

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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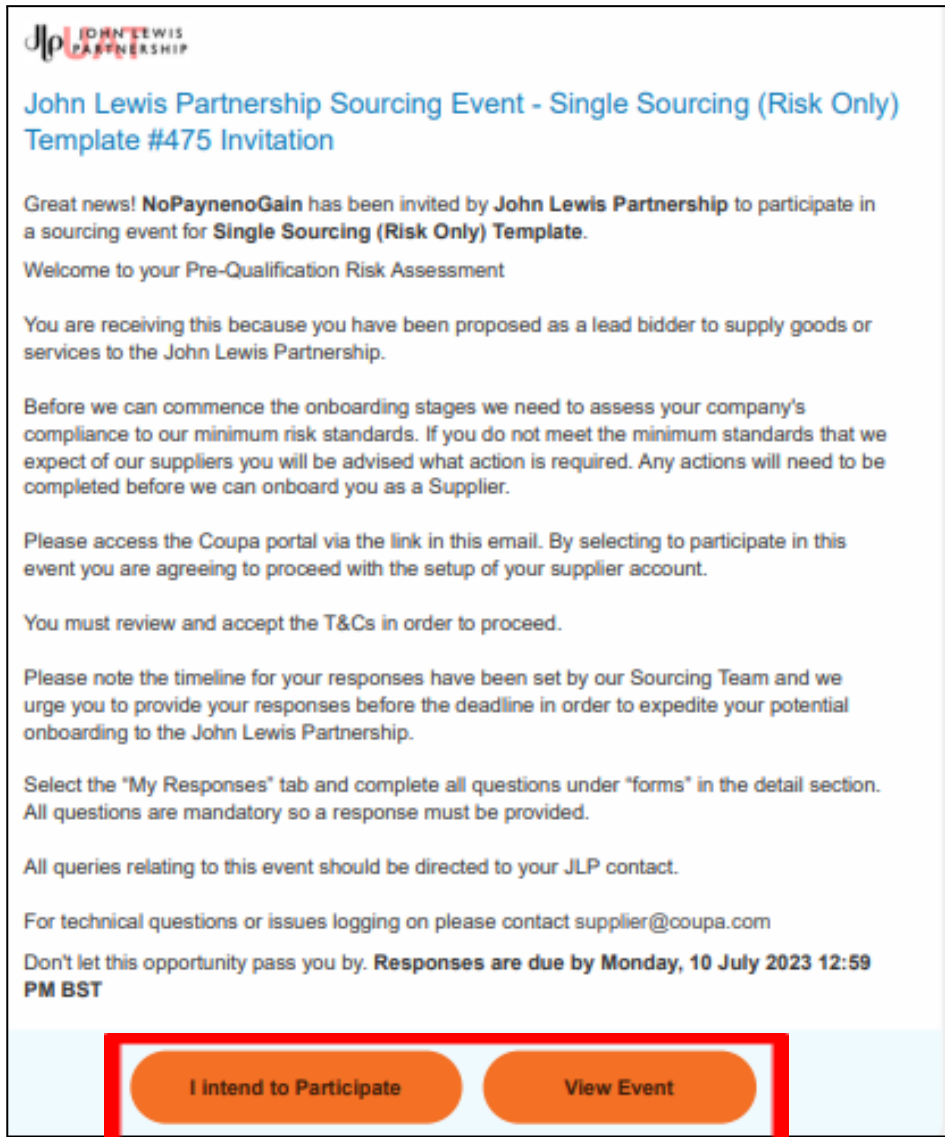
1. Receiving and Answering Sourcing Risk Question in Coupa

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.

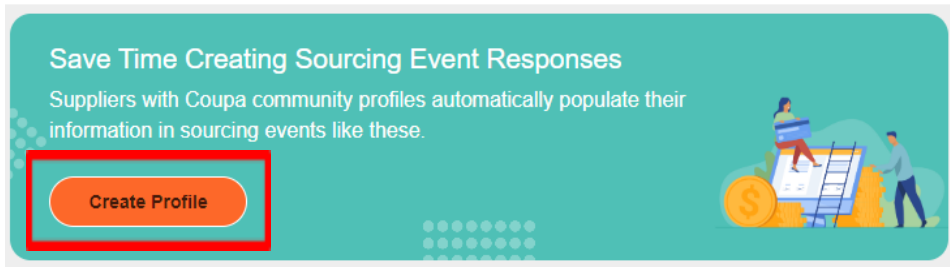
In the Partnership, we have ten separate Risk Domains (individual areas of identifiable risk). Depending on the level of risk already established by JLP earlier in our process, you will be sent (via Coupa) a number of question sets. Typically, you may receive around 5 or 6 different question sets, but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



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



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?

I intend to participate in this event
Buyer will be notified of your intent to participate.

Event Ends 13:23
days hrs

Accept Terms and Conditions

Terms and Conditions ABC_and_Gifts_and_Hospitality_Policy.pdf	Do you accept these Terms and Conditions? <input type="radio"/> Yes <input type="radio"/> No
Terms and Conditions Supplier_Code_of_Conduct.pdf	Do you accept these Terms and Conditions? <input type="radio"/> Yes <input type="radio"/> No
Terms and Conditions JLP_Responsible_Sourcing_Code_of_Practice_2020.pdf	Do you accept these Terms and Conditions? <input type="radio"/> Yes <input type="radio"/> No
Terms and Conditions Confidentiality_Statement.pdf	Do you accept these Terms and Conditions? <input type="radio"/> Yes <input type="radio"/> No

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

Event Information & Bidding Rules

Buyer Attachments

None

Event will end at the Event End Time.

