



Our History

For over 35 years, NAVEX has been at the forefront of championing improvements in ethics and compliance programs. Our journey began in 2012, when we emerged from a merger of longstanding industry leaders Employment Law Training, Inc. (ELT), EthicsPoint, Inc., Global Compliance Services, Inc. (GCS), PolicyTech Technologies International, Inc. Since then, our solution offering has steadily grown, a testament to our enduring commitment to our mission.

Initially named NAVEX Global, in 2021, we simply became known to the market as NAVEX. Our goal remains unchanged, however, as we work across the globe with organizations to provide software and expertise that protects their people, reputations, and bottom line.

What does “NAVEX” mean?

The prefix 'NAV' refers to how we strive to help organizations navigate the complex and growing list of (compliance) issues facing them today and in the future. The EX alludes to our unmatched expertise and experience in the ethics and compliance space.

Online Ethics and Compliance Training

NAVEX's training offering is a culmination of three rich histories. The integration of solutions from GCS, ELT, and The Network has empowered NAVEX to curate a library of topics, titles, and formats that is unparalleled in the industry. This comprehensive range ensures that we can meet all your compliance training needs, no matter how diverse or specific they may be.

GCS, a pioneer in ethics and compliance training, established its leadership by offering courses developed by its in-house team of experts. This team, comprising former Department of Justice lawyers, Chief Compliance Officers, and seasoned attorneys, brings a wealth of experience and knowledge to the table, inspiring confidence in the quality of our training.

ELT was born out of the largest and most experienced employment law firm in the world, Littler Mendelson, to help clients train employees on ethics and compliance issues. Drawing from leading case law and years of experience “in the trenches,” its content experts earned a reputation for training that could withstand the most intense jury scrutiny.

The Network introduced a new look and feel for online training with a contemporary, visual storytelling approach and vector-animated style. Its library of courseware included branching scenarios, interactive exercises, and assessments designed to deliver high-impact messaging on key ethics and compliance topics.

Chosen by the Association of Corporate Counsel (ACC) as its exclusive Alliance Partner for compliance training, NAVEXEngage™, NAVEX One's branded training solution, is the industry-leading offering that serves millions of employees in organizations ranging from Fortune 500 corporations to universities and non-profit organizations, and to local, state, and federal governments.

Whistleblowing and Incident Management Software

Our whistleblower and incident management offering started with the merger of three of the largest, most established hotline and incident management companies, GCS, EthicsPoint, Inc., and The Network. We added in a European-founded solution called WhistleB which now makes NAVEX the leading offering and gives our clients more choice when it comes to decisions around their hotline and incident management needs.



Initial Products:

- Founded in 1981 as the Pinkerton Compliance Services division of Pinkerton, Inc., GCS was the first and largest provider of hotline reporting services and advanced case management. It originally focused on providing defense contractors with an anonymous tool to disclose fraud and other forms of wrongdoing. Pinkerton Compliance Services was subsequently acquired and rebranded Global Compliance Services, and over the ensuing decades, GCS diversified its product offering to include online and in-person training, consulting services, benchmarking and reporting services, and a newly introduced third-party risk product.
- EthicsPoint, Inc. helped organizations align their Governance, Risk, and Compliance (GRC) processes with overall business strategy and corporate culture/reputation by proactively revealing risk-related trends via the collection, management, and understanding of their GRC-related data. In 2005, EthicsPoint, Inc. delivered a new Case Management solution, Issue and Event Manager (IEM), which featured advanced case management products IEM Professional and IEM Enterprise, enabling organizations to manage their investigations easily and effectively across the enterprise with the scalability and flexibility to meet the needs of Fortune 100 multinational companies to single-location small businesses.

These products were renamed to EthicsPoint Case Management (EPCM) because of our merger in 2012 and is known today as NAVEX One EthicsPoint. Today, three versions of EthicsPoint are currently available for purchase, Enterprise, Professional, Essentials, and Foundation.

Advancements in our incident management system have focused on security, scalability, interoperability, and integration. Recent enhancements include self-administration capabilities, adaptive case templates, configurable notifications, and the ability to support intake beyond the capture of case data. In the context of the NAVEX One platform, EthicsPoint supports integration with policy management, and client-managed Single Sign-on (SSO).

