THE CLICK GUIDE

v.2.0

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Preamble

This click guide is intended as onboarding material and help-guide for the usage of Prewave. The guide will be updated regularly to include the newest updates and features. Some of the content in this document will be neither available nor accessible for users in Prewave due to the contracted scope or user rights. Permission can be assigned by key-users or by Prewave (Section: 14 Roles). Throughout the document the Prewave terminology is used to explain various parts of the platform (Section 16.). In addition to this document information will also be shared on the Prewave Knowledgebase (https://knowledgebase.prewave.com/)

Changelog

V1.0 / 07.02.2023 – Release first version of Click-Guide
V2.0 / 28.02.2024 – Click-Guide v.2.0 (updated screenshots, explanations)

1. First Steps

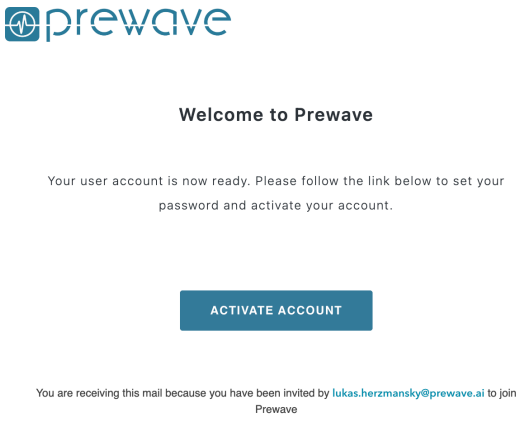
During the setup phase the customer will provide a supplier list through a provided template and Prewave will perform the preparation of the environment.
The customer can specify collections (grouping system of suppliers), Supplier IDs, spend data and contact information that will be added as 'Metadata' into the Platform. User accounts will be initially set up by Prewave and equipped with access roles according to customer's specification.

1.1. Login

As the first step in Prewave you will receive your login credentials. Either you received them per e-mail, or your company activated SSO for our software.

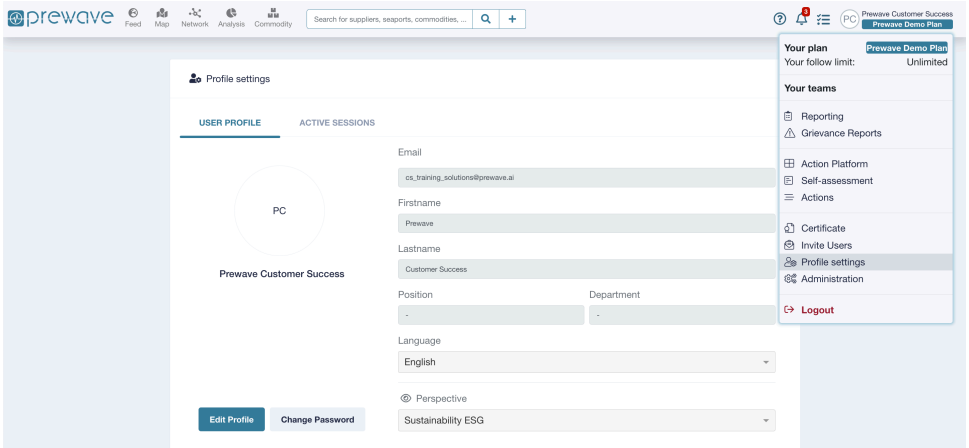
Did you receive a "Welcome to Prewave" email from one of our Customer Success Managers? Just follow the link in your email and you will be able to set your password for your account. Should the link be expired and not work you can resend the email by entering your mail address here: https://www.prewave.com/reset-password

Your company integrated SSO for your login? You can directly login on the platform.



1.2. Profile Settings

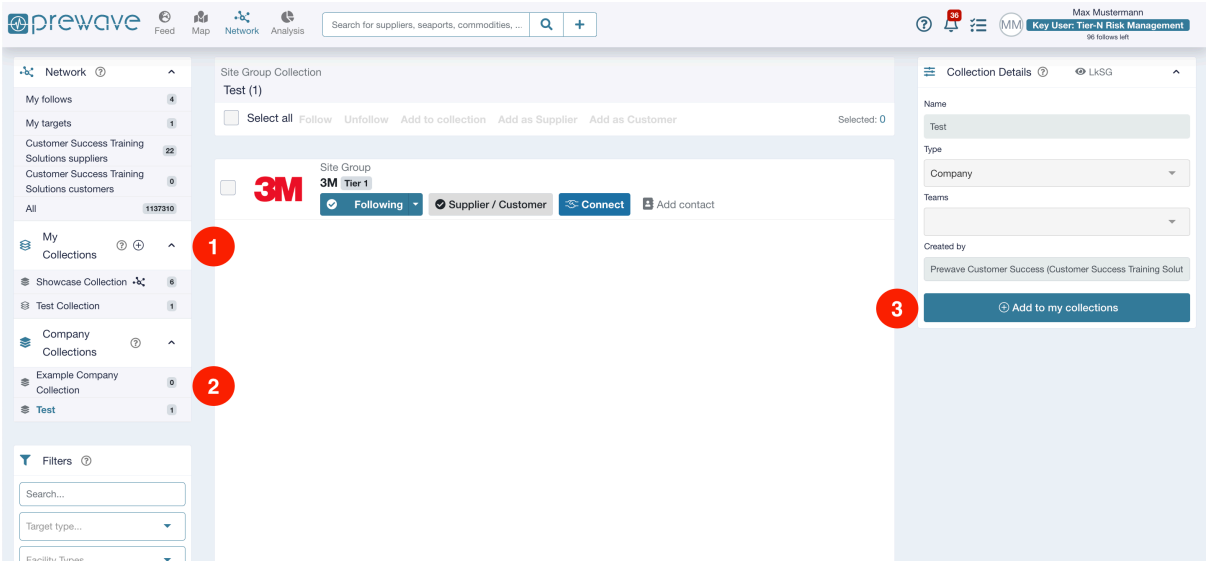
In the profile settings you can change your personal information such as name, position and department. Furthermore, you can change the perspective for the classification of Alerts in the Feed (incl. delivery settings).



1.3. Network: Select Collections

In the ‘Network’ tab the user can specify which supplier collections should be selected for the different delivery settings. Each Collection can be set for Feed Alerting and/or email notifications. Collections followed by the user will be available under ‘(1) My Collections’, all other customer collections will be visible under ‘(2) Company Collections’. To add a ‘Company Collection’ to ‘My collection’ the user needs to ‘(3) Add to my Collection’. Per default and if not requested otherwise Prewave will assign main collections and set the delivery settings to:

Feed (Alert priority starting from Low)
Realtime Mail (deactivated)
Daily Mail (Alert priority starting from Mid)
Weekly Mail (Alert priority starting from Mid)



2. List of Features

2.1. Risk Monitoring

Active monitoring of the supplier base by searching for events in public media and create alerts based on active and potential risks. Alerts are displayed on the feed and the supplier profile page.

2.2. Supplier Scoring

Adds the supplier/target scores. Suppliers will have a 360° Score existing of Peer Score (Country and Industry/Commodity Risks), Alert Score (after 2-year alert history), Self-Assessment Score (after fulfilling SSAs send out by the customer) and External Data Score (can be defined by the customer).

2.3. Risk Management/ Due Diligence

Covers laws like the LkSG, Norwegian Transparency act, etc. and provides supplier analyses (required by law), as well as reports and dashboards. Prewave is the end-to-end risk management platform

2.4. Tier-N

Generally, describes analysis of the Tier-N supply chain or product specific analysis. The data used are mainly bill of lading (BOL) data as well as public media. For supply chains, where no BOL is available, Prewave can also make predictions based on related supply chains.

2.5. Commodity Monitoring

The user can actively monitor commodities and companies working in this specific commodity. The user sees an overview of current alerts and production statuses as well as the development over a certain time frame.

2.6. Sanction Screening

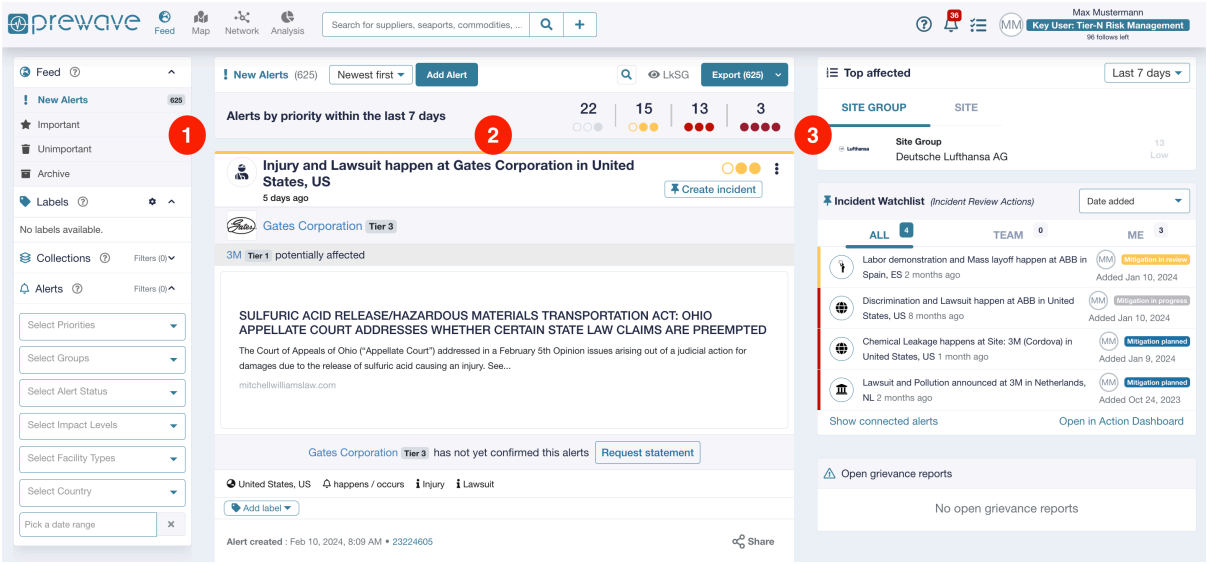
Check for sanction list entries for your suppliers.

2.7. Action Platform

Prewave enables customers to plan different Actions & Measures through selected partners, such as Desk Audits, On-Site Audits and Maturity Assessments.

3. Feed

3.1. Overview



The Feed is the main page that collects and displays all alerts (risks) identified for the supplier base. There are 3 core functionalities available:

1. Filter options (Left side)
2. Alerts (Middle)
3. Dashboards (Right side)

3.2. Filter Options:

With the filter options displayed on the left side, the user can manage the feed page and customize it user specific. The alerts shown are always dependent on the filters in place. Furthermore, the excel export of the feed page does only include alerts shown in the feed (with the filters in place)

3.2.1. Feed: Grouping System

One way of working with Prewave is by managing the alerts in the Feed page. By grouping them into 3 categories 1. "Important", 2. "Unimportant" and 3. "Archive", alerts are removed from the "New Alerts" page and can be found in the according folders again. By clicking on the group again, the default status is restored. These changes are user-specific and does not influence the view of colleagues or other users within the same company.

3.2.2. Labels

Add label Labels can be used to put an infotag on alerts. These labels can be created for the specific user only or as company label visible for all company members and be accessed over the settings next to Labels.

Customer Label Customer Labels have a little office building icon next to them. For other users to see these labels, they must first be set visible over the settings .

3.2.3. Collections

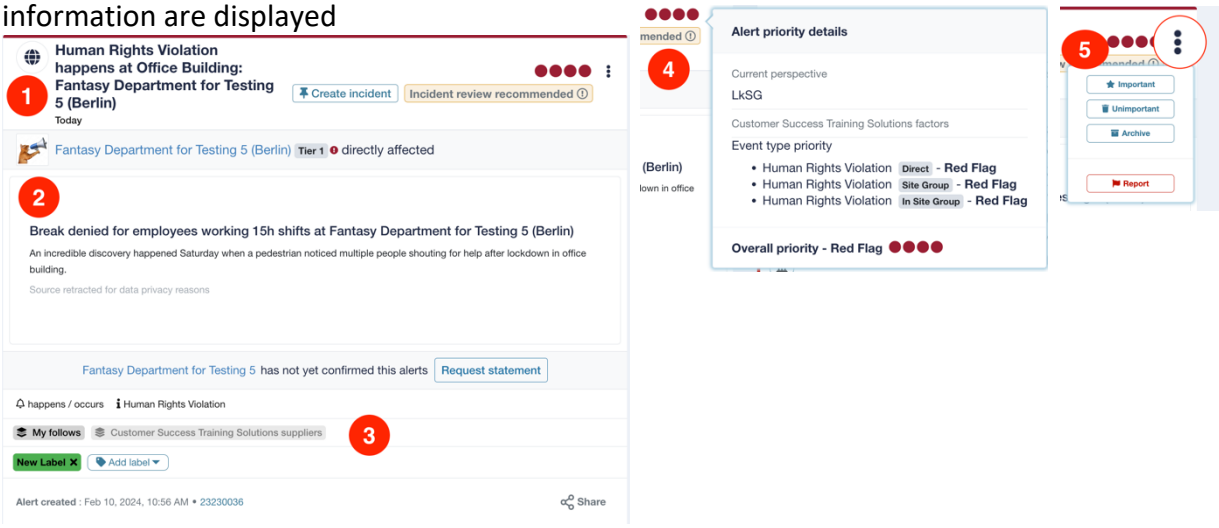
Furthermore, it is possible to filter per Collection: This depends on the settings in the Network Tab. Alerts will be displayed for all Collections under “My Collections” that have the feed alerting enabled. In the feed the collections can be chosen individually by the user.

3.2.4. Alerts

Filters can also be defined for the Alert itself. You can narrow your search down per Alert-priority, per event group (this depends on the selected perspective), alert status, impact level, facility type, countries as well as time frame.

3.3. Alert

An Alert is a summary of a news/social media article with a reference to a supplier. Depending on the perspective different event types are covered and prioritized accordingly. The alert header (1) contains the main infotags (event types, event status, affected company, affected location). The priority is displayed in the top right corner (4). By clicking on it, additional information about the rating is shown.
Underneath the header you find the direct link to the supplier profile as well as the Tier-N connection (e.g. Tier-1). The original source is linked below (2). At the bottom of the alert (3), the user finds all infotags listed as well as the options to label. Creation date, Alert ID and share option can be found on the bottom right. With the 3 dots in the top right corner the user can access the categories, as well as the reporting function in case wrong information are displayed



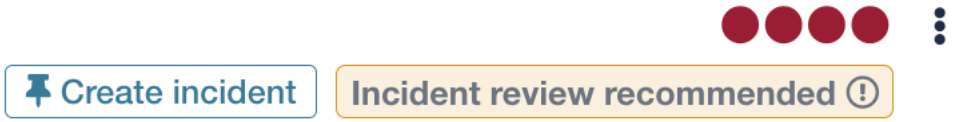
3.3.1. Alert priority

There are 4 priorities available in Prewave.

- Low priority will be shown but has no impact on the score.
- Mid priority has a small impact on the score
- High priority has a medium impact on the score
- Critical priority (Red Flag) has a high impact on the score and display the most severe risk in Prewave

The priorities have different impacts on the 360° Score (explained in 4.1. 360° Score)

3.3.2. Create incident/Incident recommended.



The ‘create incident’ function is an action to review the risks identified. The incident review dashboard gives the opportunity to follow up on alerts and to help users collaborate with their colleagues. By adding an alert to the incident watchlist, an action is created which can be assign to a colleague or team, with the option of tracking developments and changing the status accordingly. With the comment section, colleagues can communicate and update each other. The status is used for filter options later on and can be changed by the user at any time. Smart changes apply as well (moved to in progress when an action is triggered).

