RioTinto

Integrated Seller Transaction Guideline

SAP STATEMENT OF CONFIDENTIALITY AND EXCEPTIONS

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VERSION HISTORY

This log is updated each time this Process Document is updated. The log identifies the version number, the date the version was completed, the author of the changes, and a brief description of the changes.

Version	Date	Author	Description
0 - draft	15/6/2017	Jodie Yovanitch, Cristian Mihalache SAP Ariba	Initial Version of Document
1.0	23/06/2017	Rio Tinto document review (Ross/Cristian)	Added Rio Tinto specific mappings
1.1	03/07/2017	Cristian Mihalache	Added receipt and remittance advice document specifics
1.2	04/07/2017	Ross, Kumar, Cristian	Updated document with all current mapping requirement details.
2.0	25/07/2017	Cristian	Updated specs for documents in scope (more details)
3.0	02/10/2017	Cristian	Updated document with more details for Order confirmations and invoices requirements
4.0	07/05/2018	Cristian	Updated document to include subsequent debits and credits processes. Updated samples. Removed Quadrem migration specific topics.
5.0	05/05/2020	Jodie Yovanitch	Added X12 856 sample to X12 deltas
6.0	04/06/2020	Jodie Yovanitch	Added some ASN specifics re: UOM, packing slip ID, operation
7.0	08/06/2021	Jodie Yovanitch	Added notes/preference re payment terms on invoices
		Pam	Updates

RIO TINTO MAPPING REQUIREMENTS AND DELTAS

Deltas

In the following excel workbooks you will find cXML and EDI transactions accepted by the Ariba Network including the specific requirements for Rio Tinto noted in red. If your preferred format is not included, please enquire the assigned SAP Ariba Seller Integrator about it.

Rio Tinto technical samples and explanations for cXML, ANSI X12

Rio Tinto_ cXML delta
requirements.xlsx

ANSI X12 Rio Tinto
samples.xlsx

The following is a <u>summary</u> of the requirements that are unique to Rio Tinto's procurement environment, as detailed in the Excel Delta's document.
Please note not all these requirements are applicable to all vendors, this document is a guide with general requirements for integrated suppliers.

Purchase Order Specifics (Tab 1)

- Order types in scope for Rio Tinto:
  - Goods orders
  - Service orders
  - Repair orders
  - Repair and Return orders
  - Consignment orders
  - Confirmation PO (aka EPO, emergency PO, PO sent or done outside of Ariba Network and sent for reference and invoicing only to Ariba Network).
- The order type is sent on all purchase orders (details in section Purchase Order details section)
- Payment terms will be sent on all POs and are required to be matched back on the invoices. If the supplier is unable to send them back on invoices, then the field can be omitted, however that also means they agree to the payment terms specified in the order.
- Goods orders - Supplier part numbers: if the field supplier part number is not populated, the manufacturer part number field is populated, and the supplier is to map accordingly. To avoid unnecessary loops, the supplier doesn't need to propose the part number in the Order Confirmation document when the manufacturer part ID is being sent in the order.
- If there is a different vendor ID expected in the Rio Tinto system back on the invoice, the Vendor ID is sent at header level (extrinsic) and is required back on the invoice in the remit to address ID field (otherwise the extrinsic is not sent at all)

Invoice Specifics (Tab 2)

- All invoices must reference a PO
- Payment Terms are optional, and Rio Tinto preference is they are omitted. If Payment Terms are included on the invoice, they are required to be sent as they appear on PO or the invoice will be rejected. Payment Terms should NOT be hardcoded in case they change in future.
- No changes are allowed in the invoice from the PO line level details, except supplier part number.
- Specific tax IDs, categories and values are required for each country. Please see below invoice specifics section for the table of category values specific to your country (countries).

- Delivery note / Packing Slip document number is mandatory to be specified for goods related invoices. If both Delivery note & Packing Slip are maintained in the cXML, the Delivery Note ID will take precedence.
- Credit notes are required to reference the invoice they're meant to credit. A reason is required for the credit in the comments section at header level.
- Invoice and Credit Memo numbers are limited to 35 characters and are not to have any special characters.

Order Confirmation Specifics (Tab 3)

- Order confirmations are mandatory for suppliers. You will not be able to submit invoices without having an Order confirmation document with accept status on all lines submitted first.
- Delivery dates are required for Order Confirmation (except in case of rejections).
- Specific values are required in case the vendor needs to reject the order – please see list of values for both header level and line rejections in the cXML deltas.
- In case of rejection, the vendor need to reject the entire line quantity of that line, partial line level rejections are not allowed
- To update an order confirmation document or line, a reference to the previously acknowledged order confirmation payload ID is required as well as setting the header operation value to 'update'.
- Confirmation document number (confirm ID) and Supplier Reference are required – if the document number is not available, the confirmation number field value should be copied on the supplier reference as well using the PO number. Details about the 2 fields in the cXML deltas. Confirmation number field is not supposed to be more than 35 characters.

