



|

Commented [KC1]: I don't want to mention TPRM or risk in the document for the supplier. Instead, we can use the title that we added to the tool - something like Cybersecurity, Supplier Quality & Engineering - please use the text from the tool, I'm just going off of memory now. Please scan the rest of the supplier documents to remove TPRM and risk. Thx.

Commented [KR2R1]: @Ciampoli, Kathy M 'Cyber, Quality Systems & Engineering Qualifications' updated

Commented [KC3]: Please scan the documents. We want to use Supplier rather than Vendor

Commented [KR4R3]: Replaced vendor with Supplier

Commented [CK5]: Why is the format different than we used for iDOT? We should have a consistent feeling for the supplier.

ProcessUnity (PU) Cyber, Quality Systems & Engineering Qualifications- SOP

STEP BY STEP SUPPLIER PROCEDURE DOCUMENT



Commented [KR6R5]: @Ciampoli, Kathy M converting supplier user guide into PPT format, it will be ready by 4th March.

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Process Overview

Otis looks forward to having you as a supplier! As part of the supplier onboarding process, Otis utilizes the ProcessUnity platform to gain a better understanding of your company's Cybersecurity and/or Quality Management Systems. You will receive two emails, one with the link to ProcessUnity and the other will contain your login ID and password.

This document provides instructions for using ProcessUnity. If you have questions along the way, please contact your Otis representative.

Below is an overview of our onboarding process:

Complete: 1. Request Initiated - An Otis colleague (Business Requestor) submits a request to add a supplier to the Otis database using a digital tool called iDOT.

Complete: 2. Request Approved to Proceed - An Otis Supply Chain Category Manager reviews and approves the request using a digital tool called iDOT.

Complete: 3. Supplier Provides Information - The supplier provides the initial foundational information using a digital tool called iDOT.

Complete: 4. Information Reviewed - Otis colleagues review the information provided using a digital tool called iDOT.

You are here: 5. Supplier Provides Additional Information - In some instances, Otis colleagues will need additional information regarding the supplier's cybersecurity &/or quality programs. The request for this information will be sent using a digital tool called [ProcessUnity](#).

Upcoming: 6. Additional Information Reviewed - Otis colleagues review the additional information provided using a digital tool called [ProcessUnity](#).

If applicable: 7. Supplier Provides Clarification - In some instances, Otis colleagues will need clarification on the additional information provided by the supplier. The request for this clarification will be sent using a digital tool called [ProcessUnity](#).

Upcoming: 8. Supplier Added to Otis purchase order systems - After approval by the required Otis colleagues, the supplier will be added to Otis' purchase order processing systems and be contacted by an authorized Otis colleague. The supplier should not begin any work until an authorized purchase order has been issued.

Upcoming: 9. Bank Account Verification - Authorized Otis personnel may contact the supplier by email or phone to confirm information regarding banking details and payment methods.

Login Details - OTIS Third Party Risk Management

Suppliers receive credentials via email.

URL:- emea.processunity.net/otis/login.aspx

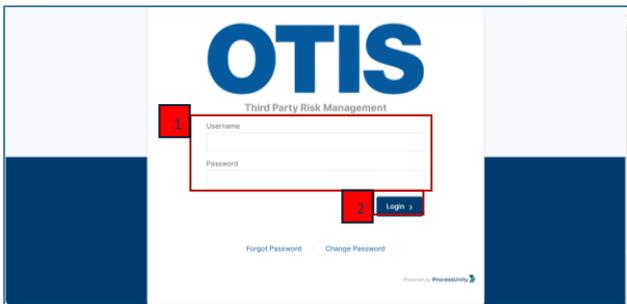
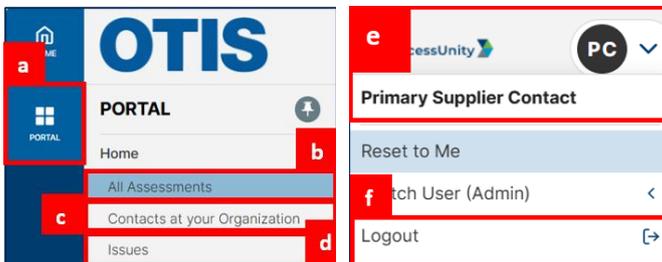


Figure 1: Process Unity (PU) login page

1. Enter your OTIS credentials.
2. Click **Log in**.

Process Unity (PU) Home Page Interface Icons



Icons	Description
a. Portal	Allows access to different sections in the tool.
b. All Assessments	Displays a list of all assessments of the organization.
c. Contacts at your Organization	Displays a list of all available Supplier contacts at your organization.
d. Issues	Displays a list of all the currently flagged issues.
e. Profile Icon	Displays the name of the Supplier.
f. Log out	Allows the Supplier to log out of Process Unity (PU).

Roles and Responsibilities

Throughout this process you may see reference to different roles. Here is a brief description.

Role	Responsibility
Category Manager (CM)	<ul style="list-style-type: none"> • Otis Supply Chain representative
Domain SME (QMS)	<ul style="list-style-type: none"> • Otis Supplier Quality representative (Subject Matter Expert – SME for Quality Management Systems – QMS) -matter expert
Domain SME (DT Cyber)	<ul style="list-style-type: none"> • Otis Cybersecurity representative (Subject Matter Expert for DT Cyber) -matter expert
Supplier	<ul style="list-style-type: none"> • This is your role as a Supplier to Otis



ProcessUnity

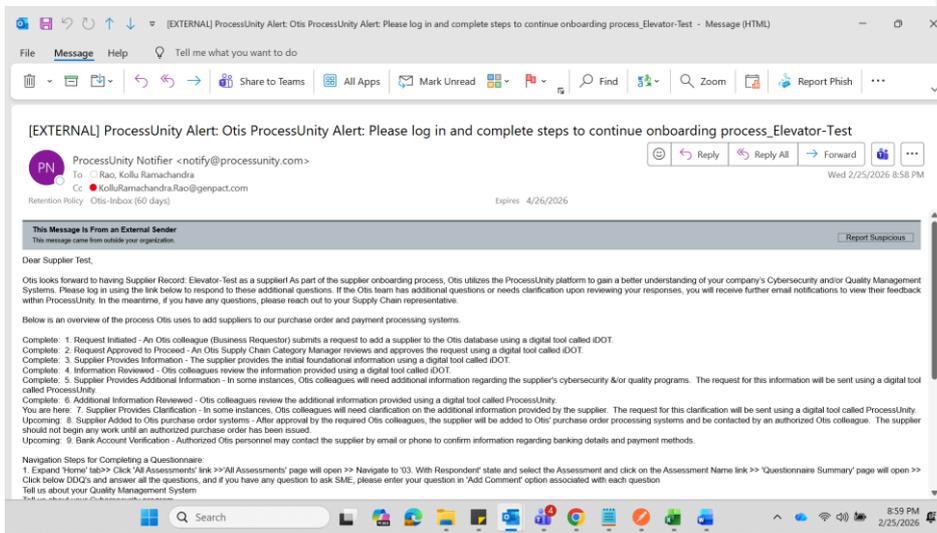


Due Diligence Questionnaire (DDQs)

Complete Due Diligence Questionnaire (Supplier)

The supplier receives an email with a link to the Due Diligence Questionnaire (Refer figure 1 and 2)

Note: Supplier will receive the Due Diligence Questionnaire when the assessment status with **“03. With Respondent”**. Refer below screenshots





