

The logo for Triline GRC features the word "Triline" in a bold, black, sans-serif font. The letter "i" is stylized with three vertical bars of different colors: orange, green, and blue. To the right of "Triline" is the text "GRC" in a lighter, black, sans-serif font. A thin blue vertical line is positioned to the left of the word "Triline".

# Triline GRC

Version 3.2.0 New Features

August 2020

# TriLine GRC V3.2.0 — New Features

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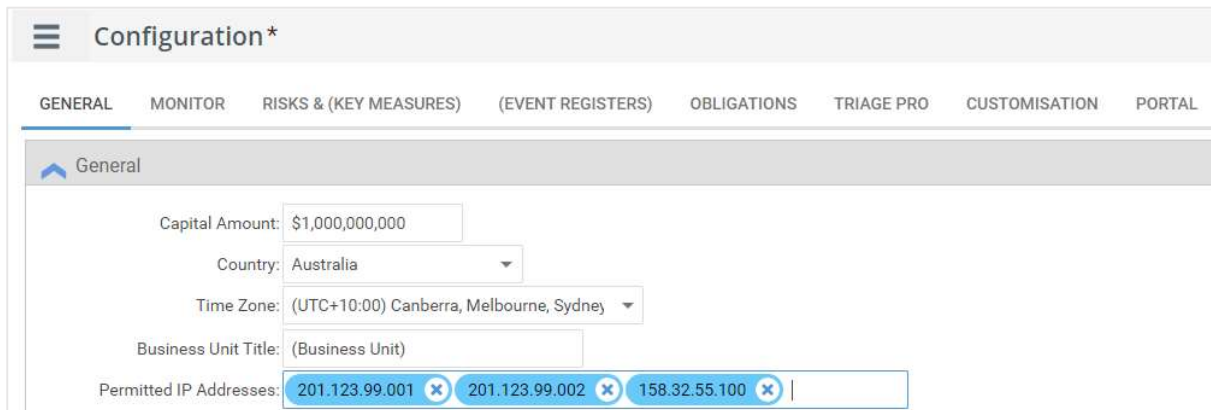
# TriLine GRC V3.2.0 — New Features

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

## Security

### Site access

It is now possible to lock down access to your TriLine GRC site by IP address. **Note:** Once any values are entered into the field, only those IP addresses will be valid for login.

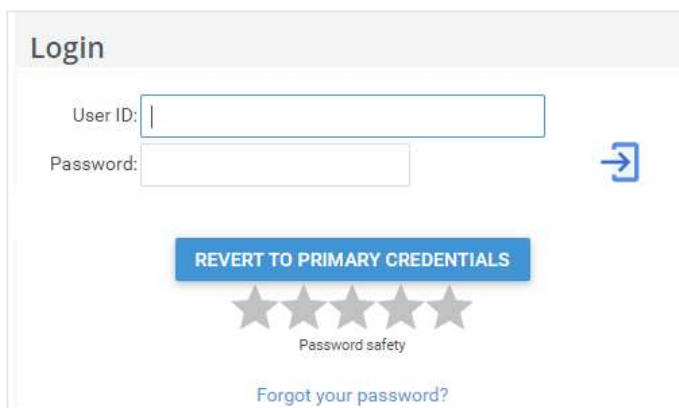


The screenshot shows the 'Configuration\*' interface with the 'GENERAL' tab selected. Under the 'General' sub-tab, the 'Permitted IP Addresses' field is highlighted. It contains three IP addresses: 201.123.99.001, 201.123.99.002, and 158.32.55.100, each with a delete button (X). Other fields include 'Capital Amount' (\$1,000,000,000), 'Country' (Australia), 'Time Zone' ((UTC+10:00) Canberra, Melbourne, Sydney), and 'Business Unit Title' ((Business Unit)).

**Note:** Only the first three parts of the IP address are checked (e.g. 201.123.99).

### Single Sign On

TriLine GRC allows for a person to have multiple Positions. When using Single Sign On (SSO) the person's primary Position is usually related to their SSO credentials. If they use the 'Change User' feature to move between their Positions or inadvertently log out, it was not possible to easily revert to their original (SSO) credentials. A button has been added to the login screen will make that possible.



The screenshot shows the 'Login' page. It has fields for 'User ID' and 'Password', a login button with a right arrow, and a new blue button labeled 'REVERT TO PRIMARY CREDENTIALS'. Below this button are five stars and the text 'Password safety'. At the bottom is a link 'Forgot your password?'.

