

Vetting Specification for External Staff Qatar

Valid as of 12 October 2021

Check	Current State			
	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
Identity Check	- Qatari Citizens: Passport OR ID Card - All other Citizens: Passport	Document shall be valid. Identity of the candidate must be verified by obtaining a readable copy of an official identification document.	Copy of an official identification document can be obtained and identity of the candidate verified.	Pre-start, latest on the first day
Right to work verification	- Qatari Citizens do not need a Work Permit - GCC Citizen (Bahrain, Kuwait, Oman, Qatar, Saudi Arabia and UAE) don't need a Work Permit / Residence Visa - All other Citizens: Passport AND Work Residence Permit	Document shall be valid. Identity of the candidate must be verified and a readable copy of an official right to work document must be obtained.	Copy of an official right to work document can be obtained and identity of the candidate verified.	Pre-start
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-offer
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-offer
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
Registered Status / Statutory Disqualification	For registered roles as approved by the Qatar Financial Markets Authority (QFMA).	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 the 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 Qatar Financial Markets Authority.	Pre-start
Criminal Record Check	"Police Clearance Certificate" (for residents) / "Certificate of Good Conduct" (for non-residents) issued by the Ministry of Interior in Doha. Candidate to apply at the Ministry of Interior, Director of Criminal Evidence and Information Department.	Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. 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-start

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Credit Check	Credit Report issued from Qatar Central Bank.	<p>Document(s) need to be original and current; e.g. dated not older than 2 months from receiving.</p> <p>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).</p> <p>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).</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-start
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-start
Highest Level of Education	CV, certificates and diplomas	Highest education must be verified at source. In cases where this is not possible (e.g. source does not have records, no longer exists or does not respond), appropriate supporting documents must be adequately verified and documented.	No discrepancies between CV and highest education.	Pre-start, latest 8 weeks after start
Employment History	CV, confirmations of employers	Detailed information containing the employment history of the past 5 years. Employment history must be verified at source. In cases where this is not possible (e.g. source no longer exists, does not respond or is legally not allowed to confirm employment) appropriate supporting documents must be adequately verified and documented (e.g. supporting documents, e-mail trail, etc.). References from former employer/other persons who can confirm date of employment or provide information regarding the performance and/or behaviour if appropriate. At least one reference call or one written reference is required, where applicable.	No discrepancies between CV and verified employment history.	Pre-start, latest 8 weeks after start