

THIRD PARTY RISK MANAGEMENT HUB (TPRMHUB) USER GUIDE & FAQs

THIRD PARTY SUPPLIER VIEW

Confidential



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INTRO & PURPOSE

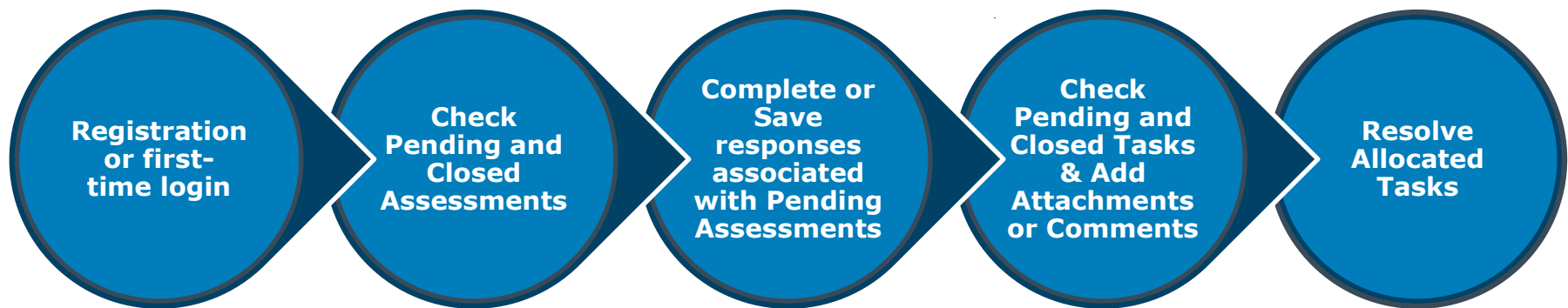
As part of ANZ's ongoing commitment to improve the way we engage with you, we are introducing a new Third-Party Risk Management (TPRM) Hub.

TPRMHub is an integrated and comprehensive approach to the way we gather information to identify and assess risk, providing a significantly enhanced and streamlined experience for improved Third Party Risk Management.

The purpose of this document is to provide a step-by-step guide on how to use the TPRMHub to complete the Due Diligence processes. It also includes a list of Frequently Asked Questions (FAQs) to support this transition.

SUMMARY OF PROCESSES INCLUDED

This step-by-step guidance focuses on specific processes, as below, to support you in completing Due Diligence processes in the new TPRMHub.



REGISTRATION OR FIRST-TIME LOGIN

Step 1. To Start Your ANZ Journey, refer to the no-reply email sent by the ANZ TPRM Team noting "Action required: A questionnaire has been assigned to you in the ANZ Third-Party Risk Management (TPRM) Portal" and click on the hyperlink against "Link to register".

Step 2. To login, click here to enter your Third-Party e-mail address registered with ANZ. A similar link is also sent with subject stating "Start Your ANZ Journey" to your registered Third-party contact/e-mail and then click on submit.



ANZ

Action required: A questionnaire VRA0043308 has been assigned to you in the ANZ Third-Party Risk Management (TPRM) Portal

Hi [REDACTED]

You are receiving this email because ANZ requires you to complete a questionnaire to help us identify and assess any potential risks associated with this engagement. This will enable us to manage our risks effectively and partner with those aligned to our values and strategic objectives.

To view and complete the questionnaire for Engagement: Thirdera Demo 1, please log in to [ANZ TPRM portal](#). Please review and action on this request by 13-12-2024 to avoid any delays.

If you are a **new user**, please register using the link below.
Link to register: <https://anztprm.anz.com/tprmregistration>

For any issues, please contact TPRMQuery@anz.com


Privacy notice

ANZ is committed to protecting your privacy. When you register via the ANZ Third Party Risk Management (TPRM) Portal, we may collect your Personal Information (such as name, business contact information) to authenticate you and manage our TPRM process including our business relationship with your organisation. By providing personal information such as name and residency about colleagues from your organization, you confirm that you have authority to do so. Personal information collected is processed as part of our TPRM solution, which is supported by our external service providers. We handle and disclose your personal information in accordance with our Privacy Policy.

By proceeding to access and use the ANZ TPRM Portal, you confirm that you have read and understood ANZ's Privacy Policy.

For more information about our privacy practices, please visit anz.com.

Regards,
ANZ TPRM Team



ANZ

Set Password

1 Request Email 2 Validate Link 3 Set Password

Enter your email address to reset your password or unlock your account.

