ProcessUnity Quick Reference Guide

Third Party

This Quick Reference Guide covers the process steps a Third Party will need to complete within ProcessUnity's Third Party Portal as part of CNA's Third Party Risk Management (TPRM) process.

The Third Party is responsible for
- Responding to all applicable Due Diligence Questionnaire(s)
- Providing necessary evidence
- Responding to any applicable follow up requests from CNA
- Cooperating with the Issue Approver to remediate any identified Issues if they are marked as the Issue Owner

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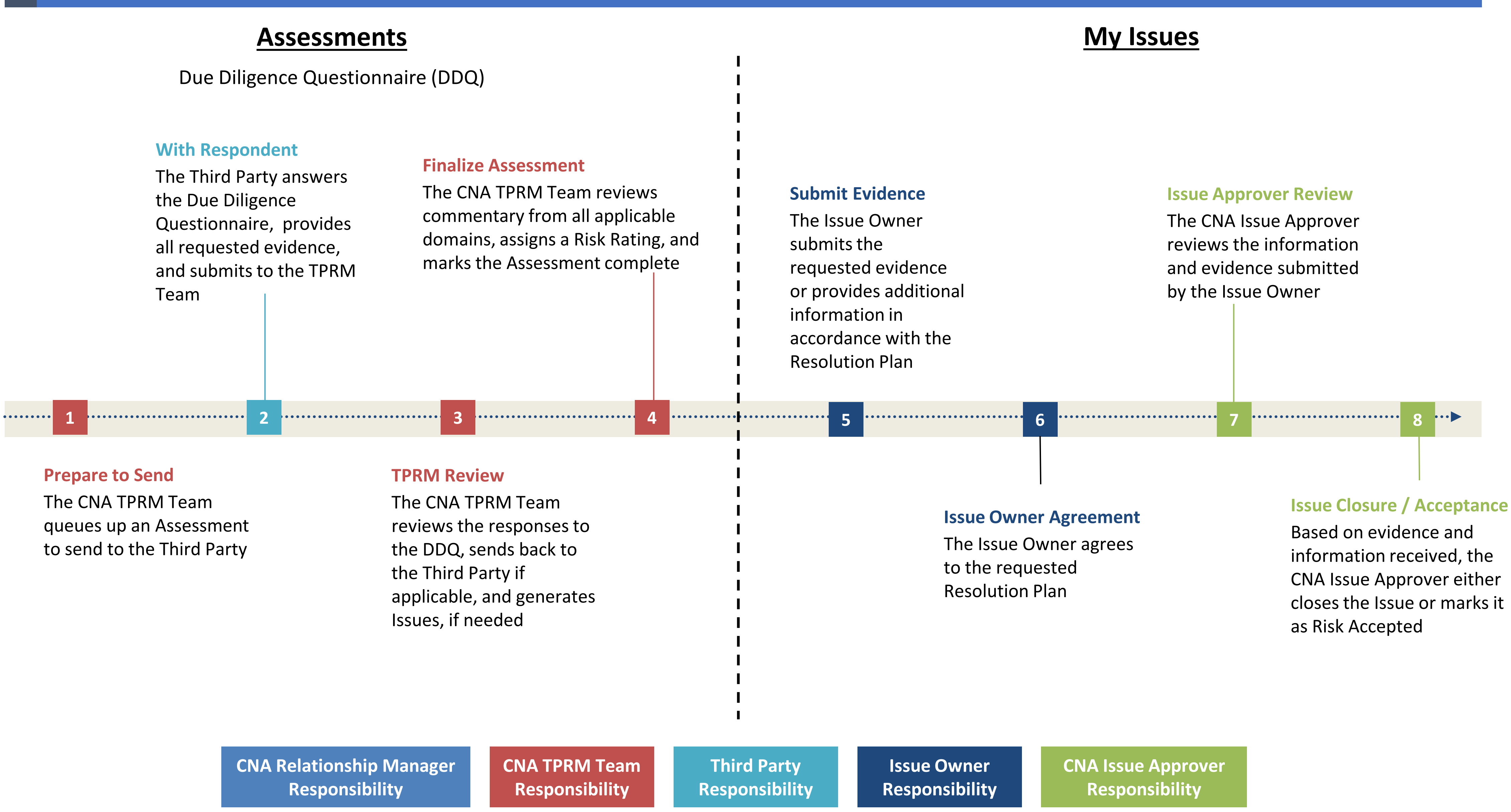

