

The NAVEX logo is positioned in the upper left. To its right, a series of three overlapping squares in shades of orange and red are arranged in a descending staircase pattern. The top square is a large, bright orange rectangle. Below it, a smaller, slightly darker orange square is offset to the left. The bottom square is the smallest, in a dark red color, and is further offset to the left.

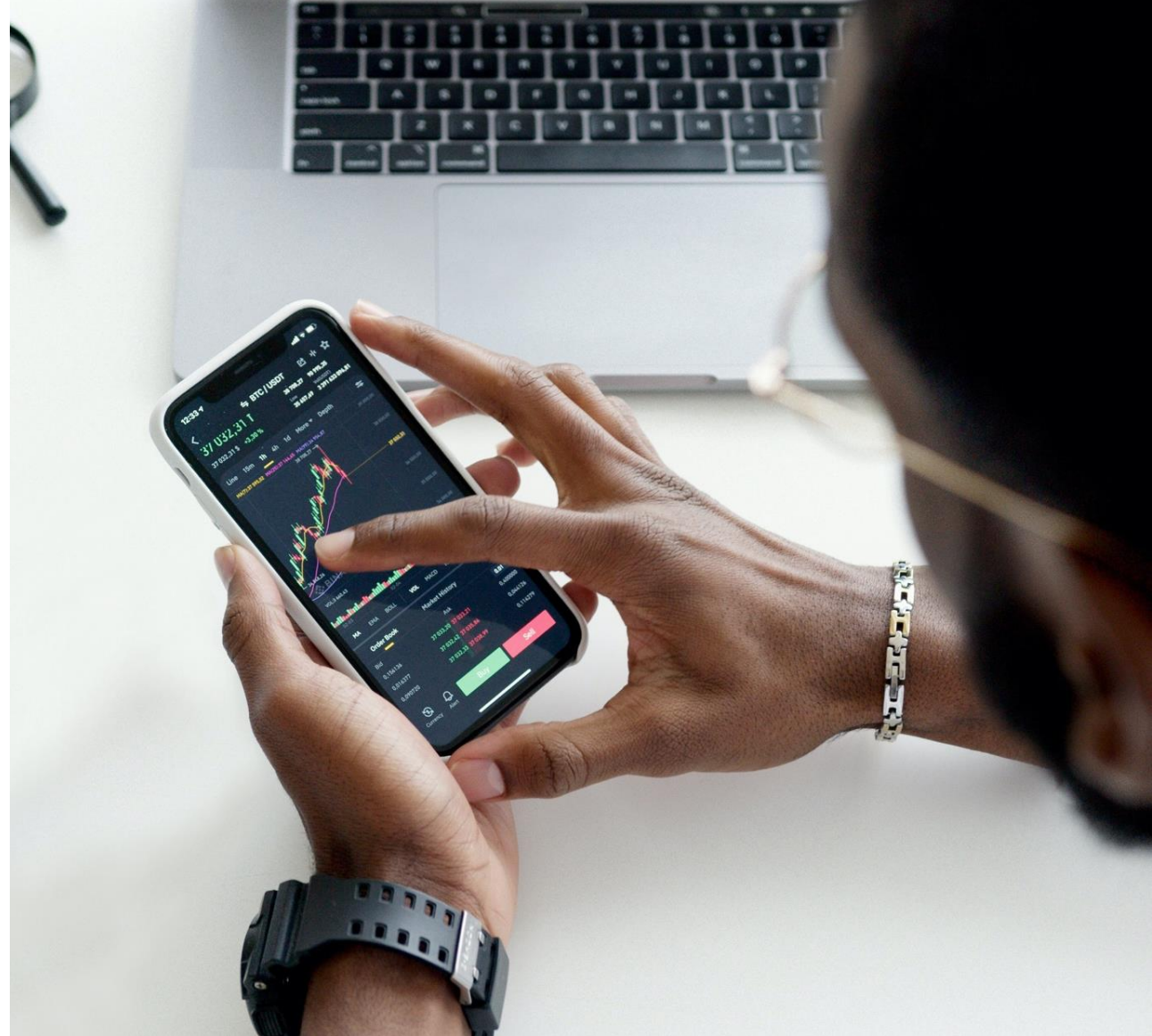
NAVEX™

# NAVEX Customer Town Hall

■ April 7, 2022

# Agenda

- Welcome
- Executive Update
- Q2 Product Update
- ESG on NAVEX One & the ESG Getting Started Toolkit
- Adaptive Learning Course Release
- Maturing your E&C Program
- Q&A
- Looking ahead & Closing Remarks



# Presenters



**Sean Thompson**  
President & COO



**Alison Liaboe**  
VP, Product  
Management



**Susanna Cagle**  
Associate Director,  
Product



**Ingrid Fredeen**  
VP, Senior Product  
Manager



**Kara Rayburn**  
Senior Manager,  
Product Marketing



**Rick Weithas**  
VP, Product Marketing  
(Moderator)

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# NAVEX™

## Introducing NAVEX

- Sean Thompson  
President and Chief Operating Officer





# Confident Risk Management

Our purpose is to:

- Promote an ethical, inclusive and equitable workplace culture for all
- Protect our customers' brands and stakeholders from an ever-changing risk landscape
- Preserve our environment by enabling sustainable business practices

Our vision is to:

- Deliver the world's smartest integrated platform that enables organizations to *predict* and *mitigate* risk