Email Address

Email Address

Submit

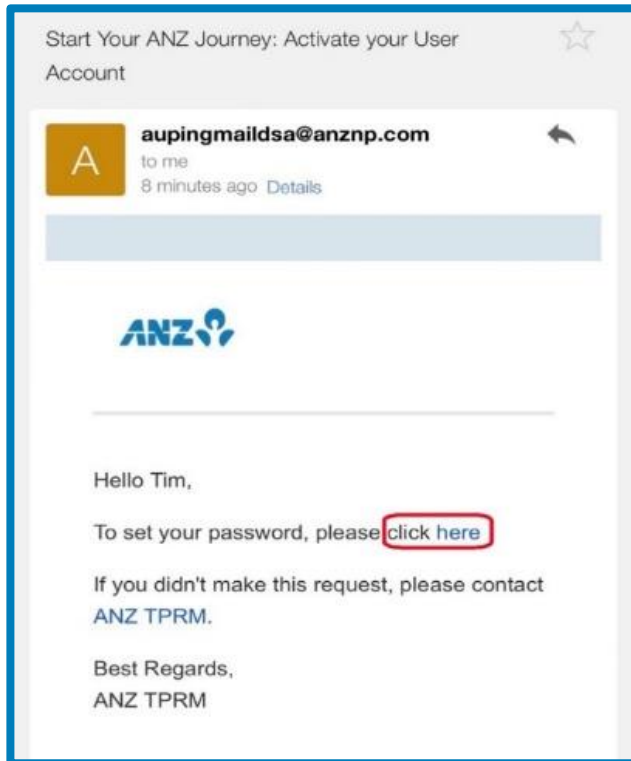
Cancel

REGISTRATION OR FIRST-TIME LOGIN CONTINUED

Step 3. Once clicked on submit an e-mail will be sent to the Third-party email address from aupingmaildsa@anz.com with a link to setup new password.

Step 4. Open the link sent via email and then in the User Set Password window, enter your new password and then confirm your new password in the relevant fields.

Click on Set password to setup your new password for future logins.

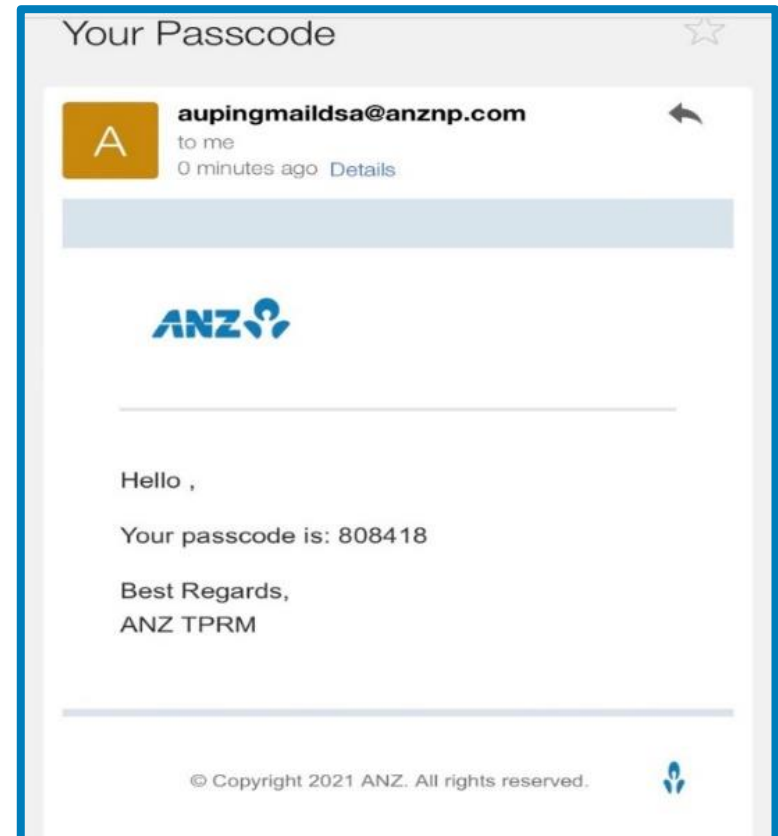
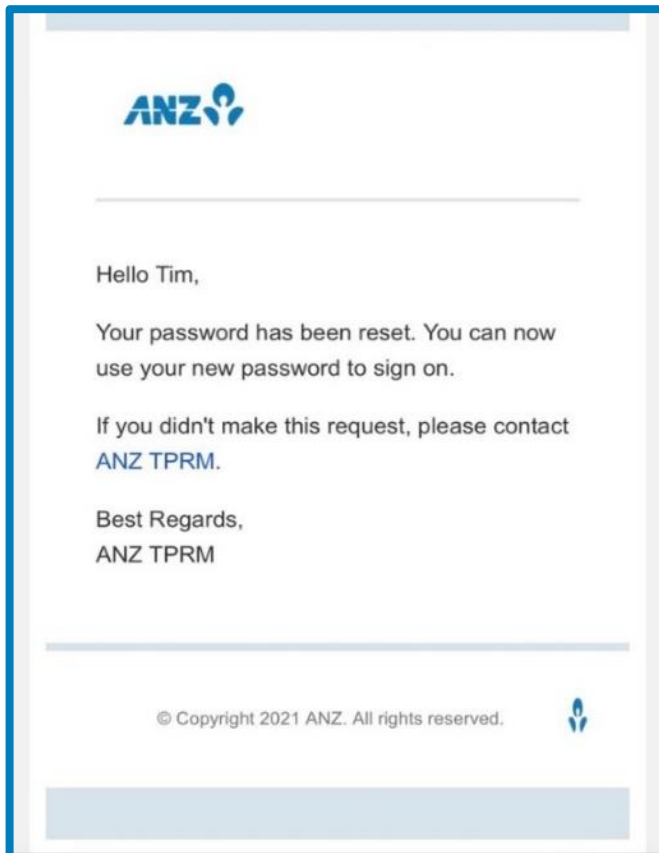


