

The logo for Triline GRC. It 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 text.

Triline GRC

Version 3.3.0 New Features

May 2021

TriLine GRC V3.3 — New Features

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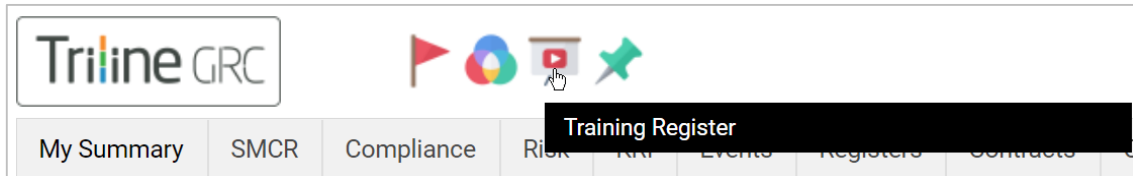
TriLine GRC V3.3 — New Features

Note: Some terminology may vary depending on your Configuration settings. Refer to the Version History for more information.

My Quick Menu

This allows a User to add a menu bar of up to 10 items at the top of the page.

Each item can have a description of up to 200 characters that appears on mouseover.



Please Note: On a page where grid layouts are available, the most recent layout will always apply.

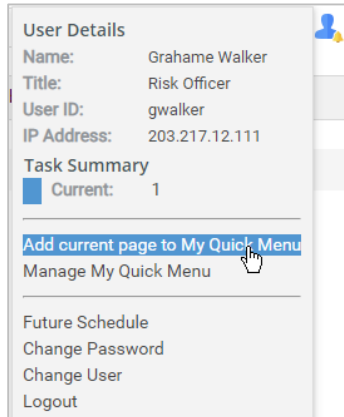
Sample Usage:

1. To display the records in an individual Register Type
2. To run a saved report (if not using Scheduled Reports).

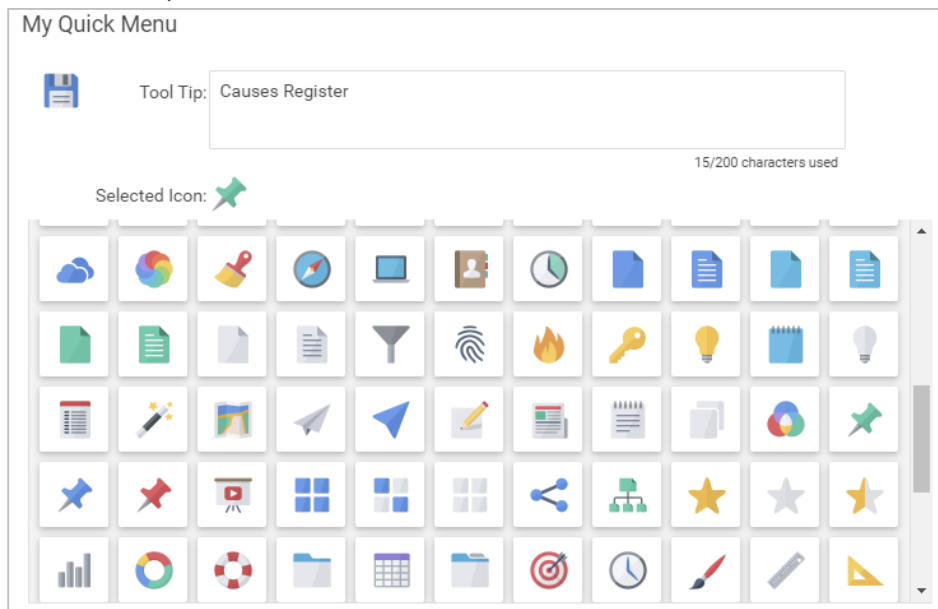
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Adding a new My Quick Menu item

1. Navigate to the required page.
2. Select 'Add current page to My Quick Menu' from the User menu.



3. Enter a Tool Tip and select an icon.



4. Press F5 or click the browser refresh button to display the menu.















TriLine GRC V3.3 — New Features



Manage My Quick Menu

Select 'Manage My Quick Menu' from the User menu.

Manage My Quick Menu

	Icon	Tool Tip
		<input type="text"/>
		 Strategic Risks
		 Compliance Governance
		 Training Register
		 Causes Register

Set the sequence of the items



Any modifications will appear on page refresh or next page

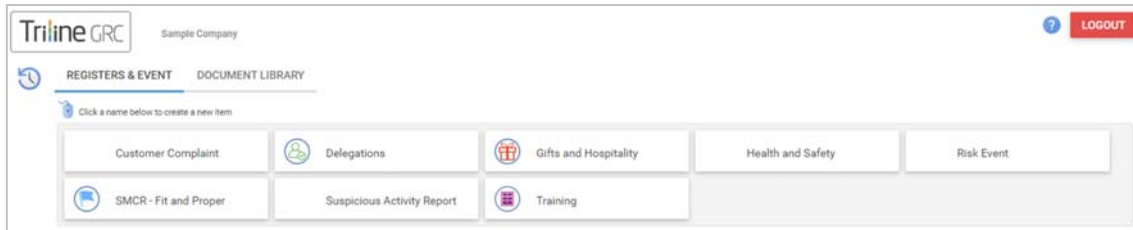
Edit the text or icon, remove unwanted items or change the sequence of the items.

TriLine GRC V3.3 — New Features

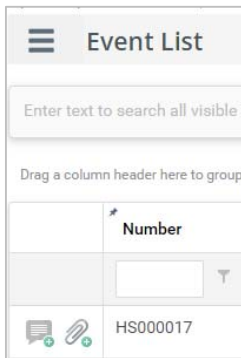
Interface

Portal

The Portal has a new interface for creating new Event or Register records. Click on any item to create the new record.



Add Note or Attachment to Event or Register



The buttons to quickly add a Note or an Attachment to an Event or Register record have been moved to the left of the grid to ensure they are easy to use when a large number of columns are displayed.

The change has been applied to the Portal as well as the main TriLine GRC screens.

New Event or Register

Page Size

When a new Event or Register is created, the popup screen will make use of all the available screen height. This also applies to the preview screen.

Field sizes

Fields have been made wider.

Word Wrap

Long entries for List Box options will word wrap.

Multiline text fields will grow automatically as data is entered.

List Values Design

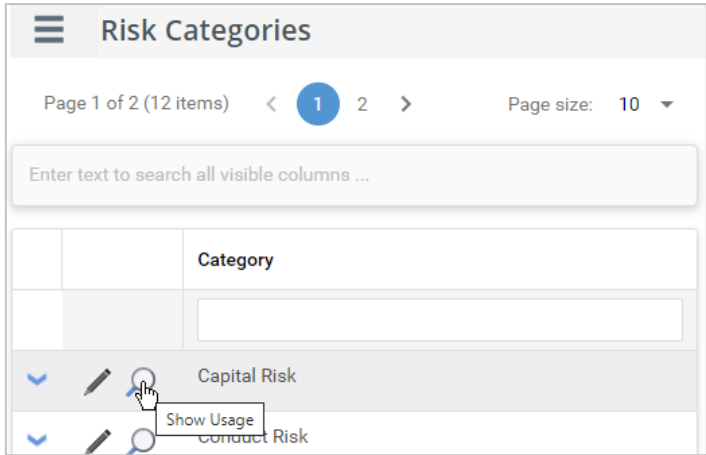
When designing the form, the List Values entry area will grow automatically.


A screenshot of the 'New Register record' form for 'Training'. The form has a title bar with 'New Register record' and a 'Training' icon. It contains fields for 'Name of course' and 'Type of course'. The 'Type of course' dropdown is open, showing options: 'Select One', 'Internal', 'OnLine', 'External', 'Dispute Resolution', 'Professional Development for Lending Specialist', and 'A very long skill name to demonstrate word wrapping in a list box when creating a new record'. The 'Skills' field is also visible. The form is designed to be responsive, with fields growing as data is entered.

TriLine GRC V3.3 — New Features

Risk Category

Risk Categories can be used in both Risk and KRI records. This new feature will show where a Category is used and allow export.



Capital Risk Usage		
	Number	Details
Module: KRI		
	RA005	Capital Surplus over TCR
	RA006	% of capital with a single counterparty in mobilisation
	RA007	% of capital with a single counterparty post mobilisation
Module: Risk		
	RSK0606	Cyber Security

TriLine GRC V3.3 — New Features

Business Unit

Business Units are used across multiple modules. This feature will show where a Business Unit is used and allow export.

Business Unit

Page 1 of 1 (3 items) < 1 >

Enter text to search...