ProcessUnity

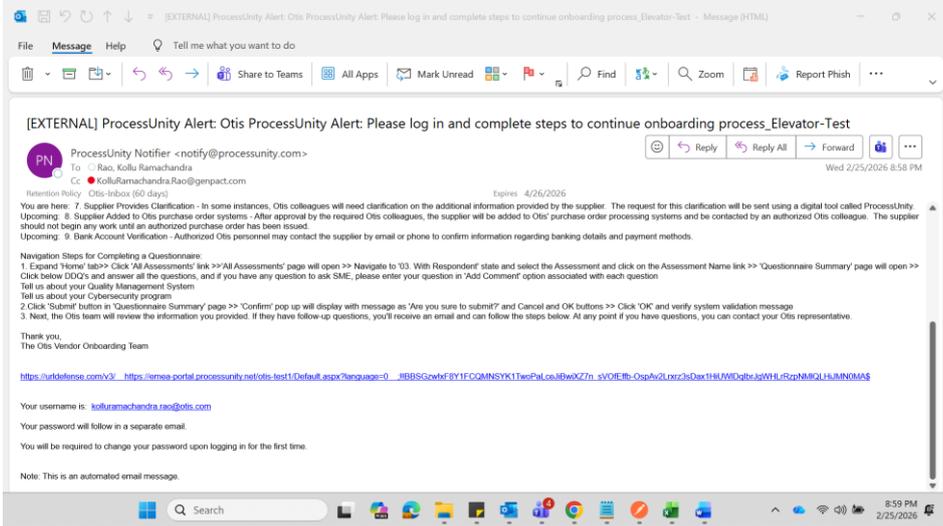


Figure 1

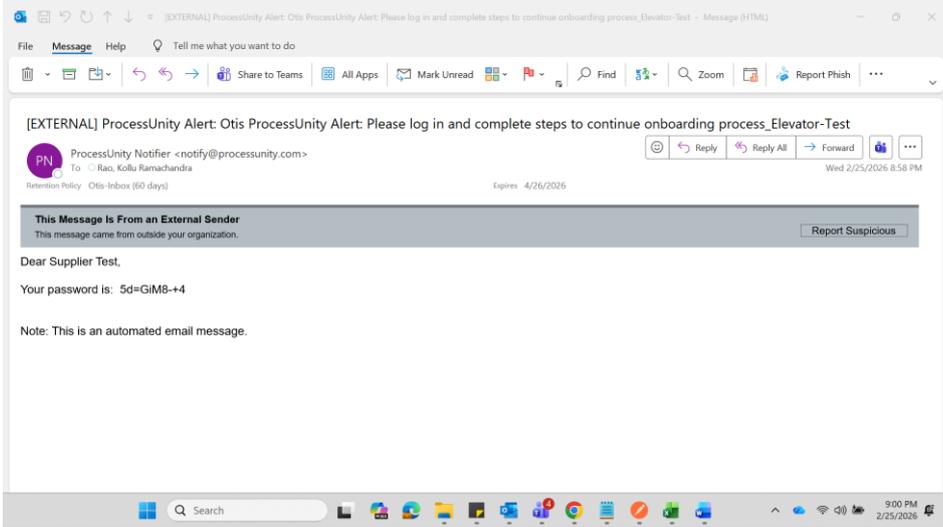


Figure 2

1. Login using the credentials provided. The dashboard lists assessments assigned to you in the **All-Assessments** tab. Click the assessment name to open the questionnaire (Refer figure 3)

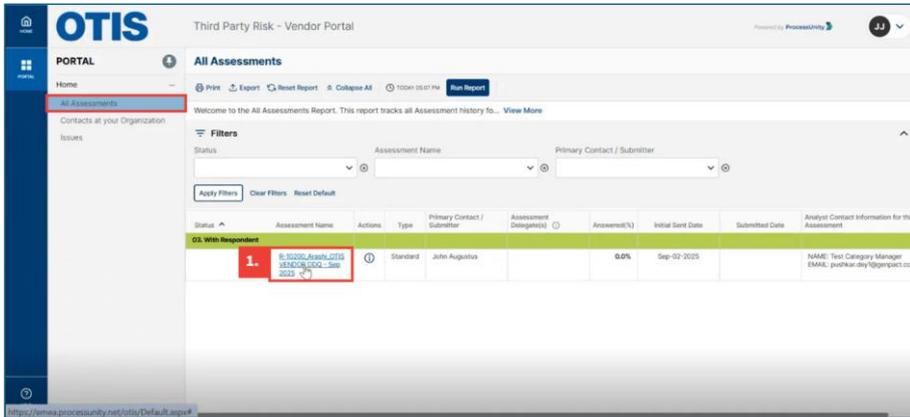


Figure 3

2. Upon clicking the assessment name, page with the relevant questionnaires will be visible. (Refer figure 4)

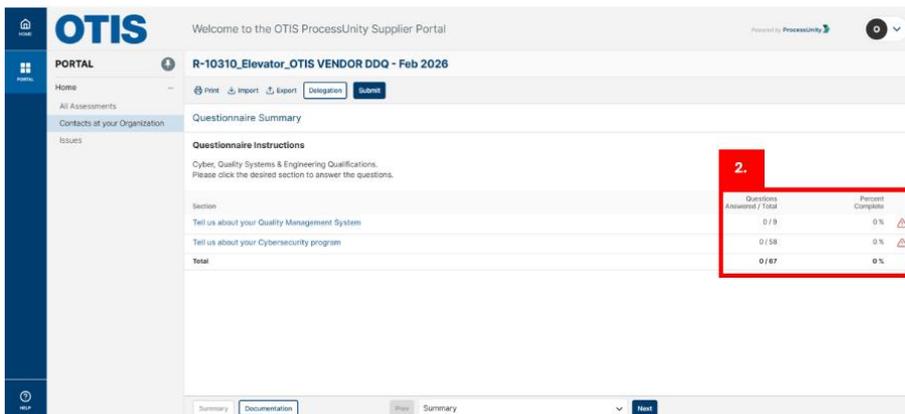


Figure 4

3. Provide accurate answers to all the questions and attach supporting documents as needed. You may:

- Delegate questions to other supplier contacts using the **Delegate** option (Refer figure 5)
- Save your progress using the Save button; completion percentage is shown. (Refer figure 6)

Welcome to the OTIS ProcessUnity Supplier Portal

R-10310_Elevator_OTIS VENDOR DDQ - Feb 2026

Print | **Submit**

Tell us about your Quality Management System (Section 1 of 2)

Do you have a dedicated Quality leadership team with appropriate succession plans? *

No

Add Comment

Deligate Question

How many Quality/Supplier Quality personnel does your company employ? *

90

Add Comment

Deligate Question

I attest, as an Otis supplier, that the company can meet the forecasted demand for supply and is able to satisfy necessary quality requirements *

I attest

Add Comment

Deligate Question

Summary | Documentation

Prev Tell us about your Quality Management System Next

Figure 5

Welcome to the OTIS ProcessUnity Supplier Portal

R-10310_Elevator_OTIS VENDOR DDQ - Feb 2026

Print | Import | Export | Delegation | **Submit**

Questionnaire Summary

Questionnaire Instructions

Cyber, Quality Systems & Engineering Qualifications.
Please click the desired section to answer the questions.

Section	Questions Answered / Total	Percent Complete
Tell us about your Quality Management System	9 / 9	100 %
Tell us about your Cybersecurity program	0 / 58	0 %
Total	9 / 67	13 %

Summary | Documentation

Prev Summary Next

Figure 6

4. When all sections are complete, click on the **Submit** button (Refer figure 7)

Welcome to the OTIS ProcessUnity Supplier Portal

R-10310_Elevator_OTIS VENDOR DDQ - Feb 2026

Print Import Export Delegation **Submit** 4.