The screenshot shows the "User Set Password" web form. At the top, the ANZ logo is displayed. Below it, the title "User Set Password" is centered. There are three progress indicators: "Request Email" (checked), "Validate Link" (checked), and "Set Password" (active, indicated by a '3' in a circle). Below the progress indicators, there is a link "See Password Requirements" with a dropdown arrow. The form contains two input fields: "New Password" (marked with a '1' in a blue circle) and "Confirm New Password" (marked with a '2' in a blue circle). Both fields have masked characters (dots) and a toggle icon for visibility. At the bottom, there is a "Set Password" button (marked with a '3' in a blue circle) and a "Cancel" link.

REGISTRATION OR FIRST-TIME LOGIN CONTINUED

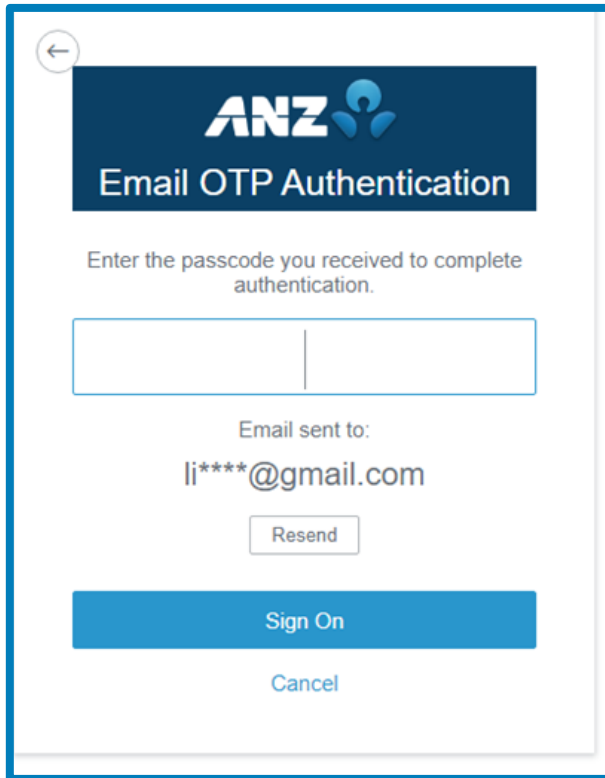
Step 5. A confirmation message will be displayed once the password has been successfully set-up. Use this password whenever logging into the TPRMHub Portal.

Step 6. A One Time Passcode (OTP) will be sent to your Third-party email address to enable your secure login to the TPRMHub portal. (Note: A One Time Password will be sent on every login).



