Version 3.3.0 New Features

May 2021

TriLine GRC V3.3 — New Features

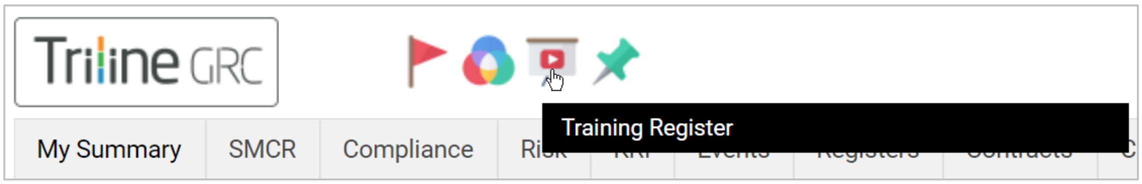
Table of Contents

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.



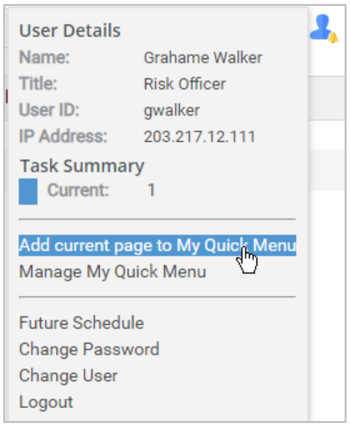
Please Note: On a page where grid layouts are available, the most recent layout will always apply.

Sample Usage:

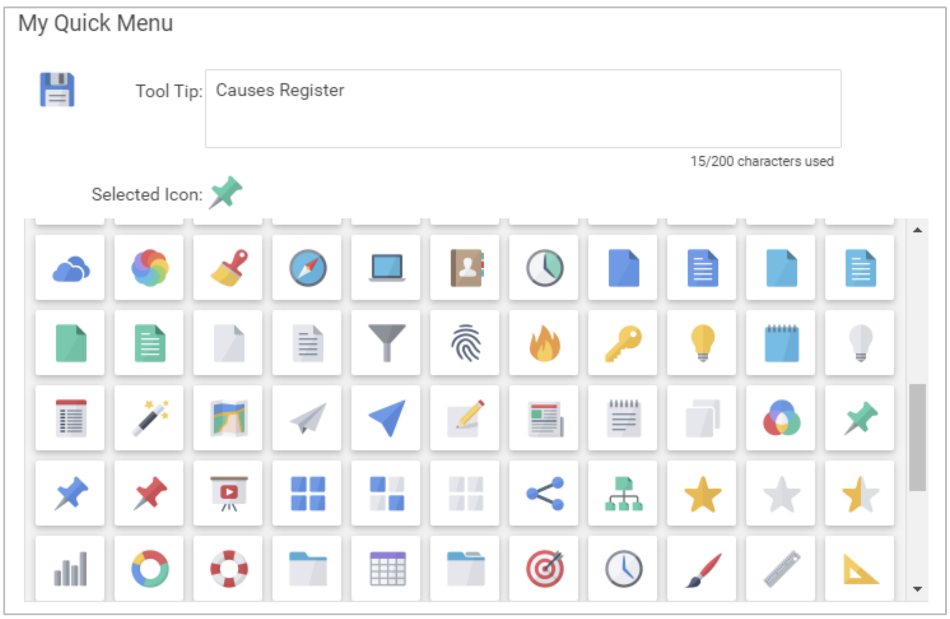
1. To display the records in an individual Register Type
2. To run a saved report (if not using Scheduled Reports).

Adding a new My Quick Menu item

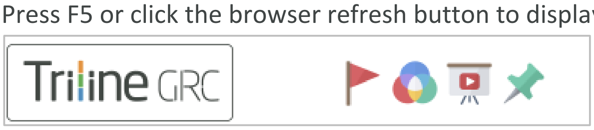
1. Navigate to the required page.
2. Select 'Add current page to My Quick Menu' from the User menu.



3. Enter a Tool Tip and select an icon.

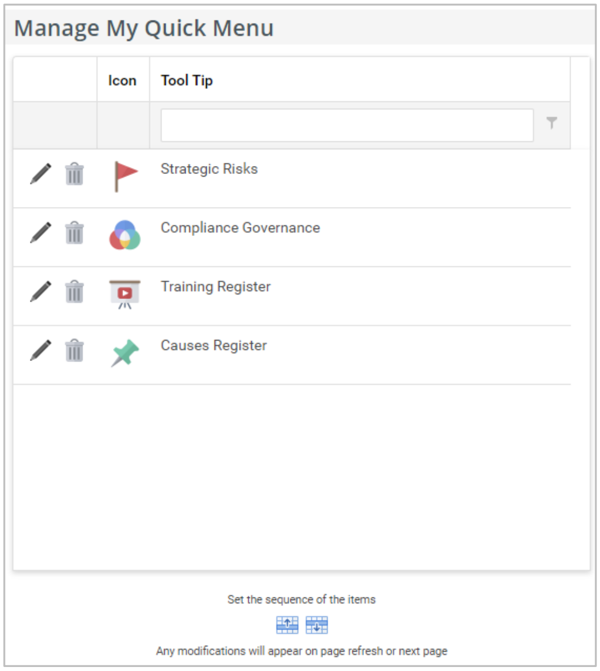


4. Press F5 or click the browser refresh button to display the menu.



Manage My Quick Menu

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

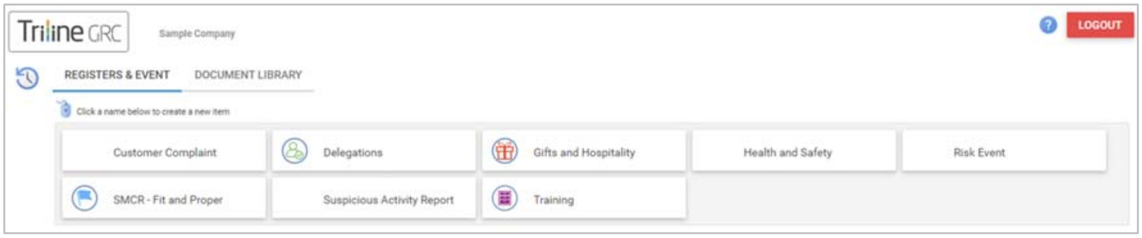


Edit the text or icon, remove unwanted items or change the sequence of the items.

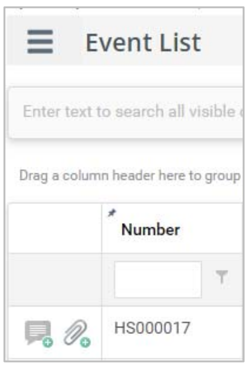
Interface

Portal

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



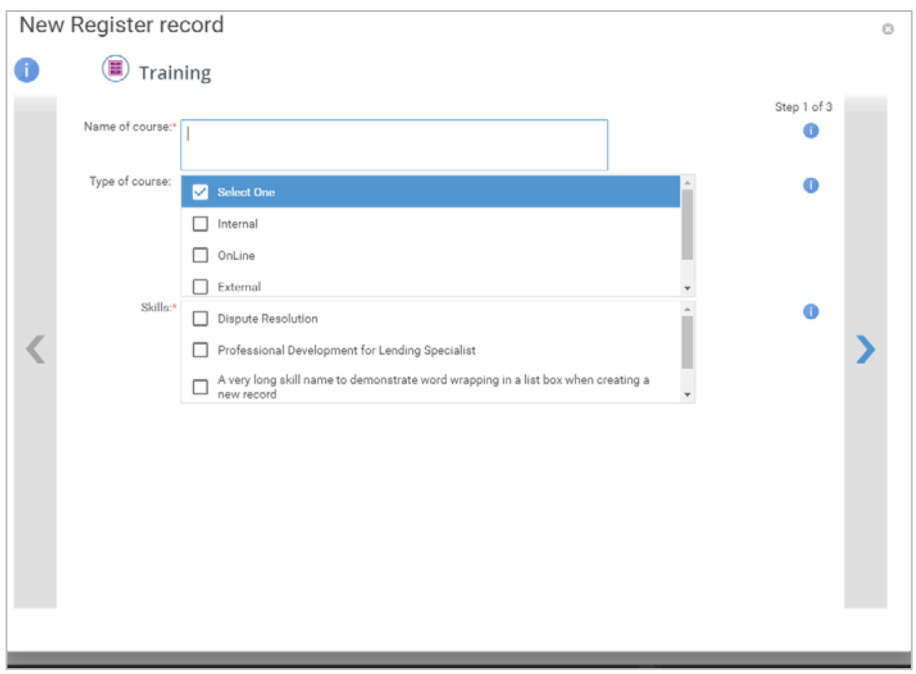
Add Note or Attachment to Event or Register



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.

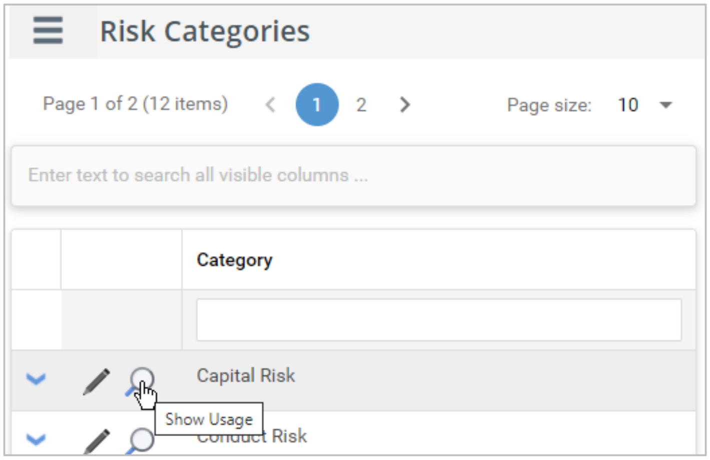
Multiline text fields will grow automatically as data is entered.

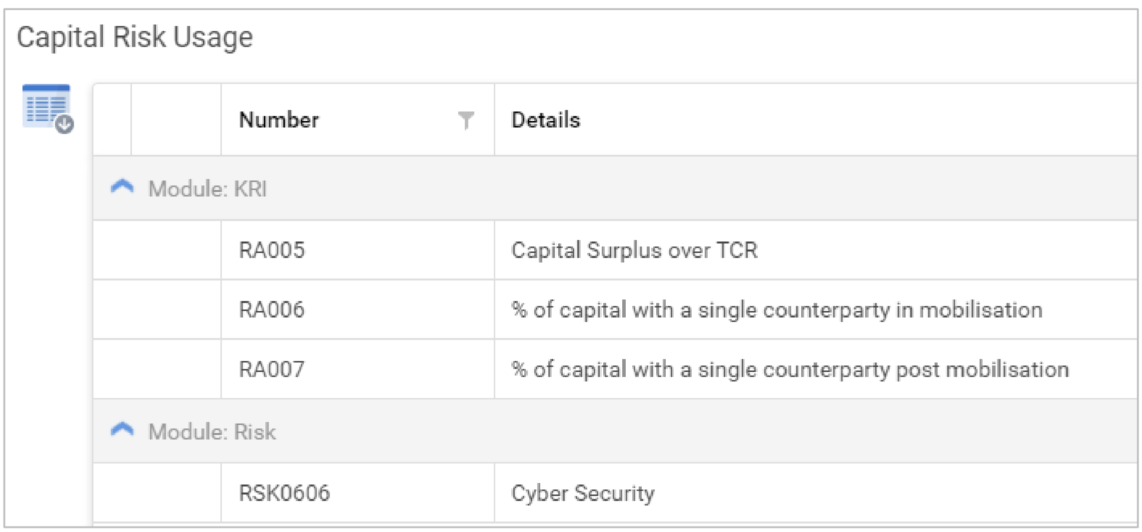
List Values Design

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

Risk Category

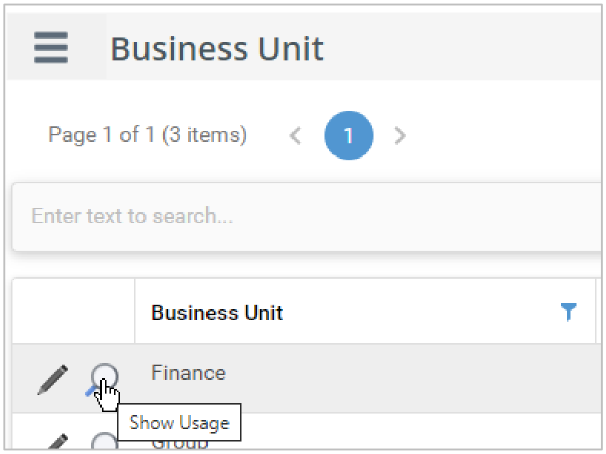
Risk Categories can be used in both Risk and KRI records. This new feature will show where a Category is used and allow export.

