SAP Ariba /\\\

Feature at a Glance
Periodic Review of Risk Controls

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THE BEST RUN **SAP**

Feature at a Glance
Introducing: Periodic Review of Risk Controls

Ease of implementation ● High touch
Geographic relevance ● Global

Customer challenge

Customers require unique interplays between the evidence used to support control reviews and the rules governing the collection of evidences based on the specific details of the supplier and engagement. Frequently, updating reviews of controls are determined on a case by case basis related to risk level & real world incidents. Additionally, when new evidences are provided (with the assessments updated) or initial reviews expire, decision makers are unable to take action unless new engagements require another control review.

Customers need a comprehensive view of control data in the place where decision makers make decisions.

Meet that challenge with
SAP Ariba

This feature introduces a new Control List view for control review decision makers. An enhanced control review user interface brings assessment responses onto the page where the control review decisions are made. New control review specific actions have been introduced including directly setting the control review's expiration as well as the ability to reopen a control review, leave in an open state for later review, and optionally request new evidence collection.

Experience key benefits

- Create a risk control view to specifically support the actions of the risk control decision maker.
- Support control-oriented perspective of a supplier with filtering of controls across all key dimensions.
- Enhanced actions for risk control decision makers allowing for ad-hoc control reviews and setting periodic control review schedules.
- Empower decision makers to request updated evidences from questionnaire recipients from within the control review page
- Provide a comprehensive view of control data in the place where decision makers make decisions.

Solution area

SAP Ariba Supplier Risk

Implementation information

This feature is ready for immediate use for all customers with the applicable solutions but requires **customer enablement** steps.

Prerequisites and Restrictions

Control-based engagement risk assessment projects and Action queue feature must be enabled on your site using the self-service site configuration parameter Application.SR.Engagement.EnableActionQueue.

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Introducing: **Periodic Review of Risk Controls**

Detailed feature information:

This feature introduces a customer configurable parameter: **Application.SR.Engagement.EnableControlReviewWorkflow** to turn on the Periodic Review – Risk Control feature.

| HOME | SOURCING | **SUPPLIER RISK** | MORE...▾ | | Recent ▾ | Manage ▾ | Create ▾ |

Supplier risk administration

Reports

Configure risk exposure

Import data

Configure alerts

Customize supplier alerts

Content and service providers

Adverse media feedback center

Manage upgrades

Configure periodic reviews

Configure periodic reviews

Engagements   **Control review**

Control review configuration

    Cancel   **Save changes**

Days before expiration to create review action: `5`

Email notifications

Notify when control is pending expiration: ⬤

Recurring notifications: ⬤

Notification recurrence, in days: ⓘ   `2`

Notify when assessment is updated: ⬤

Recurring notification: ◯

Process existing control reviews

Apply configuration to existing control reviews: **Learn more**

Configuration of the feature is accessed via the "gear" icon on the Supplier Risk dashboard where "Action" creation and notification settings are configured and the one-time migration task can be performed. Migration allows existing control reviews with expiration dates to be monitored for expiration status.

The number of days before the expiration date of the control review set here determines when the Control review expiration actions are created and displayed in the Action Queue. This setting determines when the control review displays as **Expiring soon** on the control list page.

Select which control review expiration notifications are sent and the recurrence.
- This notification alerts control-review decision makers that a review is expiring soon (based on above setting) and its recurrence until action is taken.
- This notification is an alert that an assessment has been updated and the control review is now pending for control-review decision makers.

