

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

THIRD PARTY SUPPLIER VIEW



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INTRO & PURPOSE

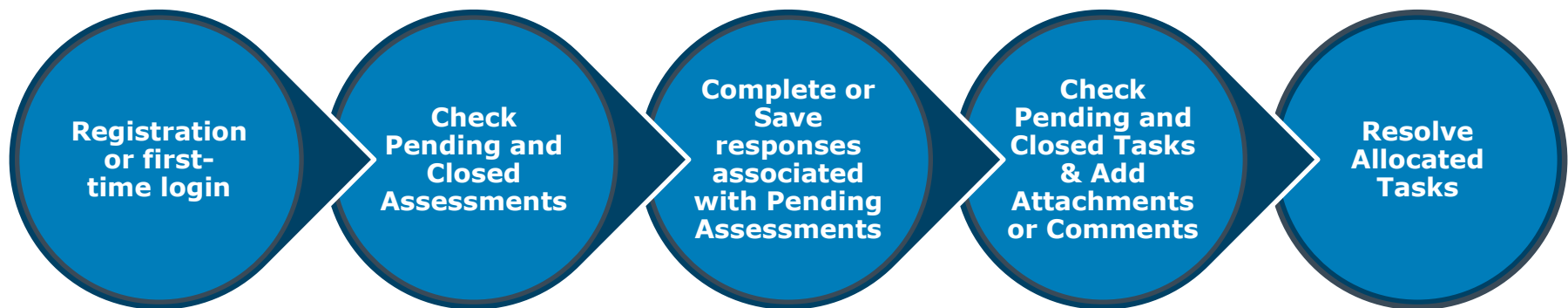
As part of ANZ's ongoing commitment to improve the way we engage with you, we are introducing a new Third-Party Risk Management (TPRM) Hub.

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

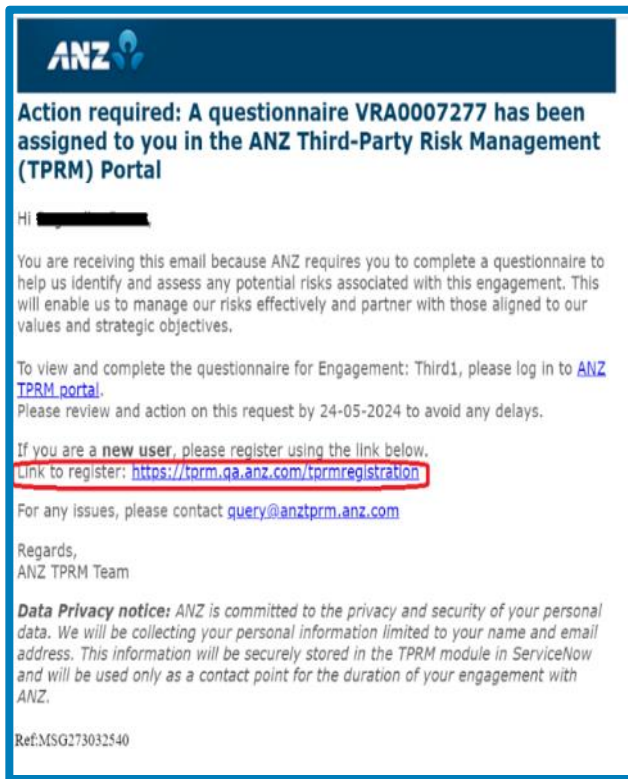
This step-by-step guidance focuses on specific processes, as below, to support you in completing Due Diligence processes in the new TPRMHub.



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.

