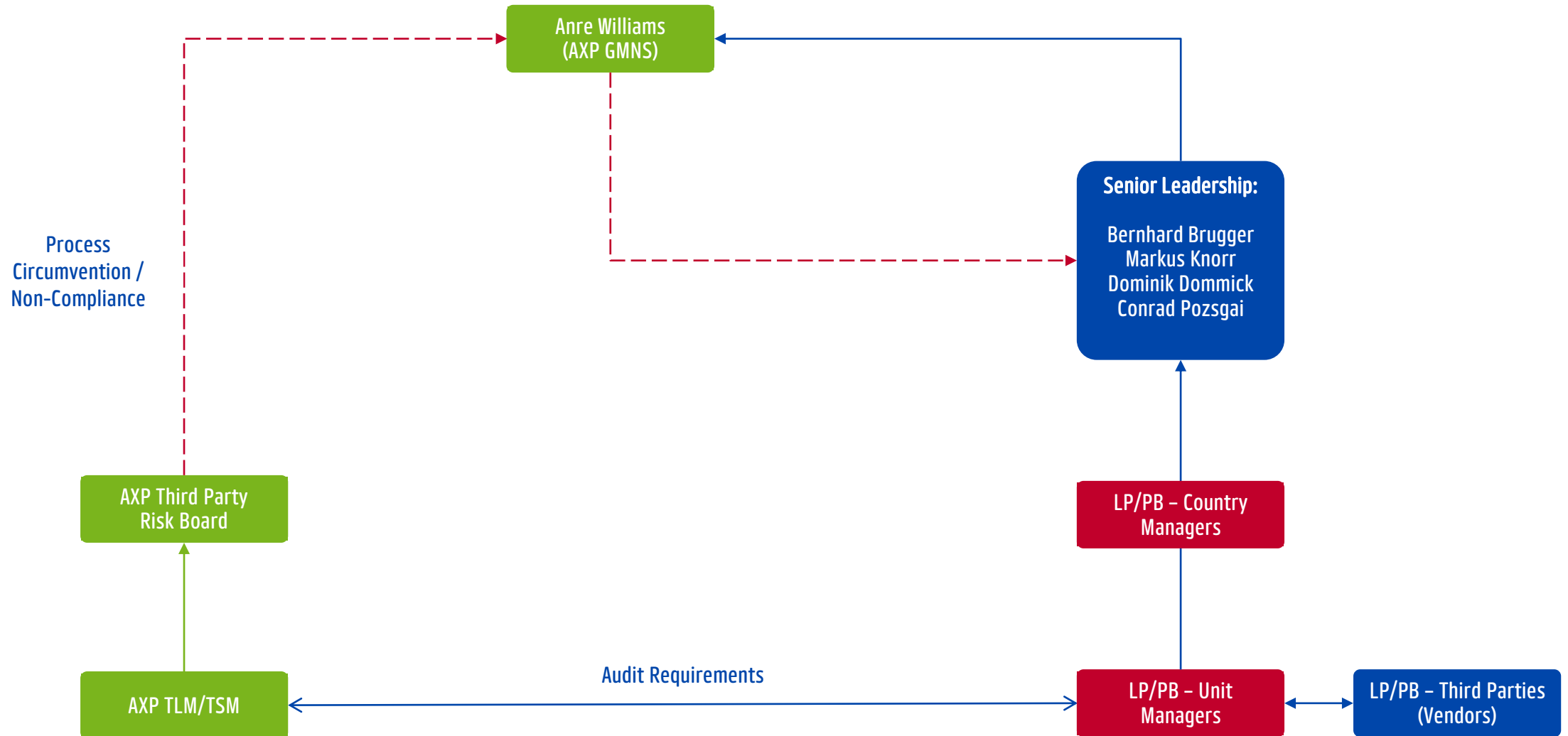


TLM Process at Loyalty Partner Group

High Level Overview

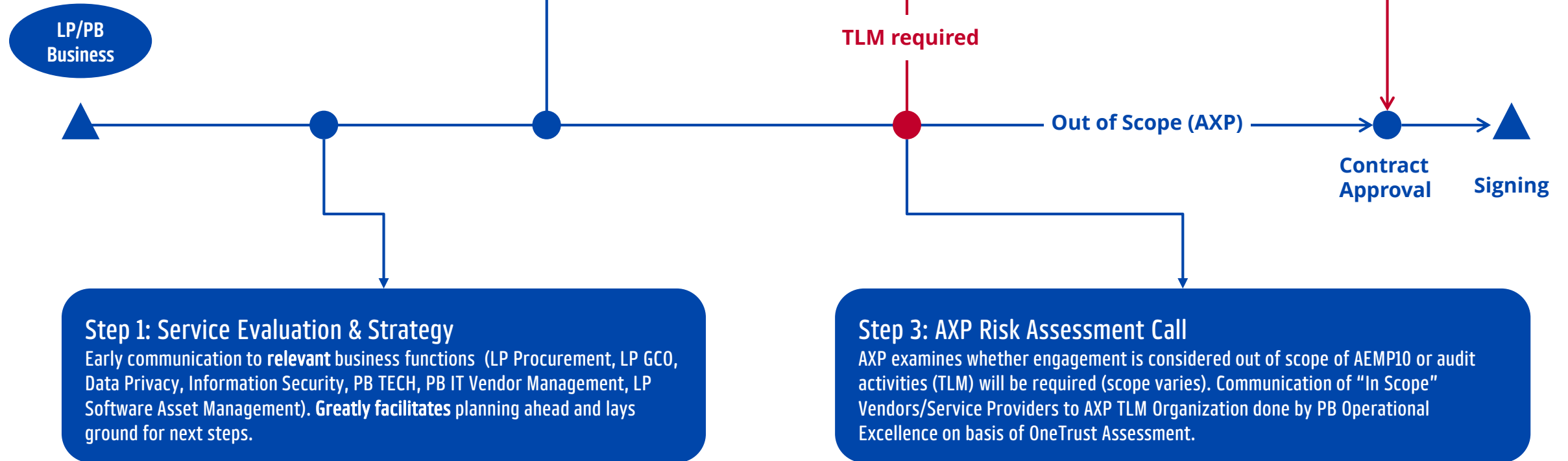
Process – Vendor Onboarding – High Level Ownership



Process – Vendor Onboarding – High Level Process

New Vendor/Service Provider?
New Service or Scope of Service?
New Market?
New Prices & Terms?

➔ ALL Contracting Events



Vendor Onboarding – Critical roles – The TRM (YOU)

Role	Core Responsibilities	Workload estimation
LP Third Party Relationship Manager (TRM) – Vendor managers having operative contact with the vendor (regular basis)	Delivers input for OneTrust & manages all audit related tasks & requirements which also includes ongoing oversight if required.	- OneTrust Assessment Input – 45-60 minutes (learning curve) - Participates on Risk Assessment Calls (RAQ) to verify assessment input (1 hour) - Pre-Contract audit can range from weeks to months, depending on vendor cooperation; weekly status calls with vendors recommended - Post-Contract Ongoing Oversight (if applicable): Monthly or quarterly AXP system input (ADS account required) of self defined SLAs/metrics (Performance Manager/Ongoing TRM) - Reoccurring information security audits (annual/biannual/triannual) process usually takes a month (can be more if GAPs are identified)