Questionnaire Summary

Questionnaire Instructions
Cyber, Quality Systems & Engineering Qualifications.
Please click the desired section to answer the questions.

Section	Questions Answered / Total	Percent Complete
Tell us about your Quality Management System	9 / 9	100 %
Tell us about your Cybersecurity program	0 / 58	0 %
Total	9 / 67	13 %

Summary Documentation Previous Summary Next

Figure 7

5. The assessment status will update to indicate that it is ready for SME review. This means your responses have successfully passed to Otis. The appropriate Otis colleagues will automatically receive notification when you submit your response.

Add New Supplier Contact (Supplier)

1. The supplier can create a new contact by navigating to the Contacts at your Organization tab and clicking on the Create a New Contact button. (Refer figure 8)

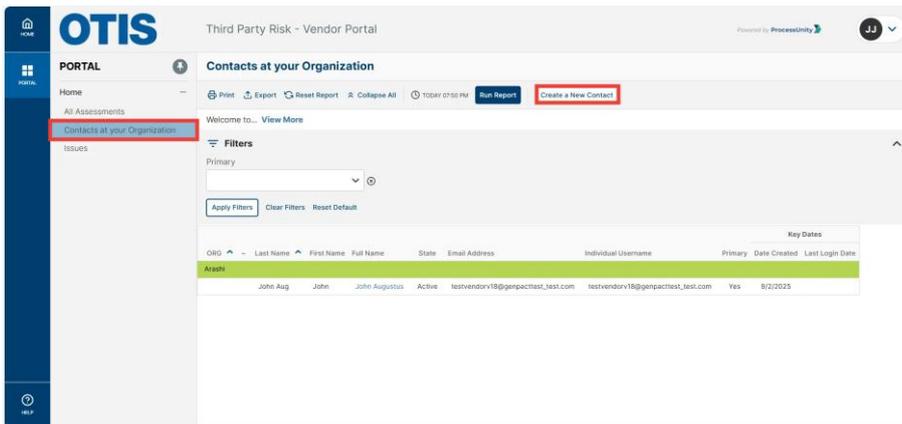


Figure 8

2. Once the supplier clicks on the button, a new interface opens where new supplier contact details like first and last name along with email id are to be filled. Once you click OK, a new supplier contact will get created. (Refer figure 9)

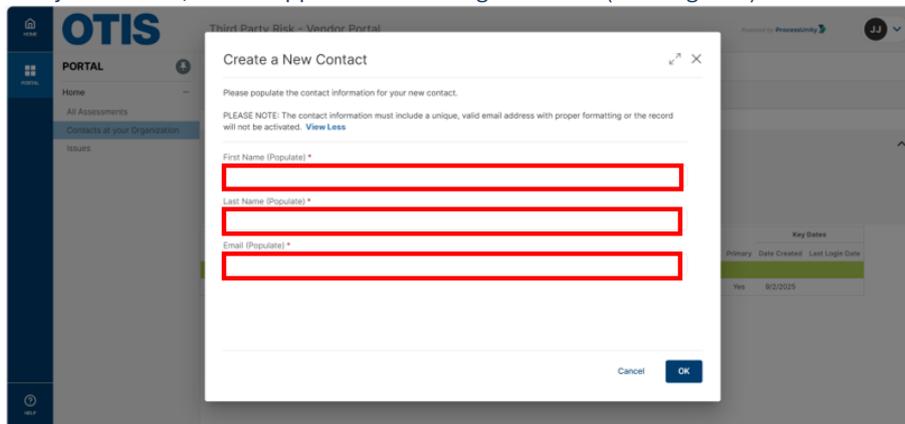


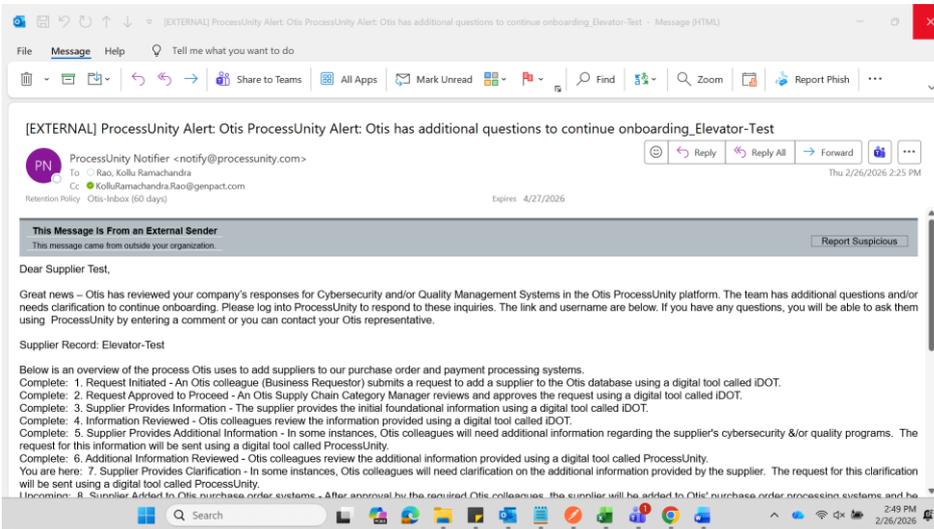
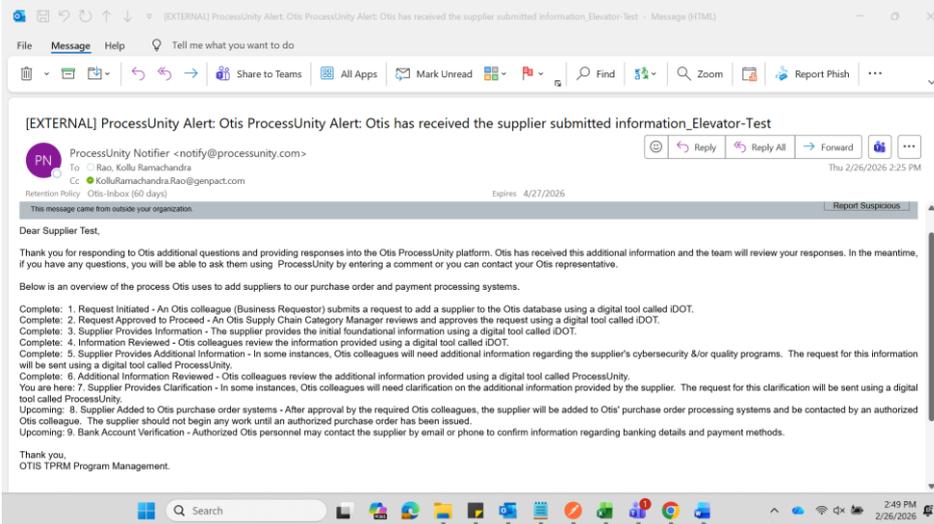
Figure 9