	Business Unit	
	Finance	
	Show Usage	
	Group	

Finance Usage

	Number	Details
Module: Compliance		
	COM 0310	FATCA legislation - impact on the firm.
Module: Control Inventory		
	CI 02	Financial Management
	CI 06	Financial Reporting
	CL13	Monitoring of interest rates
Module: Risk		
	RSK0050	Regulatory changes affecting business strategy
	RSK0101	Financial Reporting

TriLine GRC V3.3 — New Features

Contracts

Multiple Contract With

It is now possible to have multiple Contract With selections on a Contract.

Contract Type	Service
Contract With	<div><input checked="" type="checkbox"/> Affirmative Lending</div> <div><input checked="" type="checkbox"/> Quad Lending</div> <div><input type="checkbox"/> ADF</div>
Our Entity	The Firm (Collections)

Load Contract With Contacts

New feature to load Contacts for a Contract With available from the Load Contract With Data page.

Triline GRC

My Summary

SMCR

Compliance

Risk

Key Metrics

Events

Regi

Assets & Liabilities Committee Committee | Load Contracts With

≡

Load Contract With Data

CREATE A SPREADSHEET TEMPLATE FOR CONTRACT WITH

Click Browse to locate the Contract With import file

Browse...

CREATE A SPREADSHEET TEMPLATE FOR CONTACTS

Click Browse to locate the Contacts import file

Browse...

TriLine GRC V3.3 — New Features

Events

Change of Manager

The email notification to the new Event Manager will include a direct link to the Event.

Event List Report

The Event Rating can now be used as a report filter.

Number and Currency Form Field Types

A default value is no longer required for the Number and Currency form field Types.

New Event

To avoid selection of the default value in the Date Occurred field (the current date and time), the field will not have a default value.

The screenshot shows the 'New Event' form for 'Health and Safety'. It is a multi-step process, currently on 'Step 1 of 5' under the 'Details' tab. The form includes a dropdown for 'Occurred:', a text input for 'Title' with a placeholder 'Please supply a short Title', and two checkboxes: 'Keep me informed' and 'Send me a confirmation email'.

Current Events on My Summary

You can now display the 'current' Events for a User on the My Summary page where the User is the Owner.

The screenshot shows the 'Configuration' page with the 'EVENT REGISTER' tab selected. It displays fields for 'Title' (Event Register) and 'Short Title' (Events). Below these are tabs for 'DESIGN', 'HTML', and 'PREVIEW'. At the bottom, there is a toggle switch for 'Show Events' which is currently turned on, with a description: 'Show 'current' Events records on the My Summary page where the selected User is the Owner.'

The screenshot shows the 'My Summary' page with a sidebar menu. The menu items are 'CURRENT TASKS' (highlighted with a red icon), 'MY REPORTS / CHARTS', 'MY EVENTS', and 'MY REGISTERS'.

TriLine GRC V3.3 — New Features

Registers

Link Register Records

It is now possible to link one Register record to another.

Change of Manager

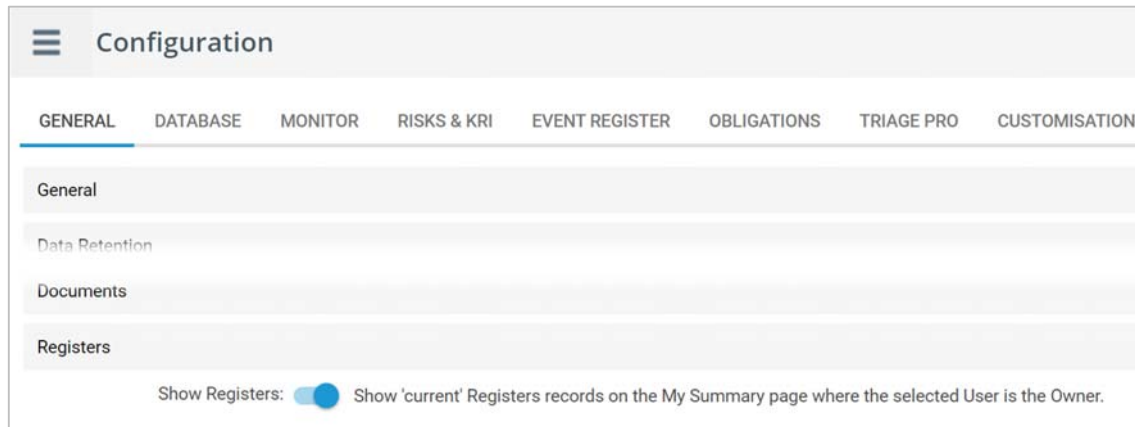
The email notification to the new Register Manager will include a direct link to the record.

Number and Currency Form Field Types

A default value is no longer required for the Number and Currency form field Types.

Current Registers on My Summary

You can now display the 'current' Registers for a User on the My Summary page where the User is the Owner.



Requirement

If you plan to use the display current Register records on the My Summary page you must ensure that your Register Types have at least one 'Closed' Status.

TriLine GRC V3.3 — New Features

Reports

Taxonomy Report

Security Group membership has been split so that System Groups are on a separate tab. The Position name has been added.

Taxonomy		
FILE		
Save As		
	A	B
1	Security Group: Audit Team	Branch Managers
2	Members: Audit Director (Lending) (Patrick Beattie)	Not Allocated (Not Allocated)
3	Compliance Director (Lending) (Melissa Gallimore)	Administrator (James Organ)
4	Head of Audit (Lending) (Ian Wilson)	Compliance Director (Lending) (Melissa Gallimore)
5	Team Manager - Telephony (Richard Asher)	Finance Director (Lending) (Rachel Sears)
6		Head of Audit (Lending) (Ian Wilson)

Portal and Accountability Only Users are listed on separate tabs.

Key Risk Indicators

Task completed Not Acceptable

The email notification to the KRI Owner when a task is completed with a status of other than Acceptable will include a direct link to the record.

Tasks

Due Date change

When the due date on a generated Task is changed, the second reminder date will also be reset (as long as it is in the future).

TriLine GRC V3.3 — New Features

Risk Assessment

Linked Control Inventory information can be displayed to assist in Risk Assessment. The information will be available on the Risk Assessment Tab and the Complete Risk Review screen.

Risk

 RSK0050 Regulatory changes affecting business strategy

RISK DETAILS

 COMMENTARY

ASSESSMENT

 TREATMENTS

 NOTES

 OPERATIONAL RESILIENCE

 CUSTOM FIELDS

 HIERARCHY

 SECURITY

RATING

Inherent Rating

Likelihood: Likely

Impact: Critical

■ High

Inherent Score ● 20

Residual Rating

Possible

Major

■ Moderate

Residual Score ● 12

Risk Appetite ● 2

Risk Score ● 12

Formula: Residual Impact * Residual Likelihood

Capital Allocation ⦿ % 4 % (£40,000)

Risk Status Improving

Inherent Score

Residual Score

Risk Score

Last Updated: Melissa Gallimore on 11/02/2021

LINKED CONTROL INVENTORY

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

Number	Title	Effectiveness	Status
CI 10	Operational Effectiveness	Effective	Active
CI 12	Strategic Management	Partially Effective	Active
CI 07	Legislative Compliance - Establishment and Maintenance	Ineffective	Active

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

The Linked Control Inventory button will toggle the visibility.

Complete Risk Review

RSK0050 Regulatory changes affecting business strategy

[i](#)
[DETAILS](#)
[ASSESSMENT](#)
[ATTACHMENTS](#)
[KRI](#)
[EVENT](#)
[HISTORY](#)
[CONTROL INVENTORY](#)

Page 1 of 1 (3 items) [1](#) Page size: 5

Number	Title	Effectiveness	Status
<input type="text"/>	<input type="text"/>		
CI 10	Operational Effectiveness	Effective	Active
CI 12	Strategic Management	Partially Effective	Active
CI 07	Legislative Compliance - Establishment and Maintenance	Ineffective	Active

Page 1 of 1 (3 items) [1](#) Page size: 5

TriLine GRC V3.3 — New Features

SMCR

Map Usage

This release includes updated Maps with new usage. Refer to the individual Map comments (below) for specific changes.

View and Output



On the right side of the screen there are four buttons to control the view and output.

The Plus and Minus buttons will zoom the screen (does not affect output).

The Structure icon may allow you to change the default layout (select from the options that appear at the bottom of the screen). This will affect the output but will not be saved for the next viewing. Click the Structure icon again to clear the options. **Note:** The structure may not be able to be modified with this option.

The Output button allows output as a PDF or PNG (image). The PDF Preview option provides the opportunity to modify the output.

PDF Preview

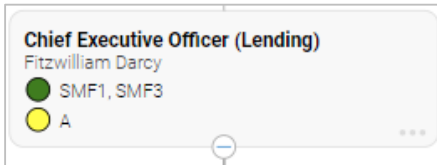
With the PDF Preview you can change the page size, layout and scale.

