



Source-to-Pay (STP) Transformation Supplier Onboarding Ariba User Guide

Risk Assessment

For Suppliers

Purpose of this Document

Document Purpose:

The purpose of this document is to provide detailed guidance for IPG's suppliers to navigate the supplier onboarding portal (SAP Ariba Network) and complete the various supplier onboarding forms from the system:

- ▶ External Registration Form
- ▶ Risk Assessments
- ▶ Self-reporting any information updates through the SAP Ariba Network

Document Structure:

Each form has its own section outlining step-by-step directions and supplemental screenshots to successfully register to become a new supplier with IPG.

Also included in this document is a section for suppliers to reach out to Ariba in the event they have questions or run into any technical issues.

Scenario

A role-based scenario, providing an overview of the objectives from an operational business perspective

Instructions

Detailed instructions of the testing process, including visual depictions of the steps to help walk testing participants through the process

Key

#	Required	This process step is critical and should be completed before proceeding to the next step
#	Optional	This process step is not critical for the end-to-end process
#	Conditional	This process step is informed by a predecessor. It may or may not appear depending how driving questions are answered
?	Help tip	Footnotes or additional information that may be helpful to understand how certain functionality works in the solution

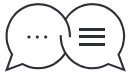
Click to navigate to the section:

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Risk Assessments

Control Assessment Overview

Control Assessment - What is it?



There are seven Control Assessments that could be triggered for a new supplier doing business with IPG.

1. Compliance; 2. Corruption; 3. Modern Slavery; 4. Privacy; 4. HIPAA; 6. Information Security; 7. Security IC.

Setting the Context



Depending on IPG's upfront controls and checks, IPG may send the supplier control assessments to further assess IPG's risk exposure in doing business with a new supplier. The supplier may receive one (1) to seven (7) controls assessments to respond to.

Key Benefits

- 1 Control assessments are sent directly to the supplier through the portal
- 2 Suppliers can leverage their existing Ariba Network accounts
- 3 Control assessments are dynamic – only applicable assessments will be triggered

Process Flow



Agency Requestor

Initiates the risk assessment process. Questionnaires are sent to the supplier



Supplier

Provides responses and documentation to the triggered control assessments





Supplier Risk Management Team


Reviews completed control assessment and determines if controls are effective or ineffective

- 1 **The supplier may receive an additional email notification, requesting them to submit a control questionnaire aligned to IPG's Supplier Risk assessment process.** Click on the link in the email.
- 2 The supplier will log into Ariba SLP using their existing credentials. This link will automatically bring the supplier to the selected questionnaire.

Action needed: Complete questionnaire from [US17] - FutureBrand New York

 <s4system-prod3+ipg-T.Doc235435812@ansmtp.ariba.com>
To  Supplier Contact

[Reply](#) [Reply All](#) [Forward](#) [...](#)



Hello Supplier Contact,

[US17-US84] - FutureBrand New York has invited you to complete a questionnaire. This is required so Big Red Dog Production LLC can do business with [US17-US84] - FutureBrand New York.

Questionnaire Overview
Questionnaire name: Security
Respond by: Sat, 11 Sep, 2021
Update Request Comments:

1 [Submit questionnaire](#)

Best,
[US17-US84] - FutureBrand New York

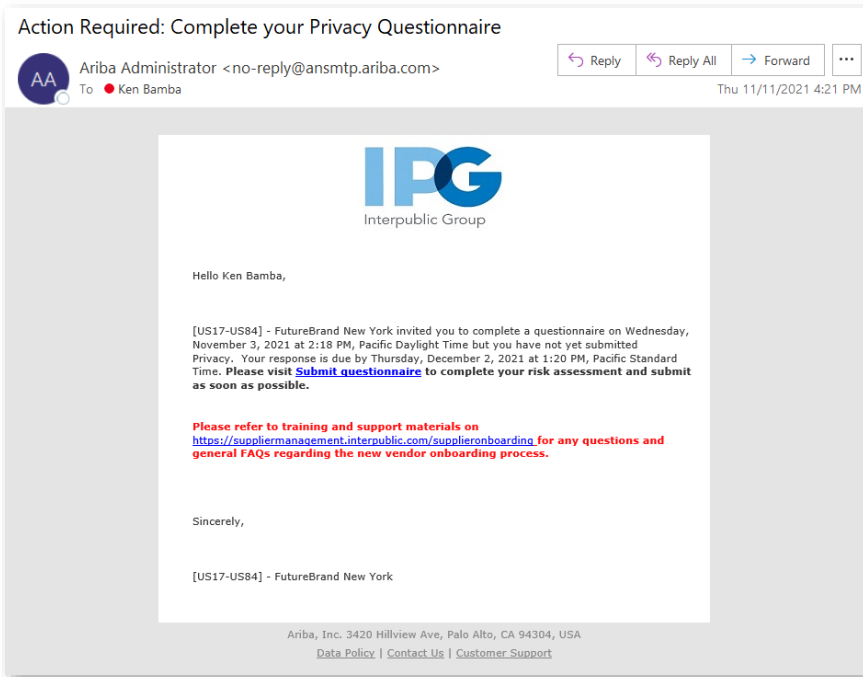
Ariba, Inc. 3420 Hillview Ave, Palo Alto, CA 94304, USA
[Data Policy](#) | [Contact Us](#) | [Customer Support](#)