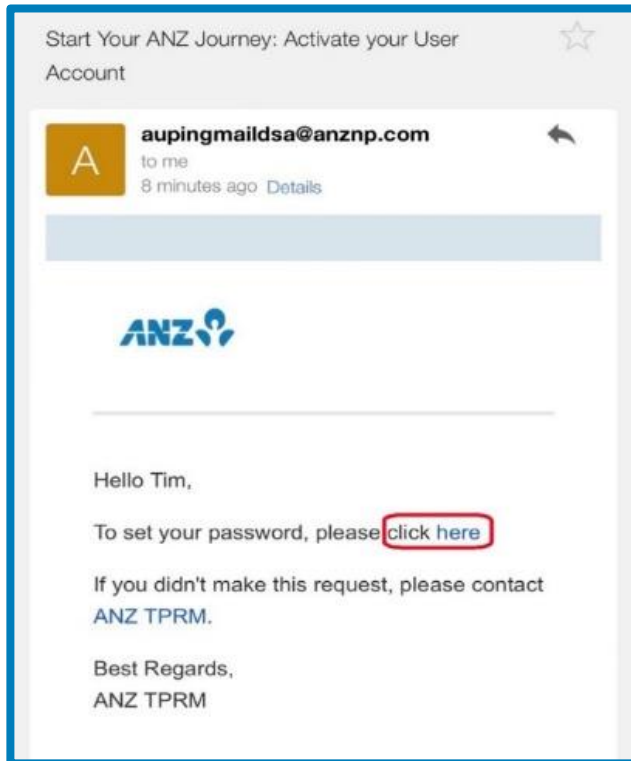


REGISTRATION OR FIRST-TIME LOGIN CONTINUED

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.

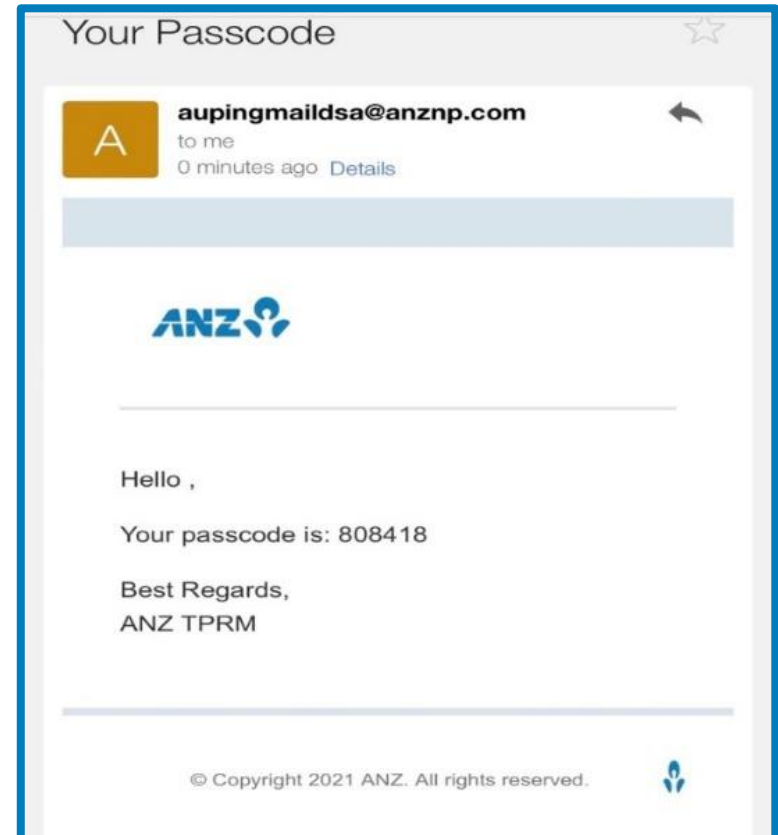
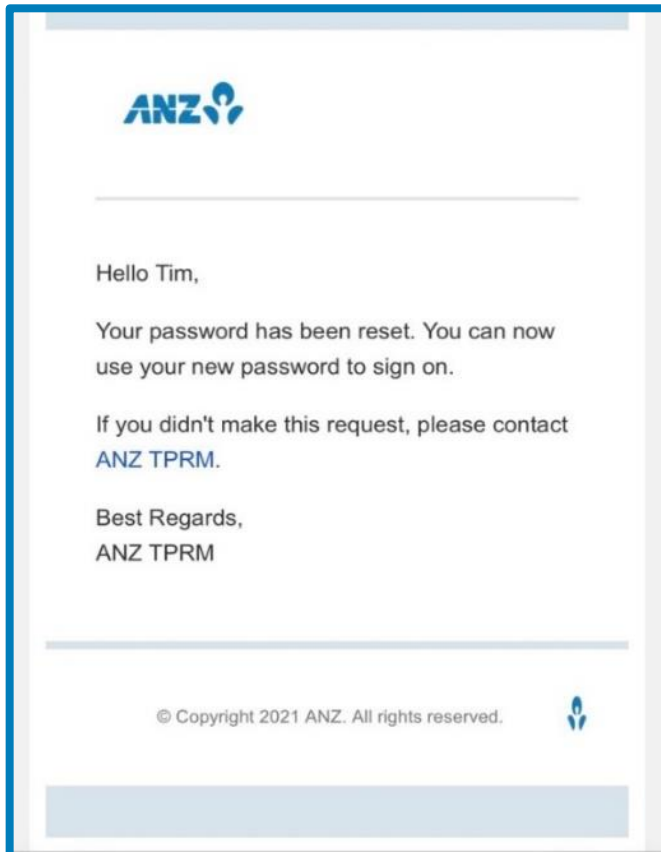


