

Vetting Specification for External Staff MONACO

Valid as of July 2022

		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, 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-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 Monaco		N/A
Criminal Record Check	Monegasque Police Certificate (Certificat de non plainte) issued by the Mayor of Monaco based on Police report OR Bulletin No. 3 (Extrait du Casier Judiciaire) issued by the General Court Registry (Greffé Général) OR criminal check from the residence country Monegasque Police Certificate (Certificat de non plainte) issued by the Mayor of Monaco based on Police report OR Bulletin No. 3 (Extrait du Casier Judiciaire) issued by the General Court Registry (Greffé Général) OR criminal check from the residence country.	Document(s) need to be original and current, e.g. dated not older than 3 months from UBS start date. 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). 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.	Pre-UBS Start date
Credit Check		Credit Check is not available in Monaco for employee screening purposes.		N/A
External Directorship (Database Search)	Public database Companie Registration Office website	Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration. The check 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).	No hits, no discrepancies between self-declaration and database search	Pre-UBS Start date