



TriLine GRC V2.3.0 — New Features

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

Positions

Bulk transfer of Roles and Responsibilities

When staff leave or change Positions it will be necessary to transfer some or all their Roles and Responsibilities to one or more other Position. It is now possible to transfer these, across all modules, in one process.

On the Security Centre page click on the 'Transfer Roles & Responsibilities' icon for the Position that has the Roles and Responsibilities to be reallocated.

Security Centre

Positions Portal Users Task Teams Security Groups System Groups User Emails Obsolete Positions

Page 3 of 4 (38 items) 1 2 3 4 Page size: 10

Enter text to search...

	Title	First Name	Surname	User ID	Strong Password
	Compliance and Risk Officer	Maggie	Smith	caro	
	Compliance Manager	Sarah	O'Brien	sarah	

On the popup window select the Position you want to reallocate the Roles and Responsibilities to.

Transfer Roles & Responsibilities from: Compliance Manager

To Reallocate: Compliance and Risk Officer

Drag a column header here to group by that column

<input type="checkbox"/>	Type	Reference	Role	Description
<input type="checkbox"/>	Contract	Notify03	Contract Owner	Test Renewal 03
<input checked="" type="checkbox"/>	Contract	Notify04	Contract Owner	Test Renewal 04
<input type="checkbox"/>	Contract	CONTMB0902	Contract Task Responsibility	Mortgage Broker Agreement . Home Loans Mortgage Brokers Pty Ltd → One off task to check termination processes
<input type="checkbox"/>	KRI	KRI0001a	KRI Owner	Operational Policy and Process Breaches
<input checked="" type="checkbox"/>	KRI	KRI0004	KRI Owner	Income Receipts
<input type="checkbox"/>	KRI	KRI0100	KRI Owner	NPV Impact on Capitals
<input checked="" type="checkbox"/>	KRI	KRI0112	KRI Owner	Weekly KRI
<input type="checkbox"/>	KRI	KRI0113	KRI Owner	Testing KRI Scheduling half yearly
<input type="checkbox"/>	KRI	KRI0003	KRI Task Actioned By	Customer Complaints → Quality service underpins the business model of the organisation. To monitor and manage this, the KRI records the number of complaints received. Please record the number of complaints received in the past

3 Items selected

Select the required items and then click on the Save icon.

Please Note: If a Position already has the same Role or Responsibility (e.g. also the owner of a Risk or is a Task Actioned By) the record will not be listed. Task Team Membership, Security Group Membership and tasks allocated via Task Team Membership will be listed on the popup window but cannot be modified.

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Future one-time tasks

A future one-time task is an Event or Register Task where the email notification has not already been sent. These will now be displayed on the My Summary Roles & Responsibilities tab, the Show Usage popup and the Future Schedule.

Please Note: This does not include Adhoc tasks.

My Summary	
! Current Tasks	Roles & Responsibilities
Responsible For	Count
Compliance Process	26
Process Control	78
Risk	33
Repeating Tasks	
Process Control	31
Risk Review	12
Risk (Treatments)	5
Escalation	
Escalation	
One-Time Tasks	
(Event)	2
Registers Tasks	1

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Obligations

Temporary reallocation of Compliance Responsible Officer and Obligation Owner

To ensure notifications and alerts are sent from the Obligations module it is now possible to temporarily reallocate the Compliance Responsible Officer and Obligation Owner roles.

Temporarily Reallocate Future Tasks

Select UserCharles Carson, Chief Financial Officer

ReasonHolidays

From26/11/2018To31/12/2018

Reallocate ToElsie Hughes (Chief Risk Officer)

Please Note ...
New Tasks are generated on the Reminder Date.
Reallocation starts on the specified From Date.
You may need to set the From Date earlier to ensure the Task is generated for the selected Position.

Compliance Responsible Officer

Process Controls

Risk (Treatments)

KRI

(Control Inventory)

Obligation Owner

Enter text to search...