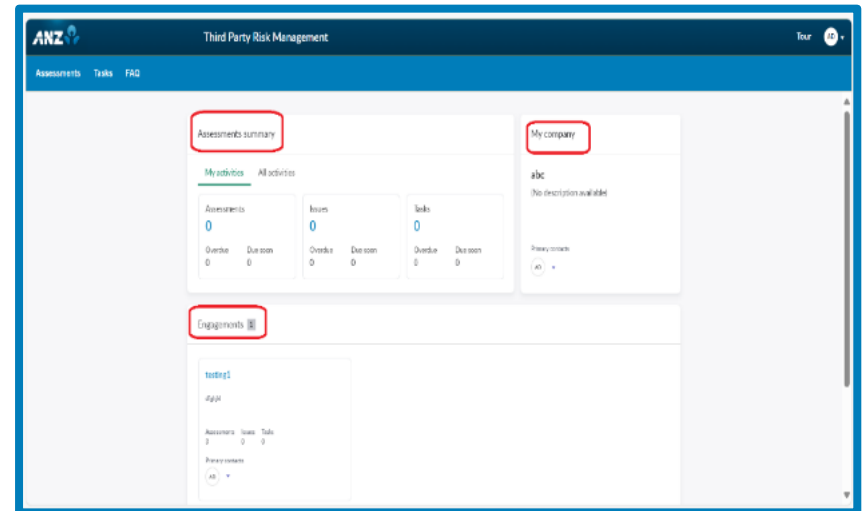
REGISTRATION OR FIRST-TIME LOGIN CONTINUED

Step 7. Enter the OTP received on email in the below screen to login.



The screenshot shows an email OTP authentication screen. At the top left is a back arrow icon. Below it is the ANZ logo and the text "Email OTP Authentication". The instruction "Enter the passcode you received to complete authentication." is followed by a two-digit input field. Below the input field, it says "Email sent to: lj****@gmail.com" with a "Resend" button. At the bottom, there are "Sign On" and "Cancel" buttons.

Step 8. Once you have successfully logged in, a window will display "Assessment summary", "Engagements" and "My company" populated with the relevant details. This is the TPRMHub home page.



The screenshot shows the TPRMHub home page. The header includes the ANZ logo, "Third Party Risk Management", and a "Tour" button. The main content area is divided into several sections: "Assessments summary" (highlighted with a red box), "My company" (highlighted with a red box), and "Engagements" (highlighted with a red box). The "Assessments summary" section shows a table with columns for "Assessments", "Issues", and "Risks", each with a count of 0 and "Overdue" and "Due soon" sub-counts. The "My company" section shows "abc" and "No descriptions available". The "Engagements" section shows a table with columns for "Assessments", "Issues", and "Risks", each with a count of 0 and "Overdue" and "Due soon" sub-counts.

CHECK PENDING AND CLOSED ASSESSMENTS

Step 1. Once you've completed the [login instructions](#) to TPRMHub portal the home page will appear with "assessment Summary", "Engagements" and "My Company" with prepopulated information

Step 2. Click on the Assessment tab on the left-hand corner of the blue ribbon space. This will display all open and closed assessments assigned to you.

The screenshot displays the TPRMHub portal home page. A blue ribbon navigation bar at the top contains the ANZ logo, the text "Third Party Risk Management", and a "Tour" button. Below the ribbon, a navigation menu includes "Assessments", "Tasks", and "FAQ". The main content area is divided into several sections:

- Assessments summary:** A dashboard with three columns: "My activities" (Assessments: 1, Overdue: 0, Due soon: 1), "All activities" (Issues: 0, Overdue: 0, Due soon: 0), and "Tasks" (Overdue: 0, Due soon: 0).
- My company:** A card for "ALEX" with "(No description available)" and a "Primary contacts" dropdown menu.
- Engagements:** A card for "3rd Party Management" with contact "Manish Suartha@anz.com" and a summary table: Assessments: 3, Issues: 0, Tasks: 0.

Callouts in green boxes identify the following elements:

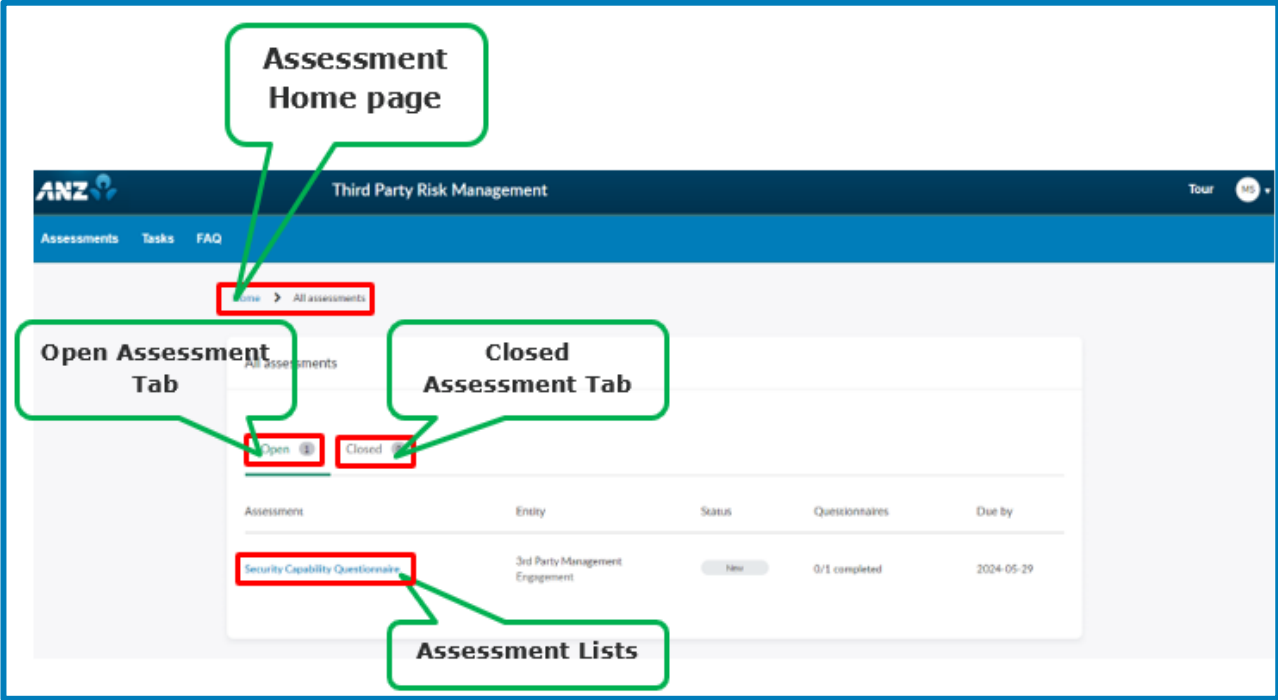
- Assessment Tab:** Points to the "Assessments" tab in the navigation menu.
- TPRM Home Page:** Points to the "Third Party Risk Management" header.
- Assessment Summary:** Points to the "Assessments summary" dashboard.
- User Profile:** Points to the user profile icon in the top right.
- Company Details:** Points to the "My company" card.
- Engagement Details:** Points to the "Engagements" card.

CHECK PENDING AND CLOSED ASSESSMENTS CONTINUED

Step 3. Select the relevant tab to get more information about **open** and **closed** assessment.

Open 1 This tab includes your Risk Assessment questionnaires to be completed and submitted for review by ANZ. The number next to the “open” title indicates number of assessments available in this tab.

Closed 0 This tab includes your Risk Assessment questionnaires with closed status. The number next to the “closed” title indicates number of assessments available in this tab.



COMPLETE OR SAVE RESPONSES ASSOCIATED WITH PENDING ASSESSMENTS

Step 1. Click [here](#) for instructions to access the pending assessment under Open tab.

Step 2. Once the pending assessment is opened, click on Requests to answer the assessments requested by the ANZ TPRM team.

Click on the Questionnaire name to open and respond to the questions in the assessment

The screenshot displays the ANZ Third Party Risk Management interface. The top navigation bar includes the ANZ logo, the title 'Third Party Risk Management', and a 'Tour' button. Below the navigation bar, there are tabs for 'Assessments', 'Tasks', and 'FAQ'. The main content area shows a breadcrumb trail: 'Home > 3rd Party Management > Security Capability Questionnaire'. The 'Security Capability Questionnaire' page features a 'Submit assessment' button in the top right corner. A section titled 'Assessment Requests' contains a table with the following data:

Request	Type	Assigned to	Status	Progress
Security Capability Questionnaire As part of your engagement with ANZ, you are required to answer the below questions. Please ensure you provide accu...	Questionnaire	MS	Open	0/3 answered

Annotations on the screenshot include a green box around the 'Assessment Requests' title, a red box around the 'Requests' tab, and a red box around the first row of the table. A callout bubble points to the 'Requests' tab with the text: 'Click on the Questionnaire name to open and respond to the questions in the assessment'.

COMPLETE OR SAVE RESPONSES ASSOCIATED WITH PENDING ASSESSMENTS CONTINUED

Step 3. Click on the Assessment questionnaire as highlighted below. Respond to the questions and go to the top right-hand corner to click on Save and Exit to submit later. Or alternatively complete all questions including those highlighted as mandatory and click on Submit to send your questionnaire responses immediately.

Please wait for a response from the ANZ TPRM team after you have completed the Questionnaire. You can contact your ANZ Relationship Manager or the ANZ TPRM Team (TPRMQuery@anz.com) if there are challenges or concerns with completing Due Diligence through the TPRMHub portal.