One time migration task administration performed by following the "learn more" link. Completing migration will allow control reviews with expiration dates already in the system to have actions and notifications created based on settings on this administration page.
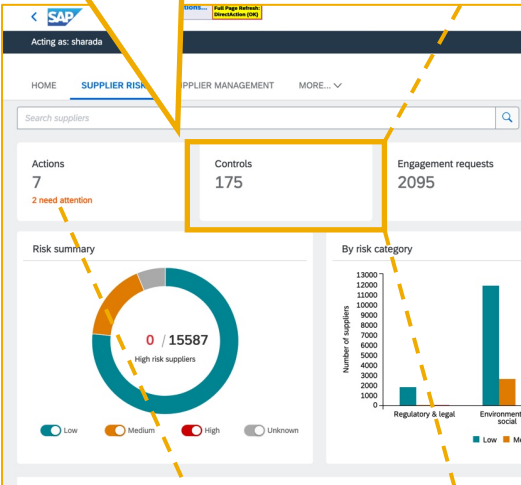
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Detailed feature information:

The Supplier Risk **dashboard** will display a new **Controls** tile for control review decision makers that takes the user to the new **control list page** presenting a consolidated view of all the control reviews for which the user has the control decision maker relationship.

Control tile displays the count of control reviews for the decision maker.

- The **All** tab includes all the control reviews across engagements & suppliers for which the user is in the decision maker group
- **Group actions** tab collects all the control reviews that have an associated action assigned to the decision maker group
- **My actions** tab collects all the control review actions assigned to the specific user within the decision maker group

User can select the columns to display of the **control** list customizing the view

Control review actions appear in **Action Queue** based on feature configuration

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Introducing: **Periodic Review of Risk Controls**

Detailed feature information: Elements of new Control Details page user interface

Badge displays the effectiveness of control reviews based on the current lifecycle status

Review decision displays the decision maker's effectiveness or completeness of task if decision is at the service level

Tab view provides details supporting control review decision maker's actions on the same page where actions are to be performed

- Assessments
- Issues
- History
- Engagements (if shared vendor-type control)
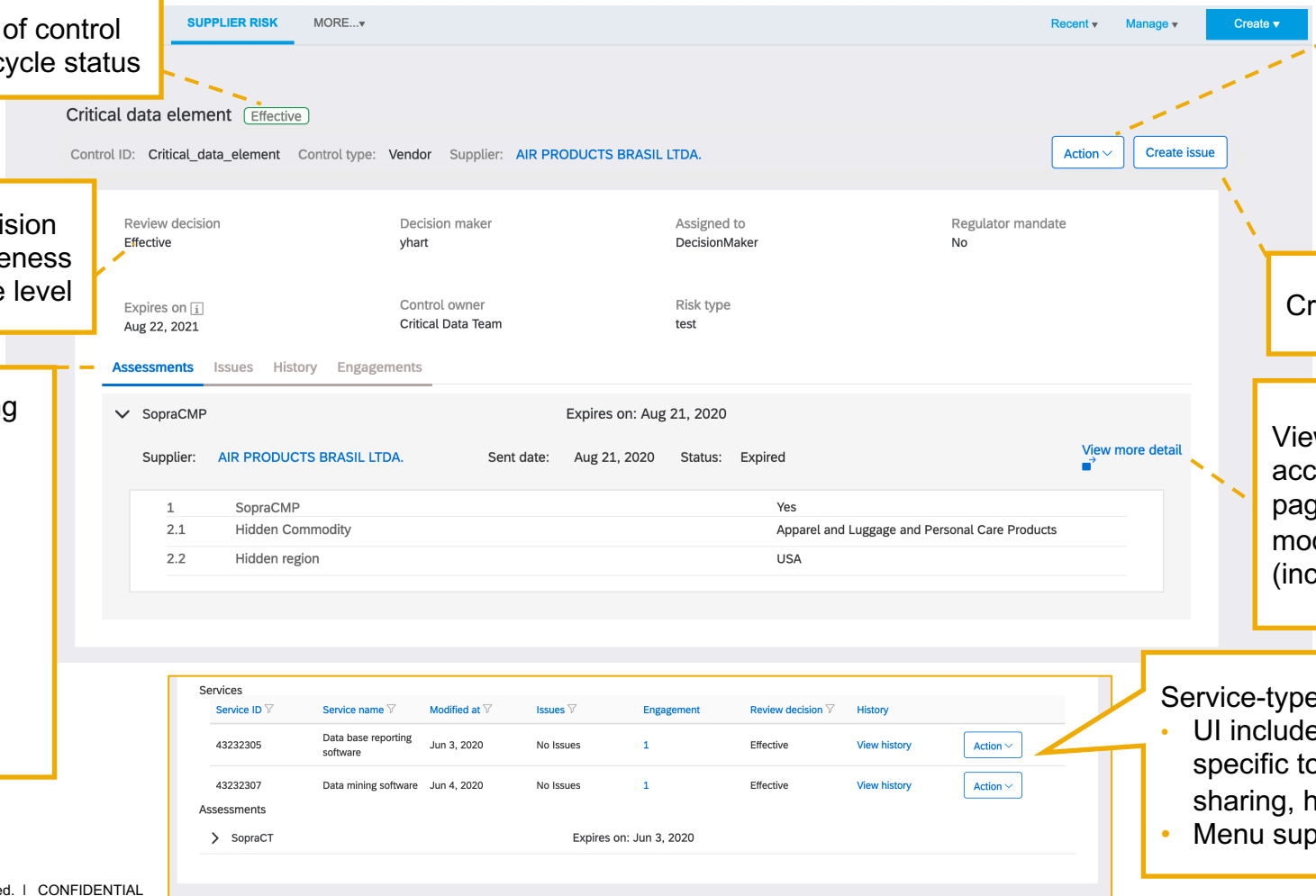
Action menu supporting user actions at the control level. Actions include:

- Change expiration date
- Reopen control review
- Mark effectiveness
- Assigning options (if features enabled)

Create issues on the overall control

View more detail option provides user access to the modular questionnaire's page where additional features of modular questionnaires are supported (including **Request update**)

Service-type control
- UI included a separate table with details specific to the service and service-level sharing, history, issues and effectiveness
- Menu supports service-level actions

SUPPLIER RISK   MORE...▾   Recent ▾   Manage ▾   Create ▾

Critical data element [Effective]

Control ID: Critical_data_element   Control type: Vendor   Supplier: AIR PRODUCTS BRASIL LTDA.   [Action ▾] [Create issue]

Review decision   Decision maker   Assigned to   Regulator mandate
Effective   yhart   DecisionMaker   No

Expires on [i]   Control owner   Risk type
Aug 22, 2021   Critical Data Team   test

Assessments   Issues   History   Engagements

⌄ SopraCMP   Expires on: Aug 21, 2020

Supplier: AIR PRODUCTS BRASIL LTDA.   Sent date: Aug 21, 2020   Status: Expired   View more detail

1	SopraCMP	Yes
2.1	Hidden Commodity	Apparel and Luggage and Personal Care Products
2.2	Hidden region	USA

Services

Service ID ▽	Service name ▽	Modified at ▽	Issues ▽	Engagement	Review decision ▽	History	
43232305	Data base reporting software	Jun 3, 2020	No Issues	1	Effective	View history	Action ▾
43232307	Data mining software	Jun 4, 2020	No Issues	1	Effective	View history	Action ▾

Assessments

> SopraCT   Expires on: Jun 3, 2020

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Introducing: **Periodic Review of Risk Controls**

Detailed feature information: Reopen control review and **Change expiration date** user interface

Reopen control review
Duplicate 2 (Control ID: Duplicate_2)

Provide your reason for reopening this control review. You can request updated information by resending all associated assessments.

Reason ▼

Comment

2000 Characters Remaining

☑ Resend all assessments to the supplier.

