

# Vetting Specification for External Staff IRELAND

Valid as of 01 September 2021

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 not allowed for onboarding, 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).  <b>Periodic Vetting</b> All risk sensitive roles are in scope for Periodic Staff Vetting according to the regulation in the country.	No hits	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 or personal relationship with UBS	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-UBS start date,
Registered Status / Statutory Disqualification		Not applicable for staff in Ireland		N/A
Criminal Record Check	Self-declaration of previous criminal convictions (with the exception of spent convictions). Ask the candidate to declare that he/she does not have any previous convictions which may impact the role.	<b>Onboarding Cases</b> <b>Checks are only permitted for onboarding cases if any of the following criteria is met:</b> - 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  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).  <b>Periodic Vetting</b> All risk sensitive roles are in scope for Periodic Staff Vetting according to the regulation in the country.	No adverse findings	Pre-UBS start date
Credit Check	Centralised Experian style credit checking does not exist in Ireland. But for regulated roles, it is market practice to undertake: (i) a bankruptcy search; (ii) a judgment search; and (iii) a regulator check with the Central bank (in addition to sanctions screening which would be covered by the COSIMA check).	<b>Onboarding:</b> Not allowed for employment screening purposes.  <b>Periodic Vetting:</b> All risk sensitive roles are in scope for Periodic Staff Vetting according to the regulation in the country.	No adverse hits or reports.	Pre-start
External Directorship (Database Search)	Public database Companies Registration Office website	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