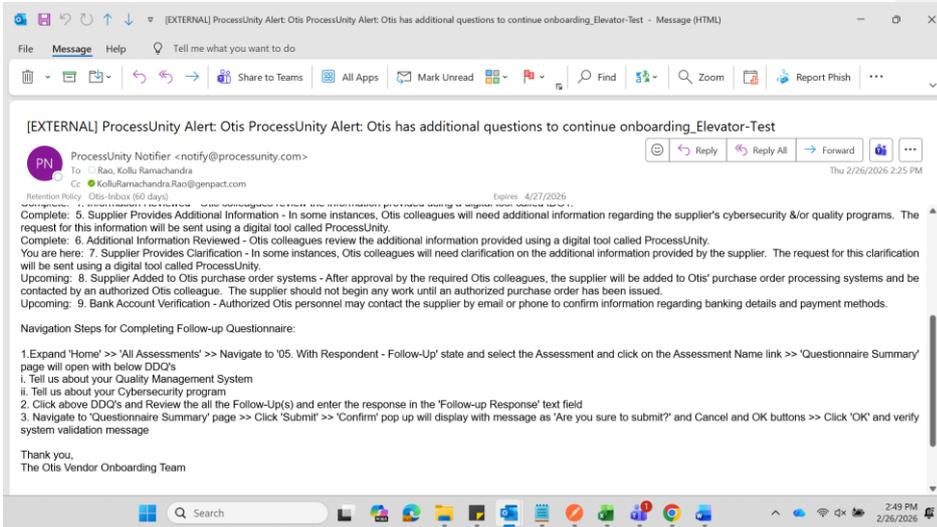


ProcessUnity

Review Follow-ups Sent by Domain SME (Supplier)

In some instances, Otis may have additional questions for you. You'll receive an email notification if any additional information requested.





1. Click the relevant record (R-10200 in this case) and click on the assessment name (Refer figure 10)

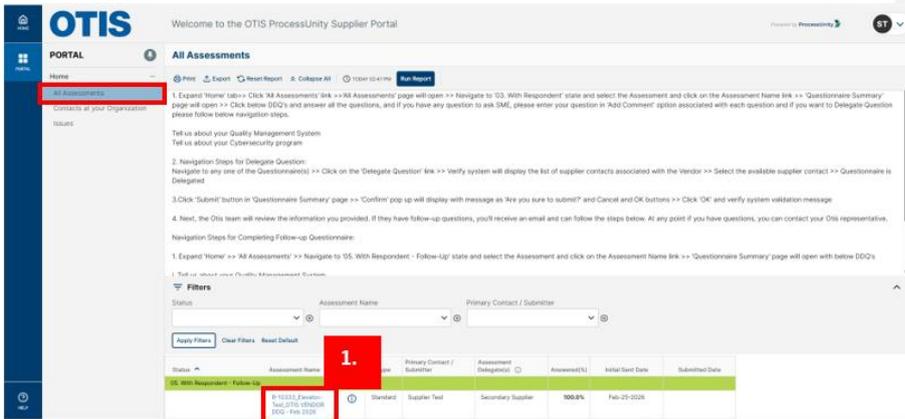


Figure 10

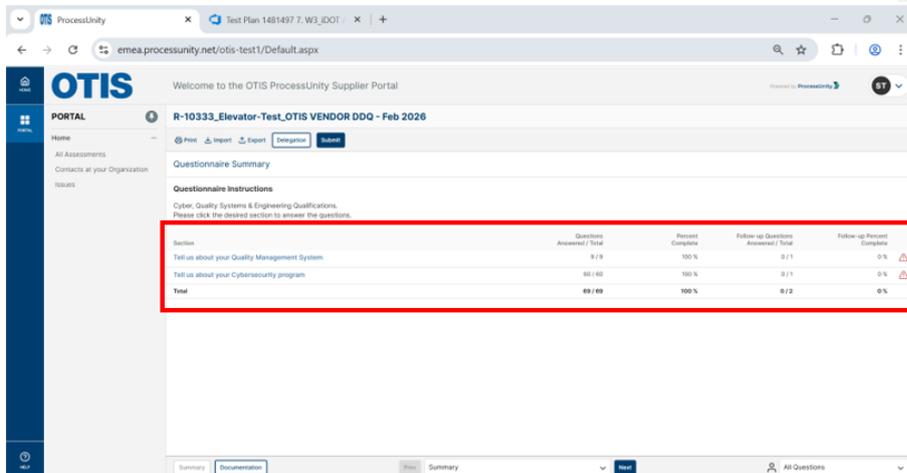


Figure 10

Now, navigate to the questions where follow up details have been requested, and provide response (Refer figure 11)

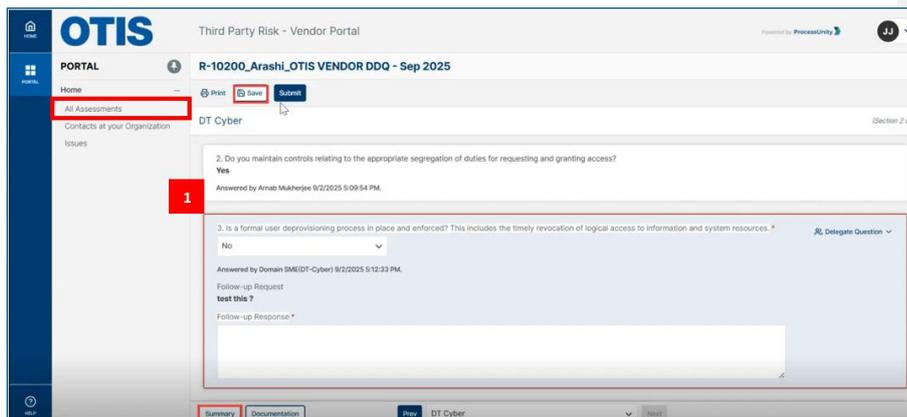


Figure 11

Click **Summary** to see the number of follow ups and the completion percentage (Refer figure 12)

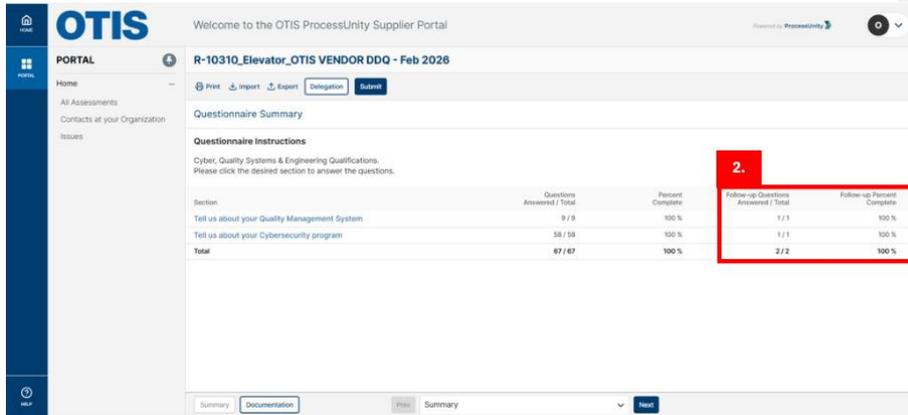


Figure 12

2. Click **Submit** after reviewing the response to follow up questions (Refer figure 13)

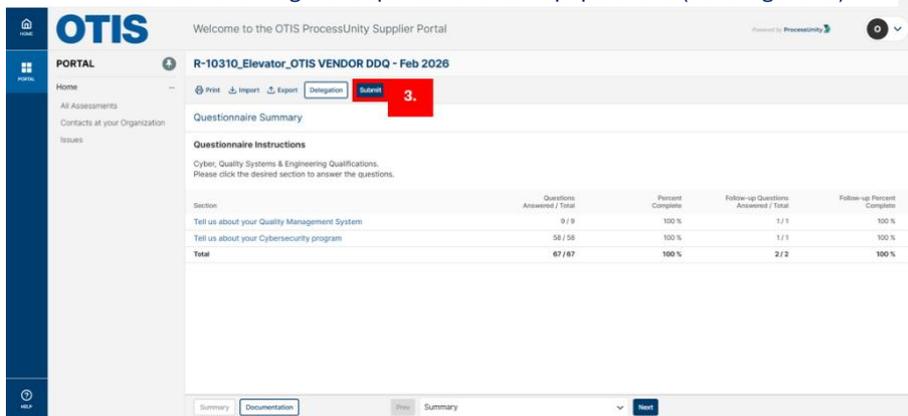


Figure 23

Change Primary Supplier Contact and Delegate Assessment (Supplier)

If you would like other colleagues from your company to participate in responding to the questions, you first need to add them as a Contact. You can follow the instructions provided above.