<input type="checkbox"/>	Number	Details
<input type="checkbox"/>	20673	Authorised Deposit-taking Institutions:Authorisation under APRA:Banking and other ADIs authorisation under APRA
<input type="checkbox"/>	20824	Authorised Deposit-taking Institutions:Authorisation under APRA:Financial Claims Scheme for Account-holders of Insolvent ADIs
<input type="checkbox"/>	21177	Financial Advisory:Australian Financial Services Licence (excluding Product Issuers):General Operational Requirements
<input type="checkbox"/>	21516	Australian Financial Services Licence (Product Issuers):Financial Services Disclosure
<input type="checkbox"/>	22345	Australian Financial Services Licence (Product Issuers):Financial Requirements
<input type="checkbox"/>	22642	Tax:Capital Allowances
<input type="checkbox"/>	COM0046	Compliance - Credit Licensing & Conduct
<input type="checkbox"/>	CP50003	Compliance with APS 112 Capital Adequacy - Credit Risk
<input type="checkbox"/>	OBL17904	Designated Services
<input type="checkbox"/>	OBL22058	Finance & Leasing Companies:Finance and Leasing Companies
<input type="checkbox"/>	OBLTAX	Tax:Overview

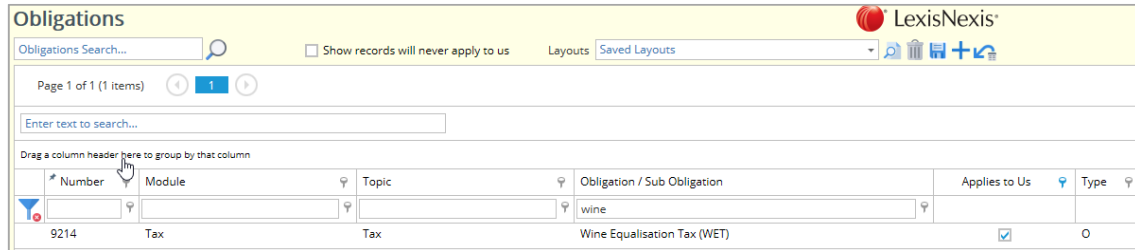
0 Tasks selected

Note: Tasks allocated through Task Team Membership are not included in this list. Refer to your Administrator.

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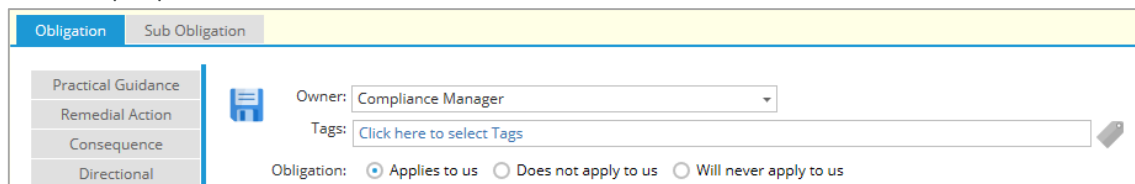
Will never apply to us

There may be some situations where an Obligation is not applicable to your organisation and will never be applicable. For example, in Australia, the Wine Equalisation Tax is included in the Australian Tax Module but only applies to wine producers.



Number	Module	Topic	Obligation / Sub Obligation	Applies to Us	Type
9214	Tax	Tax	Wine Equalisation Tax (WET)	<input checked="" type="checkbox"/>	O

This new feature will allow you to mark an Obligation as 'Will never apply to us'. If selected, the data will be kept up-to-date but no alerts or notifications will be sent.



