

Vetting Specification for External Staff SPAIN

Valid as of 01 September 2021

Check	Current State			
	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 not allowed , GTS, Internal HR systems	Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons). Periodic Vetting Not permitted	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 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 in Spain.			
Criminal Record Check	Onboarding Cases/Periodic Vetting Criminal Record Check is not allowed in Spain for employee screening purposes.			
Credit Check	Onboarding Cases/Periodic Vetting Credit Record Check is not allowed in Spain for employee screening purposes.			
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