

Vetting Specification HUNGARY

External Vetting - Details valid as of 31.07.2017

Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
Hungary challenging audit capability - process TBC				
Criminal Record Check	Hungary Police Record / Certificate of Good Conduct (Hatósági Erkölcsi Bizonyítvány). Certificate to be ordered by the candidate online, by post or in person at the Centre of the Criminal Records Authority (Central Document Office), Budapest. Certificate can only be requested from candidates applying for a role that requires a high level of trust (e.g. candidate would have direct access to confidential information, or would have access to financial assets).	Document(s) need to be original and current; e.g. dated not older than 2 months from receiving and 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. 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.	No entries found in respective document(s)	Pre-start, latest 4 weeks after start
Credit Check	Credit check is not allowed for employment screening purposes.			
Identity Check	Hungarian Citizen: Passport, ID-Card, or a valid Hungarian driving license issued in card form EEA Citizens: Passport or ID-Card All others: Passport	Document shall be valid. Identity of the candidate must be verified by obtaining a readable copy of an official identification document.	Copy of an official identification document can be obtained and identity of the candidate verified.	Pre-start, latest on the first day
Right to work verification	Hungarian citizen: Passport, ID Card, or valid Hungarian driving licence issued in card form Swiss and EEA-Citizen: Passport, or ID Card All other Citizens: Passport with valid Work Permit / Residence Permit AND Work Visa	Document shall be valid. Identity of the candidate must be verified and a readable copy of an official right to work document must be obtained.	Copy of an official right to work document can be obtained and identity of the candidate verified.	Pre-start, latest on the first day
Global Background Check	Cosima, GTS	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. Cosima team and crime invest team will check any hit and make a recommendation. Only those hits listed on sanction lists may be taken into account.	No hits	Pre-offer, latest pre-start
Highest Level of Education	CV, certificates and diplomas. Candidate must give consent and sign a detailed form explaining the reason for this check.	Highest education and most relevant professional qualifications must be verified at source. In cases where this is not possible (e.g. source does not have records, no longer exists or does not respond), appropriate supporting documents must be adequately verified and documented. Highest non-university education prior to 10 years is not required to be verified. Candidate must give consent and sign a detailed form explaining the reason for this check. Only then can the CV be verified against the copy of educational documents.	No discrepancies between CV and verified professional qualification and highest education.	Pre-start, latest 4 weeks after start
Employment History	CV, confirmations of employers	Detailed information containing the employment history of the past 5 years. 'Employment history must be verified at source. In cases where this is not possible (e.g. source no longer exists, does not respond or is legally not allowed to confirm employment) appropriate supporting documents must be adequately verified and documented (e.g. supporting documents, e-mail trail, etc.). For employment gaps of more than 6 months, the candidate must confirm the following: "I herewith confirm that during the mentioned period(s) of time I was not involved or had not participated in any kind of activity which represents a current or could lead to a future conflict of interest with UBS AG. Such activities include but are not limited to bribery, money laundering, corruption, fraud, involvement in lawsuits against UBS or any other criminal activities leading to negative legal, financial or reputational consequences for UBS AG." US: The above statement is covered by the fingerprinting process. Confirmation of statement not required.	No discrepancies between CV and verified employment history. CV gaps confirmed/fingerprinting clear.	Pre-start, latest 4 weeks after start
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 further investigation is allowed under HU law.	No family or personal relationship with UBS	Pre-offer, latest pre-start
External Directorship and Positions	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-start
Registered Status / Statutory Disqualification	Not applicable in Hungary.			