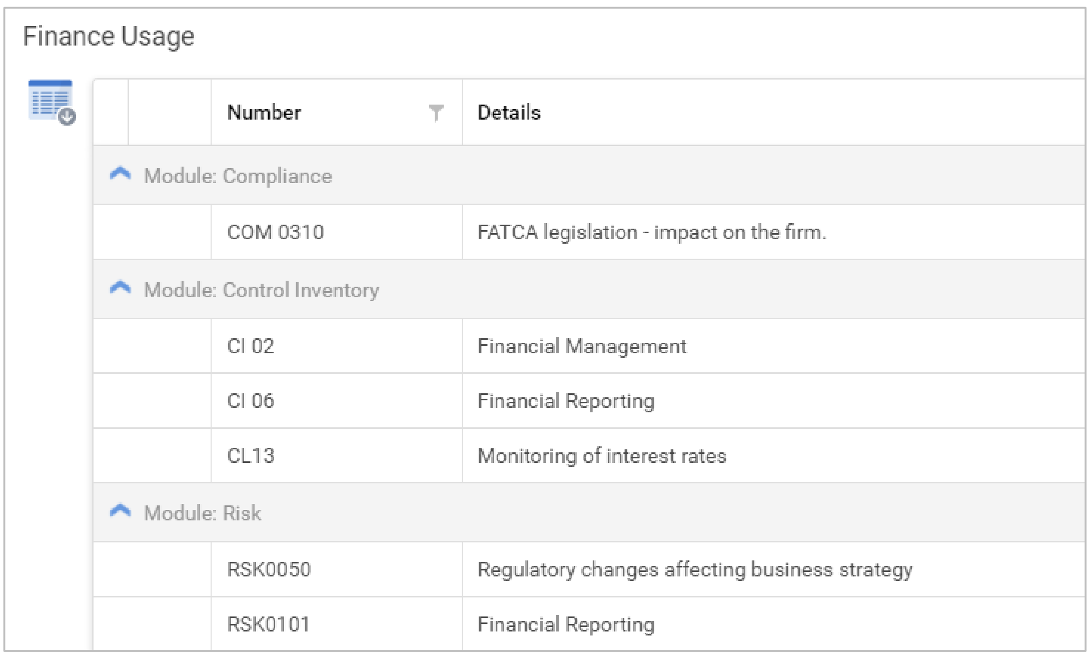




Business Unit

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



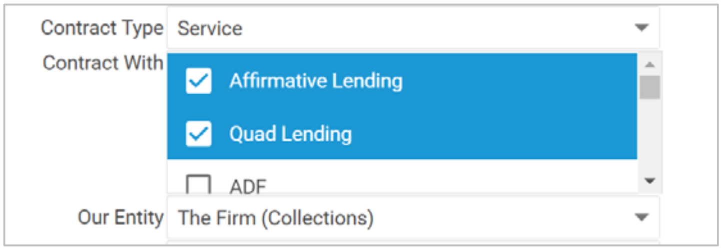

Finance Usage

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

Contracts

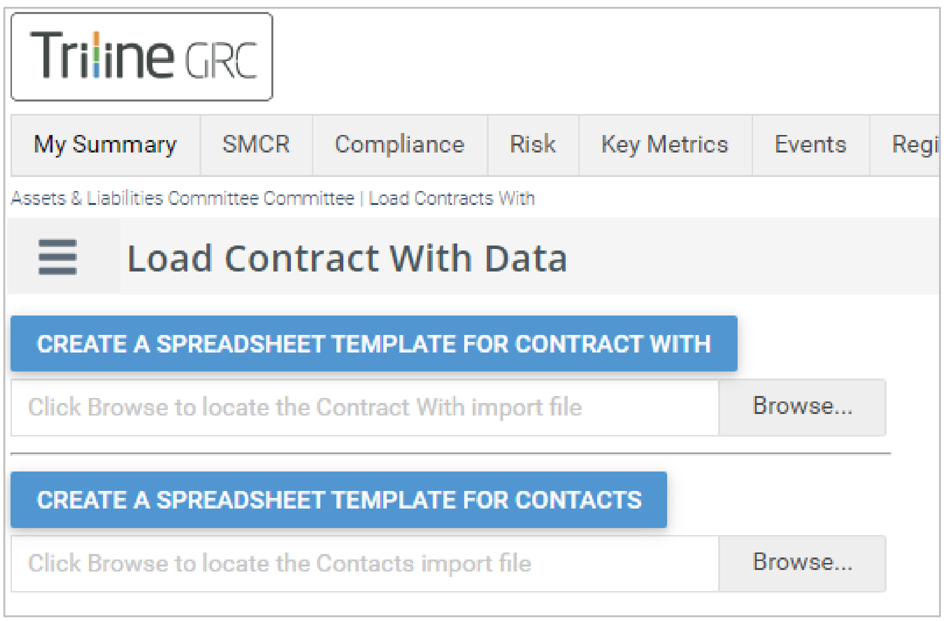
Multiple Contract With

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



Load Contract With Contacts

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



Events

Change of Manager

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

Event List Report

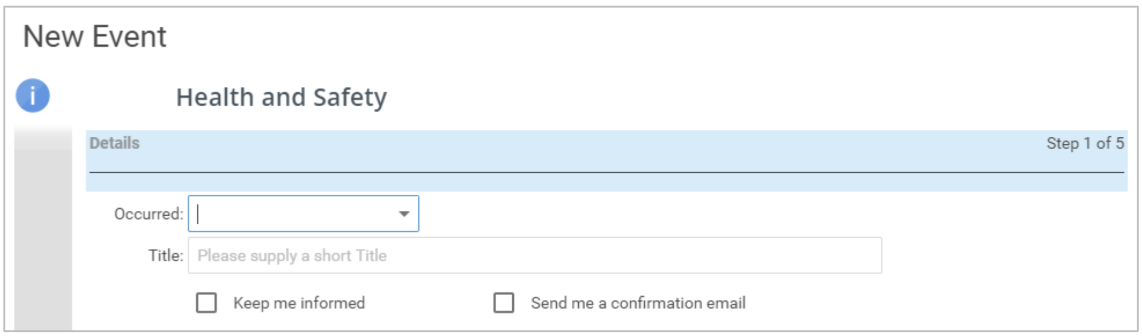
The Event Rating can now be used as a report filter.

Number and Currency Form Field Types

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

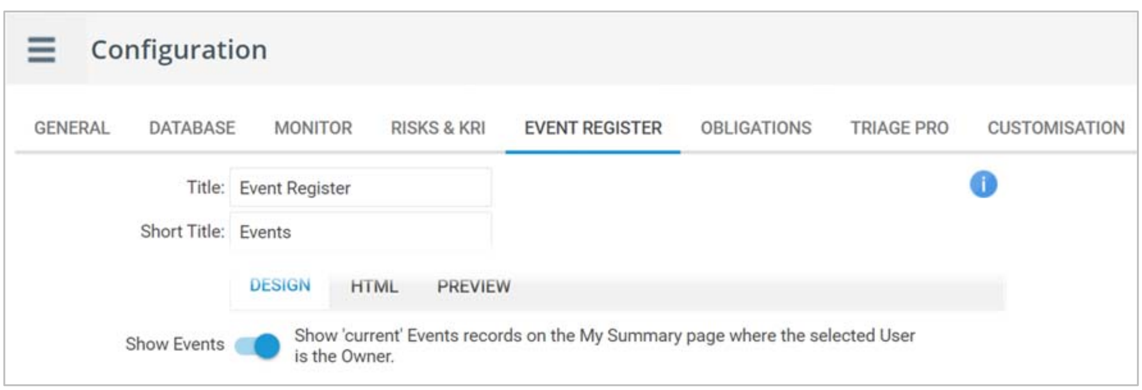
New Event

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.



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.



Registers

Link Register Records

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

Change of Manager

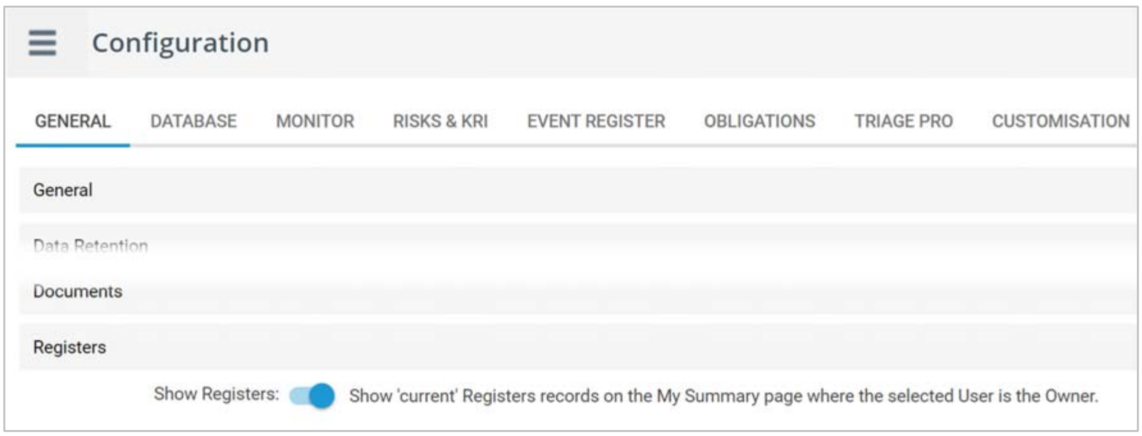
The email notification to the new Register Manager will include a direct link to the record.

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.

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	C
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.