### Weak Password

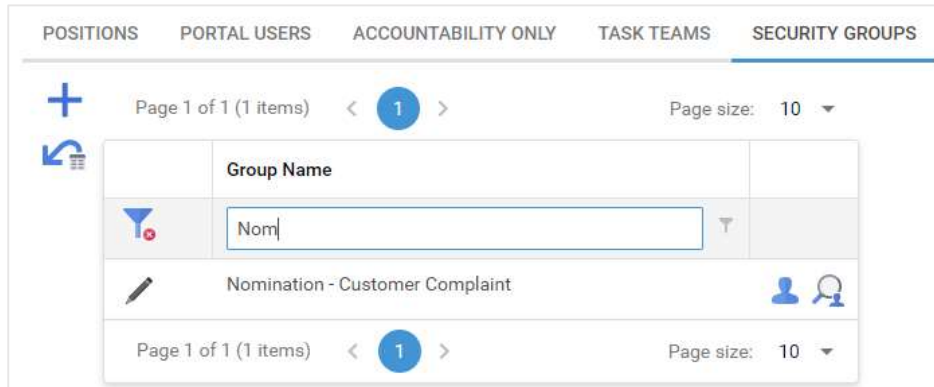
The overnight Monitor log will now include the list of Positions with a weak password rather than just the number of Positions.

# TriLine GRC V3.2.0 — New Features

## Nomination Group

Events and Registers currently allow one of the default Type Owners to become the default Manager of any new record created. In some scenarios, rather than a member of the default group, it might be more appropriate for the person creating the new record to select who will be the new record Manager (e.g. their Line Manager).

The Nomination Group is a new field type available for both Events and Registers. Any Security Group with Edit access to the Event or Register Type can be selected as the Nomination Group. It is suggested that the name of the Security Group reflects the purpose. For example:

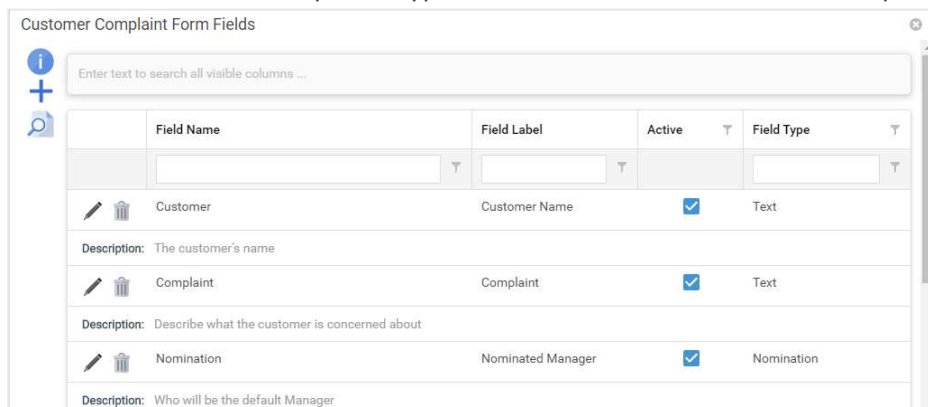


The selected Positions in the Security Group can have 'See own data' selected as they can still be a record Manager while retaining segregation of data.

In the Event or Register Type, add the Security Group with Edit Rights:



Add the Nomination Group field Type to the Form. **Note:** This field is a required field.



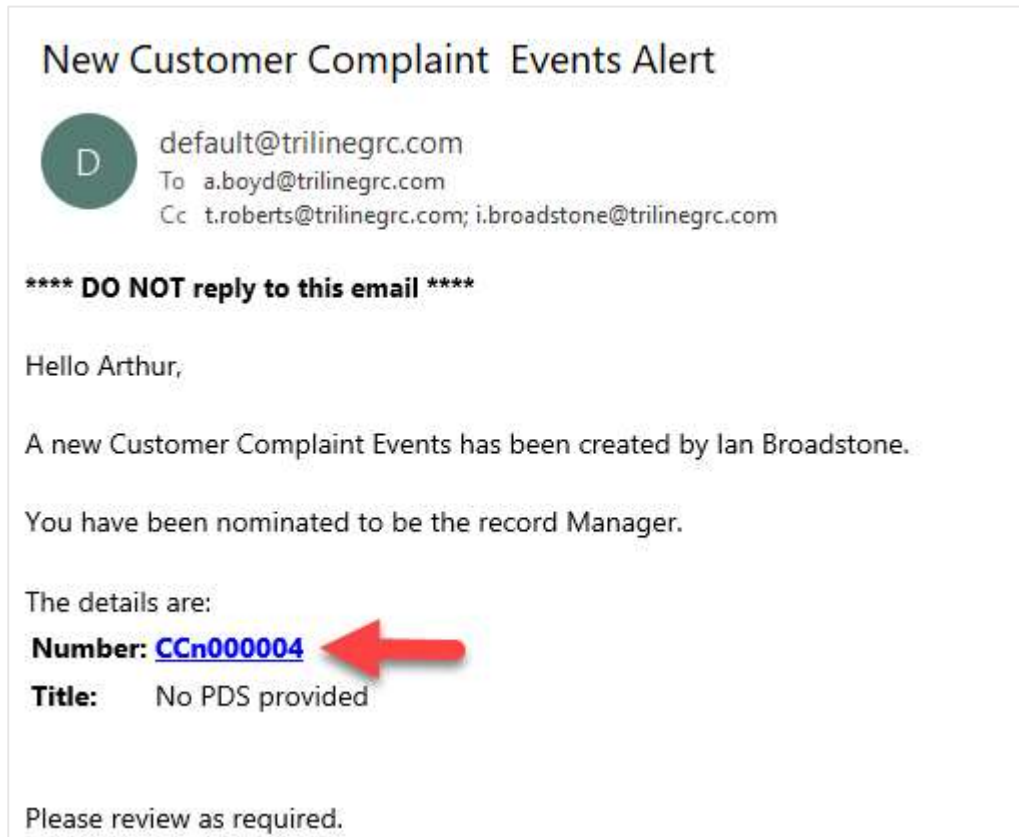
It is strongly recommended that you provide a good Description or use a Display Text field to assist in the Form completion.

