GRC PLATFORM USER GUIDE

Third Party Risk Management (TPRM)
Functionalities For Third Party Users

DICTUM MEUM PACTUM

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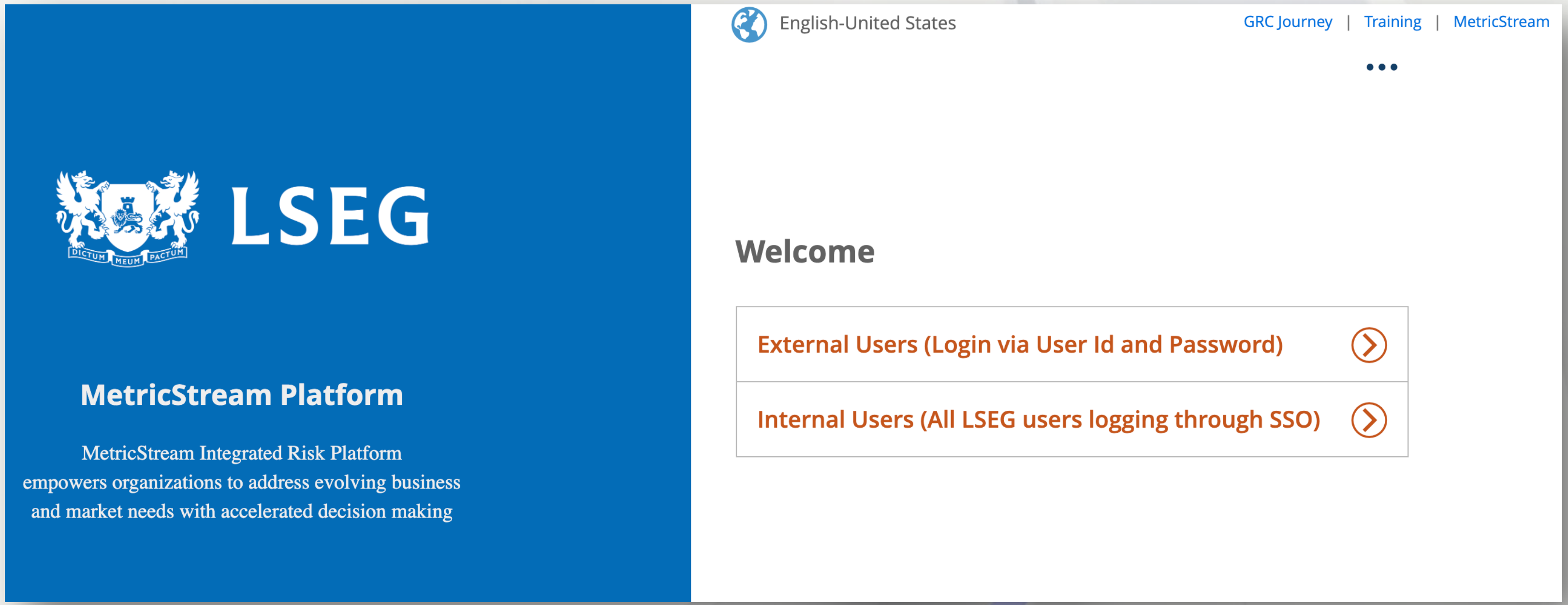
GRC Platform Login Page

- To access the GRC Platform, click on the link below: -
  - https://lseg.a04a.metricstream.com/metricstream/auth/dualLogin.jsp
- The link will open the GRC Platform login page as displayed on the right.
- Click on *External Users* option if you are not an LSEG employee (e.g. third party user). You will need to login using the username and password details provided to you.



Chapter 1

Topic: Setup of third party user account

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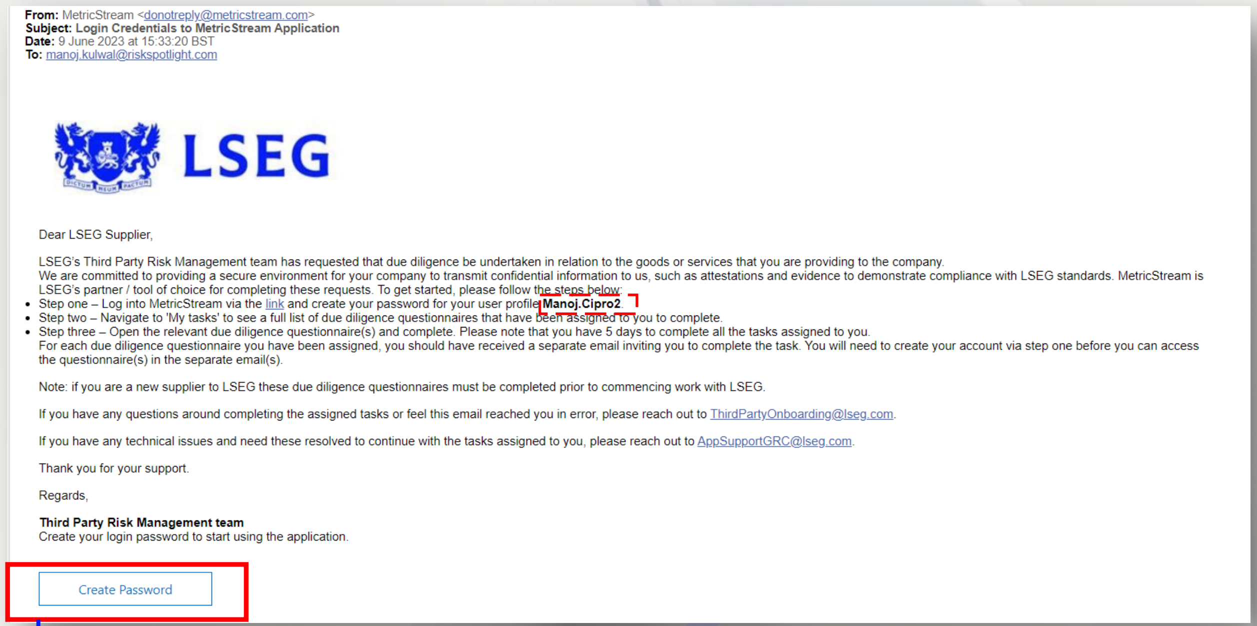
Setting password