3.4. Dashboards

On the right-hand side, you find the connected dashboards. These give a quick overview of risky suppliers and tracks actions.

3.4.1. Top affected

Shows the targets that are most affected by alerts in the selected period (7d per default, can be changed to 30d).

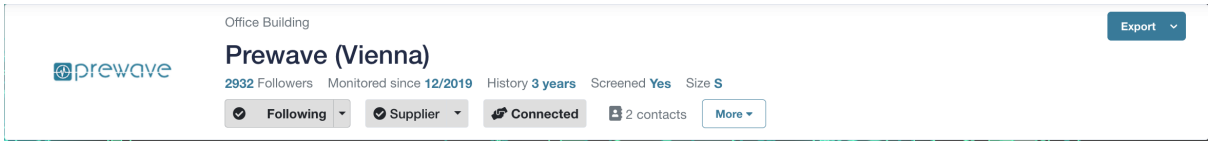
3.4.2. Watchlist

Shows all watchlist actions triggered. The overview can be filtered for ‘All’ Watchlist Alerts, ‘Team’ assigned alerts and Alerts that are assigned to ‘Me’.

3.4.3. Grievance Reports

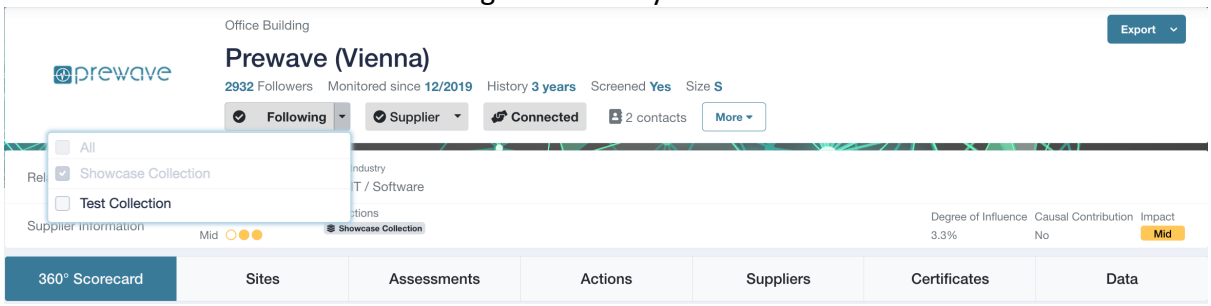
The grievance dashboard shows all unresolved grievance reports that have been added to the company profile.

4. Target Profile

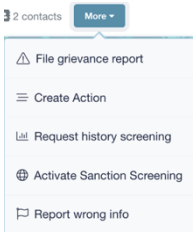


Every target in Prewave has its own page. There is one page per Site Group and Site. The header includes general information on the company, such as name and website.
A target can either be followed through a collection (Follow button in grey) or actively by the user (click on Follow, the button will turn blue). If a target is connected as supplier, if will be followed as well (through the supplier collection)
Followers shows the number of users following the target.
Monitored since displays the time since when Prewave is actively searching for alerts in the public media.
History is listed if a screening has been performed and shows the timeframe until when the alerts go back.
Screened is a YES/NO infotag indicating whether a historical screening has been performed.
Size refers to the media appearance, which also has an impact on the scoring weight. If a company is frequently mentioned in the media the Size is L or XL, meaning that a lot of reports are generated daily. Therefore, the impact of an alert on the score is lower. A company of Size S has no big media presence and alerts have a higher impact on the score.

The Follow button adds a target to the 'My Follows' Collection of the user.



Suppliers that are existent in a collection will be followed automatically but not shown in 'My Follows'. Per click on the arrow down on the right side of the follow button users who are owner/manager/editor of a collection can add/remove a supplier from this collection. Contacts can be added initially during the setup or by the connection managers. These contacts are used to send out statement requests or questionnaires.

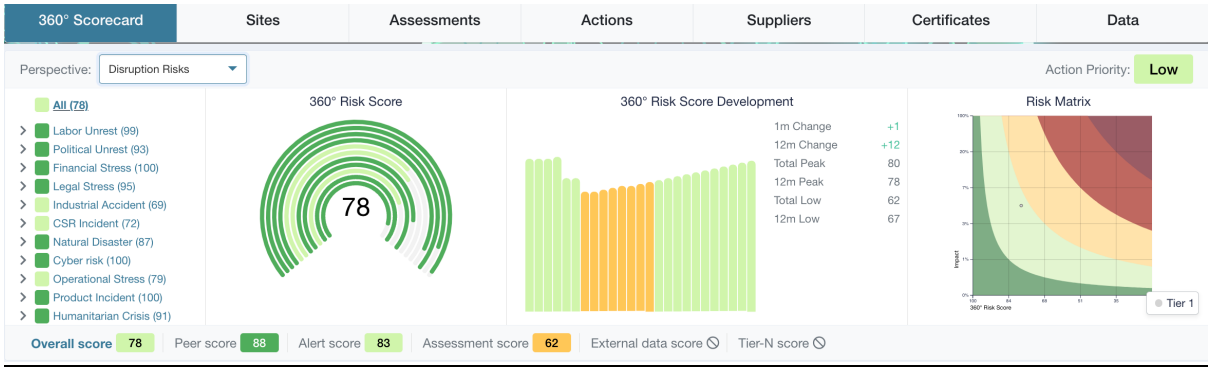


'More' opens a drop-down menu.

- File a grievance report
- Create Action
- Request a history screening (related to contract quota)
- Request sanction screening (only possible if package is purchased)
- Report wrong info

Related targets mention the connected infotags. In general, these are connected to the Site Group and to industries/commodities.

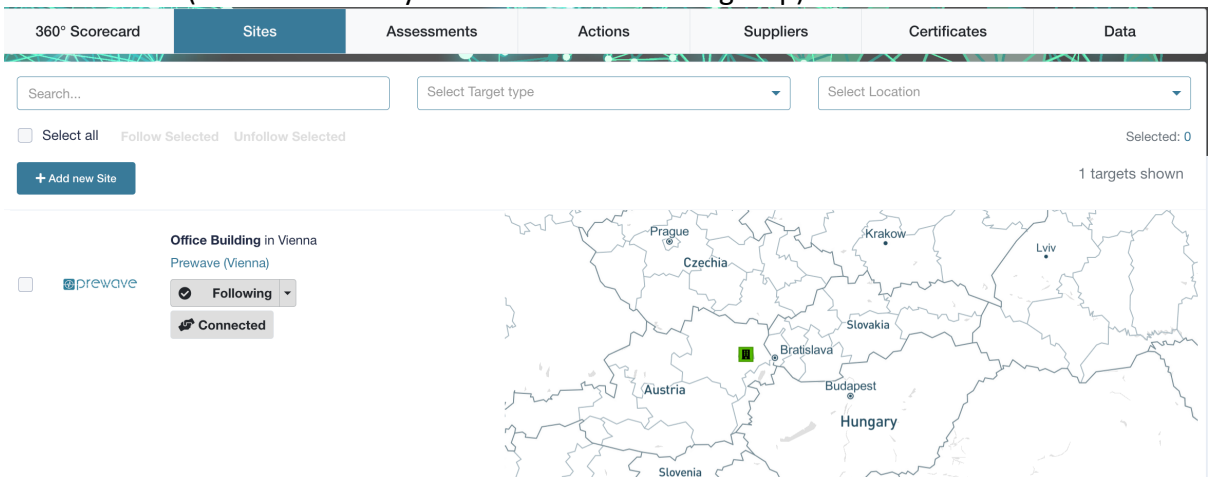
4.1. 360° Score



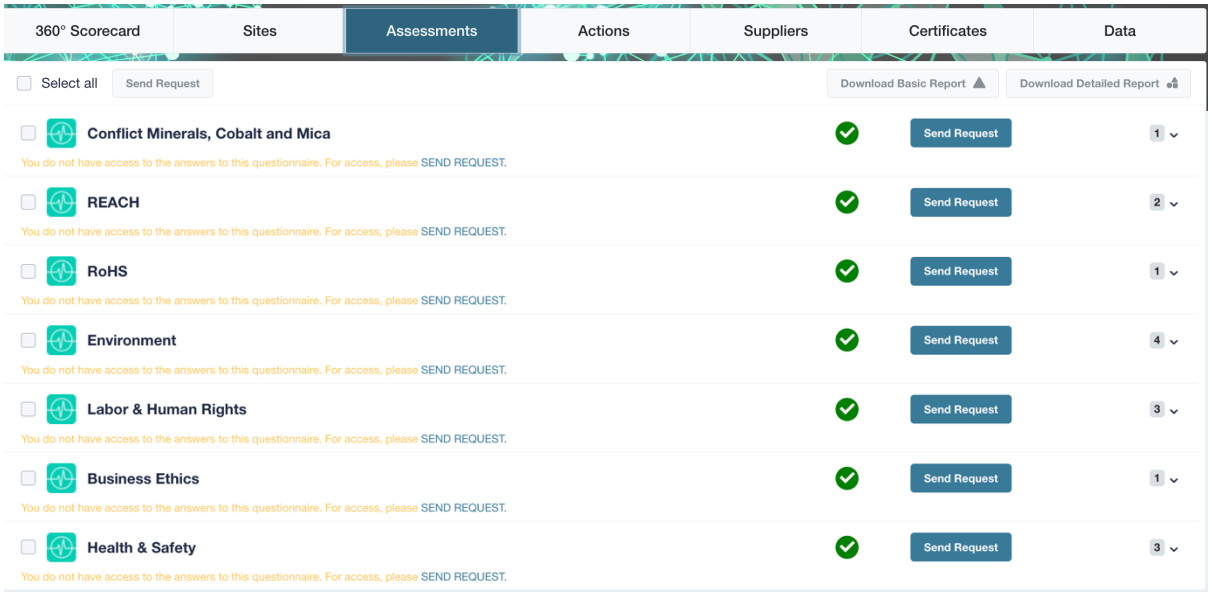
The 360° Score page shows the scoring components depending on the perspective. The groups can be expanded to show the event types included in the selected group.
The 360° Risk Score Development shows the changes in the past 24 months. Per click on a time frame the alerts are filtered. The score will improve each month if no new alerts are created.

4.2. Sites

Sites represents the different factories and locations of a site group. These locations are displayed on the map. This function only works for company target profiles and not for a location itself (as a site can only be connected to a site group) .

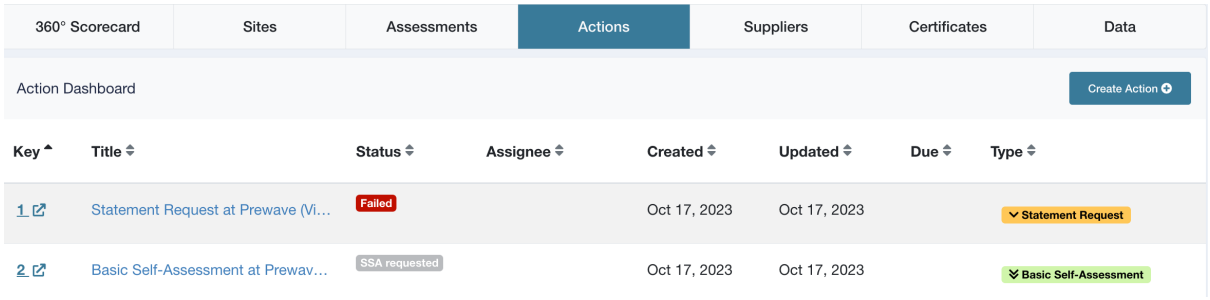


4.3. Self-Assessments



If the customer requests questionnaires and the request is answered by the supplier these documents will be stored here.

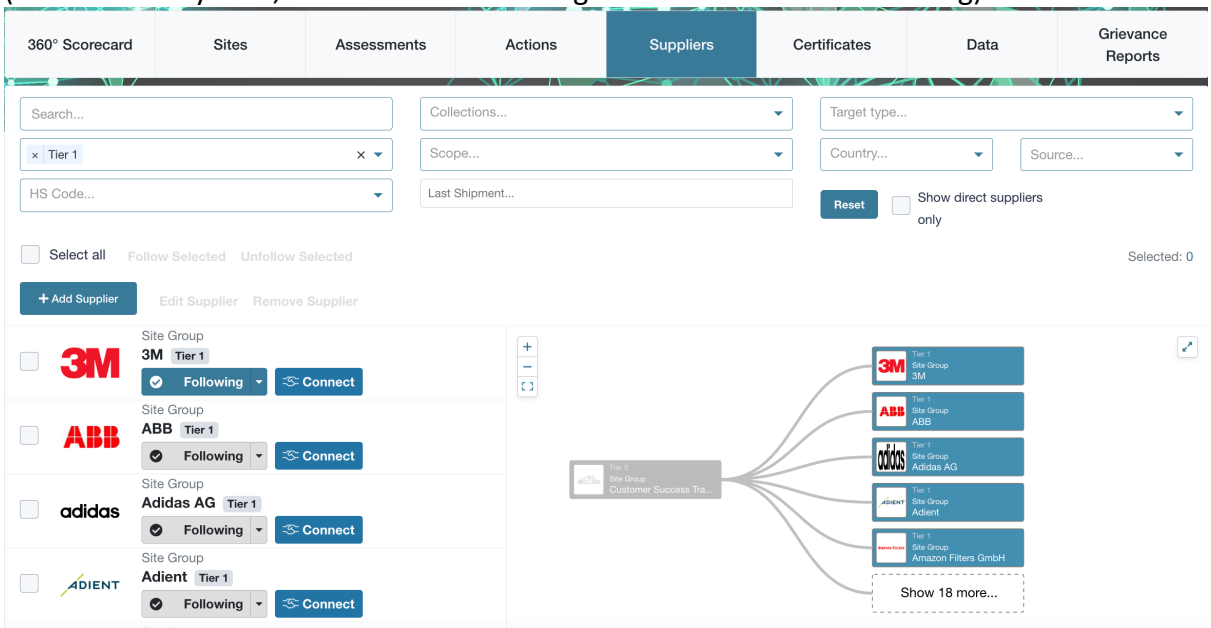
4.4. Actions



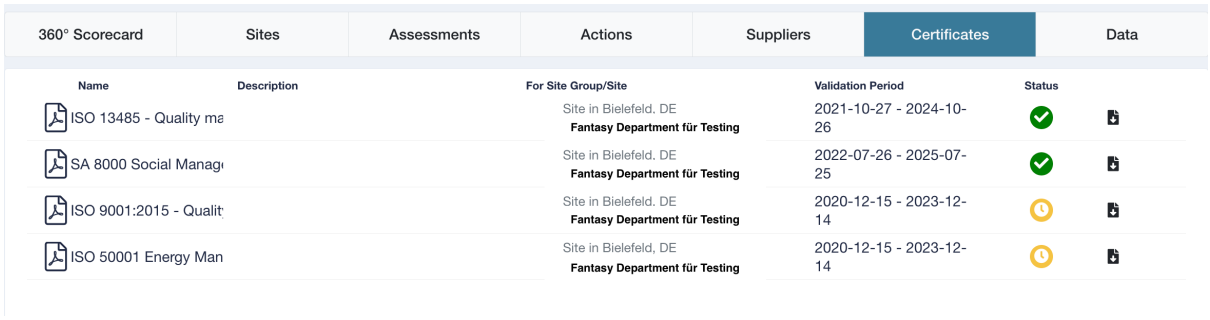
Actions defined by the customer will be shown here. Users also have the option to add new actions to the target. All fields can be filtered ascending/descending.