Ship Notice Specifics (Tab 4) – Optional document
- Delivery dates are required for Ship Notices.
- Shipment ID is required and must not exceed 35 characters
- UOM's included are required to match PO and must be in UPPERCASE. It is recommended this be copied from the PO as-is and mapped to the respective ASN line.
- Rio Tinto only support new ASNs (operation = "new"). Cancellation (operation = "delete") and editing of existing ASN's (operation = "update") are not permitted.

Extrinsics (Tab 5)

Please see tab 5 of the cXML Deltas for a full list of extrinsic fields.

Receipt – optional document (tab 6)
- Rio Tinto will be sending receipt information to suppliers needing this information

Remittance Advice – optional document (tab 7)
- Rio Tinto will be sending Remittance Advice documents to suppliers needing this information

Invoice status update – optional status file (tab 8)
- Rio Tinto will be sending Invoice status update documents to suppliers needing this information (approved, rejected with comments statuses)

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RIO TINTO DETAILED SPECIFICATIONS AND REQUIREMENTS
Scope

RIO TINTO Prod ANID: AN01003886221

RIO TINTO Test ANID: AN01003886221-T

Required Transactions

- Purchase Order
- Order Confirmation
- Invoice

Optional Transactions

- Advanced Ship Notice
- Receipt
- Remittance Advice

Purchase Order Details

Purchase Order Types Supported	Purchase Order Types Not Supported
New POs (Material/Goods, Confirmation, Consignment)	Blanket POs (BPO's)
Change/cancel POs	
Non-catalog POs (free text)	
POs with attachments	
Repair orders (sent as goods)	
Service POs	

Table 1 - Purchase Order Types Supported/Not Supported

Supported integrated routing for orders:
- cXML
- EDI via SAP Ariba Cloud Integration Gateway supported formats – please specify to your Seller Integrator the preferred format

Order type extrinsic list of values below – based on these values, the supplier can choose to set up an order routing exception to have specific order types emailed instead of integrated. For example, if Service orders are not to be integrated, the supplier will need to create an order routing exception and add the extrinsic value (case sensitive): "Service PO" in the exception list.

PO cXML output from Rio Tinto: <Extrinsic name = "transactionCategoryOrType">*Order type*</Extrinsic>

'Confirmation PO'
'RepairAndReturn PO'
'Service PO'
'Repair PO'
'Consignment PO'
'Goods PO'

Ship To Address

- RIO TINTO PO will send Ship To address at both header/line level..
- RIO TINTO PO will contain Ship To address IDs
- To identify that shipping details are sent at the line item level, the ship to address Name at header level will be: "See Address below for each item"

Order Confirmation Details

Rio Tinto **requires** Order Confirmations. Supported methods of providing them are:

- cXML
- EDI via SAP Ariba Cloud Integration Gateway supported formats – please specify to your Seller Integrator the preferred format.
- Online - if the supplier is unable to provide order confirmations via an integrated channel, the supplier is required to submit online confirmations

Confirmation ID and Supplier reference fields are required. If the document numbers are not maintained in the supplier's system, the PO number can be used as supplier reference.

Requesting / proposing changes to orders

When Rio Tinto receives change requests via order confirmations, they will either confirm the changes and send a change order back to the supplier, or reject the changes and send a cancel order.

The status of already accepted lines can be retained, so when confirming the change order only the changed lines would need updating. If the supplier needs to send in their Order Confirmation documents all the lines of the order, and cannot exclude already confirmed (accepted) lines, then retaining the order confirmation status for change orders can be switched off.
If the vendor needs to send in Order Confirmations lines that have already been accepted or rejected, a reference to the previously sent Order Confirmation file payload ID is required.
If the vendor needs to send all the lines of the order (all the time), both changed and the unchanged ones, Ariba can disable the rule to retain order confirmation status since the vendor is always going to be updating all the lines.

Accepting the order
Suppliers can accept at header level, but will need to provide minimum line level info by confirming the delivery date and accepted quantity of each line.

Rejecting the order
Supplier can reject an order at both header and line level.
When rejecting at line level, the supplier cannot reject partial line quantity, the entire line needs to rejected.
Rejection reasons are required, the messages from vendors are going to be reviewed by the buyer and subsequent actions will be taken based on these reasons (comments).

