

Vetting Specification for External Staff MACEDONIA

Valid as of 03 January 2020

Check	Sources / Tools	Current State		Timing
		Requirement / Validation	Successful Vetting Check Criteria	
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. <u>Answers are adequately documented</u>	No family or personal 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 external staff in Macedonia		Pre-UBS start date
Criminal Record Check		Criminal checks are not allowed for employment screening purposes		Pre-UBS start date
Credit Check	Credit Report provided by Macedonian Credit Bureau (MKB). Please note that consent of the individual is required to conduct the check. The consent may be provided in the same document with the consent on processing of personal data. Some elements of the credit check can also be carried out through the Central Registry of the Republic of Macedonia (Central Registry), which issues certificates about bankruptcy or liquidation procedures, financial information, and assessments regarding liquidity. Consent from the candidate is not required in order to approach the Central Registry and obtain this information.	Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. 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). 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). 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.	No debt defaults (overdue amounts, collections, litigations) Candidate has not been legally declared a bankrupt.	Pre-UBS start date
External Directorship (Database Search)	Public database. The Central Registry issues a certificate with information regarding whether an individual is an owner/manager of a company in Macedonia.	Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.	No hits, no discrepancies between self-declaration and database search	Pre-UBS start date