- When a third party is created within the GRC Platform, the contact assigned to the third party will receive an automated email from the TPRM application which will look similar to the email displayed here.
- The user name that the third party can utilize to log into the TPRM application is highlighted in the email.
- The third party contact will need to click on the **Create Password** button within this email to setup a password for their user account.
- The password should follow the policy criteria highlighted in the graphic.



From: MetricStream <donotreply@metricstream.com>
Subject: Login Credentials to MetricStream Application
Date: 9 June 2023 at 15:33:20 BST
To: manoj.kulwal@riskspotlight.com

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Dear LSEG Supplier,

LSEG's Third Party Risk Management team has requested that due diligence be undertaken in relation to the goods or services that you are providing to the company.
We are committed to providing a secure environment for your company to transmit confidential information to us, such as attestations and evidence to demonstrate compliance with LSEG standards. MetricStream is LSEG's partner / tool of choice for completing these requests. To get started, please follow the steps below:

- Step one – Log into MetricStream via the link and create your password for your user profile **Manoj.Cipro2**.
- Step two – Navigate to 'My tasks' to see a full list of due diligence questionnaires that have been assigned to you to complete.
- Step three – Open the relevant due diligence questionnaire(s) and complete. Please note that you have 5 days to complete all the tasks assigned to you.

For each due diligence questionnaire you have been assigned, you should have received a separate email inviting you to complete the task. You will need to create your account via step one before you can access the questionnaire(s) in the separate email(s).

Note: if you are a new supplier to LSEG these due diligence questionnaires must be completed prior to commencing work with LSEG.

If you have any questions around completing the assigned tasks or feel this email reached you in error, please reach out to ThirdPartyOnboarding@lseg.com.

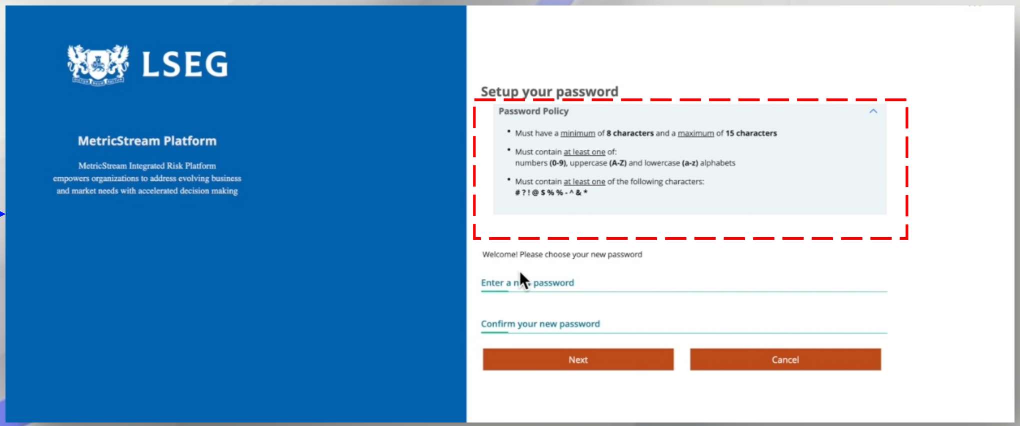
If you have any technical issues and need these resolved to continue with the tasks assigned to you, please reach out to AppSupportGRC@lseg.com.

Thank you for your support.

