



Third Party – User Guide on dbTPRM

#PositiveImpact

March 2023

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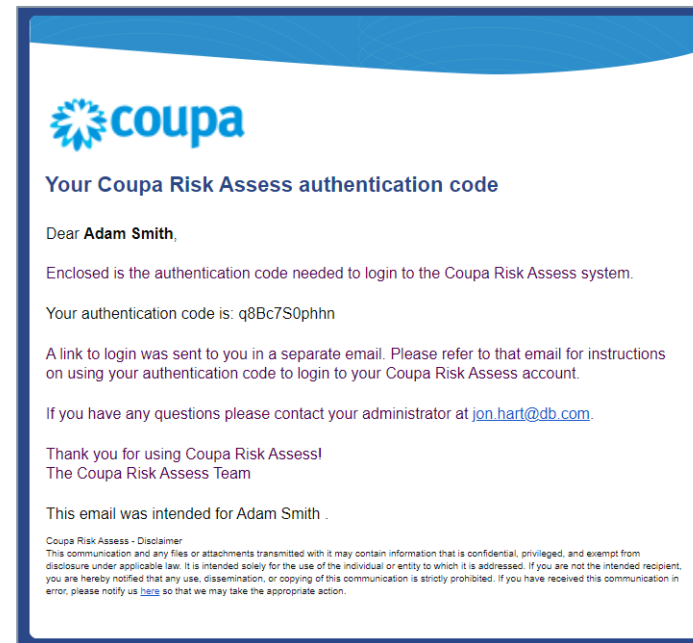
How to set up Access in dbTPRM / Coupa

Set up Access to Coupa / dbTPRM



You will receive two emails; one containing your link to Coupa, another containing the authentication code to set up the access. **This occurs only once when your account is created.**

Click the 'Link' on the email.



To Note: Deutsche Bank's procurement process still requires all vendors to be registered on the SAP Ariba Network as well:

<https://www.ariba.com/ariba-network/ariba-network-for-suppliers>

Set up Access to Coupa / dbTPRM



coupa

Enter Your Authentication Code

Enter Code: **Continue**

Entry is case sensitive

[Request a new code](#)

Still having trouble logging in?
If you have questions please contact your administrator at jon.hart@db.com

coupa
Business Spend Management

Copy and paste the authentication code from the email into the '**Enter Code**' field.

Click '**Continue**'.

coupa

Select and answer your security question

Security Question *

Security Response *

Confirm Security Response *

Continue **Cancel**

Still having trouble logging in?
If you have questions please contact your administrator at jon.hart@db.com

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Business Spend Management

Populate '**Security Question**', '**Security Response**' and '**Confirm Security Response**'.

Click '**Continue**'.

Set up Access to Coupa / dbTPRM



coupa

Welcome to Coupa Risk Assess.

For security reasons, your password must now be changed. Your password was last changed on 3/20/2022 8:19:44 AM.

New Password

Passwords must be a minimum of 8 characters and contain at least four of the following: uppercase letters, lowercase letters, numbers and special symbols (!, \$, %, #, &...).

Confirm New Password

Continue

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Business Spend Management

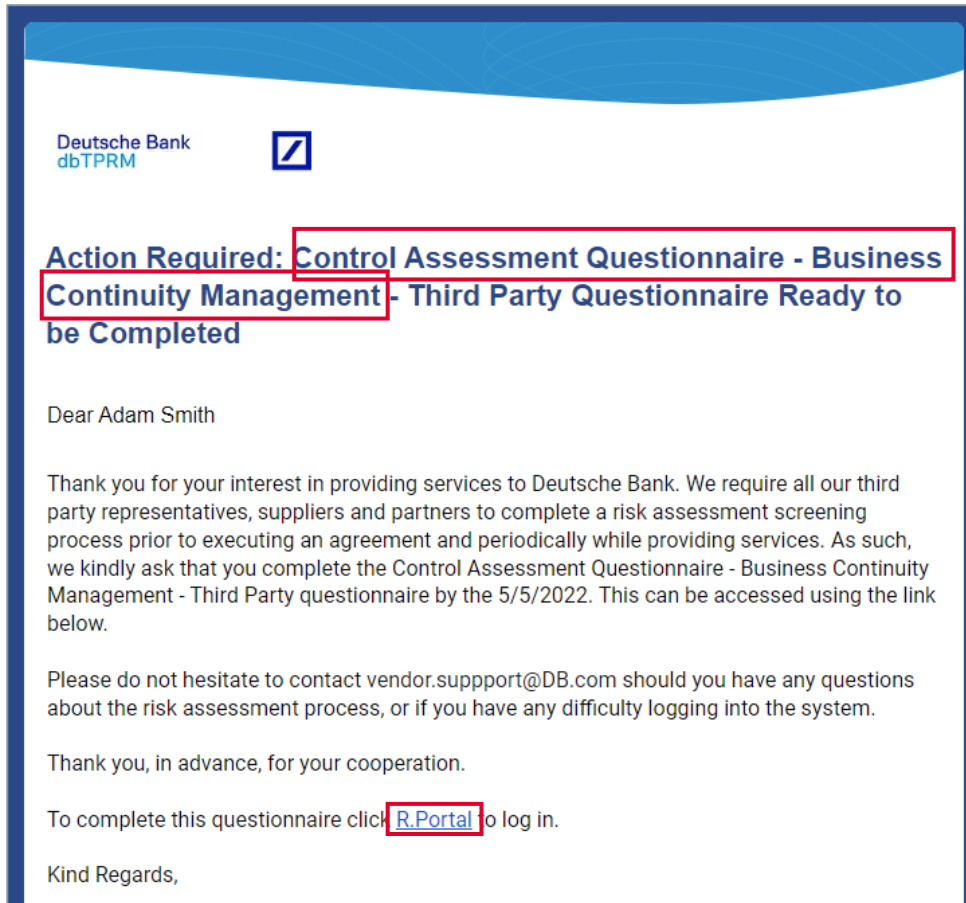
Populate 'New Password' and 'Confirm New Password'.