4.5. Suppliers

Identified supply chains can be displayed in the suppliers tab. Per default a filter is set to Tier-1 to reduce loading times. Filter options impact the supply chain. Targets that are not considered through filters will be shown in grey. By clicking on the connection between 2 targets a pop-up window shows more information about source, shipments and HS codes (Harmonised System, identification code to goods for international trading).

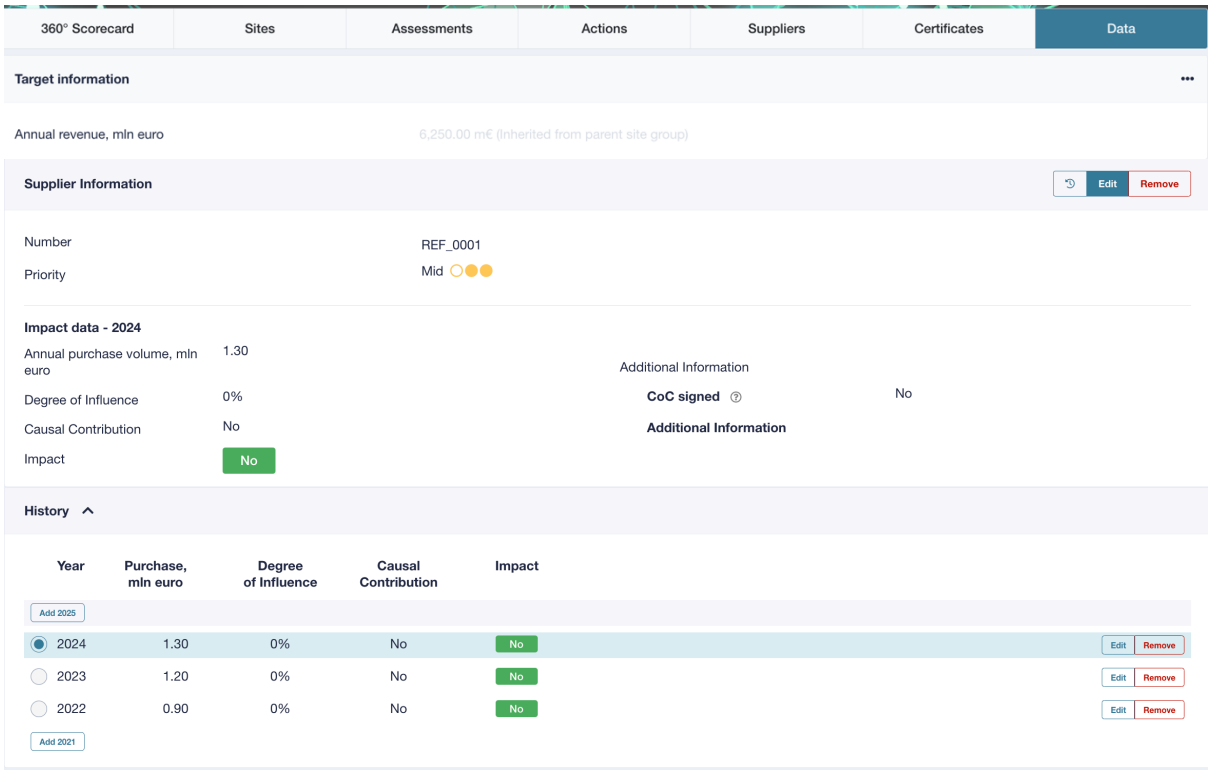


4.6. Certificates



Suppliers and Customers can upload certificates to the platform and have the option to share these documents with their connections. Such documents will be listed here. Furthermore, Prewave offers a service to find and validate certificates for the listed suppliers.

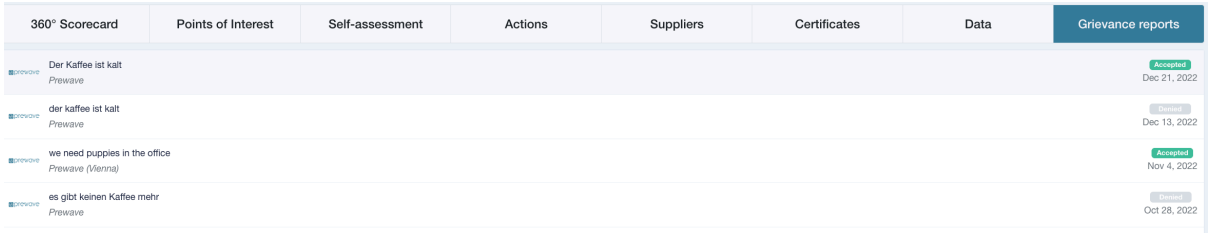
4.7. Data



Metadata between supplier and customer can be configured only by 'Connection Managers' in the data tab. Depending on the default perspective the impact changes from degree of influence (Compliance) to business interruption (Disruption). The history is tracked per year to show also the development of spend.

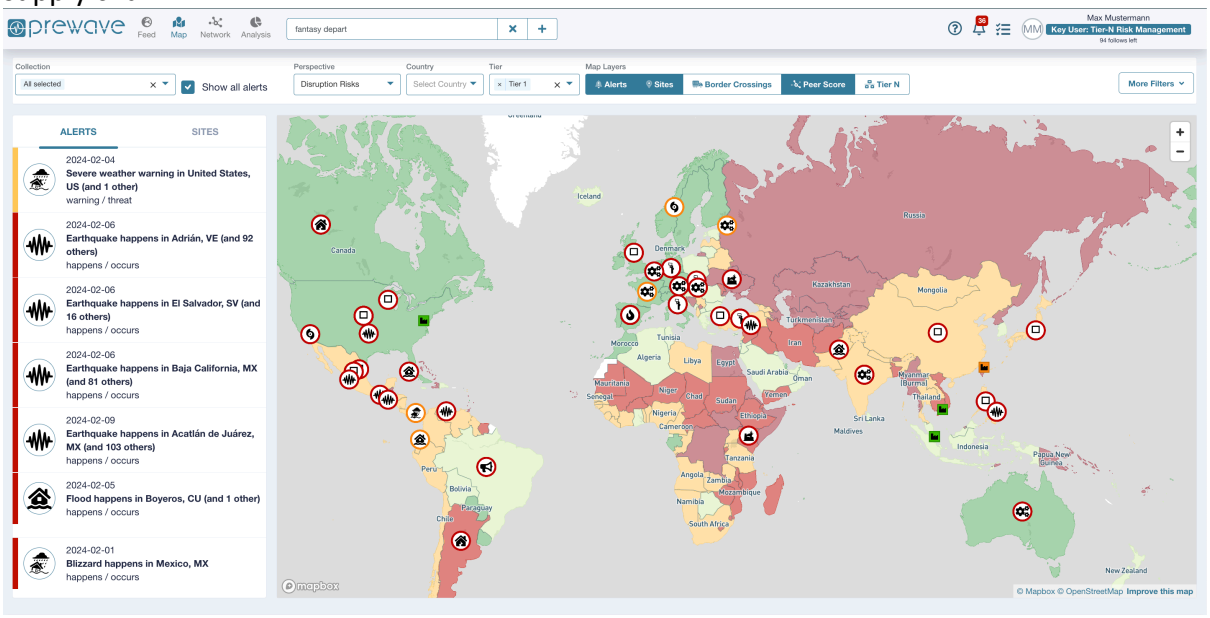
4.8. Grievance Reports

As grievance manager the user can access the grievance reports page to see the list of all grievance reports submitted

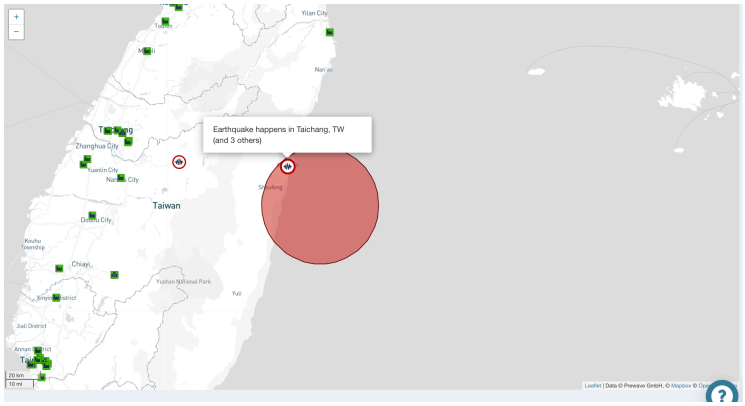


5. Map

The Map – also called Disruption Map – is a visual display of alerts and suppliers on the world map. General Use case is the disruption perspective to highlight which areas are the most affected by recent events. Furthermore, the country risks can be displayed based on global indices. For Tier-N users the map can also be used to identify cluster risks in the supply chain.



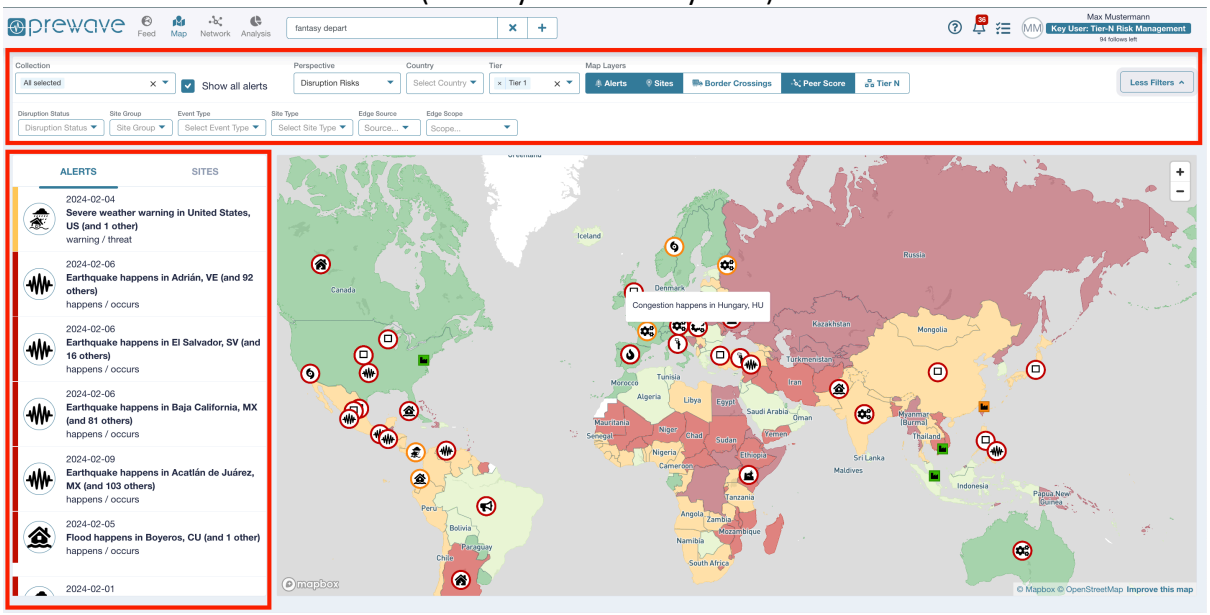
Destructive events like natural catastrophes are displayed with geographical endpoints to also showcase the affected area.



5.1. Filter Options

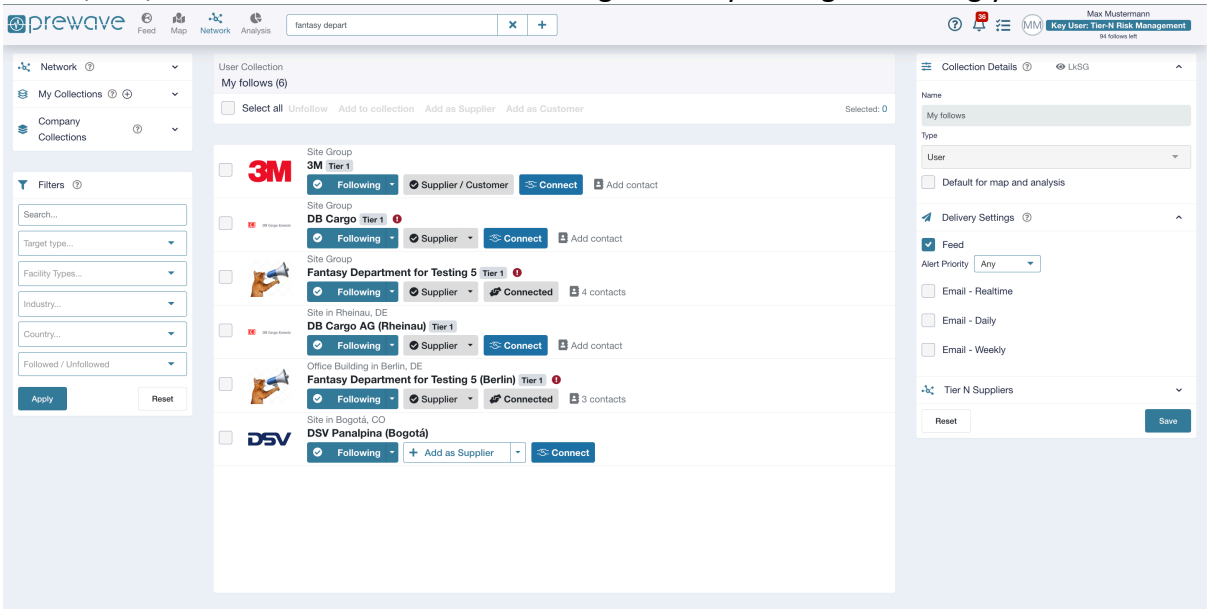
The map can be filtered through various options.

- Specific collections
- Per Perspective
- Disruption Status: Disruption Alerts will have an impact on the status
  - No Risk (no alerts)
  - At Risk (disruption of some sort identified)
  - Inactive (factory shut down)
- Site Group
- Event Type
- Site Type
- Map Layers
  - Show Alerts
  - Show Sites
  - Show Lanes (visual representation of the supply chain)
  - Show Border Crossings
  - Show Peer Score (country and industry risks)

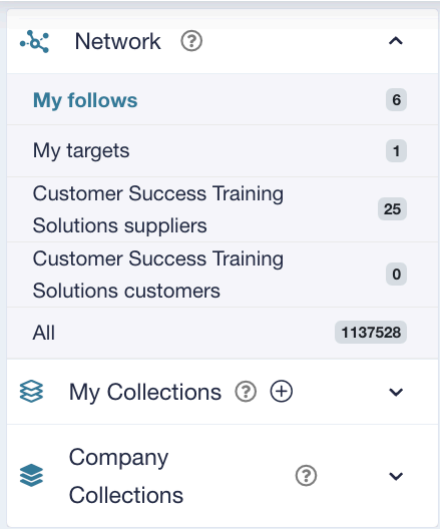


6. Network

The Network page manages all customer and user collections. The user can create/add/remove collections here and change delivery settings accordingly.