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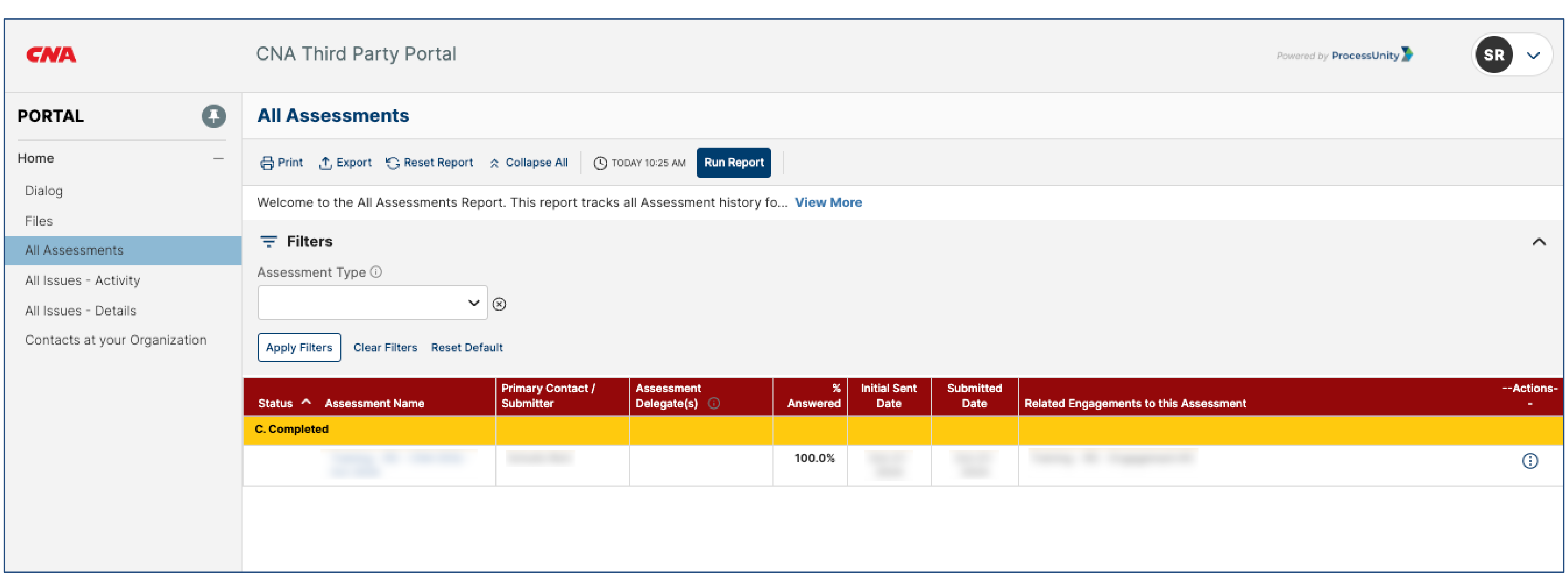
ProcessUnity’s Third Party Portal Overview

ProcessUnity is CNA’s new Third Party Risk Management (TPRM) tool that will be used to assess the Cyber Security posture of our Third Parties and track remediation progress of any identified Issues.

Accessing ProcessUnity:
A Third Party Contact will receive a notification informing them a Due Diligence Questionnaire (DDQ) has been initiated that requires their review and response. The email contains a link to access ProcessUnity and upon first logging in, the user will be required to change their password.