In 2015, NAVEX added The Network to our solution set. This company grew from a hotline organization to a full-service GRC provider, supporting leading solutions for reporting critical workplace issues around the globe with innovative, award-winning software solutions to educate employees on expected behavior and help ethics and compliance professionals mitigate and manage the top risks facing their organizations.

In response to the demand for automated compliance solutions growing worldwide – and particularly in Europe – NAVEX acquired WhistleB, a whistleblowing solution and incident management software provider based in Stockholm, Sweden. This purchase was due in large part to the proliferation of regulatory requirements, including the EU Whistleblower Protection Directive, GDPR, and emerging standards such as the ISO 37002 whistleblowing management system guidelines. Founded in 2011, WhistleB offers an integrated whistleblowing case management system with reporting options in over 60 languages and is used by customers in more than 150 countries. This solution delivers a whistleblower system that is easy to implement and easy to use.

Contact Centers

Over the past few years process enhancements at our contact centers have included added structure to the information-gathering process, more actionable reporting, and improved verification of the information collected. In addition, NAVEX has Global Telephony Packages offering a Standard pre-configured option, which has lower set-up cost and faster speed to market, as well as a Custom configurable package, which has advanced features and customizations all at a competitive price point. A European-based contact center was also created at the beginning of 2013 to service our EMEA clients.



Today, as the largest whistleblowing and incident management software provider in the world, NAVEX's expertise—and resulting reputation—in hotline/whistleblower management is second to none. We receive and process more product requests from our 12,500+ global clients than anyone else, and as a result, our products and related services better reflect the needs of the market than any other solution.

Policy and Procedure Management Software

PolicyTech Technologies International, Inc. started as a subsidiary of Imaginality Productions Inc., which was founded in 1996. Their innovative product, PolicyTech®, was built from the ground up to address US hospitals and healthcare organizations' demanding policy and procedure management needs. The first version of PolicyTech was released to the public in October 2002. PolicyTech's value was quickly realized by other US industries, and as the overseas regulatory environment has become more stringent, it has quickly expanded globally. In 2008, it earned the exclusive endorsement of the American Hospital Association (AHA), a coveted award that it has maintained ever since.

The company joined the NAVEX family in October 2012, along with ELT, EthicsPoint, Inc., and GCS. Today, NAVEX is the leading provider of policy and procedure management software in the Ethics and Compliance technology industry. NAVEX One PolicyTech policy and procedure management is recognized as the most advanced solution available, with over 14 years of product maturity incorporating feedback from a client base now exceeding 1,200.

Third-Party Screening and Monitoring Software

Our Third-Party Risk Management tool was first released on July 1st, 2013, as "3P." RiskRate™ screening and monitoring was developed by NAVEX to provide an automated and affordable platform to assess, mitigate and continually monitor vendors and agents across key risk categories. NAVEX One RiskRate is a third-party screening and monitoring solution that incorporates financial information on more than 200 million companies around the world, screens 120,000 publications for adverse media, and captures information on more than 500 sanctions and watch lists worldwide. RiskRate enables organizations to easily deploy a standardized, risk-based approach to third-party due diligence across business units and geographies while driving down the overall costs of third-party risk management through the efficiencies of automation and workflow.

NAVEX utilizes Regulatory Data Corp (www.rdc.com) for negative information, Dun and Bradstreet (www.dnb.com) for credit bureau and Pacific Strategies and Assessments (www.psagroup.com) for fully integrated analyst due diligence research. As substantial organizations with global reach, they have been chosen for reliability, consistency, and lower costs imposed on our clients. They all have solid reputations, are contractually bound by significant performance standards and the service levels are contractual.

RiskRate is the only web-based solution built specifically to help organizations manage the complexity of third-party oversight and mitigate risk in this high-profile area. NAVEX One RiskRate automates your third-party screening and monitoring and due diligence business processes and activities within a centralized, secure, and auditable SaaS platform.

Disclosure Management Software

To meet a need from new regulations and organizational risk management to manage conflicts of interest, gifts and entertainment, and other disclosures, in December of 2019, NAVEX developed our first in-house solution called NAVEX One Disclosure Management. This software delivers a streamlined solution for organizations to gather, track, and analyze employee-based conflict of interest risk. NAVEX One Disclosure Management also provides the necessary reporting and analytics to help communicate and mitigate the potential risk associated with these disclosures. Since its launch in 2019, Disclosure Management has added valuable tools like on-demand disclosures and integration with the NAVEX One platform, enabling



disclosure questionnaire data to be included in the analytics of broader risk and compliance programs or campaigns.