On the left side the user finds up to 3 categories:

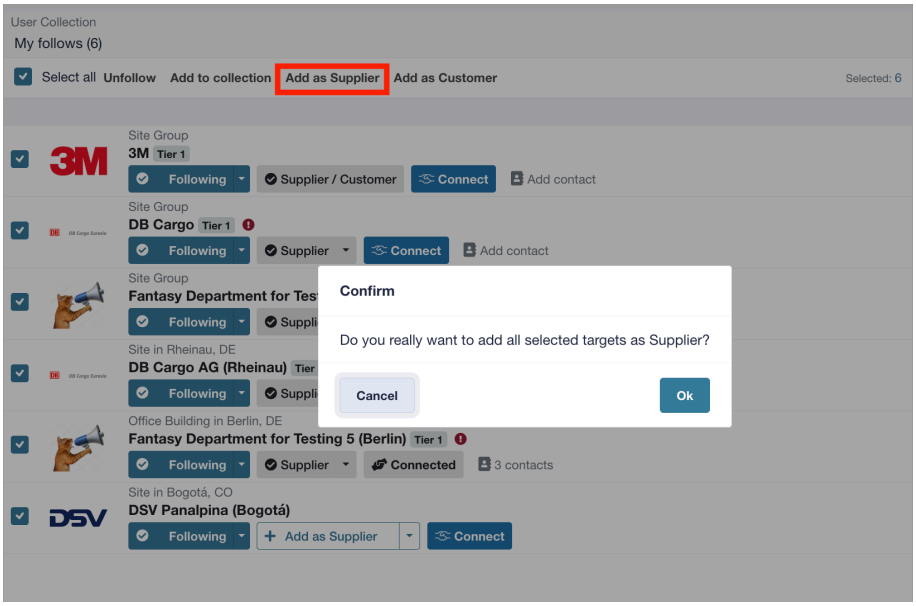


Network: These collections are created by the system. My Follows contains the targets that are followed by the user. My Targets are the own businesses/locations. 2 more collections sum up all supplier and customer connections created in Prewave.

My Collections: All collections actively followed by the user can be found here. Every Collection has their own delivery settings. Furthermore, the user can create personal collections and differ between user and company collections by clicking on + and create a new collection.

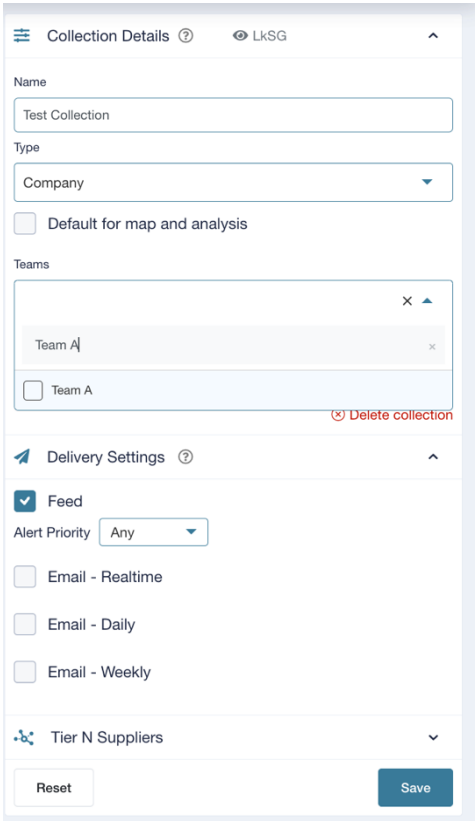
Company Collections: Stores all customer collections that are not actively followed by the user. To follow a company collection, the user needs to click on 'Add to My Collections' on the right-hand side.

In the middle of the page the user can see the suppliers that are listed in the selected collection. Connection Managers (user role) can also bulk add supplier connections directly in the network.



6.1. Collection Details

On the right hand-side the user finds collection details. The owner/editor/manager of a collection can change these details. By assigning a Team to a collection the access is restricted. Only the user, that are part of the assigned team, will be able to find this collection under ´Company Collections´, or if already connected under ´My Collections´.



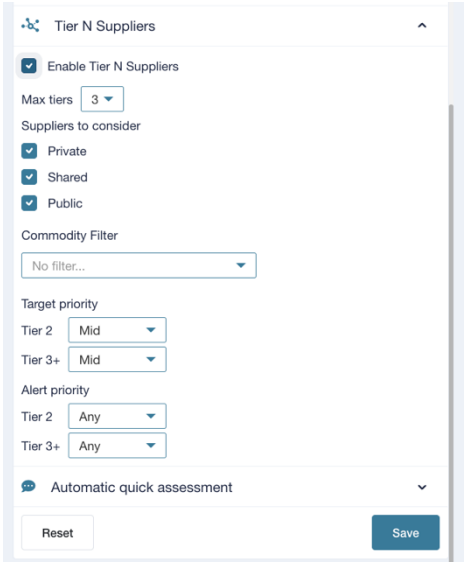
6.1.1. Access-Management

Via Access-Management the owner can add the editors/managers to the collection. These users can configure the collection, add/remove suppliers or change the collection details.

6.1.2. Delivery Settings

The delivery settings can be changed according to the user, so that everyone gets the right number of notifications for themselves. The user can check the box to define which kind of notification is wanted, beginning from what level of alert priority. Feed will present alerts for the included suppliers on the feed page. Email notification can be activated to get real time information on alerts, or a daily or weekly summary. For daily digests Prewave will only send one email per user and summarize all events happening in different collections.

6.1.3. Tier-N

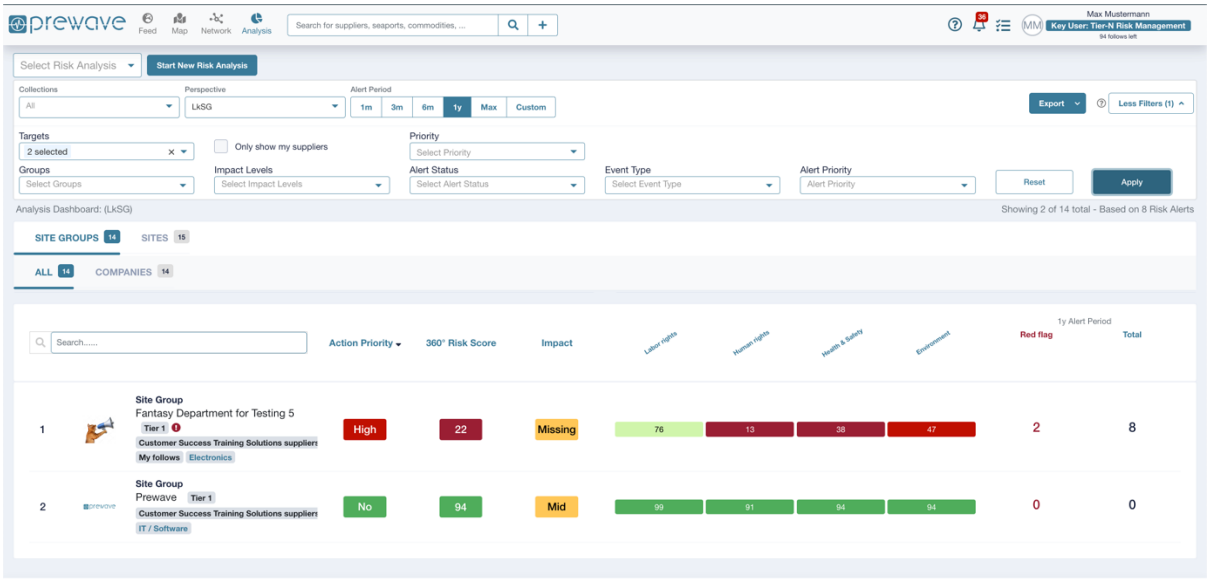


Enabling Tier-N is an additional feature that will be deactivated if not purchased. This allows the monitoring of Tier-N suppliers and the related alerting in the Feed page. The user can choose the considered connection (private, shared or public) and filter by commodity (only shipments with relevant HS codes will be included in the Tier-N monitoring). Furthermore, the user can select target and alert priority, to further filter the alerts in the supply chain.

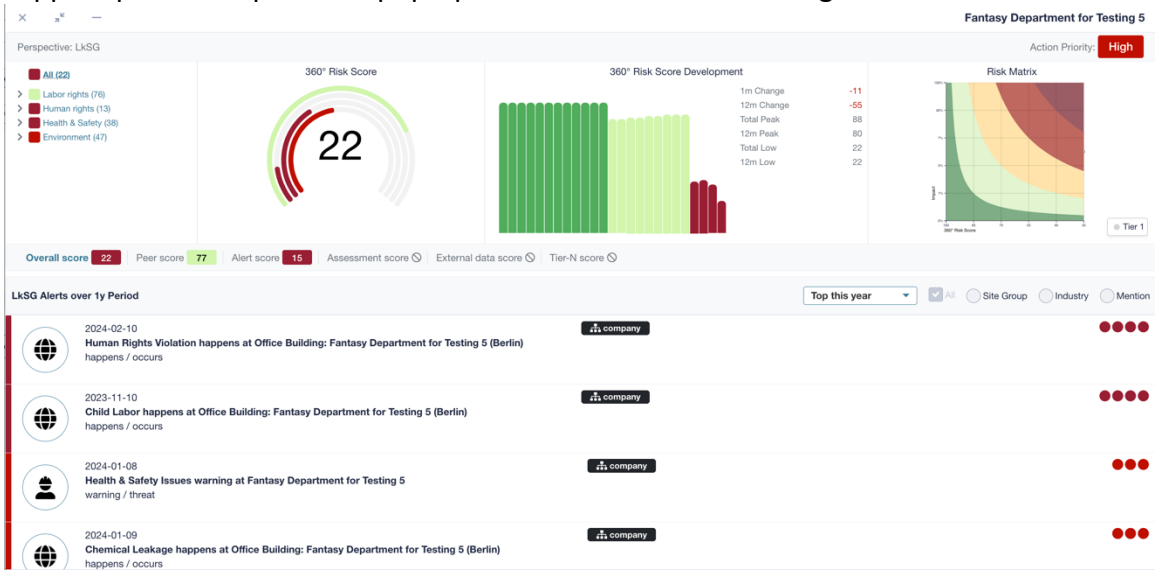
7. Analysis

The analysis offers the possibility to compare suppliers and identify risks through the supplier base. The live risk analysis is available per default and gives a quick overview with user-specific filters. The new risk analysis is a Compliance-Feature going deeper into the analysis with the options to perform measures and actions regarding the identified potential and actual risks.

7.1. Live Risk Analysis



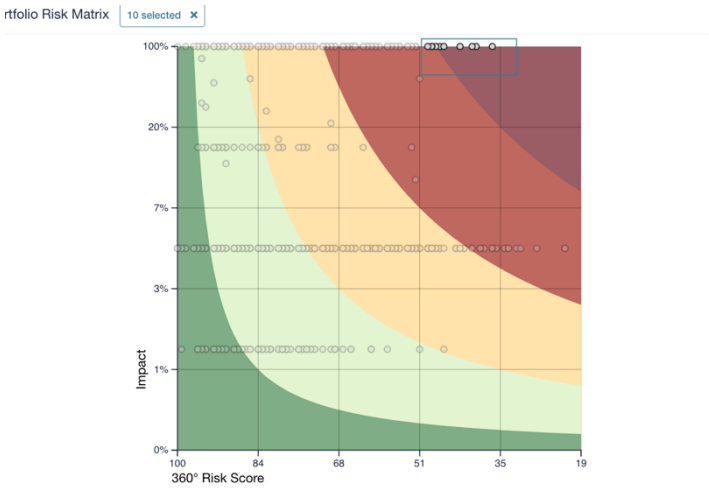
Live Risks Analysis contains all targets followed by the user, without any distinction on the connection status. The user has a lot of different filter options to narrow the search. Scoring depends once again on the perspective chosen. Targets are divided in the risk analysis by type, such as companies or unions. The suppliers are listed to quickly compare the scores per individual group. Per click on the number of alerts in the specific alert period the supplier profile is opened as pop-up window for further investigation.



7.2. Risk Dashboards

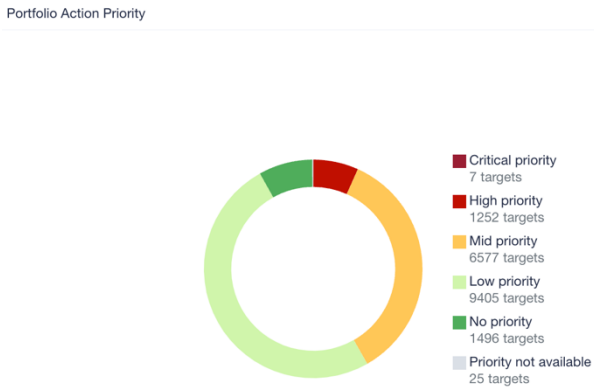
Dashboards are used to display the action priority of the supplier base. The Risk Matrix visualizes the suppliers comparing Impact and 360° Score. The colours in the matrix define the action priority. High influence and low score results in a critical action priority (dark red). Low influence and high score results in no action priority. This is the base for actions and measures recommended by Prewave. Targets that have no impact calculation available (missing spend data or revenue) are set to 5% per default. The default impact values are defined as followed:

0-1% - No Impact
1-3% - Low Impact
3-7% - Mid Impact
7-20% - High Impact
20-100% - Critical Impact



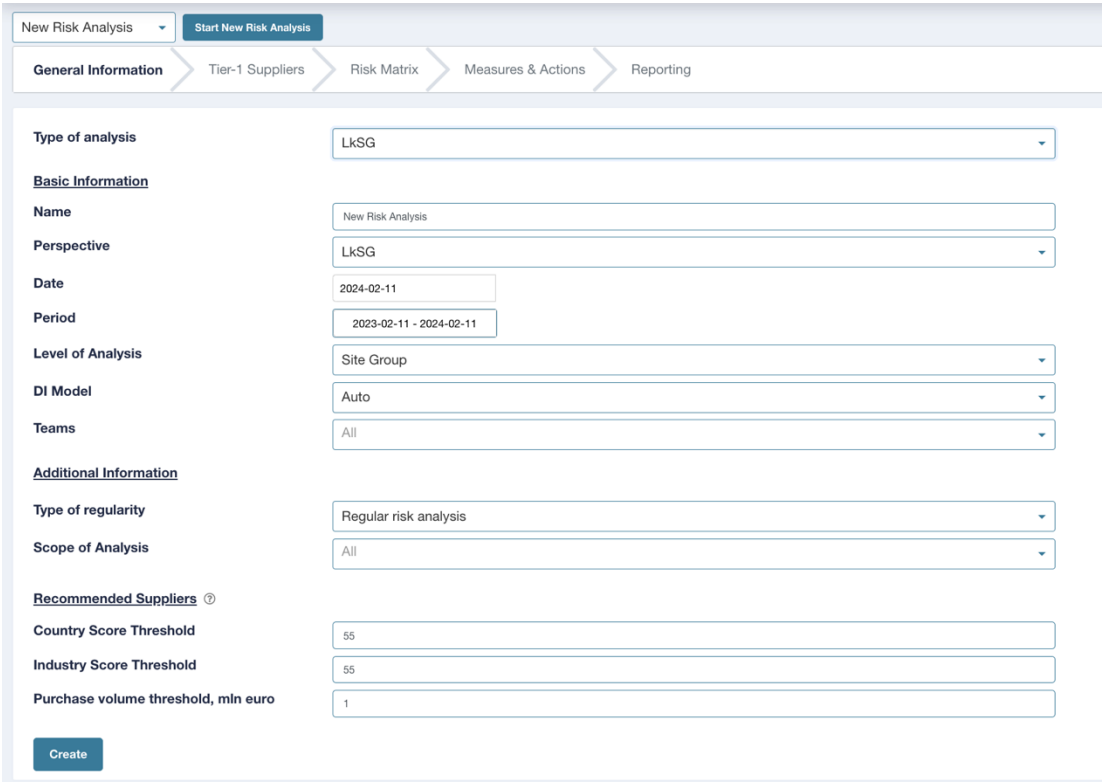
The user can furthermore select an area in the risk matrix to filter the results based on the selection.