1. Navigate to All Assessments tab to see all the assessments (Refer figure 14)

The screenshot shows the OTIS Third Party Risk - Vendor Portal interface. The left sidebar has a navigation menu with 'All Assessments' highlighted in a red box and labeled with a '1'. The main content area displays a table of assessments with columns for Status, Assessment Name, Actions, Type, Primary Contact / Submitter, Assessment Delegate(s), Answered(%), Initial Sent Date, Submitted Date, and Analyst Contact Information. The table contains several rows of assessment data.

Figure 34

2. Now, navigate to the assessment assigned under your name and click on the three dots beside it (Refer figure 15)

The screenshot shows the same OTIS Third Party Risk - Vendor Portal interface. The 'All Assessments' table is visible. A red box highlights the three dots menu icon next to the second row of the table, which is labeled with a '2'. The table data is as follows:

Status	Assessment Name	Actions	Type	Primary Contact / Submitter	Assessment Delegate(s)	Answered(%)	Initial Sent Date	Submitted Date	Analyst Contact Information
23. With Response	.S10 Test Vendor_OTIS VENDOR DDO - Aug 2025	⋮	Standard	OTIS Supplier			Aug-07-2025		NAME: Rangan Mukherjee EMAIL: Rangan.Mukherjee
	.S10 Test Vendor_OTIS VENDOR DDO - Aug 2025	⋮	Standard	Primary Supplier Contact	Geopact Supplier Primary Supplier Contact	100.0%	Aug-20-2025		NAME: Rangan Mukherjee EMAIL: Rangan.Mukherjee
	.S10 Test Vendor_OTIS VENDOR DDO - Aug 2025	⋮	Standard	Rangan Mukherjee_vendor	Rangan Mukherjee_vendor	0.0%	Aug-25-2025		NAME: Pritveen Kumar EMAIL: Pritveen.Naggarpa
	.S10 Test Vendor_OTIS VENDOR DDO - Aug 2025	⋮	Standard	Geopact Supplier		1.7%	Aug-22-2025		NAME: Kolu Ramachandra EMAIL: KoluRamachandra.Rao@g
	.S10 Test Vendor_OTIS VENDOR DDO - Aug 2025	⋮	Standard	OTIS Supplier	OTIS Supplier Primary Supplier Contact	121%	Aug-22-2025		NAME: Anub Mukherjee EMAIL: Anub.Mukherjee2
	.S10 Test Vendor_OTIS VENDOR DDO - Aug 2025	⋮	Standard	Rangan Mukherjee_vendor	Rangan Mukherjee_vendor	100.0%	Aug-22-2025		NAME: Anub Mukherjee EMAIL: Anub.Mukherjee2
	.S10 Test Vendor_OTIS VENDOR DDO - Aug 2025	⋮	Standard	Primary Supplier Contact	Geopact Supplier OTIS Supplier	121%	Aug-24-2025		NAME: Kolu Ramachandra EMAIL: KoluRamachandra.Rao@g

Figure 45

3. Once you click on the three dots, you'll be presented with two options, and you need to click on the Change Submitter-Contact button to change the primary supplier contact (Refer figure 16)

Status	Assessment Name	Actions	Type	Primary Contact / Submitter	Assessment Delegate(s)	Answered(%)	Initial Sent Date	Submitted Date	Analyst Contact Information / Assessment
Response	J-10 Test Vendor_OTIS VENDOR BDO - Aug 2025	Change Submitter-Contact	Standard	OTIS Supplier			Aug-07-2025		NAME: Rangan Mukherjee EMAIL: Rangan.Mukherjee@otis.com
			Standard	Primary Supplier Contact	Genpact Supplier Primary Supplier Contact	100.0%	Aug-20-2025		NAME: Rangan Mukherjee EMAIL: Rangan.Mukherjee@otis.com
		Send Email Notification to Delegate(s)	Standard	Rangan Mukherjee_vendor	Rangan Mukherjee_vendor	0.0%	Aug-25-2025		NAME: Praveen Kumar EMAIL: Praveen.K@genpact.com
	J-10 Test Vendor_OTIS VENDOR BDO - Aug 2025		Standard	Genpact Supplier		1.7%	Aug-22-2025		NAME: Kolu Ramachandra R EMAIL: KoluRamachandra.Rpo@genpact.com
	J-10 Test Vendor_OTIS VENDOR BDO - Aug 2025		Standard	OTIS Supplier	OTIS Supplier Primary Supplier Contact	17.1%	Aug-22-2025		NAME: Anshu Mukherjee EMAIL: Anshu.Mukherjee@otis.com
	J-10 Test Vendor_OTIS VENDOR BDO - Aug 2025		Standard	Rangan Mukherjee_vendor	Rangan Mukherjee_vendor	100.0%	Aug-23-2025		NAME: Anshu Mukherjee EMAIL: Anshu.Mukherjee@otis.com
	J-10 Test Vendor_OTIS VENDOR BDO - Aug 2025		Standard	Primary Supplier Contact	Genpact Supplier OTIS Supplier	17.1%	Aug-24-2025		NAME: Kolu Ramachandra R EMAIL: KoluRamachandra.Rpo@genpact.com

Figure 56

3. Once you click on the Change Submitter-Contact button, you need to select the relevant supplier contact at your organization from the drop-down menu and click on the OK button to change the primary supplier contact (Refer figure 17)

Change Submitter-Contact

Please update the Submitting Contact in the box below

Submitting Contact for this Assessment *

OTIS Supplier

Genpact Supplier

OTIS Supplier

Primary Supplier Contact

Rangan Mukherjee_vendor

Cancel **OK**

Figure 67

- Once you click on the OK button, a pop-up appears to confirm the change of primary supplier contact. Click on OK button to confirm it and successfully change the primary supplier contact (Refer figure 18)

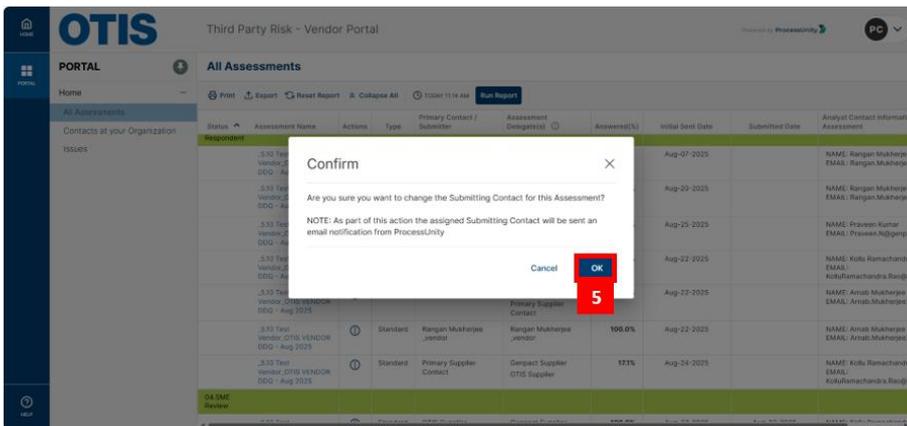


Figure 78

- You can also delegate some sections of the assessment to a particular supplier contact at your organization. Click on the assessment assigned under your name in the All Assessments tab (Refer figure 19)

