

# Vetting Specification for External Staff IRELAND

Valid as of 11 March 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 <b>not allowed</b> , GTS, Internal HR systems	<del>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.</del> Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons).	No hits	Pre-UBS start date, <del>Pre-offer, latest pre-UBS start date</del>
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, <del>Pre-offer, latest pre-UBS start date</del>
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, <del>Pre-offer, latest pre-UBS start date</del>
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).	<del><b>Onboarding Cases</b> Ask the candidate to declare that he/she does not have any previous convictions which may impact the role.  <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). Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. 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).  <b>Periodic Vetting</b> Ask the candidate to declare that he/she does not have any previous convictions which may impact the role. All Risk sensitive roles in scope for Periodic Staff Vetting are permitted. Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. 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).  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.</del>	No adverse findings	Pre-UBS start date
Credit Check		Not allowed for employment screening purposes.		N/A, Pre-UBS start date
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