The screenshot shows the "User Set Password" form. At the top, the ANZ logo is displayed. Below it, the title "User Set Password" is centered. There are three progress indicators: "Request Email" (checked), "Validate Link" (checked), and "Set Password" (active, indicated by a '3' in a circle). Below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

REGISTRATION OR FIRST-TIME LOGIN CONTINUED

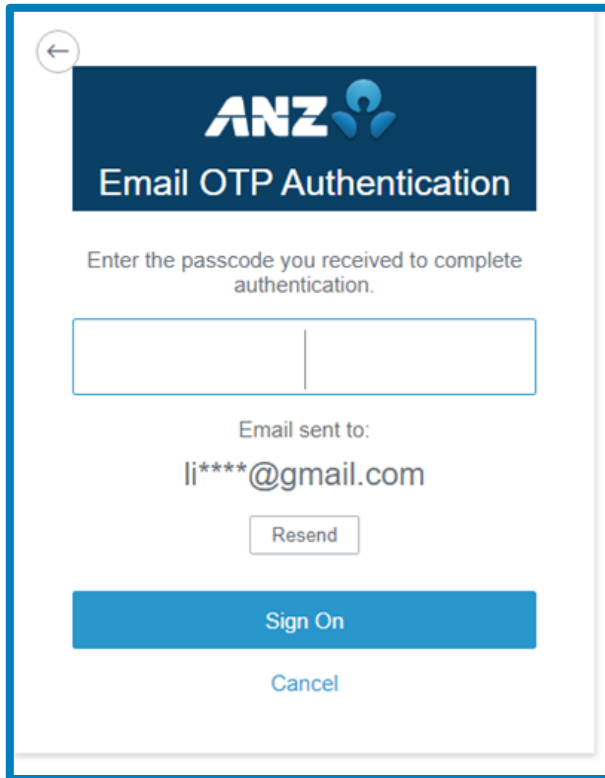
Step 5. A confirmation message will be displayed once the password has been successfully set-up. Use this password whenever logging into the TPRMHub Portal.

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).



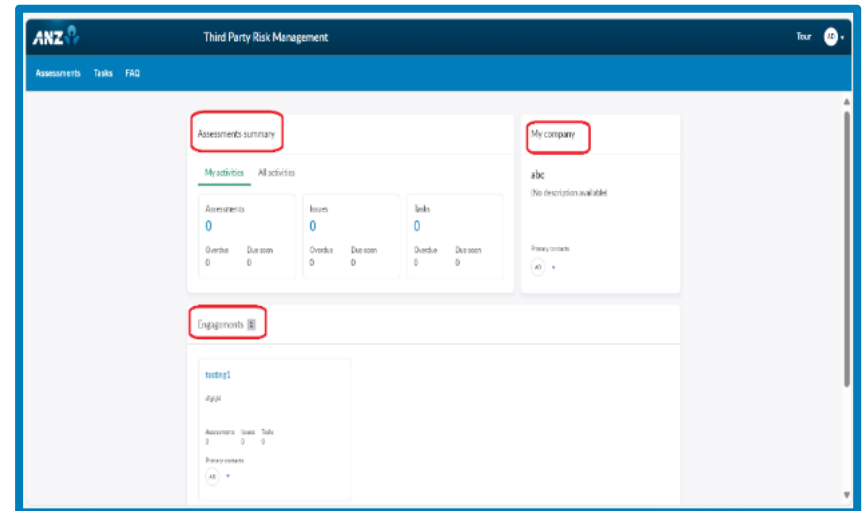
REGISTRATION OR FIRST-TIME LOGIN CONTINUED

