></div>	<div><div></div><div>Type</div><div></div></div>
<div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div></div>		
12081	Aged Care	Home Care	Approval of Home Care Recipients and the National Prioritisation Process	<div><div></div></div>	O
12135	Aged Care	Home Care	Home Care Subsidies and Supplements	<div><div></div></div>	O
12141	Aged Care	Home Care	Eligibility for home care subsidies	<div><div></div></div>	S
12161	Aged Care	Home Care	Calculating daily home care subsidies	<div><div></div></div>	S

Search

Using the Obligations Search function will now return all Sub Obligations in the grid (previously only the Obligation would be included for any matching Sub Obligations).



For even faster searching, add all the fields, or the ones you would like to search, to the grid from the column chooser and save the layout as 'Search'. Apply any column filters (e.g. Module), then use the grid search function to see the word matches.

Obligations

Obligations Search...

Layouts

Saved Layouts

Page 1 of 7 (70 items)

1

2

3

4

5

6

7

individual

Drag a column header here to group by that column


Number	Module	Topic	Obligation / Sub Obligation	Description Questional
12081	Aged Care	Home Care	Approval of Home Care Recipients and the National Prioritisation Process	Does the home care provider have the correct processes and procedures in place to ensure that: <ul style="list-style-type: none">• They can respond to referrals of care recipients in a timely manner?• Determine whether they are able to provide or coordinate the level of care required by the care recipient?• Create an individual care plan and budget that will form the basis of the home care agreement entered into between the provider and the care recipient?
12256	Aged Care	Home Care	Individualised budgets	Does the provider have systems and processes to ensure that it is able to develop an individualised budget for each care recipient?

TriLine GRC V2.2.0 – New Features

Generate Tags

It is now possible to create Tags for all Obligations based on the information in the Compliance Source of each Obligation.

Obligations



20673

Module : 20205 Authorised Deposit-taking Institutions
Topic : 17859 Authorisation under APRA
Obligation : 20673 Banking and other ADIs authorisation under APRA

Obligation

Practical Guidance

Remedial Action

Consequence

Directional

Questional

Compliance Source

Other Information

Integration

TriLine GRC Links

TriLine GRC History

Archives

APRA's 'Approved forms for payment and reports – Financial Claims Scheme for authorised deposit-taking institutions'

Prudential Standard APS 001 Definitions

Prudential Standard APS 110 Capital Adequacy

Prudential Standard APS 111 Capital Adequacy: Measurement of Capital

Prudential Standard APS 112 Capital Adequacy: Standardised Approach to Credit Risk

Prudential Standard APS 113 Capital Adequacy: Internal Ratings-based Approach to Credit Risk

Prudential Standard APS 114 Standardised Approach to Operational Risk

Prudential Standard APS 115 Capital Adequacy: Advanced Measurement Approaches to Operational Risk

Prudential Standard APS 116 Capital Adequacy: Market Risk

Prudential Standard APS 117 Capital Adequacy: Interest Rate Risk in the Banking Book (Advanced ADIs)

Prudential Standard APS 120 Securitisation

Prudential Standard APS 120 Funds Management and Securitisation

Prudential Standard APS 121 Covered Bonds

Prudential Standard APS 210 Liquidity

Prudential Standard APS 220 Credit Quality

Prudential Standard APS 221 Large Exposures

On the Generate Obligation Tags screen enter the text to search for the Tag (they can be the same or different). If the Tag does not already exist a new Tag will be created.

Generate Obligation Tags

Search for:* APS 120

Tag:* APS120

Find and Tag

The Obligations tagged will be displayed on-screen.

Generate Obligation Tags

Search for:* APS 120

Tag:* APS120

Find and Tag

Obligations Tagged:

20673 Banking and other ADIs authorisation under APRA

20902 Standardised approach to credit risk, operational risk, market risk and securitisation

20905 Internal ratings-based approach to credit risk, interest rate risk, market risk, operational risk and securitisation

20917 Securitisation

20920 Responsibilities of the board and senior management in relation to securitisation

20923 Disclosure and separation requirements for originating ADIs

20926 Facilities and services in relation to securitisation

20929 Acquisition of exposures and securities

20932 Revolving structures and early amortisation clauses

TriLine GRC V2.2.0 – New Features

Integration

An Obligation can now be used to create multiple Compliance Process records (e.g. as the Source Obligation).

An Obligation, and all or selected Sub Obligations, can be converted to a Compliance Process and Process Controls from one screen. The following field mapping will occur for Compliance Process records:

Compliance Field	Obligation Field
Process Number	Obligation Number
Title	Module Title : Topic Title : Obligation Title Note: The Topic will only appear if different to the Module
Description	Directional
Risk (if configured)	Consequences
Tags	Tags

The values can be changed before the Compliance Process is created.

New Compliance Process

☒ Convert Sub Obligations to Process Controls > Seq Numbering ☒ a, b, c ☐ 1, 2, 3

Process Number: 11104 Record Status: Active

Title: Workplace Health & Safety : Workplace Health and Safety : Risk and Hazard Management

Business Unit: Finance / Administration

Category: Legislative

Responsible Officer: General Manager

Tags: Staffing x WH&S x

Once the Compliance Process is created you will be prompted to convert the Sub Obligations to Process Controls. The Module, Topic (if different from the Module) and Obligation Titles and the Obligation Questional value will be used to populate the Process Control Task value.

TriLine GRC V2.2.0 – New Features

New Compliance Process

Create Process Controls

	Select	Sub Obligation	Task	Next Due	Reminder		Frequency		Task Respons
					1st	2nd	#	Cycle	
	<input checked="" type="checkbox"/>	11115	Hazard identification Does the organisation have a structured and well-documented process for identifying workplace hazards?	31/07/2018	7	0	6	Monthly	GM - Finance Administration
	<input checked="" type="checkbox"/>	11158	Risk control implementation and the hierarchy of controls Has the organisation implemented effective controls to manage risks and hazards in the workplace?	31/08/2018	14	7	12	Monthly	GM - Finance Administration
	<input checked="" type="checkbox"/>	11175	Risk control maintenance and review Does the organisation monitor and regularly review its risk and hazard management systems, including specific risk control measures, to ensure that they remain effective after implementation?	30/09/2018	7	0	3	Monthly	General Man
	<input type="checkbox"/>	11140	Risk assessment Does the organisation have a process for assessing risks that may arise from identified hazards?		0	0	1	Monthly	General Man

[Create Process Controls](#)
[Undo Changes](#)

Do not create process controls

Select the required Sub Obligations and set the field values as appropriate.

The fields that can be set for each Process Control are:

1. Task
2. Next Due
3. First Reminder days
4. Second Reminder days
5. Frequency
6. Task Responsibility
7. Escalate To
8. Actioned By
9. Blind Task
10. Critical Task
11. Attachments required.

Note: Any further changes to a Process Control (e.g. specific day of week) will need to be made manually by editing the Compliance Process record.

TriLine GRC V2.2.0 – New Features

Transfer of Module, Topic, Obligation and Sub Obligation Owner

The Owner for a Module, Topic, Obligation or Sub Obligation can be made from the Position Usage grid (Security Centre).

GM - Finance & Administration Usage

Page 1 of 446 (2229 items)

Type	Reference	Role	Status
Obligation	10006	Obligation Owner	Active

Transfer

Whistleblow

Type: Obligation
Details: Variation and termination
Role: Obligation Owner
Transfer To: [Select a Position](#)

Active

'Applies to us' changes

Any changes to the 'Applies to us' flag at the Obligation level will optionally trickle down to all Sub Obligations.

Obligations

← 9214 →

Module : 7176 Tax

Topic : 7229 Tax

Obligation : 9214 Wine Equalisation Tax (WET) *

Obligation

Sub Obligation

- Practical Guidance
- Remedial Action
- Consequence
- Directional
- Questional
- Compliance Source
- Alerts
- Other Information
- Integration



Owner: GM - Finance & Administration

Tags: [Click here to select Tags](#)

Applies to us: ☐ ☒ Change Sub Obligations as well

Reason: We are not involved in the wine industry

TriLine GRC V2.2.0 – New Features

Alert Effective information

The list of Obligation Alerts now includes the 'Effective' information included in the Alert.

Obligation Alerts

From: 12/06/2018 To: 11/07/2018

Page 1 of 5 (46 items)

Enter text to search...