# Today's Risk Complexity

Regulations



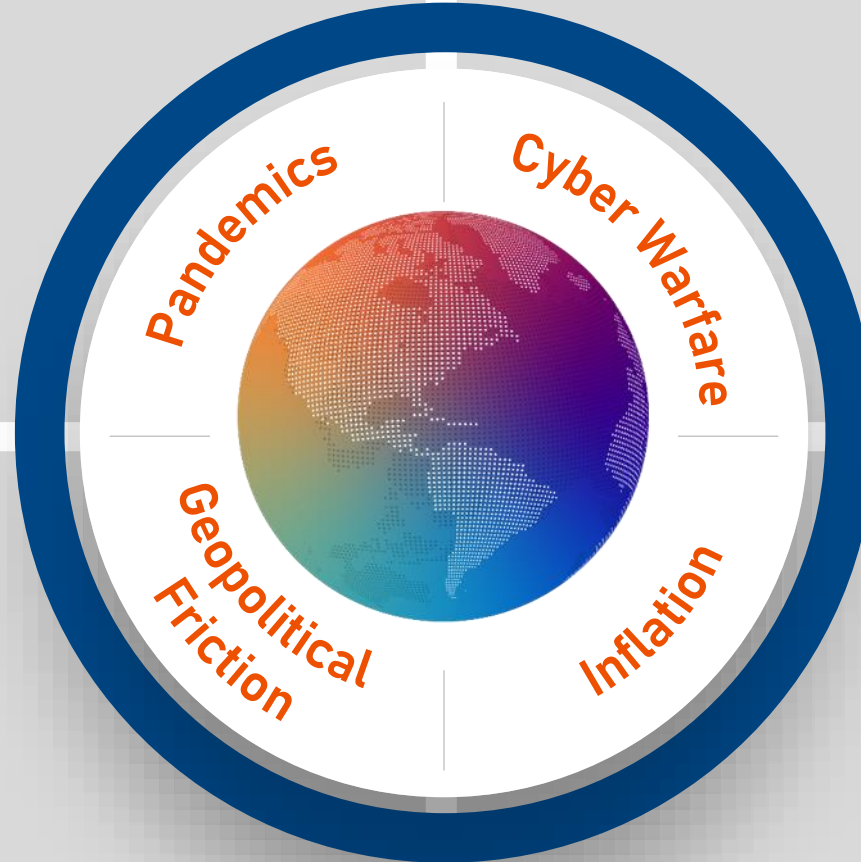
Business



People

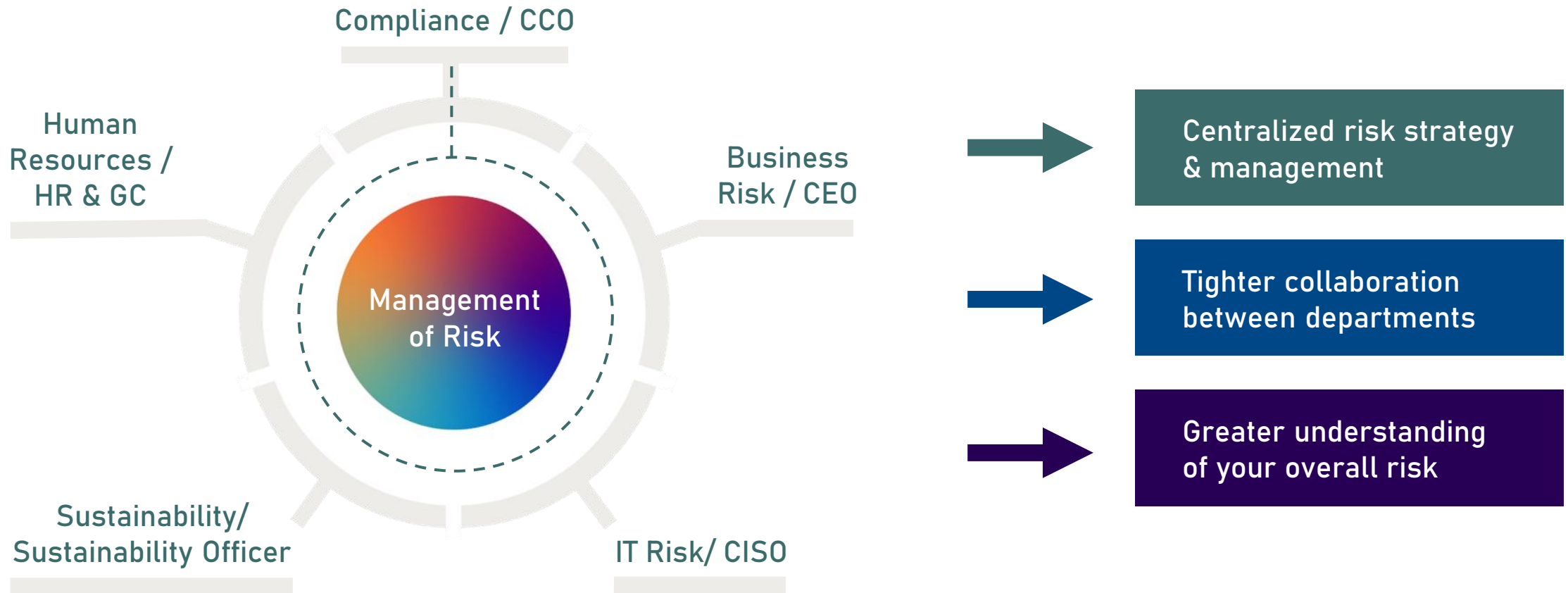


Sustainability



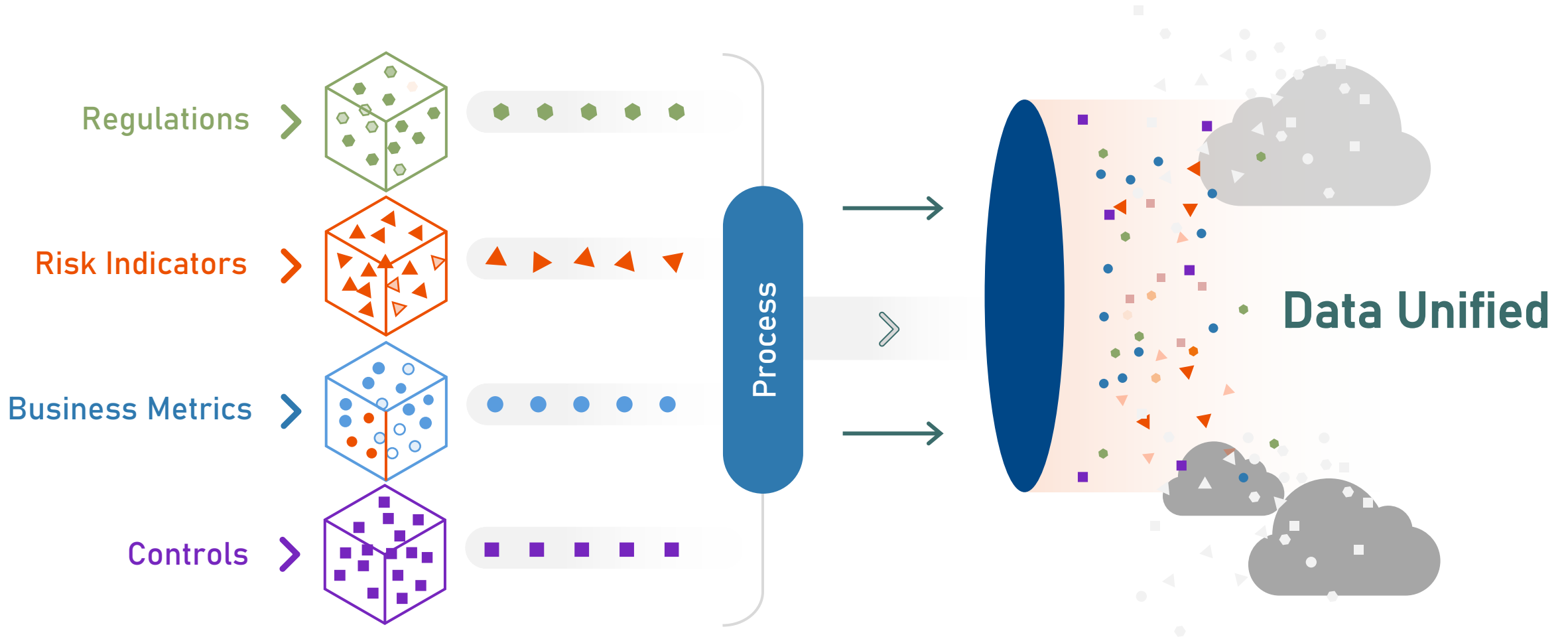
# Organizational Silos

With many owners of risk management, you need enterprise-wide view of risk



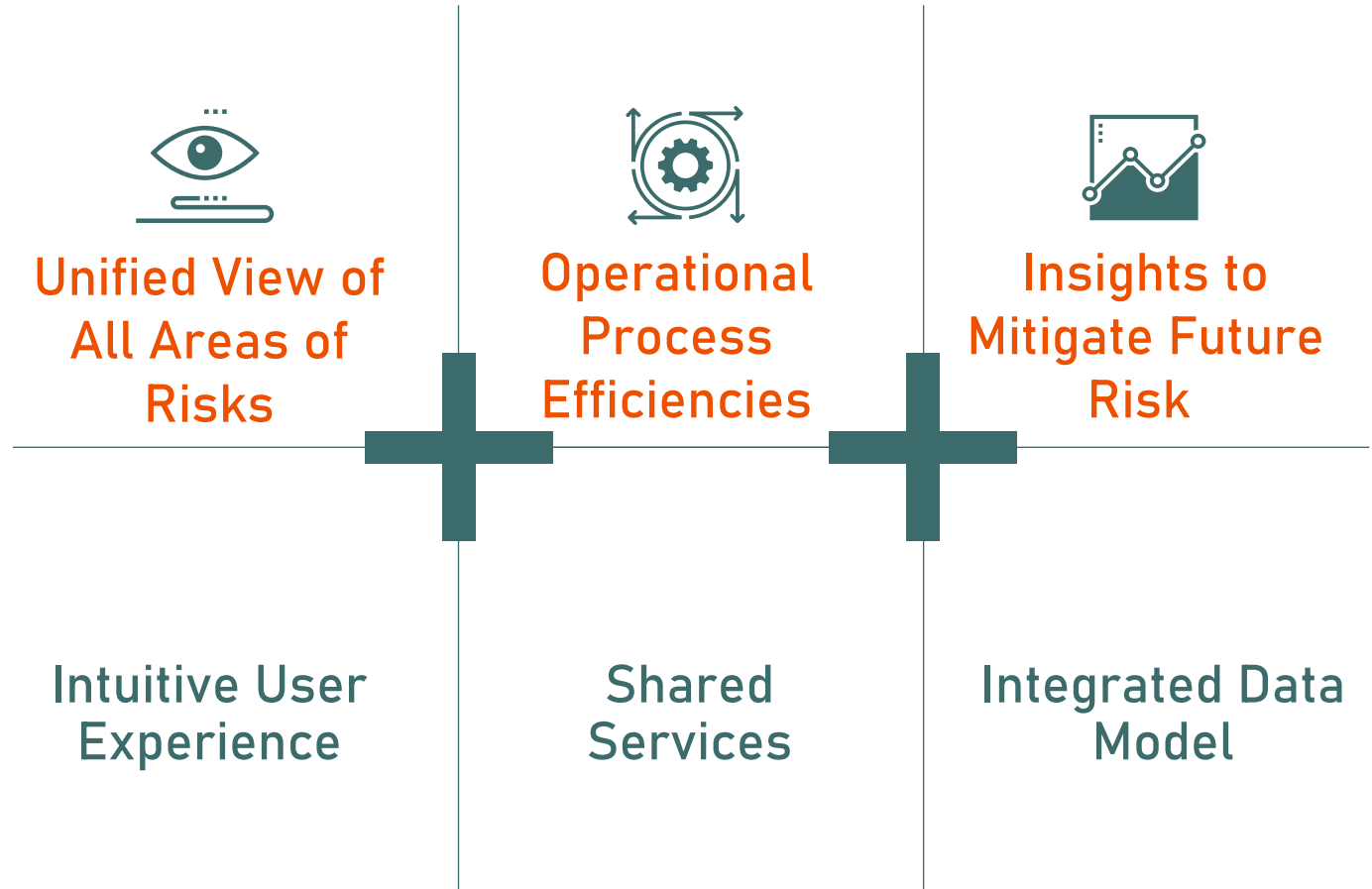
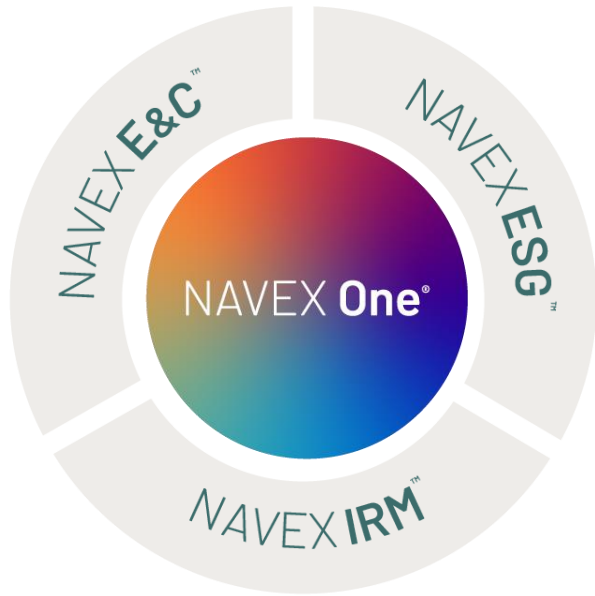
# Data Silos

Risk data is scattered across your organization... you need to harness it in one location



# NAVEX One Platform

Our smart risk and compliance platform manages all types of risk, leverages data and provides actionable insights.



# Our Commitment

NAVEX is your partner in risk & compliance

## Industry Thought Leadership

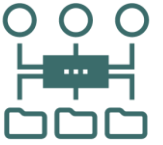
- Benchmarking Reports
- NAVEX Next Conference and Master Classes
- Definitive Guides and How-to tutorials



Industry knowledge to guide you into the future

## Comprehensive Platform

- NAVEX Environmental, Social, and Governance
- NAVEX Ethics & Compliance
- NAVEX Integrated Risk Management



Right solution automates any stage of program maturity

## Innovative Solutions

- Flexible Workflows & Automation
- API's and Integrations
- Real-time statistics, dashboards and insights



Innovation that brings flexibility and insights

## Service & Support

- The NAVEX Community & Academy
- Free Program Maturity Assessment
- Program Maturity Design and Execution



The right support and experience to guide you

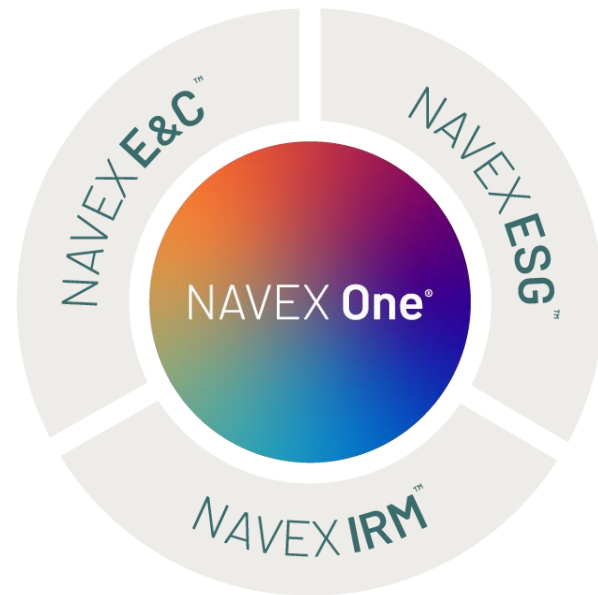
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# NAVEX One® GRC Management Platform

## Benefits



### Unified View of All Areas of Risks

Single source of risk management with innovative solutions to solve every GRC challenge



### Operational Process Efficiencies

Simplify and manage issues faster to accelerate processes and boost productivity



### Insights to Mitigate Future Risk

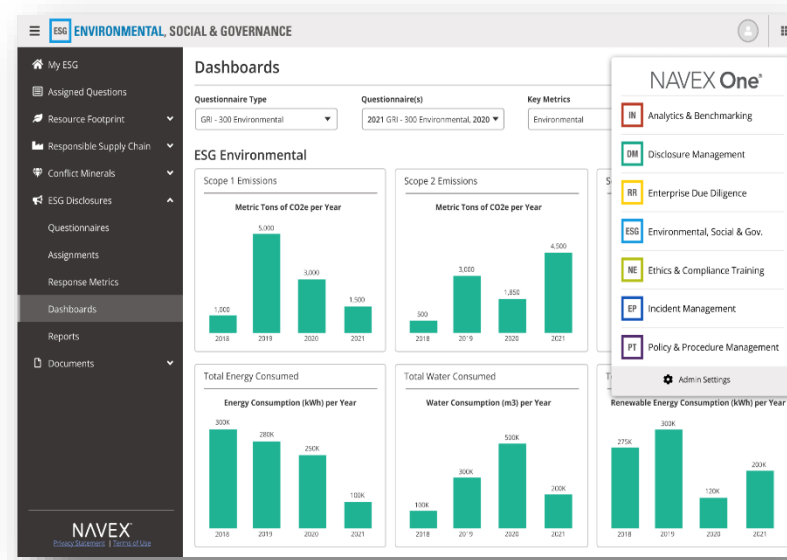
Improve your bottom line with compliance and valuable organizational insights for better decision making

# NAVEX One® GRC Management Platform

How we do it..

