Supplier's Guide to Sourcing and Due Diligence

Introduction

At the John Lewis Partnership we take our responsibilities for the effective management of risk very seriously and to help us effectively manage this risk, we operate a Supplier Due Diligence (SDD) process. We want to ensure that all 3rd party and supply chain risk is appropriately identified, assessed and proactively managed in order to prevent breaches in areas such as Modern Slavery, Data Protection, Cyber, Health and Safety, Anti-bribery and Corruption, Corporate Responsibility and more.

Completing SDD satisfactorily is a mandatory requirement for all suppliers to the Partnership. The Partnership uses Coupa to collate and analyse data collected during the SDD process. This guide explains the steps both potential and existing Suppliers will be asked to complete on Coupa.

Note: Reference to Company or Organisation includes any entity where there is a business relationship with the John Lewis Partnership. This includes companies and, unless a question states otherwise, Freelancers.

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I. Receiving and Answering Sourcing Risk Question in Coupa

If your organisation has been short-listed to provide the John Lewis Partnership with new goods or services, the next stage will be to ask you to answer a series of questions aimed at assessing the risk to the Partnership of commencing a relationship with you.

In the Partnership, we have ten separate Risk Domains (individual areas of identifiable risk). Depending on the level of risk already established by JLP earlier in our process, you will be sent (via Coupa) a number of question sets. Typically, you may receive around 5 or 6 different question sets, but in some cases this may be up to 10 to cover each of our Risk Domains.

These are the steps we ask you to follow on receipt of a request from JLP to commence the Sourcing and Due Diligence process:



- 1. You will receive an email notification containing information and several links
- 2. You can either click on **'I intend to Participate'** or **'View Event'**. Note: Both take you into Coupa to complete our questionnaire; View Event shows slightly more detail. Suppliers should note also that they may receive a risk assessment as part of the tendering process as well.

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John Lewis Partnership Sourcing Event - Single Sourcing (Risk Only) Template #475 Invitation						
Great news! NoPaynenoGain has been invited by John Lewis Partnership to participate in a sourcing event for Single Sourcing (Risk Only) Template.						
Welcome to your Pre-Qualification Risk Assessment						
You are receiving this because you have been proposed as a lead bidder to supply goods or services to the John Lewis Partnership.						
Before we can commence the onboarding stages we need to assess your company's compliance to our minimum risk standards. If you do not meet the minimum standards that we expect of our suppliers you will be advised what action is required. Any actions will need to be completed before we can onboard you as a Supplier.						
Please access the Coupa portal via the link in this email. By selecting to participate in this event you are agreeing to proceed with the setup of your supplier account.						
You must review and accept the T&Cs in order to proceed.						
Please note the timeline for your responses have been set by our Sourcing Team and we urge you to provide your responses before the deadline in order to expedite your potential onboarding to the John Lewis Partnership.						
Select the "My Responses" tab and complete all questions under "forms" in the detail section. All questions are mandatory so a response must be provided.						
All queries relating to this event should be directed to your JLP contact.						
For technical questions or issues logging on please contact supplier@coupa.com						
Don't let this opportunity pass you by. Responses are due by Monday, 10 July 2023 12:59 PM BST						
I intend to Participate View Event						

3. You may also create a Coupa Supplier Profile via clicking on '**Create Profile'** at the bottom of the email.

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- 4. Next, you are taken into the **Sourcing Risk Event** where you should work through the various sections, answering questions as you go.
- 5. If you selected View Event from the email notification, you should tick the '**I** intend to participate in this event' box. A green banner will appear to confirm this.
- 6. There is also a useful countdown timer showing how long there is left to complete and submit the questionnaire.
- 7. Scrolling down further, you will be asked to confirm that you have read and accept John Lewis Partnership's policies and code of conduct. There are several questions like these, so please make sure you have **read** and **ticked the boxes** to accept all of them.