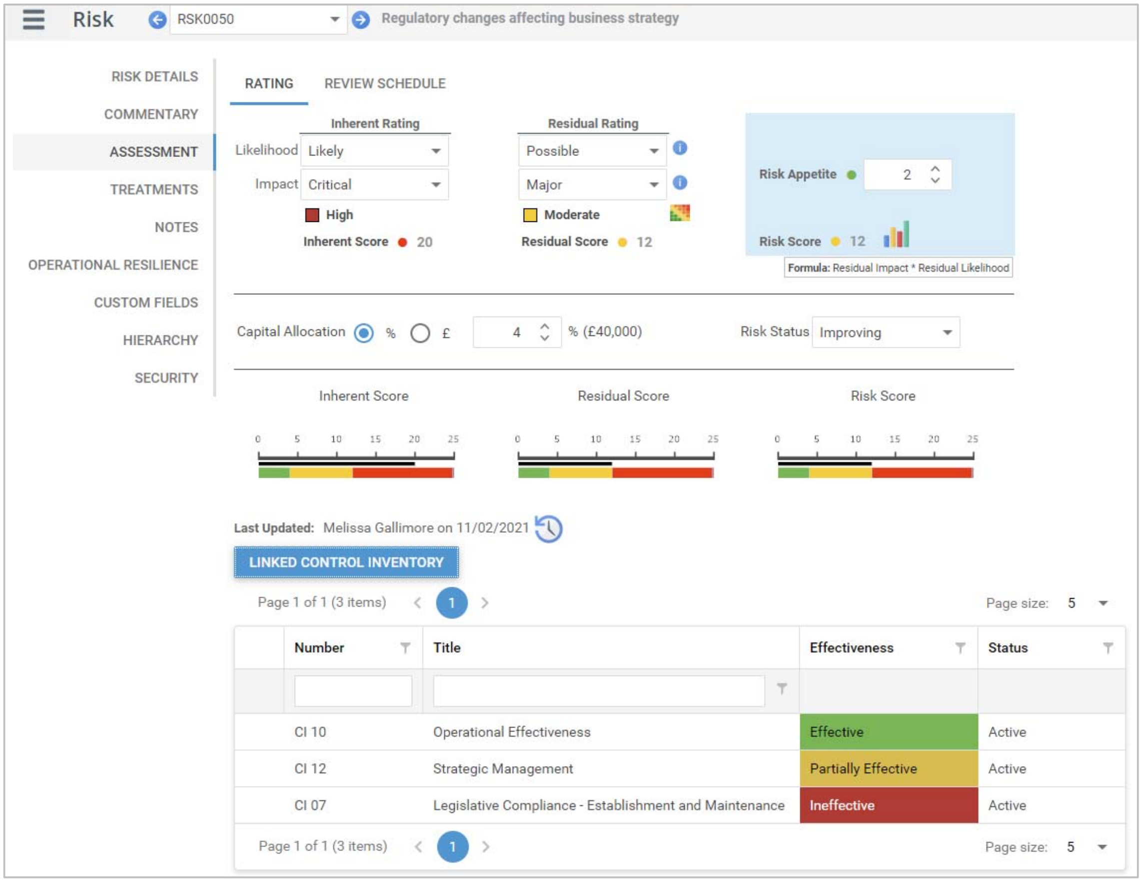
Tasks

Due Date change

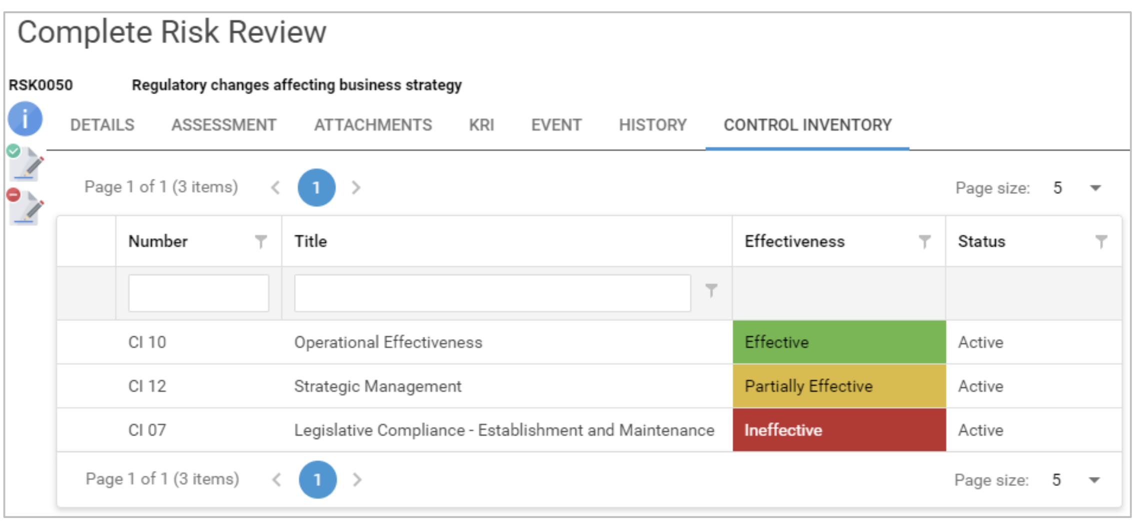
When the due date on a generated Task is changed, the second reminder date will also be reset (as long as it is in the future).

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.



The Linked Control Inventory button will toggle the visibility.

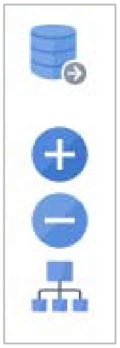


SMCR

Map Usage

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

View and Output



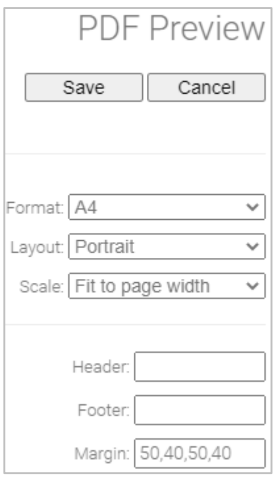
On the right side of the screen there are for buttons to control the view and output.

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



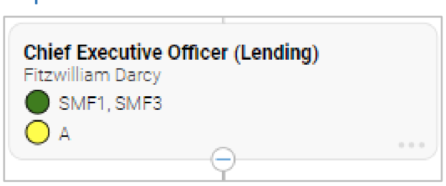
With the PDF Preview you can change the page size, layout and scale.

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



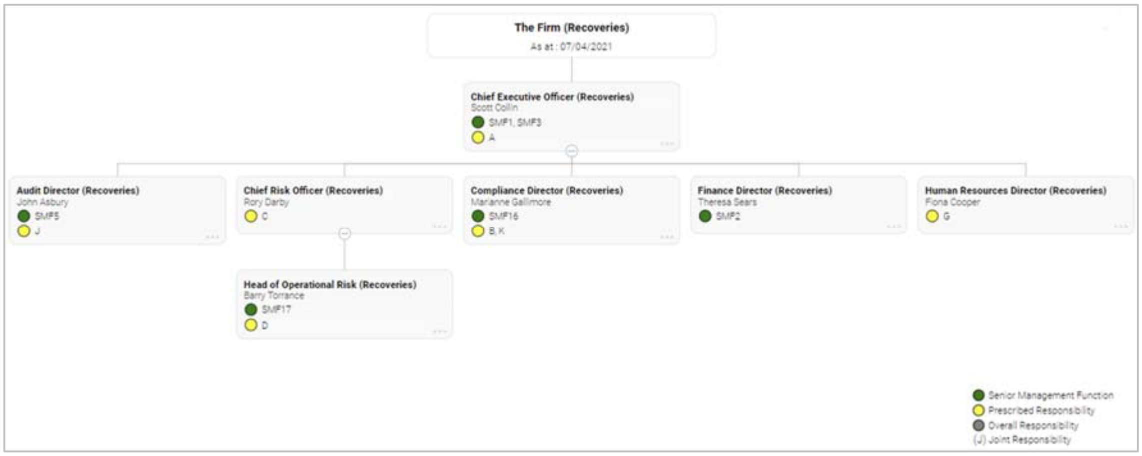
Each node in a Map will include an ellipsis (…) in the bottom right. One menu option from this on all Maps will allow the export of the Map from that point down.

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

High Level Export

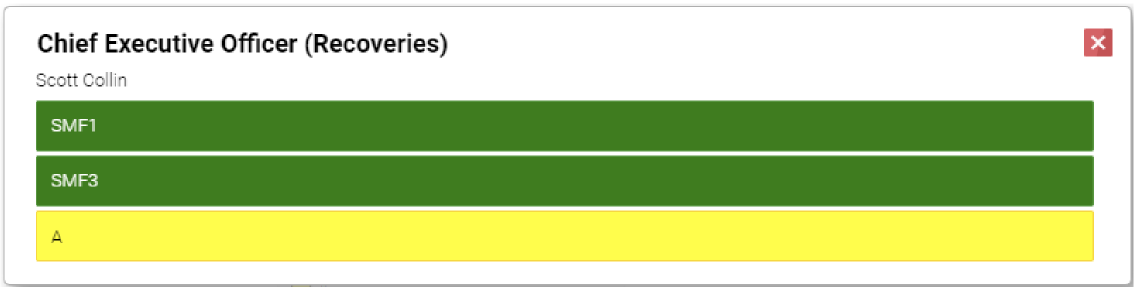
Each node in a Map with child nodes will include a minus character in the bottom border (see above). Clicking this will collapse all child nodes. Only the visible nodes will appear in any output.

Accountability Map

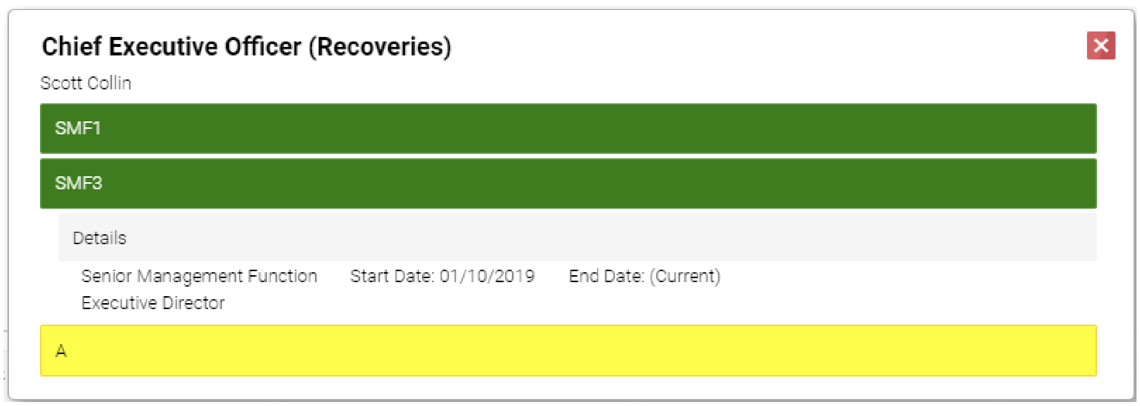


Accountability Details

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



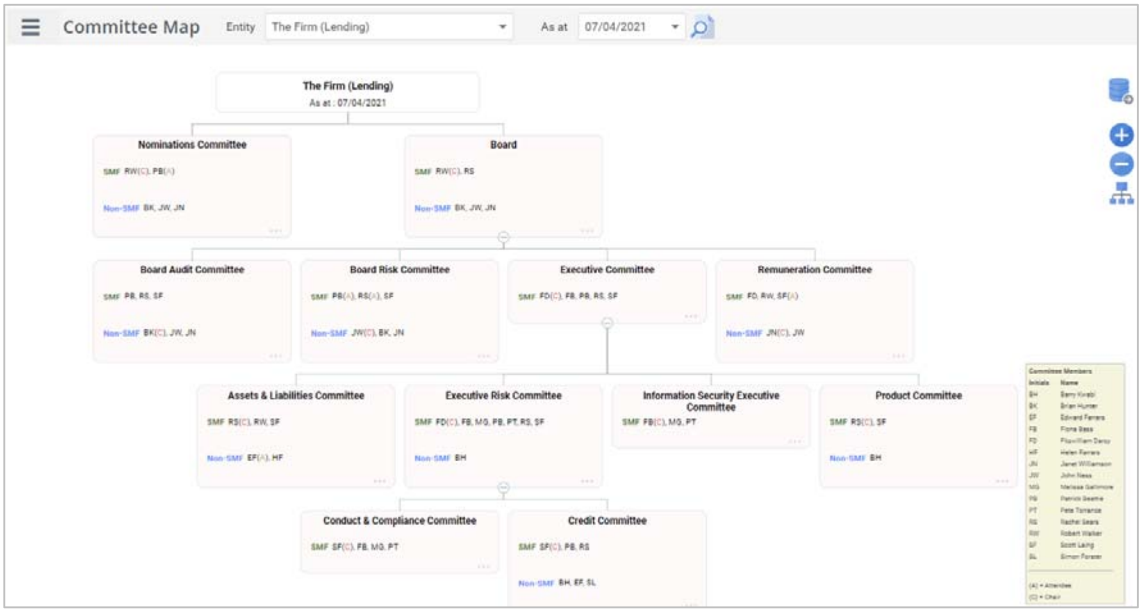
Click an element to display more information.



Person Details

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

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

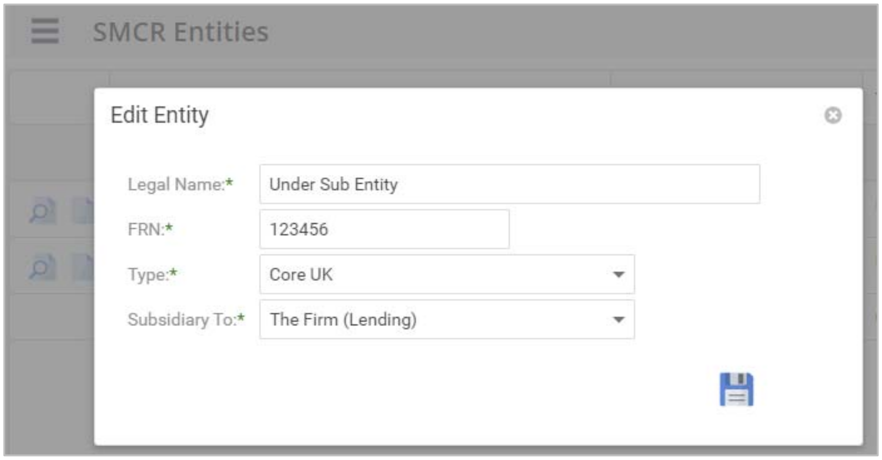
SMCR Entity Types

Entity Type	Entities
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.