When a new record is created the Nominated Position will receive the notification email with a 'CC' to the default Type Owners.

## TriLine GRC V3.2.0 — New Features

### Email Notification – New Event or New Register

When a new Event or Register is created, the nominated record Manager will receive an email notification with a link to the new record.

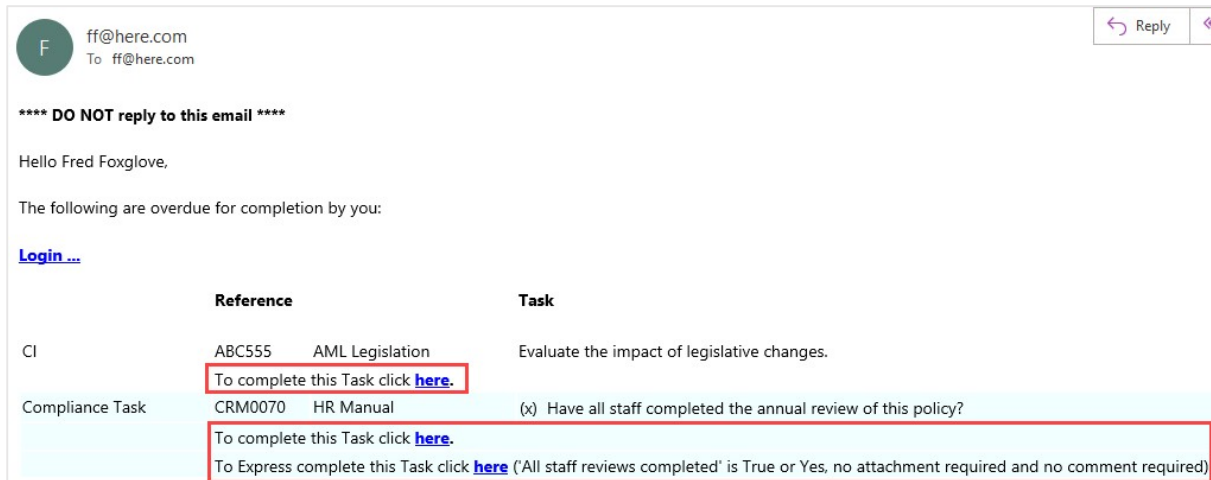


Clicking on the link will automatically open the nominated record. **Note:** If not already logged into TriLine GRC, the person will need to login before the record is displayed. If already logged in, the record will be displayed in a new browser window.

# TriLine GRC V3.2.0 — New Features

## Email Notification – New Task, Critical Task, Overdue Task

Each task list in the email will now include a link to the task completion screen:



Clicking on the link will open the Task Completion screen. Where applicable, there will also be a link to Express Complete the task if configured. **Note:** If not already logged into TriLine GRC, the person will need to login before the screen is displayed. If already logged in, the screen will be displayed in a new browser window.

## Session Timeout

Currently, the alert for session timeout occurs after 25 minutes of no activity. This has now been extended to 100 minutes. This applies to editing a primary record (e.g. Compliance Process, Risk etc.), creating a new Event record and creating a new Register record.

**Note:** Working in an Interactive Dashboard does not count as 'activity' in relation to session timeout.

## Risk Hierarchy

Inactive Risks are no longer included in the Risk Hierarchy Summary calculations (although they are still listed):

LEVEL 2 RISKS

Page 1 of 1 (3 items) < 1 > Page size: 5

Enter text to search all visible columns ...

	Risk Number ↑ ↓	Title	Risk Score
	RSK0810	Staff Turnover - Executive	0.66
	RSK0825	Staff Turnover - Operations	3.38
	RSK0820	Staff Turnover - Management	0.66

Page 1 of 1 (3 items) < 1 > Page size: 5

Risk Score Summary

Risks: 2

Highest: 3.38

Lowest: 0.66

Median: 2.02

Average: 2.02

Inactive (highlighted) Risks are not included in the Summary

# TriLine GRC V3.2.0 — New Features

## End of Month Snapshot

The End of Month Snapshot will store the contents of your TriLine GRC system at the end of each month.