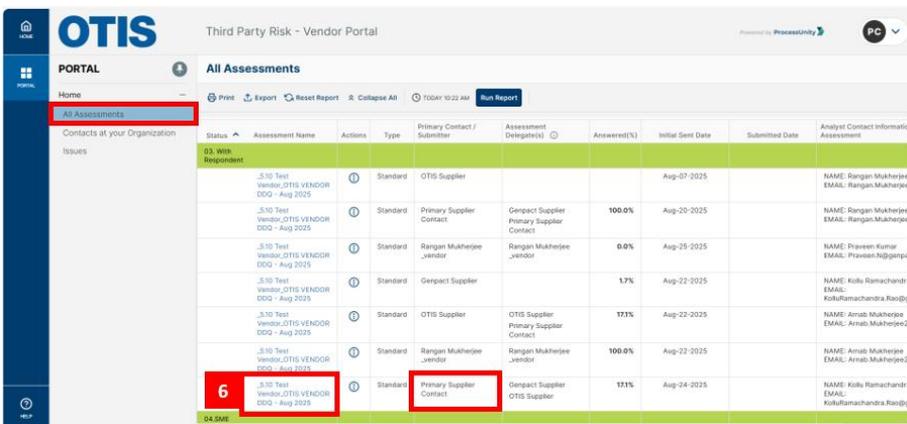


Figure 89

- Once you click on the assessment name, a page with summary of all questions answered and different sections involved will be displayed. If you want to delegate some sections of this assessment to any supplier, contact at your organization, click on the Delegation button (Refer figure 20)

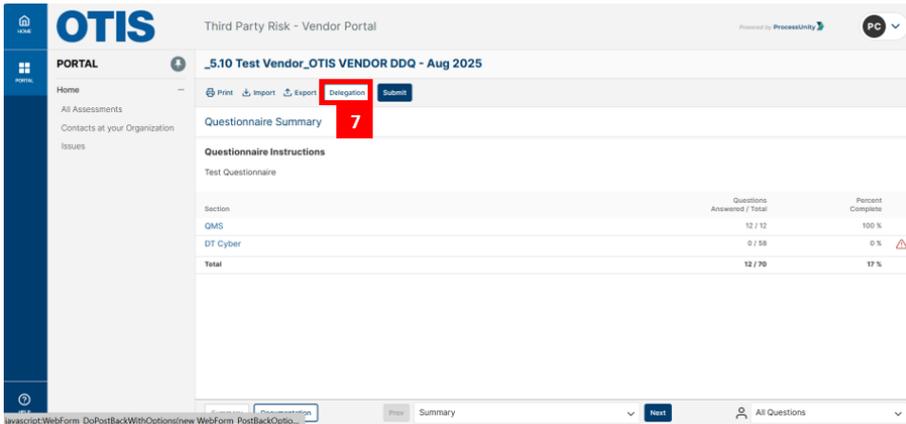


Figure 20

- Upon clicking the Delegation button, you will now be presented with options to select the section you want to delegate and the supplier contact you want to delegate the assessment to (Refer figure 21)

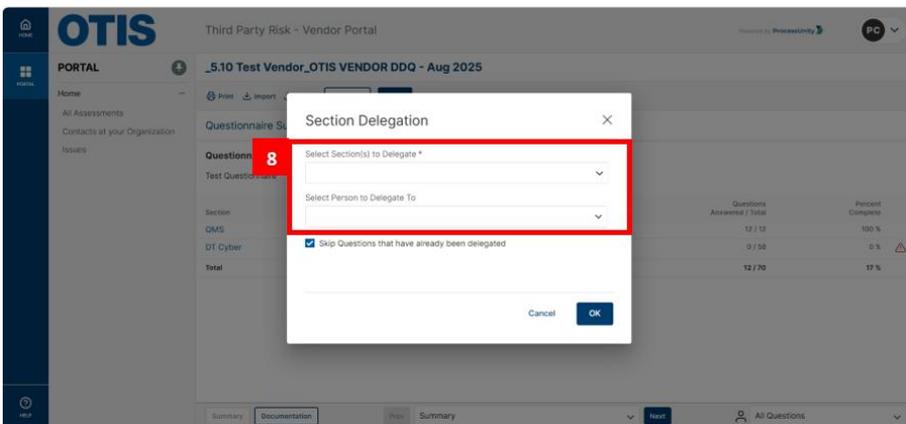


Figure 21

9. Once you click on the Select Section(s) to Delegate drop down, you will be able to select the sections you want to delegate. If you select both the options, the whole assessment will be delegated to the selected supplier contact. On the other hand, if you select only one section like QMS to delegate, only that section will be delegated to selected supplier contact. To delegate a particular section, just check the checkbox beside their name (Refer figure 22)

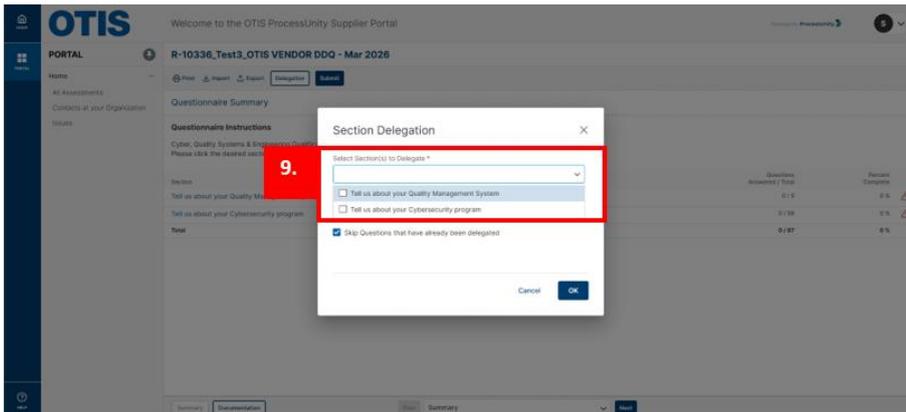


Figure 22

10. Once you have selected which section to delegate, now its time to select which supplier contact you want to delegate the sections to. Click on the Select Person to Delegate To drop down to select the supplier contact you want to delegate to. Click on the supplier's name you want to delegate from the dropdown menu (Refer figure 23)

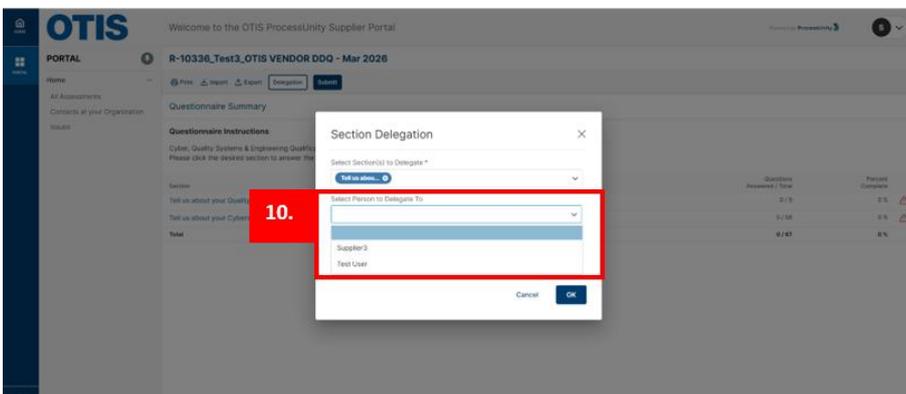


Figure 23

11. After you've selected the section to delegate and the supplier contact you want to delegate to then click on the OK button to delegate the section(s) to the selected supplier contact (Refer figure 24)