Portfolio Action Priority summarises targets based on the action priority. The coloured bars of the ring chart can also be used as filter.



7.3. New Risk Analysis

For Due Diligence purposes the new risk analysis provides an in-depth analysis of the supplier base (targets need to be connected as suppliers). Reports can be exported as excels, including supplier selection as well as measures & actions defined.

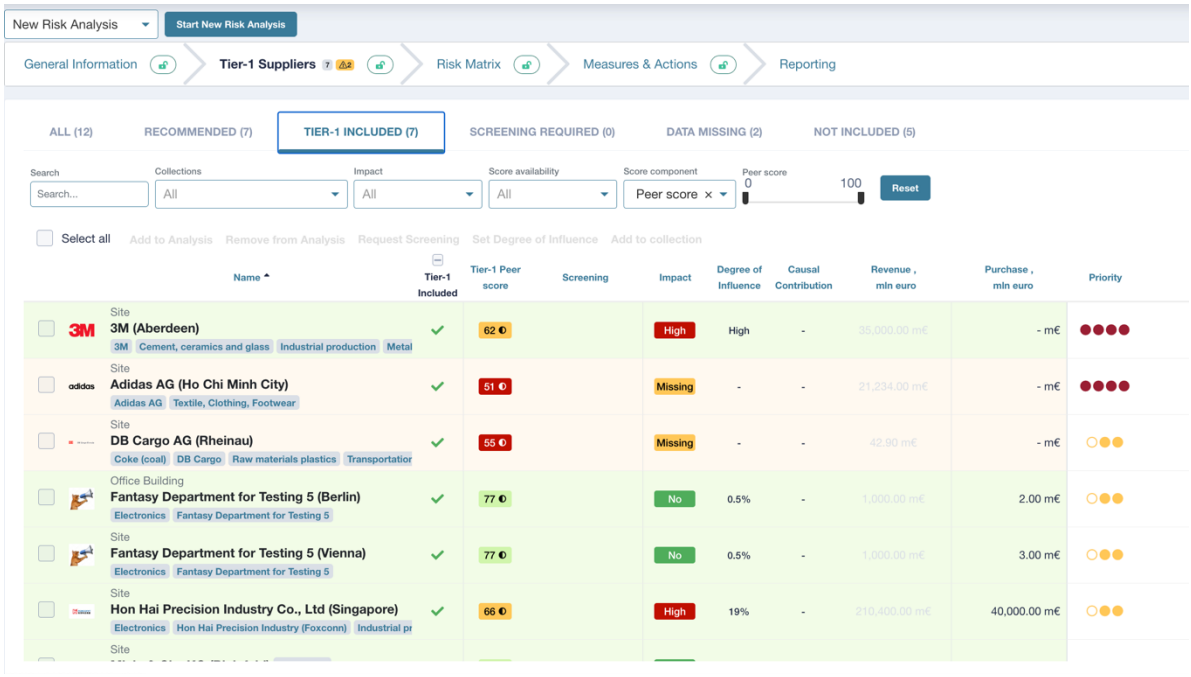


General Information tab defines the parameters of the analysis. Perspective, DI Model and Level of Analysis will have a direct impact on the scoring of the targets. DI Model calculates the impact in 2 ways.
Direct level is calculation the spend volume vs revenue of the selected site.
Parent sums up all spend volumes of the same Site Group and calculates the impact vs the revenue of the Site Group.
Auto mode takes whatever impact is highest.

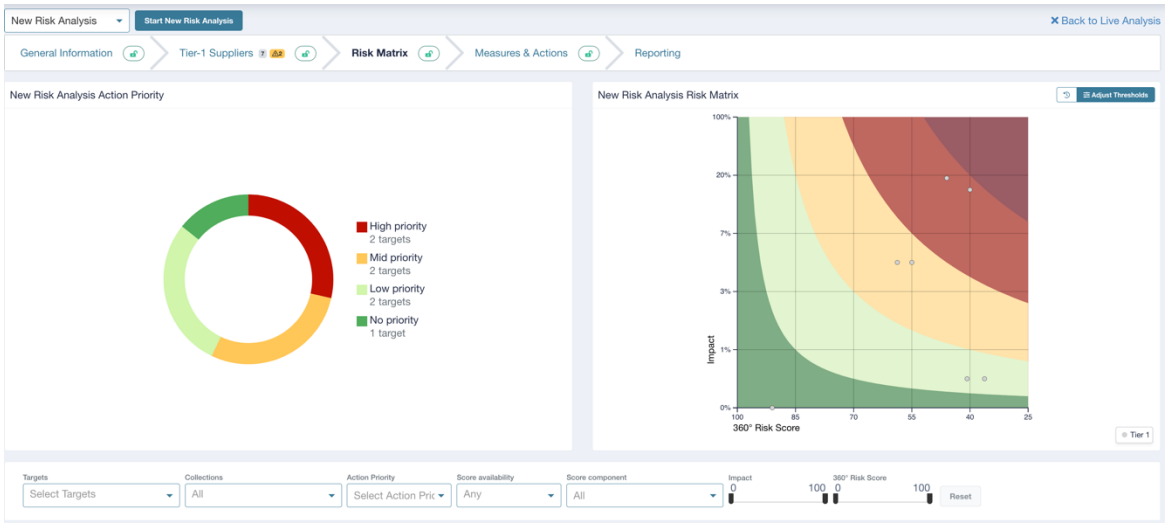
The period defines which alerts are used to suggested measures & action. The user has the option to assign the risk analysis to a team to restrict access further.

Additional Information such as Type and Scope focuses on the due diligence reporting.

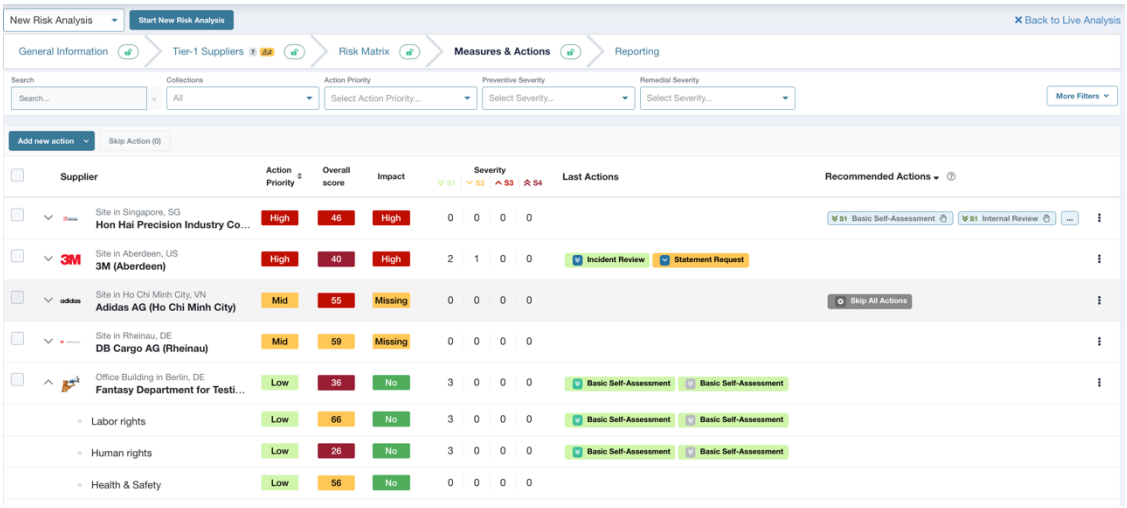
The 'Recommended Suppliers' define the thresholds for the abstract risk analysis. This is used to identify the potential critical suppliers which will be analysed further in detail.



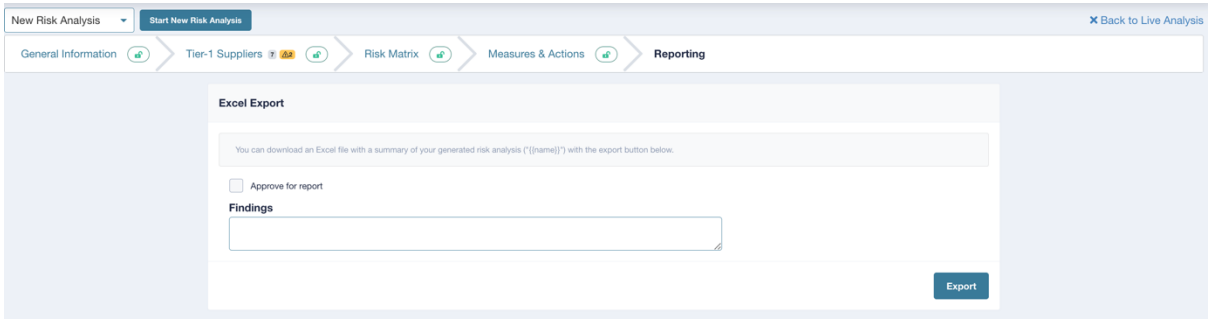
The user can select the suppliers which should be included in the detailed risk analysis. The recommended sites are based on the thresholds defined previously. The user can update spend data or overwrite the impact if needed.



Risk Matrix (like the live risk analysis) shows the score groups in comparison and the action portfolio. Risk matrix threshold can be changed for impact and 360° score.



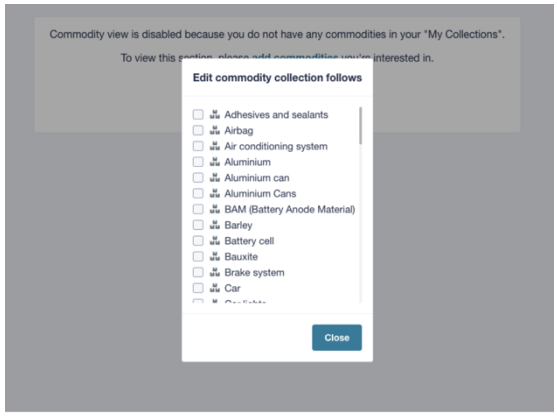
Measures & Actions shows past actions as well as recommended actions based on score and alerts. Actions can be added in this view.



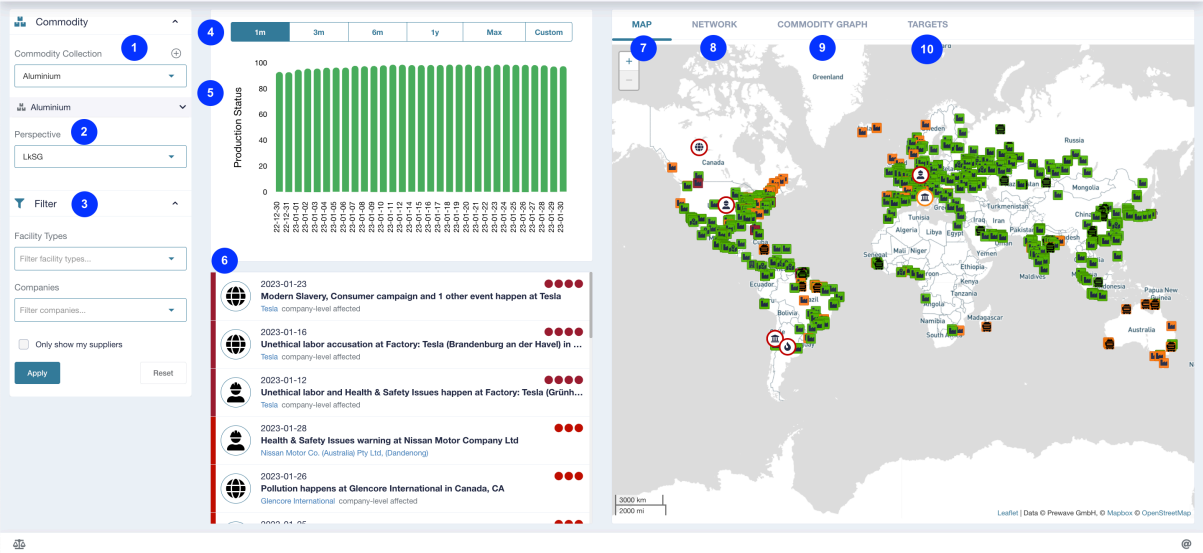
Reporting section for validation and export of the risk analysis as .xlsx file.

8. Commodity

The commodity tab provides an overview of an industry, as well as the detailed analysis of events that impact a commodity and the companies involved with it both historically and in real time.
To start working with this page you need to follow a commodity of interest. Once you follow a collection it will appear in the “My Collection” list and you can see the overview.



Once you follow a collection it will appear in the commodity tab. The functionality of the commodity tab explained below.



Left Sidebar

1. Commodity collection: This filter is used to select a commodity for analysis. Once a commodity has been selected its subcategories will also be visible. The subcategories can be expanded using the arrows. Selecting a subcategory will filter the information displayed to only show what is relevant to the subcategory.
2. Perspectives filter the alerts shown on the page. Production Status is linked to the disruption perspective and is therefore suggested to use in the Commodity tab.
3. Period: This filter allows the user to adapt the period for which the alerts on the right-hand side should be shown.
4. Filter options allow to display the results on a specific type of facility, such as factories or offices or for a company of choice. Either by selecting from the dropdown menu, or by using the search field.
5. Period: This filter allows the user to adapt the period for which the alerts on the right-hand side should be shown.
6. Production Capacity chart

Shows Production Status of the commodity during the selected period. Clicking on one of the bars in the chart shows only the alerts for the period specified underneath the selected bar.

7. Alerts

The list of events related to the chosen commodity which contributed to the Production Status statistics. Each alert is clickable. More information on the alert structure can be found here.

8. Map

The map displays all the targets which have been affected by an alert within the selected timespan. The targets are colour coded according to their status (active = green, at risk = yellow, inactive = red). The map also displays the latest critical alerts in different areas.

9. Network

Shows the connection between the entities involved with this commodity and other targets in Prewave. Works only in case the Tier-N mapping is activated and available for selected targets.

10. Commodity graph

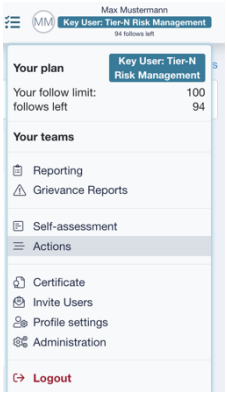
Displays the structure of the commodity down to the raw components.

11. Targets

List of every company included in the commodity production as well as their current disruption status. Clicking on any of these entities will display a historical list of alerts.