Third Party Portal Navigation Pane:
The **Dialog Tab** is accessed by the Third Party and the Assigned Assessor to provide commentary on request updates and/or evidence.

- The **Files Tab** is leveraged when the Third Party needs to upload any supporting documentation in addition to what was submitted as part of the DDQ.
- The **All Assessments Tab** is used to navigate to all Assessments assigned to the Organization and view the statuses.
- The **All Issues – Activity Tab** is used to view all Issues and applicable details as well as the Issue Agreement dialog between the Issue Owner and Issue Approver.
- The **All Issues – Details Tab** is used to view all Issues and their statuses as well as submit Issue Remediation details to CNA.
- The **Contacts at your Organization Tab** is where you navigate to create additional contacts at your organization so they can access the Third Party Portal and assist in responding to the DDQ and providing evidence.



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ProcessUnity's Third Party Portal Overview

Questionnaire Instructions:
Please complete the sections within the questionnaire. Refer to the right side of the summary tab for percent completion of each section. If you have unanswered questions, a red triangle in the row of the section will appear. Within each section, unanswered questions will be highlighted with a red border. Keep in mind there are questions that conditionally require documents when a red asterisk appears next to the Attach File(s) field.

Section Instructions:
Please answer all the questions within the section and select the arrow on the bottom of the screen to navigate to the next section. Unanswered questions will be highlighted with a red border. Keep in mind there are questions that conditionally require documents when a red asterisk appears next to the Attach File(s) field.

Note: *In order to Delegate a section or a question, the employee must be added as a contact at your organization first. Navigate to the Contacts at your Organization tab on the left side of the portal to add the appropriate contacts.*

Third Party Creates a New Contact at their Organization

1. Login to ProcessUnity.
2. On the left-hand navigation ribbon of the CNA Third Party Portal, select the "Contacts at your Organization" tab.
3. Select [Create a New Contact].
4. Populate the details of the New Contact at your Organization (First Name, Last Name, and Email) then select [OK].
5. When the Confirmation message displays, select [OK]. The details of the New Contact will populate under the Active banner

Third Party Delegates a Question to be Completed by a Contact at their Organization

1. Login to ProcessUnity.
2. On the left-hand navigation ribbon of the CNA Third Party Portal, select the ”All Assessments” tab and click the name of the applicable Assessment.
3. Click into the section that contains the question you'd like to delegate to be answered by the other Contact at your Organization.
4. On the right side of the question you'd like to delegate, click the [Delegate Question] drop down, then select the appropriate Contact from your Organization. Text will appear beneath the Delegate Question drop down that says “Delegated to – Contact Name.”

Third Party Delegates a Section to be Completed by a Contact at their Organization

1. Login to ProcessUnity.
2. On the left-hand navigation ribbon of the CNA Third Party Portal, select the ”All Assessments” tab and click the name of the applicable Assessment.
3. At the top of the page, select [Delegation].
4. Select the Sections to Delegate and the Contact to which they will be assigned to, then click [OK]. A message will display confirming the delegation is complete.