Regards,

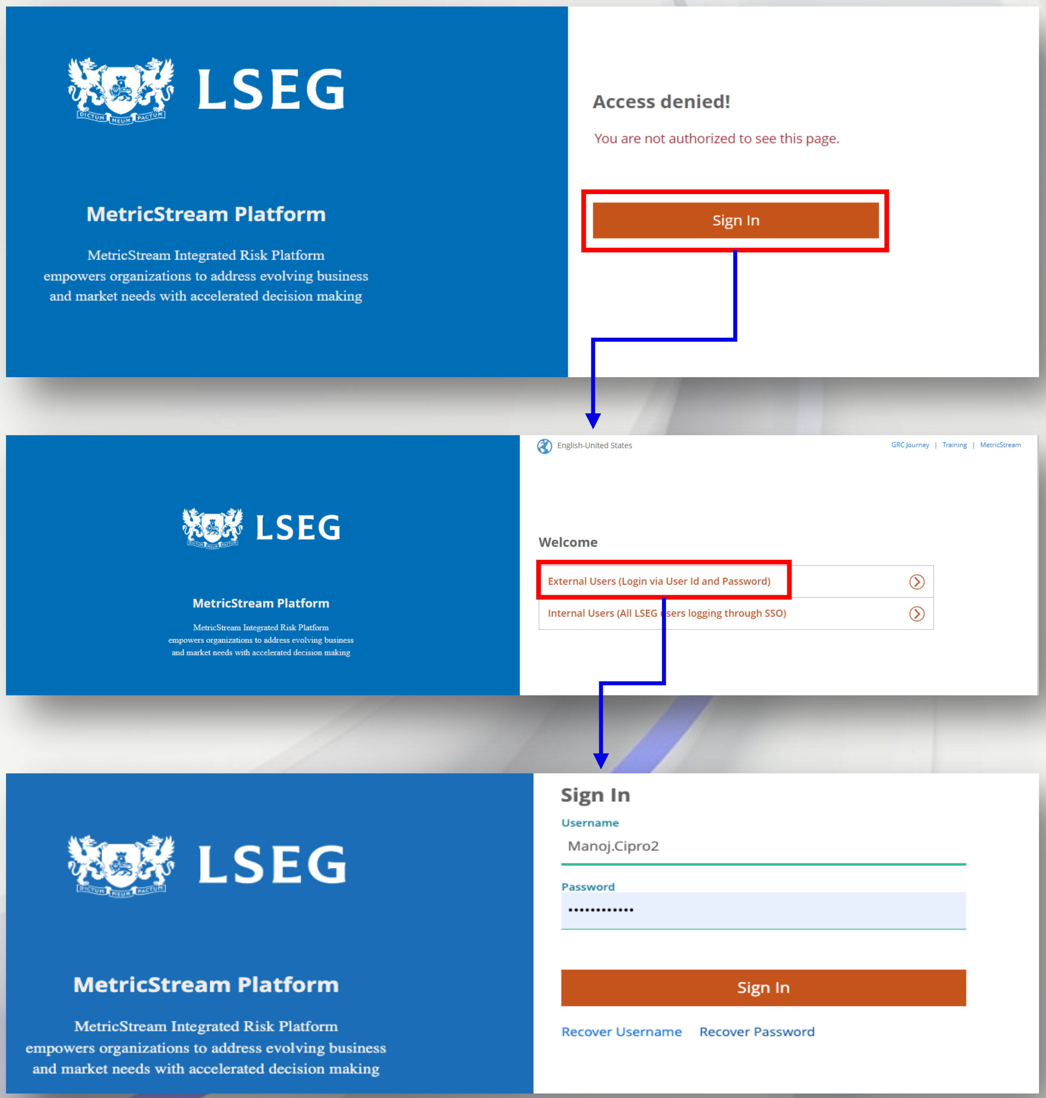
Third Party Risk Management team
Create your login password to start using the application.

Create Password



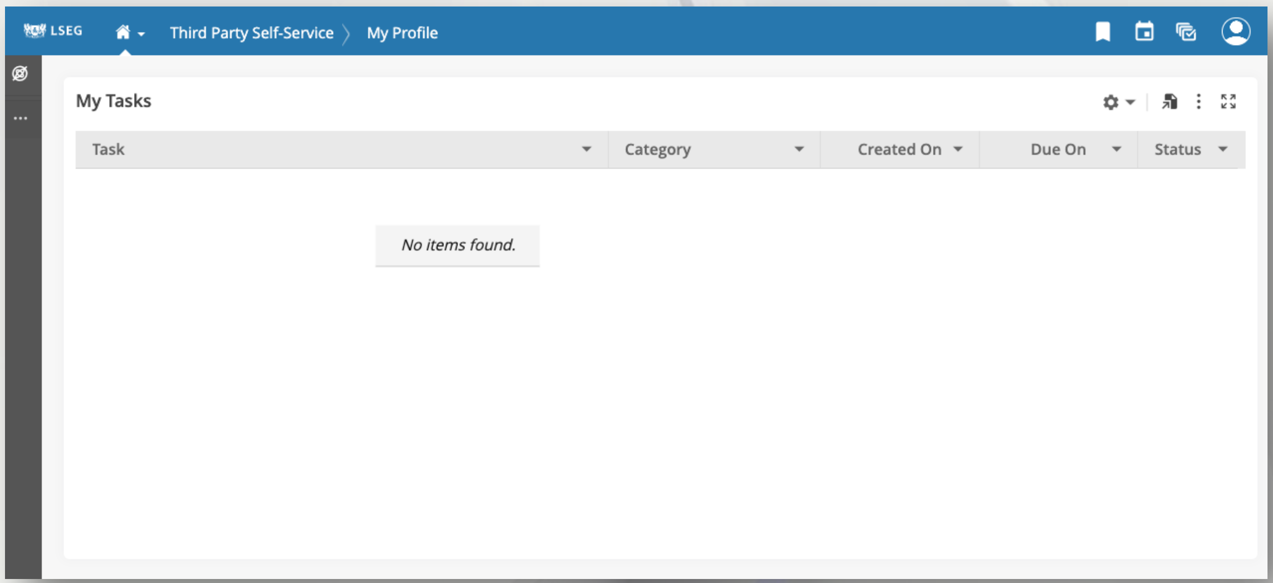
Logging into the TPRM application

- Third parties can test whether they are able to log into the application by clicking on the **Sign In** button.
- They should select the first option *External Users*.
- They should enter their username they received in the email and the password they setup and click on the **Sign In** button. Please note that the username is case sensitive and hence should be captured in the exact case as mentioned in the email displayed on the previous page.



