10. Alert Features

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Types of Alerts

There are two types of Alerts contained within Supply Risk Manager:

1. System configured automated alerts which are viewable on supplier profile pages
2. Watchlist alerts which monitor specific criteria that you select and notify you of changes

Each of these types of alerts will provide you with a different level of monitoring the suppliers that are most important to you.

System Configured Automated Alerts

Supply Risk Manager automatically monitors a number of indicators and will turn notification buttons off and on when a negative event is detected. You can find these indicators on the Profile page of suppliers you view.

These alerts are updated on a monthly basis and you will not receive any alerts when an indicator is triggered. You will be able to see the notification if you access the supplier and view their Profile page.

For more active monitoring of specific suppliers with criteria of your choice, you will want to set up watchlist folders and select criteria of importance to you that each folder will monitor. You will receive alerts directly into your email box for these watchlist folders and each time you login to SRMgr you will see Alert Tiles on the Dashboard page that will notify you of the most current indicators that have been triggered.

Watchlist Alerts Viewable on Alert Tiles

The Alert tiles located on the Dashboard page give you immediate notice if the health of any of your suppliers have been impacted positively or negatively. You will know that these changes are important because you have made the choice to set the criteria at the levels that you find most relevant for the suppliers that provide you with the materials you need to succeed. Should a change occur, you will be notified with an alert.

The flags on the Alert Tiles are actionable links that will direct you to your inbox where you can read the details of the event and then link directly to the current profile of your supplier so you can get more information about why the alert took place, then decide what the most appropriate action should be.

Each time you log in, the alerts will refresh so you will always see the most recent Alerts that have impacted the suppliers you are closely monitoring.
Alert Tiles

Alert Tiles provide you a quick view of the number of suppliers whose conditions have changed in a positive (green flag) or negative (red flag) way since the last time you logged in. These alerts are based on the Alert Profiles you have set up for your Watchlist Folders. Click on them to view the alerts.

Visual: Dashboard Alert Tiles

Alerts that appear in the Alert Tiles are the ones you have chosen for monitoring from the Alerts Configuration tab. They refresh each time you login.

The Alert Tiles consist of the four critical event categories that matter most:

- **The Predictive Score Changes** Alert Tile reports on positive or negative changes to these Scores and Predictive Analytics: SSI, SER, Paydex, Supplier Rating and the FSS Ranking (1-100).

- **The Government Indicators** Alert Tile reports on positive or negative changes to: EPLS, EPA, GCL, OFAC, and OSHA. These are reported per individual location and on the corporate family.

- **The Operations Indicators** Alert Tile reports on positive or negative changes to: Liens, Suits, Operations, Out of Business, Disaster, Financial/Legal, Criminal Proceedings, and Other.

- **Country Risk Score Indicators** reports on positive or negative impacts to the Country Risk Rating. This information is only available if you have contracted for the Country Risk module.

The flags are based on the alert criteria you select for each supplier folder. If the company improves, you will see a green flag (facing left), if it declines, a red flag will be triggered (facing right).
Creating and Monitoring Alerts

Monitoring events to reduce supply chain disruptions can be handled through the Alerts tab. Alerts in Supplier Risk Manager focus on monitoring critical suppliers to avoid supplier disruptions.

Supplier Risk Manager allows users to create multiple watchlist folders and create alert configurations to monitor different categories of suppliers, (e.g., direct, indirect, high spend, and single instances in responding to changes in suppliers’ businesses, ideally before those changes affect their business). Red Flag alerts are also available to give you the power to alleviate risk as issues occur, including financial or, natural disaster, or other serious issues. Seventeen of the most important risk triggers are included.

ALERT INBOX
On the Alerts tab you will be able to view current Alerts in the INBOX.

ALERT CONFIGURATION
To set new Alerts or review the criteria of current Alert Profiles go to the ALERT CONFIGURATION area on the Alerts tab.
Alert Profiles

An alert profile is your criteria for monitoring a group of suppliers. Assigning an alert profile to your supplier folders will enable you to monitor these suppliers with the criteria you find most meaningful. Each folder can only have one alert profile assigned. However, a supplier can be housed in numerous folders each with a different alert profile. Each unique D-U-N-S number only counts once against your watchlist folders no matter how many different folders and alert profiles are assigned.

Adding an alert profile to a folder turns that folder into a 'Watchlist Folder' meaning that one of the main reasons to have that folder is to monitor the set of criteria you have selected to include in the alert profile of that folder.