Alert						Parent
Number	Title	Type	Effective	Archived	Type	
50316	[WHS11] Qld - Work Health and Safety (Certificates of Authority) Amendment Regulation 2018 (Qld)	Action Required	1 July 2018	<input type="checkbox"/>	Sub Obligation	
50247	[FLC13] Privacy (Credit Reporting) Code 2014 (Version 2) (Cth)	Action Required	1 July 2018	<input type="checkbox"/>	Sub Obligation	
50239	[FLC14] ASIC Supervisory Cost Recovery Levy Amendment (Enhancements) Regulations 2018 (Cth)	Action Required	Schedules 1-3, 5, 6, 9, 11, 13, 14: 30 June 2018; Schedules 4, 7, 8, 10, 12, 15, 16: 1 July 2018	<input type="checkbox"/>	Obligation	

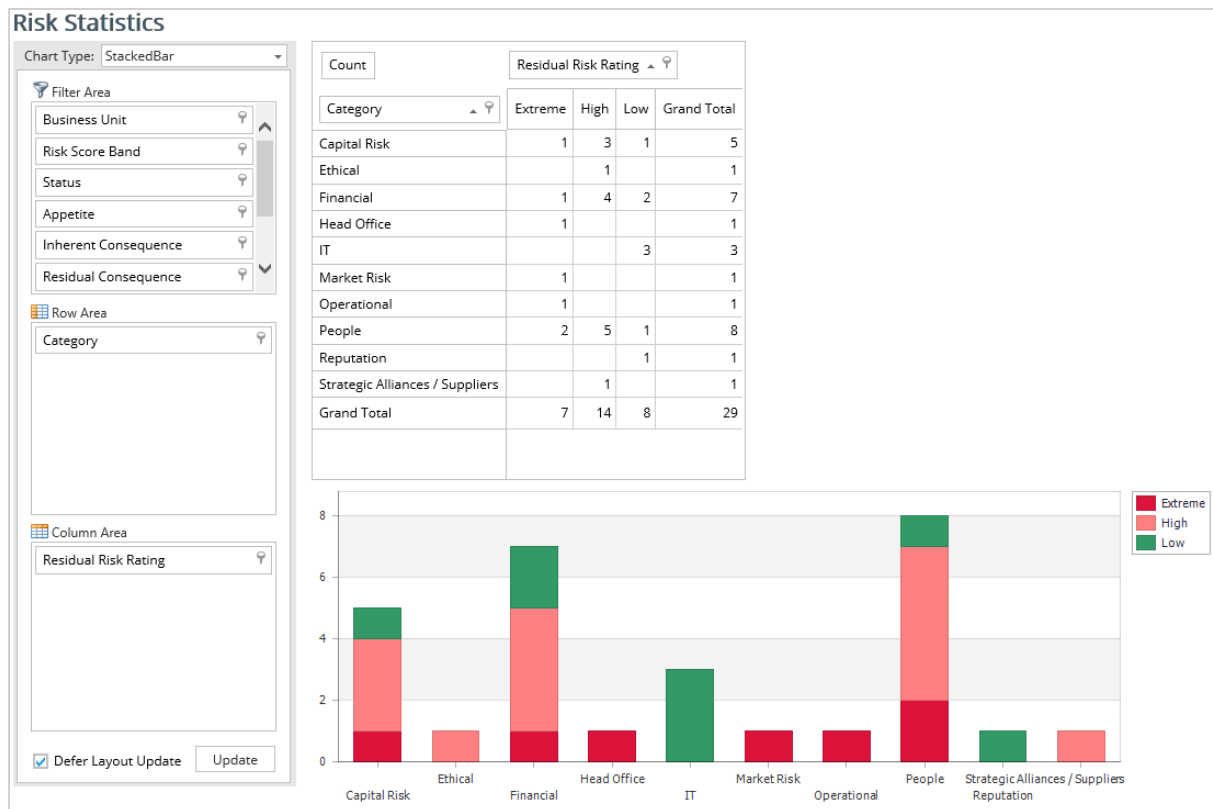
TriLine GRC V2.2.0 – New Features

Statistics

For the following items, if they are the only field in the Column area, the defined colours will be used in the Chart:

1. Compliance Risk Rating (if configured)
2. Risk Rating
3. Risk Score Band
4. KRI Trend
5. KRI Rating
6. Control Inventory Effectiveness

For example:



TriLine GRC V2.2.0 – New Features

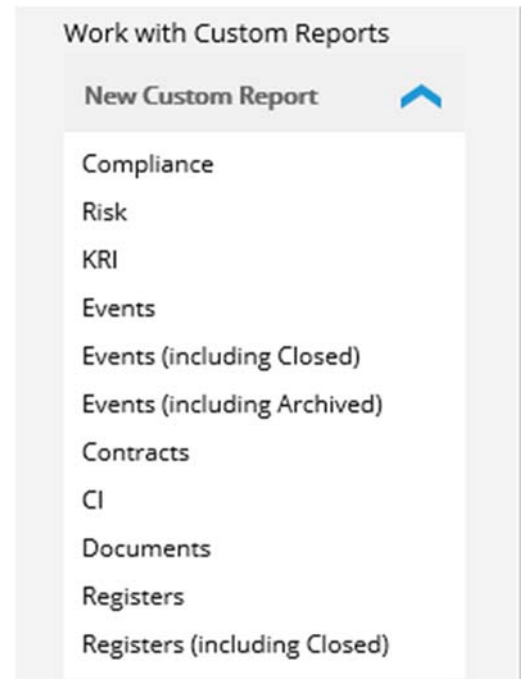
Custom Reports

Custom Reports is a new optional module that allows you to create your own reports.

It will be available from the Reports Menu to any Position that can create reports. The data returned will be governed by the standard record security settings for the User.

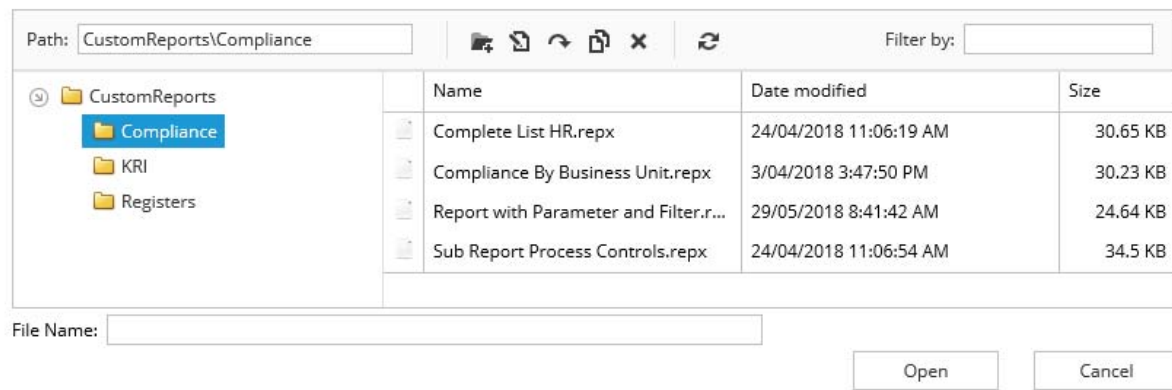
Reports can be created within each module and across modules. All data in the system will be available for selection including Tasks and Task history.

A report can be filtered to always produce a specified set of data (e.g. all records for a Business Unit) or you can specify run-time parameters (e.g. for this run report on the Human Resources data).



Reports can be saved and retrieved from your own folder structure.

Open Report



TriLine GRC V2.2.0 – New Features

Nomenclature

It is not possible to use your own configurable values for field names (e.g. Business Unit) so a name mapping guide is available on screen.

Custom Reports Nomenclature

The nomenclature for Custom Report Data Sources and Field names uses the TriLine GRC defaults. For your reference, the list below maps the default names to your configuration.

Custom Report	Your Configuration
Business Unit	Business Unit
Caused By	Caused By
Contingency	Contingency
Control Inventory	CI
Events	Events
Impact	Impact
Inherent Rating Score	Inherent Rating Score
Negative Considerations	Negative Considerations
Operation in Event	Operation in Event
Positive Considerations	Positive Considerations
Residual Rating Score	Residual Rating Score
Risk Score	Risk Score
Treatment	Treatments

Please Note: You may also see fields for Modules you have not subscribed to (e.g. Contracts) or features you have disabled (e.g. Compliance Risk).

Design Surface

The report design surface is where you can layout the report using drag and drop.

Custom Reports

Compliance By Business Unit

Business Unit: [Business Unit]

[Process] [Title]

Current Date and Time

Current of Total

TriLine GRC V2.2.0 – New Features

After the Upgrade

1. Review the Password Strength Indicator for Positions and Portal Users and advise all Positions with a weak password to change their password as soon as possible.
2. Review the Field Label values and potential Display Text for all Event Types.
3. Review the Field Label value and potential Display Text for all Registers Types.