Click 'Continue'.



How to answer Control Assessment Questionnaires (CAQs)

Control Assessment Questionnaire (CAQ)



If Deutsche Bank requires attestation or evidence of controls, you receive an email to fill in CAQs.

Click the link to 'R.Porta' on the email.

As Control Assessments are carried out typically for Risk Types, you will get an email for different Risk Types, if your responds to different Risk Types is required.

Control Assessment Questionnaire (CAQ)



coupa

Welcome to Coupa Risk Assess, your solution for third-party management.

Sign In

User name

[Forgot username?](#)

Password

[Forgot password?](#)

Sign In

COUPA BUSINESS SPEND MANAGEMENT

It's time for organizations across all industries to manage and control all of their business spend. To do this, Coupa set out to build the most comprehensive suite of Business Spend Management (BSM) applications ever created, with the most open cloud-based architecture, and an unparalleled ease of use for administrators, employees, and suppliers.

RESOURCES

coupa
UNIVERSITY

Learn more at Coupa University.

New Users: Please retrieve your user name and temporary password from your email account or contact your organization's Coupa Risk Assess administrator for further instructions. Unauthorized access is prohibited.

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Business Spend Management

Then you need to enter your login credential that were set up in the previous steps.

Click **'Sign In'**.

Control Assessment Questionnaire (CAQ)



Adam

Terms of Use

Welcome to the Coupa Risk Assess. These Terms of Use govern your ("You" or "Your") participation in the Coupa Risk Assess application and the Coupa Supplier Network (together referred to as the "Network") which is maintained and operated by Coupa Software, Inc., including its subsidiaries and affiliates ("Coupa").

1. Coupa offers to its customers ("Customers") online procurement, invoicing, data analysis, and other services and associated content, developed, operated, and maintained by Coupa, and made accessible via <http://www.coupa.com> or another web site or IP address designated by Coupa from time to time, or ancillary online products, including those offered via electronic mail, or offline products and services provided by Coupa to its Customers ("Service"). You wish to be listed in the Network as a potential or current supplier to Customers that use the Service. YOU EXPRESSLY AGREE AND ACKNOWLEDGE THAT YOU ARE SUBJECT TO, BOUND BY, AND WILL COMPLY WITH THESE TERMS OF USE. BY USING THE SERVICE, YOU AGREE TO THESE TERMS OF USE; IF YOU DO NOT AGREE, DO NOT USE THE SERVICE.
2. Coupa reserves the right, at its sole discretion, to change these Terms of Use, at any time. The revised version will be effective at the time Coupa posts it. It is Your responsibility to check these Terms of Use periodically for changes. Your continued participation in the Network and use of the Service following the posting of changes will mean that You accept and agree to the changes. Coupa last amended these Terms of Use on the date stated above. However, if the revised version includes a material change, it will be effective 30 days after the material changes are initially posted. Coupa will make all reasonable endeavors to notify You of such material changes through the Service prior to the expiration of such 30-day period. As long as You comply with these Terms of Use, Coupa grants You a personal, non-exclusive, non-transferable, limited privilege to be a member of the Network and use the Service. COUPA RESERVES THE RIGHT TO IMMEDIATELY REMOVE YOU FROM THE NETWORK AND TERMINATE YOUR USE OF THE SERVICE IN ITS SOLE REASONABLE DISCRETION UPON NOTICE TO YOU (EMAIL ACCEPTABLE).
3. You represent and warrant the following: (i) You will comply with all laws and regulations that apply to Your participation in the Network and Service; (ii) You possess all right, power, and authority to enter into these Terms of Use; and (iii) Information that You provide to Coupa or upload to the Service will be accurate and that you are responsible for the accuracy of your Information.
4. Each party shall continue to own all right, title, and interest in its intellectual property and materials associated with these Terms of Use. Additionally, neither party provides any license to its intellectual property or materials except as set forth herein. You grant to Coupa a limited, personal, non-sublicensable, non-exclusive license to use your Information and associated intellectual property necessary for Coupa to include You in the Network and to provide information on or about Your products and services as part of the Service. You agree that Coupa may collect, use and disclose quantitative data derived from Your use of the Service for industry analysis, benchmarking,