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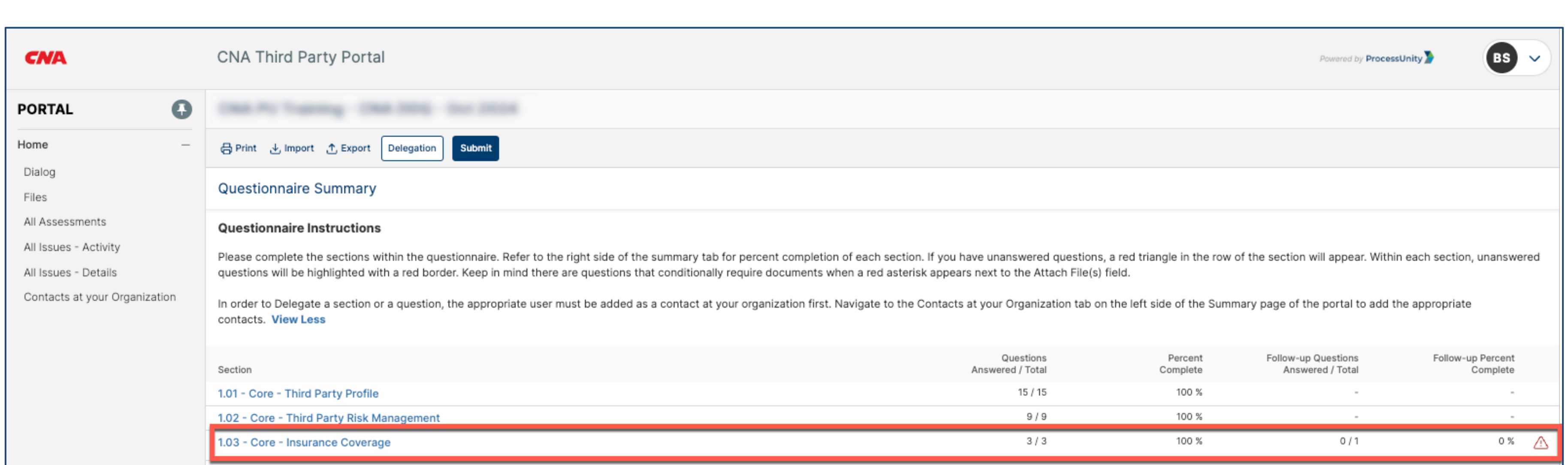
Third Party Responds to a Due Diligence Questionnaire

1. Login to ProcessUnity.
2. In the left-hand navigation pane, navigate to the All Assessments tab. Under the ”03. With Respondent” banner, click the Assessment name.
3. On the Questionnaire Summary page, review the various sections and details of the questionnaire. When ready, select the first section to begin providing responses. If applicable, refer to the instructions in this document above to Delegate a Question or Section to be completed by a Contact at your Organization.
4. Begin filling out the Questionnaire. Refer to the Questionnaire and Section Instructions within the Portal. Use the [Prev], [Next] and Section Drop-Down buttons at the bottom of the page to navigate between Questionnaire sections. ***Note:*** *If you need to navigate away from responses, click [Save] and your progress will be saved.*
5. When the entire Questionnaire is complete, select [Summary] at the bottom of the page to return back to the Questionnaire Summary. On the right-hand side of the report, ensure you have no Issue flags and that the Total % Complete is 100%. If not, review the flagged issues and action accordingly.
6. Click [Documentation] at the bottom to view all documentation that has been uploaded. Once complete, navigate to the top of the Questionnaire Summary page and click [Submit].

Third Party Responds to CNA's Request for Follow-up

1. Login to ProcessUnity.
2. In the left-hand navigation pane, navigate to the All Assessments tab. Under the ”05. With Respondent – Follow-Up” banner, click the Assessment name.
3. On the Questionnaire Summary page, review the Follow-Up Questions Answered / Total and Follow-up Percent Complete columns. When ready, select the section(s) where follow-up is required to begin providing follow-up responses.
4. The question that requires additional information will contain a red border and a comment from CNA underneath the Follow-up Request field. Populate your response comments in the Follow-up Response field.
5. When the entire Questionnaire is complete again, select [Summary] at the bottom of the page to return back to the Questionnaire Summary. On the right-hand side of the report, ensure you have no Issue flags and that the Total % Complete is 100%. If not, review the flagged issues and action accordingly.
6. Click [Documentation] at the bottom to view all documentation that has been uploaded. Once complete, navigate to the top of the Questionnaire Summary page and click [Submit].