Logging into the TPRM application

- After successfully logging into the application, the third party contact will be able to view the screen similar to the one displayed on this page.
- Any due diligence questionnaires assigned to the third party contact will appear in the *My Tasks* window.



Chapter 2

<u>Topic</u>: Third party responding to due diligence request

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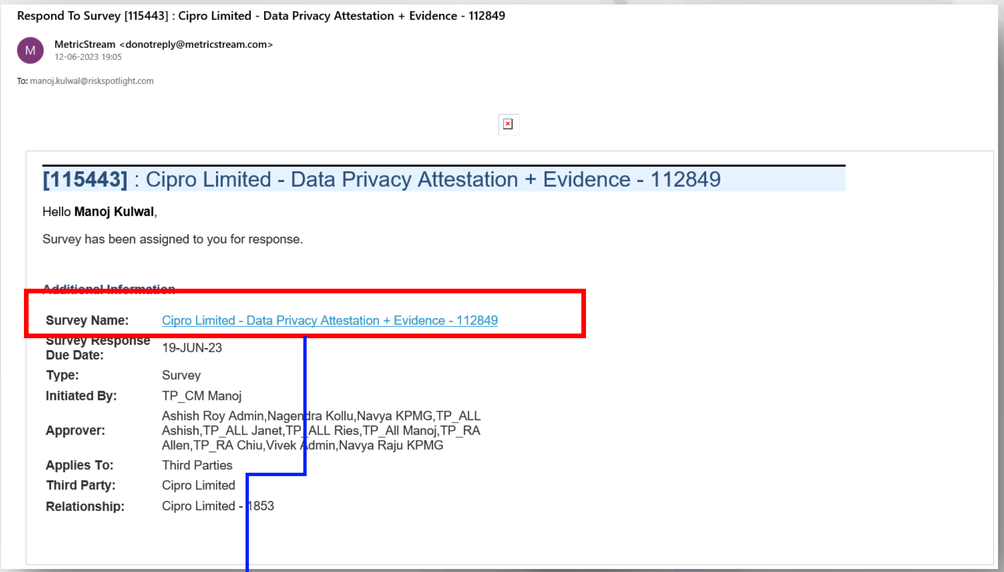
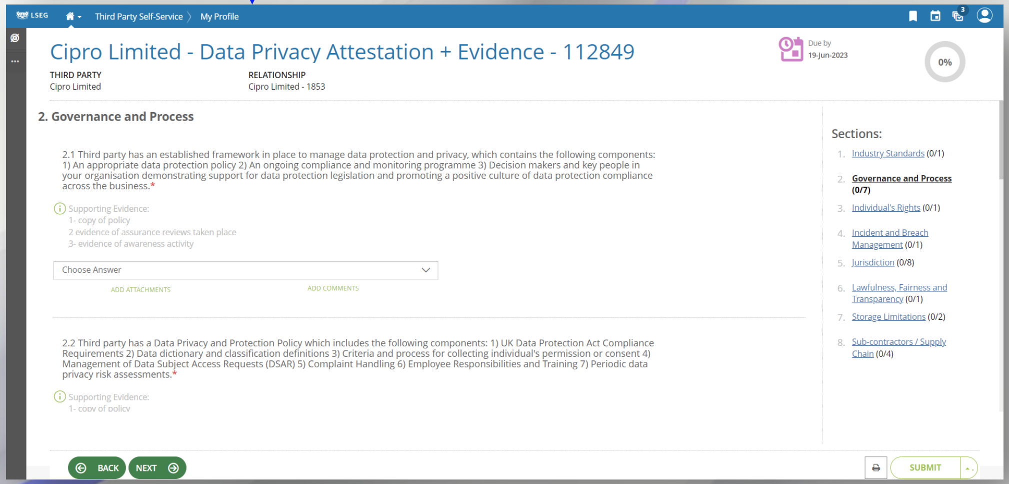
Open the due diligence questionnaires