Do you intend to participate in this event?	?	Event Ends	13	: 23
I intend to participate in this event Buyer will be notified of your intent to participate.			days	hrs
Accept Terms and Conditions				
Terms and Conditions ABC_and_Gifts_and_Hospitality_Policy.pdf	Do yo O ye O Ne	u accept these es p	Terms and C	onditions?
Terms and Conditions Supplier_Code_of_Conduct.pdf	Doyo Oye ON	u accept these es o	Terms and C	onditions?
Terms and Conditions JLP_Responsible_Sourcing_Code_of_Practice_2020.pd	Do yo	u accept these es o	Terms and C	onditions?
Terms and Conditions Confidentiality_Statement.pdf	Do yo O Ye O N	u accept these es o	Terms and C	onditions?

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8. Scroll to the bottom of the page and select 'Enter Response'.

🔅 Event Information & Bidding Rules	🔅 Buyer Attachments	
Event will end at the Event End Time. Your responses are viewable by buyer once submitted Buyer may choose to award individual line items	None	
Event Start 26 12:59 Europe/London 14d : 0h : Omin	Jul Event End 10 12:59 Europe/London 00:00 00:00	
		Enter Response

- 9. This will then take you to the next page, 'My Response'.
- 10. On this page, some sections, such as the Key Contracting Principles, require you to download and save a document to your computer. Then, you will be required to update the document with your answers or details, re-save and upload back into Coupa. There is one form for the provision of IT services, and an alternative that should be used for Goods or Services.

🥟 Attachments	
Provided by Dennis Law	Your response
Key Contracting Principles	Response to Key Contracting Principles
Instructions Please download attached document and complete and re-upload Attachment	Attachment * Add File participate.PNG
Key_Contracting_PrinciplesJLPIT Key_Contracting_PrinciplesJLPGo	

II. Beneath the attachments, is the section for forms.

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12. In each form that has been issued, you must select an answer to every question, and press Save.

4. L1 - Business Continuity	>
Please answer the questions below.	
Business Continuity Questions	
Of If your organisation has any employees, can you confirm that a valid Employer's Liability insurance policy is hele Yes No N/A - No Employees Employers liability insurance is a legal requirement should you or your organisation have any employees. * Q2. Can you confirm that your organisation holds a valid Public Liability insurance policy? Yes No	d?
	Save

- 13. Once you have answered all the questions, and uploaded all the requested documents, you are ready to submit your responses back to JLP.
- 14. If you need more time to complete your responses, you can click Save and come back to the form later.
- 15. Click Submit Response to Buyer when you are ready to send your responses back to |LP . A green banner will appear to confirm this.

Single Sourcing	g (Risk Event #475 Act	tive		
Response submitted to Buy	er			×
Ennis Law has not provided	VICES			~
Name	My Capacity Expected	l Qty	My Price	Price x Expected Qty >
	Export to Excel Import from Exce	Load History	Save	Total 0.00 Submit Response
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What happens next?

Your responses will be reviewed by our team at JLP. If JLP wish to proceed to the next stage, you will be:

- Invited to create an account in Coupa where you complete details of your organisation (for new suppliers to JLP only)
- Asked to provide further evidence based on your previously submitted answers to our initial questions

2. Registering and Creating a New Account in Coupa

The process where new suppliers set up an account in Coupa is not covered in this guide, but is covered in the guide below:

• Coupa Registration Guide

3. Responding to a Request for Additional Due Diligence Information

By this stage, you will have already answered a number of questions relating to the Partnership's ten Risk Domains.

To complete this process, we now need to ask you for proof of your credentials (for example, if you have told us you are Gas Safe registered, we would like you to upload into Coupa a copy of your current Gas Safe certificate).