## Shared Services

Manage issues, regulations, policies, and controls more effectively to accelerate processes and boost productivity







**Integrated Data Model**  
Integrate solutions and data for users, assessments, and insights to speed program execution and improve

## Intuitive User Experience

Deliver intuitive and easy to use solutions for employees, managers and compliance leaders to improve experience and drive engagement

# NAVEX 2022 Product Roadmap

Vision		
Deliver the world's smartest integrated platform that enables organizations to <u>predict</u> and <u>mitigate</u> risk.		
Release Timing	Now (Q1 / Q2)	2H 2022 Themes
 <b>EthicsPoint</b>	<ul style="list-style-type: none"> <li>Digital Intake</li> <li>Improved communication with anonymous reporters</li> <li>Reporter Visits added to Custom Grids</li> </ul>	<ul style="list-style-type: none"> <li>Next generation integration API and Connectors</li> <li>Automated alerting on case review date</li> <li>Improved Case Workflow with Multiple Outcomes for multiple Issue Types</li> </ul>
 <b>NAVEXEngage</b>	<ul style="list-style-type: none"> <li>Enhanced campaigns</li> <li>Adaptive courses for reduced testing time</li> </ul>	<ul style="list-style-type: none"> <li>Course customizer</li> <li>Reporting for adaptive courses</li> </ul>
 <b>PolicyTech</b>	<ul style="list-style-type: none"> <li>Enhanced campaigns</li> <li>Emergency content library access</li> </ul>	<ul style="list-style-type: none"> <li>Data availability to gauge compliance program health</li> <li>Regulatory Change Management support</li> </ul>
 <b>Conflict of Interest Disclosures</b>	<ul style="list-style-type: none"> <li>Translation support</li> <li>Reporting on campaigns in progress</li> <li>Disclosure assignment</li> <li>Attachment support</li> </ul>	<ul style="list-style-type: none"> <li>Ad hoc (on-demand) disclosures</li> <li>Continued improvement on reporting</li> </ul>
 <b>RiskRate</b>	<ul style="list-style-type: none"> <li>Integration with GRC Insights</li> <li>Self registration for third parties</li> </ul>	<ul style="list-style-type: none"> <li>Enhanced sharing between IRM and RiskRate</li> <li>ESG reporting added to due diligence</li> </ul>

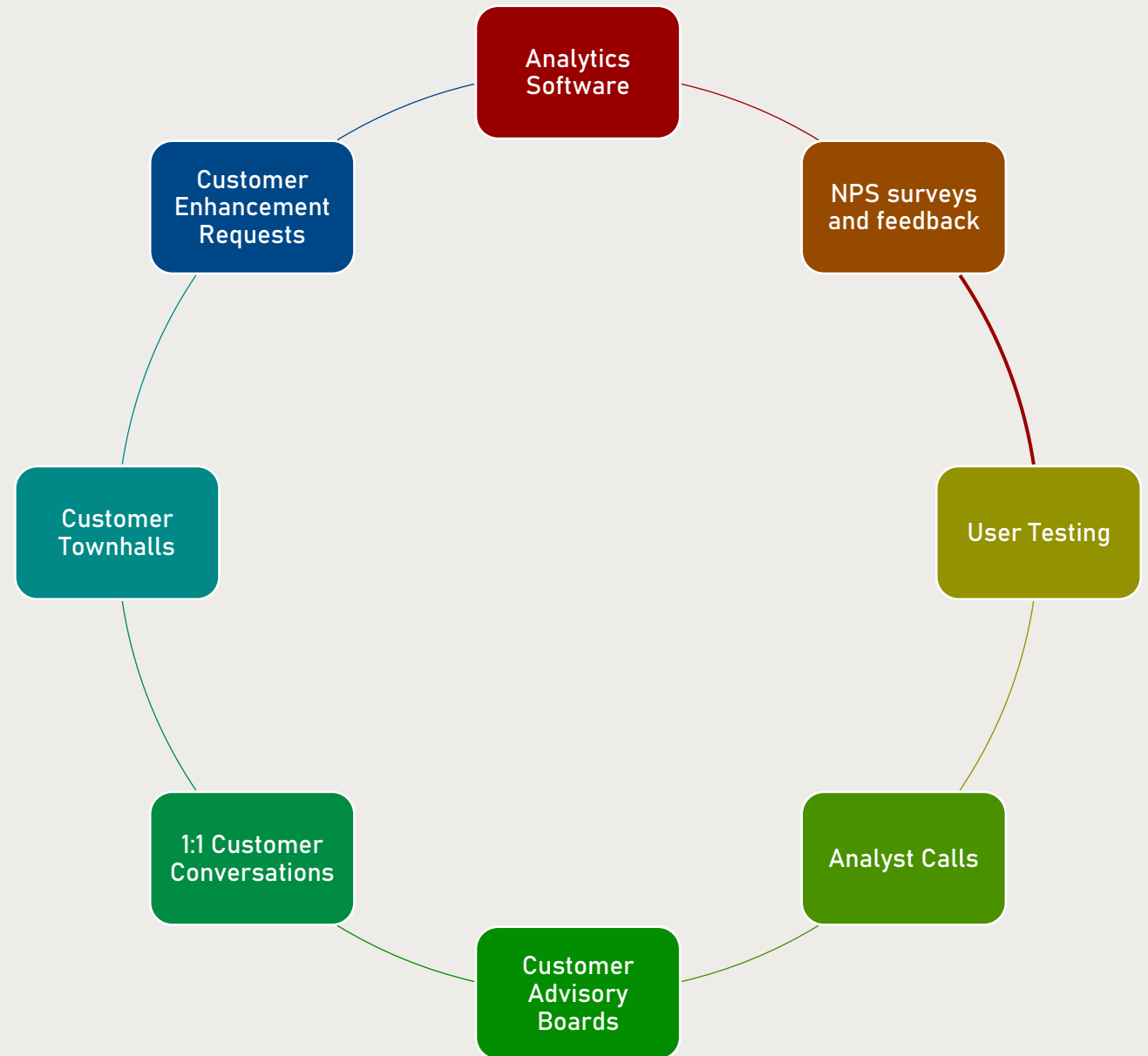
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Release Timing	Now (Q1 / Q2)	2H 2022 Themes
<p><b>NAVEX IRM™</b> IRM</p>	<ul style="list-style-type: none"> <li>• Introduction of the NAVEX Integration Cloud</li> <li>• Simplified user navigation and reporting</li> </ul>	<ul style="list-style-type: none"> <li>• Configurable dashboards, charts and reports</li> <li>• Intra-Navex integrations</li> <li>• Unified assessment strategy</li> <li>• Tailorable off-the-shelf experience (TPRM / ITRM)</li> </ul>
<p><b>NAVEX ESG™</b> ESG</p>	<ul style="list-style-type: none"> <li>• ESG becomes part of NAVEX One</li> <li>• Inclusion of additional Social &amp; Governance data</li> <li>• ESG goal setting and project management</li> </ul>	<ul style="list-style-type: none"> <li>• Automatic data population in ESG Disclosures</li> <li>• Improved reporting and analytics</li> <li>• Tenant self-onboarding of data</li> <li>• European disclosure templates</li> <li>• Materiality matrix to register risks</li> </ul>

**Our opinion,  
while interesting,  
is irrelevant.**

# Market Input...

...is Essential in Building  
Our (and YOUR)  
Product Roadmap



# Share your enhancement requests

The screenshot shows the NAVEX Community website interface. At the top, the NAVEX Community logo is on the left, and navigation links for Home, Learn, System Status, Support, Resources, and Community Registration are on the right. The 'Resources' menu is open, highlighting 'Enhancement Request'. Below the navigation is a dark green banner with the text 'Welcome Joy! How can we help?' and a search bar. A banner for 'NAVEX TECHNICAL INFORMATION UPDATE ALERT' is also visible. The main content area features a 'Request an Enhancement' section with a form. The form includes a 'Request Summary' field, a dropdown for 'What product are you requesting an enhancement for?' (set to 'All Products'), a dropdown for 'What type of feature request is this?' (set to 'I would like to ADD a feature or capability'), and a text area for 'What can we do to help?'. A list of evaluation criteria is provided below the form.

support.navexglobal.com/s/

NAVEX Community

Home Learn System Status Support Resources Community Registration

Enhancement Request

Product Releases

Regulatory Watch

NAVEX Global Blog

Customer Town Hall

Compliance Next

Customer Assurance ...

Sample Policies

Welcome Joy!

How can we help?

Search the knowledge base...

NAVEX TECHNICAL INFORMATION UPDATE ALERT

AN OFFICIAL NAVEX PRODUCT MANAGEMENT COMMUNICATION Customer Support Notification

## Internet Explorer End of Life

Microsoft is ending support for Internet Explorer on June 15, 2022 for all applications after that date.

## Request an Enhancement

We value your partnership with NAVEX Global; your input helps us stay in tune with the ever-evolving needs of our customer base. The Product Management team evaluates all requests using the following criteria:

- Relevance: How will this feature enhancement impact your ability to effectively manage your governance, risk and compliance program?
- Frequency: How many customers have requested the same (or a similar) feature or capability?
- Alignment: Does the feature enhancement align with our overall platform solution strategy aimed at providing best-in-class software solutions?
- Effort: How will the request impact our resources and our current roadmap priorities?