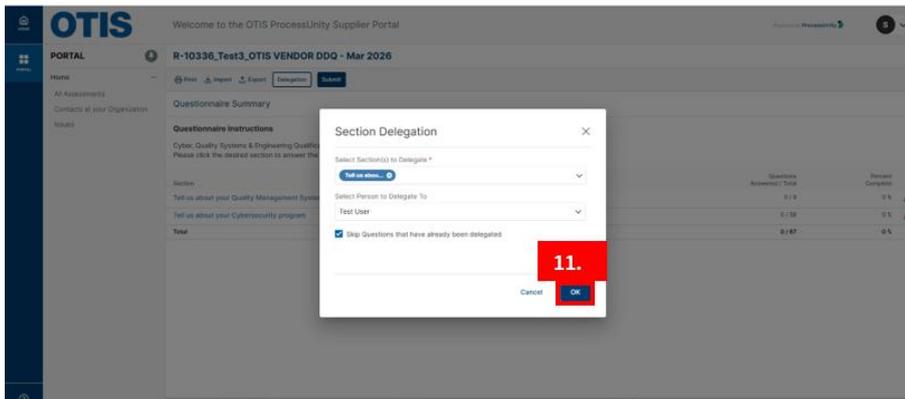


Figure 24

Issue Management

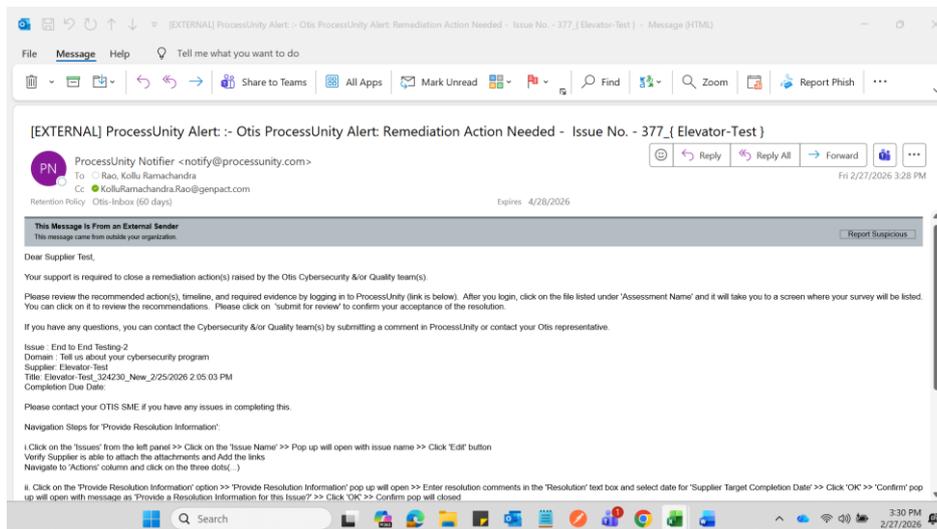
Issue management is the formal process used to document and track identified opportunities for improvement. This section explains when issues are created and how they are managed.

When Are Issues Created?

During the review of the supplier’s responses, Otis may identify opportunities for a supplier to strengthen their processes. ProcessUnity calls these instances “Issues”.

Provide Resolution and Submit for Review (Supplier)

1. Supplier receives an email notification about the issue. When SME send the issue to supplier with status as **“02. Issue with Supplier”** (Refer figure 25)



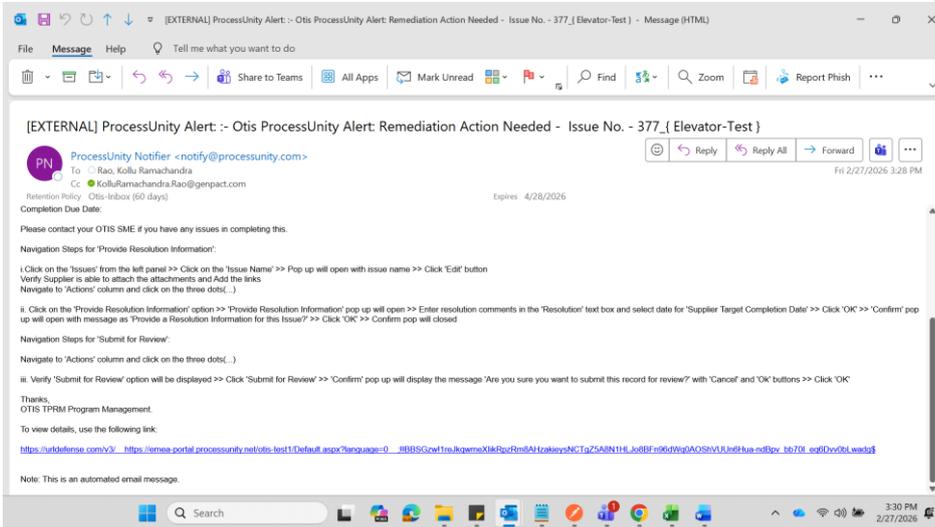


Figure 25

- Navigate to **Issues** tab and under the status **"02. Issue with Supplier"**, click on the three dots to **Provide Resolution Information** (Refer figure 26)

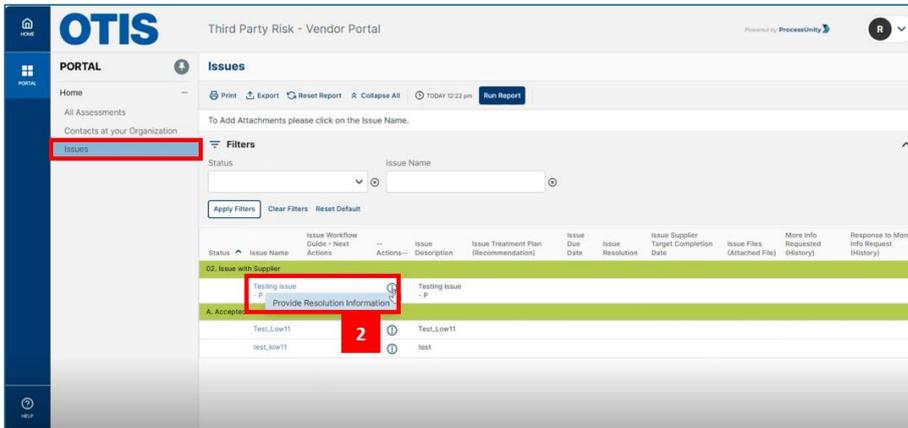


Figure 26

- Populate **Resolution** comments with the expected **Completion Date** and click **OK** (Refer figure 27)

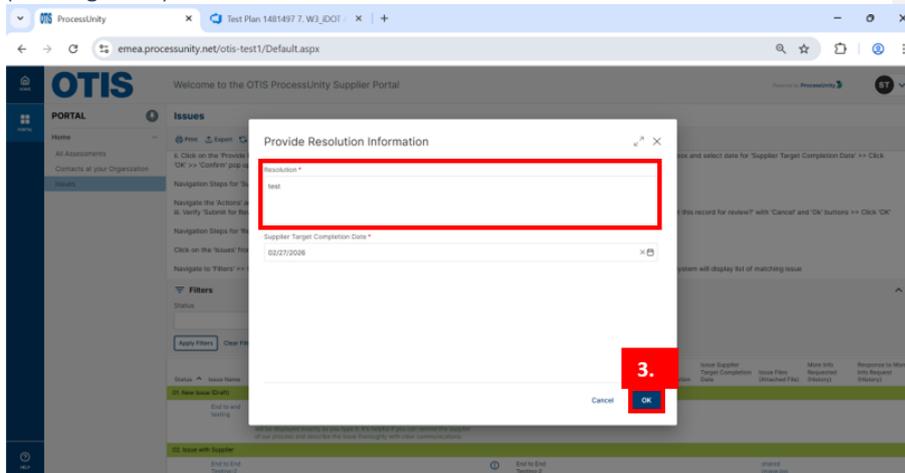


Figure 27

Click **Submit for Review**. Your response is automatically routed to Otis for review.