Obligation | Sub Obligation

Practical Guidance
Remedial Action
Consequence
Directional

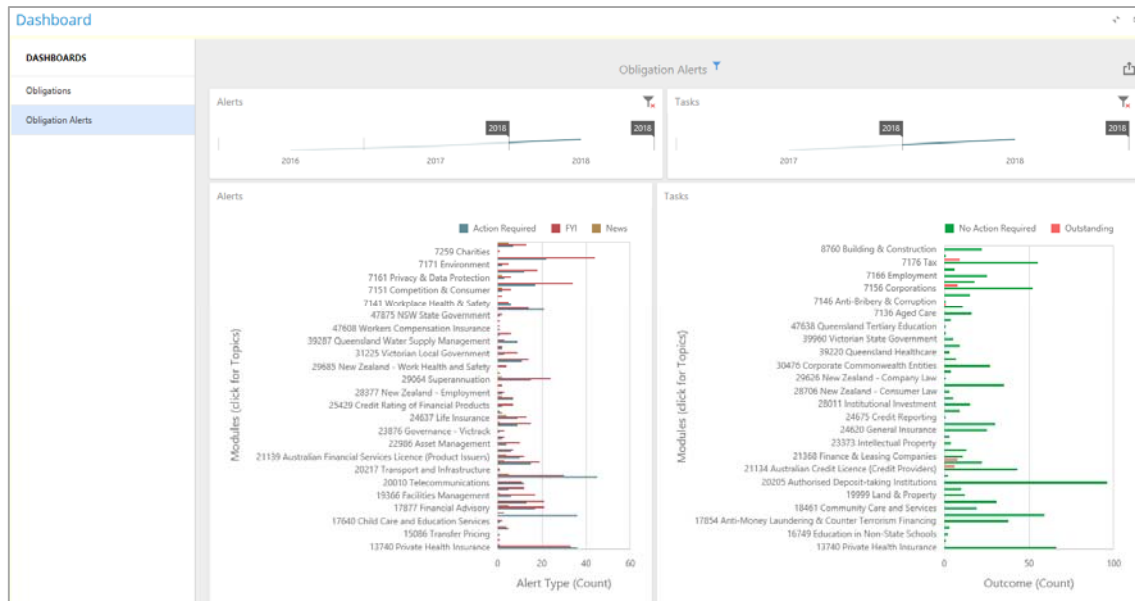
Owner: Compliance Manager

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

Obligation: ☒ Applies to us ☐ Does not apply to us ☐ Will never apply to us

Alert Dashboard

A new interactive Dashboard has been added to show Alerts and Tasks.



Export Sub Obligation list

It is now possible to export the list of Sub Obligations from the Obligations page.

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Compliance

Export / Import Compliance data

Source Obligation designation has been included in the export of Compliance data.

When the data is imported, the Source Obligation link will be created if the selected Obligation is available.

Adhoc Query

The Source Obligation has been added as a column in the Adhoc Query for Compliance Process and Process Control data.

Adhoc Query: Compliance Process						
Enter text to search...						
Drag a column header here to group by that column						
Number	Title	Category	(Business Unit)	Status	Obligation	
28483	New Zealand - Privacy : Using and Disclosing Personal Information and Identifiers	Legislation	Risk and Compliance	Active	28483 Using and Disclosing Personal Information and Identifiers	
COM0001	Systems are maintained to ensure the business operates as per its internal and external requirements.	Legislation	Risk and Compliance	Active		
COM0025	Legislative Compliance Obligations	Legislation	Risk and Compliance	Active		

Adhoc Query: Process Controls							
Enter text to search...							
Drag a column header here to group by that column							
Number	Seq	Task	Actioned By	Status	Obligation	Sub Obligation	
COM0012	(oba)	Workplace Management Hazardous Chemicals Pipelines Do pipeline owners, builders and operators effectively manage the risks associated with the movement of hazardous substances through pipelines?	Compliance and Risk Officer	Active	11537 Workplace Management Hazardous Chemicals	11660 Pipelines	

Task Due Working Days

It is now possible to set a Process Control Task to be due a set number of working days into the month (e.g. on the 10th working day of the month).

Process: CRM0045 Privacy Training

Details Schedule / Custom Fields Source Obligation

Date Calculation ☐ Specific date or Last working day ☐ Specific day of week (e.g. 2nd Tuesday) ☒ Specific working day of the month (e.g. 5th working day)

Frequency 12 Monthly (e.g. if required every month then select 1 and Monthly)

Next Due 14/12/2018 10 Working day of the month

Reminder 1st 7 2nd 0 Days before Due Date

Please Note: It is important that you maintain the list of Holidays from the Maintenance menu.

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Risks

Task Due Working Days

It is now possible to set a Treatment Task to be due a set number of working days into the month (e.g. on the 10th working day of the month).

Risk: RSK0001 Hardware failure

Details Schedule / Custom Fields

Date Calculation ☐ Specific date or Last working day ☐ Specific day of week (e.g. 2nd Tuesday) ☒ Specific working day of the month (e.g 5th working day)

Frequency 1 Monthly (e.g. if required every month then select 1 and Monthly)

Next Due 14/12/2018 (Scheduled: 14/12/2018) 10 Working day of the month

Reminder 1st 20 2nd 0 Days before Due Date

Please Note: It is important that you maintain the list of Holidays from the Maintenance menu.

KRI History

Import history via API

It is now possible to pass data from a 3rd party application directly into a KRI (optional). TriLine GRC will provide the specifications on how to connect and load data. Any changes to the 3rd party application will need to be undertaken by the vendor or others (as appropriate), but we will provide assistance.

The KRI must already exist in TriLine GRC and have the Indicator as one of Upper Limit, Lower Limit or Range. Default calculation of Trend and Rating will occur, and an alert will be sent to the KRI Owner if the Rating is not 'Acceptable' (based on your configuration).

Document Library

Read and Certify Tasks

If a Position has a current Read and Certify Task for a Document, that Document will appear at the top of the View Documents list for ease of access. **Note:** Documents can also be viewed from the My Summary page.

File Name

The original file name of a Document will be displayed on the page.