Vendor Onboarding – Critical roles – Onboarding vs. Ongoing TRM

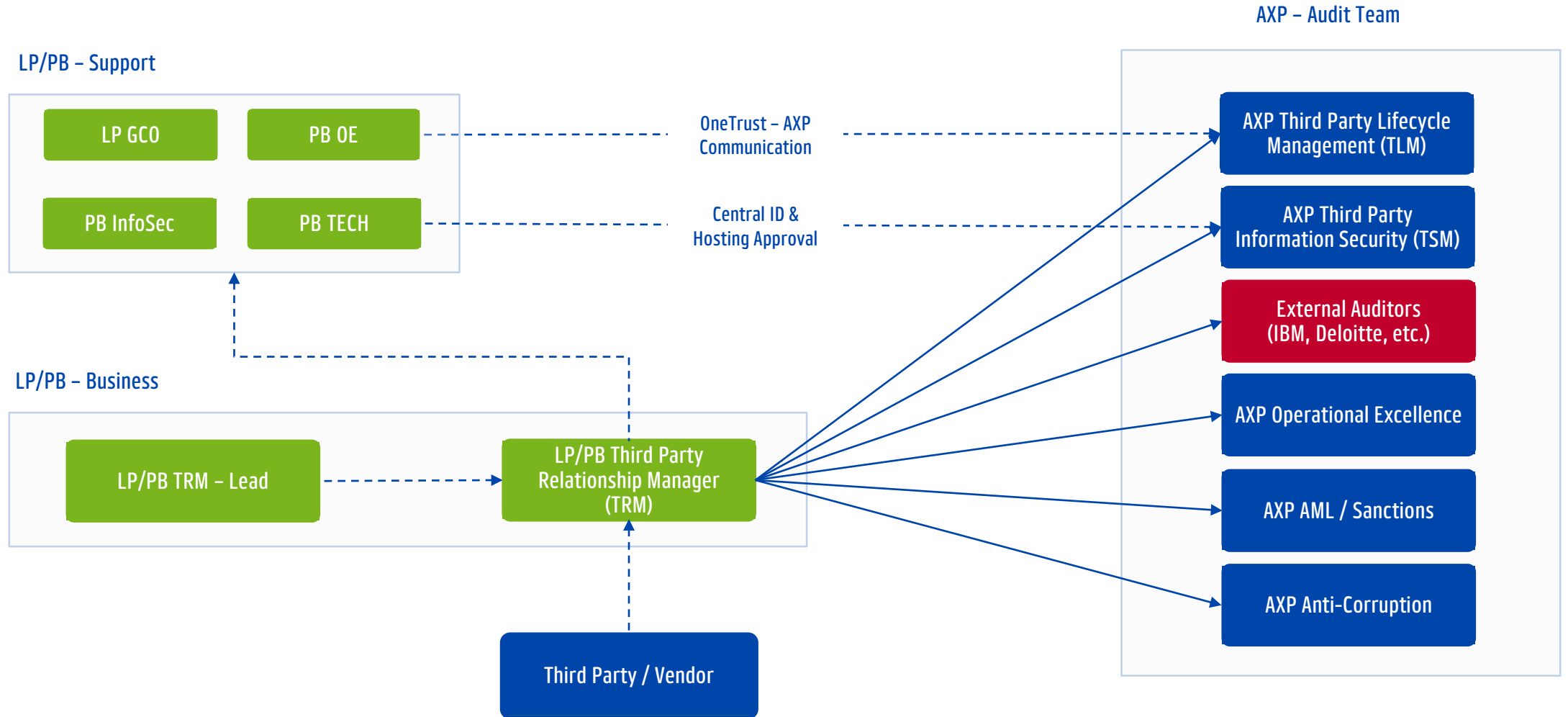
LP/PB Role	Role
LP Third Party Relationship Manager (TRM) – On-boarding	- Onboarding vendor manager (LP) - Handling the TLM in Pre-Contract Phase - Coordinating Audit Activities / Calls - Direct contact to AXP Audit Organizations & Third Party
LP TRM – Ongoing (Performance Manager)	- Ongoing vendor manager - Tracks SLAs & required audit activities (Ongoing Oversight) - Coordinates ongoing audit requirements (i.e reoccurring TLM/TSM audits)