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



The screenshot shows the 'Email OTP Authentication' screen. At the top, there is the ANZ logo and the title 'Email OTP Authentication'. Below this, a message reads 'Enter the passcode you received to complete authentication.' followed by a large input field for the OTP. Underneath the input field, it says 'Email sent to: lj****@gmail.com' with a 'Resend' button. At the bottom, there are two buttons: 'Sign On' (highlighted in blue) and 'Cancel'.

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 displays the 'Third Party Risk Management' dashboard. The header includes the ANZ logo, the title 'Third Party Risk Management', and navigation links for 'Assessments', 'Tasks', and 'FAQ'. The main content area is divided into several sections:

- Assessments summary:** A section with a red box around the title, containing a table with columns for 'Assessments', 'Issues', and 'Risks'. Each column has a '0' in the 'Count' row and 'Overdue' and 'Due soon' columns with '0' values.
- My company:** A section with a red box around the title, displaying 'abc' and 'No descriptions available'.
- Engagements:** A section with a red box around the title, showing a table with columns for 'Assessments', 'Issues', and 'Risks', and a 'Resend' button.

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 shows 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 with a user profile icon. Below the ribbon, the "Assessments" tab is highlighted in red. The main content area is divided into several sections:

- Assessments summary:** A red-bordered box containing a "My activities" section with a table of metrics: Assessments (1), Issues (0), and Tasks (0). Below this is a "3rd Party Management" section for "Manish Suartha@anz.com" with a table showing 3 Assessments, 0 Issues, and 0 Tasks.
- My company:** A red-bordered box for "ALEX" with "(No description available)" and a "Primary contacts" dropdown menu.

Green callout boxes with arrows point to the following elements:

- Assessment Tab:** Points to the "Assessments" tab in the navigation bar.
- TPRM Home Page:** Points to the "Third Party Risk Management" text in the navigation bar.
- Assessment Summary:** Points to the "Assessments summary" section.
- User Profile:** Points to the user profile icon in the top right.
- Company Details:** Points to the "ALEX" company information box.
- Engagement Details:** Points to the "3rd Party Management" section.

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.

The screenshot displays the ANZ Third Party Risk Management interface. At the top, there is a navigation bar with 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". A red box highlights the "Assessments" tab, which is labeled "Assessment Home page". Below the tabs, there are two sub-tabs: "Open Assessment Tab" and "Closed Assessment Tab". The "Open Assessment Tab" is selected and shows a table of assessment lists. A red box highlights the "Open" sub-tab, which has a count of "1". Another red box highlights the "Closed" sub-tab, which has a count of "0". The table below shows a list of assessments with columns for "Assessment", "Entity", "Status", "Questionnaires", and "Due by". A red box highlights the first row of the table, which is labeled "Assessment Lists".

Assessment	Entity	Status	Questionnaires	Due by
Security Capability Questionnaire	3rd Party Management Engagement	New	0/1 completed	2024-05-29

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 central focus is the "Security Capability Questionnaire" page. It features a "Submit assessment" button in the top right corner. Below this, there are two main sections:

- Assessment Requests:** This section contains a list of requests. The "Requests" tab is highlighted with a red box and a green callout. The first request is "Security Capability Questionnaire", which is also highlighted with a red box and a green callout. The request details include "As part of your engagement with ANZ, you are required to answer the below questions. Please ensure you provide accu..." and "0/3 answered".
- Assessment Questionnaires:** This section is also highlighted with a green callout and contains a list of questionnaires.

The interface also shows a "Due by: 2024-05-29" date and a "Next" button. The overall layout is clean and professional, with a blue and white color scheme.

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 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 > Security Capabiltys Questionnaire". On the left, there is a "Assessment Sections" menu with a "General" section highlighted. The main content area is titled "Security Capability Questionnaire" and contains 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 this text, there are two tabs: "Questionnaire" (selected) and "Notes and comments". There are 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)?" with radio button options for "Yes" and "No". In the top right corner, there are two buttons: "Save and exit" and "Submit". A callout box labeled "Save or Submit Button" points to these buttons. Another callout box labeled "Assessment Questionnaires" points to the "General" section in the left menu.