Global Mandatory Vetting Checks & External Staff Categories

Staff category defines risk sensitivity and vetting checks to be executed

- **Category I:** Access to IT-applications, IT-systems/infrastructure (UBS-Logon) or access to sensitive infrastructure (registered with GPN on UBS HR system)
- **Category II:** Access to sensitive information, data or physical documents and no access to IT or sensitive infrastructure (are not registered in UBS HR system, have no GPN)
- **Category III:** Access to UBS premises and no access to IT or sensitive infrastructure and no access to sensitive information, data or physical documents (registered either via GPN or access badge)

Global Mandatory Check	Category I	Category II *		Category III
		A)	B)	
Identity Check	required	required	required	required
Right to Work Verification	required	required	required	required
Criminal Record Check	required	required	required ¹	required
Credit Check	required	required		
Global Background Check	done by UBS			
Professional Qualification & Highest Level of Education	required			not required
Employment History	required		not required	
Family Relationship	required			
External Directorship	required			
Registered Status	required, if applicable	not applicable		not applicable

Note: Checks in bold are required to be completed before external staff commences providing service to UBS; US only: Domestic Credit and Domestic Criminal Check (incl. Fingerprinting) need to be completed pre-start.

* **Category II - Suppliers** are required to provide a contractual warranty that they conduct these checks:

- A)** Access to sensitive information, data or physical documents AND no access to IT applications / systems / infrastructure (without UBS logon)
 - B)** Premises access on a limited basis only (specifically construction firms or catering events staff)
- ¹ criminal check at a reduced level: last 2 years or last 2 places of residence

For **Category II** workers the following vetting check requirements are slightly different compared to the requirements for Category I and III:

Criminal Record Check	Check needs to cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months covering the period of 5 years.
Credit Check	Check needs to cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months covering the period of 5 years.

External Staff Categories – Details

Category I	Category II	Category III
<p>This category includes external staff with</p> <ul style="list-style-type: none"> • Access to IT applications / systems / infrastructure (UBS Logon), OR • Access to sensitive infrastructure <p>Staff of this category</p> <ul style="list-style-type: none"> • Must be registered in the UBS HR system and therefore have a GPN • Must not necessarily have access to a UBS building <p>Groups concerned are</p> <ul style="list-style-type: none"> • Staff augmentation onsite or offsite, billable (contractor and offshore development center with UBS Logon) • Staff augmentation onsite, non-billable (supplier account manager with UBS Logon) • Managed services onsite or with UBS Logon (driven by delivery of a service) • Professional services onsite or with UBS Logon (consultants, advisory, audit, legal, facility management for sensitive infrastructure) 	<p>For staff of this category suppliers are contractually bound to warrant background screening but are not required to follow UBS vetting process as no onboarding on UBS system takes place. Background screening requirements may differ depending on the service provided to / roles performed for UBS.</p> <p>This category includes external staff with</p> <ul style="list-style-type: none"> • Access to information, data or physical documents, AND • No access to IT applications / systems / infrastructure (without UBS Logon) or sensitive infrastructure, AND • May have limited access to UBS premises for facility management duties (CH only) <p>Staff of this category</p> <ul style="list-style-type: none"> • Has no UBS Logon • Are not registered in the UBS HR system and therefore do not have a GPN • Could have limited access to a UBS building via access control system (CH only) <p>Groups concerned are</p> <ul style="list-style-type: none"> • Professional services offsite and without UBS Logon (consultants, advisory, audit, legal, business process outsourcing, software as a service) • Construction workers • Event staff 	<p>This category includes external staff with</p> <ul style="list-style-type: none"> • Unsupervised physical access to UBS premises, AND • No access to IT applications / systems / infrastructure (without UBS Logon) or sensitive infrastructure, AND • No access to sensitive information, data or physical documents <p>Staff of this category</p> <ul style="list-style-type: none"> • Must be registered in the UBS HR system and therefore must have a GPN • Has no UBS Logon <p>Groups concerned are</p> <ul style="list-style-type: none"> • Staff augmentation onsite, non-billable (supplier account manager without UBS Logon; badge holder) • Managed services onsite and without UBS Logon • Professional services without UBS Logon (facility management) • Benefits services onsite (hair dressers / fitness trainers / dry-cleaning worker / massage services / physiotherapists / dentists / doctors / etc.) • Business University Trainers

Please note: If a non-vetted person requires access to a UBS building, this person will be considered as a visitor and will be therefore accompanied during the complete visit. Also, access cards will only be delivered to persons having a GPN, which means that these would have been vetted previously. This is also valid for emergency access.