Ship Notice Details

Customer **does not require** Ship Notices. Supported methods of providing them are:

- cXML
- EDI via SAP Ariba Cloud Integration Gateway supported formats – please specify to your Seller Integrator the preferred format
- Online– if the supplier is unable to provide ship notices via an integrated channel, the supplier can do so via the online portal

Receipt Details

Customer **does not require** suppliers to integrate this document, however this document will be sent to suppliers and would be available to either integrate or view online in your Ariba Network account.

Remittance Advice Details

Customer **does not require** suppliers to integrate this document, however this document will be sent to suppliers and would be available to either integrate or view online in your Ariba Network account.

Invoice Details

Rio Tinto **requires** Invoices. Supported methods of providing Invoices are:

- cXML
- EDI via SAP Ariba Cloud Integration Gateway supported formats – please specify to your Seller Integrator the preferred format
- Online – if the supplier is unable to provide invoices via an integrated channel, the supplier is required to submit online invoices

Invoice Types Supported	Invoice Types Not Supported
Individual Detail Invoice: applies against a single PO referencing line items; line items may be material items or service items.	Non-PO Invoice: invoice against PO not transacted via the Ariba Network
Partial invoice: Invoice against a portion of the items on a PO.	Non-PO invoice against contract or master agreement
Invoice against material PO (Goods, Repairs, Consignment, Confirmation)	Line level credit supported by standard invoice with negative quantity at item level and positive unit price
Invoice against Service PO	Header Credit Memo
lineLevelCreditMemo (cXML 1.2.018 and higher) invoice purpose set to "lineLevelCreditMemo"	Debit Memo
Cancel Invoice (US Only)	Invoice against PCard
Duplicate Invoice: invoice numbers may be reuse in case of reject/fail of original invoice	Information Only Invoice
	Header Invoice: single invoice applying to single PO without item details

Table 2 - Invoice Types Supported/Not Supported

Tax categories specific to each country:

Australia	Canada	Singapore	United States	South Africa
10% GST / GST 0% GST / GST Free	13% HST / HST / TVH 5% GST / GST / TPS 9.975% QST / QST / TVQ 0% Sales Tax / Sales Tax Exempt / Exoneration de taxe de vente 8% PST / PST / TVP 15% HST / HST / TVH 7% PST / PST / TVP 6% PST / PST / TVP	0% GST / GST Zero Rated 7% GST / GST		0% VAT / VAT Free 15% VAT / VAT

Country based invoice rules

Please review your country's specific transaction rules in the embedded spreadsheet below.

Country Based
Invoice Rules June'18

Tax Requirements

- Tax is required at the line item level (except in US).

- A summary tax amount is required on all invoices even if that amount is zero.

- Supplier tax registration number(s) is required (except in US).

Alternate Payee process

Rio Tinto request that if the vendor requires an Alternative Payee for an invoice, the vendor will be required to enter the Rio Tinto SAP Vendor Number ID in the Ariba Invoice, in:

```
<InvoicePartner>
  <Contact role = "remitTo" addressID = "123456">
    <Name xml:lang = "en-AU">Rio test - TEST</Name>
```

The vendor ID in this cases will be sent in the Purchase order under extrinsic field:
```
<Extrinsic name = "VendorIdNumber">123456</Extrinsic>
```

Unplanned costs (This is not applicable to vendors in Australia, only Canada.)

1. Allowed Unplanned Charges:
   Only Shipping Costs at the Header are allowed for unplanned charges. Special Handling amounts will not be accepted.

```
<InvoiceDetailSummary>
<ShippingAmount>
<Money currency="CAD">10.00</Money>
</ShippingAmount>
```

2. Taxes on Unplanned Charges:
   If applicable, must be applied to the header shipping

```
<InvoiceDetailSummary>
<Tax>
<TaxDetail
category="tax code" percentageRate="%" purpose="shippingTax">
<TaxableAmount>
<Money currency="currency">monetary amount</Money>
</TaxableAmount>
<TaxAmount>
<Money currency="currency">monetary amount</Money>
</TaxAmount>
<Description xml:lang="en-AU">tax code description</Description>
```

Attachments - Allowed Document Types:
PDF, FAX, DOCX, DOC, HTML, JPG, MSG, PDF, PPT, PPTX, FAX, VSD, XLS, XLSX, XML, ZIP

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Subsequent credits and debits processes

New invoice transaction rules have been added that control whether buyers allow Line Item Debit Memo and Line Item Credit Memo on price adjustments. These rules allow integrated suppliers to send these adjustments on price through cXML. Note: Suppliers can't create LIDM and LICM on price adjustments in the Ariba Network user interface yet.