CHECK PENDING AND CLOSED TASKS & ADD ATTACHMENTS OR COMMENTS

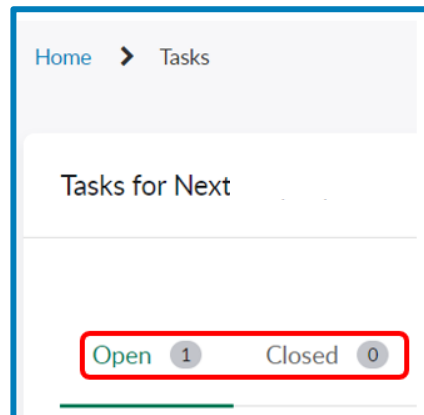
Step 1. Access the TPRM Portal and login with your Third-party email address and password.

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' dashboard. At the top, there is a tab labeled 'Open' with a '1' next to it, highlighted with a red box and a green arrow pointing to it. 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 with a red box and a green arrow pointing to it.

The screenshot shows the details page for the 'Security Capability Questionnaire' task. The breadcrumb trail is 'Home > 3rd Part Management > Security Capability Questionnaire > Need Information'. The task ID is 'VRT0004587' and the status is 'Need information'. The 'Task Details' section shows 'Status: Draft' and 'Created: 9m ago'. The 'Assigned to' section shows '-- None --'. The 'Attachments' section is highlighted with a red box and a green arrow pointing to it, showing a paperclip icon and the text 'Click below to attach a file' and an 'Attach' button. The 'Comments' section has a text input field with the placeholder 'Type your message here...' and the text 'Add your comments here.' inside it, and a 'Send' button. Below the comments is a timeline showing a 'Start' event and a 'TPRM Office VRM Test' event created 9m ago.

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

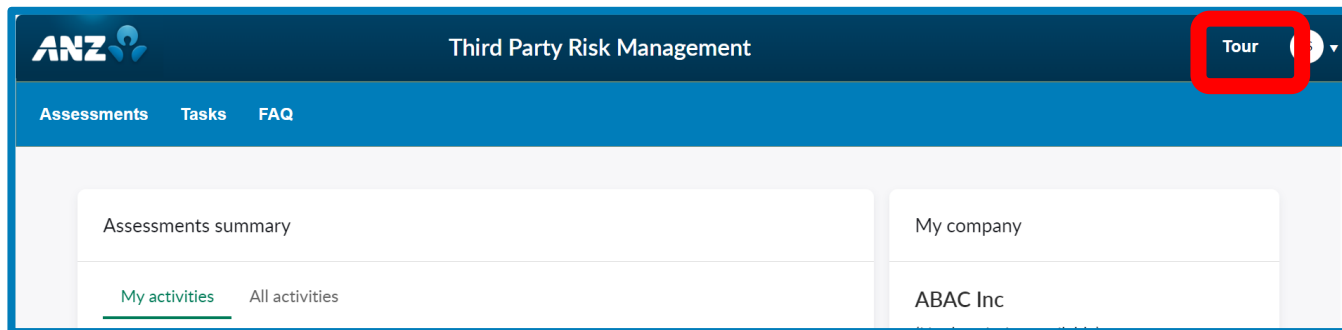
Instructions:

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.

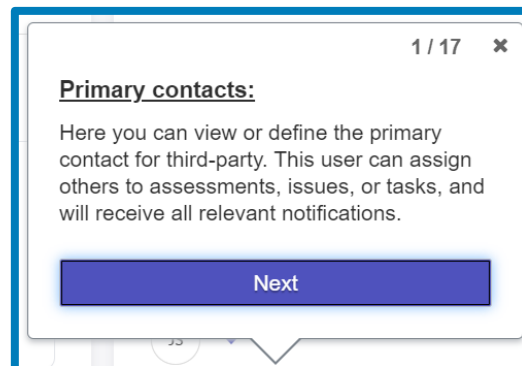
CAN I HAVE A TOUR OF THE PORTAL?

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>