Entity

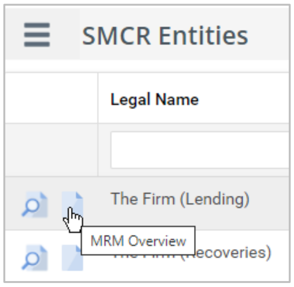
New Fields

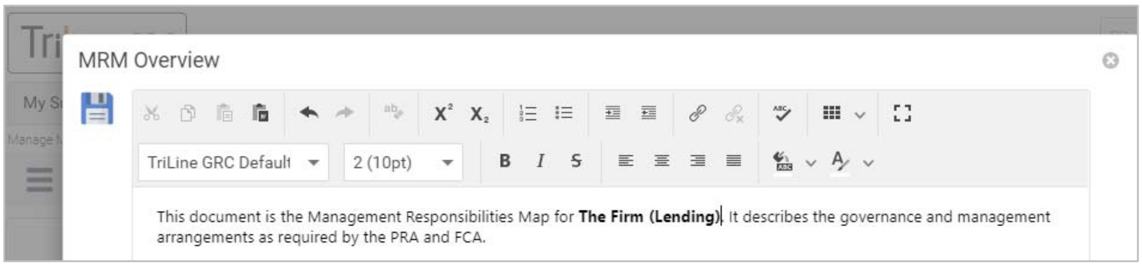


Two new fields are now available when editing an Entity – the Type (see above) and Subsidiary To. The Subsidiary To is used to create an Entity Map. The default for all Entities is 'Not a subsidiary'.

MRM Overview

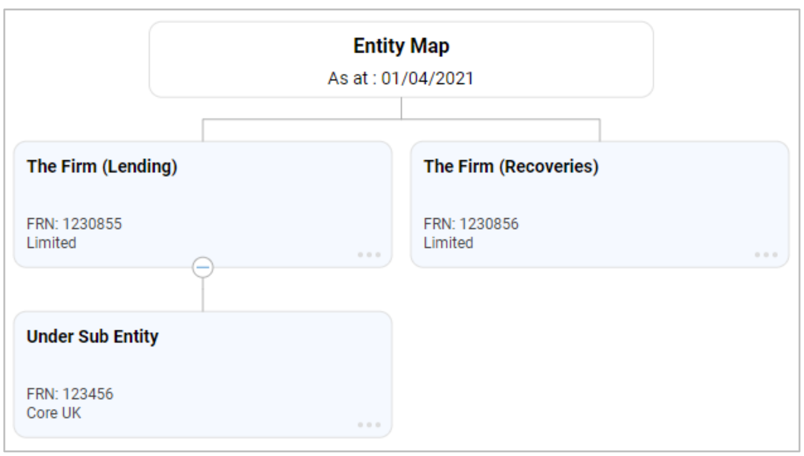
The MRM Overview field is optional. It will be used to pre-populate the pro-forma MRM now available (see below).



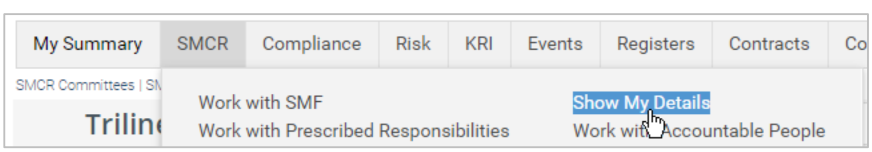


Entity Map

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



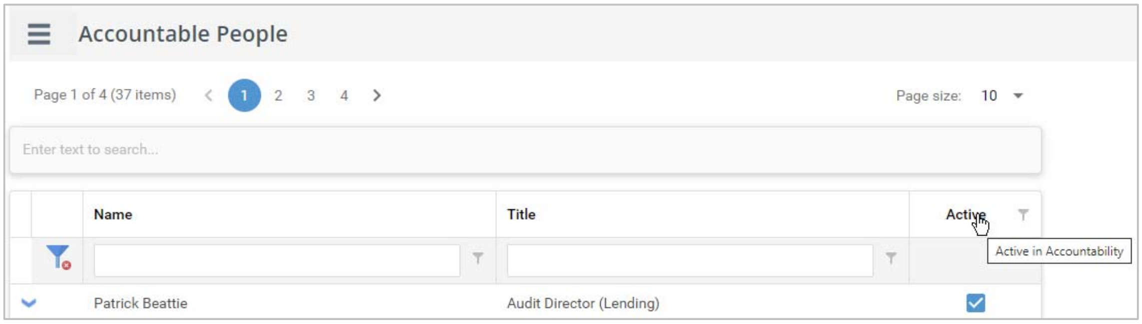
Show My Details



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

Accountable People

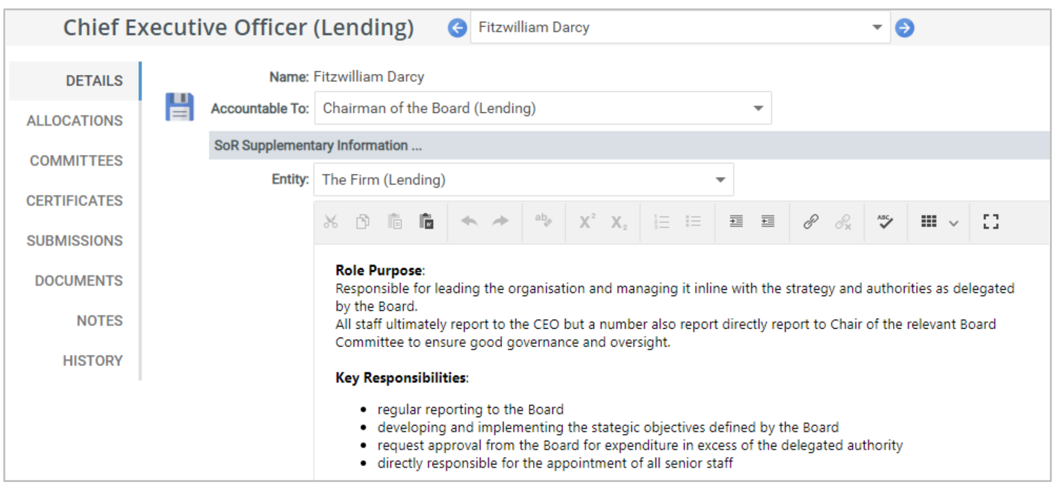
A new filter has been added to simplify the list of Accountable People.



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.

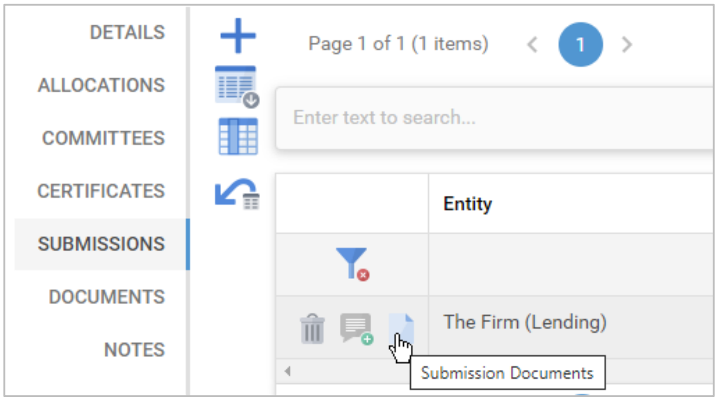
Accountable Person Details

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



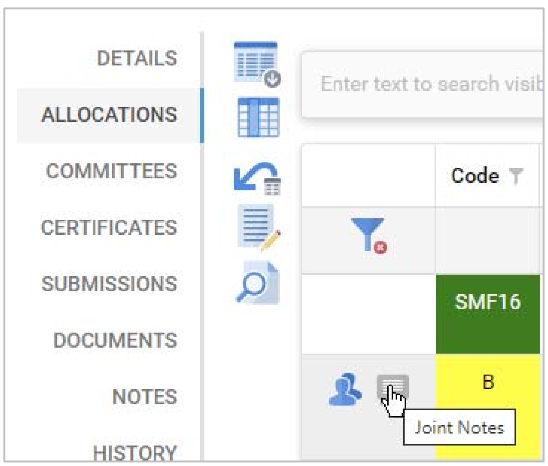
Submission Documents

New feature to load and view Submission documents.



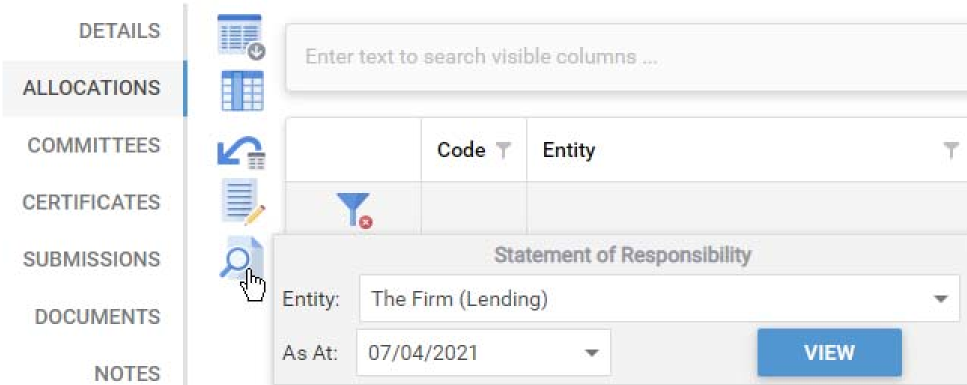
Joint Accountability Notes

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

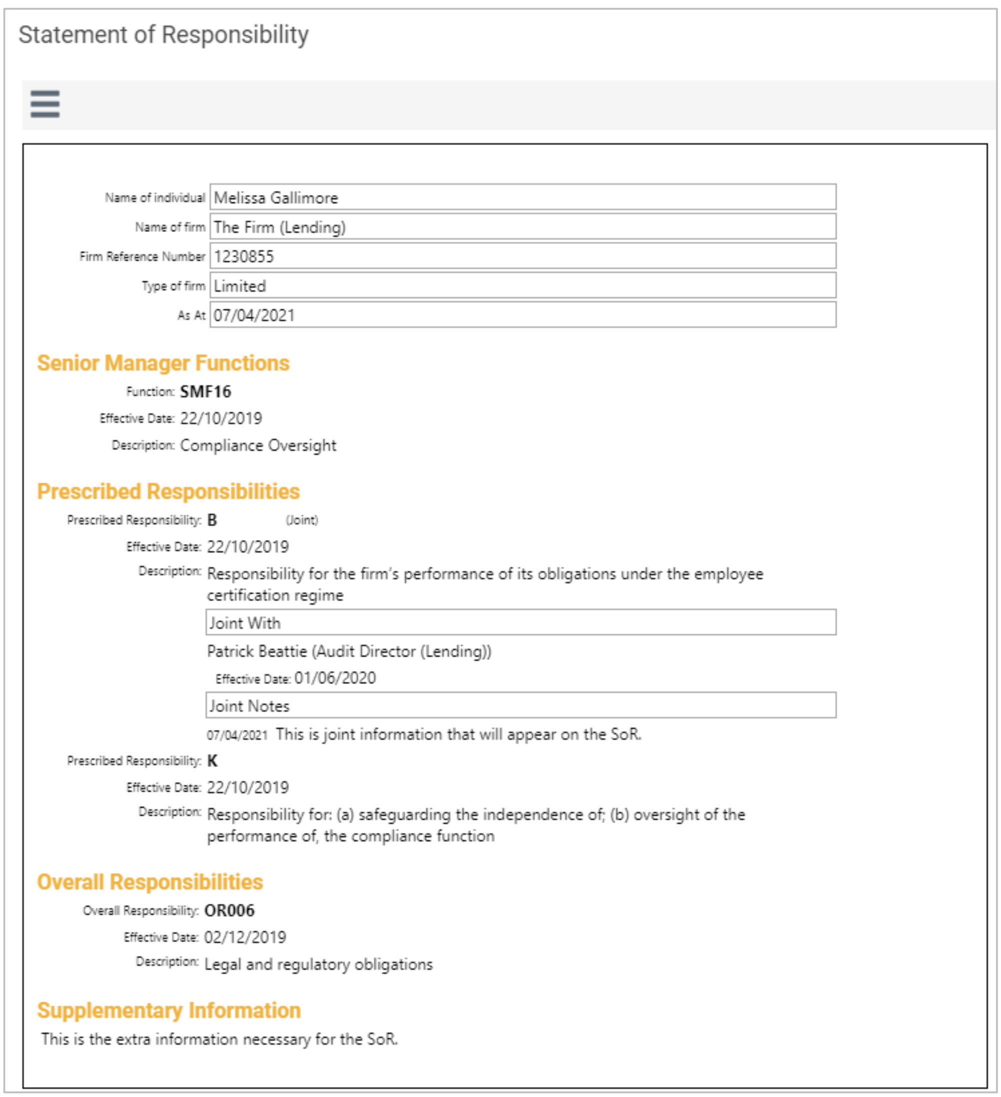


Statement of Responsibility

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 SoR will appear in a popup window.