Complete & Submit Control Assessment

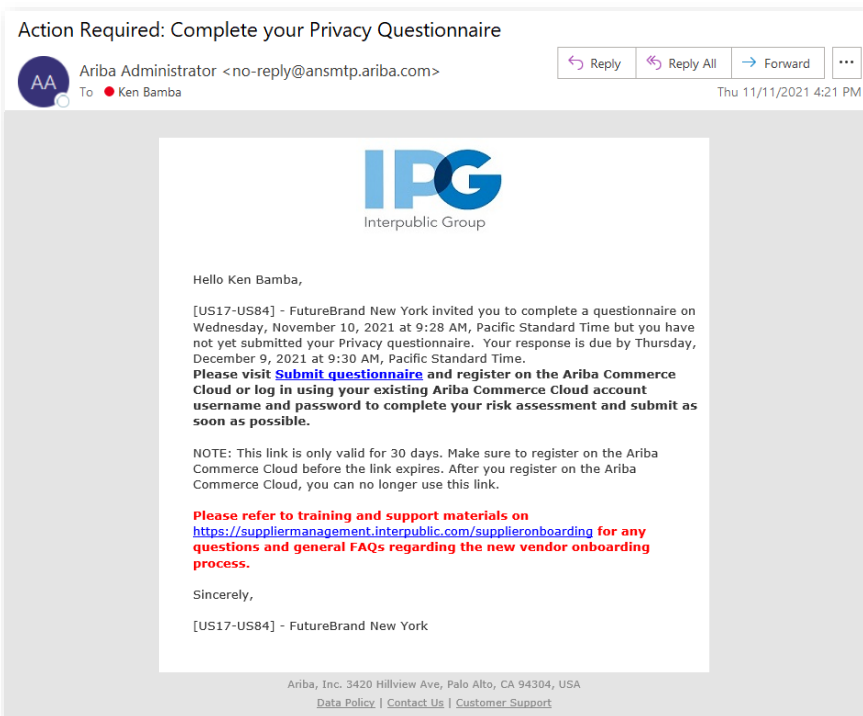
If the Supplier does not complete the control assessment immediately when prompted by the initial email notification, they will receive a reminder email notification every 5 days for 30 days, requesting them to submit a control questionnaire aligned to IPG's Supplier Risk assessment process.

Below are what the emails will look like:

Received for every control assessment that is triggered:



Received for every control assessment that is triggered if the Supplier does not have an Ariba Account:



Complete & Submit Control Assessment

The **assigned control questionnaire** will prompt the supplier to answer questions for one of the seven risk domains: Compliance, Corruption, Modern Slavery, Privacy, HIPAA, Information Security or Security IC.

- 1 Complete the **assigned control questionnaire**. Provide responses and select whether these criteria apply or not.

Go back to IPG - TEST Dashboard

Desktop File Sync

Time remaining 29 days 23:06:39

Console Doc235435802 - Security

Event Messages
Event Details
Response History
Response Team

Event Contents

All Content

Name ↑	
1 Are documented Information Security Policies reviewed and updated annually and include at a minimum: • Access Control Policy • Acceptable Use Policy • Password Policy/Standard • Vulnerability Management • Security Incident Management • Risk Management • Business Continuity • Change Management • Physical Security • HR that includes background checks & training data management	* Unspecified ▾
2 Do you clearly define IT security-related roles and responsibilities for your personnel (including the limitation of each role and the level of training required)?	* Unspecified ▾
3 Do you have a Security User Awareness program?	* Unspecified ▾
4 Does the application follow an approved, documented configuration management process?	* Unspecified ▾
5 Are outside parties made aware of applicable company security policies before being allowed access to the application?	* Unspecified ▾
6 Do you maintain a complete, accurate, and prioritized inventory of essential information about hardware/software and keep this list up-to-date, especially for those which are used for IPG or its agencies?	* Unspecified ▾
7 Is user access based on a need to know/least privilege model with periodic access reviews conducted?	* Unspecified ▾
8 Do you maintain segregation of duties and ensure conflict of interest does not take place?	* Unspecified ▾
9 Does the application contain any accounts that are shared among multiple users?	* Unspecified ▾
10 What is the cadence of these access reviews and are inactive accounts removed at this time?	* []
11 Is a form of Multi-factor authentication used across your environment?	* Unspecified ▾