Document

FRM003 Business Trip Checklist

Document Details Document Tasks Links Change Summary Superseded Version History

Number FRM003 Date Added: 23/04/2018 Effective Date 30/04/2018

Status: (Under Review)

Title Business Trip Checklist

File Name: FRM003 Business Trip Checklist.pdf

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Contracts

New Contract – Material Contract

It is now possible to input the information regarding a Material Contract when the Contract is created in TriLine GRC.

The screenshot shows the 'New Contract' form in TriLine GRC V2.3.0. The form is titled 'New Contract' and has a yellow background. It includes the following fields and controls:


- Number:** A text input field.
- Title:** A text input field with a blue checkmark icon on the right.
- Description:** A rich text editor with a toolbar containing icons for bold, italic, link, unlink, and a dropdown menu for 'TriLine GRC Default'. There is also a 'Font Size' dropdown and a 'ABC' icon.
- Contract Type:** A dropdown menu.
- Contract With:** A dropdown menu with a blue plus icon to its right.
- Our Entity:** A dropdown menu.
- Contract Owner:** A dropdown menu.
- Material Contract:** A checkbox labeled 'Material Contract' with an 'Advised Date' dropdown menu next to it. This section is highlighted with a red box.
- (Business Unit):** A dropdown menu.

At the bottom of the form, there are three tabs: 'Design', 'HTML', and 'Preview'.


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Contract Renewal History

The Contract Renewal History for an individual Contract can be displayed from Contract page.



Renewal Term: Automatic Rollover For a further: 1 Month/s 

Start Date: 1/10/2017 Initial End Date: 31/10/2017 Notice Period: 1 Month/s ☒ Send Renewal Task

Execution Date: 1/10/2017 Current End Date: 28/11/2018 Reminder 1st: 10 2nd: 3 Days before Due Date 

Contract Renewal History

Notify01 Test Renewal 01

Page 1 of 2 (13 items)  1 2 




Enter text to search...

Renewal Date	Action Date	Comment
28/10/2018	28/10/2018	Contract Renewed for 1 Month until 28/11/2018
28/09/2018	28/09/2018	Contract Renewed for 1 Month until 28/10/2018
28/08/2018	28/08/2018	Contract Renewed for 1 Month until 28/09/2018
28/07/2018	28/07/2018	Contract Renewed for 1 Month until 28/08/2018
28/06/2018	28/06/2018	Contract Renewed for 1 Month until 28/07/2018
28/05/2018	28/05/2018	Contract Renewed for 1 Month until 28/06/2018

Events

Notes

Any Notes added to an Event can now be displayed in the Event List.

(Event) List ☐ Show Closed records ☐ Show Archived records Layouts Saved Layouts   

Enter text to search...

Drag a column header here to group by that column

Number	Title	Type	Category	Occurred	(Event) Status	Notes
CC000043	Customer complained about staff member	Customer Complaint	Complaint	26/07/2017 2:35 PM	Being Managed	A witness has come forward to explain the incident. <i>Norm Branch 02/08/2017</i>
COMP000042	Portal test	Compliance Issue	Operations	26/07/2017 1:06 PM	New	

Event Task Adhoc Query

An Adhoc Query for Event Tasks has been added.

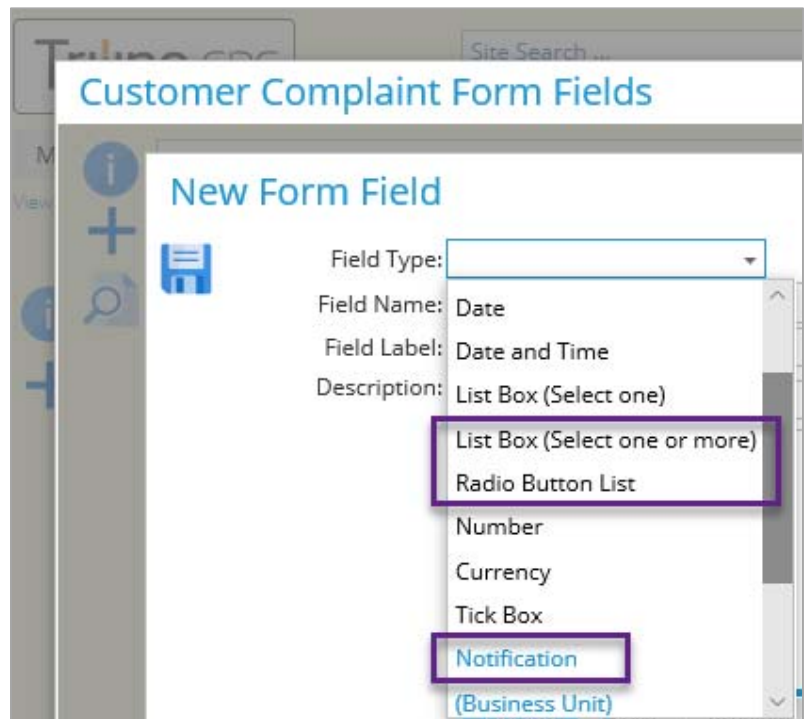
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Event Form Fields