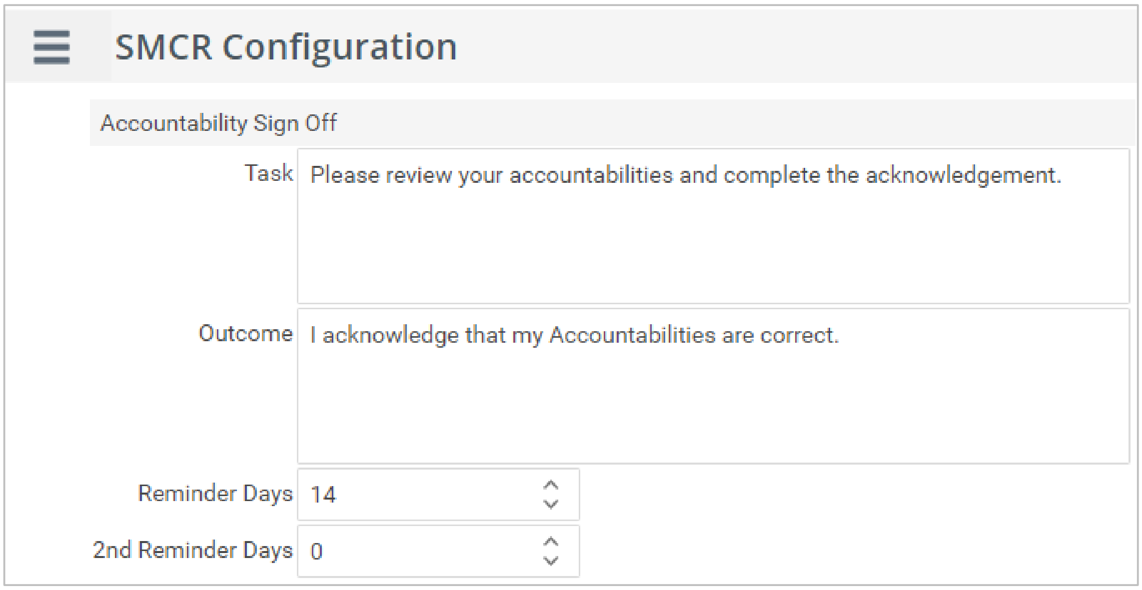
It is possible to create a DOCX or PDF version of the SoR from the page menu.

Accountability Sign-off Tasks

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

Configuration

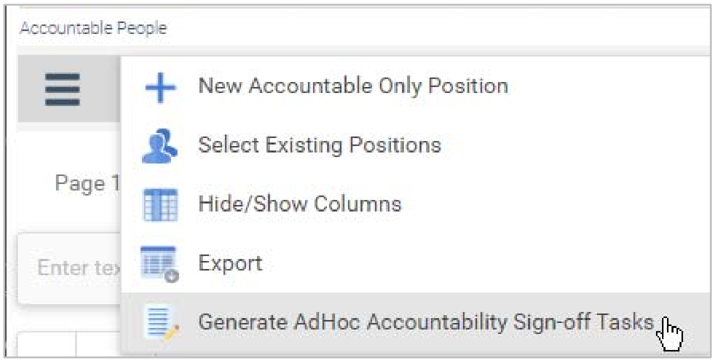
Define the default values for the generated Tasks on the SMCR Configuration screen (SMCR | Maintenance).



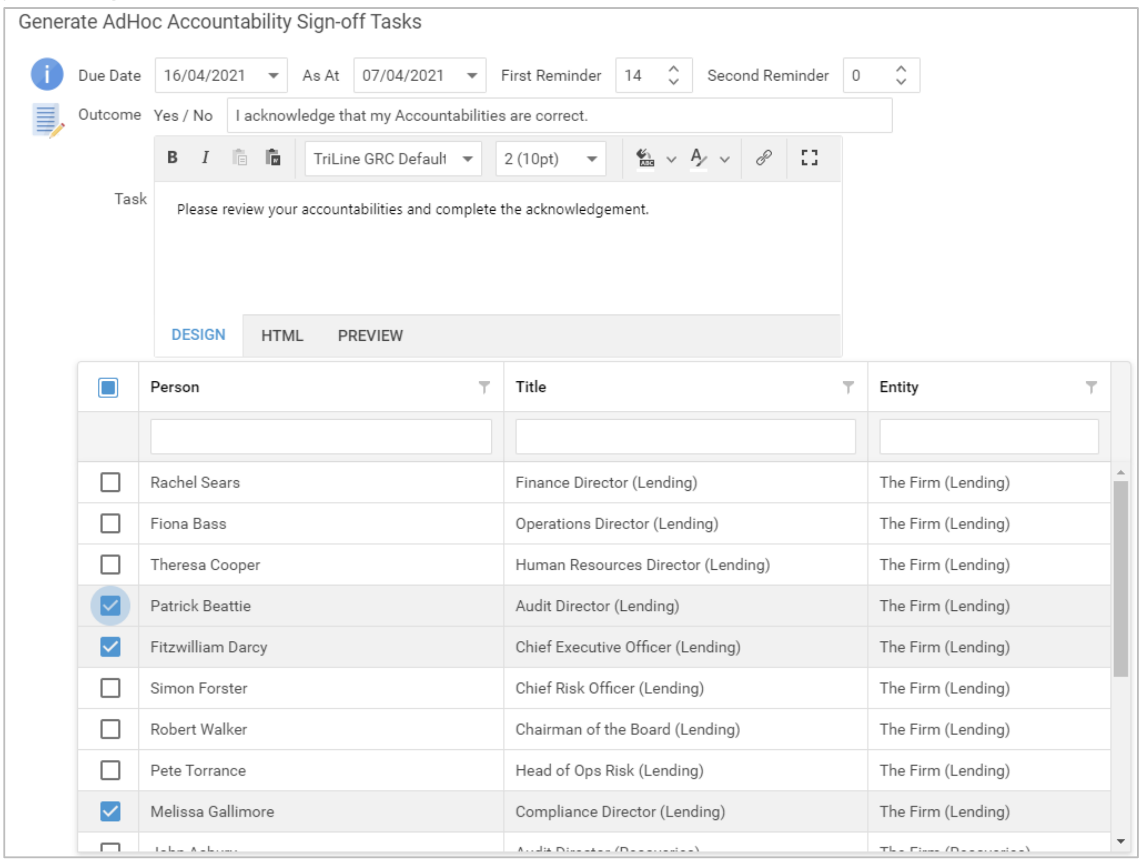
These values can be modified for AdHoc Tasks and cyclical Tasks.

AdHoc Tasks

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



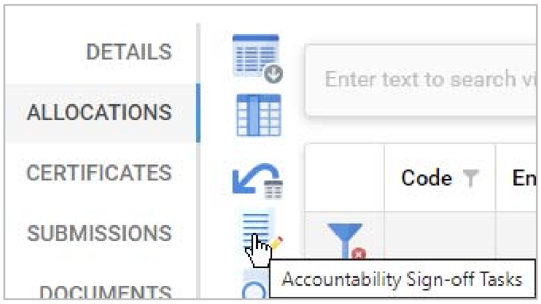
On the popup screen set the dates, reminders and text. Select all people or just those required then click the generate icon. The Tasks will be generated as part of the TriLine GRC Monitor New Tasks processing.



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.

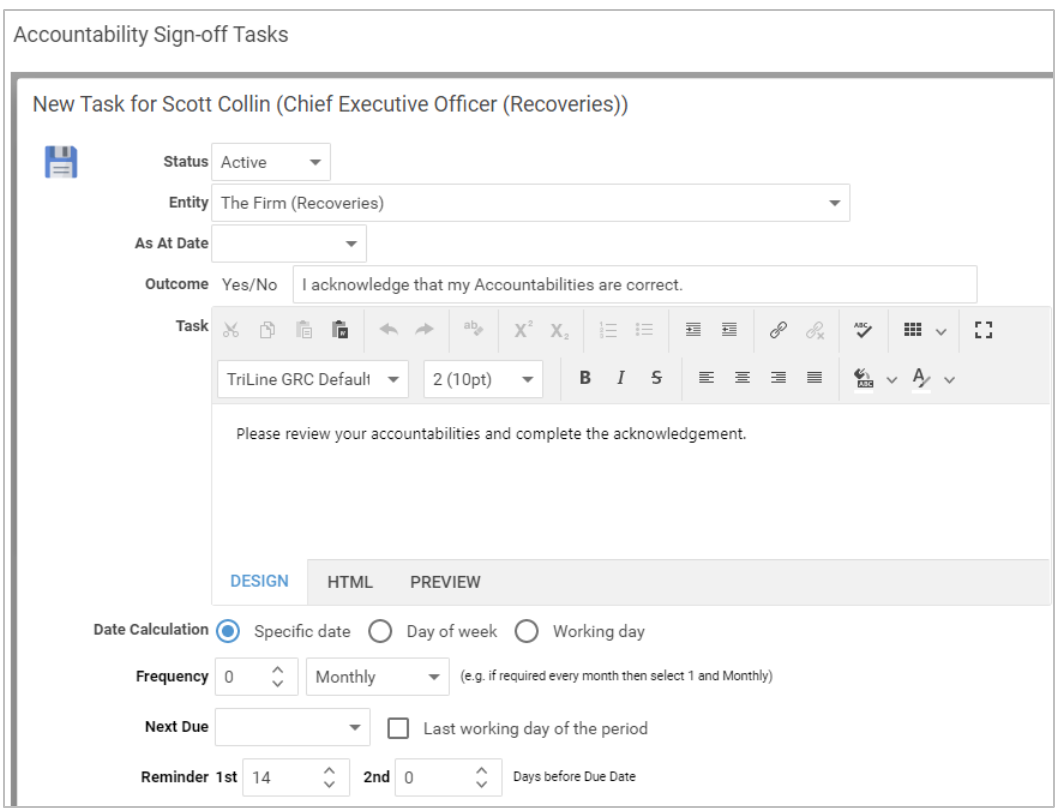
Cyclical Tasks

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.



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

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	Please review your accountabilities and complete the acknowledgement.	16/04/2021	Chief Executive Officer (Lending)

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).

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

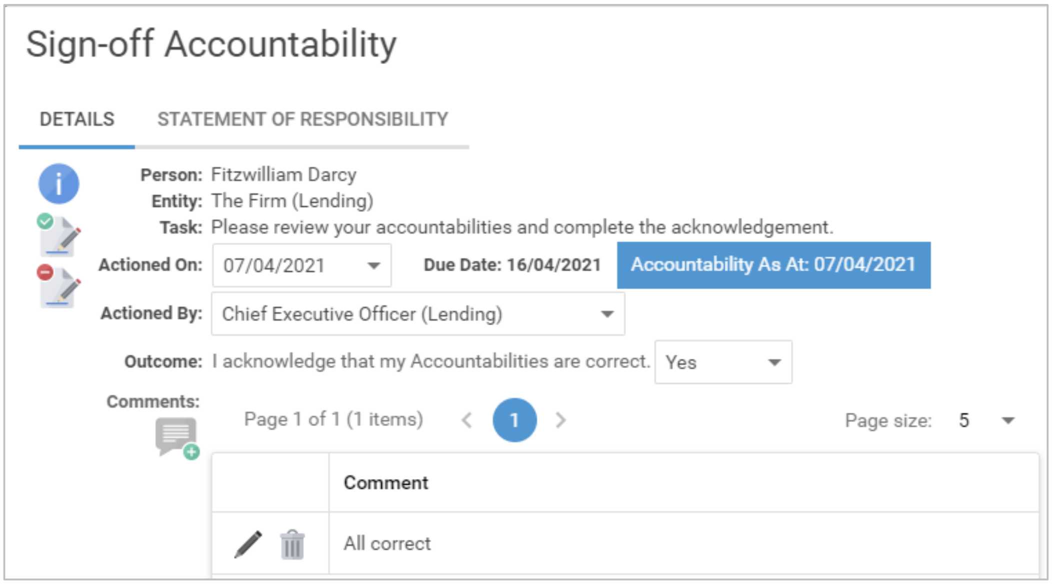
Enter text to search all visible columns ...

