



EMPLOYEE BACKGROUND VERIFICATION POLICY

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Employee Background Verification Policy

To ensure that individuals who join Sonata are well qualified and have a strong potential to be productive and successful employees, it is Sonata's policy to investigate the background and employment references of applicants. Background investigations will be conducted at Sonata's discretion.

Sonata relies on the accuracy of information contained in employment applications, as well as the accuracy of other data presented throughout the hiring process and during employment. Any misrepresentations, falsifications, or material omissions in any of this information or these data may result in an applicant being excluded from further consideration for employment or, if an individual has already been hired, termination of employment.

The Company is committed to recruit the best qualified persons who can effectively contribute to the Company's goals and objectives. The Company believes that employment reference checks are an important tool and key element in the recruitment and selection process.

Policy

The Company will exercise its right to verify and validate information given during the recruitment process in order to ascertain suitability for employment.

This will be done through reference checks with individuals from the candidate's previous employment, as authorized by the applicant with respect to external applicants, and with the immediate and previous supervisor(s) of internal applicants, for fresher's character certificate needs to be attested by the registrar of the college or any certified gazetted officer.

The Company will attempt, whenever possible, to release honest and pertinent reference information on former employees, or current employees with permission, without malice, and in confidence to potential employers, subject to verification.

WHEN BACKGROUND INVESTIGATIONS WILL BE CONDUCTED

All applicants who are offered employment with Sonata will be subject to a background investigation. Offers of employment are contingent on the successful completion of a background investigation.

INFORMATION OBTAINED IN BACKGROUND INVESTIGATIONS

Every offer of employment with Sonata will be made contingent on a background investigation. The nature and extent of the investigation will depend on the job duties of the position for which an offer is made.

The following chart sets forth the types of background investigations that may be conducted:

Type of Investigation	Guidelines	Coverage
<p><u>A. Reference checks;</u></p> <ul style="list-style-type: none"> ✚ Identity and Address Verification ✚ Verification of past employment, ✚ education ✚ driving license, ✚ professional certifications, and other information provided by an applicant 	<p>Sonata will request references from past employers and verify previous employment, education and professional certifications.</p> <p>Sonata will also verify any other information provided by an applicant that it determines is job related.</p>	<p>All Positions</p>
<p><u>B. Credit History Report</u></p>	<p>Sonata will obtain a credit report in situations where there is a business necessity for such information. These positions involve access to significant levels of cash or negotiable securities, responsibility for the execution or approval of financial transactions, responsibility for accounting related to accounts receivables, responsibility for inventory receipt and control, and access to sensitive data such as Sonata's computer systems, customer credit cards, and personal information.</p>	<p>All Positions</p>

A. Process of Employee Reference Check:-

Before issuing the appointment letter, background check of the candidate shall be required to be done by one or more of the following methods:

1. **Identify the Team (House visit and conversation with the neighbours):-**
 Sonata assessed fitment by "**Identify the Team,**" where the supervisor visits the selected candidate's residence to understand the cultural aspects of and bond with the family. This also serves as a background check. Given that employees deals with customers' money, this assessment is very important. This method is basically used to verify the background of field staff.

2. **"IQRARNAMA" submission:** - Reference checks and guarantee are taken from the blood relation/parents or relatives in set Agreement Papers named as "IQRARNAMA".

Candidate with guarantor shall visit Sonata Branch where in the presence of authorised persons Notarised Agreement Papers will be signed and Copy be sent to HR for filing the in candidate Personal File.

3. **Employment Check via EQUIFAX EMPLOYEE** Bureau platform is used to cross verify the employment of candidate if in case the candidate was earlier worked with any NBFC or MFI.

