

Vetting Specification for External Staff PHILIPPINES

Valid as of 20 January 2021

| Current State | | | | |
|--|---|---|---|---------------|
| Check | Sources / Tools | Requirement / Validation | Successful Vetting Check Criteria | Timing |
| Identity Check | | This check is the responsibility of the supplier. | | Pre-UBS start |
| Right to work verification | | This check is the responsibility of the supplier. | | Pre-UBS start |
| Global Background Check (COSIMA, GTS, Rehire, Global database check) | Cosima, GTS, Internal HR systems, Global database check | Background check to identify records of terrorist/criminal activities or networking; personal misconduct / reputation problem / hostility against UBS or conflict of interest with UBS, negative references concerning trustworthiness, work ethics, reputation. Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons). | No hits | Pre-UBS start |
| Family Relationship | Self-declaration | Self-declaration Candidate needs to be asked whether he/she has family or personal relationships with UBS employees. - Family relationship: spouse, domestic partner or civil partner (or similar as recognised by law), parent (or parent-in-law), sister or brother (or in-law), child, step child. - Personal relationship: management reporting line. Answers are adequately documented. | No family relationship with UBS | Pre-UBS start |
| External Directorship and Positions (self declaration) | Self-declaration | Candidate needs to be asked whether he/she has any external directorship that could raise a conflict of interest with UBS to disclose. Answers are adequately documented. | No external directorship and positions | Pre-UBS start |
| Registered Status / Statutory Disqualification | | Not applicable for the Philippines. | | N/A |
| Criminal Record Check | Criminal Record Check / Reports by: - Philippine Police Clearance OR - Philippines National Bureau of Investigations Clearance (NBI) AND - Civil Litigation Check Reports by Municipal Trial Courts and / or Metropolitan Trial Courts | Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. Onboarding: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the last 5 years (required address history). Periodic Vetting: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the period equal to the frequency of periodic vetting (e.g. if the frequency of periodic vetting is 3 years, the check / address history must cover the last 3 years). Further proof of residence shall only be requested if circumstances (applicable legal and regulatory requirements) demand such. Identification of any records associated with the candidate. | No entries found in respective document. | Pre-UBS start |
| Credit Check | Consumer Credit is used from one of the reputable, widely recognized Consumer Credit Agencies. Bankruptcy Check not available in the Philippines for employment screening purpose. | Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. Onboarding: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the last 5 years (required address history). Periodic Vetting: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the period equal to the frequency of periodic vetting (e.g. if the frequency of periodic vetting is 3 years, the check / address history must cover the last 3 years). Further proof of residence shall only be requested if circumstances (applicable legal and regulatory requirements) demand such. Check the summary of the candidate credit and bankruptcy history and compare with the address history. | No debt defaults (overdue amounts, collections, litigations) Candidate has not been legally declared a bankrupt. | Pre-UBS start |
| External Directorship (Database Search) | Public database | Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration. | No hits, no discrepancies between self-declaration and database search | Pre-UBS start |