Three new types of fields have been added to the Event Form:

1. List Box (Select one or more)
2. Radio Button List
3. Notification

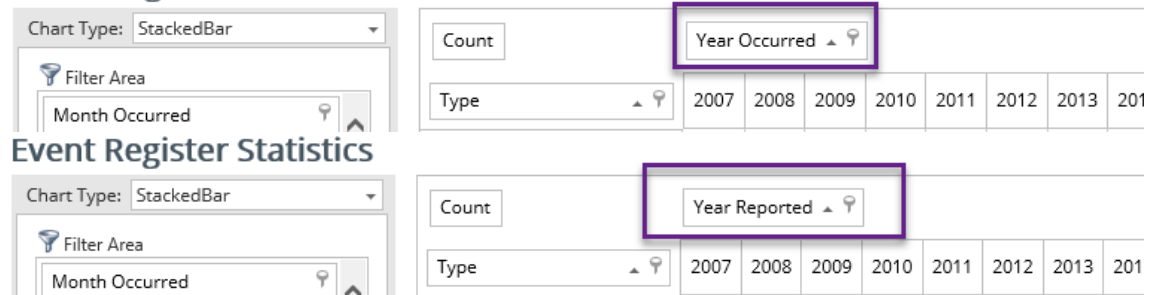
These new fields mirror the available field types for Registers.



Statistics

The Year, Month and Quarter of the Date Reported of an Event have been added as filters.

Event Register Statistics



TriLine GRC V2.3.0 — New Features

Scheduled Reports

Scheduled Reports is an optional Module that allows most of the standard TriLine GRC reports to be automatically created and distributed via email.

An icon will appear if the report can be scheduled.



Please Note: When a report is produced, the data will be relevant to the security settings of the report owner. All recipients will receive the same report.

Creating a Scheduled Report

First set the report filters as per normal. Test that the report returns the correct result.

The screenshot shows the 'Risk Reports' settings window. On the left is a sidebar with icons for settings, save, undo, and a printer with a clock. The main area is titled 'Settings' and contains the following fields:

- Select Report:** A dropdown menu with 'Overdue Risk Reviews' selected.
- Group By:** A dropdown menu with 'Group By' selected.
- Applied Filters & Options:** A text area containing 'Actioned By» Chief Operating Officer' and 'Actioned By» Chief Risk Officer'.
- Report Title:** A text field with 'Very Overdue Risk Reviews'.
- Filters & Options:**
 - ☐ All Overdue records (with other Filters)
 - Overdue more than:** A spinner box set to '30' followed by 'Days'. A note states: 'Note: Takes precedence over Date Range'.
 - Date Range from:** A dropdown set to '9/11/2018' and **To:** a dropdown set to '9/11/2018'.
 - A list of filter categories: '(Business Unit)', 'Category', 'Sub-Category', 'Owner', 'Tags', and 'Actioned By', each with a dropdown arrow.
 - ☐ Critical Reviews only

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Then, click the Schedule Report icon.

Create a Report Schedule

Name:

Format:

Cycle: (e.g. if required every month then select 1 and Monthly)

☒ Specific date or Last working day ☐ Specific day of week (e.g. 2nd Tuesday)

First Run: ☐ Last working day of the period

Set Dates: Number of Periods: Period Types:

Retain copies: ☐ Each report produced will be retained for 12 Months

Email To ...

Positions:

Others:

Warning: This report will be produced using the Security Rights of the creator/owner. All recipients will receive the same report.

+

Complete the information required:

1. The Name is used as a reference. It can be the same as the report title set above.
2. Select the output format of the report: DOC, DOCX, PDF, RTF.
3. Set the cycle for the report production.
4. The 'Set Dates' option will be available if used in the reports. For example, to show the completed tasks for the previous 6 months select '6' and 'Calendar Months'. **Note:** For Overdue reports selecting 'Number of Days Overdue' will take precedence over a date range.
5. You can retain a copy of each report for up to 13 months within TriLine GRC and view or download historical versions.
6. Select from the list of available TriLine GRC Positions to receive a copy of the report.
7. Enter one or more email address, separated by a comma, for any other people who you want to receive a copy of the report (e.g. Board Members, Auditors).

Click the 'Plus' icon to save the new report schedule.