The next step is to create an account in Coupa Risk Assess. This is required so we ask you for additional information about your organisation, and for you to upload and submit this back to us. To do this:

1. You will receive a minimum of 4x emails from <u>JohnLewis@eumail.hiperos.com</u> or <u>noreply@jlp.risk-mail.coupahost.com</u>

The titles of the emails are:

- Coupa Risk Assess: A Coupa Risk Assess account has been created for you
- Coupa Risk Assess: Your Coupa Risk Assess authentication code
- Coupa Risk Assess: Supplier Due Diligence Introduction
- Coupa Risk Assess: Action Required: Complete Supplier Due Diligence Questionnaires (SDD) - this will be one email per risk domain
- 2. The email titled 'A Coupa Risk Assess account has been created for you,' This notification contains a link which you will need to register
- 3. From the email that contains an **authentication code**, copy, or make a note of this code

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- 4. Go back to the original notification and **click on the link**
- 5. Paste or **enter the code** into the **Authorisation Code** box
- 6. Select a Security Question to answer

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8. Click Continue

9. You are now set up to use Coupa Risk Assess

You will now start to receive requests from JLP to provide the extra information and documents to complete its Due Diligence process. These requests also come to you as email notifications and an example of one is shown here:



Please note that you could receive up to eleven notifications like this - one for each of our eleven Risk Domains.

- I. To proceed, click on the link within the notification
- 2. Log into **Coupa Risk Assess**

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- 3. You will then be presented with the Coupa Risk Assess dashboard
- 4. Click on the **Evaluations** section, you will see a summary of the requests awaiting your attention
- 5. Click the Late, Due This Week or Due Later icons to view the full list of actions
- 6. From the list that is presented to you, click the **Pencil** icon button to open and action the request

Action liters Personal								
Evaluations 1		Approvals o			Action Plans			
Late Due This Week Due Later Closed								
						Search	٩ 🛛	
Name	Periodicity	Start Date	Context	Status	Due Date	Action Status	Action	
Business Continuity L1	One Time	04/21/2025	Supplier Name	Not Started	05/05/2025		1	
Per Page 15 45 90								

- 7. Work through the questions asked (remember that those marked * are mandatory)
- 8. Follow the instructions to upload the documents required

Note on **Public Liability Insurance**: Whilst we recognise that is not a legal requirement to hold this insurance, the John Lewis Partnership does ask that its suppliers have Public Liability Insurance in place. If for any reason your company does not have Public Liability insurance, please provide and upload a document with a justification as to why you think this insurance is not applicable to your Company.

- 9. If you ever need more time to complete all the necessary steps, you can click **Save** and return to the document later
- 10. Otherwise, once complete, click **Submit**

What happens next?

Your responses will be reviewed by our team at JLP. This may result in:

- One or more of your responses being rejected. This could be because the evidence provided is incomplete, or we need a little more information from you. See section 4 below on how to deal with any follow up requests.
- JLP asking you to complete an Action Plan, which will be a commitment from you to complete a particular action or provide evidence of a certificate or policy in order for JLP to complete its Due Diligence process.
- Completing Actions Plans is not covered in the guide but there is a useful guide linked below:
- Guide to Updating & Completing Action Plans in Coupa Risk Assess

4. Dealing with any follow up requests for information

If the JLP Risk Team has reason to reject your submission, you will receive this notification. To make adjustments, you should log back into Coupa via the link in the notification, note the comments made by the JLP team, update as necessary and re-submit back to JLP:



Coupa | Risk Assess

Evaluation Status Changed

The status for your evaluation named Risk-Business Continuity Planning Due Diligence Questionnaire L2 [1323 APR 21 Brochures (ABC Publishing)] - Onetime - Period Start 01 Feb 23 has been changed to un-submitted. You can log in and make any required updates

now, using the link below.

Click R.Portal to log in.

Coupa Risk Assess - Disclaims? This communication and any files or attachments transmitted with it may contain information that is confidential, privileged, and exempt from disclosure under applicable law. It is intended solely for the use of the individual or entity to which it is addressed. If you are not the intended recipient, you are hereby motified that any use, dissemination, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify us hare so that we may take the appropriate action.