You can also add your own header and footer as well as change the default page margins (in points).

Click the 'Save' button to generate the PDF.

Note: Any settings will not be saved for the next viewing.

Export Section



Each node in a Map will include an ellipsis (...) in the bottom right. One menu option from this on all Maps will allow the export of the Map from that point down.

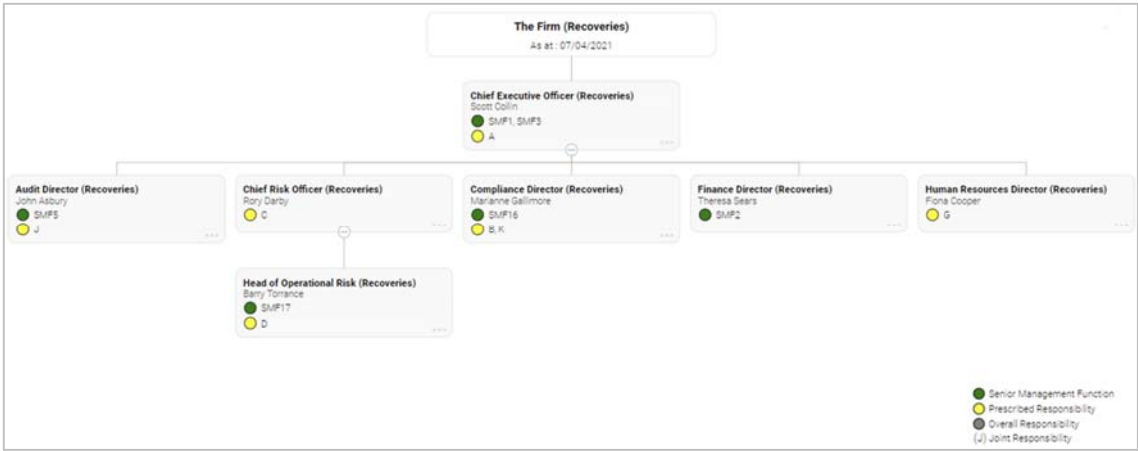
In this example, all people reporting to the CEO (Lending) will be shown in the output.

High Level Export

Each node in a Map with child nodes will include a minus character in the bottom border (see above). Clicking this will collapse all child nodes. Only the visible nodes will appear in any output.

TriLine GRC V3.3 — New Features

Accountability Map



Accountability Details

Click anywhere in a node to display the person’s accountability details.

Chief Executive Officer (Recoveries)

Scott Collin

SMF1

SMF3

A

Click an element to display more information.

Chief Executive Officer (Recoveries)

Scott Collin

SMF1

SMF3

Details

Senior Management Function Start Date: 01/10/2019 End Date: (Current)

Executive Director

A

Person Details

From the ellipsis menu click Display Person to show the full details in a popup window.

Chief Executive Officer (Recoveries)

Scott Collin

SMF1, SMF3

A

Display Person

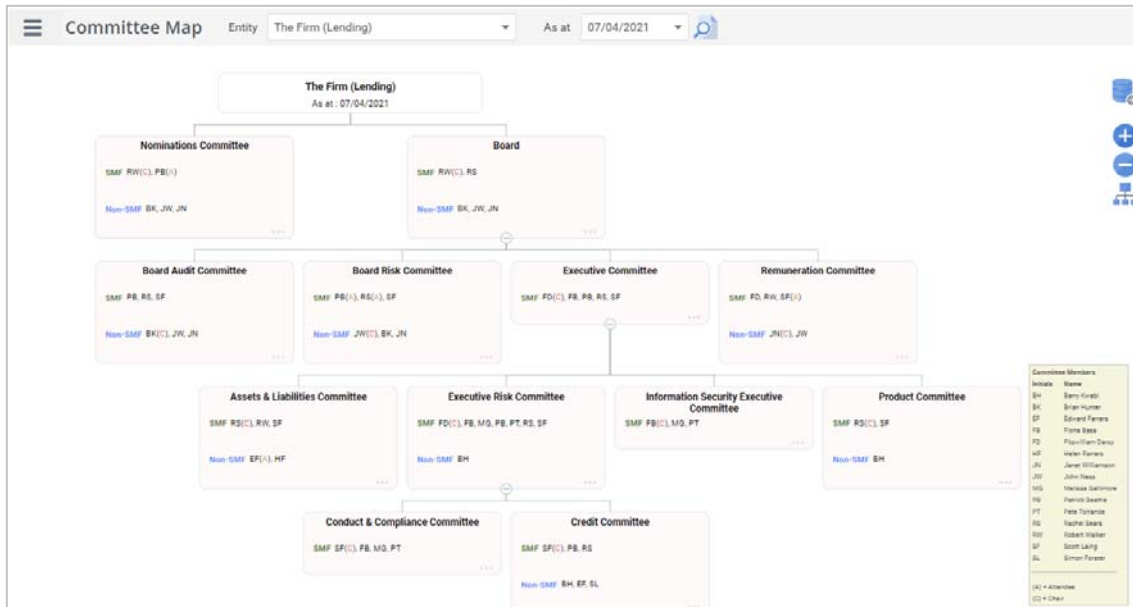
Compliance Dir

Marianne Gallim

PDF Preview

TriLine GRC V3.3 — New Features

Committee Map



Due to the potential size of the legend for the Map, it will appear on a separate page when exported to PDF.

Entity Type

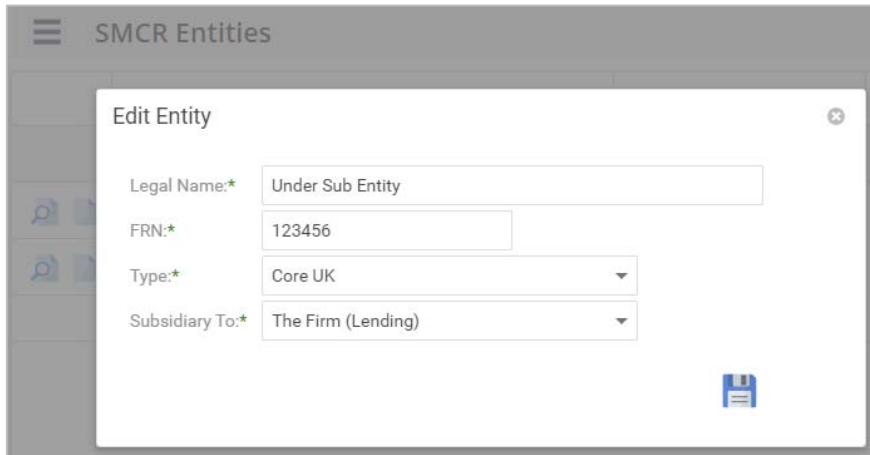
SMCR Entity Types		
	Entity Type	Entities
	<input type="text"/>	<input type="text"/>
	Core EEA	
	Core UK	Under Sub Entity
	Enhanced	
	Limited	The Firm (Lending) The Firm (Recoveries)
	Third Country Branches	

The Entity Type is predominately for documentation purposes as reporting to the Regulator varies based on the Type. The Types listed above will be added automatically on implementation of this release and all Entities will be set to 'Limited'. You can delete any Types that do not apply to your organisation.

TriLine GRC V3.3 — New Features

Entity

New Fields



The screenshot shows the 'Edit Entity' dialog box within the 'SMCR Entities' interface. The dialog contains the following fields:

- Legal Name*: Under Sub Entity
- FRN*: 123456
- Type*: Core UK (dropdown menu)
- Subsidiary To*: The Firm (Lending) (dropdown menu)

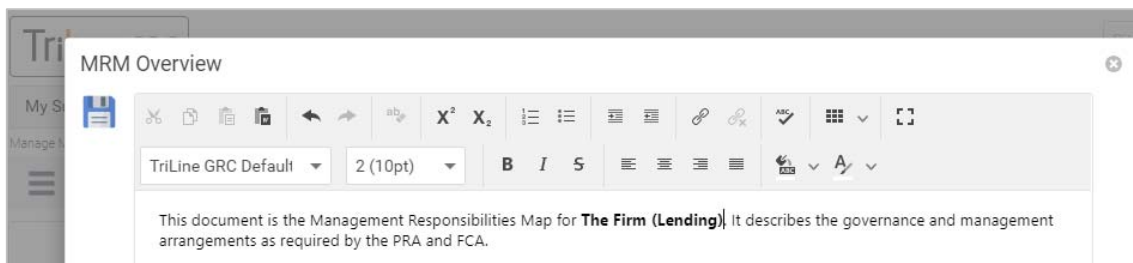
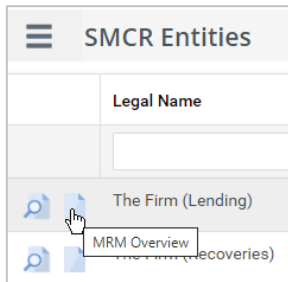
A save icon (floppy disk) is located at the bottom right of the dialog box.