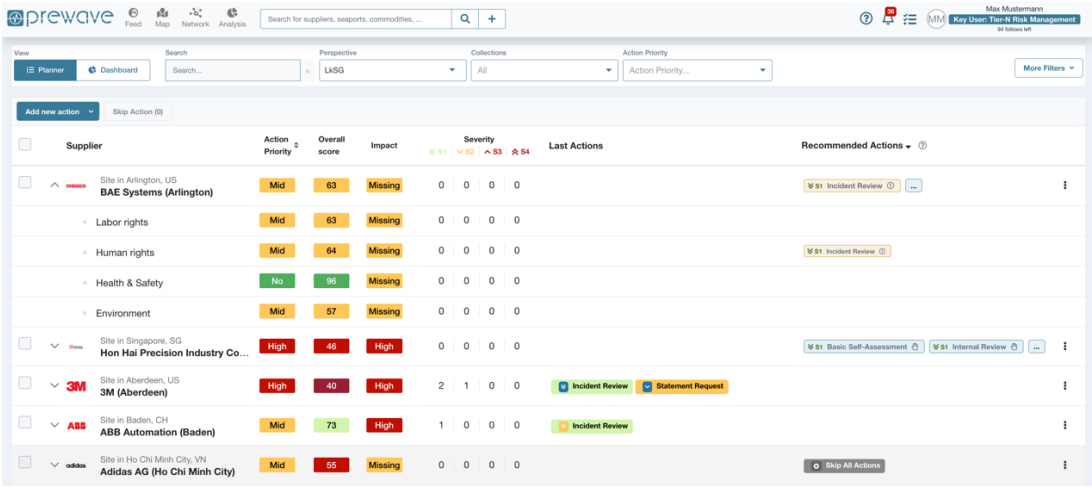
9. Due Diligence/ LkSG

Prewave will generate a score for every supplier that has been uploaded into the system. The initial risk assessment (Peer Score) is based on the country and industry risk of the supplier. Based on the Peer Score the customer decides which suppliers should be considered for the Full Scoring.
Prewave's Best Use-Case: Suppliers with a country/industry risk < 55 should be considered for the Full Scoring.
During the Full Scoring, Prewave creates the Alert Score and provides the revenue of the supplier (for impact calculation). Prewave suggests measures based on target score and alerts. The user can follow the suggestions or define actions on their own.

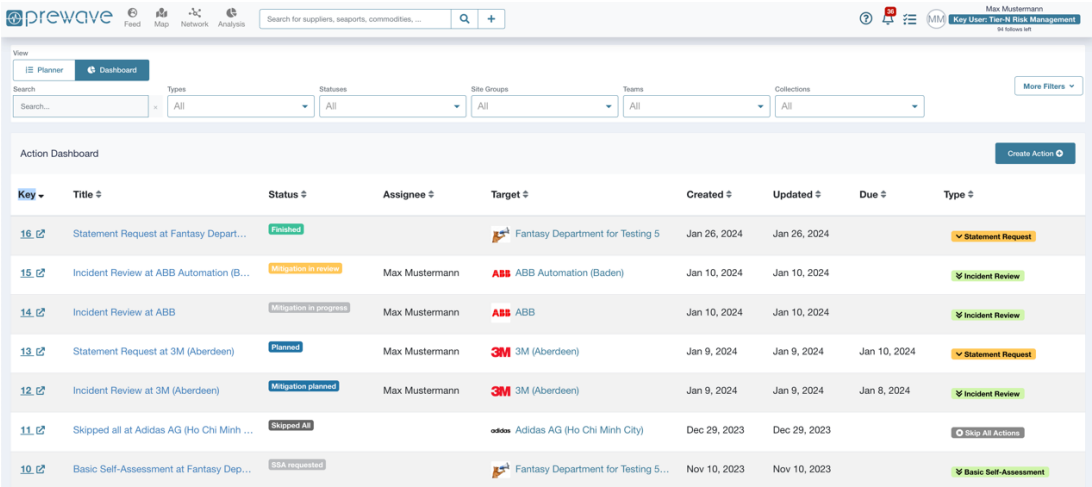


9.1. Action Planner

The action planner gives a complete overview of all suggested and triggered actions for the supplier portfolio. The planner includes suggested actions based on the group scores and alerts (high and above). The suggested action level depends on previously triggered/skipped actions. With a click on a suggested action, it can directly be added to the action list.

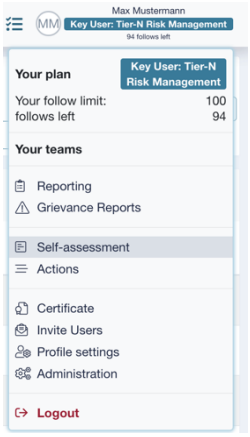


The dashboard only shows measures triggered by the customer. Filter options for the main infotags are provided. New actions can be added here as well.

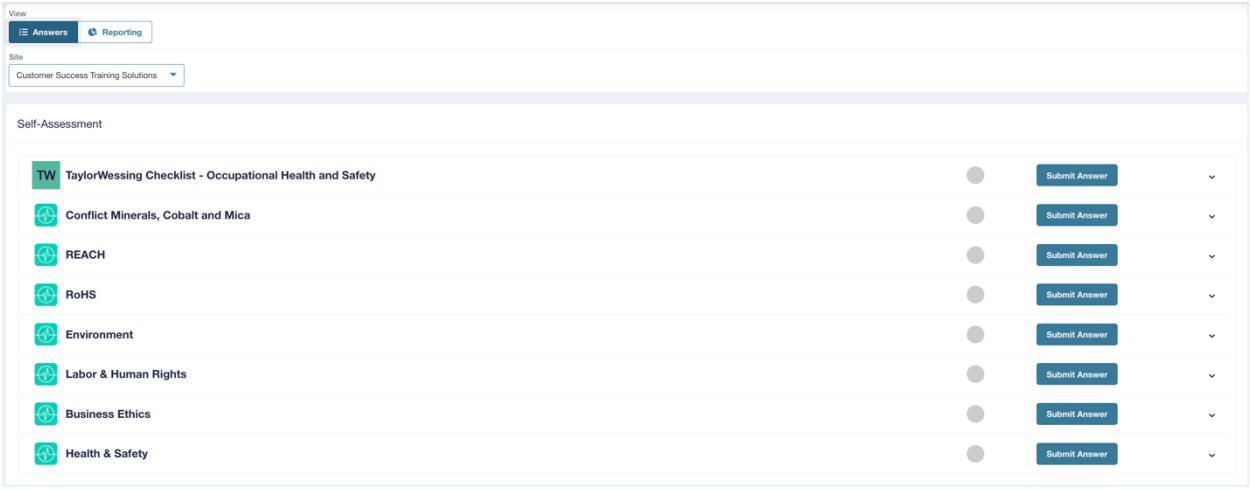


9.2. Self-Assessments

The Self-Assessment section can be accessed through the Account settings and is divided in to two areas. Answers shows an overview of available questionnaires. The user can answer questionnaires also for own businesses here. Reporting gives access to the supplier base and shows statistics regarding questionnaires. Furthermore, the user can send out questionnaires right here.



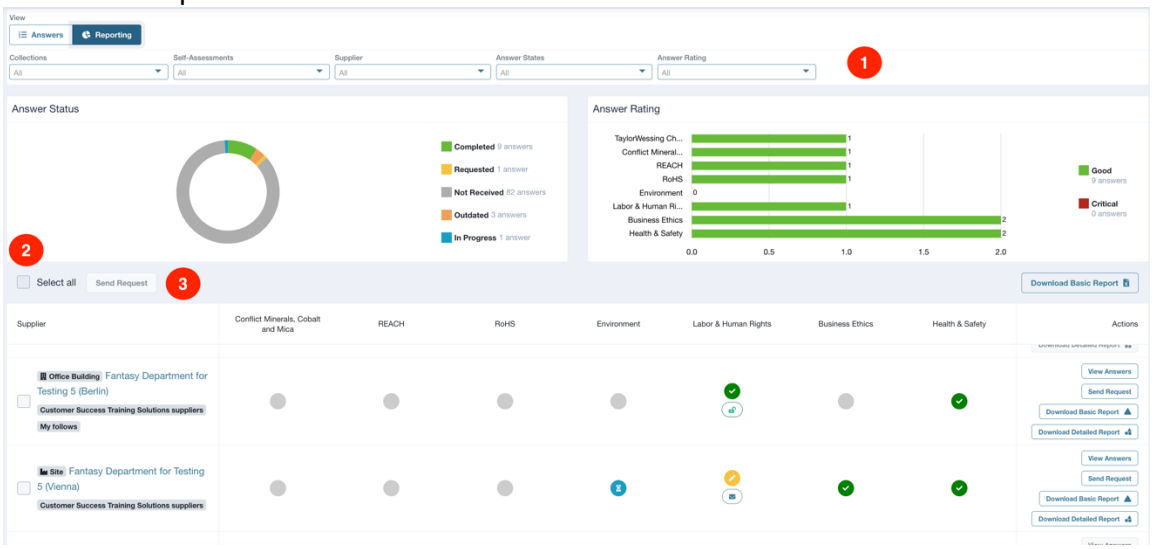
- Not received
- Answered (Good)
- Requested
- Answer in progress
- Answered (Bad)



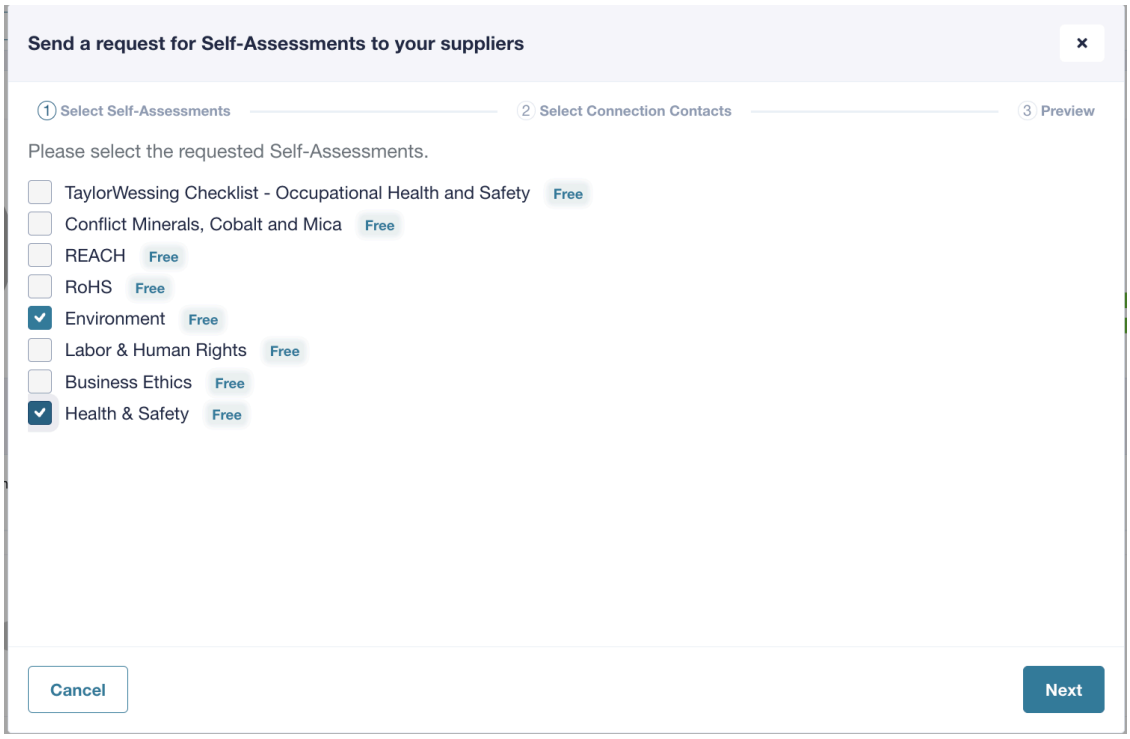
9.2.1. Sending out Self-Assessments

To send out Self-Assessments it is recommended to create a collection with all sites that will receive a request. This makes it easier to send out the questionnaire in bulk. With the filter options the user can select individual collections/targets.

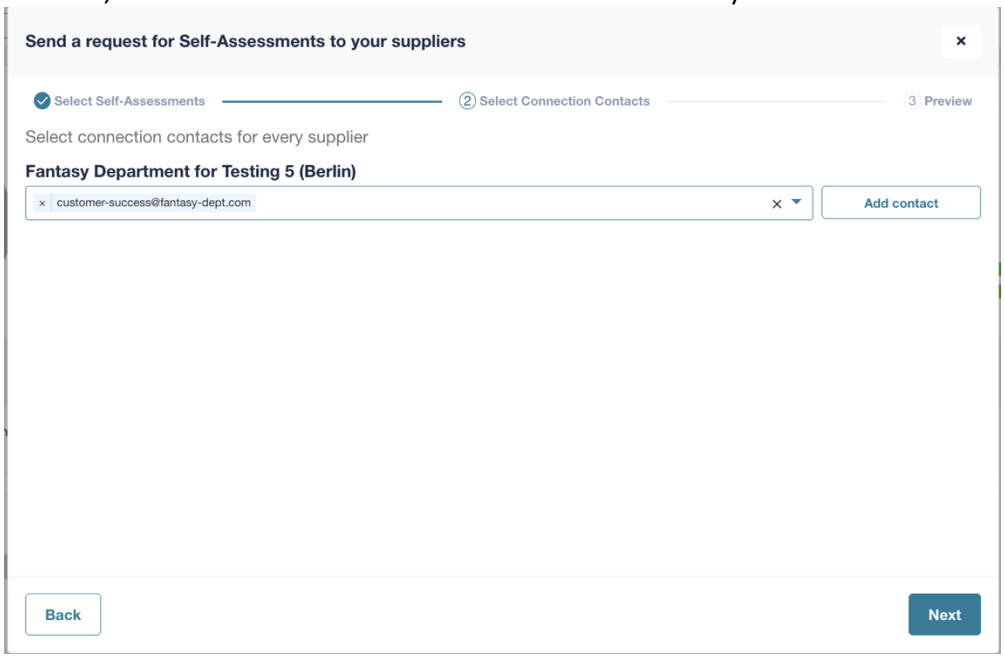
1. Choose parameters for relevant suppliers
2. Select suppliers (checkbox left of the supplier's name or select all)
3. Send request



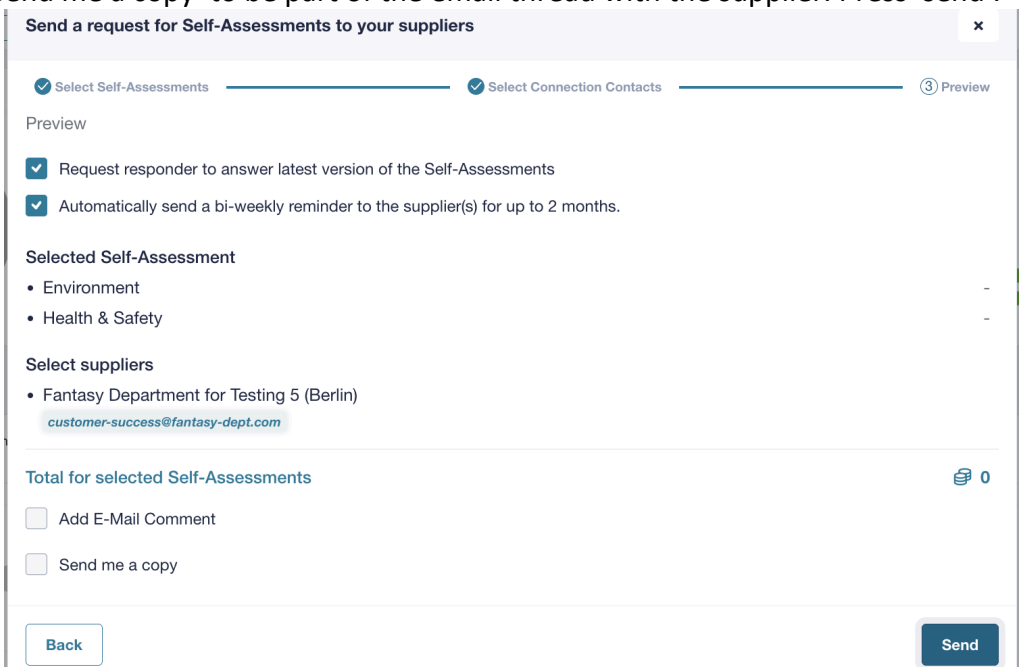
4. Select Questionnaires



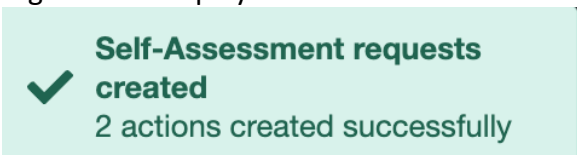
5. Add connection contact (if contacts have been added already, they will be inserted by default, otherwise the user can add a new contact here)



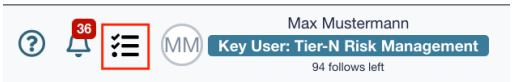
6. Check the information. The user can select bi-weekly reminders that will be send out automatically. Furthermore, a private message can be added or the user can set 'Send me a copy' to be part of the email thread with the supplier. Press 'send'.