English

DeclineAccept

Click 'Accept'.

Control Assessment Questionnaire (CAQ)



Evaluation

Risk-Control Assessment Questionnaire - Business Continuity Management - Third Party [MT Supplier 0405 Training] - Onetime - Period Start 04 May 22

Export Import

Deutsche Bank

Calculations

Item #	Description	Score	Actions
00.00	Business Continuity Management Questionnaire:		

Attestation or Evidence CAQ

Attestation

Business Continuity Management

Item #	Description	Score	Actions
01.01	Question 1:		

Does your organisation hold a valid ISO22301 certification? *

04.01 Question 4: | | |

Does your organisation have a crisis management organisation/model? *

Top Delegate Recalc Save Cancel Submit

Now, the CAQ is displayed for you.

In case you want to delegate the CAQ, please see the following slide.

Otherwise; please fill in the relevant information.

If you want to add a comment to your answer, you can use the button under Actions.

At the end of population, click 'Submit'.

After submission, the questionnaire will be sent to Deutsche Bank for review.

Please note: In the event that Deutsche Bank require more information, or clarification, you will be contacted with details of that request.

Control Assessment Questionnaire (CAQ)



If the person isn't listed as additional contact yet, you won't find him/her in the drop down and need to set up that contact by clicking the **Plus** button.

When you create an additional contact, they are by default set as 'Active'. The tool will send two notifications to the new contact with subjects: "A Coupa Risk Assess account has been created for you", "Your Coupa Risk Assess authentication code". Using these emails the user can gain access to dbTPRM.

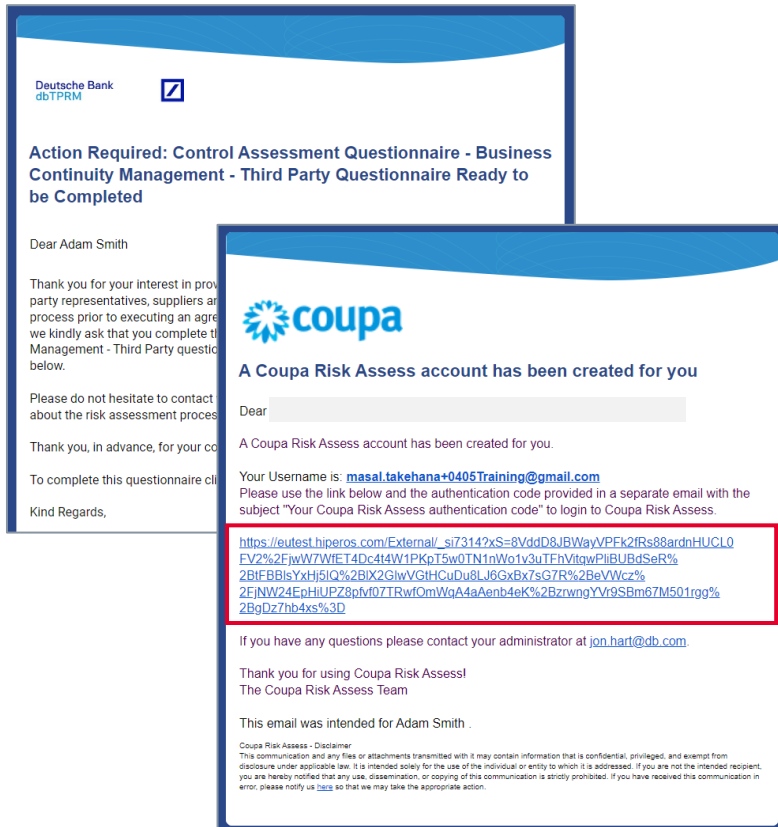
The primary contact can now use the delegate option to search for the new contacts and delegate the CAQ.