Two new fields are now available when editing an Entity – the Type (see above) and Subsidiary To. The Subsidiary To is used to create an Entity Map. The default for all Entities is 'Not a subsidiary'.

TriLine GRC V3.3 — New Features

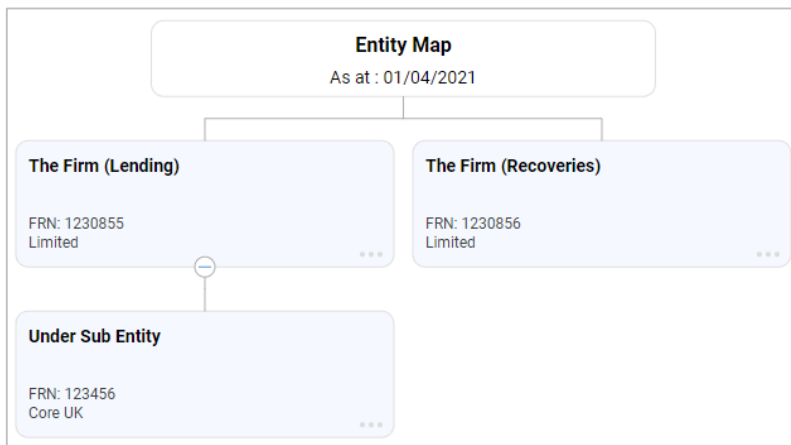
MRM Overview

The MRM Overview field is optional. It will be used to pre-populate the pro-forma MRM now available (see below).

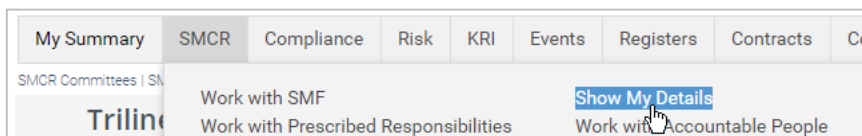


Entity Map

The Entity Map option will be available where there is more than one Entity defined.



Show My Details



This new option will open the individual details page of the current user rather than having to navigate through Work with Accountable People.

TriLine GRC V3.3 — New Features

Accountable People

A new filter has been added to simplify the list of Accountable People.

The screenshot shows the 'Accountable People' interface. At the top, there's a header 'Accountable People' with a menu icon. Below it, pagination shows 'Page 1 of 4 (37 items)' and 'Page size: 10'. A search bar is present. The table has columns: Name, Title, and Active. A tooltip for the 'Active' column says 'Active in Accountability'. The first row shows Patrick Beattie as Audit Director (Lending) with the 'Active' checkbox checked.

By default, the list will show People currently 'active' in Accountability. 'Inactive' People are those that are no longer involved or who may have left your organisation.

Accountable Person Details

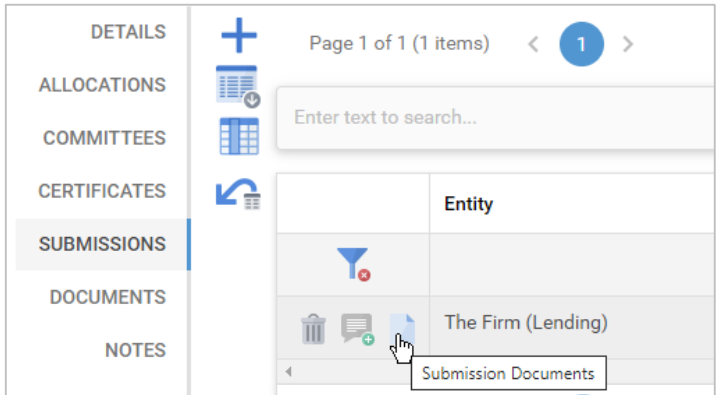
A new field has been added to store any Supplementary Information for a Statement of Responsibility (see below).

The screenshot shows the 'Chief Executive Officer (Lending)' details page for Fitzwilliam Darcy. The left sidebar has tabs: DETAILS, ALLOCATIONS, COMMITTEES, CERTIFICATES, SUBMISSIONS, DOCUMENTS, NOTES, and HISTORY. The main content area shows: Name: Fitzwilliam Darcy, Accountable To: Chairman of the Board (Lending), and Entity: The Firm (Lending). A new section 'SoR Supplementary Information ...' is visible, containing 'Role Purpose' and 'Key Responsibilities'.

TriLine GRC V3.3 — New Features

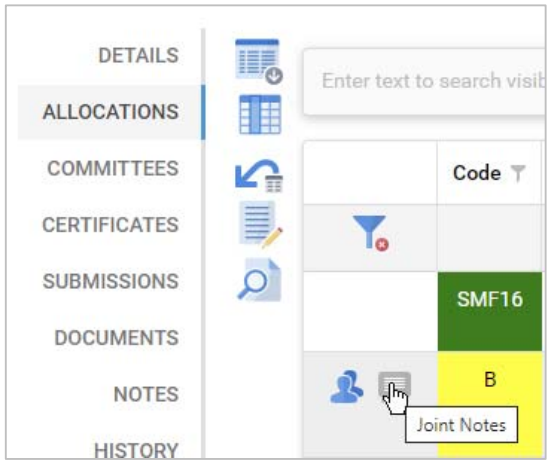
Submission Documents

New feature to load and view Submission documents.



Joint Accountability Notes

New feature to add Notes to a Joint Accountability. The Notes will appear on the pro-forma Statement of Responsibility.



TriLine GRC V3.3 — New Features

Statement of Responsibility

To assist in production of a Statement of Responsibility (SoR) it is now possible to create a pro-forma version from the Allocations tab of the Accountable Person Details page.

The screenshot shows the 'Accountable Person Details' page with the 'ALLOCATIONS' tab selected. A 'Statement of Responsibility' popup window is displayed. The popup has a search bar at the top with the text 'Enter text to search visible columns ...'. Below the search bar, there are columns for 'Code' and 'Entity'. The 'Entity' column is currently selected. The popup also contains a 'Statement of Responsibility' section with a dropdown menu for 'Entity' (The Firm (Lending)) and a date field for 'As At' (07/04/2021). A blue 'VIEW' button is located at the bottom right of the popup.

The SoR will appear in a popup window.

The 'Statement of Responsibility' popup window displays a form with the following fields and sections:

- Name of individual:** Melissa Gallimore
- Name of firm:** The Firm (Lending)
- Firm Reference Number:** 1230855
- Type of firm:** Limited
- As At:** 07/04/2021
- Senior Manager Functions:**
 - Function: **SMF16**
 - Effective Date: 22/10/2019
 - Description: Compliance Oversight
- Prescribed Responsibilities:**
 - Prescribed Responsibility: **B** (Joint)
 - Effective Date: 22/10/2019
 - Description: Responsibility for the firm's performance of its obligations under the employee certification regime
 - Joint With: Patrick Beattie (Audit Director (Lending))
 - Effective Date: 01/06/2020
 - Joint Notes: 07/04/2021 This is joint information that will appear on the SoR.
- Prescribed Responsibility: K**
 - Effective Date: 22/10/2019
 - Description: Responsibility for: (a) safeguarding the independence of; (b) oversight of the performance of, the compliance function
- Overall Responsibilities:**
 - Overall Responsibility: **OR006**
 - Effective Date: 02/12/2019
 - Description: Legal and regulatory obligations
- Supplementary Information:**

This is the extra information necessary for the SoR.