\*Request Summary

\*What product are you requesting an enhancement for?  
All Products

\*What type of feature request is this?  
I would like to ADD a feature or capability

\*What can we do to help?

# What we're hearing

Simple,  
integrated  
solution

- "...it would be so great if we could have all the systems talk to each other. So there's an ethics open line case, I tie it to a policy, I track remediation steps in [LockPath] NAVEX IRM."

Tying 3PDD  
and ESG

- "It's really important to screen for human rights and climate issues."
- "I'm only interested in a product like RiskRate if it includes ESG data."

Analytics

- "Automated analysis is attractive because of the promise of clicking a button to look at what the data is telling me."

# EU Whistleblower Directive



# Transpositions by Country\* (as of April 7, 2022)

Country	Transposed
Austria	
Belgium	
Bulgaria	
Croatia	
Cyprus	Y
Czech Rep.	Draft
Denmark	Y
Estonia	Draft
Finland	
France	Y
Germany	
Greece	
Hungary	
Ireland	Draft

Country	Transposed
Italy	
Latvia	Y
Lithuania	Y
Luxembourg	Draft
Malta	Y
Netherlands	Draft
Poland	Draft
Portugal	Y
Romania	Draft
Slovakia	Draft
Slovenia	
Spain	Draft
Sweden	Y

\* Most member states have not enacted legislation yet, so we don't know how those nations will adhere to or depart from the provisions of the Whistleblower Directive. We only have the transpositions of about one third of EU member states to date

# EU WBD – marketing resources

## ■ Monthly Webinars

- 13 April
- 17 May
- 21 June

### EU Whistleblower Directive: Latest News

Stay on top of all developments regarding the EU Whistleblower Protection Directive with our 30-minute webinar series. This is your chance to gain insight into the trending topics and tell us what you'd like us to cover later in the series.


Watch the first interactive webinar with Navex's expert, Jan Stappers, in March to start exploring some of the most frequently asked questions about the directive, including the guidance for group entities and how to handle anonymous reports.

[Watch On-Demand](#)

#### What you will learn:

- How group entities should deal with reporting at subsidiary level
- What is advised approach for handling anonymous reports
- Guidance for entities in Member States that didn't transpose the Directive yet

Meet our speaker (click for biography)




**Jan Stappers LLM**  
EU Whistleblowing Specialist  
NAVEX

## Workplace Whistleblowing 2022: Everything Your Business Needs to Know

Jan Stappers LLM  
Whistleblowing, A NAVEX Company

[in](#) [t](#) [f](#) [+](#)



**NAVEX**  
Workplace Whistleblowing 2022  
Everything Your Business Needs to Know

### What Is Workplace Whistleblowing?

Whistleblowing in the workplace is a process where an employee, (the whistleblower), reports to an authorised person a certain type of wrongdoing, misconduct or illegal act made by another employee or by the company itself.

"Whistleblowing examples can include criminal activity, such as theft, or unethical or unjust behaviour in the workplace, including racist, sexist or homophobic behaviour." [What is Whistleblowing at Work? | Health Assured](#). However, personal grievances, (including bullying, harassment, discrimination), are not covered by whistleblowing law, unless the case is in public interest.

In the workplace, procedures for handling whistleblowing, and whistleblowers, can vary company to company. "Employees can also submit a report externally to the appropriate industry or government body." [Workplace Whistleblowing: What Your Board Needs to Know](#).


However, as a new EU Whistleblower Protection Directive comes into play, the rules have become more defined and a greater protection across EU countries for whistleblowers has been enforced.

[Subscribe Now!](#)

Enter your email


[Subscribe!](#)

#### MOST RECENT



**NAVEX**  
The SEC's Message for Companies on Cybersecurity: 'Do Better'


Matt Kelly | Apr 04th, 2022



**NAVEX**  
Everything Your Business Needs to Know

Workplace Whistleblowing 2022: Everything Your Business Needs to Know

Jan Stappers LLM | Mar 29th, 2022



**NAVEX**  
Third-Party Breaches Highlight Importance of Managing Risk

Third-Party Breaches

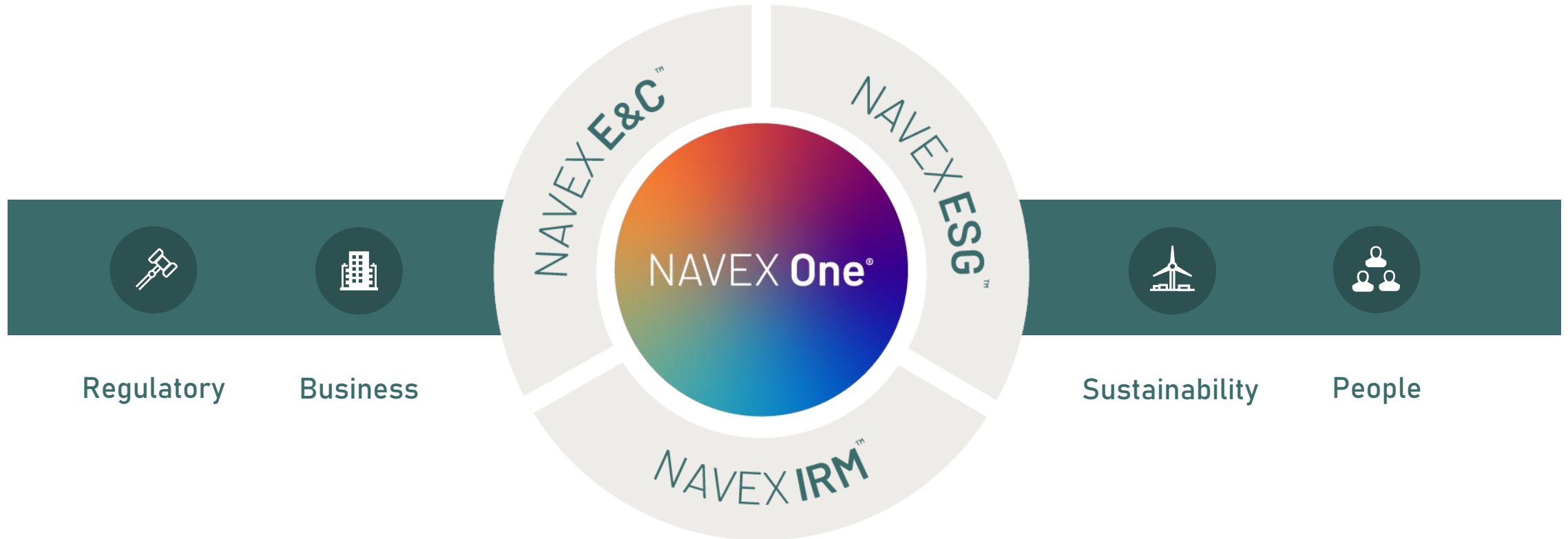
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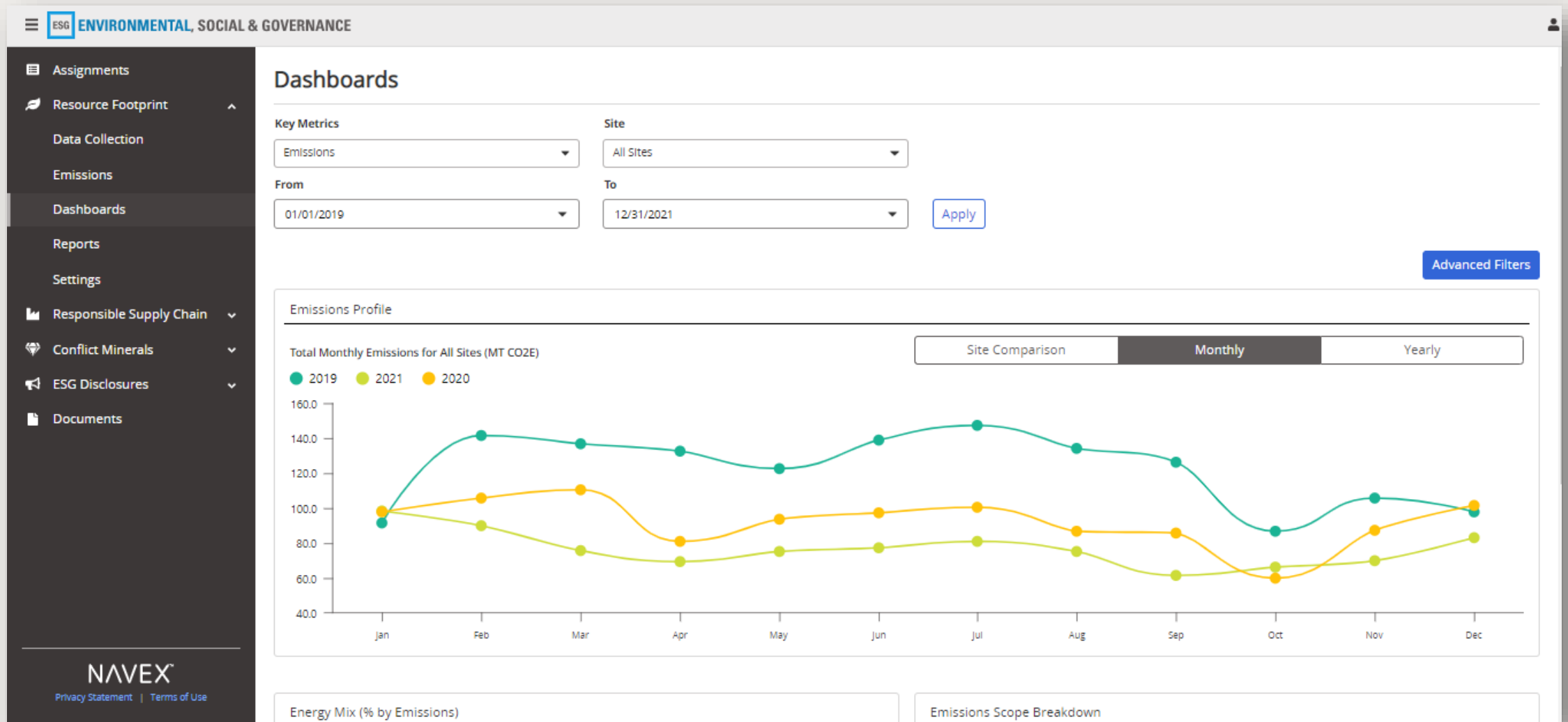