Compliance Management Software

In response to a growing need for organizations to ensure their compliance programs are meeting guidelines and regulations, NAVEX launched a new suite of products in the compliance management space. The goal is to provide systematic processes organizations can follow to set strategies and prove adherence to laws, regulations, standards, and ethics.

In April 2023, NAVEX launched its first solution in this category, Regulatory Compliance Management: Global Whistleblowing, which helps organizations identify global whistleblowing regulations that apply to them. This solution offers a personalized database containing all the relevant laws for the company's industry and location. It also provides customized analysis to offer specialized insights that fit the unique needs of the organization. Finally, it offers expert guidance to assess how well the company's program structures are performing.

On May 15th, 2024, a second solution was launched known as NAVEX Compliance Program Management: DOJ guidance. This solution provides a step-by-step guide to help companies build a DOJ-compliant program. It accomplishes this by identifying gaps in its program through mapping it against the latest DOJ guidelines, centralizing evidence, tracking activities, and managing compliance in an easy-to-use platform. The solution also includes pre-populated reports and quick-to-access data that help companies avoid frantic preparation and stay ready. The strategies developed from the solution can then help them align with internal policies, implement measures to meet goals, and continuously monitor to address non-compliance.

Integrated Risk Management

In a move for a more holistic solution offering to GRC program development that includes compliance and integrated risk management, NAVEX acquired Lockpath, Inc., a recognized leader in Integrated Risk Management (IRM) software solutions, in August 2019. Founded in 2010, Lockpath was developed to deliver cloud-based (SaaS) enterprise software solutions that help organizations become more resilient through integrated risk management. The company's Keylight platform, later named NAVEX IRM, is a straightforward, agile IRM solution that addresses strategic, operational, and IT risks for customers of varying complexity and sizes, ranging from small firms to Fortune 10 enterprise companies. NAVEX IRM is recognized in the Gartner® Integrated Risk Management Magic Quadrant as a Leader and is also cited in several other Gartner reports.

Environmental, Social, and Governance Management Software

In October 2020, NAVEX acquired the assets of CSRware, a pioneer in the Environmental, Social, and Governance (ESG) software market. This SaaS-based solution, renamed NAVEX ESG, helps corporations aggregate, calculate, and report on customizable sets of ESG metrics. The software supports environmental sustainability, responsible sourcing, and conflict mineral management—a key solution required by publicly traded companies. In April of 2022, NAVEX integrated NAVEX ESG into the NAVEX One platform, enabling organizations to have holistic GRC management and reporting programs that include environmental and social factors.

Advisory Services

NAVEX Advisory Services was formed in 1993 (as the Ethical Leadership Group) with a straightforward mission: to help companies develop and promote cultures of integrity. Since then, Advisory Services has become known throughout the industry as the leading ethics and compliance group. NAVEX's expert Advisory Services team provides Code of Conduct development services and Board of Directors training to



the full range of our clients. The team have all been Chief Compliance Officers or have served as prosecutors for the US Department of Justice. Their experience includes serving on the U.S. Sentencing Commission Advisory Panel that guided a rewrite of the Sentencing Guidelines in 2004 and regularly acting as corporate monitors on behalf of the U.S. government.

Summary

Today, NAVEX offers the most comprehensive and integrated portfolio of products and services in the ethics and compliance industry. In short, we're integrating technology, content, expertise, and deep data capabilities to yield predictive intelligence that makes businesses run better. NAVEX's ethics and compliance solutions – including incident and policy and procedure management software, global hotline solutions, third-party risk management software, COI management, online and live compliance training, as well as our ESG management solutions – can be delivered via our NAVEX One Platform that provides robust reporting and analytics.

With APIs and integrations, the NAVEX One Platform includes our integrated risk management software to add further context and controls for organizations looking to manage risk from business processes. Add in our professional services, when combined with our software, provide customers with more valuable, actionable information to support the development of proactive programs that minimize risk, increase efficiency, and foster meaningful behavioral change.