(*) indicates a required field

Submit Entire Response Save draft Compose Message Excel Import

? If desired, the supplier has the ability to add comments and attachments to any question equipped with the icon.

- 1 Enter comments in the comments section.
- 2 Click Attach a File to include an attachment onto the questionnaire.
- 3 Click OK to save the comment. The supplier will be brought back to the questionnaire and the icon adding comments and attachments will look like:

< Go back to IPG - TEST Dashboard

Desktop File Sync

Add/Edit Comment

Comment: *

Attachment: Attach a file

OK Cancel

Ken Bamba (BambaCompany@Bco.com) last visited 30 Jun 2021 10:58:08 PM Bamba Company AN01704359613-T
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Complete & Submit Control Assessment

Control Assessments are dynamic – the supplier's answers to some questions may change the required questions.

Once the supplier has provided responses to all required and conditional questions:

- 2 Click **Submit Entire Response** to submit the control questionnaire. **Save a draft** to finish the control assessment at a later time.
- 3 Click **OK** to submit the assessment. This will notify IPG's risk team that the control assessment has been complete.

All Content

Name ↑	Response
65 Are disaster recovery and response plans tested?	Yes
66 In the event of a disaster, is there an Recovery Time Objective defined for this service? If Yes, please provide the intended recovery time in the comments section	Yes
67 Is this a global policy?	Yes
68 Are restore procedures periodically tested to verify that data being backed up is usable?	Yes
69 Do you have Cyber insurance?	Yes
70 If yes, does coverage include first and third parties?	First Party Only
71 What is your liability coverage?	Greater or equal to 5 million
72 Do you regularly monitor or audit the security controls used by your Third Party Service Providers?	Yes
73 Are third-party external service providers' activity monitored to detect potential cyber security events?	Yes
74 Do third parties undergo a risk assessment/due diligence before services are exchanged?	Yes
75 Are outside parties made aware of the applicable company security policies prior to being granted access to the application and/or the environment?	Yes
76 Please provide your latest Web Application Vulnerability Scan Report for review.	File Attached
77 Please provide a copy of your latest SOC 2 type 2 report for review.	File Attached
78 Please provide a copy of your latest ISO27001 report and certification for review.	File Attached
79 Please provide your latest Network Vulnerability Scan Report for our review.	File Attached
80 Please provide any other certifications you feel may be relevant to the review of your business and services provided. I.E. (FedRamp, SOX, PKI (HIPAA, etc.), PCI DSS, PII (Safe Harbor, etc.), GDPR, CCPA)	File Attached
81 Provide a copy of a data flow diagram for the services your company provides (or is planning to provide) to IPG or its agencies.	File Attached

(*) Indicates a required field

2 **Submit Entire Response** | Save draft | Compose Message | Excel Import

✓ **Submit this response?**

Click OK to submit.

3 **OK** | Cancel

Complete & Submit Control Assessment

After submitting the control assessment, the supplier will see a confirmation bar at the top of the page that the assessment has been completed.

- 4 Click **Go back to the IPG Dashboard** to return to the Ariba Proposals and Questionnaires Dashboard.

The screenshot shows the Ariba Sourcing interface for document Doc235435802 - Security. A confirmation message at the top states: "Your revised response has been submitted. Thank you for participating in the event." Below this is a table of assessment questions. A red box highlights a link "Go back to IPG - TEST Dashboard" in the top left navigation bar, with a blue circle containing the number 4 next to it.