You can get to the Alert Profiles from two locations in SRMgr.

1. On the SUPPLIERS tab, click on the ALERT PROFILES button. You will be redirected to the ALERTS tab.

2. You can also access it directly from the ALERTS tab if you click on the ALERTS CONFIGURATION button.

TIP: By design an Admin folders' contents is not monitored. It is not a Private or Public watchlist folder. The purpose of an Admin folder is to house your company suppliers.
Viewing Existing Alert Rules

If you want to see what current Alert Profiles are set and what criteria they contain, go to the ALERTS tab, on the ALERTS CONFIGURATION which takes you to the ALERT PROFILE PAGE. Along the left side of the page you see a list of alert profiles that are currently set.

Two of the profiles are D&B Standard Alert Profiles that are automatically set for you. They are called: D&B Standard Alert Profile and D&B Standard Alert Profile for SSI v2. The remainder of the profiles on the list have been set by others in your company. Additionally, you can set an infinite number of alert profiles yourself based on the criteria that are most meaningful to you and name them anything you would like.

To determine what is included in each alert profile click on it in the column on the left side and the contents will appear in a box on the right side.

In the example above we can see on the left side that the name of this alert profile is 'MSBasicUserPublicAlert,' is assigned to two public folders and contains criteria for the SSI, the SER, and 5 events. On the right side the name of the alert appears again as does the name of the user who set it up. It tells us that it has been applied to 2 Public folders. One of the folders is called 'frans test 3' and if you activated the drop down, you would see the name of the other folder it has been applied to.

The user chose to have an alert when the SSI or the SER value rises above. They also chose to be alerted when there is any activity on these event indicators: Disaster, Criminal Proceedings, Out of Business, Operations, and Others.
Setting An Alert Profile (Configurations)

Setting up alerts in Supplier Risk Manager helps users proactively monitor suppliers with real-time alerts. Real-time alerts help mitigate risk by providing users with updated information on their critical suppliers. Alerts also provide users with email notifications when there is new information about a supplier on their watchlist.

Folders help to manage alerts for groups of suppliers. Users can customize alerts by setting threshold values on various predictive supplier ratings and events indicators to match their work process and supply management goals.

To set up the details of an alert go to the ALERTS tab and click on ALERT CONFIGURATION, then on the + NEW PROFILE button.

Type in the name of your ALERT PROFILE. Select whether you want it to be PUBLIC or PRIVATE. Click on your desired folder from the drop down of the SELECT FOLDER button,
Configuring SSI Alerts

You can trigger an alert to notify you of value changes in the SSI score from the VALUE CHANGES drop down. These changes will trigger an alert to be sent to you by email, included in the ALERT TILES on the Dashboard page of SRM, and in the list in the ALERT INBOX.

Select one or more of these criteria from the drop down. For VALUE CHANGES and VALUE RISES the box will be greyed out and you will be unable to include a numerical value.

VALUE CHANGES: Any movement in the score positive or negative. You will not need to enter a value.
VALUE RISES: Any movement of the score to a higher number. You will not need to enter a value. VALUE RISES ABOVE: You can designate a baseline figure you wish to monitor and if the score value rises above that you will be alerted.
VALUE DROPS BELOW: You can designate a baseline figure you wish to monitor and if the score value drops below that you will be alerted.

To add a second criteria condition click the +ADD NEW CONDITION and a new alert option will appear. If you change your mind, simply click the red X next to the item to delete it. Click CLEAR if you would like to change the numerical value.

Some things to keep in mind about the SSI:
The Supplier Stability Indicator (SSI) predicts the likelihood that a business will experience significant financial or operational instability over the next 3 months (90 days). The SSI scoring system uses statistical probabilities to classify public and private companies into a 0-10 score scale where 0 is the lowest risk and 10 is the highest.

Any supplier with an elevated SSI score has an increased probability of failure within the next 90 days. That is, in the short-term, the supplier may have a performance, legal, compliance, or financial problem that may disrupt a customer's operations and may evolve into a major financial issue that paralyzes both the supplier and the customer. To uncover what patterns are present, review the 12 month Trends chart or Historical Events within the HISTORY and NOTES tab on the supplier profile page of SR Manager. Look at how the SSI score has changed over the last 12 months. Volatility in the SSI metric may suggest ongoing problems. Consider the effect this supplier would have on production if they were unable to deliver.
Some things to keep in mind about the SER:

The Supplier Evaluation Risk Rating (SER) is a risk metric that helps supply management professionals evaluate the long-term risk of doing business with a supplier. The SER score is based on a scale of 1-9, with 1 representing the lowest level of risk and 9 implying the highest level of risk.