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

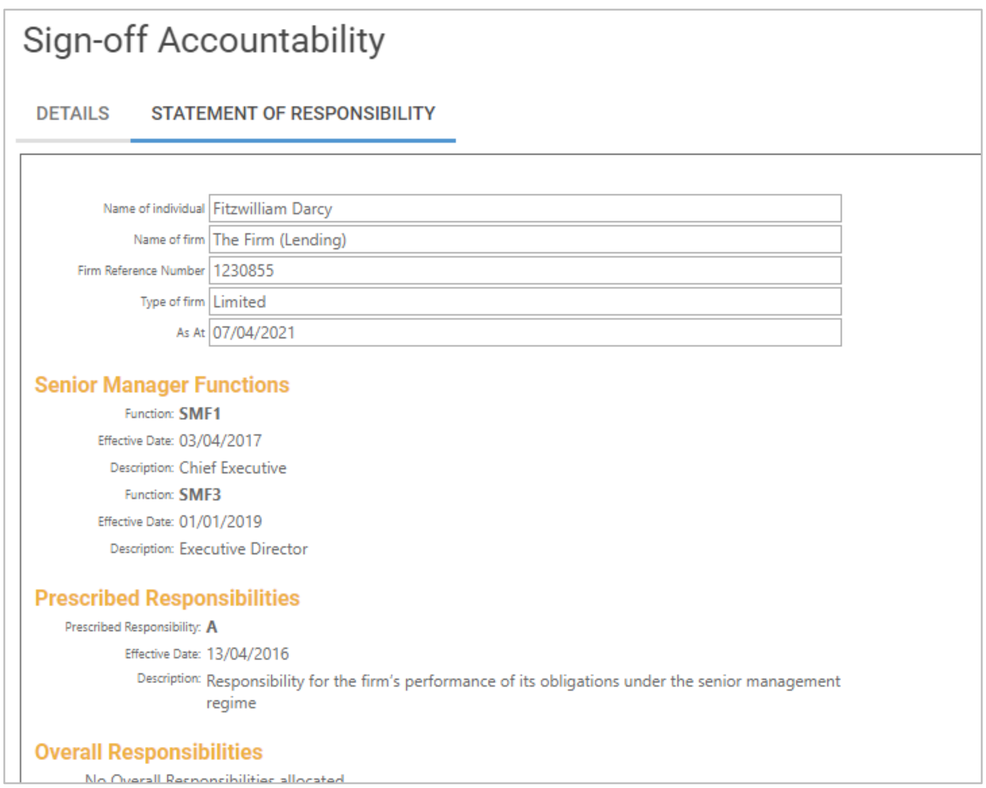
Page 1 of 1 (1 items) 1 Page size: 10

Completing the Task

Enter the details of the completion as required.

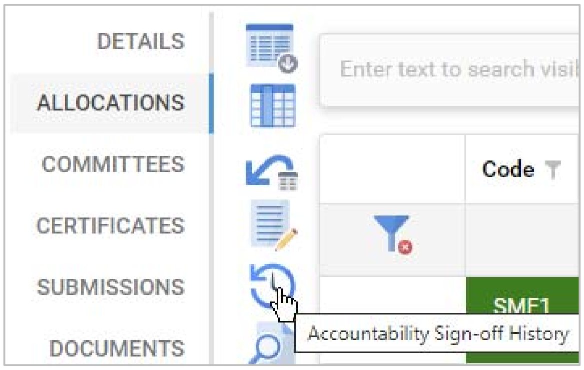


The Statement of Responsibility as at the Accountability date is available on the second tab.



Sign-off History

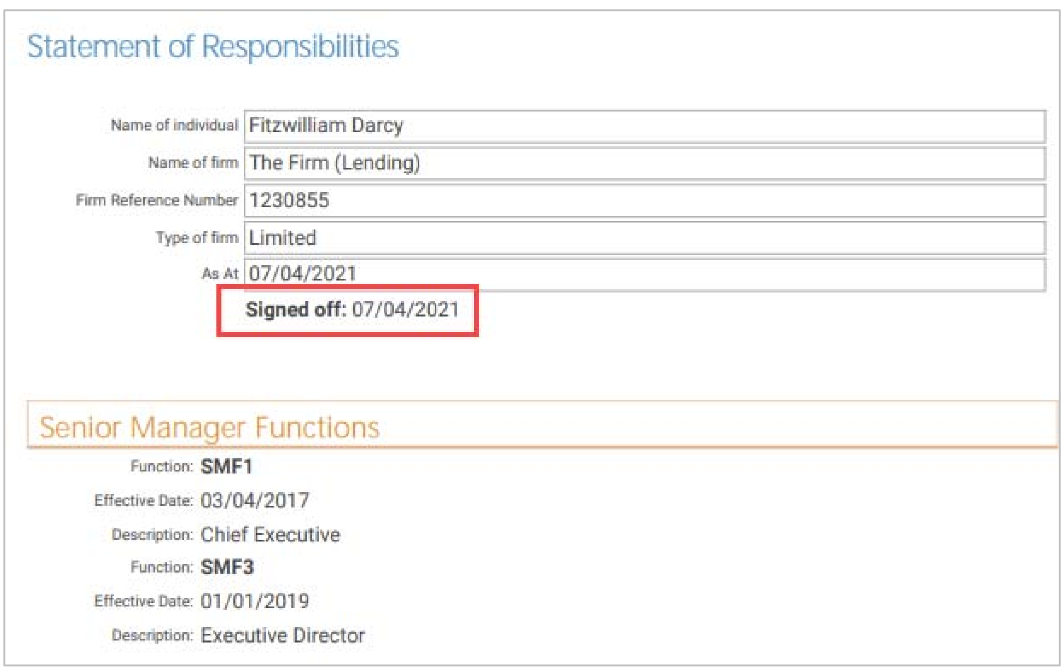
The Sign-off History for an individual will be available from the Accountabilities tab.




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

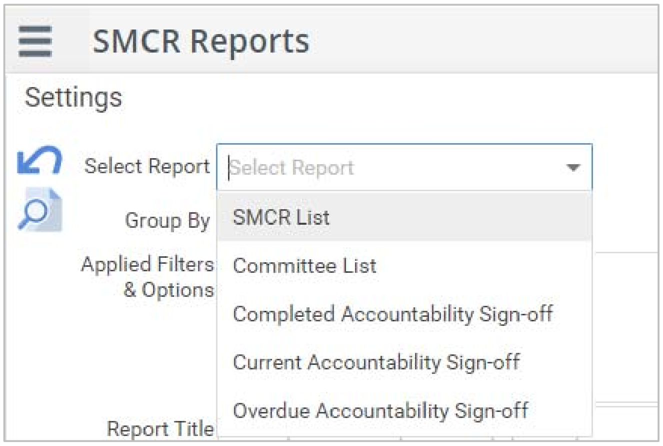
Name of individual: Fitzwilliam Darcy
Name of firm: The Firm (Lending)
Firm Reference Number: 1230855
Type of firm: Limited
As At: 07/04/2021
Signed off: 07/04/2021

Senior Manager Functions

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

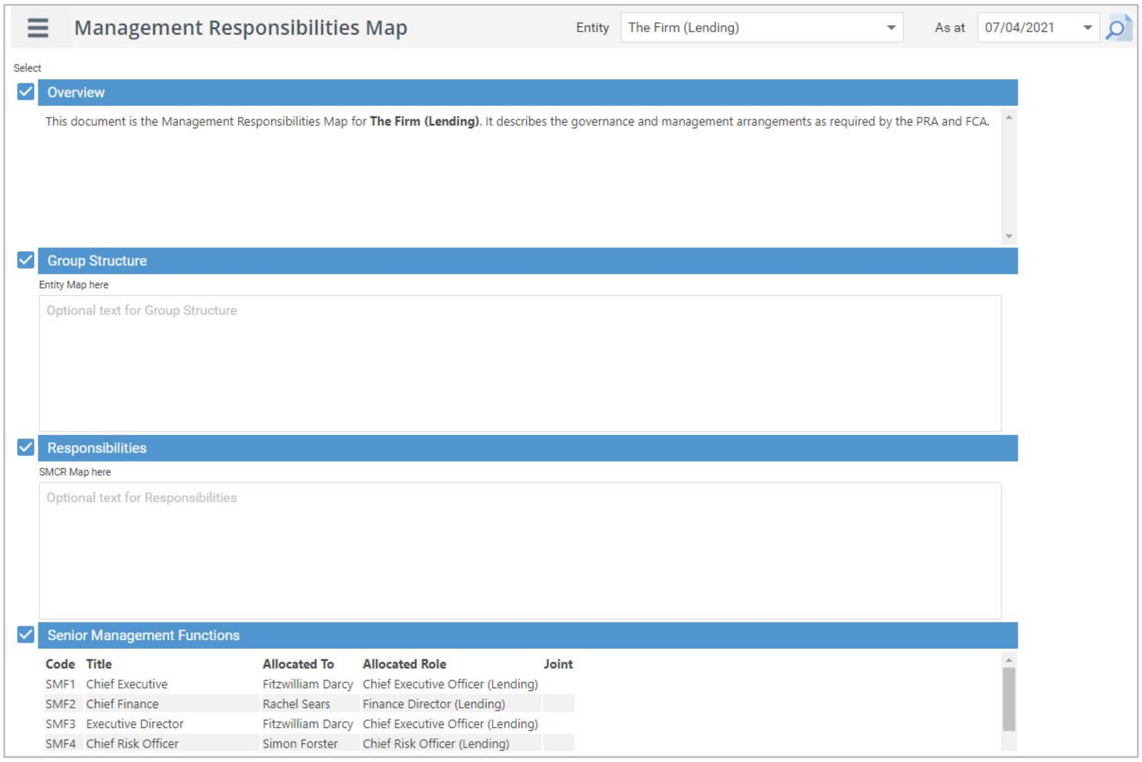
Reporting

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



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.



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.

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

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.

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.

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

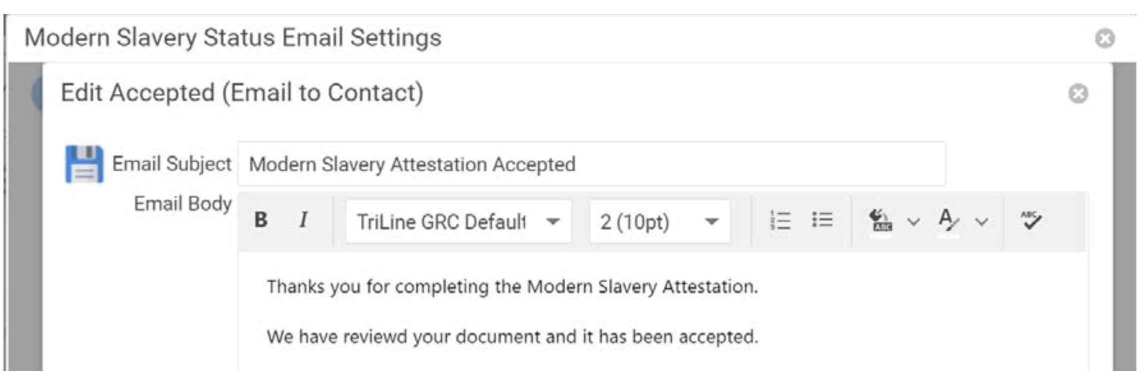
The lifecycle of an Attestation goes through several pre-defined Statuses.