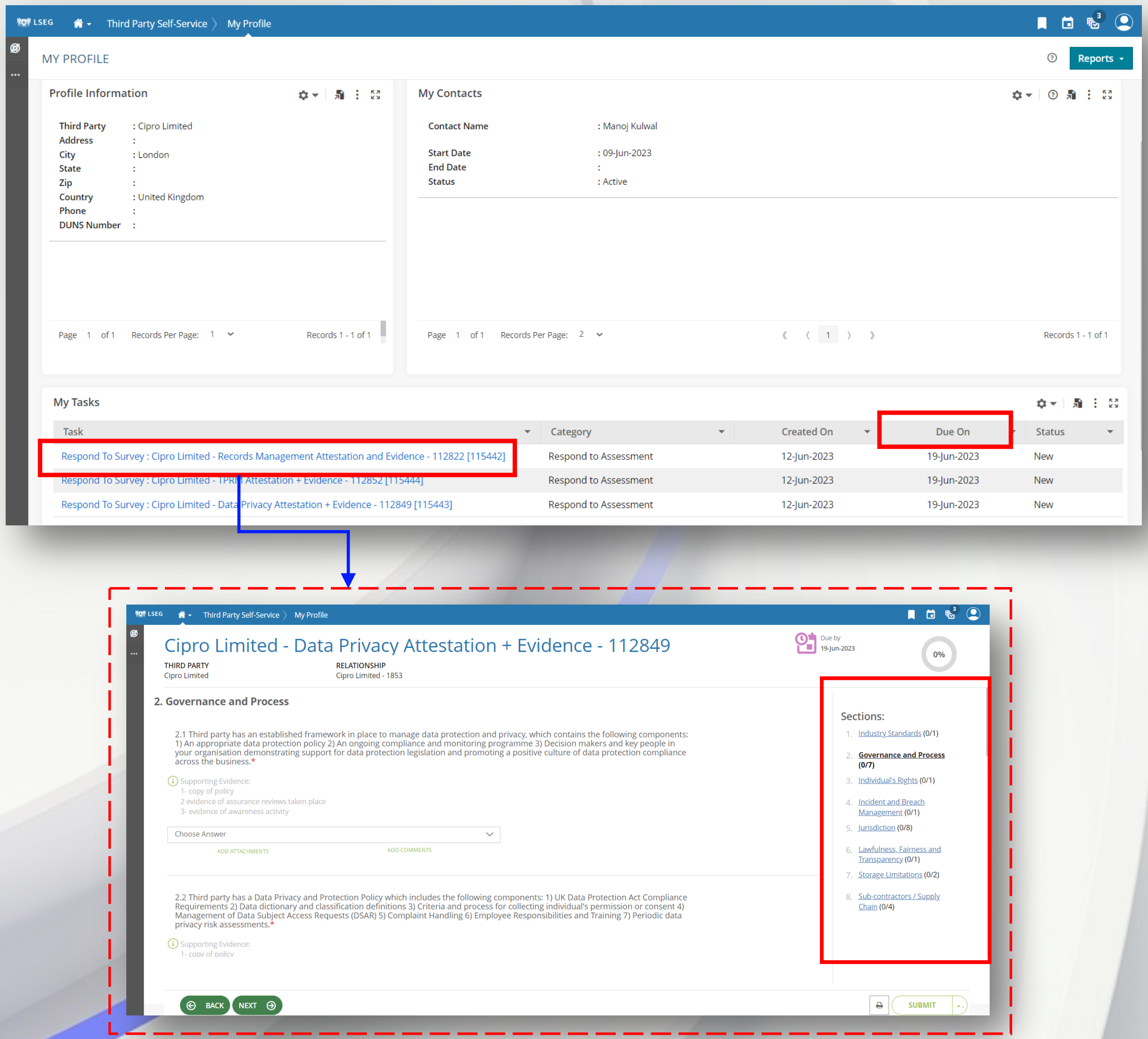
- Once the due diligence requests are initiated by the case specialists, the assigned third party contact will receive email notification for each questionnaire that was included within the scope of the request. So if three questionnaires were included then the third party contact will receive three separate emails - one for each questionnaire.
- The example here is displaying an email received by a third party for responding to the *Data Privacy* questionnaire. The third party contact can click on the name of the survey to open the survey within the TPRM application.





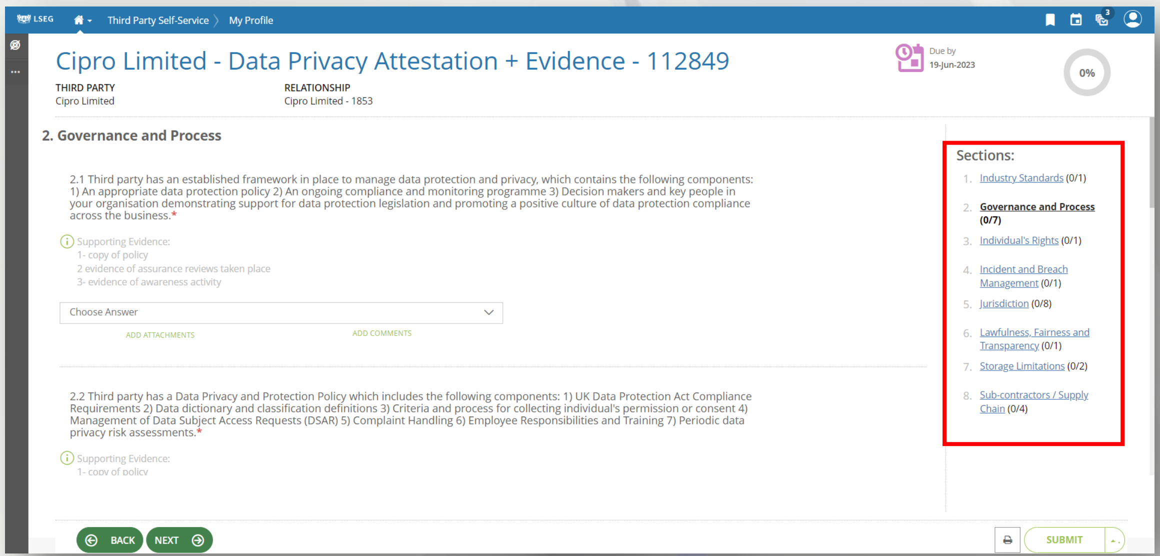
Open the due diligence questionnaires

- Alternatively, third party contact can log into the TPRM application and view all the requested questionnaires. They can view the deadline for submitted the questionnaire in the *Due On* column.
- To open a questionnaire, click on the name of the questionnaire. This will open the questionnaire and display the individual questions that the third party needs to respond to.