# NAVEX One® GRC Management Platform

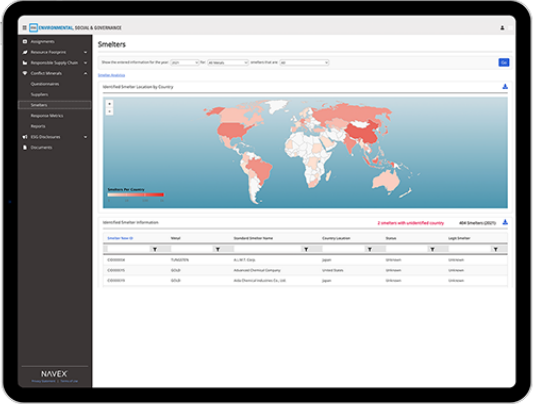
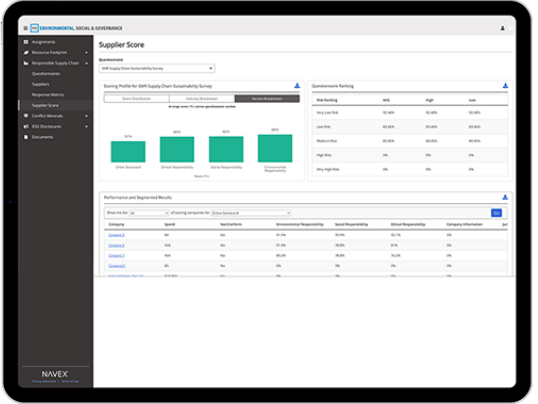
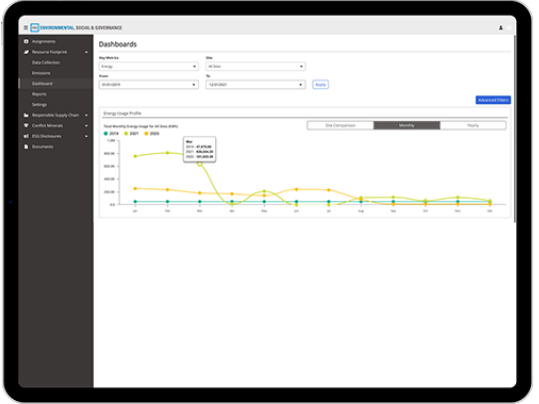
Our smart risk and compliance platform manages all types of risk, leverages data and provides actionable insights



# NAVEX ESG on The NAVEX One Platform



# NAVEX ESG – Incorporate ESG Strategies into Your Corporate DNA



**NAVEX ESG™**  
**Resource Footprint**

- Flexible ESG Data Collection



**NAVEX ESG™**  
**ESG Disclosures**

- Collaborative Reporting



**NAVEX ESG™**  
**Responsible Supply Chain**

- Supplier ESG Engagement



**NAVEX ESG™**  
**Conflict Minerals**

- Conflict Minerals Compliance



**End-to-End ESG Program Management**

# 2022 ESG Drivers



## Investment

\$53 Trillion in forecasted ESG investment by 2025



## Compliance

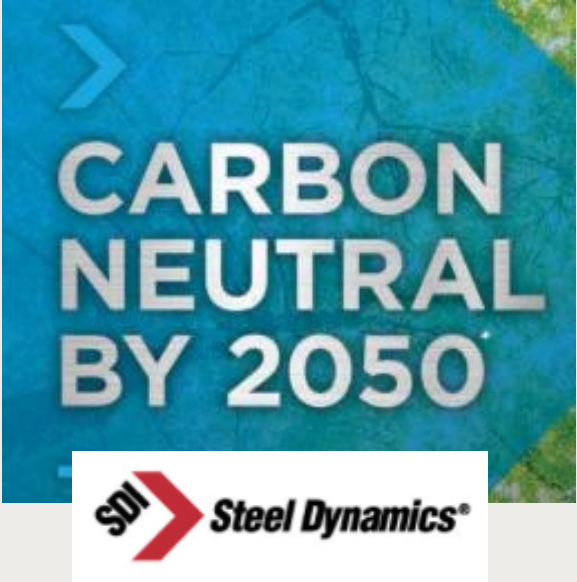
US SEC Unveils Historic Climate Disclosure Rule



## Brand Equity

59% of companies report revenue growth from sustainability initiatives

# Companies are Responding with ESG Transparency



**45%**

representation of women globally at VP level and above

**50%**

representation of women in our global corporate workforce\*

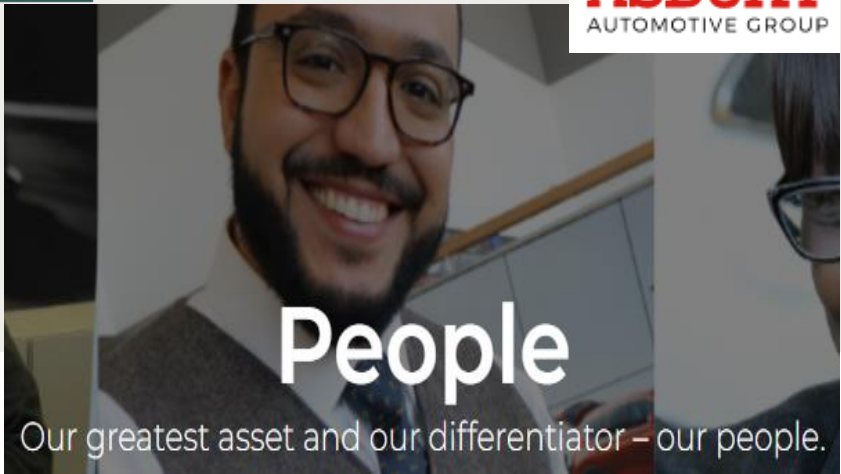
**30%**

representation of racial and ethnic minorities\*\* at Director level and above in the U.S.

**35%**

representation of racial and ethnic minorities\*\* in our U.S. corporate workforce\*

**ASBURY**  
AUTOMOTIVE GROUP



# ESG Continues to Be Top-of-Mind

Connection to Compliance and Risk Strengthens

89%

of compliance managers and senior executives include ESG reporting their compliance program

*Source: NAVEX via OnePoll, n=400*

87%

of management and senior executives plan to retain or increase spending on ESG in 2022

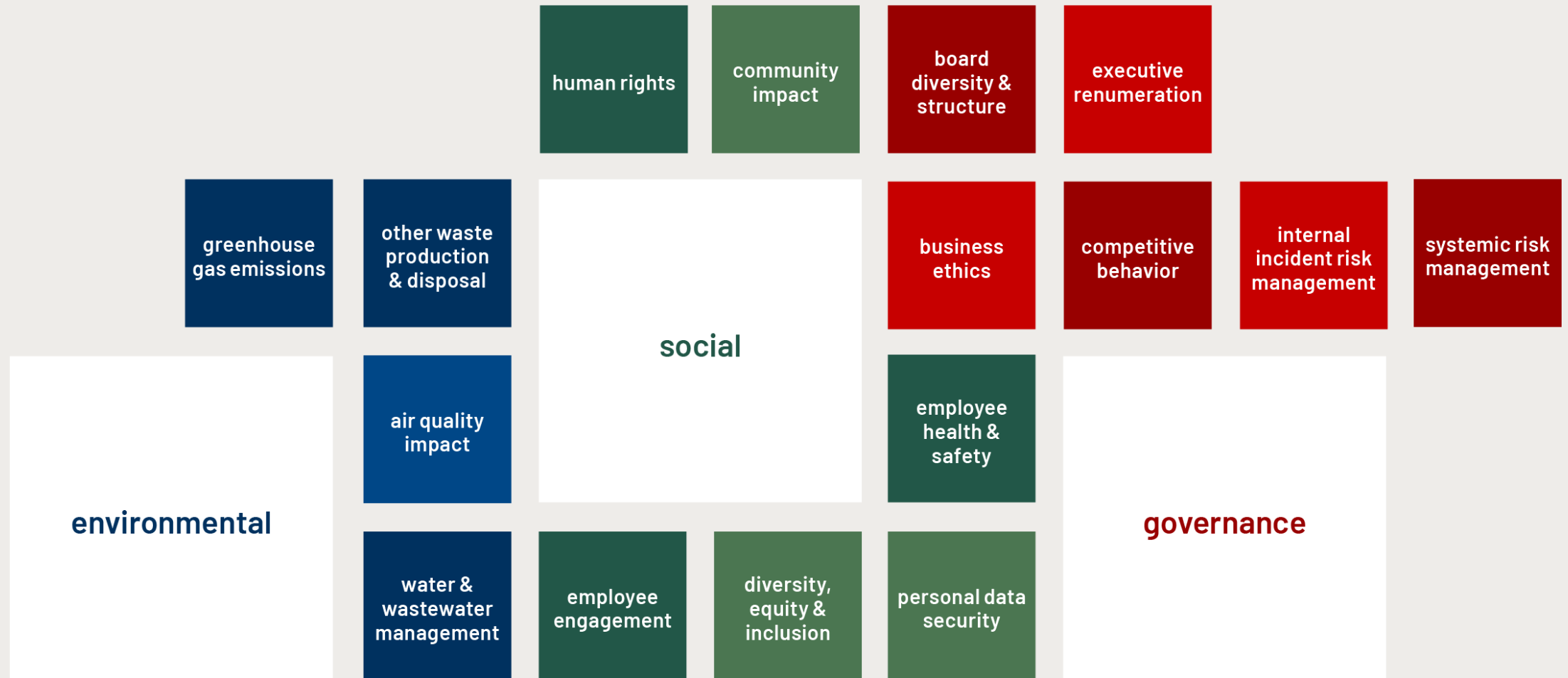
*Source: NAVEX via OnePoll, n=1250*

1/3

say their organizations performance on ESG is “very effective”

