

Vetting Specification for External Staff IRELAND

Valid as of 01 April 2023

Pre-offer and Pre-start vetting may be started no earlier than 6 months before the UBS start date. For Credit and Criminal, where this check is permissible, document(s) need to be original and current; e.g. dated not older than 3 months from vetting case completion (or from the start date, whichever is earlier).

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 allowed , Internal HR systems	<p>GTS Check: This check only permissible when the candidate is a known rehire. In addition, negative media information held within GTS cannot be considered for vetting purposes. Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons).</p> <p>Periodic Vetting Controlled Functions and Pre-Approved Controlled Functions as on at least an annual basis, includes: Managing Directors, External Non-Executive Directors, Group Compliance Regulatory and Governance: In addition to Group Compliance, Regulatory and Governance-based EC members the following sub-MD GCRG staff is considered to require the highest level of personal integrity or own a risk sensitive, which grants them enhanced authority due to privileged access to systems, networks, data and knowhow owned by UBS: (i) regulatory Affairs team lead, assistant to Head G&RA and CoS team (ii) Group Investigations (i.e. Criminal Investigations & IT Forensics team, eDiscovery/eDTS team and Data Analytics & Tools team), (iii) GSS staff, (iv) Cyber testers in C&ORC GF, (v) staff with access to the PEP</p>	No hits	Pre-UBS start date
Relatives & Relationship	Self-declaration	<p>Candidate needs to be asked whether he/she has family or personal relationships with UBS employees.</p> <p>- 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.</p> <p>- Personal relationship: management reporting line.</p> <p>Answers are adequately documented.</p>	No family or personal relationship with UBS	Pre-UBS start date
External Directorship and Positions (self declaration)	Self-declaration.	<p>Candidate needs to be asked whether he/she has any external directorship that could raise a conflict of interest with UBS to disclose.</p> <p>Answers are adequately documented.</p>	No external directorship and positions	Pre-UBS start date
Registered Status / Statutory Disqualification	Irish Financial Services Regulatory Authority (IFSRA)	Valid registration with IFSRA (applicable only to the Directors of a legal entity and employees reporting directly to the board of directors of a legal entity).	Search confirms that the person is registered and that no statutory disqualification exists.	Pre-UBS start date

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Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
Criminal Record Check	Self-declaration of previous criminal convictions (with the exception of spent convictions).	<p>Where this check is permissible, document(s) need to be original and current; e.g. dated not older than 3 months from vetting case completion (or from the start date, whichever is earlier).</p> <p>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).</p> <p>Onboarding Cases</p> <p>Checks are only permitted for onboarding cases if any of the following criteria is met:</p> <ul style="list-style-type: none"> - 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 <p>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).</p> <p>Periodic Vetting</p> <p>Ask the candidate to declare that he/she does not have any previous convictions which may impact the role.</p> <p>Controlled Functions and Pre-Approved Controlled Functions as on at least an annual basis, includes: Managing Directors, External Non-Executive Directors, Group Compliance Regulatory and Governance: In addition to Group Compliance, Regulatory and Governance-based EC members the following sub-MD GCRG staff is considered to require the highest level of personal integrity or own a risk sensitive, which grants them enhanced authority due to privileged access to systems, networks, data and knowhow owned by UBS: (i) regulatory Affairs team lead, assistant to Head G&RA and CoS team (ii) Group Investigations (i.e. Criminal Investigations & IT Forensics team, eDiscovery/eDTS team and Data Analytics & Tools team), (iii) GSS staff, (iv) Cyber testers in C&ORC GF, (v) staff with access to the PEP cockpit reporting</p>	No adverse findings	Pre-UBS start date
Credit Check	Public database Experian Ireland Credit Bureau (only for Periodic Vetting)	<p>Not allowed for employment screening purposes.</p> <p>Where this check is permissible, document(s) need to be original and current; e.g. dated not older than 3 months from vetting case completion (or from the start date, whichever is earlier).</p> <p>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).</p> <p>Periodic Vetting</p> <p>Controlled Functions and Pre-Approved Controlled Functions as on at least an annual basis, includes: Managing Directors, External Non-Executive Directors, Group Compliance Regulatory and Governance: In addition to Group Compliance, Regulatory and Governance-based EC members the following sub-MD GCRG staff is considered to require the highest level of personal integrity or own a risk sensitive, which grants them enhanced authority due to privileged access to systems, networks, data and knowhow owned by UBS: (i) regulatory Affairs team lead, assistant to Head G&RA and CoS team (ii) Group Investigations (i.e. Criminal Investigations & IT Forensics team, eDiscovery/eDTS team and Data Analytics & Tools team), (iii) GSS staff, (iv) Cyber testers in C&ORC GF, (v) staff with access to the PEP cockpit reporting</p>	No adverse findings	N/A
External Directorship (Database Search)	Public database Companies Registration Office website via Experian Ireland	<p>Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.</p> <p>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)</p>	No hits, no discrepancies between self-declaration and database search	Pre-UBS start date
ESSENTIAL FOOTNOTES:				
Supplier Vetting	<p>As a Level 1 Supplier you are required to follow the country specifications published on our webpage. This however has to be in line with the approved approach agreed with you by the UBS Vetting Decision Authority at the time you were awarded the label of being a UBS level 1 supplier.</p> <p>Any deviations to the country specs or agreed approach may result in a finding at the time of the level 1 audit e.g., the use of an unapproved vetting vendor.</p> <p>A reminder that any decisions made by you should not expose UBS to any reputational or operational risk.</p> <p>In case a Level 1 supplier does not have the capability to legally perform a particular check (as defined in the country specifications), the supplier should obtain approval from the UBS vetting Decision Authority (DA) to perform an alternative. In such cases (post approval from the DA) the Level 1 supplier may obtain a self-declaration form from the candidate. The Self declaration needs to be completed and dated prior to the start date at UBS and must be available for review at the time of the level 1 audit. A self-declaration only fulfills the condition of a check not being completed if this has been approved prior to onboarding by the UBS vetting Decision Authority (DA).</p>			

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Current State				
Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
Obligations		<p>In case a candidate does not have the required documents / registration for a check to be performed, the supplier must obtain a self-declaration from the candidate. However, such a self-declaration shall only be obtained where a check is legally permissible in the "hiring" location but cannot be conducted due to candidate not fulfilling the required conditions for a check. The self-declaration must be completed and dated prior to the start date at UBS and must be available for review at the time of the level 1 supplier audit.</p> <p>The country specifications define the acceptable documentation and/or data sources for use within a candidate's country of hire.</p> <p>A vetting check is deemed permissible as per the country specifications, and if the candidate has background history or footprint within additional countries outside the "hiring" country acceptable documentation and/or data sources applicable as per that country must be considered.</p> <p>Please note that at all times you should be guided by the country specifications of the onboarding country.</p>		