Once delegated, the questionnaire disappears from primary user's home page and will now appear in the new contacts home page.



Tool Navigation

Tool Navigation



To log in to Coupa / dbTPRM you can either use the Link that is provided in a notification email or the general Link that was provided with the first email.

It might be of advantage to save the Link in your Favorites.

Tool Navigation



Workspaces: R Portal ▾ Last Login: 3/24/2023 5:13 AM

Action Items

Personal

Evaluations:

You Have
114
[Show Me All](#)

114 Late [Show Me](#)

0 Due This Week [Show Me](#)

0 Due Later [Show Me](#)

[View Closed Evaluations](#)

Approvals:

You Have
0
[Show Me All](#)

0 Late [Show Me](#)

0 Action Required [Show Me](#)

0 Waiting [Show Me](#)

[View Closed Approvals](#)

Action Plans:

You Have
6
[Show Me All](#)

0 Not Started [Show Me](#)

6 In Process [Show Me](#)

0 Awaiting Approval [Show Me](#)

[View Closed Action Plans](#)

Evaluations: All

Name	Periodicity	Start Date	Context	Status	Due Date	Action Status	Action
			2023				
Control Assessment Questionnaire - General - Transaction	One Time	12/29/2022	2023 Kathi Demo 5 (Stone Company)	Rejected	1/28/2023		View
Control Assessment Questionnaire - TPRM - Transaction	One Time	1/2/2023	2023 Kathi Demo 4 (Stone Company)	Not Started	2/1/2023		View
Control Assessment Questionnaire - Infosec - Transaction	One Time	1/2/2023	2023 Kathi Demo 4 (Stone Company)	In Process	2/1/2023		View

This is your Dashboard view, where you can see open **Evaluations** / Questionnaires as well as open **Action Plans** to mitigate Gaps in the Risk Assessment.

By clicking **Show Me All** the list of open items will be shown.

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Tool Navigation



Evaluations: All

Name	Periodicity	Start Date	Context	Status	Due Date	Action Status	Action
Control Assessment Questionnaire - General - Transaction	One Time	12/29/2022	2023 Kathi Demo 5 (Stone Company)	Rejected	1/28/2023		View
Control Assessment Questionnaire - TPRM - Transaction	One Time	1/2/2023	2023 Kathi Demo 4 (Stone Company)	Not Started	2/1/2023		View
Control Assessment Questionnaire - Infosec - Transaction	One Time	1/2/2023	2023 Kathi Demo 4 (Stone Company)	In Process	2/1/2023		View
Control Assessment Questionnaire - Information Security - Third Party	One Time	9/14/2022	Stone Company	In Process	10/14/2022		View

Apart from different Risk Domains, you will find two different types of Control Assessment Questionnaires within your queue:

1. Control Assessment Questionnaire – *[Risk Type]* – Third Party
2. Control Assessment Questionnaire – *[Risk Type]* – Transaction

Transaction based CAQs are relevant for one particular engagement while Third Party CAQs are general questionnaires for one particular Supplier that only need to be answered when the first Engagement for that Supplier is created in dbTPRM*.

* It might be necessary to re-run a CAQ after a year in case of expiring policies for example.

Tool Navigation



Evaluations: All

Name	Periodicity	Start Date	Context	Status	Due Date	Action Status	Action
Control Assessment Questionnaire - General - Transaction	One Time	12/29/2022	2023 Kathi Demo 5 (Stone Company)	Rejected	1/28/2023	A	View
Control Assessment Questionnaire - TPRM - Transaction	One Time	1/2/2023	2023 Kathi Demo 4 (Stone Company)	Not Started	2/1/2023	A	View
Control Assessment Questionnaire - Infosec - Transaction	One Time	1/2/2023	2023 Kathi Demo 4 (Stone Company)	In Process	2/1/2023	A	View
Control Assessment Questionnaire - Information Security - Third Party	One Time	9/14/2022	Stone Company	In Process	10/14/2022	A	View

Context shows you the name of the Engagement and your Company as Candidate Supplier in brackets.

So, if you get an email notification from Coupa or an employee from Deutsche Bank reaches out to you on an Engagement, you will find this to help you filter for the correct Engagement.

As Third Party CAQs are independently from specific Engagement, you will find them by filtering for your Company name (last row in screenshot).

Status

- **Rejected:** The Risk Type Controller at DB has reviewed your responses in the CAQ and requires additional information. They will provide a detailed description which you can see at the top of the questionnaire.
- **In Process:** You saved your progress, but didn't submit the CAQ.
- **Not Started:** Nothing was done or saved for this CAQ yet.