TriLine GRC V2.3.0 — New Features

Creating and distributing the report

Reports are created and distributed by the TriLine GRC Monitor. You can specify the time of day when this occurs in the Configuration.

Configuration

General

Monitor

Risks & KRIs

(Event Registers)

Obligations

Customisation

Portal

Default Email:

Notification Email:

Email Signature:

Site URL:

New Actions Check: 2 (Hour of the day to run)

Critical Task Check: 12 (Hour of the day to run)

End of Day Processing: 23 (Hour of the day to run)

Overdue Days: 0 (Number of days before Overdue emails are sent)

Escalation Days: 0 (Number of days before Escalation emails are sent)

Scheduled Reports: 22 (Hour of the day to run)

Email content format: (Task details before parent)

Project Mode: (Dates rolled over, no tasks generated)

Pulse: (Monitor Service diagnostics only)

Email service confirmation: (Send 5 test emails when Monitor Service starts)

The report is distributed by email.

D

default@trilinegrc.com

w.dobell@trilinegrc.com; t.payup@trilinegrc.com; marj@auditors.com

Risk Review more than 30 days overdue 1/11/2018

PDF

Risk Review more than 30 days overdue_20181101_141106.PDF

73 KB

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

The attached report was produced automatically by TriLine GRC.
It is sent to you at the direction of Ima Beancounter (GM - Finance & Administration).

Triline GRC Administrator

Report Rollover

When report due dates are rolled over, if the due date is a holiday or weekend, the next run date will move to the 'next' working day to ensure that data is correct. If, for example, you had a report showing completed tasks for the previous calendar month that is scheduled to run on the 2nd of the month. In December 2018 the 2nd is a Sunday. If we moved the run date to the previous working day

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(30th November) the report would calculate the previous calendar month as October, not November (the desired result).

What reports do I have?

The list of reports created by a Position are available on the My Summary page or the 'Scheduled Reports & Saved Report/Charts' page.

My Summary

Current TasksMy Reports / Charts

Scheduled Reports

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Enter text to search...

Name	Next Due	Module	Format
Cycle	Scheduled	Retain Copies	Active
Very Overdue Risk Reviews	14/11/2018	Risk	PDF
Monthly	14/11/2018	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Actioned By: Chief Operating Officer, Chief Risk Officer			
Chief Executive Officer Chief Operating Officer james.organ@trilinegrc.com			

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Changing the report settings

Click on the 'Cog' icon next to the report (shown above) and it will open the report in the original page. Make any changes to the report filters and settings then click the Schedule Report icon. Make any changes to the report schedule then click the 'Save' icon.

The screenshot shows the 'Risk Reports' interface. A modal dialog titled 'Update / Create a Report Schedule' is open. The dialog contains the following fields and options:

- Name:** Very Overdue Risk Reviews
- Format:** DOCX
- Cycle:** 1 Monthly (e.g. if required every month then select 1 and Monthly)
- ☒ Specific date or Last working day ☐ Specific day of week (e.g. 2nd Tuesday)
- First Run:** 14/11/2018 ☐ Last working day of the period
- Set Dates:** Number of Periods: 0 Period Types: Calendar Months
- Retain copies:** ☒ Each report produced will be retained for 12 Months
- Email To ...**
- Positions:** Chief Executive Officer x Chief Operating Officer x
- Others:** james.organ@trilinegrc.com x

A warning message is displayed at the bottom: **Warning:** This report will be produced using the Security Rights of the creator/owner. All recipients will receive the same report.

Replicating a report

If you need to create another version of the report with some differences (e.g. different filters and distribution list), follow the steps in changing a report.