7. If successful a message will be displayed at the bottom left corner

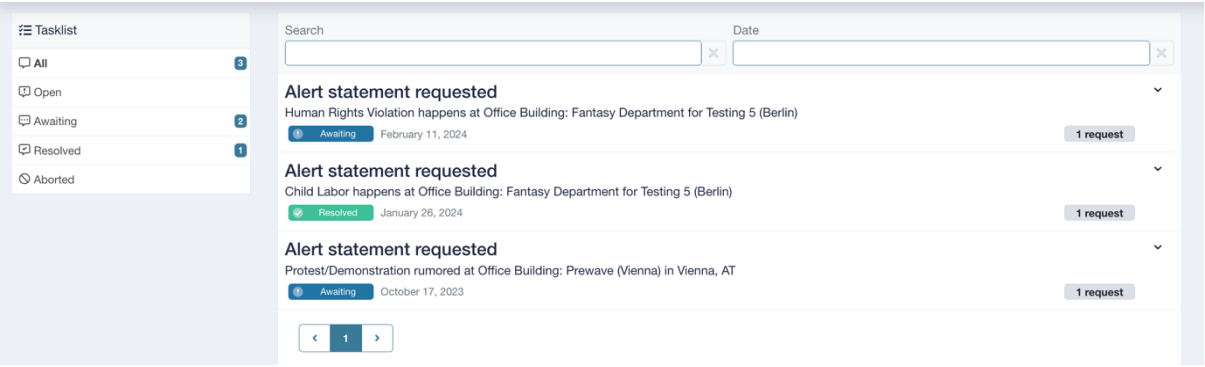


9.3. Task Lists



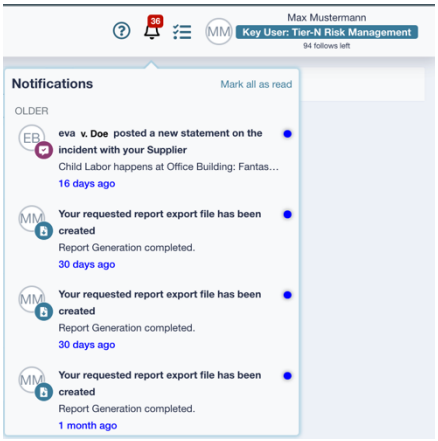
The Task list keeps track of all open to-dos in Prewave.

- Alert statements requested by the user
- Self-Assessment permission updates received
- Screening requested by the user.



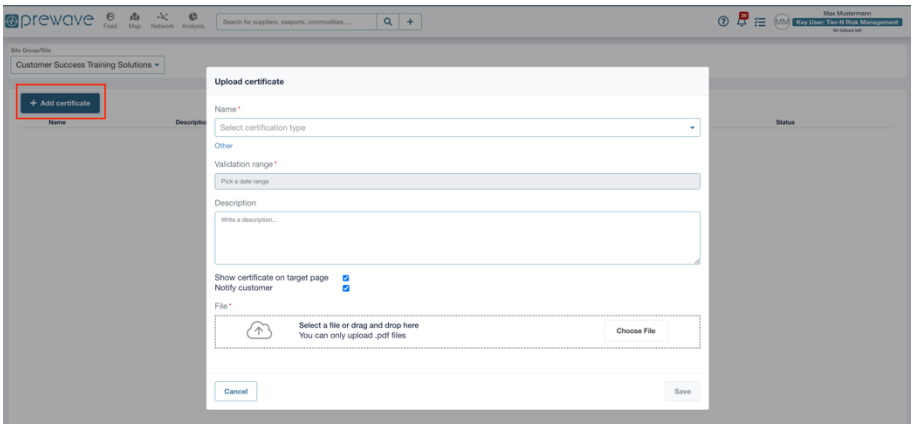
9.4. Notification bell

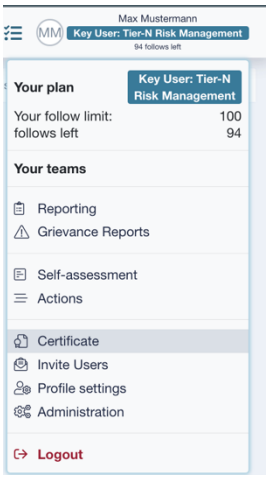
Incoming updates such as a filled-out statement or questionnaire will be displayed in the notification overview. These are all user specific messages/events in Prewave.



9.5. Certificates

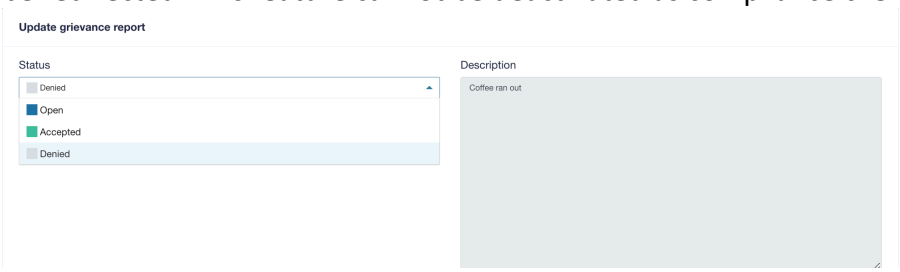
Certificates can be uploaded to Prewave to store privately or for connected customers to see.

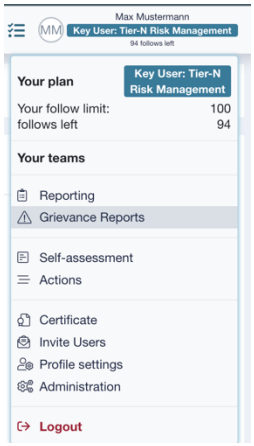




9.6. Grievance report

The ‘Grievance Manager’ (user role) gets access to all grievance reports added to the company profile in Prewave. These reports are anonymised and can be added by all users logged in Prewave. The ‘Grievance Manager’ can then follow up on those reports and log the process by changing the status from ‘Open’ to ‘Accepted’ or ‘Denied’. The customer also has the option to link another grievance platform so that users will be redirected. This feature cannot be deactivated as compliance client.





10. Tier-N

A carrier issues a bill of lading (BOL) to confirm the shipment of cargo/products. This document is publicly accessible in case of some countries and is used by Prewave to identify supply chains. HS-code stands for *Harmonised System* code and functions as an international standard to identify products in all forms and shapes. These HS codes are used to build up product trees and break down the supply chain for relevant suppliers.
To build up this supply chain Prewave first identifies the Tier-1 suppliers. This is done during the discovery process. In the meantime, the product chain is defined to narrow the results in the supply chain mapping. After the Tier-1 discovery the supply chain mapping begins, and Prewave's Supply Chain Analytics Team discovers the supply chain. The results can be filtered by HS code to exclude irrelevant suppliers. After this mapping job the results must be discovered once again, and the supply chain is visualized in Prewave.

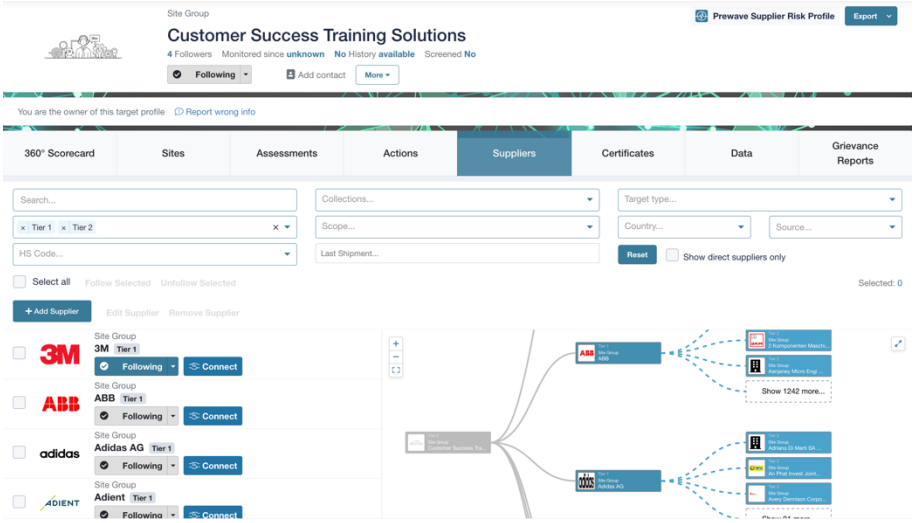
10.1. Tier-N source types

Supply chains can be created by Prewave or shared by customers. The connections are marked with the origin.

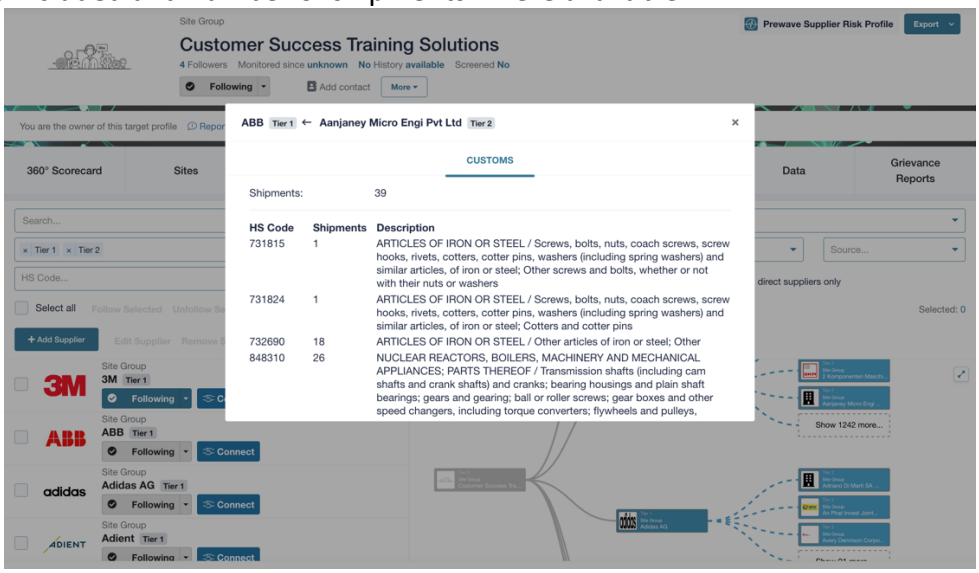
Private: This data was shared by the customer and is not visible to others in the platform.
Shared: This data was shared by the customer and is visible to selected customers in the platform. Data is only shared if agreed to by the customer in writing. Per default the connections shared by the customer are private and only visible for colleagues in the same company
Public Media: Supply Chain identified by public media screening (Supplier of the year award, quarterly reports, public statements, …)
Public Customs: Bill of Lading data
Prewave Predictions: Predicted supply chain based on related connections. The predictions are probabilistic statements on buyer-supplier relationships based on various data sources, such as existing sourcing patterns and geographical locations.

10.2. Tier-N in Target Profiles

The supplier profile lists all Tier-N connection in the ‘Suppliers’ tab. Supply chains can be filtered by collections, target type, scope/ source and HS code. Per default the supply chain is filtered to Tier-1 only, this filter can be removed.



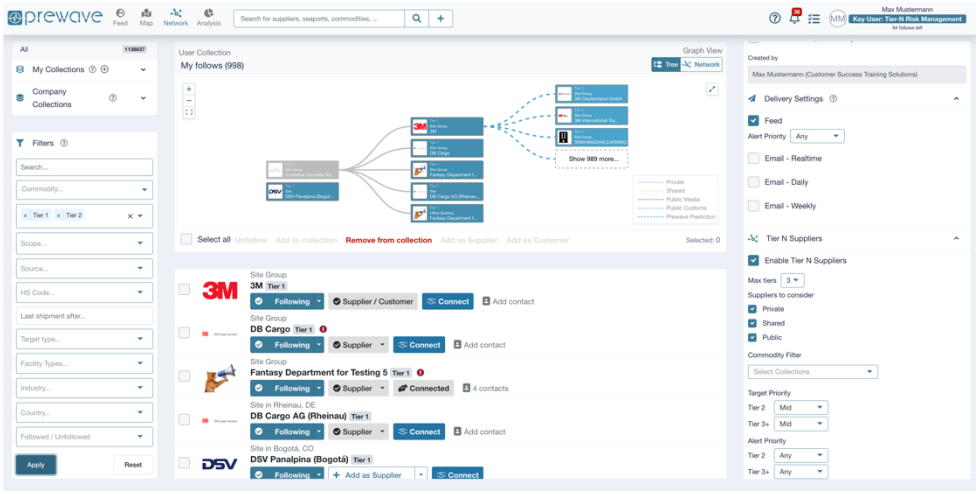
By clicking on the connection shipment information is displayed. Shipment details contain HS codes included and number of shipments where available.



Predictions are based on related shipments and the probability is displayed accordingly.

