

# Vetting Specification for External Staff SOUTH AFRICA

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 date
Right to work verification		This check is the responsibility of the supplier.		Pre-UBS start date
Global Background Check (COSIMA, GTS, Rehire)	Cosima, GTS, Internal HR systems	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 date, <del>Pre-offer, latest pre-UBS start date</del>
Family Relationship	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 date, <del>Pre-offer, latest pre-UBS start date</del>
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 date, <del>Pre-offer, latest pre-UBS start date</del>
Registered Status / Statutory Disqualification		Not applicable for external staff in South Africa.		Pre-UBS start date
Criminal Record Check	Criminal Record report (AND/OR Police Clearance Certificate) issued by the South African Police Service, Criminal Record Centre (SAPS CRC), Pretoria, South Africa (applicants have to provide a full set of fingerprints, taken on approved AFIS scanners, together with an identity document and passport photos).  <u>Lived outside of SA</u> - Police Clearance - International criminal check  <u>Never lived outside of SA</u> - Criminal record (fingerprint scanning)  Source of the check: VV	Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. <b>Onboarding:</b> 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). <b>Periodic Vetting:</b> 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).  For both Onboarding and Periodic Vetting 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 date, <del>latest 4 weeks after UBS start date</del>

<p><b>Credit Check</b></p>	<p>The changes to the National Credit Act No 34 of 2005 require that credit checks can only be performed on candidates where the job profile indicates that the role requires honesty in the handling of cash or finances. Credit Report through both recognized Consumer Credit Agencies Experian and TransUnion. In SA, credit checks are performed on the national database against the ID number provided by the candidate.</p> <p>Source of the check: W</p>	<p>Document(s) need to be original and current; e.g. dated not older than 2 months from receiving.</p> <p><b>Onboarding:</b> 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).</p> <p><b>Periodic Vetting:</b> 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).</p> <p>For both Onboarding and Periodic Vetting 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.</p>	<p>No debt defaults (overdue amounts, collections, litigations) Candidate has not been legally declared a bankrupt.</p>	<p>Pre-UBS start date, <del>latest 4 weeks after UBS start date</del></p>
<p><b>External Directorship (Database Search)</b></p>	<p>Public database Check / Verification against all directorships registered by South African Department of Trade and Industry.</p>	<p>Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.</p>	<p>No hits, no discrepancies between self-declaration and database search</p>	<p>Pre-UBS start date, <del>latest 4 weeks after UBS start date</del></p>