EOM Snapshot 31/12/2019 12:00:00 AM									
RISK	SS Date	Risk Number	Title	Risk Score	Risk Appetite	Risk Rating	Residual Rating Score	Inherent Rating Score	Inherent Consequences
RISK OTHER DATA	31/12/2019	A1	Information Risk	0.12	0.5	Low	1.88	Low	Insignificant
COMPLIANCE									
KRI	31/12/2019	ABC.4444	Staff Risk	3.5	25	High	14	Extreme	Major
CONTRACTS	31/12/2019	iRISK1999	Reputation	0.12	2	Low	1.88	Low	Insignificant
EVENTS	31/12/2019	iRSK001	Credit / Counterparty Risk [GS 007 B4]	0.47	68	High	7.5	High	Catastrophic
REGISTERS									
CI	31/12/2019	iRSK002	Market Risk	0.88	100	High	14	Extreme	Major
CI OTHER DATA	31/12/2019	iRSK004	Fraud Risk	0.19	18	Low	3	Low	Minor
DOCUMENT LIBRARY	31/12/2019	iRSK0040	Third Party Providers	3.75	30	High	10	Extreme	Catastrophic
TRIAGE PRO									
OBLIGATIONS	31/12/2019	iRSK1999	Reputation	0.12	2	Low	1.88	Moderate	Moderate
SMCR	31/12/2019	R56	Test	13.5	2	High	13.5	High	Major
POSITIONS	31/12/2019	RDK0999	Hostile Takeovers	5.06	0	High	9	Extreme	Catastrophic
Page 1 of 3 (30 items) 1 2 3									

The full list is available from the Maintenance menu or under the Statistics menu for an individual module. The data can be exported to MS Excel.

It is not possible to store the data for Events and Registers each month due to the dynamic nature of the data. The information is readily available via AdHoc Queries.

## Triage Pro

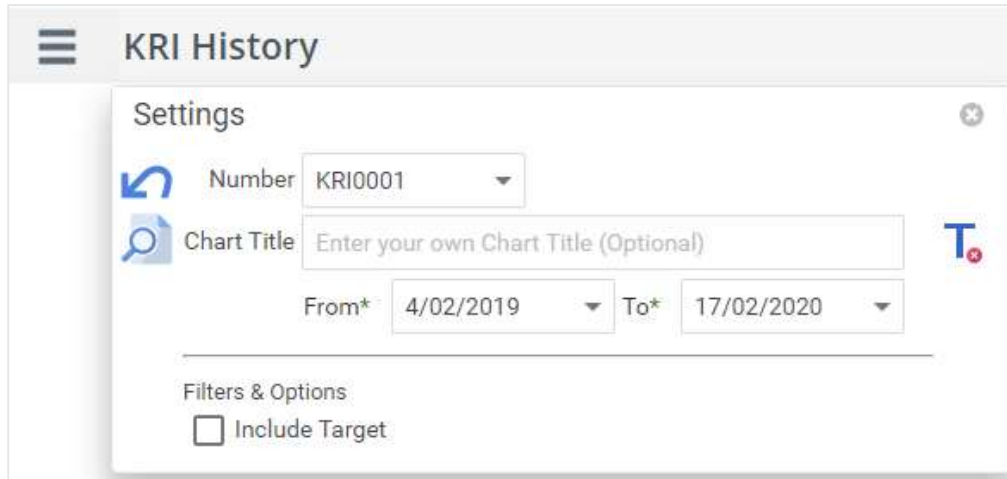
A facility has been added to allow Notes to be recorded against a Triage Pro record.

# TriLine GRC V3.2.0 — New Features

## Key Risk Indicators (KRI)

### KRI History Chart

The Target line is now optional for the KRI History Chart.



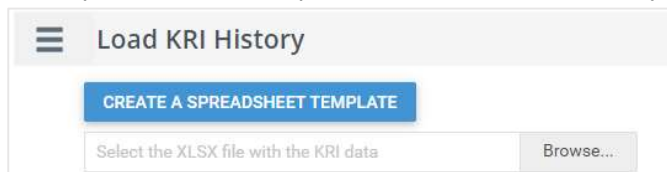
The screenshot shows a 'KRI History' settings window. It contains a 'Settings' section with a 'Number' dropdown set to 'KRI0001', a 'Chart Title' text field with the placeholder 'Enter your own Chart Title (Optional)', and date pickers for 'From\*' (4/02/2019) and 'To\*' (17/02/2020). Below this is a 'Filters & Options' section with a checkbox labeled 'Include Target' which is currently unchecked.

### Interactive Dashboard

A new Data Source is available that will show KRI History.

### Load History

New option to create a spreadsheet to load KRI History.




The screenshot shows a 'Load KRI History' dialog box. It features a blue button labeled 'CREATE A SPREADSHEET TEMPLATE'. Below this is a text input field with the placeholder 'Select the XLSX file with the KRI data' and a 'Browse...' button.



# TriLine GRC V3.2.0 — New Features

## Scheduled Reports

It is now possible to edit the schedule portion of a Scheduled Report without having to load the report in full.



Edit Scheduled Report

Name: PC Current Task Summary

Format: PDF

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)

Next Run: 14/01/2019 ☒ Last working day of the period

Active: ☒

Retain Copies: ☐

Transfer To:

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 ...