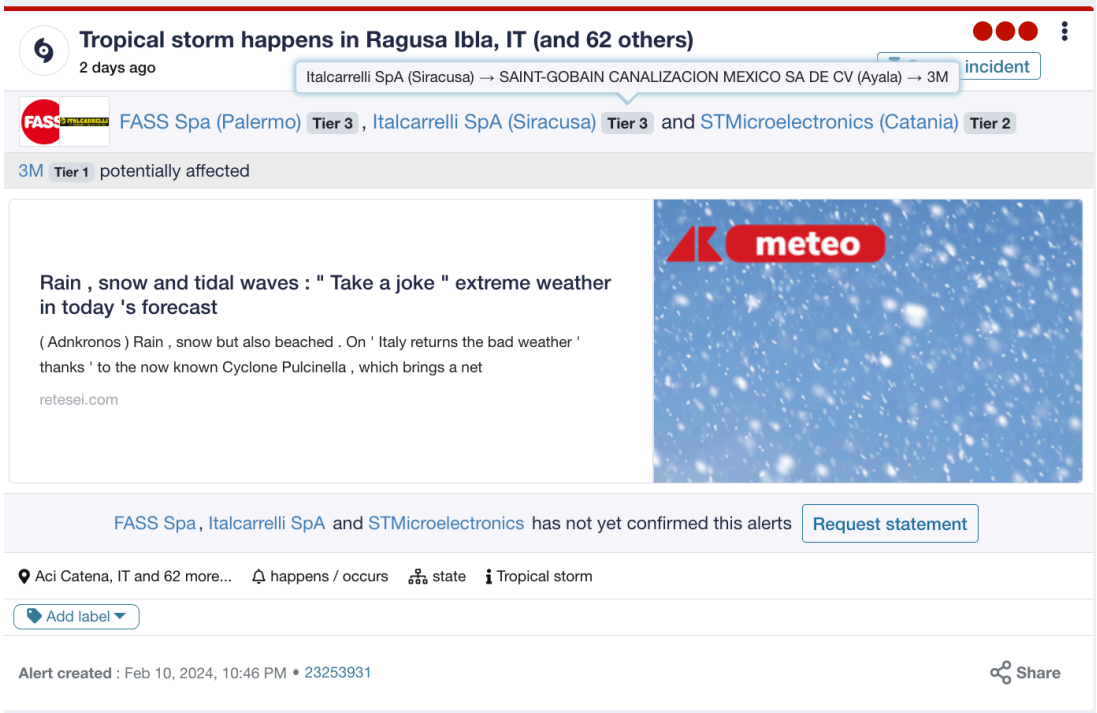
10.3. Tier-N in Collections

Tier-N can be enabled for specific collections to display the supply chain and set rules for Tier-N monitoring. The supply chain is filtered by default for Tier-1 to reduce the loading time. The supplier count for Tier-N in collection is limited to 5000. More suppliers might be included. The user can search for all Tier-N supplier via the filter on the left-hand side.



10.4. Tier-N in Feed

Tier-N monitoring can be activated for the feed. Alerts affecting the supply chain will therefore appear on the feed page. For every Tier-N Alert the affected supply chain is displayed. The Feed can also be filtered for Alerts affecting Tier-N suppliers.



11. 360° Scoring

The 360° Score is the Prewave Score for supplier risks. It is a constantly changing value with different factors included in the calculation. The calculation is non-linear and weighted based on various factors:

- Public media appearance (how many news articles are created daily)
- Timestamp (when did this alert happen)
- Criticality (what priority is defined for the alert)
- Recurrence (how often did this event type occur in the past)

Furthermore, the scoring happens in the individual group the event type is part of. All event types per group are calculated into the group score. All group scores are calculated into the overall score. Bad scores outweigh good scores as we find more critical alerts here. However, no alerts result in 100 score which is also a part of the scoring.

11.1. Score Components

11.1.1. Peer Score (30%)

The Peer Score is the initial risk classification for every supplier. It contains the Country Risks (based on global indices) and an Industry/Commodity Risk (based on Prewave data that has been analysed). With this information we can show the potential risks.

11.1.2. Alert Score (40%)

The supplier is actively monitored and can also be screened (research on historic incidents in the last 2 years) to identify actual risks. The alerts created are prioritized and are calculated into the 360° Score. An Alert has max. 2 years influence and loses impact each month. After 2 years an alert will no longer have an impact on the score. Repeated alerts have a decreased impact as well.

11.1.3. Self-Assessment Score (20%)

The supplier can answer self-assessments to improve the score. It can however also impact the score in a bad way if the requirements of the questionnaire are not met.

11.1.4. External Data Score (10%)

This score component can be chosen by the customer. This is suggested if the customer already has additional information or certificates in place and can verify an improvement of some sort. The customer can add this score manually in the system or include it over API from other external platforms.

11.1.5. Indices

Labour Rights:

- ITUC Global Rights Index v2020

Human Rights:

- Fragile States Index
- Global Slavery Index v2018
- ILO Mean weekly hours usually worked per employed person
- UN SDG Indicators (10. Indicator) - Proportion of people having felt discriminated against
- UN SDG Indicators (1. Indicator) - Employed population below international poverty line

Health and Safety:
- ILO Fatal Labour Accidents v24.08.2020

Environment:
- EPI Environmental Health Index v2020
- WHO Poison control and unintentional poisoning

Corruption:
- Corruption Perceptions Index

Labor strikes:
- ILO Days not worked due to strikes

Political stability and absence of violence:
- World Governance Index - Political Stability and Absence of Violence

Customs issue / Trade restrictions:
- ITUC Global Rights Index v2020

Labour Rights:
- Trade Freedom Index, Index of Economic Freedom

Sanctions:
- OpenSanctions.org

Natural disasters
- Prewave aggregation based on GDACS

Military Conflict
- Integrated Network for Societal Conflict Research (INSCR)

11.2. Score Threshold

The threshold refers to the risk-groups and define the lowest group (critical). Scores are divided into 5 groups: No, Low, Mid, High, Critical. Depending on the perspective threshold these groups can vary.

Due Diligence		ESG/Financial (default)		Disruption	
No	86 - 100	No	81 - 100	No	85 - 100
Low	71 - 85	Low	61 - 80	Low	69 - 84
Mid	56 - 70	Mid	41 - 60	Mid	52 - 68
High	41 - 55	High	21 - 40	High	36 - 51
Critical	0 - 40	Critical	0 - 20	Critical	0 - 35

12. Perspectives

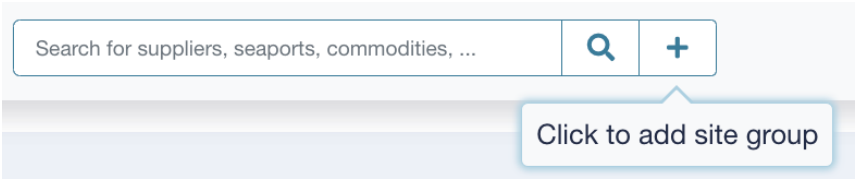
Perspectives can change the view and scoring in the system drastically. Per default Prewave provides perspectives for each individual focus. Those Prewave default perspectives are:
- All Perspective
- Disruption Risks Perspective
- Sustainability Risks Perspective
- Sustainability ESG Risks Perspective
- Financial & Legal Risks Perspective
- LKSG Risks Perspective (German Due Diligence Act)

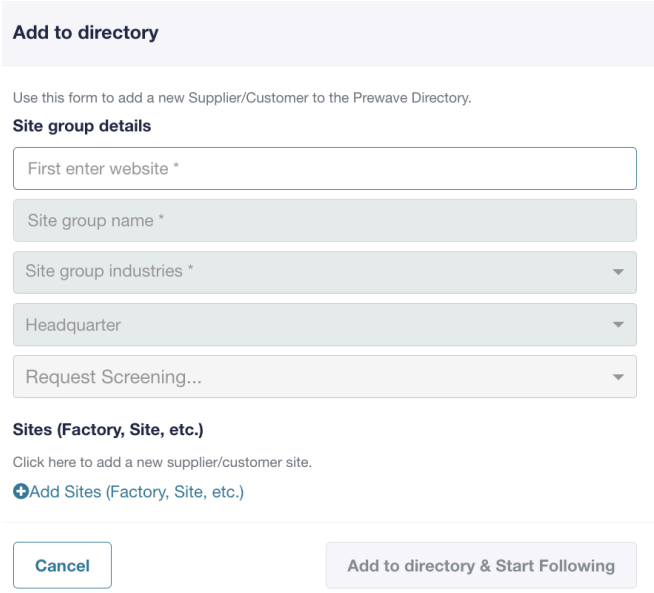
The event types and their priority differ between those perspectives. The customer can also define their own specific perspective and can select from 150 different event types.

13. Add a new supplier

How does the creation of a new supplier in Prewave work? In a first step our Data Science Team tries to identify the target with the information provided. **Company Name, City, Country, Address, Industry** are mandatory. However, all additional information helps us to identify the correct target. After the identification we assign the supplier to a Site Group, add a country, and assign the industry. Country and Industry information are used for the first risk identification: The Peer Score.

Initially this step will be done during the setup and the supplier information will be transmitted in form of .XLSX. The user can also add new suppliers directly in the platform over the search bar. Should the website pre-exist in Prewave the name of the company will be shown. Therefore, suppliers can also be looked up via the search bar.





14. Roles

Roles are used to extend access to different topics and features. We divide between roles that can be managed by the customer, and roles that are managed by Prewave

14.1. Managed by customer

14.1.1. User Manager

The User Manager can invite new users into the environment. These users will per Default receive a Plan called ‘Free Tier’ which limits the access to Prewave in the first steps. Furthermore, this user can change the active status of the users and assign roles that are managed by the customer.

14.1.2. Team Manager

The Team Manager can create and edit Teams. Teams can be used to restrict access to specific collections and risk analysis. Teams can also be used to collaborate on the watchlist.

14.1.3. Grievance Manager

The grievance manager receives alerts if a new grievance report is added to the customer profile. They can manage those reports and change the status.

14.1.4. Connection Manager

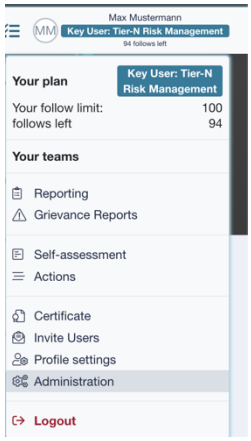
The connection manager is responsible for all supplier/customer connections in Prewave. They can add/remove those connections if needed. These connections are necessary to do a full risk analysis or send out self-assessments. This is only available for connected targets.

14.2. Managed by Prewave

14.2.1. Access to Features

- Featured Collections
- Tier-N
- Commodity
- LkSG
- Administration
- Self-Assessment Section
- Organisation changer

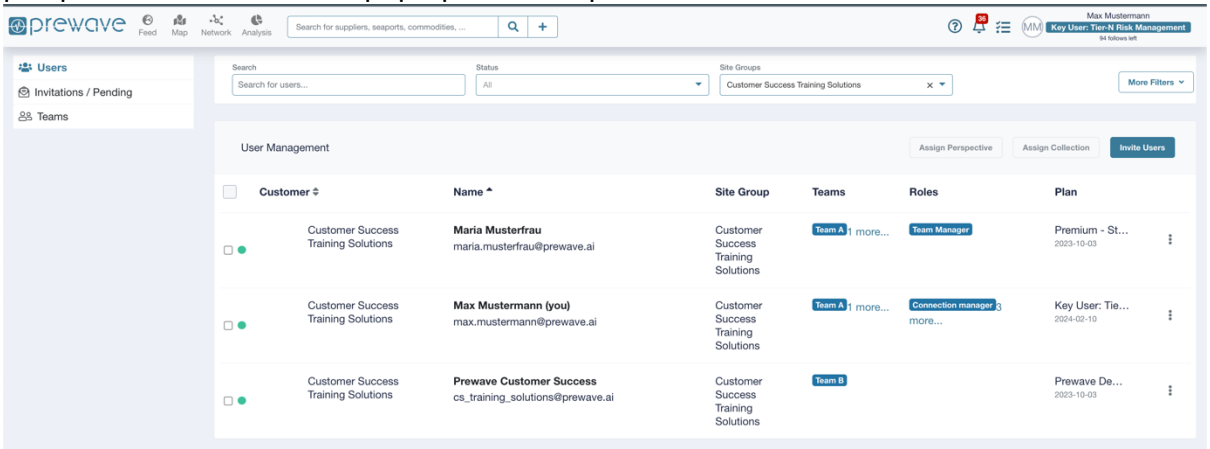
15. Administration



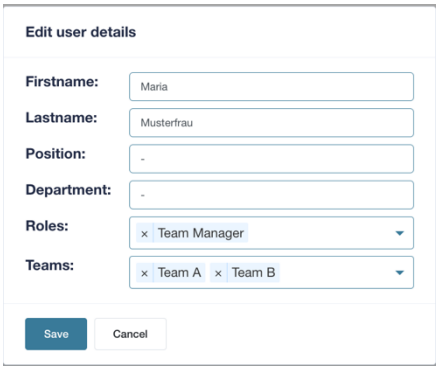
The administration tab is used to administrate users and groups within the own company structure. Depending on the assigned roles the user has access to Users and Teams.

15.1. Users

Shows all users related to the company in the system. The user manager (user role) can configure existent users. invite new ones and change the perspective/collections associated with the users. To change/add a perspective/collection, simply search for the user(s), mark the checkbox left to the name and click on either assign perspective or collection. A pop-up windows presents the available items.



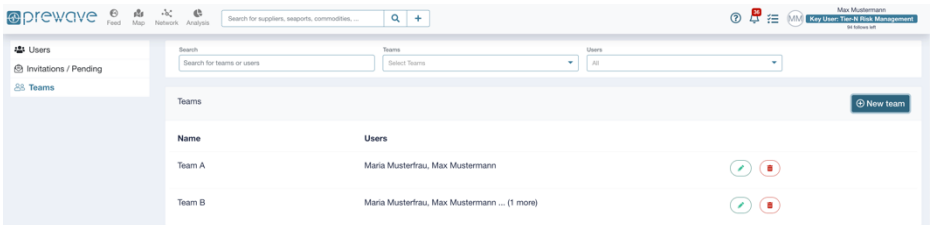
To invite users, add the email through the 'invite users' button. As soon as the contact registered, a second permission must be given in the Invitations / Pending section.



The 3 dots on the right side of the user opens the settings to configure a user profile. Customer managed roles can be assigned as well as a Team. Furthermore, the user manager (user role) can deactivate accounts as well if needed.

15.2. Teams

Teams are used to restrict access in the tool to certain groups. Collections, tasks and risk analysis can be assigned to teams and will only be visible to members of the said team. Watchlist alerts / tasks can also be assigned to teams. To create a Team, click on + New Team in the top right corner, add a Team name and the members and click save. The team is now created and will be visible in the drop-down menu in the available sections. Users can be added/ deleted later as well.



16. Terminology

16.1. Site Group

Site Groups represents the highest level of a target. Oftentimes it reflects the mother company of a factory. Every supplier location is connected to a Site Group. E.g. Volkswagen Site group connects all factories and locations of Volkswagen worldwide. Prewave defines an Site group if the company has an own website and logo.

16.2. Site

Sites is a specific location of a supplier. It is always connected to Site Group. Sites can have different target types such as Factory, Mine, Office Building, Smelter, ….

16.3. Target

Targets in Prewave can have different types but always have a specified location attached. This can either be a supplier in form of a factory, mine, smelter … or a landmark/area such as border-crossing, airport, port, …

16.4. Action Priority

The action priority is a value calculated by 2 factors. Impact and 360° Score. It visualizes the degree of actions that need to be taken by the customer.

16.5. Impact

Impact represents the influence a customer has on its supplier. The spend volume is compared to the supplier revenue to calculate as percentage.

16.6. Groups

Event types are grouped together to show the risks. E.g., Natural Disaster is a group combining different events such as Blizzard, Drought, Earthquake, Flood, Landslide, Severe weather, Tropical storm, Volcanic eruption

16.7. Alerts

An Alert is a media report analysed by Prewave. Info tags such as company affected, location, event type, priority, … are connected to include the alert in the scoring model.

16.8. Red Flag

Red Flag stands for the highest priority in Prewave (4 red dots). These are the most critical alerts and can verify depending on the perspective

16.9. Commodity

Commodities can be raw materials, primary agricultural products or products produced by the customer (e.g. Car seat) that can be bought and sold. These are used to score targets, show the production status for specific raw materials and predict supply chains accordingly.