For suppliers whose headquarters are located in the United States and Canada, the SER rating predicts the likelihood that a supplier will cease operations, regardless of debts outstanding, or become inactive over the next 12 months based on the depth of predictive data attributes available on the business.

For suppliers whose headquarters are located outside the United States and Canada, the SER predicts the likelihood that a supplier will cease operations or reorganize without paying all creditors in full, or obtain relief from creditors under state/federal law over the next 12 months.

The SER provides a consistent risk ranking across the global. That is, a SER of 1-6 is at or below average risk and 7-9 is above average risk, irrespective of supplier location.

Performance tables vary by country. The SER Score is available in 25 countries: United States, Canada, Austria, Belgium, Czech Republic, Denmark, Ireland/Southern Ireland, France, Germany, Hungary, Italy, Netherlands, Norway, Poland, Portugal, Slovakia, Spain, Sweden, Switzerland, United Kingdom, Hong Kong, Japan, Taiwan, Australia, and New Zealand.
Configuring Paydex Alerts

You can trigger an alert to notify you of value changes in the Paydex score from the drop down. These changes will trigger an alert to be sent to you by email, included in the ALERT TILES on the Dashboard page of SRMgr, and in the list in the ALERT INBOX.

Select one or more of these criteria from the drop down. Be sure to include a numerical criteria in the box.

**GOES ABOVE:** Any movement of the score above a certain numerical value of your choice.

**GOES BELOW:** Any movement of the score below a certain numerical value of your choice.

**FALLS BY:** You can designate a value for how much of a drop in the score you are willing to accept.

**RISES BY:** You can designate a value for how much of a rise in the score you are willing to accept.

To add a second criteria condition click the **ADD NEW CONDITION** and a new alert option will appear. If you change your mind, simply click the **Red X** next to the item to delete it. Click **CLEAR** if you would like to change the numerical value.

**Some things to keep in mind about the Paydex:** The D&B payment score (Paydex) is a score that assesses the historical payment performance of a business. The score corresponds to an average number of days beyond terms or within terms and is based on all the trade experiences associated with this business in D&B’s database.

More specifically, the Paydex is a dollar-weighted average of a company’s combined individual payment experiences and ranges from 0-100, with higher scores representing businesses that pay their bills more promptly. In most cases, at least three trade experiences are required for the Paydex to be calculated.

Understanding how your suppliers pay their suppliers can’t be overlooked, e.g., if a critical supplier of yours is cut off from buying a key component that is used in the manufacture of one of your primary products for sale, because of slow payment, that could cause a supply chain disruption. This is especially true in difficult economic times.
Configuring the Supplier Rating

You can trigger an alert to notify you of value changes in the Supplier Rating from the SUPPLIER RATING CHANGES drop down. These changes will trigger an alert to be sent to you by email, included in the ALERT TILES on the Dashboard page of SRM, and in the list in the ALERT INBOX.

Select one or more of these criteria from the drop down. For the SUPPLIER RATING DROPS BELOW and SUPPLIER RATING RISES ABOVE be sure to select the number of stars you are willing to accept.

SUPPLIER RATING CHANGES: Any movement in the number of stars positive or negative.
SUPPLIER RATING DROPS: Any downward movement in the number of stars.
SUPPLIER RATING DROPS BELOW: You can designate a value for how much of a drop in the number of stars you are willing to accept.
SUPPLIER RATING RISES ABOVE: You can designate a value for how much of a rise in the number of stars you are willing to accept.

To add a second criteria condition click the +ADD NEW CONDITION and a new alert option will appear. If you change your mind, simply click the Red X next to the item to delete it. Click CLEAR if you would like to change the numerical value.