The screenshot displays the ANZ Third Party Risk Management portal. The header includes the ANZ logo, the title "Third Party Risk Management", and a "Tour" button. The navigation menu shows "Assessments", "Tasks", and "FAQ". The breadcrumb trail indicates the current path: "Home > 3rd Party Management > Security Capability Questionnaire > Security Capabiltis Questionnaire".

The main content area is titled "Assessment Sections" and "General". It contains a "Security Capability Questionnaire" section with the following text: "As part of your engagement with ANZ, you are required to answer the below questions. Please ensure you provide accurate information in a timely manner to help us identify and assess any potential risks associated with this engagement. This will enable us to manage our risks effectively and partner with those aligned to our values and strategic objectives. Once all questions are answered, click 'submit' at the top or bottom of the page. Use the 'Save' button to ensure you don't lose progress as you may be logged out due to inactivity. If you have any issues, contact query@anztpm.anz.com".

Below the text, there are two tabs: "Questionnaire" and "Notes and comments". There are also two checkboxes: "Show follow-up only" and "Show unanswered questions only".

The "General" section contains a required question: "* Can the application be configured to integrate with ANZ's identity provider (IdP)?". The options are "Yes" and "No".

In the top right corner, there are two buttons: "Save and exit" and "Submit". A red box highlights these buttons, and a green callout points to them with the text "Save or Submit Button".

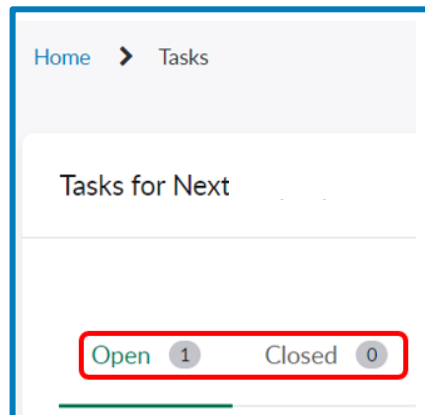
CHECK PENDING AND CLOSED TASKS & ADD ATTACHMENTS OR COMMENTS

Step 1. Access the TPRM Portal and login with your Third-party email address and password.
Note: Need to enter the OTP to get secure login to TPRM Portal. Go to [Login Instructions](#).

Step 2. Once logged in click on Tasks on the left-hand side next to "Assessments".



Step 3. After clicking on Task, the page would show with open and closed tasks assigned to you. Select the relevant tab to access additional information for the open or closed tasks.



CHECK PENDING AND CLOSED TASKS & ADD ATTACHMENTS OR COMMENTS CONTINUED

Step 4. If you are required to add an attachment for open tasks, click on the pending tasks located under the Open tab and click on the specific task to open it as mentioned here e.g., Security Capability Questionnaire.

The screenshot shows the '3rd Part Management' interface. At the top, there is a tab labeled 'Open' with a '1' next to it, highlighted by a red box and a green arrow pointing left. Below the tab is a table with columns: 'Assessment', 'Entity', 'Status', 'Questionnaires', and 'Due by'. The first row of the table has 'Security Capability Questionnaire' in the 'Assessment' column, highlighted by a red box and a green arrow pointing left.

The screenshot shows the details page for the task 'Security Capability Questionnaire'. The breadcrumb trail is 'Home > 3rd Part Management > Security Capability Questionnaire > Need Information'. On the left, there is a 'Task Details' sidebar with fields for 'Status' (Draft), 'Created' (9m ago), 'Planned end date' (2024-05-14), 'Updated' (9m ago), and 'Assigned to' (None). The main content area shows the task ID 'VRT0004587', title 'Need information', and description 'Need information'. Below the description is a 'Comments' section with a text input field containing 'Add your comments here.' and a 'Send' button. At the bottom, there is an 'Attachments' section with a paperclip icon, the text 'Click below to attach a file', and an 'Attach' button, all highlighted by a red box and a green arrow pointing left. A task card for 'TPRM Office VRM Test' is also visible, showing it was created 9m ago by 'VRT0004587'.

Step 5. Once the task is opened, drag and drop your required file(s) under Attachments or click on Attachment to follow through with the required steps. Additionally, you can add any comment under the Comments section.

RESOLVE ALLOCATED TASKS

Step 1. Go to [instructions on](#) how to open the tasks to complete pending tasks.

Step 2. Once necessary action(s) has been completed for the open pending task, click on Resolve Task at the top left-hand corner as highlighted below to move your task to resolve.

Home > 3rd Part Management > Security Capability Questionnaire > Need information

Task Details

Status	Created
Draft	about an hour ago
Planned end date	Updated
2024-05-14	just now

Assigned to

JS John Smith ▾

VRT0004587
Need information

Resolve Task

Description

Instructions:

1. Read the information below and proceed with the recommended action.
2. Once you have completed this task, click "Resolve Task" button on the top right corner.