Positions: Company Secretary

Others: Click to enter one or more email address

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

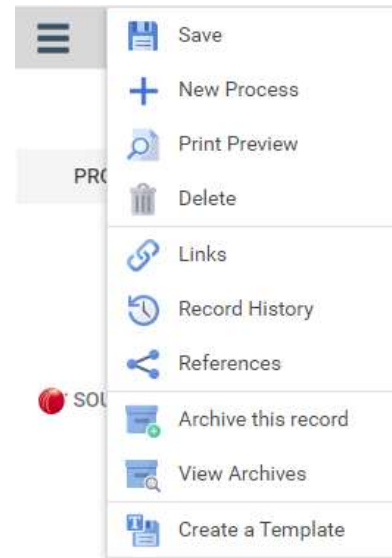
# TriLine GRC V3.2.0 — New Features

## Performance

We have made changes to enhance the performance of the application. On the major record edit screens (e.g. Compliance Process, Risk etc.), a lot of information was being retrieved that was not overly utilised but consumed time and resources. We have analysed the major screens and determined what elements will now be available via a popup from the page menu (hamburger icon).

For example, on the Compliance Process screen we have moved the Links, Record History, References and Archives to the page menu.

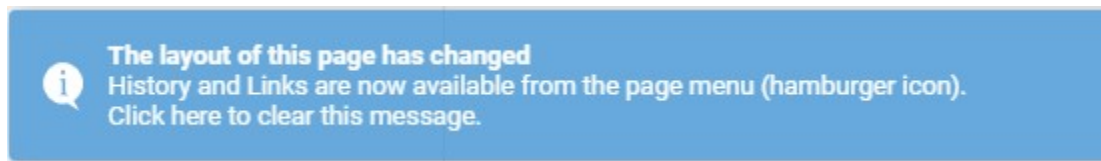
The following table lists the screens and the changes that now apply.



Screen	Available on popup from page menu
My Summary	Roles & Responsibilities, Current Reallocations
SMCR Functions	Links, Record History
SMCR Responsibilities	Links, Record History
Compliance Process	Links, Record History, References, View Archives
Risks	Links, Record History, View Archives
KRI	Links, Record History
Events	Links, Record History
Registers	Links, Record History
Contracts	Links, Record History, View Archives
Control Inventory	Links, Record History, View Archives
Document Library	Links, Record History
Triage Pro	Links, Record History

## One-time notification

To assist in notifying your staff of screen changes for this release (and any future releases), a message will display at the bottom of the screen listing the changes that have occurred. Click on the message to clear it from the screen. **Note:** It will only display once per person on any affected screen.



# TriLine GRC V3.2.0 — New Features

## Health Check Report

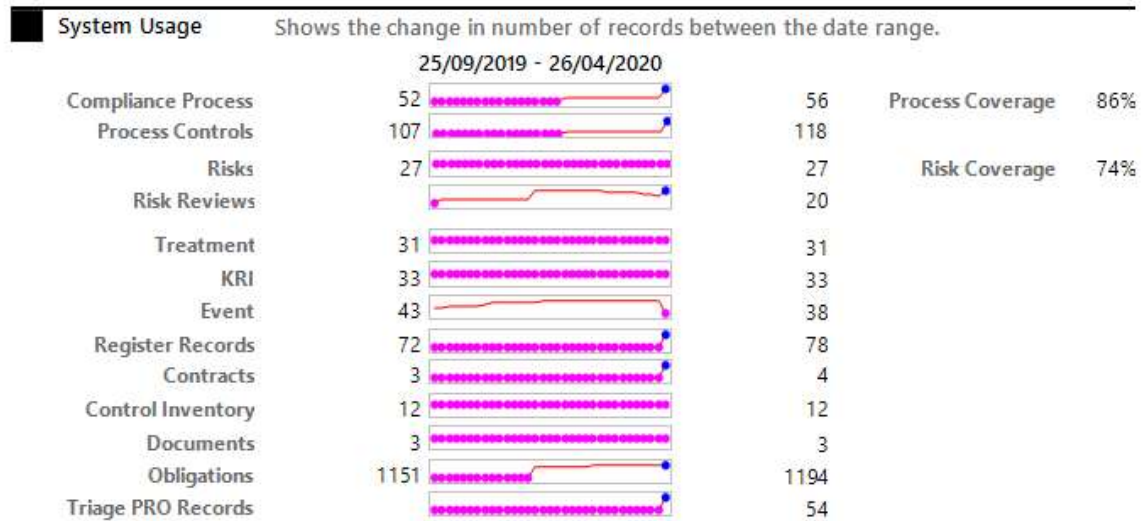
The Health Check report is available from the Reports Menu. It provides a high-level view of your data in two parts: System Usage and Workload Summary.

### System Usage

This shows the change in number of records in each module over a date range. The Coverage section indicates where a Compliance Process has at least one Process Control and a Risk that has an active Risk Review defined. A value of 100% indicates complete coverage.

