

DATASHEET

Third Party Due Diligence Platform Report Descriptions

NAVEX Global’s Third Party Risk Management platform gives you the flexibility to carry out deeper levels of due diligence to meet your unique compliance needs. With multiple report levels, analyst review and enhanced investigation options available, you can be confident your third party risks are uncovered and mitigated as quickly and efficiently as possible.

Due Diligence Report Type	Report Description & Features	When To Use
Batch Screening Report	<p>Description:</p> <p>Batch upload of multiple third party names</p> <p>Screens against:</p> <ul style="list-style-type: none"> • 400+ sanctions/watch lists (including OFAC, EU, UN and HM Treasury, for example) • PEP (politically exposed persons) lists • Exposure to adverse media from 10,000+ global publications <p>Configurable look-back period for data sources for up to 10 years</p> <p>Initial risk assessment rating (red, yellow, green)</p> <p>Features:</p> <ul style="list-style-type: none"> • Low cost per third party • Two years of continuous daily monitoring • Automated report generation—new report generated when there is any material change to the third party (change in ownership, legal action, etc.) 	<p>Use to screen large pools of existing third parties. If risks are detected, conduct additional, deeper screening with:</p> <ul style="list-style-type: none"> • Level 1/Level 1 Plus Reputation Screening Report • Level 2 Due Diligence Background Screening Report • Analyst-Led Report Review • Analyst-Led Enhanced Due Diligence Report

Due Diligence Report Type	Report Description & Features	When To Use
<p>Level 1 Reputation Screening Report</p>	<p>Everything included in the Batch Screening Report, plus:</p> <p>Add four known names for any organization: screening of up to four names of a third party’s management, directors, owners or affiliated companies. The additional names will be screened daily against.</p> <ul style="list-style-type: none"> • Sanctions/watch lists • PEP lists • Adverse media 	<p>Use to establish a deeper level of daily monitoring for new or existing third parties by including reputation screening against the names of up to four key company leaders in daily monitoring. (You provide the names to monitor.)</p> <p>Add Analyst-Led Review or Analyst-Led Enhanced Due Diligence to this report.</p>
<p>Level 1 Plus Reputation Screening Report</p>	<p>Everything included in the Batch Screening Report and the Level 1 Reputation Screening Report, with the additional feature of data collection through administration of a customizable survey:</p> <p>Creation and administration of a customizable, interactive online questionnaire to collect ownership/management/affiliated company information from the third party you want to monitor</p> <ul style="list-style-type: none"> • Customized onboarding questions can be added to the questionnaire to collect important information specific to your organization’s risk profile • All collected names are submitted for daily screening for two years 	<p>Use when company ownership/management/affiliated company’s information needs to be provided by the third party.</p> <p>Also use when your organization wants the answers to specific, customized onboarding questions.</p> <p>Add Analyst-Led Review or Analyst-Led Enhanced Due Diligence to this report.</p>

Due Diligence Report Type	Report Description & Features	When To Use
<p>Level 2 Due Diligence Background Screening Report</p>	<p>Everything included in the Batch Screening Report, the Level 1 and Level 1 Plus Reputation Screening Reports, plus:</p> <p>Administration of an extensive online questionnaire which captures:</p> <ul style="list-style-type: none"> • Identity verification including name, parent company name, location, and industry code • Financial risk including cash flow, leverage, and bankruptcy track record • Compliance risk, including a proprietary “Commitment to Ethics” questionnaire that covers anti-corruption and anti-bribery policies, communications, training and enforcement • Reputation risk including government employment, government ownership and debarments <p>Background credit check (requires a D&B DUNS number)</p> <p>Credit report data</p> <p>Document collection, including financial statements, code of conduct or other policy documents, insurance certifications or any other documents relevant to the business partner screening process</p> <p>Online certification capturing the date as well as the name and signature of the submitting officer for the business partner</p> <p>Automated data analysis</p> <p>Automated risk assessment</p>	<p>Use when you require an extensive automated background check and Dun & Bradstreet financial ratings.</p> <p>Add Analyst-Led Review or Analyst-Led Enhanced Due Diligence to this report.</p>

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<p>Through a partnership with Pacific Strategies and Assessments (PSA), a global leader in analyst-led due diligence, NAVEX Global clients may request Analyst-Led Review or Enhanced Due Diligence for any Level 1, Level 1 Plus or Level 2 report. This allows clients to combine the NAVEX Global automated reports with fully integrated analyst activity tied to a client's risk policies.</p>		
<p>Analyst-Led Review</p>	<p>Add to any Level 1, Level 1 Plus, or Level 2 report for:</p> <ul style="list-style-type: none"> Executive summary of the report focused on the specific findings that drive risk Resolution of adverse media, sanctions, watch and PEP alerts Best practice-driven guidance on next steps to mitigate identified areas of risk 	<p>Use when your organization feels a third party needs a more in-depth, human review and internal analyst availability is limited.</p>
<p>Analyst-Led Enhanced Due Diligence</p>	<p>Add to any Level 1, Level 1 Plus, or Level 2 report for:</p> <ul style="list-style-type: none"> Reliable data to screen your highest-risk business partners Analyst-led, in-country, in-language research and records check against: <ul style="list-style-type: none"> • Litigation • Business registry • Resolution of credit bureau information by reviewing the credit report online and initiation of a credit bureau investigation when appropriate (Level 2 only) • Adverse media in local language—15 keywords cross-referenced against up to five names. Typically this would include the company name, the CEO, the CFO and the company's two largest shareholders. 	<p>Use when internal resources required to conduct enhanced due diligence are limited and when in-language or in-country research is required.</p>

ABOUT NAVEX GLOBAL

NAVEX Global helps protect your people, reputation and bottom line through a comprehensive suite of ethics and compliance software, content and services. The trusted global expert for 8,000 clients, our solutions are informed by the largest ethics and compliance community in the world.