TriLine GRC V3.3 — New Features

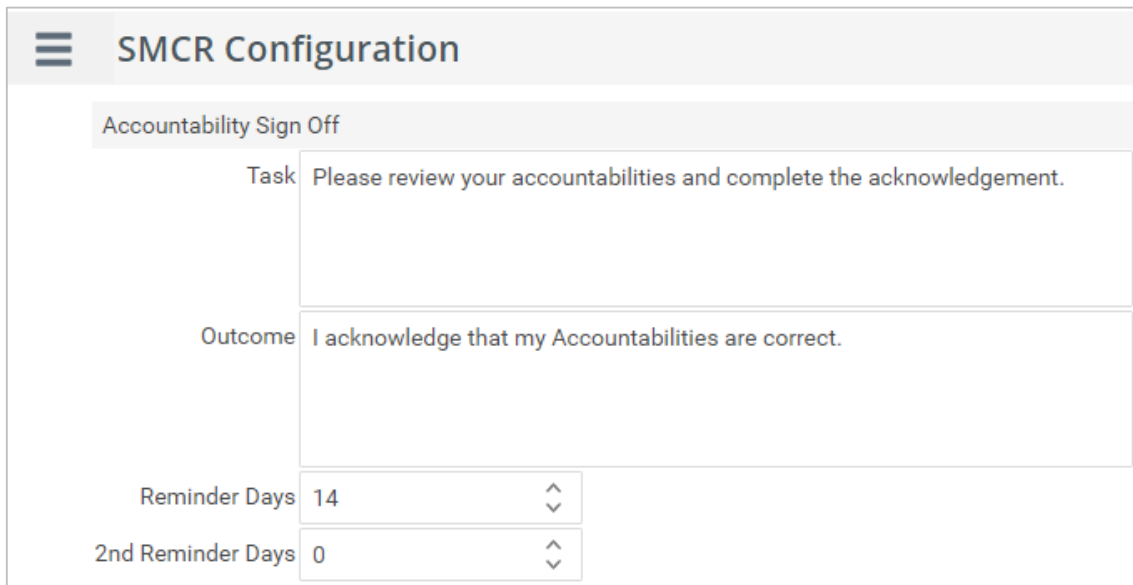
It is possible to create a DOCX or PDF version of the SoR from the page menu.

Accountability Sign-off Tasks

It is now possible to generate AdHoc or cyclical Tasks for people to sign-off their Accountabilities.

Configuration

Define the default values for the generated Tasks on the SMCR Configuration screen (SMCR | Maintenance).



The screenshot shows the 'SMCR Configuration' screen with a sidebar menu icon. The main content area is titled 'Accountability Sign Off' and contains the following configuration fields:

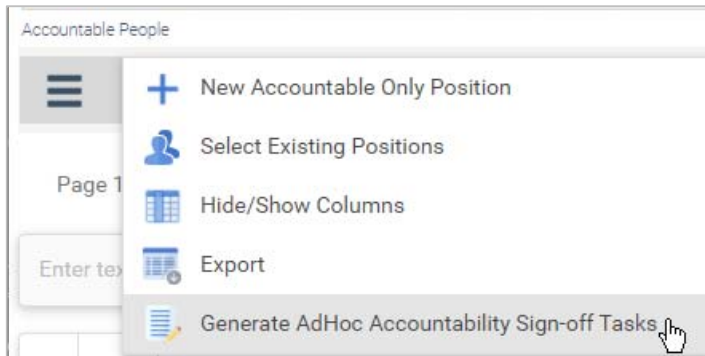
Task	Please review your accountabilities and complete the acknowledgement.
Outcome	I acknowledge that my Accountabilities are correct.
Reminder Days	14
2nd Reminder Days	0

These values can be modified for AdHoc Tasks and cyclical Tasks.

TriLine GRC V3.3 — New Features

AdHoc Tasks

Form the page menu on Work With Accountable People select Generate AdHoc Accountability Sign-off Tasks.



On the popup screen set the dates, reminders and text. Select all people or just those required then click the generate icon. The Tasks will be generated as part of the TriLine GRC Monitor New Tasks processing.

Generate AdHoc Accountability Sign-off Tasks

Due Date 16/04/2021 **As At** 07/04/2021 **First Reminder** 14 **Second Reminder** 0

Outcome Yes / No I acknowledge that my Accountabilities are correct.

Task Please review your accountabilities and complete the acknowledgement.

DESIGN **HTML** **PREVIEW**

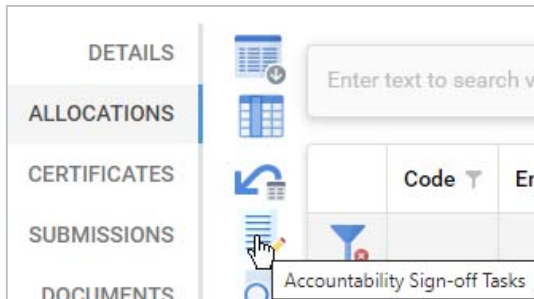
<input type="checkbox"/>	Person	Title	Entity
<input type="checkbox"/>	Rachel Sears	Finance Director (Lending)	The Firm (Lending)
<input type="checkbox"/>	Fiona Bass	Operations Director (Lending)	The Firm (Lending)
<input type="checkbox"/>	Theresa Cooper	Human Resources Director (Lending)	The Firm (Lending)
<input checked="" type="checkbox"/>	Patrick Beattie	Audit Director (Lending)	The Firm (Lending)
<input checked="" type="checkbox"/>	Fitzwilliam Darcy	Chief Executive Officer (Lending)	The Firm (Lending)
<input type="checkbox"/>	Simon Forster	Chief Risk Officer (Lending)	The Firm (Lending)
<input type="checkbox"/>	Robert Walker	Chairman of the Board (Lending)	The Firm (Lending)
<input type="checkbox"/>	Pete Torrance	Head of Ops Risk (Lending)	The Firm (Lending)
<input checked="" type="checkbox"/>	Melissa Gallimore	Compliance Director (Lending)	The Firm (Lending)
<input type="checkbox"/>	Take Action	Audit Director (Responsible)	The Firm (Responsible)

If a person has Accountability within multiple Entities, they will appear multiple times in the list above and a separate Task would be generated for each Entity.

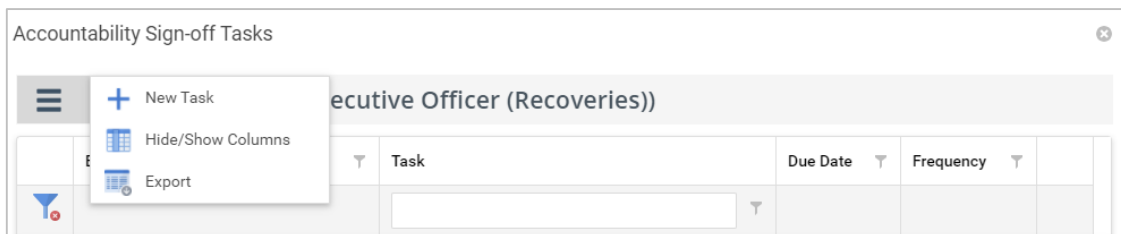
TriLine GRC V3.3 — New Features

Cyclical Tasks

You can setup cyclical Tasks from the Accountable People page.



Select New Task from the page menu or edit an existing Task.



Enter the Task details as required.

A screenshot of the 'New Task' form for Scott Collin (Chief Executive Officer (Recoveries)). The form has a title bar 'New Task for Scott Collin (Chief Executive Officer (Recoveries))'. It includes fields for Status (Active), Entity (The Firm (Recoveries)), As At Date, Outcome (Yes/No), and Task (I acknowledge that my Accountabilities are correct.). Below the Task field is a rich text editor with a toolbar and a text area containing 'Please review your accountabilities and complete the acknowledgement.'. At the bottom, there are tabs for DESIGN, HTML, and PREVIEW. Below the tabs are radio buttons for Date Calculation (Specific date, Day of week, Working day), a Frequency dropdown (Monthly), a Next Due dropdown, and a checkbox for 'Last working day of the period'. At the very bottom, there are input fields for Reminder 1st (14) and 2nd (0) days before Due Date.

The Task will be generated by the TriLine GRC Monitor New Tasks processing.

TriLine GRC V3.3 — New Features

Generated Tasks

The person will receive an email as normal, and the Task will appear on the My Summary page.

Hello Fitzwilliam Darcy,

The following are scheduled for completion by you in the near future:

[Login ...](#)

	Reference	Task	Due	Position
SMCR Sign-off Task	The Firm (Lending) SMCR Accountability Sign-off Task To complete this Task click here . To Express complete this Task click here ('I acknowledge that my Accountabilities are correct.' is True or Yes, no attachment required and no comment required).	Please review your accountabilities and complete the acknowledgement.	16/04/2021	Chief Executive Officer (Lending)

The items above are due for completion by the date(s) shown.
When you have completed the tasks, use the link above to record the completion in TriLine GRC.

Thank you,
Triline GRC Administrator Demo09

Note: Express Complete option will appear if configured.

CURRENT TASKS

Page 1 of 1 (1 items) < 1 >

Page size: 10

Enter text to search all visible columns ...

Type	Number	Details	Due
SMCR Sign-off Task	SMCR	The Firm (Lending) Please review your accountabilities and complete the acknowledgement.	16/04/2021

Page 1 of 1 (1 items) < 1 >

Page size: 10

TriLine GRC V3.3 — New Features

Completing the Task

Enter the details of the completion as required.

Sign-off Accountability

DETAILS

STATEMENT OF RESPONSIBILITY

Person: Fitzwilliam Darcy

Entity: The Firm (Lending)

Task: Please review your accountabilities and complete the acknowledgement.