The screenshot shows the OTIS Third Party Risk - Vendor Portal interface. The page title is "Third Party Risk - Vendor Portal" and it is powered by ProcessUnity. The main content area is titled "Issues" and includes a "Run Report" button. Below the header, there are filter options for Status and Issue Name. A table of issues is displayed with the following columns: Status, Issue Name, Issue Workflow Guide - Next Actions, Issue Description, Issue Treatment Plan (Recommendation), Issue Due Date, Issue Resolution, Issue Supplier Target Completion Date, Issue Files (Attached File), More Info (Requested History), and Response to More Info (Request History). The table contains two rows of data. The second row, which has a status of "Accepted", has a "Submit for Review" button highlighted in red. A red box with the number "4" is overlaid on this button. The first row has a status of "O2: Issue with Supplier" and a "Testing Issue" button.

Status	Issue Name	Issue Workflow Guide - Next Actions	Issue Description	Issue Treatment Plan (Recommendation)	Issue Due Date	Issue Resolution	Issue Supplier Target Completion Date	Issue Files (Attached File)	More Info (Requested History)	Response to More Info (Request History)
O2: Issue with Supplier	Testing Issue	Testing Issue	Testing Issue	Testing	9/10/2025					
Accepted		Submit for Review								

Figure 29

More Information Provided to SME (Supplier)

In instances where Otis needs clarification or additional information, you will receive an email notifying you of the request. This section provides instructions on how to respond.

1. Supplier receives an email notification to provide additional information. Now the issue has the status as **"04a. More Information Required"** (Refer figure 30)

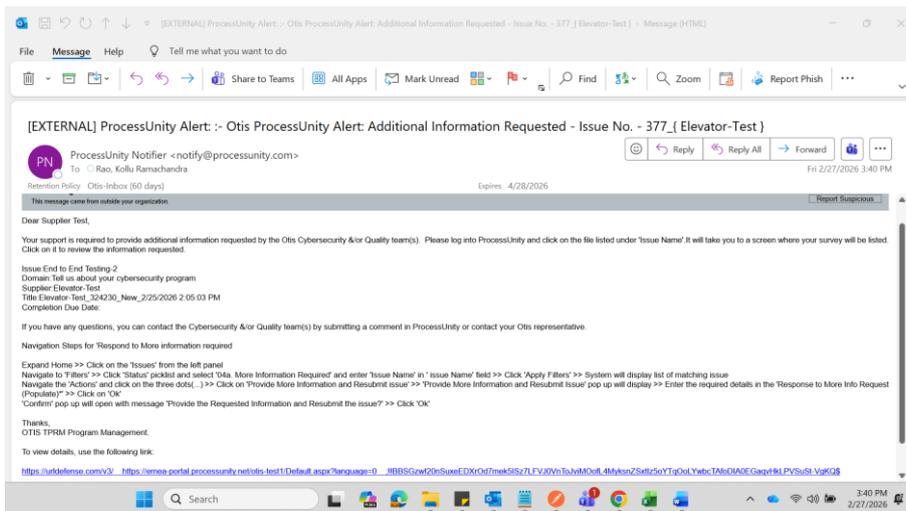


Figure 30

2. Navigate to **Issues** tab. Click the three dots followed by **Provide More Information and Resubmit Issue** to provide more information (Refer figure 31)

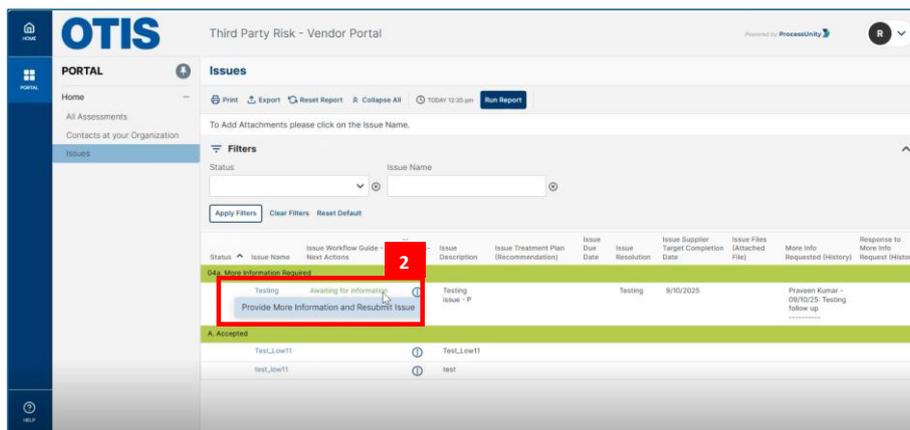


Figure 31

3. Supplier provides response to requested information and clicks **OK** to resubmit the issue (Refer figure 32). After you click OK, your feedback will automatically be e sent to Otis.

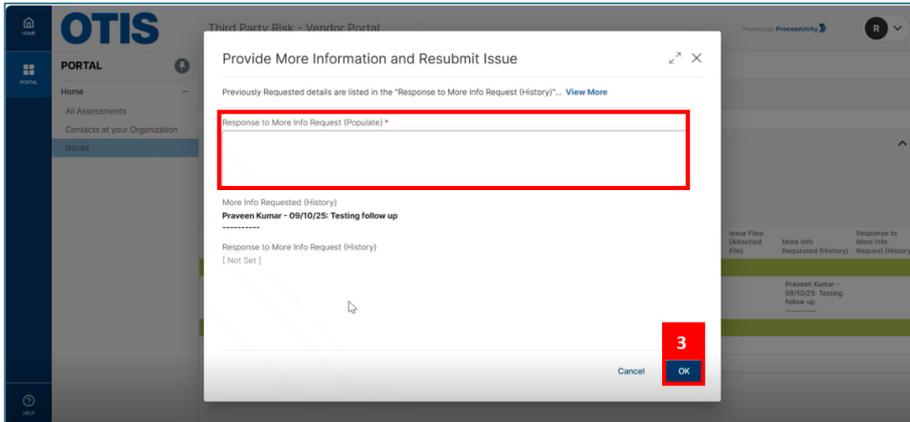


Figure 32



Glossary

Term / Acronym	Definition
IRA	Inherent Risk Assessment form used to capture details about a new third-party engagement.
Process Unity (PU)	Process Unity (PU), the third-party risk management platform where assessments are completed.
DDQ	Due Diligence Questionnaire: an external supplier assessment sent to suppliers.
QMS	Quality Management System: an internal or external questionnaire related to quality processes.
SME (also Domain SME)	Subject Matter Expert (for example, QMS SME or DT Cyber SME) responsible for reviewing assessments and overriding DDQs.
Category Manager	Your Otis Supply Chain representative
Supplier	External third-party supplier who responds to supplier assessments.
Workflow Guide	Panel in each assessment stage that indicates the current phase and the next required action.