Note: Please ensure you complete this task in a timely manner for your engagement to move forward in the process. If you have queries, please contact query@anztprm.anz.com

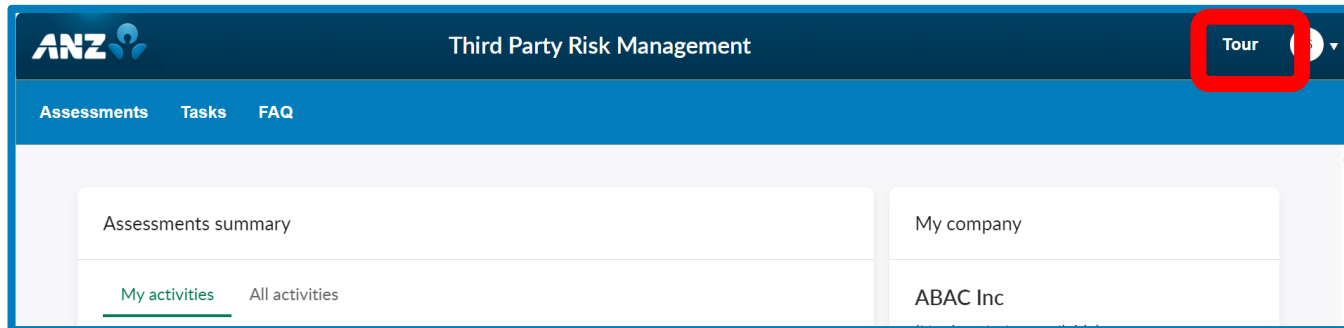
Instructions:

1. Read the information below and proceed with the recommended action.
2. Once you have completed this task, click "Resolve Task" button on the top right corner.

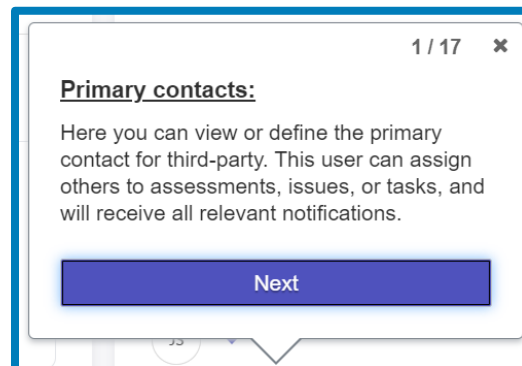
CAN I HAVE A TOUR OF THE PORTAL?

Step 1. Once you've completed the [login instructions](#) to TPRMHub portal the home page will appear with "assessment Summary", "Engagements" and "My Company" with prepopulated information

Step 2. Navigate to the top right-hand corner where there is a "TOUR" button.



Step 2. This will initiate a step-by-step guide using pop-up navigation. Please follow the steps and select next to continue the steps and complete the tour.



FREQUENTLY ASKED QUESTIONS

Question	Response
<p>What are the immediate actions required?</p>	<p>There is no immediate action required. Once the TPRMHub has successfully launched, Third-Party Suppliers will only be required to register access (for the first time) and log-in to complete the assigned Due Diligence questionnaire(s). If there is a change to the previously agreed engagement or existing contract of goods and/or services offered to ANZ, new questionnaires will be available to complete in TPRMHub using your existing log-in details.</p>
<p>How will existing engagements be managed?</p>	<p>Any current or 'in-flight' engagements will continue through the existing process unless there is a change to the scope of engagement on the goods and/or services offered to ANZ. If there is a change, the ANZ Relationship Manager may be required to re-submit the engagement through the TPRMHub which may then require Third-Party Suppliers to access the TPRMHub.</p>
<p>What's staying the same?</p>	<p>Some of the Due Diligence questions and requirements essential to the 'Pre-contracting Engagement' (Due Diligence) with ANZ will continue to exist. Your ANZ Relationship Manager will remain as your engagement contact with ANZ.</p>
<p>Will data and information be migrated to TPRMHub?</p>	<p>There is no intent for existing Third-Party Supplier data previously provided to be migrated to the TPRMHub. ANZ will provide notice of any data migration, collection, and storage. As this is a brand-new implementation of the TPRM solution, every effort has been made to ensure quality data can be leveraged moving forward. Where possible, supplier level assessments have been migrated so that these can be leveraged for multiple engagements. Some specific assessments that were completed previously may need to be recompleted to ensure we have the most up to date information to identify, assess and manage the risks associated with the engagement.</p>
<p>What if there are concerns with completing the questionnaire(s)?</p>	<p>Contact your ANZ Relationship Manager or the ANZ TPRM Team at TPRMQuery@anz.com if there are challenges or concerns with completing Due Diligence through the TPRMHub. It's important that the TPRMHub is accessed to complete Due Diligence to ensure that ANZ can capture and store the necessary information, as well as track the end-to-end Third-Party Supplier engagement process with ANZ.</p>