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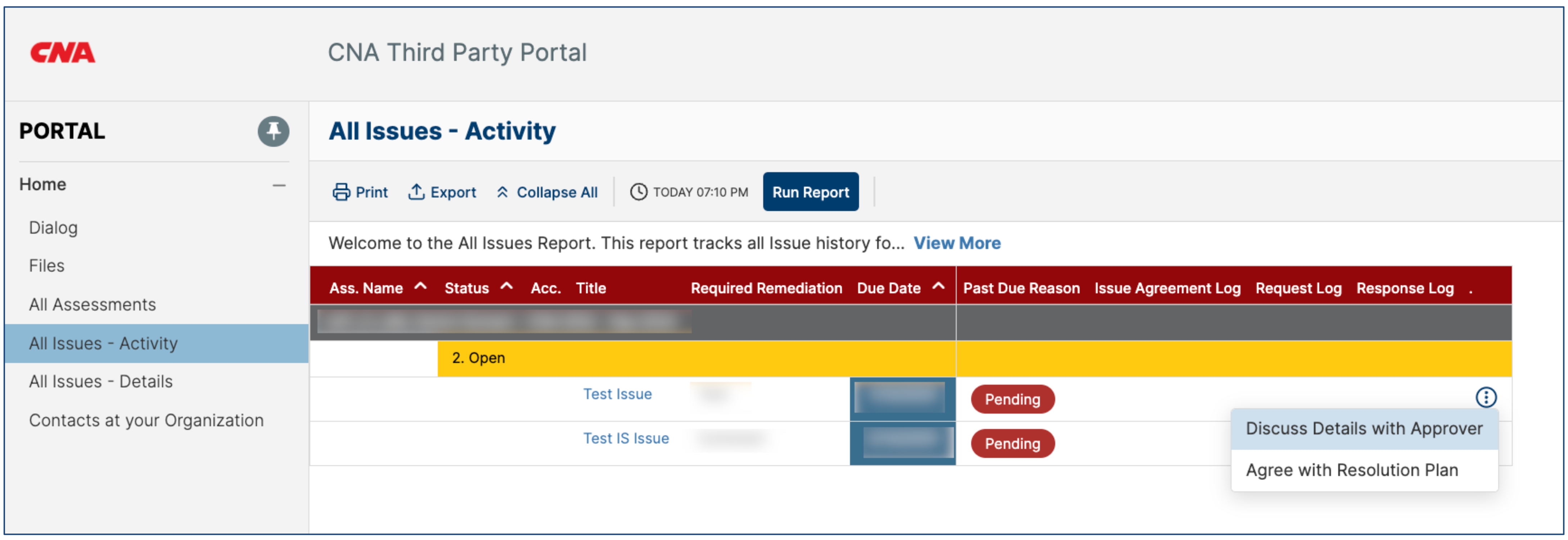
Once the CNA TPRM Team marks the Assessment as Complete, ProcessUnity will automatically send any Issues created and their details to the Issue Owner for remediation. Usually, the Issue Owner is the Third Party Contact.

Third Party Participates in CNA's Issue Remediation Process



Upon logging in to the Third Party Portal, the Issue Owner will navigate to the All Issues – Activity tab and be presented with the below option for each applicable Issue:

Discuss Details with Approver:
If the Issue Owner chooses this option, they will populate the details they'd like to discuss with the Approver in the dialog box that populates. Use the option if:

- You would like additional details related to the Resolution Plan
- You would like to provide clarification on previous responses you've provided

From there, the Issue Status will change from "2. Open" to "5. Details in Discussion." Once the Issue Approver responds to your request, you will receive a notification via email and the Issue Status will change from "5. Details in Discussion" to "2. Open." Review additional comments provided by the Issue Approver in the All Issues – Details tab.

Agree with Resolution Plan:
Once you are comfortable with the Requested Resolution Plan, in the All Issues – Activity tab, click the [Agree with Resolution Plan] button from the drop-down list. Once selected, the Plan Agreement Status will change from Pending to Agreed.

Prior to the Issue Due Date, provide any requested comments or evidence via the Dialog and Files tabs. Once you have provided all requested details, navigate to the All Issues – Details tab, click the three dots in the far right column, then click [Submit for Review].

If the Issue Approver requires additional information, you will receive an email from ProcessUnity and follow the same steps above to submit any requested evidence or commentary.