*Source: NAVEX via OnePoll, n=1250*

# What ESG Measures



# An ESG Toolkit to Help You Succeed

**NAVEX™**

Checklist

**Creating a Unified ESG Program  
6-Step Checklist for  
Getting Started**

**NAVEX™**

A NAVEX One® Definitive Guide

**Definitive  
Guide to ESG**

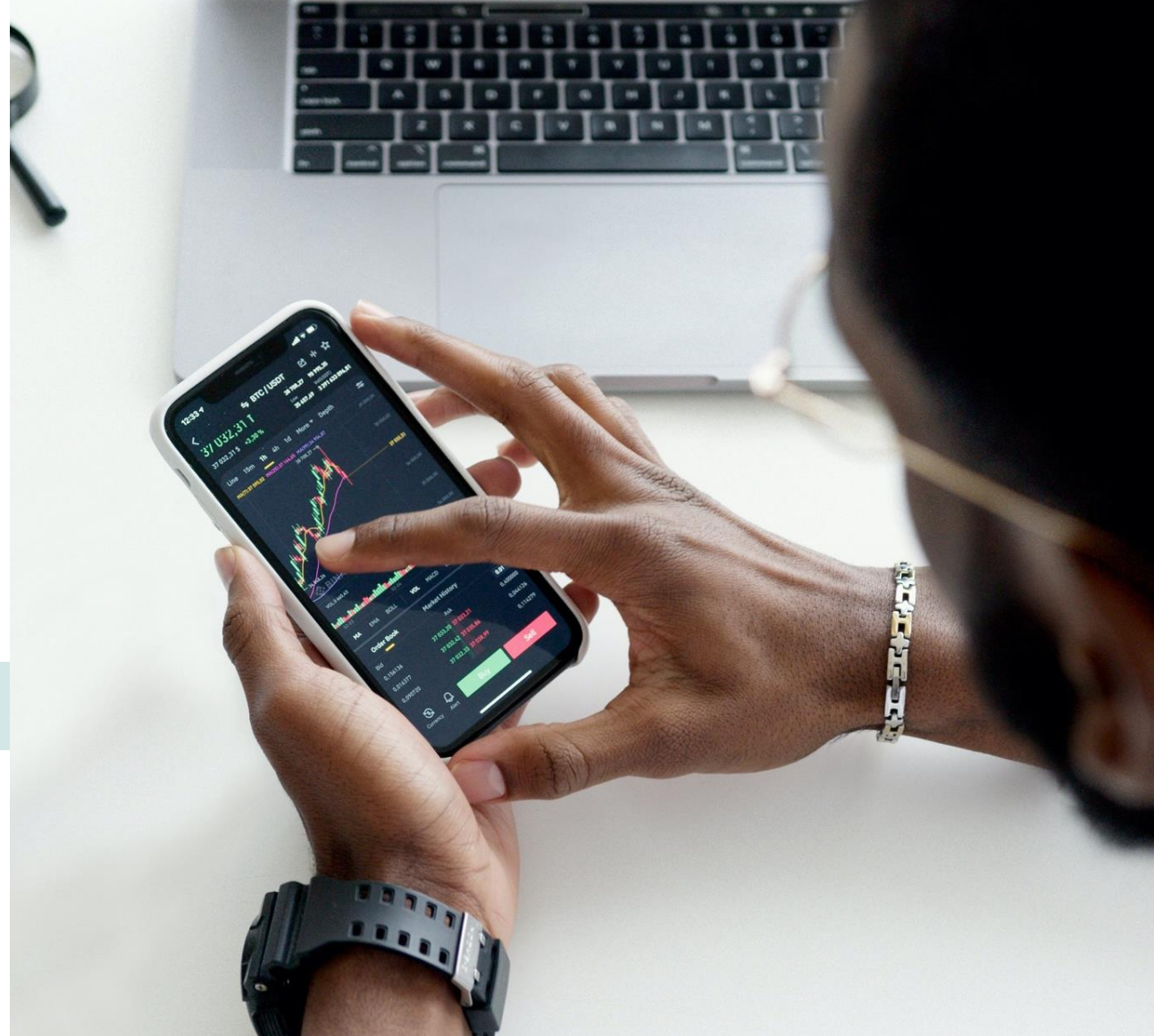
■ Getting Started with ESG

**ESG Maturity Questionnaire**

ESG Foundation	Strongly Disagree	Somewhat Disagree	Undecided / Unsure	Somewhat Agree	Strongly Agree	We use software to help with this
<b>1. Executive Buy-In</b> Our leadership team and board are prioritizing ESG						
<b>2. Incentivization</b> We are clearly incentivized to act on ESG						

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# Today's Compliance Training Programs: Innovation and a Drive Toward Maturity

## What sets training programs apart?

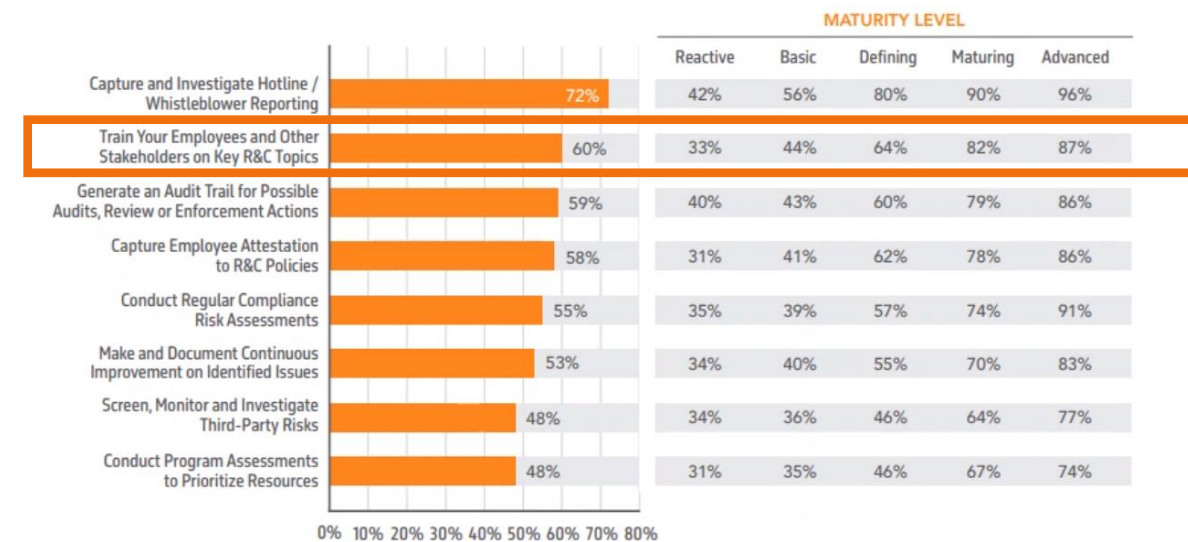
- Delivery of risk-based training
- Curriculum Planning
- Quality of the learning content

## What sets NAVEX apart?

- We focus on building products that help you build a world-class, advanced training program
- We listen to our customers
- We innovate based on customer needs
- We regularly deliver new content and functionality

**Figure 5.12: R&C Activity Performance**

Please rate the performance of your organization's R&C program on the following activities. Shown: Percent answering good / excellent.



Base: All respondents, excluding those who indicated "not supported" or "don't know." n=1,247-1335.

# NAVEX: Driving Your Organization Forward Towards a More Mature and Risk-Based Compliance Program

## Mature Programs Today Deliver Training Based On:

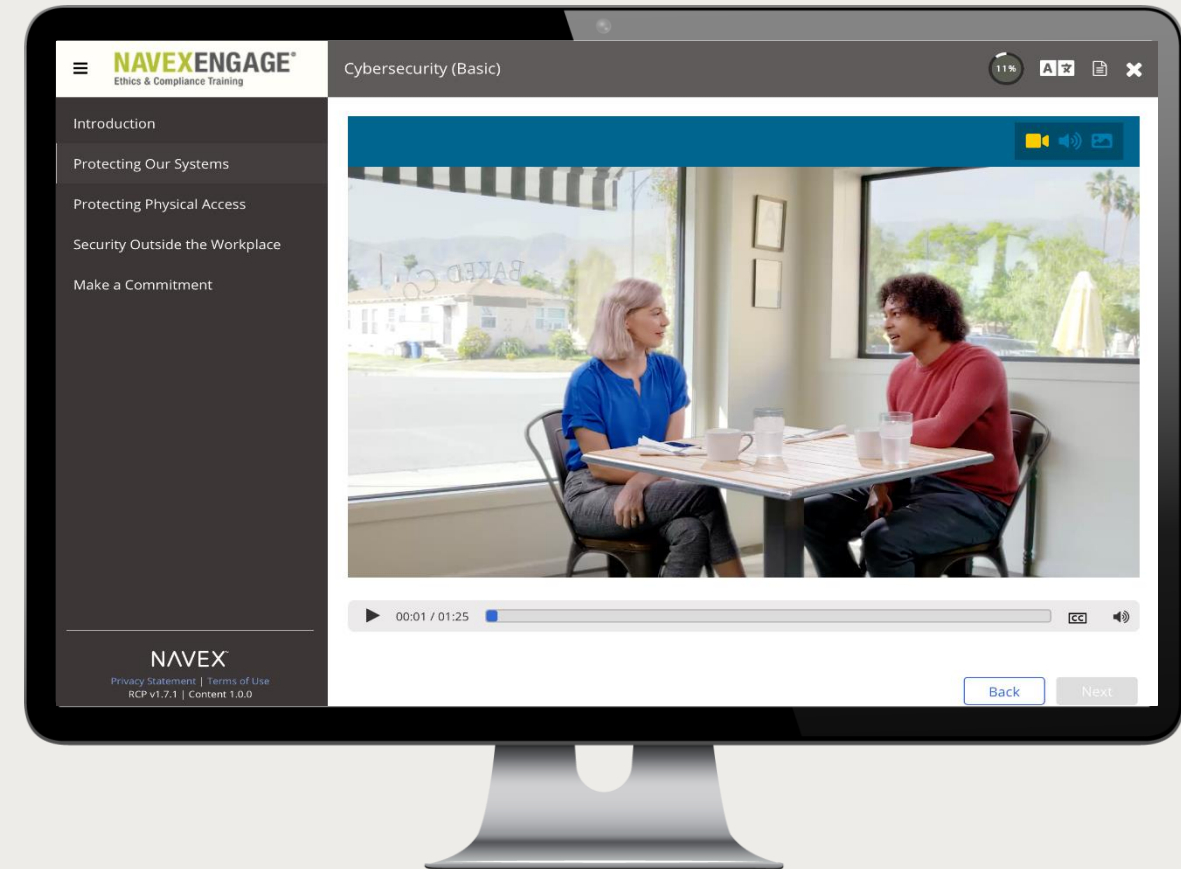
- Organizational Risk Prioritization
- Employee Roles (Manager & Employee at a minimum)

## But What About Employee Knowledge?

- Is training the same for everyone enrolled?
- Or does the course adapt to individual learner knowledge about the topic?