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

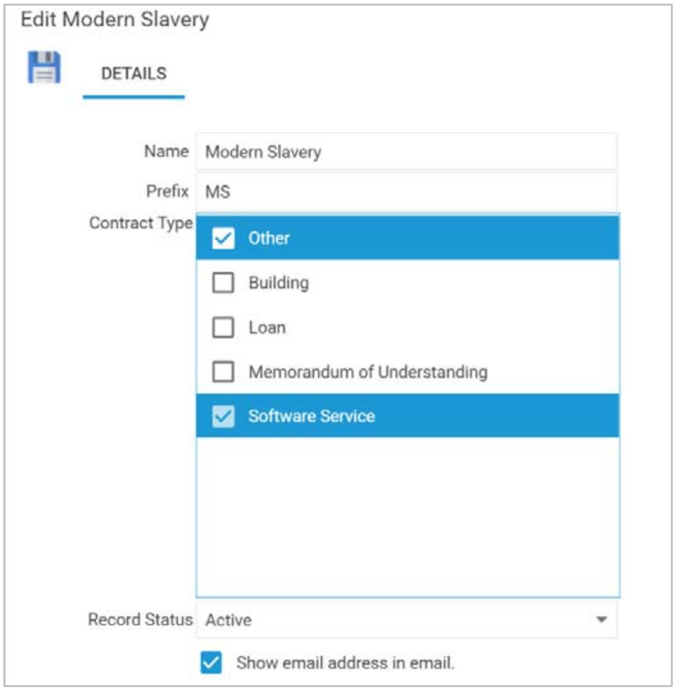
Communication

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).



Defining an Attestation Type

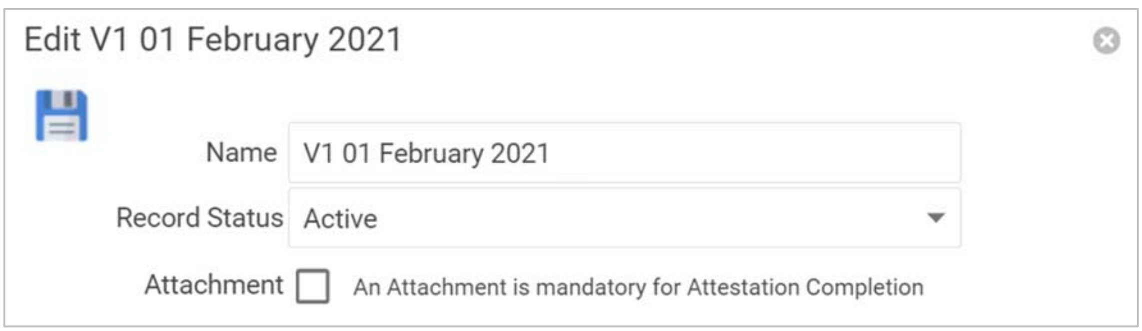


Each Attestation Type will have the following:

• 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



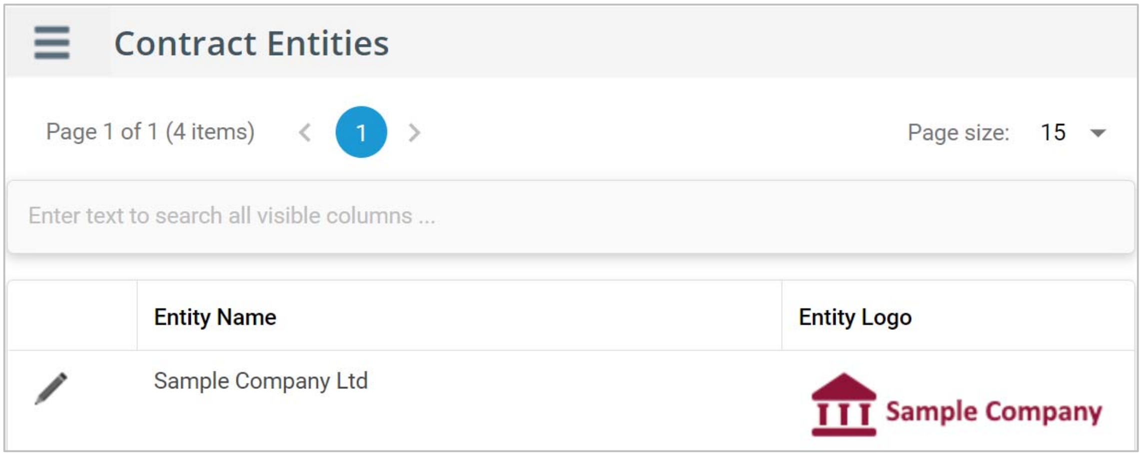
A blank Form is automatically created when a Type is first created (the default Name will be 'Version 1').

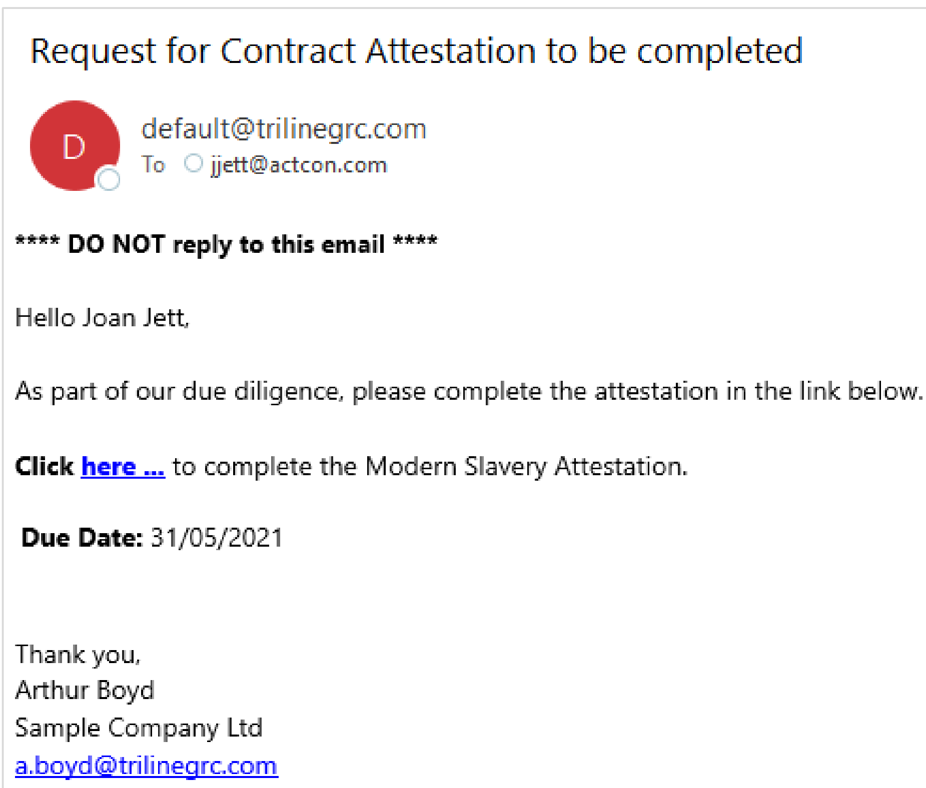
You can require an Attachment to be added to the Attestation before it can be submitted for review.

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

Contract Entity

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





Request for Contract Attestation to be completed

D

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.

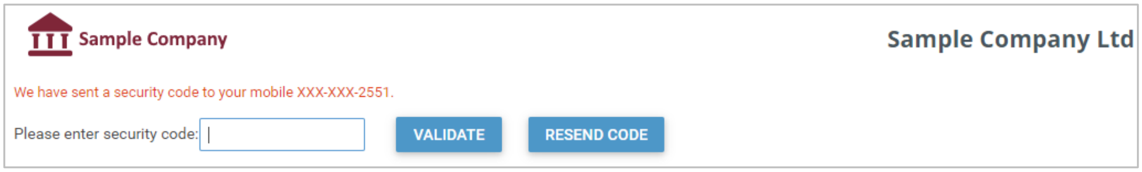
Click here ... to complete the Modern Slavery Attestation.

Due Date: 31/05/2021

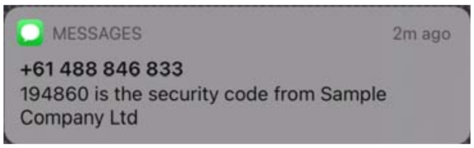
Thank you,
Arthur Boyd
Sample Company Ltd
a.boyd@trilinegrc.com

Attestation Portal

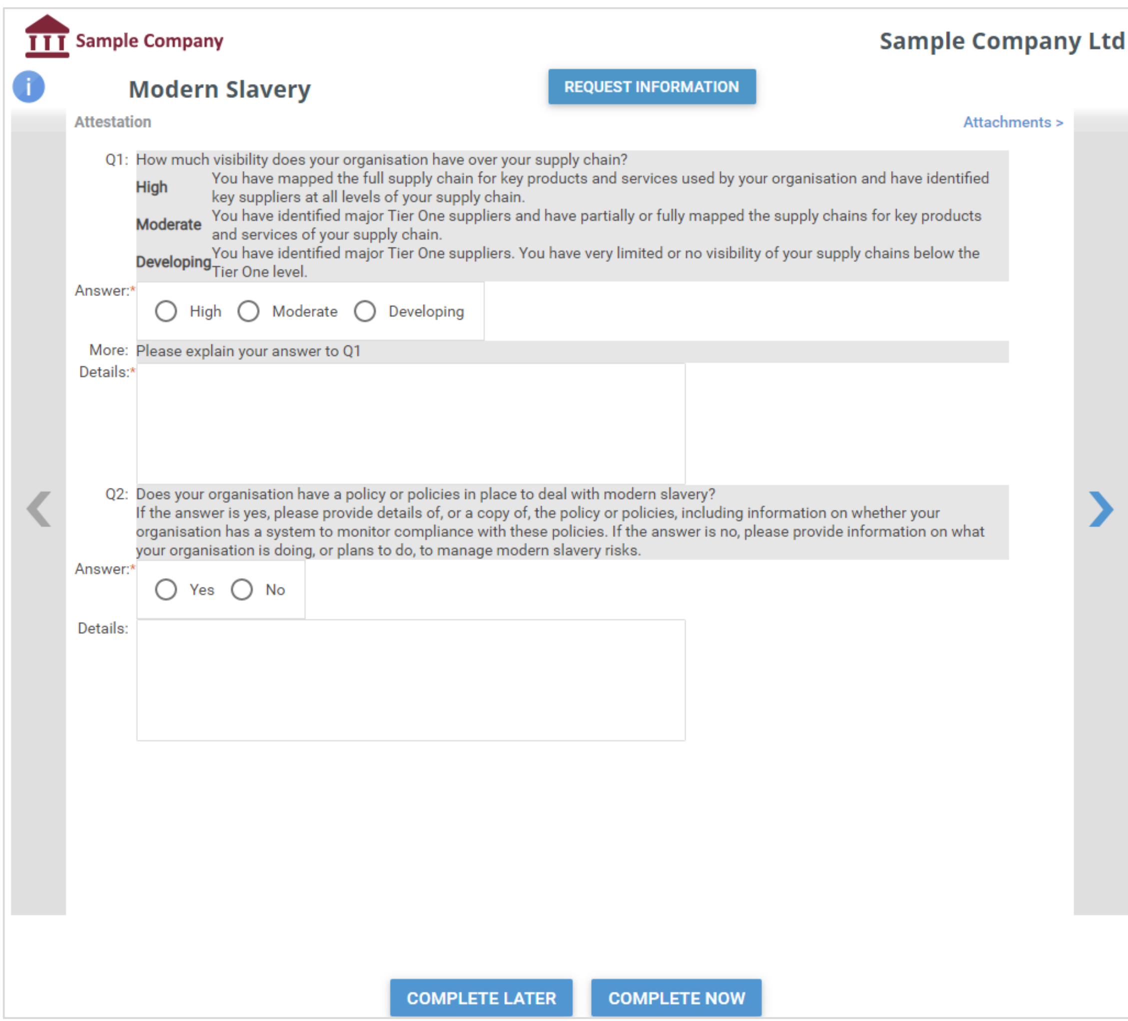
The Attestation Portal will look similar to this (with the optional SMS authentication):



The Security Code will include the Entity Name.



Once verified, the Attestation will appear.