Cancel   **Reopen**

Reopen control review activity
Decision maker provider a reason for reopening control review:
- Expired or soon to expire
- Evidence review
- Regulatory requirement
- Supplier review
- Other (comment **required**)

Change expiration date activity
- Decision maker can change the expiration date
- Initial expiration date defaults to expiration of underlying modular questionnaire's expiration date (if set on template)
- The expiration date of a control review can be extended on an already expired control review. It can be extended for as long as the decision-maker deems appropriate
- Review expiration can be reset to align all control reviews for a supplier, within a specific engagement, or for a specific control across suppliers / engagements

When selected, **Resend all assessments to the supplier** option
- Sends all the assessments underlying the control review (both internal & external modular questionnaires)
- Control review moves to **Waiting for response** statue
- Configuration of parameter **Reuse respondent answers when resending assessments** determines if a blank copy or the previously submitted version of the questionnaire is sent to the recipient
- **Note:** Users with permission can also access the modular questionnaire page from the Supplier 360 and use "Request update" option to resend modular questionnaires
- **When left unchecked:** control review will return to pending status. Decision maker can immediately review the control or leave in pending status while other activities are performed (e.g. create an issue)

Change expiration date
Duplicate 2 (Control ID: Duplicate_2)

You can extend the expiration date for the review decision based on the existing evidence.

Nov 13, 2020 📅

Comment (required)

2000 Characters Remaining

Cancel   **Update**

Expires on: No date set

Feature at a Glance

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Detailed feature information: Control review details page **Action** menu activities

Critical data element [Effective]

Control ID: Critical_data_element   Control type: Vendor   Supplier: AIR PRODUCTS BRASIL LTDA.   [Action ∨] [Create issue]

Activity	Availability
Reopen the control review	Use when the control review is expired or soon to expire, to make it available for re-review. Can also be done as needed outside of the periodic review cycle, for any **Completed** control review.
Change the expiration date for the control review	When the control review is not **Waiting for response** or **Pending**
Mark the control **Effective** or **Ineffective**	When the control review is available for a decision. If waiting for a supplier's assessment response, for example, this would not be possible. An expired control review must first be reopened to make it available for a decision.
Create an issue for a control or service within a control	When the risk control is required in at least one engagement request for the supplier and the control review task is active
Assign or reassign a control review action	• This option is available when the control review is **Pending** • It's assigned to you or to a group to which you belong • You accessed the control from within an engagement

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Detailed feature information: Control review status details

Unique control level banners with actionable links appear when the control review is **expiring soon** or **expired** status

- "…reopen…" performs the same action as "Change expiration date" available in the Action menu

- "…set a new expiration date" performs the same action as the **Change expiration date** available in the Action menu

> ⚠ This control is about to expire. You can reopen the control review or set a new expiration date ✕

> ⊙ This control review has expired. You can reopen the control review or set a new expiration date ✕

Control review status badges: `Waiting for response` `Pending` `Effective` `Completed` `Expiring soon` `Expired`

Control Type	Status display location	Control first created > Assessment sent	Assessment responded & approved	Reviewed	Pending expiration	Expired	Control Reopened > assessment resent	Assessment responded & approved	Reviewed
Vendor / Engagement	Badge	Waiting for response	Pending	Effective / Ineffective	Expiring soon	Expired	Waiting for response	Pending	Effective / Ineffective
	Header	Waiting for response	Pending	Effective / Ineffective	Effective / Ineffective	Effective / Ineffective	Waiting for response	Pending	Effective / Ineffective
Service	Badge	Waiting for response	Pending	Effective / Ineffective	Expiring soon	Expired	Waiting for response	Pending	Effective / Ineffective
	Header	Waiting for response	Pending	Complete: if all services reviewed Pending: if at least 1 service remains unreviewed	Complete: if all services reviewed Pending: if at least 1 service remains unreviewed	Complete: if all services reviewed Pending: if at least 1 service remains unreviewed	Waiting for response	Pending	Effective / Ineffective
	Individual service level (service table)	Waiting for response	Pending	Effective / Ineffective	Effective / Ineffective	Effective / Ineffective	Waiting for response	Pending	Effective / Ineffective