Vendor Onboarding – Critical roles – Continued

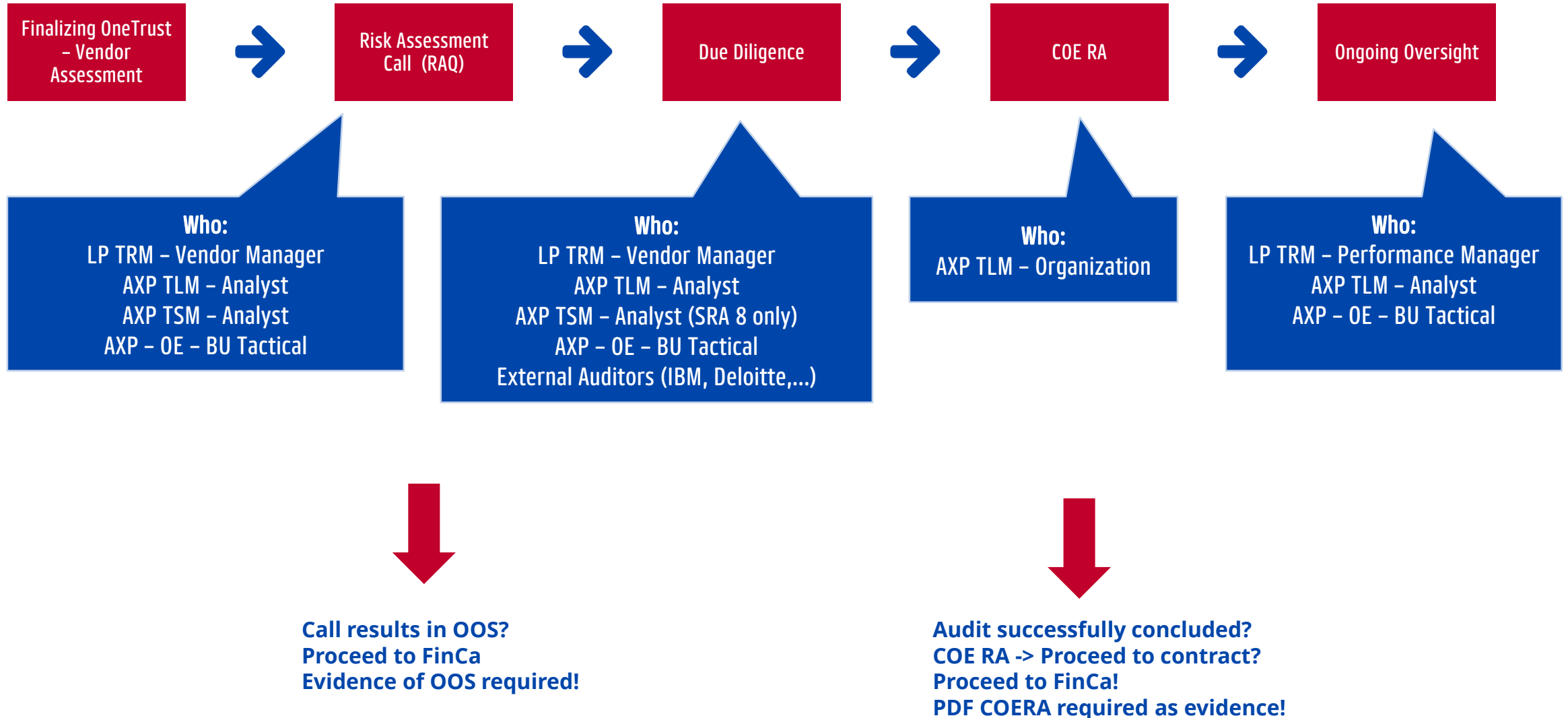
Role	Core Responsibilities	Workload estimation
LP – TRM Lead (Supervisor) – Directly responsible for their vendors (have to answer to PB DE/ AXP Management)	Approves the end result of the RAQ Call & acknowledges the final COE RA Report (the verdict on whether LP is allowed to sign the vendor).	- Review & approval tasks (15-20 minutes) - Direct responsible/owner of audit engagement - Directly engaged in any kind of management escalation
PB PL – Third Party (Vendor)	Delivers on audit requirements	- Delivers all required documentation and questionnaires - If required performs GAP closing tasks (given a standard timeframe) - If required delivers on ongoing oversight metrics/reporting

Expectation management will be crucial for every newly acquired vendor relationship. AXP timelines are tough. The questionnaires are not always easy to comprehend. TRMs will have to align AXP demands with vendor reality.

