RiskRate: Enterprise Due Diligence

Platform Report Descriptions

NAVEX Global’s RiskRate 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: **Single Screening Report**

<table>
<thead>
<tr>
<th>Report Description</th>
<th>Report Features</th>
</tr>
</thead>
<tbody>
<tr>
<td>» Batch upload of multiple third party names</td>
<td>» Low cost per third party</td>
</tr>
<tr>
<td>» Screens against:</td>
<td>» 24/7 continuous daily monitoring</td>
</tr>
<tr>
<td>• 500+ sanctions/watch lists (including OFAC, EU, UN and HM Treasury, for example)</td>
<td>» Automated report generation – new report generated when there is any material change to the third party (change in ownership, legal action, etc.)</td>
</tr>
<tr>
<td>• PEP (politically exposed persons) lists</td>
<td></td>
</tr>
<tr>
<td>• Exposure to adverse media from 60,000+ global publications</td>
<td></td>
</tr>
<tr>
<td>» Configurable look-back period for data sources for up to 10 years</td>
<td></td>
</tr>
<tr>
<td>» Initial risk assessment rating (Red, Yellow, Green)</td>
<td></td>
</tr>
</tbody>
</table>

**When To Use**

Use to screen large pools of existing third parties. If risks are detected, conduct additional, deeper screening with:

» Multiple Screening Report

» Organizational Questionnaire Screening Report

» Advanced Organizational Report

» Enhanced Due Diligence Analyst-Led Review
## Due Diligence Report Type: *Multiple Screening Report*

### Report Description

**Everything included in the Single Screening Report, PLUS:**

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
  - Sanction/watch lists
  - PEP lists
  - Adverse media

### Report Features

- Analyst-Led Report Review can be added to this report
- Analyst-Led Enhanced Due Diligence can be added to this report

### When To Use

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.)

## Due Diligence Report Type: *Organizational Questionnaire Screening Report*

### Report Description

**Everything included in the Multiple Screening Report, with the additional feature of data collection through administration of a customizable survey:**

- Creation and administration of a customizable, interactive online questionnaire to collect ownership/management/affiliated company information from the third party you want to monitor
  - Customized onboarding questions can be added to the questionnaire to collect important information specific to your organization
  - All collected names are submitted for daily screening for one year

### Report Features

- Analyst-Led Report Review can be added to this report
- Analyst-Led Enhanced Due Diligence can be added to this report

### When To Use

Use when company ownership/management/affiliated company's information needs to be provided by the third party. Also use when your organization wants the answers to specific, customized onboarding questions.

## Due Diligence Report Type: *Advanced Organizational Screening Report*

### Report Description

**Everything included in the Organizational Questionnaire Screening Report with the addition of:**

- Administration of an extensive online questionnaire which captures:
  - Identity verification including name, parent company name, location, and industry code

### Report Features

- Analyst-Led Report Review can be added to this report
- Analyst-Led Enhanced Due Diligence can be added to this report
• 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
  » Background credit check (requires a D&B DUNS number)
  » Credit report data
  » 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
  » Online certification capturing the date as well as the name and signature of the submitting officer for the business partner
  » Automated data analysis
  » Automated risk assessment

**When To Use**

Use when you require an extensive automated background check and Dun & Bradstreet financial ratings.

---

**Analyst Report Review and Enhanced Due Diligence**

Through a partnership with Pacific Strategies and Assessments (PSA), a global leader in analyst-led due diligence, RiskRate clients may request an Analyst-Led Report Review or Analyst-Led Enhanced Due-Diligence for automated report they’ve run. This allows clients to combine the RiskRate automated reports with fully integrated analyst activity tied to a client’s risk policies.

**Due Diligence Report Type: Analyst-Led Report Review**

**Report Description**

Add an Analyst-Led Report Review to any Organizational Screening Reports for:

» 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

**When To Use**

Use when your organization feels a third party needs a more in-depth, human review and internal analyst availability is limited.
Due Diligence Report Type: **Analyst-Led Enhanced Due Diligence Report**

**Report Description**

Add an Analyst-Led, Enhanced Due Diligence Report to reports for:

- Reliable data to screen your highest-risk business partners
- Analyst-led in-country, in-language research and records check against:
  - Litigation
  - Business registry
  - Resolution of credit bureau information by reviewing the credit report online and initiation of a credit bureau investigation when appropriate (Advanced Organizational Background Screening Report only)
  - Adverse media in local language - 15 keywords cross-referenced against up to 5 names; typically these names would be the Subject Company, CEO of the Subject Company, CFO of the Subject Company, and two largest shareholders of the Subject Company.

**When To Use**

Use when internal resources required to conduct enhanced due diligence are limited and when in-language or in-country research is required.