Line item credit memo with price adjustment example:

```
<InvoiceDetailRequestHeader invoiceDate = "2018-01-01T00:01:00-05:00" invoiceID = "LICMA"
invoiceOrigin = "supplier" operation = "new" purpose = "lineLevelCreditMemo">

        <InvoiceDetailHeaderIndicator/>

        <InvoiceDetailLineIndicator isPriceAdjustmentInLine = "yes" isTaxInLine = "yes"/>
```

Line item debit memo with price adjustment example:

```
<InvoiceDetailRequestHeader invoiceDate = "2018-01-09T00:01:00-05:00" invoiceID = "LIDMA"
invoiceOrigin = "supplier" operation = "new" purpose = "lineLevelDebitMemo">

        <InvoiceDetailHeaderIndicator/>

        <InvoiceDetailLineIndicator isPriceAdjustmentInLine = "yes"  isTaxInLine = "yes"/>
```

Both credits and debits require the invoice reference as it refers to a subsequent credit or debit of an existing invoice.

To reference another invoice, these fields are required (placement right before the shipping details)

```
        </InvoicePartner>

        <DocumentReference payloadID = "previous invoice payload ID"/>

        <InvoiceIDInfo invoiceDate = "previous invoice date" invoiceID = "INVOICE1"/>

        <InvoiceDetailShipping>
```

TROUBLESHOOTING GUIDES

Ariba Network troubleshooting

Supplier can search and view errors with their document on the Ariba Network portal.

To do this, log into the Ariba Network, and find the failed document.

Click on the failed document and choose History on the top left corner:

The URL where the file was posted and the detailed exception will be shown.

To set up notifications about errors, navigate to Network Notifications and tick the boxes you need notifications for:

Cloud Integration Gateway troubleshooting guide

CIG Troubleshooting
Guide.docx

SUPPLEMENTAL DOCUMENTATION

This document contains RIO TINTO specific information regarding transaction requirements. Information in this document does **NOT** cover the complete technical aspects of integrating with the Ariba Network. Below are two sections for supplemental documentation to be used with this document for EDI or cXML transaction formats. Only refer to the section that pertains to the format your organization with be sending/receiving from the Ariba Network (EDI or cXML).

cXML Section for Supplemental Documentation
New cXML supplier to Ariba Network must:
1. Support a DTD (document type definition) validation tool internally and download the document type definitions (DTD's) for all supported transactions.
2. Support HTTPS protocol. Ariba supports HTTPS (not HTTP) only for cXML transactions.
3. Review the cXML Solutions Guide and cXML User Guides.

cXML Document Type Definitions (DTD's):
- http://cxml.org Download InvoiceDetail.zip for the InvoiceDetailRequest.dtd.
- http://cxml.org Download cXML.DTD for the OrderRequest
- http://cxml.org Download Fulfill.dtd for ConfirmationRequest/ShipNoticeRequest

Recommended Resources: The SAP Business Network cXML Solutions Guide

ARIBA NETWORK SUPPORT INFORMATION

Supplier Integration (SI) support is available to RIO TINTO suppliers. SI support is available during the test phase and two weeks post-go live with RIO TINTO, or until the first production transactions are exchanged. After that period, suppliers must leverage Ariba Technical Support for any production issues.

Depending on your transaction volume across all Buyers on the Ariba Network you will be automatically subscribed to a Supplier Membership Program Subscription. These subscriptions provide your organization access to many premium features and services that are exclusively available to members at these levels. The Premier, Enterprise, and Enterprise Plus levels provide ongoing technical electronic document support. To find out more go to:

http://www.ariba.com/assets/uploads/documents/Datasheets/SMP_Subscription_Datasheet.pdf.
To find out your Program Subscription, log on to https://supplier.ariba.com, click the Property Navigator toolbar on the upper right corner of the page and select **Service Subscriptions** in the drop down box.

Until subscribed to one of Ariba's support programs, limited assistance regarding account registration, access and configuration is available from Ariba:

By Telephone:

Europe, Middle East and Africa: +44 (0) 20 7187 4185

US/Canada toll free: 1-866-31ARIBA (1-866-312-7422)

North/South America +1-412-222-6170

Asia Pacific: +65 6311 4585

By Web:

If you can log into your Ariba Network Account	If you cannot log into your account
• Login at http://supplier.ariba.com • Once logged in, click on the *'Help'* link located on the upper right hand side of the page and choose *Help Center.* • Select Support located in the top right hand side of the page. • Options in the bottom right hand side of the page are Live Chat or By Phone. • An Online Service Request can also be submitted by selecting the "Start" button in the top center of the page.	• Go to http://supplier.ariba.com • For login issues select the *"Forgot Username"* or *"Forgot Password"* links near the top of the page. • Fill out the web form and select the *Submit* button.