Involvement – Who is involved at LP/AXP?



High Level AXP Audit Process



High Level Audit Process – What AXP Organization is in the lead, when?



AXP TLM Organization:
SRA Questions – 1,2,3,6,7,9,10,11
+ General Engagement Due Diligence
+ Ongoing Oversight

AXP TSM Organization:
SRA Question – 8
Information Security Audits only
Pre-/Post-Contract Logical/Physical Assessments

External Auditors (do the fieldwork/calls)
Pre-/Post-Contract Logical/Physical Assessments

A red arrow points upwards from the yellow box to the "Due Diligence" step in the flowchart above.

BACKUP – AXP Help & Support

AXP Role	When to contact?	GMNS
AXP TLM – Director	Escalations	Caroline J. Freeman: caroline.j.freeman@aexp.com
AXP TLM – Operations (Lead)	- New Contracting Event - New Service/New Service Provider - Escalations	Diana R Martin: diana.r.martin@aexp.com
AXP TSM – Operations (Lead)	- Structural Challenges/Complications in terms of - Information Security Audits (ongoing)	Gaurav Kashyap: Gaurav.Kashyap@aexp.com
AXP Operational Excellence	General Help & Escalations	Daniel L. Beach: Daniel.L.Beach@aexp.com Joanna L. Francis: Joanna.L.Francis@aexp.com
AXP Anti-Corruption	General Help & Advisory	Amit Pandey: amit.pandey2@aexp.com
AXP BCP – Coordinators	Assessment of Business Criticality (SRA 2)	Kimberly Jane Myre: kimberly.j.myre1@aexp.com
AXP Analysts TLM	Direct support of engagements / ongoing audit tasks	Various
AXP Analysts TSM (Information Security)	Direct support of engagements / ongoing audit tasks	Various

BACKUP – LP/PB Help & Support



LP/PB Role	When to Contact?	Who?
PB TECH / Portfolio Architect	- New vendors/service providers -> Creation of Central ID - New external hosting approvals -> Hosting Approval Process	Phil Emery: philip.emery@payback.net Yogesh Nair: Yogesh.Nair@aexp.com
PB Office IT – LP Helpdesk	- Creation of AXP ADS accounts (4-7 business days) - Problems to access AXP Tools (LP OneTrust, CADANCE, AXP TLM HUB) - Forwarding rules (AXP emails forward to PAYBACK emails)	https://pb-itsm.intra.loyaltypartner.com/servicedesk/customer/portal/2/user/
PB Information Security	- Uncertainty in regards to data classification - Consulting/evaluation of security concepts (third party)	Björn Klement: bjoern.klement@payback.net
PB Operational Excellence	- Structural complications with AXP process - OneTrust complications & feature requirements (vendor related)	Fabian Goedde-Menke: fabian.goedde-menke@payback.net
LP Data Privacy	- Support in regards to data privacy issues - OneTrust general support (User roles, Features, Attributes, Assessments)	Jens Selbach: jens.selbach@loyaltypartner.com

Before contacting above, always:

- 1) Check available guidance for answers
- 2) Contact AXP resources for help
- 3) Contact local resources for help

Thank you

Fabian Goedde-Menke

Process Manager Governance & Risk – Operational Excellence
 PAYBACK GmbH | Theresienhöhe 12 | 80339 Munich, Germany | ☎ +49 (0) 89 99741- 1996
fabian.goedde-menke@payback.net | fabian.goeddemenke@aexp.com

Bjoern Schierle

Manager GLC – Operational Excellence
 PAYBACK GmbH | Theresienhöhe 12 | 80339 Munich, Germany | ☎ +49 (0) 89 997 41 – 105
bjoern.schierle@PAYBACK.net