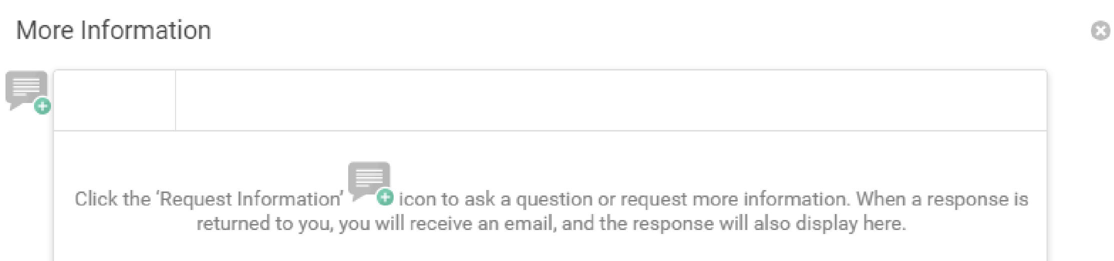


Buttons

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.

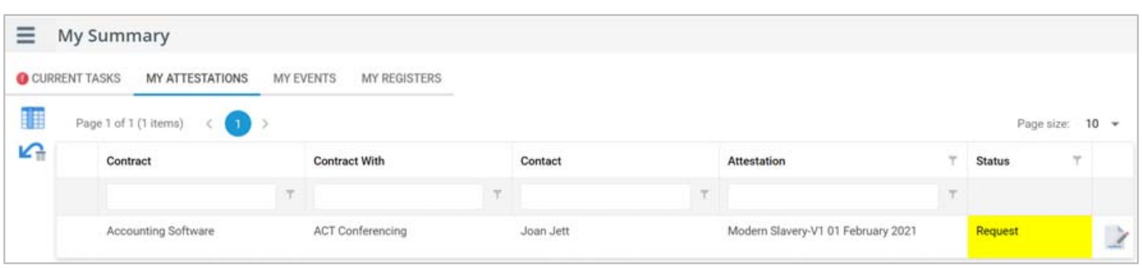


When they save the question, an email will be sent to the Contract Owner.

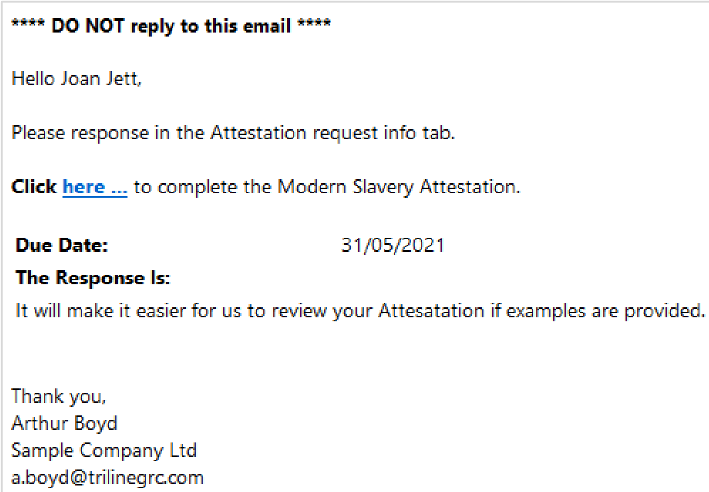
To see this task click here ...

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
Requsted 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.



The response will be sent via email to the Contact.


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

Hello Joan Jett,

Please response in the Attestation request info tab.

Click here ... to complete the Modern Slavery Attestation.

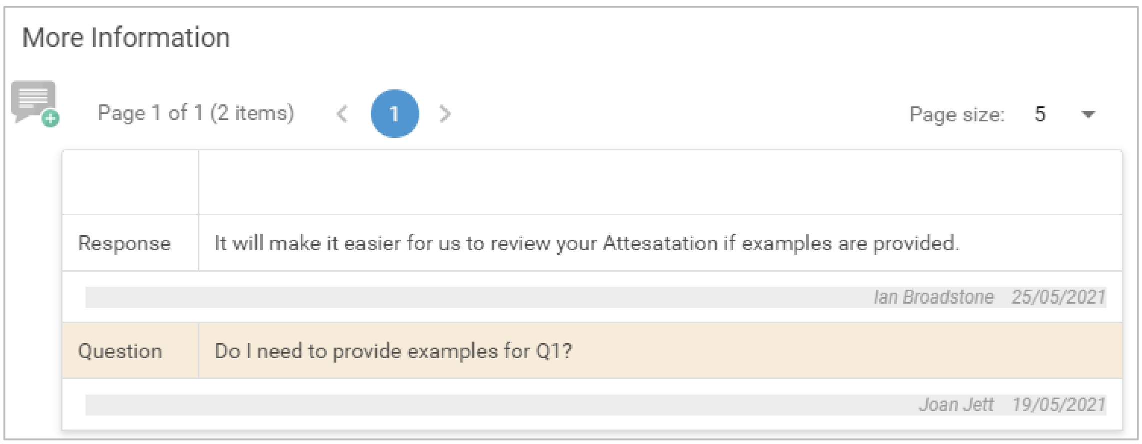
Due Date: 31/05/2021

The Response Is:

It will make it easier for us to review your Attesatation if examples are provided.

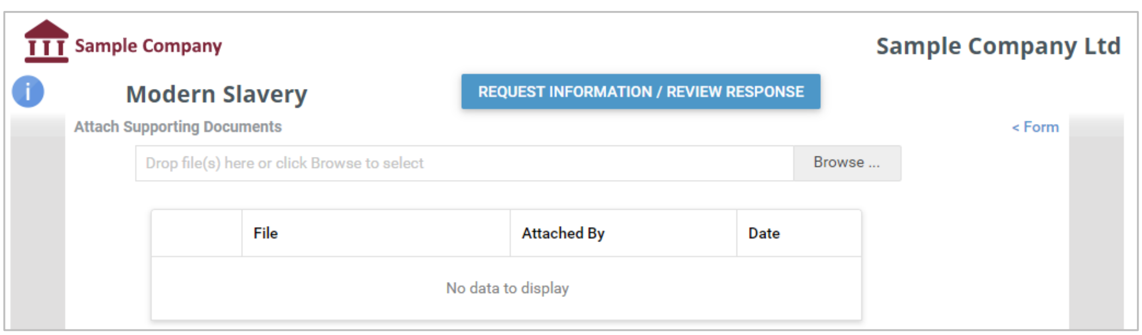
Thank you,
Arthur Boyd
Sample Company Ltd
a.boyd@trilinegrc.com

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.



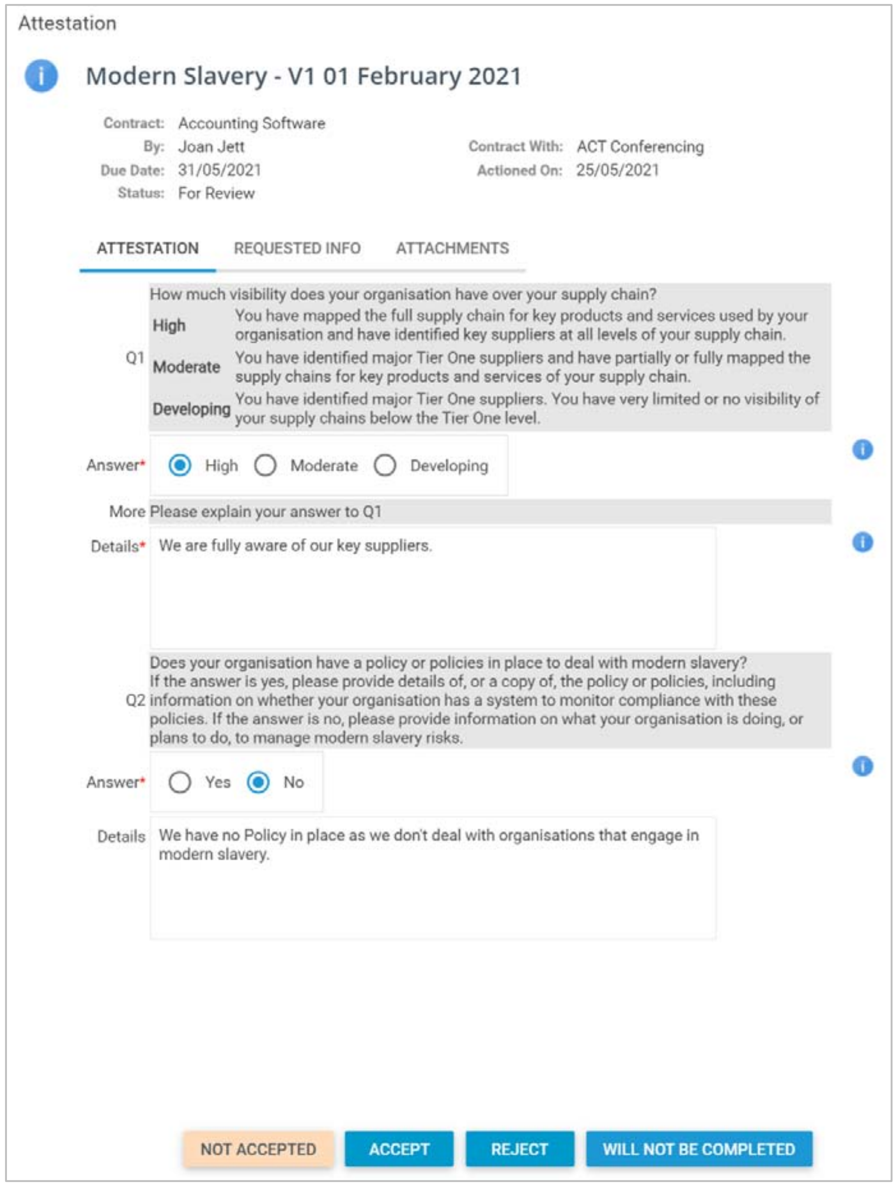
Reviewing an Attestation

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.

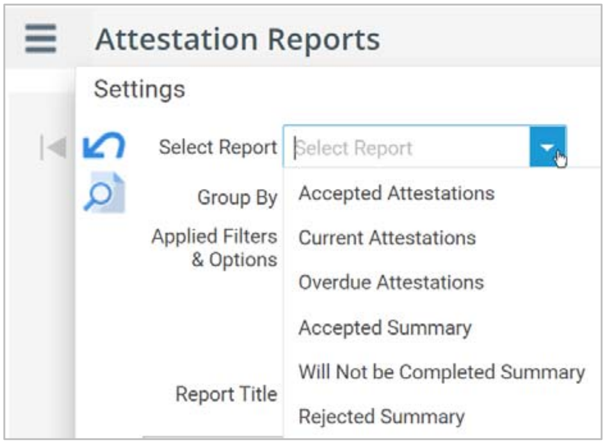
When the review is completed, click the appropriate button (refer Lifecycle Status above).

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



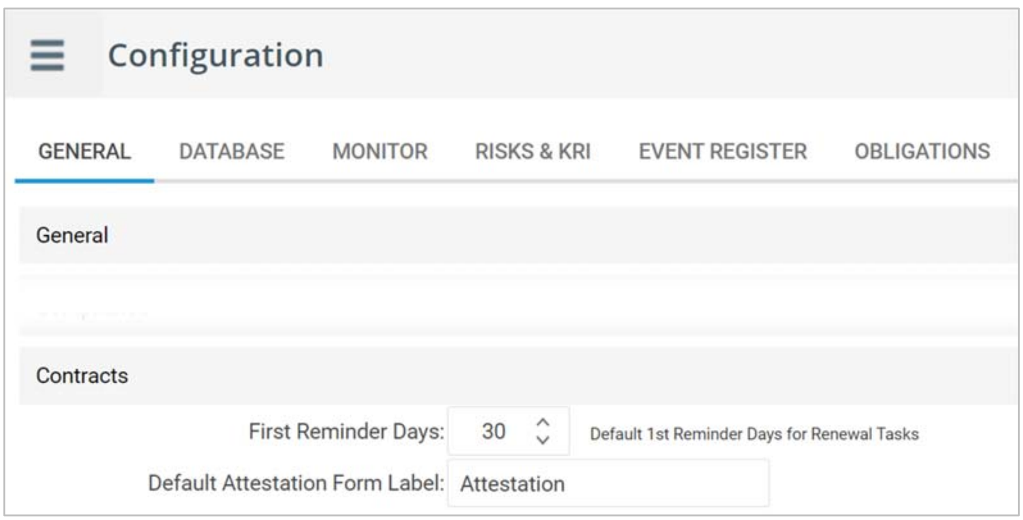
Reporting

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.



Getting ready for v3.3

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