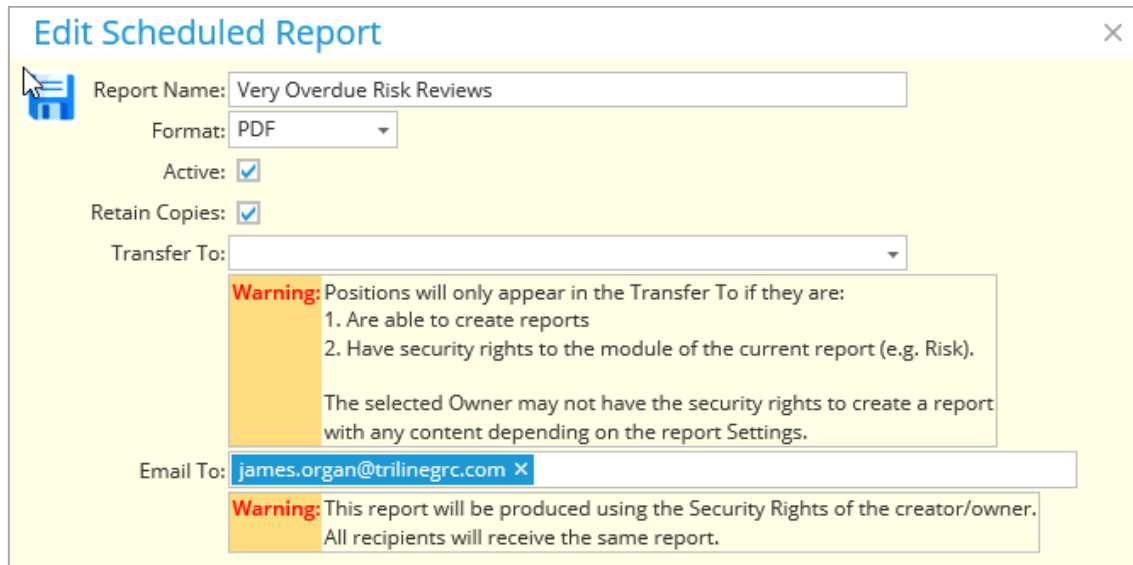
Note: Change the Report Name to avoid any confusion.

When all necessary changes have been made, click the 'Plus' icon to save the new report schedule.

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Transferring report schedule ownership

To transfer the ownership of a report schedule to another Position, display the list of your reports from My Summary or the 'Scheduled Reports & Saved Report/Charts'. Click anywhere in the report line.



The 'Edit Scheduled Report' dialog box shows the following details:

- Report Name:** Very Overdue Risk Reviews
- Format:** PDF
- Active:** ☒
- Retain Copies:** ☒
- Transfer To:** [Dropdown menu]

Warning: Positions will only appear in the Transfer To if they are:

1. Are able to create reports
2. Have security rights to the module of the current report (e.g. Risk).

The selected Owner may not have the security rights to create a report with any content depending on the report Settings.

Email To: james.organ@trilinegrc.com X

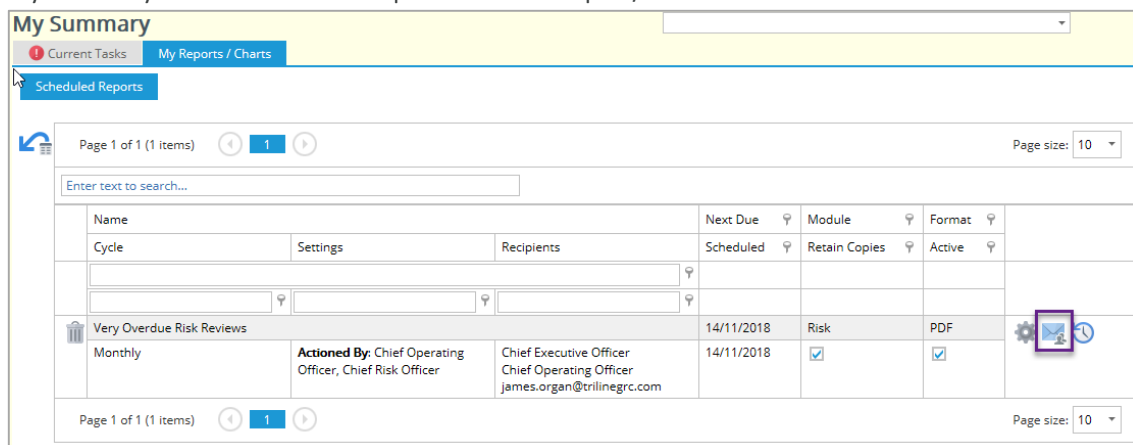
Warning: This report will be produced using the Security Rights of the creator/owner. All recipients will receive the same report.

Select the new owner from the Transfer To field then click the 'Save' icon.

Please Note: It is also possible to update some of the schedule details.

Running the schedule now

If necessary, you can run and distribute a report immediately. Display the list of your reports from My Summary or the 'Scheduled Reports & Saved Report/Charts'. Click the 'Email' icon.