Actioned On: 07/04/2021

Due Date: 16/04/2021

Accountability As At: 07/04/2021

Actioned By: Chief Executive Officer (Lending)

Outcome: I acknowledge that my Accountabilities are correct.

Yes

Comments:

Page 1 of 1 (1 items)

< 1 >

Page size: 5

	Comment
<div><div></div><div></div></div>	All correct

The Statement of Responsibility as at the Accountability date is available on the second tab.

Sign-off Accountability

DETAILS

STATEMENT OF RESPONSIBILITY

Name of individual

Fitzwilliam Darcy

Name of firm

The Firm (Lending)

Firm Reference Number

1230855

Type of firm

Limited

As At

07/04/2021

Senior Manager Functions

Function: SMF1

Effective Date: 03/04/2017

Description: Chief Executive

Function: SMF3

Effective Date: 01/01/2019

Description: Executive Director

Prescribed Responsibilities

Prescribed Responsibility: A

Effective Date: 13/04/2016

Description: Responsibility for the firm's performance of its obligations under the senior management regime

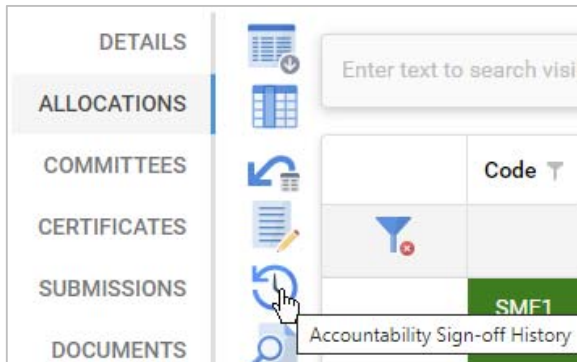
Overall Responsibilities

No Overall Responsibilities allocated

TriLine GRC V3.3 — New Features

Sign-off History

The Sign-off History for an individual will be available from the Accountabilities tab.



Accountability Sign-off History				
	Entity	Person	As At	Created
	The Firm (Lending)	Fitzwilliam Darcy	07/04/2021	07/04/2021

When the Task is signed-off, an annotated copy of the SoR is created. Click the view icon to display the SoR.

Statement of Responsibilities

Name of individual	Fitzwilliam Darcy
Name of firm	The Firm (Lending)
Firm Reference Number	1230855
Type of firm	Limited
As At	07/04/2021
Signed off: 07/04/2021	

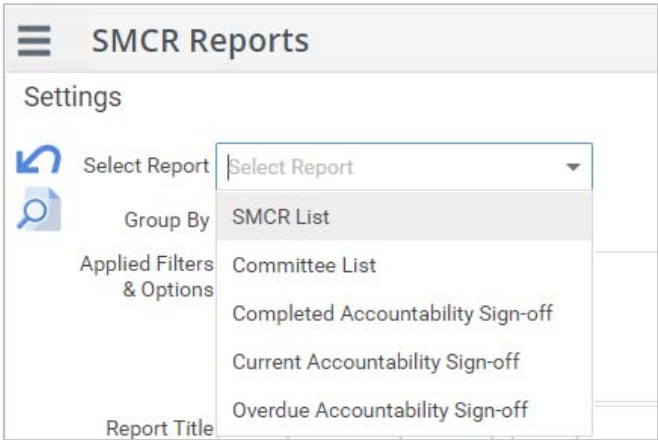
Senior Manager Functions

Function:	SMF1
Effective Date:	03/04/2017
Description:	Chief Executive
Function:	SMF3
Effective Date:	01/01/2019
Description:	Executive Director

TriLine GRC V3.3 — New Features

Reporting

A full suite of Task reports for Accountability Sign-off Tasks are available from the SMCR Reports page.



TriLine GRC V3.3 — New Features

Management Responsibilities Map

This is a new feature to generate the bulk of the information required for a Management Responsibilities Map (MRM). Select MRM from the SMCR Reports menu, then the Entity and As At Date.

Code	Title	Allocated To	Allocated Role	Joint
SMF1	Chief Executive	Fitzwilliam Darcy	Chief Executive Officer (Lending)	
SMF2	Chief Finance	Rachel Sears	Finance Director (Lending)	
SMF3	Executive Director	Fitzwilliam Darcy	Chief Executive Officer (Lending)	
SMF4	Chief Risk Officer	Simon Forster	Chief Risk Officer (Lending)	

Several sections are displayed, some with pre-populated data and some for free-text entry.

Section	Details
Overview	Populated with the MRM Overview (refer above)
Group Structure	Appears if there is more than one Entity defined. Has a 'place-holder' for the Entity Map and an optional free-text section for any details needed to be added.
Responsibilities	Has a 'place-holder' for the Accountability Map and an optional free-text section for any details needed to be added.
Senior Management Functions	Pre-populated with a summary of the SMF details. Has an optional free-text section for any details needed to be added.
Prescribed Responsibilities	Pre-populated with a summary of the Prescribed Responsibility details. Has an optional free-text section for any details needed to be added.
Overall Responsibilities	Pre-populated with a summary of the Overall Responsibility details. Has an optional free-text section for any details needed to be added.
Governance Structure	Has a 'place-holder' for the Committee Map and an optional free-text section for any details needed to be added.
Committee Summary	Pre-populated with Committee details.

TriLine GRC V3.3 — New Features

Committee by Person	Pre-populated with a list of people and the Committees they are involved in.
Statements of Responsibility	Pre-populated with the SoR for each person with Accountability for the Entity.
Further Commentary	A free-text area for any other information needed to be added.

Generating the MRM

You can select which sections you want to appear in the MRM by using the Tick Box next to each section. From the page menu select Create Document to create a DOCX file.

Management Responsibilities Map	
The Firm (Lending)	
As At 07/04/2021	
Contents	
Overview	2
Group Summary.....	3
Governance Structure.....	4
Committee Summary.....	5
Committees By Person.....	15
Senior Management Reporting Lines.....	17
Senior Management Responsibilities.....	18
Prescribed Responsibilities	19
Overall Responsibilities	21
Statements of Responsibility	22
Further Commentary.....	26

Note: The optional free-text fields will only appear if text has been entered. The Maps will not appear automatically.

Using the MRM

You can modify the generated document or cut and paste the content into another document. To add a Map into the MRM simply generate a PNG version from the Map Output controls (see above) and insert into the document as required.

TriLine GRC V3.3 — New Features

3rd Party Attestations

Many organisations have contracts with external parties where they are required, either by law or by policy, to regularly ensure that the external party is operating within statutory guidelines or other defined parameters.

3rd Party Attestations is an optional extension to the TriLine GRC Contracts Module enabling your organisation to create 3rd party surveys, questionnaires and attestations then release them directly to your suppliers, agents, brokers and partners.

Key benefits

1. Custom questionnaires can be built by members of your staff in just a few minutes - saving time.
2. All 3rd party responses are *directly* captured within TriLine GRC - enabling you to demonstrate 3rd Party Compliance *in just a couple of clicks*.
3. Our sophisticated task engine enables you to 'manage by exception' - sending automated reminders, and escalations, if response deadlines are not met.
4. Link the Contract to related Risk and Compliance obligations to ensure appropriate reviews and decisions are taken in a timely manner.

Overview

For each Attestation Type you create a form in a similar manner to a Register or Event. One Attestation Type can be used in multiple Contracts and a Contract can have multiple Attestation Types. In the Contract, you select the Attestation Type(s) you require then create 'Tasks' for one or more Contact linked to the Contract With. The Task will have a cycle, due date and reminder days. At the appropriate time, an email will be sent to the Contact with a link to a special portal to complete the Attestation.

Note: The portal is not part of your TriLine GRC site. For added security you can also include the optional SMS authentication instead of the default email authentication. The Contact will need to have a mobile telephone number for this to be available.

The Contact will be able to partially complete the Attestation and return to it as many times as required. They will also be able to ask questions of the Contract Owner through the portal interface. Once the Attestation is completed and submitted, the Contract Owner will be able to review the submission then either accept it or return it to the Contact to provide more information or clarify existing answers.

Over time you may need to change the information gathered in the Attestation (e.g. changes in legislation). You will be able to have multiple versions of an Attestation and history will show the version at the time of submission.

Sample Timeline

1. Create an Attestation.
2. In the Contract record, add the Attestation and select Contacts.
3. On the reminder date an email is sent to the Contact.
4. Contact starts to complete the Attestation.
5. Contact requests more information regarding the Attestation.

TriLine GRC V3.3 — New Features

6. The Contract Owner receives an email with the request and creates a response that is sent to the Contact (within TriLine GRC).
7. The Contact completes and submits the Attestation.
8. The Contract Owner reviews the completed Attestation. If more information is required, the Contact is notified.
9. The Contact updates and submits the Attestation.
10. The Contract Owner reviews the completed Attestation. If the Attestation is Accepted, the Contact is advised of the acceptance and provided with a PDF copy of the Attestation.