FREQUENTLY ASKED QUESTIONS CONTINUED

Question	Response
When are these changes happening?	Phase 1: Pre-contracting engagement changes June 2024 Phase 2: Post-contracting (including ongoing monitoring) engagement changes later this year.
When will access be provided?	Once the TPRMHub has successfully launched, Third Party Suppliers will only be required to register access (for the first time) and log-in to complete the assigned Due Diligence questionnaire(s). If there is a change to the previously agreed engagement or existing contract of goods and/or services offered to ANZ new questionnaires will be available to complete in TPRMHub using your existing log-in details.
Where will the access notification come from?	Notifications from TPRMHub will be sent via a no-reply e-mail address, detailing the required hyperlinks to support the noted actions. If you have any questions, contact TPRMQuery@anz.com
How will users know when access has been provided?	An e-mail notification will be provided to register access (for the first time) and log-in to complete the assigned Due Diligence questionnaire(s).
Who can register for access?	Access is initiated when Third Party Suppliers are required to complete Due Diligence Questionnaires. Third Party Suppliers who receive a request to register and complete the assigned Due Diligence questionnaire(s) can access the TPRMHub.
What are the benefits and improved experience?	<ul style="list-style-type: none"> • A significant reduction, simplification, and consolidation of key questions related to the Third Party Risk Management lifecycle • Enhanced user experience through an intuitive and easy-to-access system • A more streamlined process and touchpoints across different areas within ANZ • Improved traceability and accountability through the engagement process, so you always know where you are in the process • A consistent and secure approach in the way ANZ requests and stores information
Can I add vendors that I am using for my engagement with ANZ (Fourth Party Suppliers)?	Yes, you can, however the TPRMHub is designed to add up to 5 Fourth Party Suppliers. If you are working with more than 5 Fourth Party Suppliers,, please contact the ANZ TPRM Team at TPRMQuery@anz.com for us to add to your list.

FREQUENTLY ASKED QUESTIONS CONTINUED

Question	Response
<p>What if I can't use the TPRMHub?</p>	<p>TPRMHub is ANZ's Third Party Risk Assessment platform. It is a new way of engaging with ANZ's third party suppliers. ANZ is striving towards a future state where all aspects of third-party supplier engagement will be enabled via this portal. For now, there is a work around in case you are unable to use the TPRMHub. Please speak with your ANZ Relationship Manager regarding available options.</p>
<p>Who do I go to for support on TPRMHub and the Due Diligence process?</p>	<p>Contact your ANZ Relationship Manager or the ANZ TPRM Team at TPRMQuery@anz.com</p>
<p>What resources are available?</p>	<p>User-Guide that includes Frequently Asked Questions (this document) will be available to assist with using the TPRMHub and completing the Due Diligence process. These resources will be shared in upcoming e-mail communications sent to you and published on the ANZ.com website.</p>
<p>Is there training material for TPRMHub?</p>	<p>While there is no formal training, Third-Party Suppliers will be provided with a User-Guide that includes Frequently Asked Questions (this document) to assist with using the TPRMHub and completing the Due Diligence process. Additionally, optional drop-in sessions will be made available for registration before and after the launch of the TPRMHub. These resources will be shared in upcoming e-mail communications sent to you and published on ANZ.com</p>
<p>What email addresses should I expect emails from to ensure I don't mark it as spam?</p>	<p>All TPRMHub communication will come from one of the following email addresses:</p> <ul style="list-style-type: none"> • aupingmaildsa@anz.com - for account set up and notifications if the account is due to expire in 90 days. • NoReply@TPRM.anz.com - for any system notifications emails, such as when external due diligence questionnaires have been sent or follow up reminders. • TPRMQuery@anz.com - support team email address to raise questions or issues
<p>How can I find out more about this?</p>	<p>Third Party Suppliers will receive a series of communications in preparation for the introduction of the TPRMHub. Additionally, optional drop-in sessions will be made available for registration before and after the launch of the TPRMHub. You can also contact your ANZ Relationship Manager or the ANZ TPRM Team at TPRMQuery@anz.com for more info.</p>