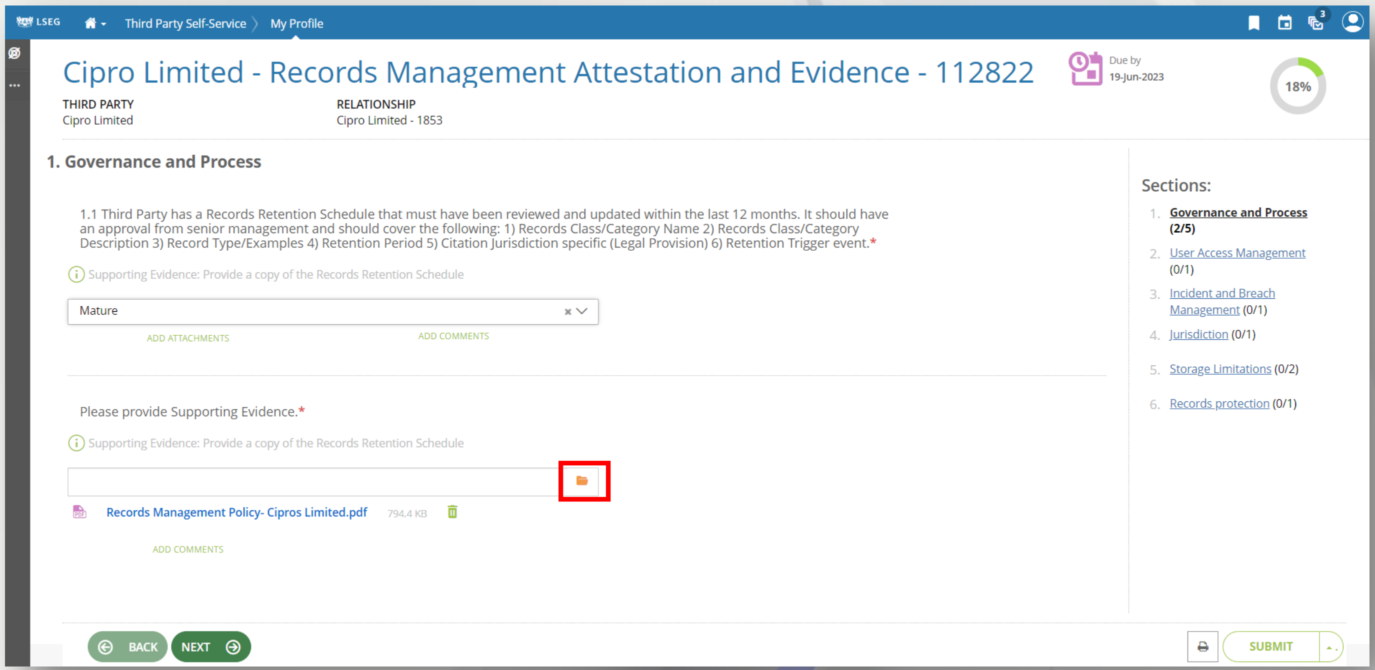
Respond to the questionnaire

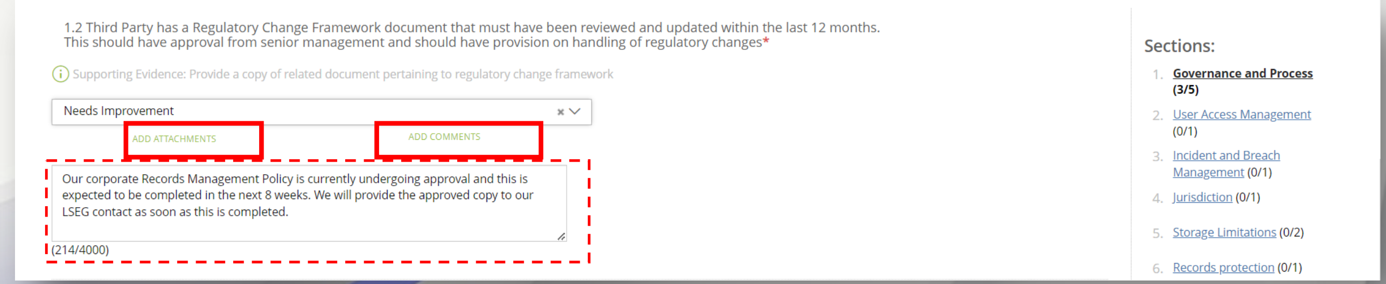
- On the right, various sections of the questionnaire are displayed with the count of questions included in each section.
- The red asterisk (*) at the end of each question indicates that the question is mandatory and some response should be provided for such questions.



Respond to the questionnaire

- Third party users should respond to the questions displayed across all the section of the questionnaire.
- If the **Supporting Evidence** note is mentioned below a question and if the third party selects *Mature* or *Satisfactory* response then it is mandatory for them to provide evidence for such responses. This has to be provided in the form of attachments. The attachment is considered as an additional question and hence if the attachment field is displayed below the response, then the count of questions will be increased by one in the **Sections** area of the form.
- To attach the evidence click on the attachment icon highlighted in the graphic and then select the file that should be attached.
- If the user selects any of the other responses then it is not mandatory for them to provide any evidence in form of attachments. However, if appropriate they can attach any supporting documents using the **Add Attachments** option available for each question
- For each question, users can also capture a comment if appropriate. This can be done by clicking on the **Add Comments** option available for each question. This will display the **Comments** box where users can type any explanation for the selected response.