The 'My Summary' page shows the 'Scheduled Reports' tab. The table below lists the reports:

Name	Cycle	Settings	Recipients	Next Due	Module	Format
Very Overdue Risk Reviews	Monthly	Actioned By: Chief Operating Officer, Chief Risk Officer	Chief Executive Officer Chief Operating Officer james.organ@trilinegrc.com	14/11/2018	Risk	PDF

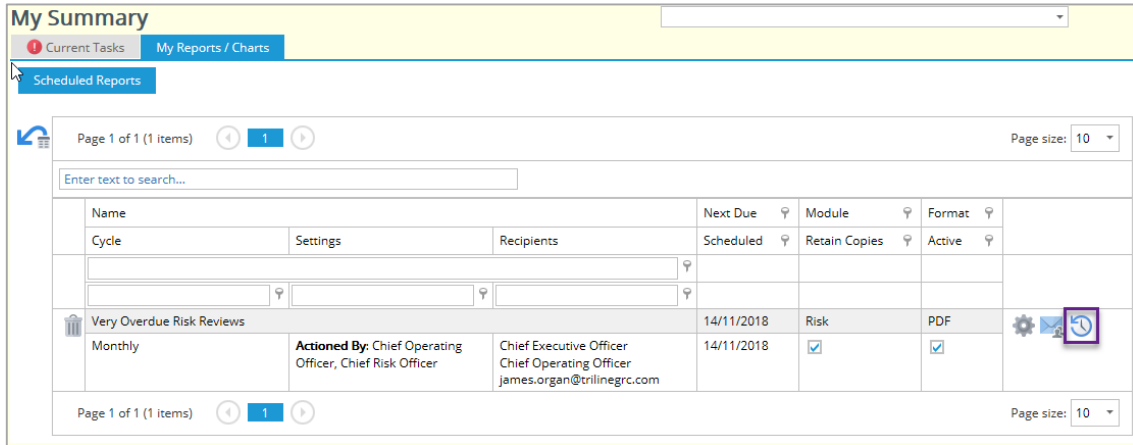
The 'Email' icon (envelope) is highlighted in the bottom right corner of the report row.

The report will be created and distributed immediately and the next Due Date will be rolled over.

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Viewing previous reports

Display the list of your reports from My Summary or the 'Scheduled Reports & Saved Report/Charts'. Click the 'History' icon if report retention has been selected for that report.



My Summary

Current Tasks | **My Reports / Charts**

Scheduled Reports

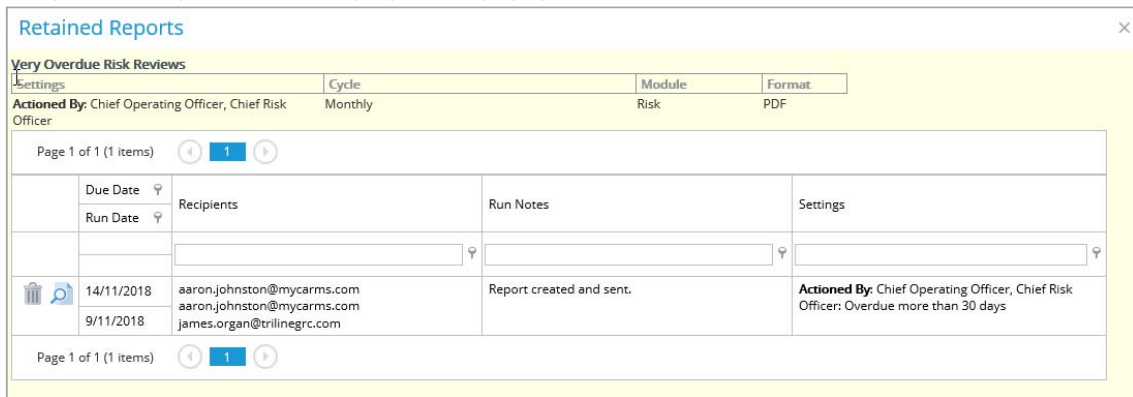
Page 1 of 1 (1 Items) | Page size: 10

Enter text to search...

Name	Next Due	Module	Format
Very Overdue Risk Reviews	14/11/2018	Risk	PDF
Monthly	14/11/2018	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Actioned By: Chief Operating Officer, Chief Risk Officer		Chief Executive Officer Chief Operating Officer james.organ@trilinegrc.com	

Page 1 of 1 (1 Items) | Page size: 10

The previous reports will be displayed in a popup window.



Retained Reports

Very Overdue Risk Reviews

Settings | Cycle: Monthly | Module: Risk | Format: PDF

Actioned By: Chief Operating Officer, Chief Risk Officer

Page 1 of 1 (1 Items)

Due Date	Run Date	Recipients	Run Notes	Settings
14/11/2018		aaron.johnston@mycarms.com aaron.johnston@mycarms.com	Report created and sent.	Actioned By: Chief Operating Officer, Chief Risk Officer: Overdue more than 30 days
9/11/2018		james.organ@trilinegrc.com		

Page 1 of 1 (1 Items)

Click on the 'View' icon to display the report.