

Vetting Specification for External Staff ISRAEL

Valid as of 03 January 2020

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 not allowed in Israel for employment screening purposes. Internal HR systems	Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons).	No hits	Pre-offer, latest 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. To be handled carefully as ever unnecessary or irrelevant question may pose problems in terms of invasion of privacy/ discrimination in hiring.	No family relationship with UBS	Pre-offer, latest 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-offer, latest pre-UBS start date
Registered Status / Statutory Disqualification	Only applicable for registered roles as defined by the Israel Securities Authority (ISA).	To be verified that Check reflected that (i) there were no disciplinary or regulatory "events" disclosed regarding the proposed Staff and (ii) the proposed Staff was not "suspended or inactive with any regulator". Check reflecting either events disclosed and / or suspension or inactivity with a regulator shall result in proposed staff being deemed as having failed this requirement.	Confirmation registered status. No disciplinary or regulatory events or suspended or inactive status based on a search via the Israel Securities Authority (ISA).	Pre-UBS start date
Criminal Record Check		Criminal record check is not allowed for employment screening purposes.		Pre-UBS start date, latest 4 weeks after UBS start date
Credit Check		Credit check is not allowed for employment screening purposes.		Pre-UBS start date, latest 4 weeks after UBS start date
External Directorship (Database Search)	Public database	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, latest 4 weeks after UBS start date