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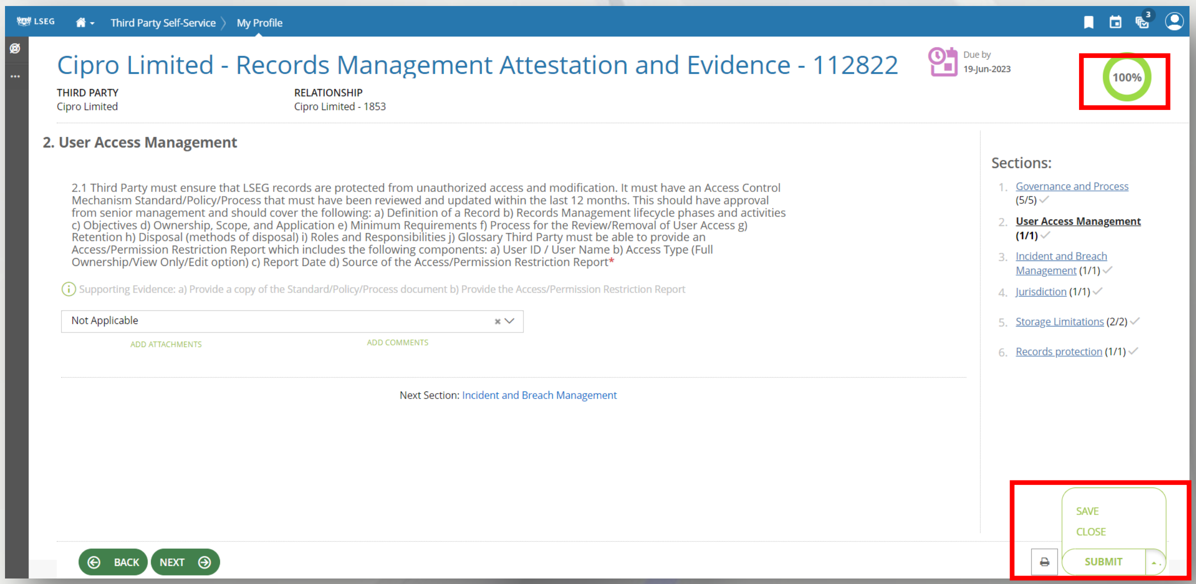
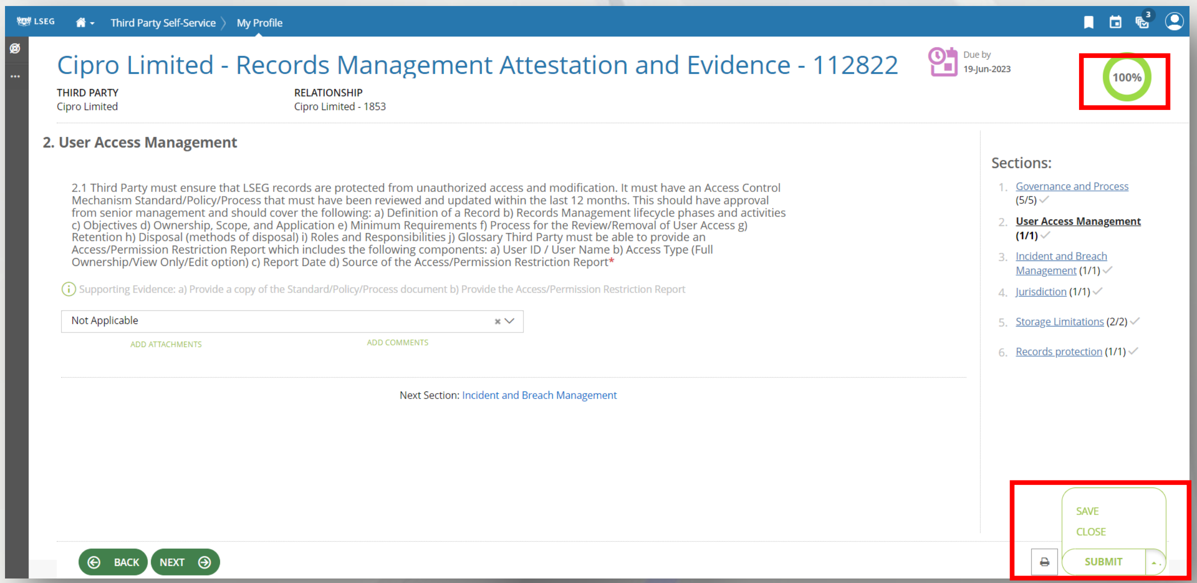
Respond to the questionnaire

- On the right side of the form, the number of questions responded in each section is displayed.
- Users can jump to questions within a specific section by clicking on the section name.
- Users can download the entire questionnaire in PDF format using the print icon highlighted in the graphic. The PDF file will contain all the questions and the responses provided by the third party. This can be useful if the users wants to share the responses with other individuals in their organization for review or approval.
- The progress indicator displays the percentage of questions responded so far. Once all the responses have been captured for all the questions, the progress indicator will display 100%.
- The third party may require multiple days to respond to the questionnaire. They can save the current responses by clicking on the up arrow icon next to the **Submit** button and selecting the **Save** option. They can click on the **Close** option to close the questionnaire.