Your responses are viewable by buyer once submitted

Buyer may choose to award individual line items

Timeline

Jun 26 Event Start 12:59 Europe/London 14d : 0h : 0min

Jul 10 Event End 12:59 Europe/London 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

Key_Contracting_Principles_-_JLP_-_IT...

Key_Contracting_Principles_-_JLP_-_Go...

Attachment *

Add File

participate.PNG

11. Beneath the attachments, is the section for **forms**.

Forms

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

Q1. If your organisation has any employees, can you confirm that a valid Employer's Liability insurance policy is held?

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

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 JLP. **A green banner will appear to confirm this.**

Single Sourcing (Risk ... - Event #475 Active)

Response submitted to Buyer

Items and Services

Dennis Law has not provided any Items and Services for this event

Name	My Capacity	Expected Qty	My Price	Price x Expected Qty
Items Not In Lots (0 items)				Total 0.00

Submit Response

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

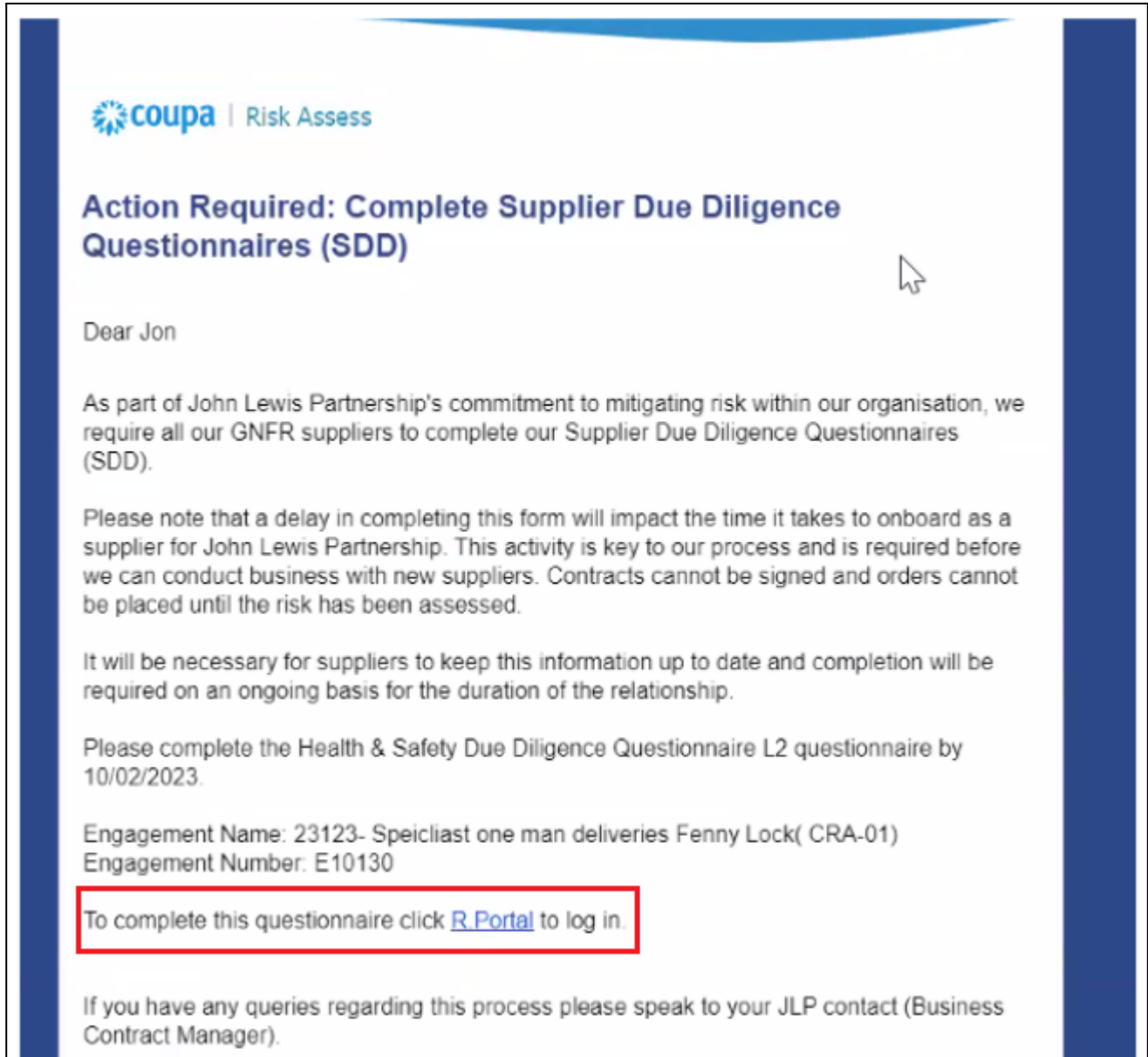
By this stage, you will have already answered a number of questions relating to the Partnership's ten Risk Domains.

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 an email notification informing you that an account has been created for you in Coupa Risk Assess
2. This notification contains a link which you will need a little later
3. Next, you will receive a second email notification containing a unique **Authorisation Code**
4. Copy, or make a note of, this code
5. Go back to the original notification and **click on the link**
6. Paste or **enter the code** into the Authorisation Code box
7. Select a **Security Question** to answer
8. **Enter** and **confirm** your **response** to the Security Question selected
9. Click **Continue**
10. 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 ten notifications like this - one for each of our ten Risk Domains.

1. To proceed, click on the link within the notification
2. Log into **Coupa Risk Assess**
3. You will then be presented with the Coupa Risk Assess dashboard
4. In the **Evaluations** section, you will see a summary of the requests awaiting your attention
5. Click the **Show Me** link to open the full list
6. From the list that is presented to you, click the green **View** button to open the request

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:

