

# Vetting Specification for External Staff THAILAND

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).

Check	Current State			
	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
<b>Identity Check</b>		This check is the responsibility of the supplier.		Pre-UBS start date
<b>Right to work verification</b>		This check is the responsibility of the supplier.		Pre-UBS start date
<b>Global Background Check (COSIMA, GTS, Rehire, Global database check)</b>	Cosima, GTS, Internal HR systems, Global database check	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
<b>Relatives &amp; Relationship</b>	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
<b>External Directorship and Positions (self declaration)</b>	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
<b>Registered Status / Statutory Disqualification</b>		Not applicable for Thailand.		N/A
<b>Criminal Record Check</b>	<p>Police Clearance Certificate issued by the Royal Thai Police Headquarter in Bangkok.</p> <p>An applicant can prepare following documents to the authority (H &amp; A);</p> <ul style="list-style-type: none"> <li>- Signed authorization form (Criminal Check Form)</li> <li>- Certified copy of Thai ID with the word "เอกสารนี้ใช้เพื่อขอตรวจประวัติบุคคลกับกองทะเบียนประวัติอาชญากรเท่านั้น"</li> <li>- Candidate's father and mother name (in Thai) in separate paper, not in Criminal Check</li> <li>- Candidate provide also hard copies to H &amp; A</li> </ul> <p><b>For Foreign Applicant (in Thailand):</b></p> <ul style="list-style-type: none"> <li>• Valid and certified photocopy of passport (signed/certified by the candidate)</li> <li>• Document (s) certifying that the applicant is working, used to work, or residing in Thailand (such as: employer letter/ Education letter/ embassy letter/ marriage certificate, etc., see sample of the employer letter attached)</li> <li>• Thai work permit and certified photocopy (if available)</li> <li>• Certified photocopy of current passport with Thai Visa (signed/certified by the candidate)</li> </ul> <p><b>For Work</b></p> <ul style="list-style-type: none"> <li>- Employee Contract/Work permit, or</li> <li>- Letter guarantee from the employer company</li> <li>• "Thailand - Clearance certificate form" for foreigner with all information filled.</li> </ul> <p><b>For Foreign Applicant (outside Thailand)</b></p> <ul style="list-style-type: none"> <li>• Certified photocopy of valid passport</li> <li>• Certified photocopy of Thai Visa</li> <li>• Certified photocopy of present Visa in case you are foreigner or Letter Request for Record check from Embassy</li> </ul> <p>Document(s) stating that the applicant is used to work or reside in Thailand</p> <ul style="list-style-type: none"> <li>• A photocopy of Thai working permit (if available)</li> <li>• Paper of power of attorney (if authorized H&amp;A)</li> <li>• Letter explain the purpose of request and which country to use (only one country) or write in the application form</li> <li>• Two photographs (1 inch or 2 inches)</li> <li>• Two sets of original fingerprint</li> </ul>	<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><b>Onboarding:</b> 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><b>Periodic Vetting:</b> 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).</p> <p>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.</p>	No entries found in respective document.	Pre-UBS start date
<b>Credit Check</b>	<p>Only Bankruptcy Check is used based on records from the Bankruptcy Courts and / or the Legal Execution Department of the Ministry of Justice.</p> <p>Credit check is legally allowed, however authorities do not issue relevant records for vetting purposes (as a substitute, bankruptcy to be done).</p> <p>If applicable, international credit or bankruptcy checks to be done for candidates.</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><b>Onboarding:</b> 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><b>Periodic Vetting:</b> 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).</p> <p>Further proof of residence shall only be requested if circumstances (applicable legal and regulatory requirements) demand such. Check the summary of the candidate credit and bankruptcy history and compare with the address history.</p>	<p>No debt defaults (overdue amounts, collections, litigations)</p> <p>Candidate has not been legally declared a bankrupt.</p>	Pre-UBS start date

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Current State				
Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
<b>External Directorship (Database Search)</b>	Public database	<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
<b>ESSENTIAL FOOTNOTE:</b>				
<b>Supplier Vetting Obligations</b>	<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> <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 in the "hiring" location. 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>			