The Supplier Ratings in Supplier Risk Manager are intended to indicate how well a supplier is performing for its customers. The number of stars benchmarks the overall performance of a supplier against that of all other suppliers in its Standard Industrial Classification (SIC) group. The Overall Supplier Rating is displayed by a line of five stars. A supplier’s ranking is depicted by the number of stars filled in. The first star represents approximately the top 20% of suppliers within a SIC. The second star represents approximately the next best 20% of suppliers, and so on. The overall score is on a scale of 1-100, where a score of 100 represents the highest level of satisfaction. Typically, Supplier Ratings fall within the 80-100 range. They are based on subjective input from the suppliers’ customers when it is available and they are modeled via a statistical learning algorithm when subjective input is not available.
Configuring FSS Ranking (1-100)

You can trigger an alert to notify you of value changes in the Financial Stress Ranking (FSS) (1-100) from the drop down. These changes will trigger an alert to be sent to you by email, included in the ALERT TILES on the Dashboard page of SRMgr, and in the list in the ALERT INBOX.

Select one or more of these criteria from the drop down. Be sure to include a numerical criteria in the box.

GOES ABOVE: Any movement of the ranking above a certain numerical value of your choice.
GOES BELOW: Any movement of the ranking below a certain numerical value of your choice.
FALLS BY: You can designate a value for how much of a drop in the ranking you are willing to accept.
RISES BY: You can designate a value for how much of a rise in the ranking you are willing to accept.

To add a second criteria condition click the +ADD NEW CONDITION and a new alert option will appear. If you change your mind, simply click the Red X next to the item to delete it. Click CLEAR if you would like to change the numerical value.

The Financial Stress Ranking is a 1-100 ranking where 1 has the highest likelihood that a company will experience financial stress, which includes ceasing operations without paying all creditors in full or obtaining legal relief from creditors over the next twelve months. A ranking of 100 has the lowest likelihood of financial stress or failure. This field was formerly referred to as FSS Percentile in some countries.
Configuring Event Indicator Alerts

Users can choose from Events Indicators such as suits, liens, natural disasters, criminal proceedings, a general financial and legal indicator, an operations indicator, other, out of business, EPLS, EPA, OSHA or OFAC. EPLS, EPA, OSHA and OFAC can also be monitored for the corporate family. A detailed explanation for each of these event indicators can be found in the table below.

![Event Indicators](image)

To enable the indicator click on the box. If the box is blue the indicator is turned ON. If it is white it is turned OFF. When you enable one of these indicators you will receive an alert if that indicator is On and you will receive an alert if that indicator turns Off. You will receive an initial alert if the indicator is On at the time you add the supplier to your watchlist.

Select the enabled box for each of the indicators that are of importance to you. These are binary values; either On (true) or Off (false). An event is the occurrence of some critical action or new information. Events can be tracked for the specific location, while some events can be followed for any member of the corporate family (a business entity related to the location in question).

### Event Indicators

**Suits Indicator**
Indicates whether open suits, open judgments, petitions, or payment remarks exist in the Dun & Bradstreet database against this supplier.

**Liens Indicator**
Indicates whether open claims, liens, protested bills, warrants, Social Securities Summons, or equivalent exist in the Dun & Bradstreet database against this supplier.
Disaster Indicator
Indicates whether special events concerning disasters such as fire, hurricanes, etc., exist in the Dun & Bradstreet database against this supplier.

Criminal Proceedings Indicator
Indicates whether criminal proceedings exist in the Dun & Bradstreet database against this supplier.

Financial/Legal Indicator
Indicates whether special events, including financial embarrassment and legal filings, exist in the Dun & Bradstreet database against this supplier.

Out Of Business Indicator
The Out of Business Indicator will turn "on" within Supplier Risk Manager whenever FSS=0. This occurs when a supplier has ceased operations at a physical location, is undergoing financial reorganization (e.g., Chapter 11 Bankruptcy, Chapter 7 Liquidation), or has been bought out by another firm and is now operating as a different legal entity. In the latter two cases, the company may physically continue to transact business with customers. However, the company has legally changed and normal contractual protections may no longer exist. It is worth noting, that it is possible for a company’s Out of Business Indicator to go “on” due to a Chapter 11 filing, and then turn “off” when the company successfully returns from Bankruptcy.

Operations Indicator
Indicates whether special events exist in the D&B database that concern changes to the business’ operations. These include categories such as name changes, management changes, change in legal form, control, or capital, business wind up, closures or moves.

Others Indicator
Indicates whether special events, not otherwise specified, exist in the Dun & Bradstreet database against this supplier.