#### Health Check Report

TriLine DEMO Zero Four



### Workload Summary

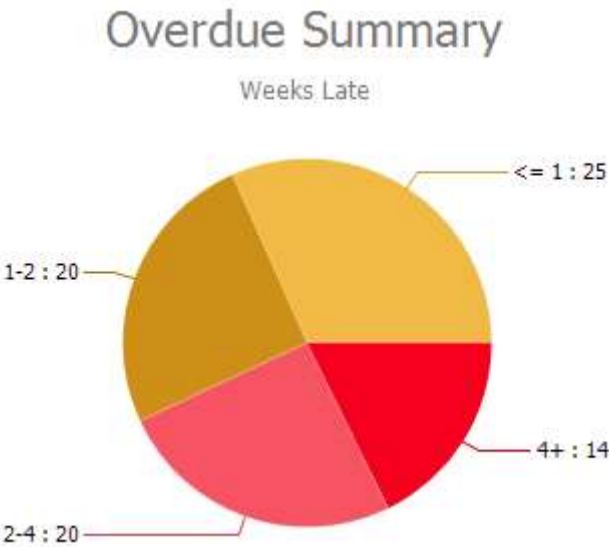
This section shows the current number of tasks to be completed by Position and by Module.

Workload Summary		
	Overdue	To do
<b>Head of People and Culture (Milan Vandersmisson)</b>	0	1
Compliance	0	1
<b>Corporate Secretary (Selena Teakle)</b>	0	1
Triage PRO	0	1
<b>Compliance Manager and Legal Counsel (Jeff Albertson)</b>	0	1
Compliance	0	1
<b>Chief Risk Officer (James Organ)</b>	0	2
Compliance	0	2
<b>Chief Operating Officer (Phillip Brooks)</b>	0	1
Document Review	0	1
<b>Branch Manager - South (Josh Ramsay)</b>	0	1
Compliance	0	1
<b>Branch Manager - North (Matt Webb)</b>	0	1
Compliance	0	1
<b>Branch Manager - East (Mike Ayley)</b>	0	1
Compliance	0	1
<b>Branch Manager - Central (Ian Cassleman)</b>	0	1
Compliance	0	1
<b>Alerts Manager (Ione Bright)</b>	0	4
Compliance	0	1
Triage PRO	0	3

# TriLine GRC V3.2.0 — New Features

## Calendar Days become Business Days

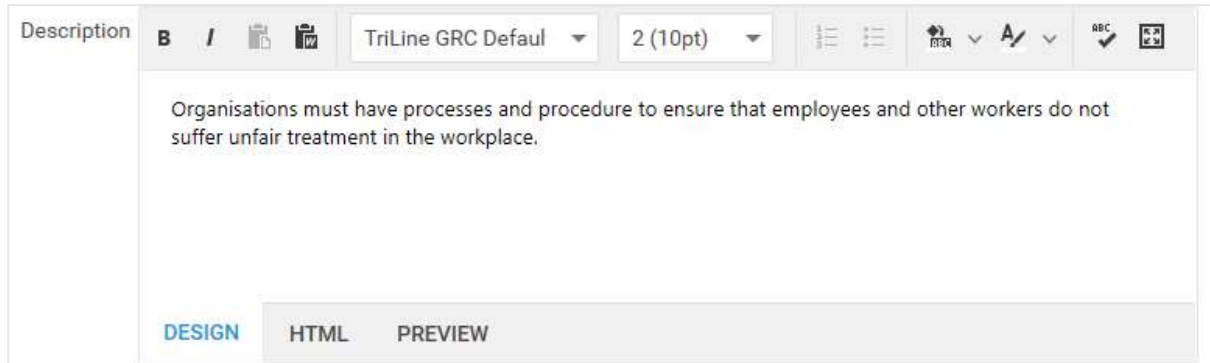
To provide a more accurate picture of overdue Tasks the reporting of Overdue Days has changed from Calendar Days to Business Days.



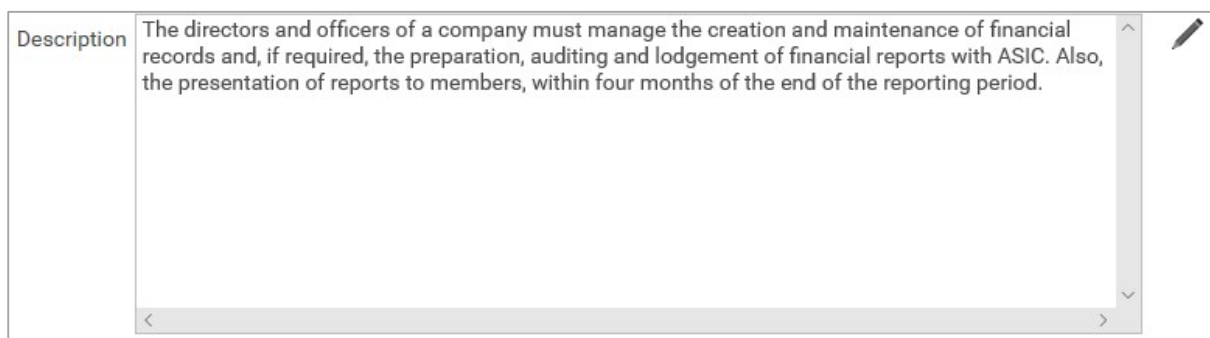
# TriLine GRC V3.2.0 — New Features

## Text Editing

The text editors that allow formatting (e.g. Compliance Process Description) use a lot of system resources and most of them do not change very often.



