

UBS Social Impact Safeguarding Standard

UBS believes that everyone, regardless of age, gender identity, disability, sexual orientation or ethnic origin, has the right to be protected from all forms of harm, abuse, neglect and exploitation. UBS will not tolerate abuse and exploitation by UBS Personnel, Social Impact grantees and volunteering partners or associated persons.

The UBS Social Impact Safeguarding Standard incorporates standards to protect people, particularly children, at risk adults and beneficiaries of UBS assistance, from any harm that may be caused due to their coming into contact with UBS or its contractual partners.

UBS recognizes that the welfare of children and vulnerable adults is paramount. No child or vulnerable adult should be treated any less favorably than others in being able to access services which meet their particular needs.

The UBS Social Impact Safeguarding Standard lays out the commitments made by UBS and informs all staff and contractual partners of their responsibilities in relation to safeguarding.

Safeguarding means preventing harm through misconduct by staff, associates and others, through poor practice, and through operational activities where these may harm people, particularly children and vulnerable adults, or put them at risk of harm.

1. Definitions

Child or children: Anyone under 18 years of age.

Child maltreatment: sometimes referred to as child abuse and neglect, includes all forms of physical and emotional ill-treatment, sexual abuse, neglect, and exploitation that results in actual or potential harm to the child's health, development or dignity (WHO definition). Neglect means the persistent or severe neglect of a child or the failure to protect a child from exposure to any kind of danger including cold or

starvation, failure to carry out important aspects of care resulting in the impairment of the child's health or development including non-organic failure to thrive. Emotional abuse means the actual or likely severe adverse effect on the emotional and behavioral development of a child caused by persistent or severe emotional ill-treatment or rejection. All abuses involve emotional ill-treatment.

Child protection: refers to actions and interventions that aim to keep children safe where there is serious risk of harm. Serious risk of harm many arise from a single event or a series of concerns over time.

Sexual abuse: means the actual act of threatened physical intrusion of a sexual nature whether by force or under unequal or coercive conditions.

Sexual exploitation: means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, sexually or politically from the sexual exploitation of another.

Vulnerable adult: A vulnerable adult is defined as a person aged 18 or over whose ability to protect himself or herself from violence, abuse, neglect, or exploitation is significantly impaired through physical or mental disability or illness, old age, emotional fragility, or distress.

2. Scope

All grantees and volunteering partners, sub-grantees, and third parties that grantees and volunteering partners may appoint, as well as consultants and advisors UBS works with (hereinafter referred to as "UBS Social Impact Counterparties") shall comply with the UBS Social Impact Safeguarding Standard.

3. Sanctions

UBS reserves the right to terminate its collaboration with UBS Social Impact Counterparties immediately if they do not take sufficient action to protect children and vulnerable adults from maltreatment or harm or if they do not provide sufficient information in the event of a suspicious incident.

4. Safeguarding Standards and Principles

UBS Personnel and Social Impact Counterparties shall follow the following Guiding Principles and adhere to the Safeguarding Standards:

Guiding Principles:

- **Promote** the welfare of all children and vulnerable adults
- **Protect** children and vulnerable adults from abuse, neglect and maltreatment
- **Prevent** harm to children's or vulnerable adults' health, physical and mental well-being and development by

implementing processes and controls to mitigate safeguarding risk

- **Report** concerns: suspicions, allegations, disclosures are reported promptly.

Safeguarding Standards:

- Everyone, regardless of age, gender identity, disability, sexual orientation or ethnic origin, has the right to be protected from all forms of harm, abuse, neglect and exploitation.
- The welfare of children and vulnerable adults is paramount. No child or vulnerable adult should be treated any less favourably than others in being able to access services which meet their particular needs.
- Abuse or exploitation of any form by an organization's employees or any persons associated with an organization will not be tolerated.
- Future employees, volunteers or other associated persons should undergo careful screening as part of the recruitment and selection process in order to mitigate the risk of harm to children and vulnerable adults.
- Employees, volunteers or other associated persons should undergo learning and training that is appropriate to their role and responsibilities to support the effective implementation of safeguarding practice.
- Responsibility for supporting the implementation and effective operation of safeguarding procedures and practices will be with specific named individuals.
- All safeguarding incidents and/or concerns will be taken seriously, dealt with consistently and properly reported to the designated safeguarding staff.

In addition to the Safeguarding Principles set out above and UBS's ethical and professional standards, which everyone must follow when engaging with UBS (available at available at: <https://www.ubs.com/global/en/our-firm/suppliers/supplier-code-of-conduct.html>), UBS Social Impact Counterparties and its staff shall adhere to the following code of conduct requirements:

Never:

- sexually exploit or sexually abuse any individual;
- engage in any sexual activity with a child or children regardless of the age of majority or age of consent locally; mistaken belief in the age of the child is not a defense;
- act in a way that may place a child at risk of abuse, including not undertaking a proper risk assessment before implementing activities or events with children;
- engage in behaviors and actions that are violent towards children. These include, but are not limited to using inappropriate language or behavior when dealing with a child or children, bullying and harassing a child verbally or physically, persuading a child to engage in activities which are not age-appropriate or child affirming, physically punishing a child, exposing a child to indecent images, online grooming and trafficking;
- view, purchase, sell, possess and distribute any forms of indecent images of children;
- engage in any forms of humiliating, degrading or exploitative behavior against children;
- take images of children (photos, video etc.) without their consent or the consent of their parents/guardians and not to use or distribute these in a personal capacity, e.g. via social media especially if they may be detrimental or undermine the child's dignity, privacy and/or safety.

Always:

- ensure adults are not alone when having contact with a child. Wherever the 'two adult rule' cannot be applied, a suitable alternative must be arranged;
- actively discourage disrespectful, abusive, exploitative and discriminatory behavior and take measures to deal with such incidents;
- recognize situations that present risks to children and staff and manage them effectively;
- ensure a culture of openness, where concerns can be raised and discussed.