

Vetting Specification for External Staff THAILAND

Valid as of 03 January 2020

		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-offer, latest pre-UBS start date
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-offer, latest pre-UBS start date
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-offer, latest pre-UBS start date
Registered Status / Statutory Disqualification		Not applicable for Thailand.		Pre-UBS start date
Criminal Record Check	<p>Police Clearance Certificate issued by the Royal Thai Police Headquarter in Bangkok.</p> <p>An applicant can prepare following documents to the authority (H & A); - Signed authorization form (Criminal Check Form) - Certified copy of Thai ID with the word "เอกสารนี้ใช้เพื่อขอตรวจประวัติอาชญากรรมเท่านั้น" - Candidate's father and mother name (in Thai) in separate paper, not in Criminal Check - Candidate provide also hard copies to H & A</p> <p>For Foreign Applicant (in Thailand):</p> <ul style="list-style-type: none"> Valid and certified photocopy of passport (signed/certified by the candidate) Document (s) certifying that the applicant is working, used to work, or residing in Thailand (such as: employer letter/ Education letter/ embassy letter/ marriage certificate, etc., see sample of the employer letter attached) Thai work permit and certified photocopy (if available) Certified photocopy of current passport with Thai Visa (signed/certified by the candidate) For Work <ul style="list-style-type: none"> Employee Contract/Work permit, or Letter guarantee from the employer company "Thailand - Clearance certificate form" for foreigner with all information filled. <p>For Foreign Applicant (outside Thailand)</p> <ul style="list-style-type: none"> Certified photocopy of valid passport Certified photocopy of Thai Visa Certified photocopy of present Visa in case you are foreigner or Letter Request for Record check from Embassy Document(s) stating that the applicant is used to work or reside in Thailand A photocopy of Thai working permit (if available) Paper of power of attorney (If authorized H&A) Letter explain the purpose of request and which country to use (only one country) or write in the application form 	<p>Document(s) need to be original and current; e.g. dated not older than 2 months from receiving.</p> <p>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).</p> <p>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).</p> <p>For both Onboarding and Periodic Vetting an appropriate address verification shall be performed for the current address. 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.</p>	No entries found in respective document.	Pre-UBS start date, latest 4 weeks after UBS start date

<p>Credit Check</p>	<p>Only Bankruptcy Check is used based on records from the Bankruptcy Courts and / or the Legal Execution Department of the Ministry of Justice.</p> <p>Credit check is legally allowed, however authorities do not issue relevant records for vetting purposes (as a substitute, bankruptcy to be done).</p> <p>If applicable, international credit or bankruptcy checks to be done for candidates.</p>	<p>Document(s) need to be original and current; e.g. dated not older than 2 months from receiving.</p> <p>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).</p> <p>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).</p> <p>For both Onboarding and Periodic Vetting an appropriate address verification shall be performed for the current address. 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.</p>	<p>No debt defaults (overdue amounts, collections, litigations) Candidate has not been legally declared a bankrupt.</p>	<p>Pre-UBS start date, latest 4 weeks after UBS start date</p>
<p>External Directorship (Database Search)</p>	<p>Public database</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, latest 4 weeks after UBS start date</p>