

Vetting Specification for External Staff IRELAND

Valid as of 01 June 2022

| Current State | | | | |
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| 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 allowed, Internal HR systems | <p>GTS Check: This check only permissible when the candidate is a known rehire. In addition, negative media information held within GTS cannot be considered for vetting purposes. Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons).</p> <p>Periodic Vetting Controlled Functions and Pre-Approved Controlled Functions as on at least an annual basis, includes: Managing Directors, External Non-Executive Directors, Group Compliance Regulatory and Governance: In addition to Group Compliance, Regulatory and Governance-based EC members the following sub-MD GCRG staff is considered to require the highest level of personal integrity or own a risk sensitive, which grants them enhanced authority due to privileged access to systems, networks, data and knowhow owned by UBS: (i) regulatory Affairs team lead, assistant to Head G&RA and CoS team (ii) Group Investigations (i.e. Criminal Investigations & IT Forensics team, eDiscovery/eDTS team and Data Analytics & Tools team), (iii) GSS staff, (iv) Cyber testers in C&ORC GF, (v) staff with access to the PEP</p> | No hits | Pre-UBS start date |
| Family Relationship | Self-declaration | <p>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.</p> <p>Answers are adequately documented.</p> | No family or personal relationship with UBS | Pre-UBS start date |
| External Directorship and Positions (self declaration) | Self-declaration. | <p>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.</p> | No external directorship and positions | Pre-UBS start date |
| Registered Status / Statutory Disqualification | Irish Financial Services Regulatory Authority (IFSRA) | Valid registration with IFSRA (applicable only to the Directors of a legal entity and employees reporting directly to the board of directors of a legal entity). | Search confirms that the person is registered and that no statutory disqualification exists. | Pre-UBS start date |
| Criminal Record Check | Self-declaration of previous criminal convictions (with the exception of spent convictions). | <p>Document(s) need to be original and current; e.g. dated not older than 3 months from UBS start date. 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>Onboarding Cases</p> <p>Checks are only permitted for onboarding cases if any of the following criteria is met: - Management roles (external staff with senior responsibilities) or personal assistants and board administrators with access to confidential financial information - Functions which involve the handling of confidential financial information, including financial systems (e.g. highly privileged users, regulated, certified and client facing roles) - Staff of control functions per Policy 1-C-007976 or staff responsible for control activities in non control functions</p> <p>Where this check is permissible, candidate to complete Self-declaration questionnaire. The candidate must be informed that they are not obliged to disclose previous convictions, unless UBS has a legal entitlement to demand such information (as would be the case for "controlled function" and "pre-approved control function" roles).</p> <p>Periodic Vetting Ask the candidate to declare that he/she does not have any previous convictions which may impact the role.</p> <p>Controlled Functions and Pre-Approved Controlled Functions as on at least an annual basis, includes: Managing Directors, External Non-Executive Directors, Group Compliance Regulatory and Governance: In addition to Group Compliance, Regulatory and Governance-based EC members the following sub-MD GCRG staff is considered to require the highest level of personal integrity or own a risk sensitive, which grants them enhanced authority due to privileged access to systems, networks, data and knowhow owned by UBS: (i) regulatory Affairs team lead, assistant to Head G&RA and CoS team (ii) Group Investigations (i.e. Criminal Investigations & IT Forensics team, eDiscovery/eDTS team and Data Analytics & Tools team), (iii) GSS staff, (iv) Cyber testers in C&ORC GF, (v) staff with access to the PEP cockpit reporting</p> | No adverse findings | Pre-UBS start date |

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| Check | Sources / Tools | Requirement / Validation | Successful Vetting Check Criteria | Timing |
| Credit Check | <p>Not allowed for employment screening purposes.</p> <p>Where this check is permissible, document(s) need to be original and current; e.g. dated not older than 3 months from UBS start date. 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 Controlled Functions and Pre-Approved Controlled Functions as on at least an annual basis, includes: Managing Directors, External Non-Executive Directors, Group Compliance Regulatory and Governance: In addition to Group Compliance, Regulatory and Governance-based EC members the following sub-MD GCRG staff is considered to require the highest level of personal integrity or own a risk sensitive, which grants them enhanced authority due to privileged access to systems, networks, data and knowhow owned by UBS: (i) regulatory Affairs team lead, assistant to Head G&RA and CoS team (ii) Group Investigations (i.e. Criminal Investigations & IT Forensics team, eDiscovery/eDTS team and Data Analytics & Tools team), (iii) GSS staff, (iv) Cyber testers in C&ORC GF, (v) staff with access to the PEP cockpit reporting</p> | | | N/A |
| External Directorship (Database Search) | <p>Public database Companies Registration Office website</p> | <p>Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.</p> <p>The check 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> | No hits, no discrepancies between self-declaration and database search | Pre-UBS start date |