EPLS Indicator
The Excluded Parties List System (EPLS) identifies supplier facilities that have been excluded by the U.S. Government from receiving federal contracts or certain subcontracts, or certain types of federal financial and non-financial assistance. When this indicator is ON, you may expand the indicator to see additional information concerning the CT code, agency, and term date. The CT (Cause and Treatment) code indicates the cause of the exclusion and the treatment for the exclusion. The agency is the organization that placed the supplier on the exclusion list. The term date is the date the exclusion will end.

Family EPLS Indicator
An EPLS indicator that applies to at least one member of a supplier's corporate family. The family includes branches, headquarters, and divisions.
**EPA Indicator**
Indicates the number of enforcement actions that have been taken against the facility within the twenty most recent complete quarters (5 years).

**Family EPA Indicator**
An EPA indicator that applies to at least one member of a supplier's corporate family. The family includes branches, headquarters, and divisions.

**OSHA Indicator**
Indicator of violation of OSHA (Occupational Safety and Health Administration) standards. Violations are cited by OSHA as a result of inspections.

**Family OSHA Indicator**
An OSHA indicator that applies to at least one member of a supplier's corporate family. The family includes branches, headquarters, and divisions.

**OFAC Indicator**
OFAC stands for "Office of Foreign Assets Control". The OFAC indicator is on for an entity when OFAC has placed this entity on its list of "Specially Designated Nationals", or SDN. OFAC describes the SDN as follows: "As part of its enforcement efforts, OFAC publishes a list of individuals and companies owned or controlled by, or acting for or on behalf of, targeted countries. It also lists individuals, groups, and entities, such as terrorists and narcotics traffickers designated under programs that are not country-specific. Collectively, such individuals and companies are called "Specially Designated Nationals" or "SDNs." Their assets are blocked and U.S. persons are generally prohibited from dealing with them."

**Family OFAC Indicator**
An OFAC indicator that applies to at least one member of a supplier's corporate family. The family includes branches, headquarters, and divisions.

**GCL Monitoring Indicator**
A screening process that compares supplier records against over 30 different Government Control Lists of restricted entities. This indicator will only appear for customers who have contracted for the Supplier Portal add-on.
Alert Generation

Click **SAVE** at the bottom of the screen. The cursor will point back to the alert name field across from the **+ NEW PROFILE** button if one wasn’t provided for initially.

If you haven't already provided a name, type in a name of your choice in the box that displays above the user name.

**TIP:** Each alert profile you create should be geared toward the type of suppliers you will be monitoring (e.g., if you will be monitoring critical suppliers, you may have a lower tolerance for risk than if you are monitoring non-critical suppliers).

**TIP:** Only Super Administrators can create public alert profiles. A basic or admin user will not have the public alert profile type available.

**TIP:** The Standard Alert Profiles cannot be edited or deleted by any user. It was created as a recommended alerts profile, mostly for direct suppliers.
**Reviewing Alerts in Email Notifications**

You will receive an email when Alerts trigger on the suppliers you are monitoring. There are two types of Alert emails. The first is an **INITIAL Alert** which is generated at the time the Watchlist folder is set up. The second is a **CHANGE Alert** which is generated any time one of the criteria you selected triggers a change.

**Note on INITIAL Alerts:** When you put a company on your watchlist, there is no alert history for that company for your account. Therefore, D&B generates initial alerts that tell you if that supplier has a current value that falls in one of your negative Alert zones. For example, if you have set your SER alert configuration to send an alert when the SER rises above 3, and the supplier that you just put on your watchlist has a SER of 5, D&B will send you an initial Alert informing you that the SER is 5.

If you have configured your alerts to generate an alert when the suits indicator is ON, and the company that you have just added to your watchlist has the suits indicator ON, then you will receive an initial alert that says the suits indicator is ON.

Note that the wording of the initial alerts is the present tense – these are alerts that are telling you the current value, not a changed value. The purpose of initial alerts is to let you know that a supplier that you have just added to your watchlist is already in at least one of your negative alert zones.

**Note on CHANGE Alerts:** Change alerts are generated when a value changes such that the new value satisfies one of the conditions of your alert configuration. Change alerts can be either positive or negative, depending on your alert configuration.

When a value changes that puts the value into one of the zones that is specified in your alert configuration (e.g. SSI > 5, SER > 4, Suits = ON) you will receive a Change alert. The wording of the change Alerts is different from the initial alerts. Change alerts will include phrases like “…has changed…”, “…has turned on…”, “…has turned off…” - to indicate the direction of the change, and also the old and new values.