Lifecycle

The lifecycle of an Attestation goes through several pre-defined Statuses.

Status	Description	Completed?
Issued	An email has been sent to the Contact inviting them to complete the Attestation.	No
In Progress	The Contact has started to complete the Attestation.	No
Request	The Contact has requested more information from the Contract Owner.	No
For Review	The Contact has submitted the Attestation.	No
Accepted	The Attestation has been reviewed and accepted by the Contract Owner.	Yes
Not Accepted	The Attestation has been reviewed and not accepted by the Contract Owner. It has been returned to the Contact for rework.	No
Rejected	The Attestation has been reviewed and rejected by the Contract Owner. It has not been returned to the Contact for rework.	Yes
Will Not Be Completed	The Attestation will not be completed by the Contact.	Yes

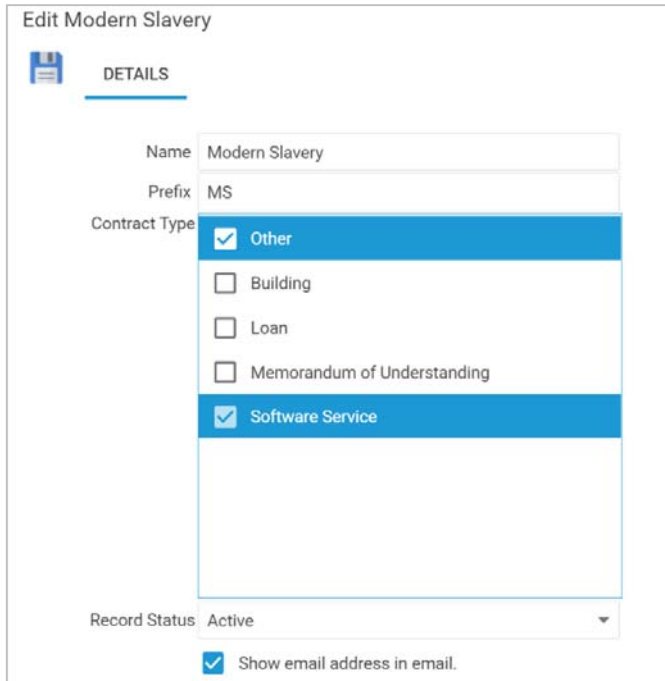
Communication

All communication between the Contract Owner and the Contact is achieved by emails generated within TriLine GRC to ensure a complete audit trail. The Contract Owner will be CC'd on any outbound email (apart from the initial notification).

For each Attestation Type you will be able to specify the default text used in the email subject and body depending on the 'Status' of the Attestation completion process. The email body will also include other information about the Attestation (e.g. a link to the Attestation completion portal).

TriLine GRC V3.3 — New Features

Defining an Attestation Type

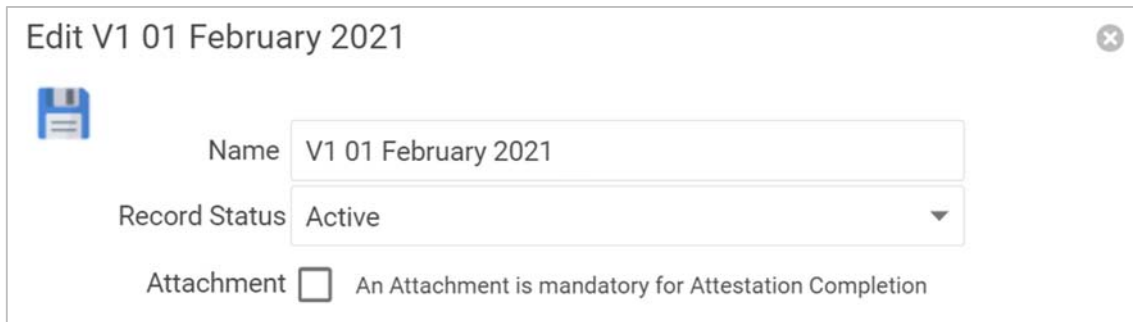


Each Attestation Type will have the following:

- Name – the name for the Type
- Prefix – attached to the number of the completed Attestation
- Contract Type – one or more Contract Types where this Attestation Type may be used
- Record Status – Active or Inactive
- Show Email – if selected the email address of the Contract Owner will be included in emails to the Contact.

Note: The Contract Owner email is not required for communication with the Contact from within the Attestation Portal.

Defining an Attestation Form



A blank Form is automatically created when a Type is first created (the default Name will be 'Version 1').



You can require an Attachment to be added to the Attestation before it can be submitted for review.

The Form Fields are created in the same manner as Event or Register Form Fields.

TriLine GRC V3.3 — New Features

Contract Entity


The Contract Entity Name and Logo will be displayed on the Attestation Portal and used in the email.

Contract Entities		
Page 1 of 1 (4 items) < 1 > Page size: 15 ▼		
Enter text to search all visible columns ...		
	Entity Name	Entity Logo
	Sample Company Ltd	 Sample Company

Request for Contract Attestation to be completed



default@trilinegrc.com

To  jjett@actcon.com

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

Hello Joan Jett,

As part of our due diligence, please complete the attestation in the link below.

Click [here ...](#) to complete the Modern Slavery Attestation.


Due Date: 31/05/2021

Thank you,
Arthur Boyd
Sample Company Ltd
a.boyd@trilinegrc.com

TriLine GRC V3.3 — New Features

Attestation Portal

The Attestation Portal will look similar to this (with the optional SMS authentication):

 **Sample Company**

Sample Company Ltd


We have sent a security code to your mobile XXX-XXX-2551.

Please enter security code:


The Security Code will include the Entity Name.



Once verified, the Attestation will appear.

 **Sample Company**

Sample Company Ltd

 **Modern Slavery**

Attestation [Attachments >](#)

Q1: How much visibility does your organisation have over your supply chain?

High You have mapped the full supply chain for key products and services used by your organisation and have identified key suppliers at all levels of your supply chain.

Moderate You have identified major Tier One suppliers and have partially or fully mapped the supply chains for key products and services of your supply chain.

Developing You have identified major Tier One suppliers. You have very limited or no visibility of your supply chains below the Tier One level.

Answer:* ☐ High ☐ Moderate ☐ Developing

More: Please explain your answer to Q1

Details:*

Q2: Does your organisation have a policy or policies in place to deal with modern slavery?

If the answer is yes, please provide details of, or a copy of, the policy or policies, including information on whether your organisation has a system to monitor compliance with these policies. If the answer is no, please provide information on what your organisation is doing, or plans to do, to manage modern slavery risks.

Answer:* ☐ Yes ☐ No

Details:

TriLine GRC V3.3 — New Features


Buttons


Button	Action
REQUEST INFORMATION	Click this to ask a question of the Contract Owner.
REQUEST INFORMATION / REVIEW RESPONSE	Click to ask a question of the Contract Owner or review any response received.
COMPLETE LATER	Click this to pause completion of the Attestation.
COMPLETE NOW	The Attestation is completed and will be submitted for review.

Request Information Cycle

When the Contact clicks the Request Information button, they are prompted to enter the question.

More Information



Click the 'Request Information'  icon to ask a question or request more information. When a response is returned to you, you will receive an email, and the response will also display here.

When they save the question, an email will be sent to the Contract Owner.

To see this task click [here ...](#)

The details are:

Attestation: Modern Slavery - V1 01 February 2021

Contract: Accounting Software


Contract With: ACT Conferencing

Actioned By: Joan Jett

Requested At: 19/05/2021 2:12:19 PM

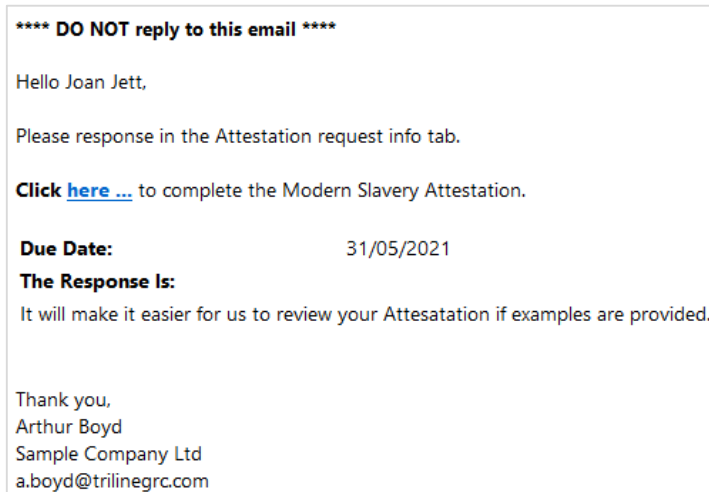
Requested Info:
Do I need to provide examples for Q1?