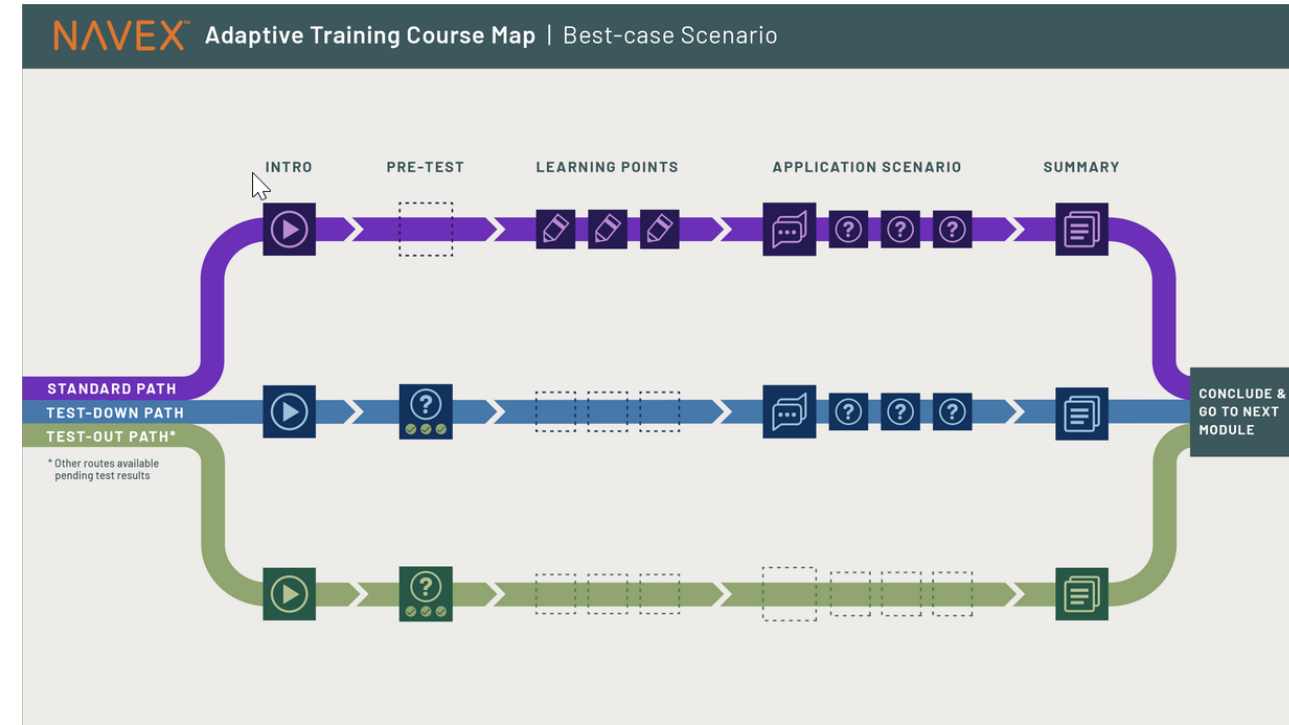
# Introducing NAVEX Adaptive Learning

- Advances program maturity by driving toward a more risk-based program
- Is a better, more-targeted use of employee seat time
- Improves learner engagement with the content
- Reduces learner fatigue experienced by proficient employees
- It is risk-based and focuses learners on content they need more practice with



# NAVEX Engage Adaptive Learning Courses

- Same high-quality content and media, and legal vetting our customers expect
- Rebuilt from the ground up
  - Mobile first design
  - Meets accessibility standards
  - New course player and user experience
  - New content and scenarios
- Your risks vary, so should your course; for each course you pick one Adaptive Learning Path for your learners
  1. Standard Path
  2. Test-Down Path
  3. Test-Out Path



# New NAVEX Adaptive Learning Courses Releasing in 2022\*

May 5, 2022

1. Cyber Security (Basic)
2. Cyber Security (Advanced)
3. Insider Trading
4. Diversity, Equity and Inclusion
5. Conflicts of Interest
6. Global Data Privacy

Summer/Early Fall of 2022

1. Global Data Privacy – GDPR
2. Anti-Trust and Competition Law (Basic)
3. Anti-Trust and Competition Law (Advanced)
4. Confidential Information and Intellectual Property
5. Global Workplace Harassment
6. Disability Discrimination (Basic)
7. Disability Discrimination (Advanced)
8. Employee Medical Privacy

\*Corresponding RICH-C Course will be retired when Adaptive Course is released

# Want to Learn More About NAVEX Adaptive Learning?

- May 5<sup>th</sup> : Official Launch
  - 6 Adaptive Courses available for purchase and implementation
  - Customer materials available, including content maps for new courses
  - Contact NAVEX to get access to a demo course
- Watch for an invite to a May 2022 Webinar on NAVEX Adaptive Learning



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# Program Maturity



## Meet Regulations

Ensure compliance  
with regulations



## Define Culture

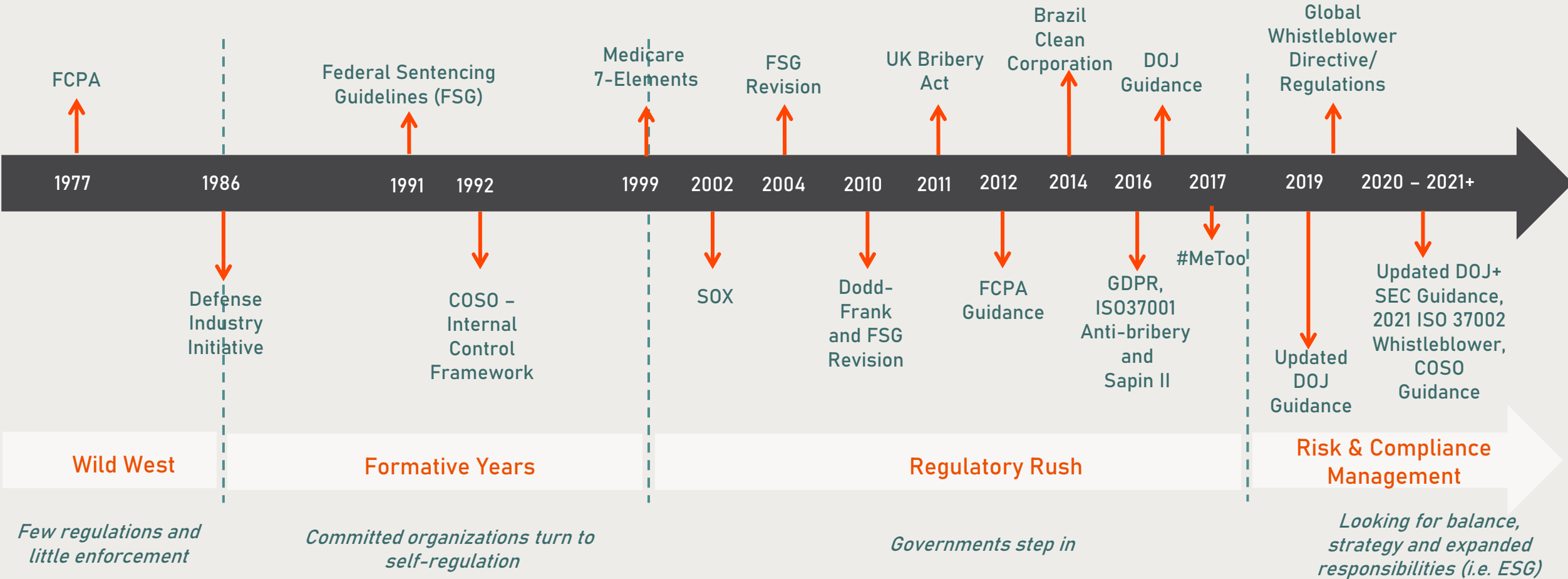
Promote a strong  
culture



## Promote Collaboration

Holistic program  
view

# Global Risk & Compliance Milestones



# “Three Fundamental Questions a Prosecutor Should Ask”

– DOJ, *Evaluation of Corporate Compliance Programs*

1. Is the corporation’s program well designed?
2. Is the program being applied earnestly and in good faith?
3. Does the program work in practice?
4. Are policies searchable and trackable?

In line with the  
DOJ guidance



Organizations can protect themselves  
by demonstrating that an effective  
compliance program is in place.

# Effective E&C Program Elements

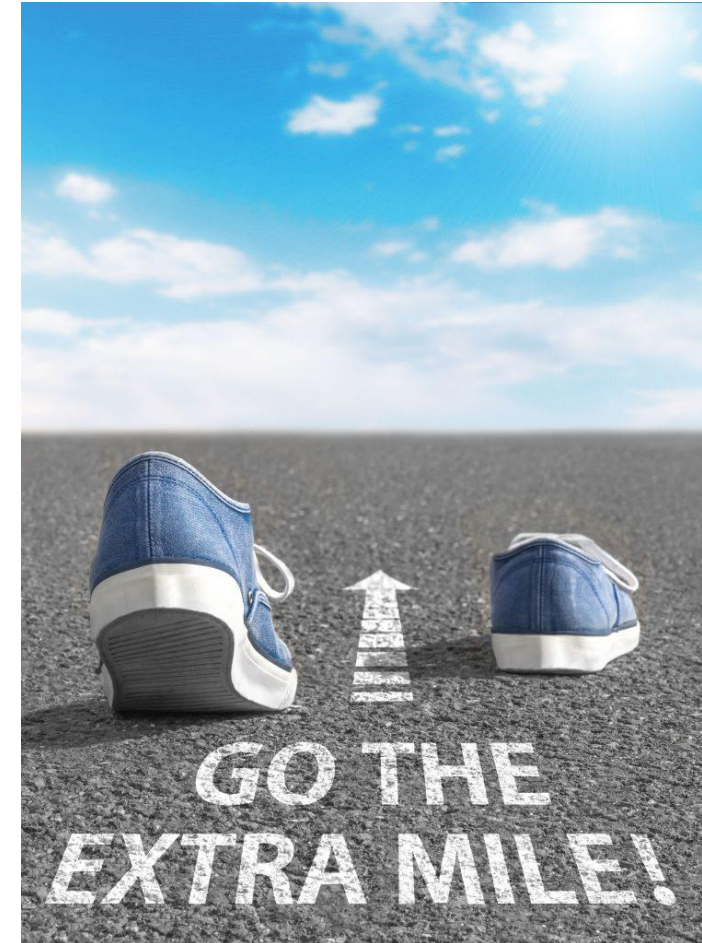


Effective programs enable your employees to engage with your content, which helps your compliance program meet the DOJ's definition of "effective".

# Go the extra mile

Complying with regulations already puts you a step ahead

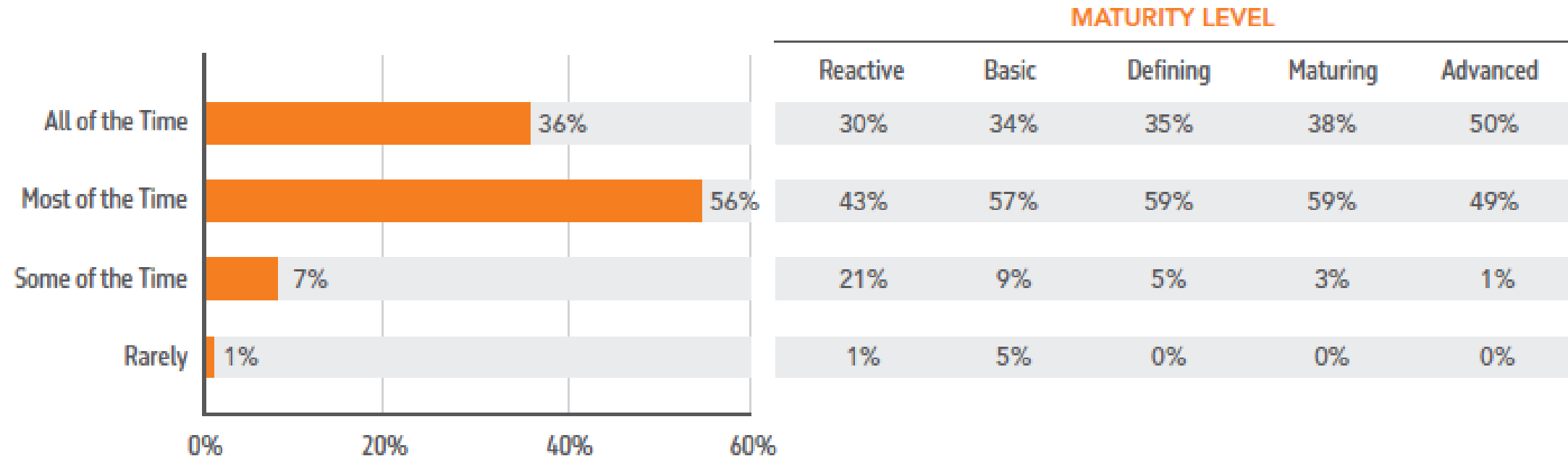
- Looking beyond the traditional approach and checking additional boxes can really take your program the extra mile.