Some pages have multiple text editors which further impacts performance. To improve this we have replaced the in-line editor with a popup – still with all the formatting features. This is similar to the existing Risk text fields.



Click on the pencil icon (top right) to edit a text field.

## Event and Register form fields

Both Event and Register forms have a Formatted Text field type. Having multiple of these in a form will impact the load time for the record. We recommend only using this type of field if formatting is important to the field content. If this is not important, please use the Multi-line Text field type.

# TriLine GRC V3.2.0 — New Features

## Form Field – List Box

Both Events and Registers offer a List Box field type where you can specify your own list of available options. With this release you are no longer compulsory to specify a default value. This will ensure that for required fields, a value from the list will be selected. If no default value is specified a prompt will appear in the Listbox – ‘Select ...’. Existing List Box fields with a default value will still operate.

The screenshot shows the 'Edit Register Field' configuration window. It includes fields for 'Field Type' (set to 'List Box (Select one)'), 'Field Name' ('Type of Breach'), 'Field Label' ('Type of Breach'), and a 'Description' area with a rich text editor. At the bottom, the 'List Values' field contains the text 'Other|Procedure|Management Policy|Board Policy|Contractual|Code|Legislative', and the 'Default Value' field is empty.

This section displays two instances of the 'Type of Breach' list box. The first instance shows the dropdown with the text 'Select ...'. The second instance shows the dropdown menu open, displaying a list of options: 'Other', 'Procedure', 'Management Policy', 'Board Policy', 'Contractual', 'Code', and 'Legislation'.

# TriLine GRC V3.2.0 — New Features

## Obligations

### Alerts

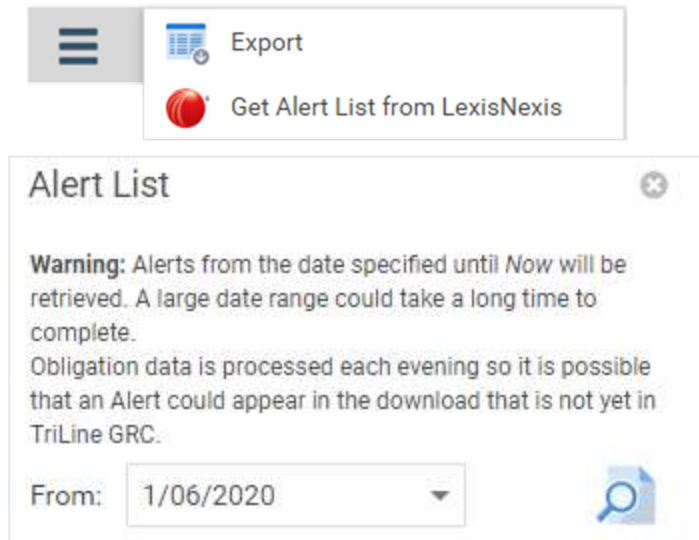
To provide customers with the facility to audit Alerts received from LexisNexis you can download a list in CSV format. This is available from the Work with Alerts page.

Select Get Alert list from LexisNexis from the Page menu.

This will display a popup with a date selection and a message. The list of Alerts provided will be from the date specified until 'Now'. A very large date range could take a long time to download.

The list could also include Alerts that have not been processed into TriLine GRC because these are gathered daily as part of the TriLine GRC Overnight processing.

The downloaded file will be named 'alerts.csv'.



### Notify multiple people of new Alerts and updates

Currently only an Obligation Owner is notified of any Alerts or updates. You can now specify multiple people to receive those notifications.

**Note:** No change has been made to Alert Tasks. If your TriLine GRC application is configured to generate a Task on a New Alert, this will still only apply to the Obligation Owner. Any positions in the Notify list will just receive a notification.

The Notify List can be set at the Module, Topic, Obligation or Sub Obligation level. In the first three cases there will be automatic trickle down unless the records below have their own Notify List set.

In this example the CRO and IT Manager will be notified when an Alert or update is received for the Corporations Module (unless a lower setting applies).

MODULES

TOPICS

Enter text to search all visible columns ...

	Number	Module	Last Change	Owner	Notify	Trickle
	7146	Anti-Bribery & Corruption	10/10/2016	Compliance Manager and Legal Counsel		<input type="checkbox"/>
	7151	Competition & Consumer	16/11/2016	Marketing Manager		<input type="checkbox"/>
	7156	Corporations	24/02/2017	Compliance Manager and Legal Counsel	Chief Risk Officer,Information Technology Manager	<input checked="" type="checkbox"/>

## TriLine GRC V3.2.0 — New Features

This has trickled down to the Topic, but a different Notify set has been defined for the Public Companies Limited by Shares Topic.