The Contract Owner can view the question and respond from the My Attestations tab on the My Summary page. **Note:** Clicking the link in the email will automatically open the Attestation on the My Summary page.

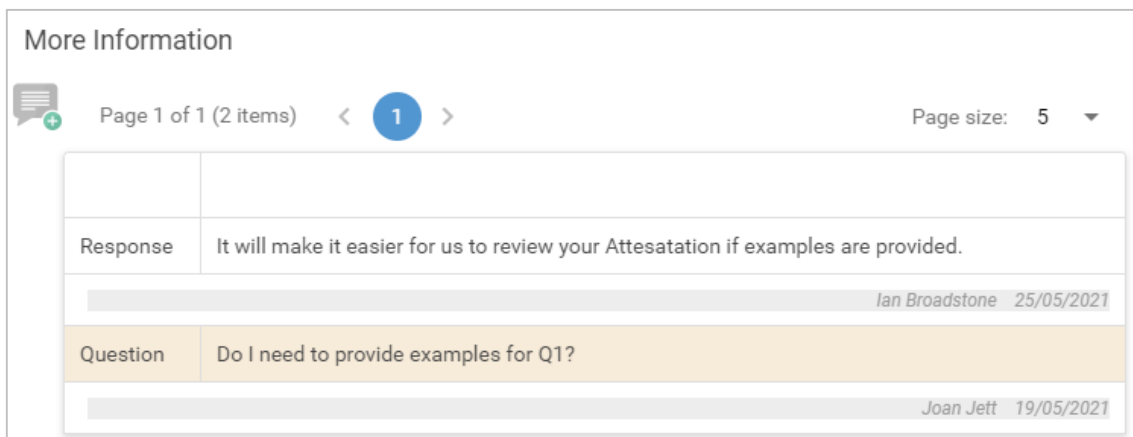
My Summary					
<div> <div>CURRENT TASKS</div> <div>MY ATTESTATIONS</div> <div>MY EVENTS</div> <div>MY REGISTERS</div> </div>					
<div> <div>Page 1 of 1 (1 Items)</div> <div>< 1 ></div> <div>Page size: 10</div> </div>					
Contract	Contract With	Contact	Attestation	Status	
Accounting Software	ACT Conferencing	Joan Jett	Modern Slavery-V1 01 February 2021	Request	

TriLine GRC V3.3 — New Features

The response will be sent via email to the Contact.

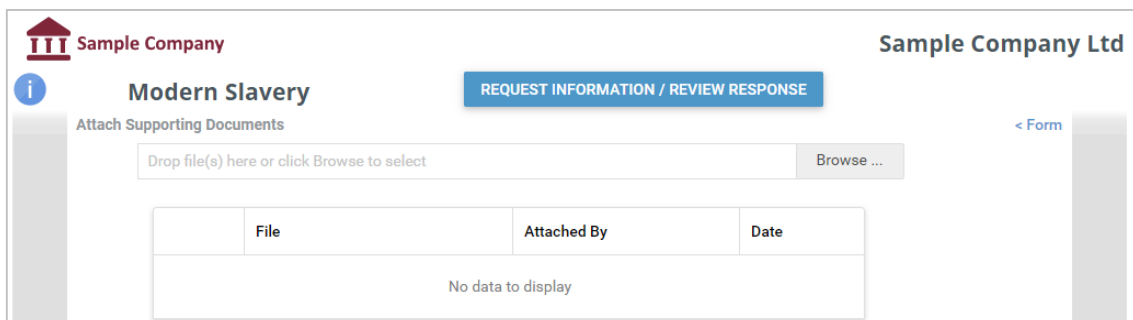


They can also review all communications by clicking on the Request Information / Review Response button.



Attachments

Attachments (e.g. supporting documents) can be added by clicking the Next arrow or the Attachments link at the top of the page.



TriLine GRC V3.3 — New Features

Reviewing an Attestation

When the Contact completes the Attestation, the Contract Owner will receive an email.

To review the completed Attestation, click on the link in the email or open the Attestation from the My Attestations tab on the My Summary page.

When the review is completed, click the appropriate button (refer Lifecycle Status above).

If the Attestation is not accepted, the Contract Owner will be prompted to supply a comment that will be sent to the Contact.

Attestation

Modern Slavery - V1 01 February 2021

Contract: Accounting Software

By: Joan Jett

Due Date: 31/05/2021

Status: For Review

Contract With: ACT Conferencing

Actioned On: 25/05/2021

ATTESTATION

REQUESTED INFO

ATTACHMENTS

How much visibility does your organisation have over your supply chain?

High

Moderate

Developing

You have mapped the full supply chain for key products and services used by your organisation and have identified key suppliers at all levels of your supply chain.

You have identified major Tier One suppliers and have partially or fully mapped the supply chains for key products and services of your supply chain.

You have identified major Tier One suppliers. You have very limited or no visibility of your supply chains below the Tier One level.

Answer*

☒ High

☐ Moderate

☐ Developing

More

Please explain your answer to Q1

Details*

We are fully aware of our key suppliers.

Does your organisation have a policy or policies in place to deal with modern slavery?

If the answer is yes, please provide details of, or a copy of, the policy or policies, including information on whether your organisation has a system to monitor compliance with these policies. If the answer is no, please provide information on what your organisation is doing, or plans to do, to manage modern slavery risks.

Q2

Yes

☒ No

Details

We have no Policy in place as we don't deal with organisations that engage in modern slavery.

NOT ACCEPTED

ACCEPT

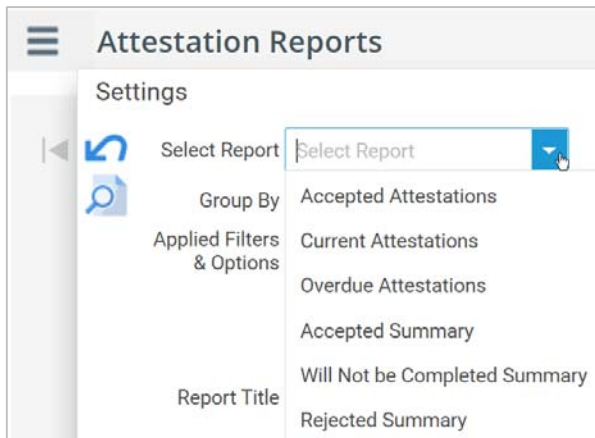
REJECT

WILL NOT BE COMPLETED

TriLine GRC V3.3 — New Features

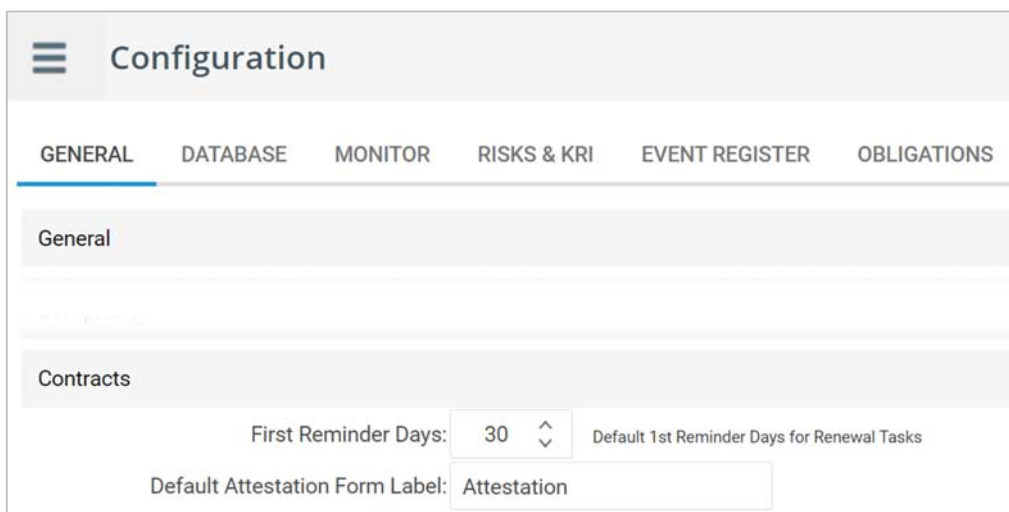
Reporting

A complete suite of reports is available for Attestations.



Configuration

The term 'Attestation' can be configured to suite your requirements. **Note:** This is a global setting that will affect all Attestation Types.



TriLine GRC V3.3 — New Features

Getting ready for v3.3

Upgrading to v3.3 can be arranged by contacting TriLine GRC Support to arrange a suitable date and time.