Name ↑	
1 Are documented Information Security Policies reviewed and updated annually and include at a minimum: <ul style="list-style-type: none">• Access Control Policy• Acceptable Use Policy• Password Policy/Standard• Vulnerability Management• Security Incident Management• Risk Management• Business Continuity• Change Management• Physical Security• HR that includes background checks & training data management	Yes
2 Do you clearly define IT security-related roles and responsibilities for your personnel (including the limitation of each role and the level of training required)?	Yes
3 Do you have a Security User Awareness program?	No

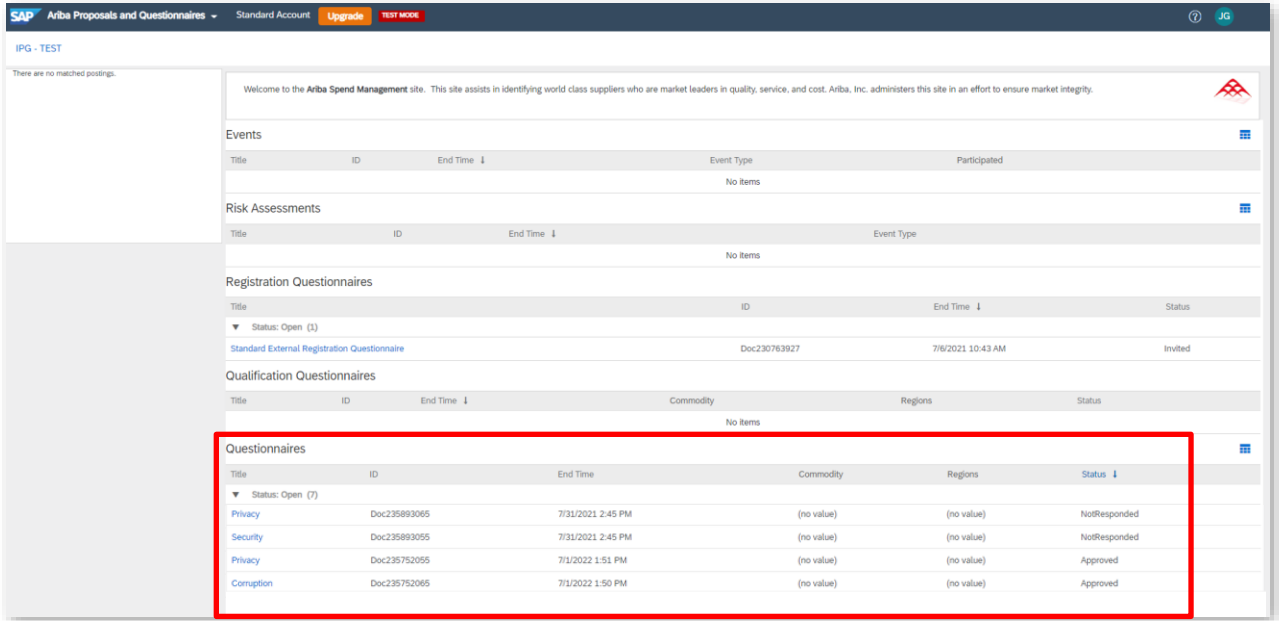
- ? If edits need to be made to the submitted response, click back into the document and **Revise Response**, which will re-open the questionnaire for editing. Previous responses will be saved in the tool.

The screenshot shows the Ariba Sourcing interface for document Doc252619553 - HIPAA. A yellow notification bar at the top states: "If your customer has requested an update to this questionnaire, please click **Revise Response** and re-submit your answers. Even if you do not need to change any of your current answers, your customer cannot complete their evaluation until you re-submit the questionnaire." Below this is a table of assessment questions. A blue button labeled "Revise Response" is highlighted with a red box and has a green question mark icon next to it.

Name ↑	
1 Do you have an assigned security official responsible for implementing HIPAA/HITECH administrative safeguards?	Yes
2 Have you implemented administrative, technical and physical safeguards that reasonably and appropriately protect the confidentiality, integrity and availability of PHI that you Process on behalf of IPG or its agencies?	No
3 Do you ensure that any agents or Third Party Service Providers to whom you provide PHI agree to the same restrictions that we impose on you?	No

The **Ariba Proposals and Questionnaires Dashboard** provides the supplier contact with an overview of any assigned documents:

- Events
- Tasks
- Questionnaires
- Certificates



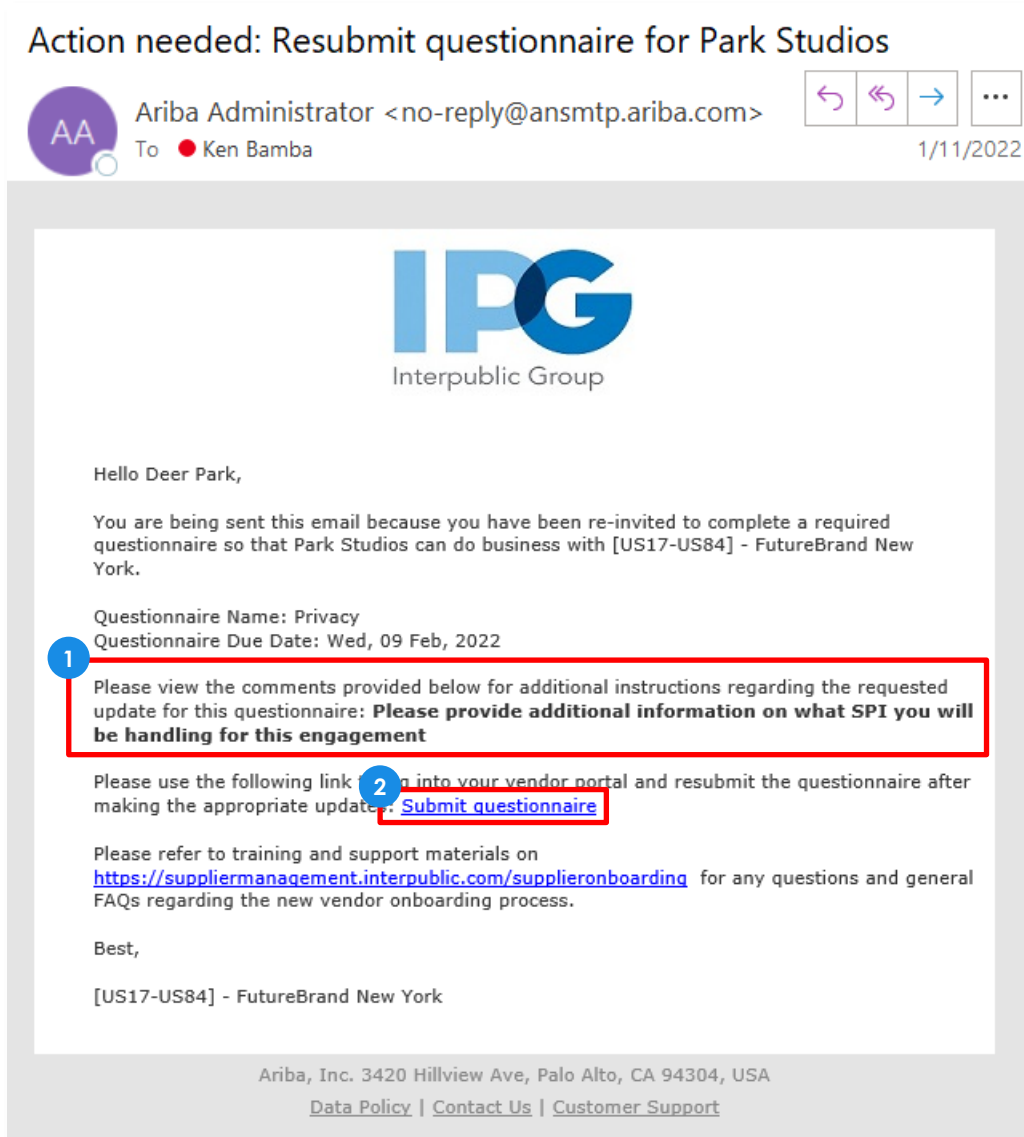
Title	ID	End Time	Commodity	Regions	Status
▼ Status: Open (7)					
Privacy	Doc235893065	7/31/2021 2:45 PM	(no value)	(no value)	NotResponded
Security	Doc235893055	7/31/2021 2:45 PM	(no value)	(no value)	NotResponded
Privacy	Doc235752055	7/1/2022 1:51 PM	(no value)	(no value)	Approved
Corruption	Doc235752065	7/1/2022 1:50 PM	(no value)	(no value)	Approved

4 Scroll to the **Questionnaires** Tab to see a list of all complete and incomplete questionnaires.

? Click on the **Title** of a control assessment to view/revise responses for a questionnaire. The questionnaire should be in **Approved** status to edit. The supplier can also complete a questionnaire with a status of **NotResponded**.

5 Complete all questionnaires that are in **NotResponded** status.

If required, the IPG team may **request additional information** based on the supplier's responses to the questionnaires. The supplier contact may receive an email that includes **Update Request Comments**.



- 1 Review the comments / follow-up questions provided by the IPG reviewer.
- 2 Click on **Submit Questionnaire** to be taken back into the questionnaire. The supplier can revise responses, add additional comments, and add any new documentation. Once completed, submit the questionnaire.
- ? **NOTE:** Please be aware that the IPG may reach out to the supplier via email for any identified issues or control gaps that may be a result of the risk assessment process.