# Define Your Culture

**Figure 5.11: Is Your Organization Ethical?**

Do you feel your organization is ethical? (Please be assured that your response will remain anonymous and reported only in aggregate).



Base: All respondents. n= 1,403.

# Next Level E&C Programs



## Third Party Due Diligence

- Automate, centralize and apply consistent risk criteria and processes to all your third parties

## Training to reinforce your values

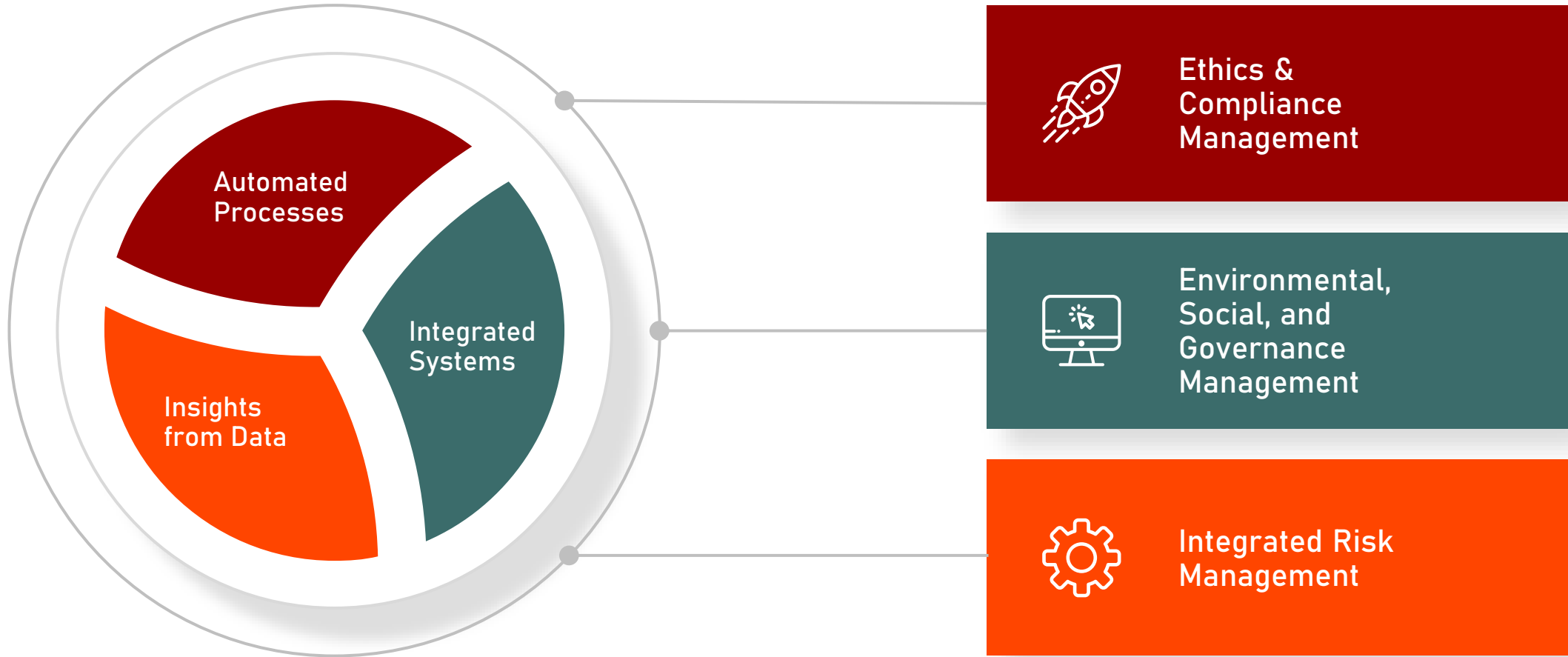
- DEI
- Cyber Security
- Third Parties
- COI Disclosures

## Make sense of your data

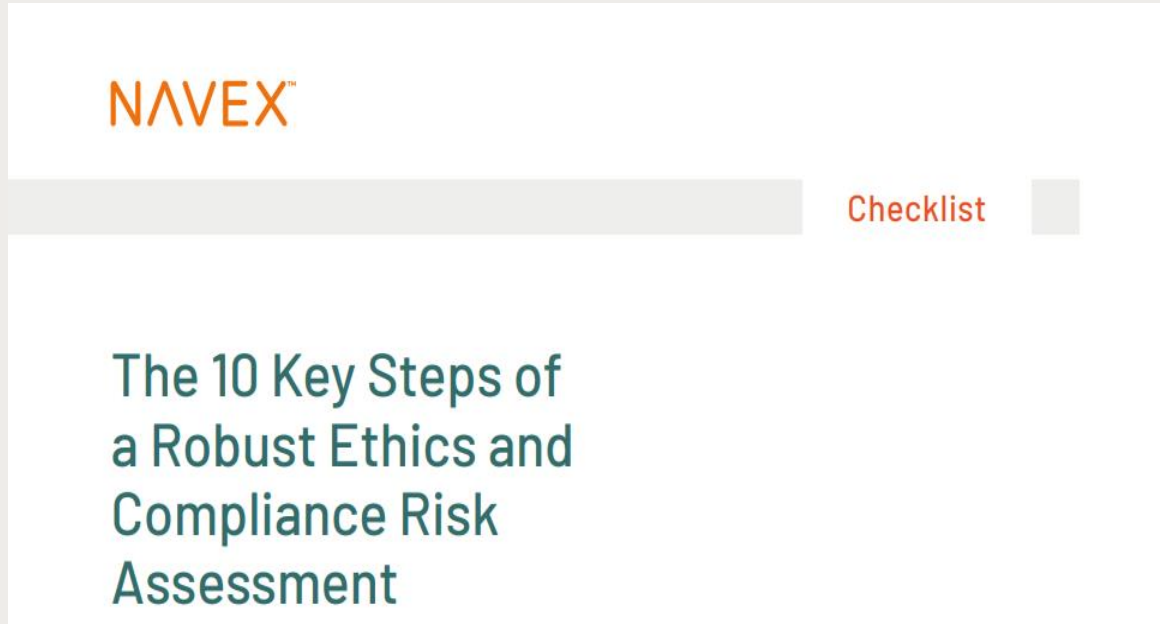
- Identify and surface the data that matters most in order to make faster, more informed decisions to mitigate risk

# Promote Collaboration

## Benchmark GRC Program



# A Toolkit to Help You Succeed



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Checklist

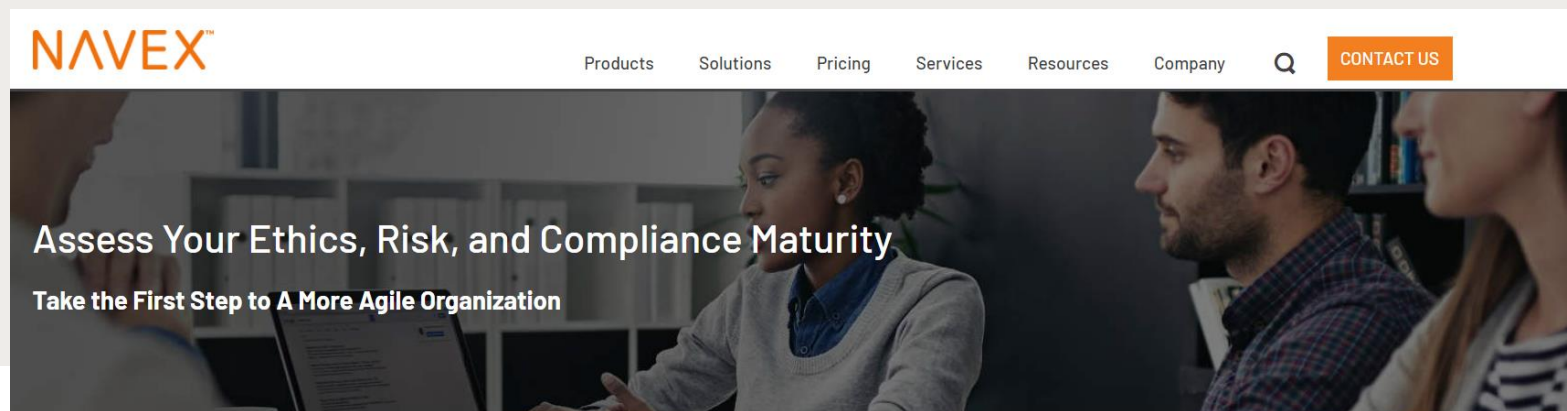
## The 10 Key Steps of a Robust Ethics and Compliance Risk Assessment



Getting Started  
How To Series

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## How to Get Started with Ethics & Compliance



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Products Solutions Pricing Services Resources Company Q CONTACT US

## Assess Your Ethics, Risk, and Compliance Maturity

Take the First Step to A More Agile Organization

# Q&A

Sean Thompson, President & COO

Alison Liaboe, Vice President, Product Management

Susanna Cagle, Associate Director, Product

Jay Nelson, Product Marketing Manager, ESG

Ingrid Fredeen, VP, Senior Product Manager

Kara Rayburn, Senior Manager, Product Marketing



# Agenda

- Welcome
- Executive Update
- Q2 Product Update
- ESG on NAVEX One & the ESG Getting Started Toolkit
- Adaptive Learning Course Release
- Maturing your E&C Program
- Q&A
- Looking ahead & Closing Remarks



# 2022 Customer Excellence Awards



Customer  
Excellence  
Awards

Nominations open May 11 and will close July 29, 2022

All NAVEX customers are welcome to nominate their program.

Stay tuned for more details and a public announcement on May 11.



Thank  
you.

NAVEX™