Submit the questionnaire

- Third party can submit the completed questionnaire by clicking on the **Submit** button.
- Users can capture any comments if needed in the **Comments** field and click on the **Submit** button.
- The questionnaire will be removed from the **My Tasks** list and the LSEG risk assessment team members will receive email notification regarding submission of the questionnaire.



Chapter 3

Topic: Requesting clarifications from third parties

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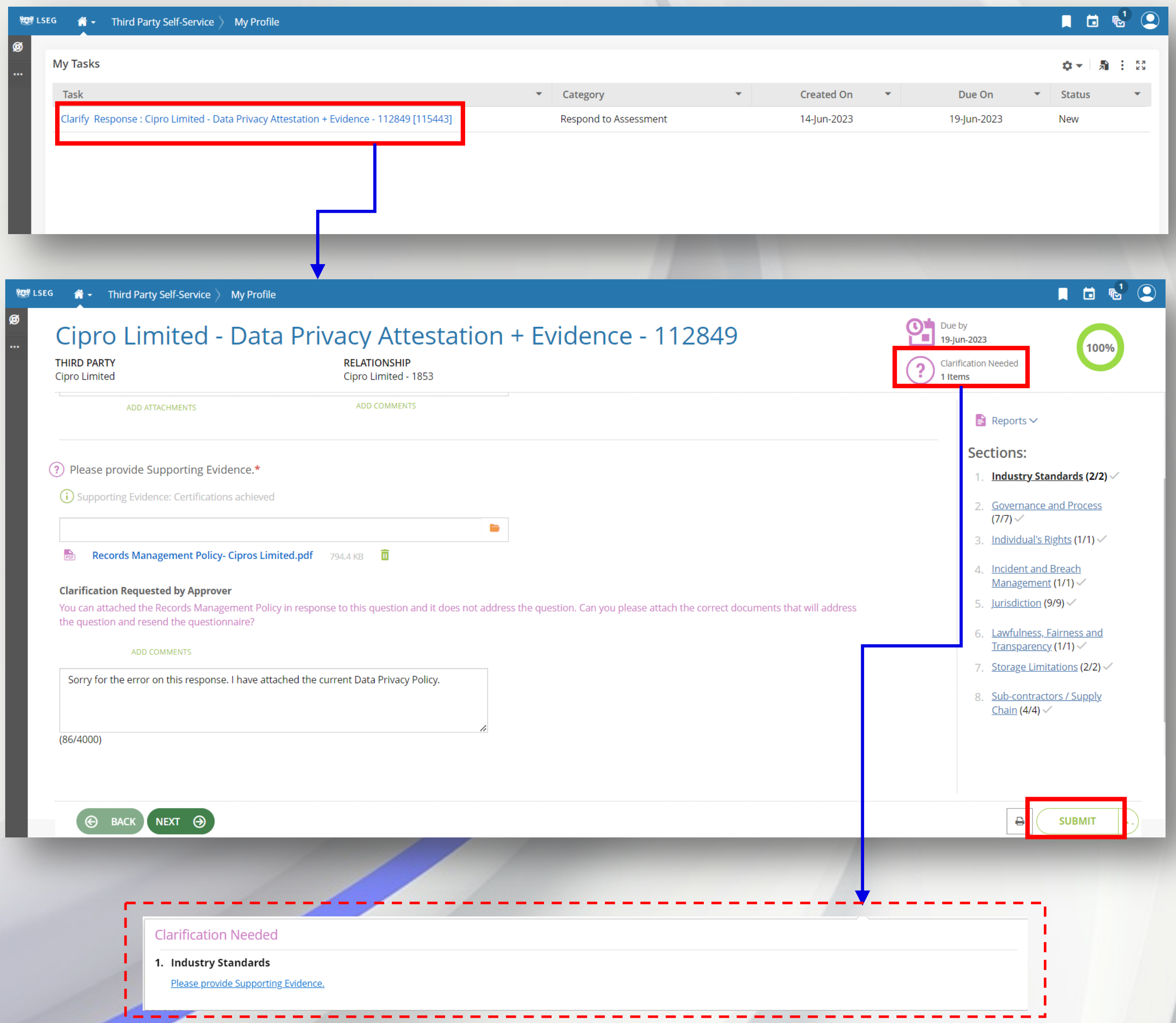
Providing clarification responses

- LSEG case specialists or risk assessment team members can request clarifications on responses provided by third parties.
- Third party contacts will be able to view the clarification request in the *My Tasks* window and in the Task List.
- They can open the questionnaire by clicking on the task name.
- They can view the number of clarifications requested from the question mark icon highlighted in the graphic and click to view the questions where the clarifications have been requested.
- They can click on the question to jump to a specific question. Here they can view the clarification requested by the risk assessment team.
- They can make the necessary updates.
- They can also capture a text based response by clicking on the **Add Comments** option.
- Once all the clarifications have been provided, they can click on the **Submit** button to send the questionnaire back to the LSEG team.
- Capture any comments in the **Comments** field and click on the **Submit** button.



End of the User Guide

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