

Vetting Specification for External Staff POLAND

Valid as of 1 August 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 and Internal HR systems for the termination reason as per the work certificate only	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 and the termination reason as per the work certificate only.	No hits	Pre-offer, latest pre-UBS start date
Family Relationship	Self-declaration Check only allowed on candidate's voluntary consent.	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. If a relationship disclosed, further analysis to be performed by Line Manager with Compliance. Candidate cannot be refused if the relationship is revealed.	Pre-offer, latest pre-UBS start date
External Directorship and Positions (self declaration)		Not allowed for employment screening purposes		Pre-offer, latest pre-UBS start date
Registered Status / Statutory Disqualification		Not applicable for external staff		Pre-UBS start date
Criminal Record Check	Excerpt from the National Criminal Record (Krajowy Rejestr Sądowy)	<p>Level 1 suppliers:</p> <p>Onboarding: Allowed for restricted populations. Those who meet the following criteria are subject to a criminal record check:</p> <p>(i) Senior management roles (rank ED+ and board members or external staff (inclusive of contractors)) with senior responsibilities and/or accountability or personal assistants, and board administrators with access to confidential information</p> <p>(ii) Functions which involve the handling of sensitive/confidential financial information, including financial systems (e.g. highly privileged users, regulated persons);</p> <p>(iii) Staff of control functions per Policy 1-C-007976 (e.g. Group Risk Control, Group Compliance, Regulatory & Governance, Group Finance, Group Legal and Group Human Resources), only for those having an access to confidential / legally protected information.</p> <p>Periodic Vetting: Mandatory for all risk-sensitive staff.</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 only be performed for Poland (address history required). Completing the check for all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the last 5 years is not permitted.</p> <p>Periodic Vetting: Document(s) must only be performed for Poland (address history required). Completing the check for 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 is not permitted.</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> <p>Level 2 suppliers: Not allowed for employment screening purposes</p>	No entries found in respective document(s).	Pre-UBS start date, latest 4 weeks after UBS start date
Credit Check		Not allowed for employment screening purposes		Pre-UBS start date, latest 4 weeks after UBS start date
External Directorship (Database Search)		Not allowed for employment screening purposes		Pre-UBS start date, latest 4 weeks after UBS start date