MODULES

TOPICS

Enter text to search all visible columns ...

	Number	Topic	Last Change	Module	Owner	Notify
	8782	Anti-Bribery & Corruption	17/03/2020	Anti-Bribery & Corruption	Compliance Manager and Legal Counsel	
	7199	Competition & Consumer	17/03/2020	Competition & Consumer	Marketing Manager	
	14910	ASX Listing Rules	17/03/2020	Corporations	Compliance Manager and Legal Counsel	Chief Risk Officer, Information Technology Manager
	22839	Companies Limited by Guarantees	17/03/2020	Corporations	Compliance Manager and Legal Counsel	Chief Risk Officer, Information Technology Manager
	7205	Proprietary Limited Companies	17/03/2020	Corporations	Compliance Manager and Legal Counsel	Chief Risk Officer, Information Technology Manager
	7253	Public Companies Limited by Shares	17/03/2020	Corporations	Compliance Manager and Legal Counsel	Chief Risk Officer

In an Obligation with no Notify List set the values from the Topic will apply.

Module : 7156 Corporations  
Topic : 14910 ASX Listing Rules  
Obligation : 26429 Admission

OBLIGATION

SUB OBLIGATION

PRACTICAL GUIDANCE

REMEDIAL ACTION

CONSEQUENCE

Owner

Compliance Manager and Legal Counsel

Notify

Click here to select Notify Positions

Topic:14910 ASX Listing Rules

Notify Positions: Chief Risk Officer, Information Technology Manager

You can also set the Notify for an individual record.

Module : 7156 Corporations  
Topic : 14910 ASX Listing Rules  
Obligation : 26429 Admission

OBLIGATION

SUB OBLIGATION

PRACTICAL GUIDANCE

REMEDIAL ACTION

CONSEQUENCE

Owner

Compliance Manager and Legal Counsel

Notify

Marketing Manager

Information Technology Manager

Tags

Click here to select Tags



## TriLine GRC V3.2.0 — New Features

### Will Never Apply to Us

There are scenarios where some of the Obligations may not apply to your business, for many reasons. This can be at the individual Obligation or Sub Obligation level, but it can also apply at the Topic level. For example, of the 4 Topics in the Corporations Module, it is unlikely that all will apply to you.

Number	Topic	Last Change	Module
			Corporations
14910	ASX Listing Rules	17/03/2020	Corporations
22839	Companies Limited by Guarantees	17/03/2020	Corporations
7205	Proprietary Limited Companies	17/03/2020	Corporations
7253	Public Companies Limited by Shares	17/03/2020	Corporations

### Topic

Previously, you had to change each individual Obligation record, but with this release you can do that at the Topic level. We have added a 'Will Never Apply' option on the Topic:

Number	Topic	Last Change	Module	Will Never Apply
			Corporations	
14910	ASX Listing Rules	17/03/2020	Corporations	<input type="checkbox"/>

Selecting this will automatically mark all Obligations and Sub Obligations as 'Will Never Apply to Us'.

### Gap Analysis

We have also simplified the process for marking individual Obligations and all their Sub Obligations as 'Will Never Apply to Us' or 'Does Not Apply'. Instead of editing each individual Obligation, it is now available on the Gap Analysis page.

Obligations Gap Analysis									
Page 1 of 17 (162 items) < 1 2 3 4 5 6 7 ... 15 16 17 > Page size: 10									
Drag a column header here to group by that column									
Number	Module	Topic	Title	Owner	Tags	Applies to Us	Will Never Apply		
210311	Anti-Bribery & Corruption	Anti-Bribery & Corruption	The Foreign Influence Transparency Scheme	Chief Risk Officer		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<a href="#">Link</a>	<a href="#">+</a>
7306	Competition & Consumer	Competition & Consumer	Overview	Marketing Manager		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<a href="#">Link</a>	<a href="#">+</a>

**Note:** For both the Topic and Gap Analysis pages, all records below that level will inherit the setting. You can still modify individual records if appropriate.

## TriLine GRC V3.2.0 — New Features

### Historical Note

A new field called 'Historical Note' has been added that will include information regarding changes to a record. This will be of assistance when reviewing Alerts. The field will appear on the Other Information tab.

Obligation

26429

Module : 7156 Corporations

Topic : 14910 ASX Listing Rules

Obligation : 26429 Admission

OBLIGATION

SUB OBLIGATION

PRACTICAL GUIDANCE

REMEDIAL ACTION

CONSEQUENCE

DIRECTIONAL

QUESTIONAL

COMPLIANCE SOURCE

OTHER INFORMATION

Created Date: 12/04/2017

Last Changed: 03/02/2020

Due Date:

Frequency:

Submission Date: 23/01/2017

Author: Ali Hargreaves

Material Type: immaterial

Jurisdiction: ACT, NSW, NT, QLD, SA, TAS, VIC, WA, COMMONWEALTH

LN Archived: No

Historical Note: Information on changes to this Obligation