4. Employment check via mail or No dues certificate from previous employer (Annexure - II enclosed).

USE OF INFORMATION OBTAINED IN A BACKGROUND INVESTIGATION

Information obtained from a background investigation will be considered for employment purposes be reviewed to determine:

- Whether false statements or material omissions were made by an individual on an application for employment or during an interview;
- Whether an applicant or employee, based on the job duties of the position in question, poses a threat to security and/or employee safety in the workplace; and

Guidelines for Obtaining Employment References

- 1) All external applicants interviewed for a position at Sonata Finance will be asked to provide written authorization for Sonata to obtain reference information from current and former employers.
- 2) HR Managers are responsible for obtaining references from previous employees.
- 3) Whenever possible, a minimum of two to three verbal references from current and/or former employers should be obtained for any candidate to whom the HR is considering making a job offer. If the candidate has listed less than two reference sources, he/she should be asked to provide names of individuals with whom he/she has worked with i.e. colleague or peer etc. References may include immediate superiors, peers and subordinates. References from those to whom a candidate reported, are preferred.
- 4) Company reserves the right to terminate the given offer of employment in case of any manipulation or misrepresentation found in given record of candidate.

Person Responsible for Background Verification:

Two members from HR Team are assigned solely for verification of Candidate documents and are also responsible for assigning In-charges to visit candidate house for background Verification.

One Member is Verifier who verifies and cross checks the documents of Candidate (documents which were uploaded on HRMS) and other HR Member is In-charge of "IDENTIFY THE TEAM" task and responsible for ensuring house visit of candidate and uploading of filled form(Annexure -I) of House visit enclosed below for reference.

ANNEXURE – I (Identify the team Format to be filled while house visit)



IDENTIFY THE TEAM

Candidate Profile

A.

Name			
Address			
Landmark			
City		PIN	
State			
Contact No.			
DOB			

(Tick Mark)

Sex

Male

Female

Marital Status

Married

Unmarried

Seperated/Divorced

(If Married)

SPOUSE NAME

--

NUMBER OF CHILDREN

--

NUMBER OF DEPENDENT

--

Education

Intermediate

Graduate

Post-Graduate

Status of Above Address

(Tick Mark)

(PARENTAL)

(Owned by Self)

(Rented)

PREVIOUS EMPLOYMENT VERIFICATIONDETAILS:-

PREVIOUS/CURRENT EMPLOYER NAME

JOINING DATE

DATE OF RESIGNATION _____

REASON FOR LEAVING _____

VERIFIED BY:-

	Family Member	Neighbour	Relatives
NAME			
RELATION WITH CANDIDATE			
CONTACT NUMBER OF CONCERNED			
SIGNATURE			

VERIFICATION DONE BY:-

NAME OF EMPLOYEE:-

DESIGNATION:-

EMPLOYEE ID :-

BRANCH:-

SIGNATURE:-

DATE OF VERIFICATION:-

Annexure II – Employee Background Verification form

SONATA FINANCE PVT. LTD.

We are contacting you today as you have been referred to us by a candidate who is being considered for employment with [SONATA]. Phone reference checks can be intrusive to a person’s schedule; we have therefore introduced a user friendly template to assist referees in contributing to this valuable element of the selection process. All feedback provided will be managed and maintained in the strictest of confidence and in line with the Privacy Act. Please note that all fields below expand as necessary; where not appropriate please merely enter N/A.

On behalf of [SONATA] and prospective candidate we thank you in advance for your time and consideration

Name of Reporting Manager:	Designation:
Candidate Name:	
Date:	
Designation while Leaving the organization:	
Number of team members reporting to the candidate:	

REFERENCE CHECK

(EMPLOYEE VERIFICATION BY THE EX TEAM LEAD / EX REPORTING MANAGER)

1. How long did the candidate work for /with you?
2. What type of Job he/she was handling?

3. Did he/she provide good follow-up and meet deadlines?

Yes No

Comments:

4. Was he/she involved in any kind of fraud?

Yes No

Comments:

5. Was performance acceptable?

Yes No

Comments:

6. What are some of the areas, which you will term as improvement areas?

8. Reasons for leaving:

9. Would you employ or if you had the opportunity/ would you re-hire in this sort of role?