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AML Batch

User Guide

HOW TO PERFORM AML CHECKS IN BULK INSTANTLY ON THE WEBSITE

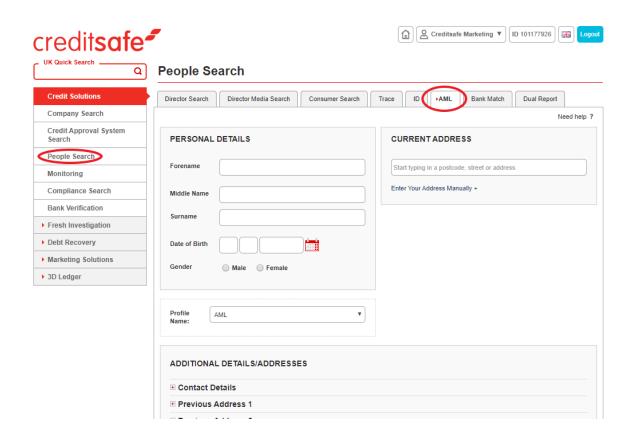Version 1.0

Contents

Accessing AML Batch

AML Batch is accessed via the AML product, which can be found by clicking on "People Search" on the left hand menu then the "AML" tab at the top of the People Search page.

Click the 'Batch' button located in the bottom right hand corner.
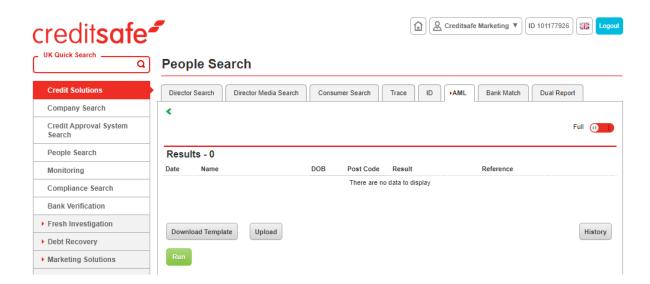

AML Batch page

You will then be taken to the AML batch page, which includes a table to show where records are loaded into the batch system. The table consists of the following columns:

- Date
- Name
- DOB - Date Of Birth (DD/MM/YYYY)
- Post Code
- Result
- Reference

Under the table, there are four additional buttons - 'Download Template', 'Upload', 'History' & 'Run'.

Download Validation Template

The first step to take is to click 'Download Template' – this will download a CSV called 'ValidationTemplate' consisting of multiple fields replicated from the AML Search page.

Mandatory Fields

There are a number of mandatory fields which need to be populated in order to perform the check:

- Reference
- Forename
- Surname
- Street
- Town
- Post Code

These data fields have been chosen as the minimal amount of information to be included.

Other information

To improve match rates, other important fields that should be included if the information is available, are:

- Date Of Birth (DD/MM/YYYY)
- Building Name or Building Number

The above two fields have not been included as mandatory fields as Date Of Birth is not always available. For the Building Name or Building Number, either name or number should be populated but not both.

There are also additional fields available in the template for entering further information such as:

- First/Last Year Of Residency
- Landline Number
- Previous Addresses (up to 3 available)

Save Template

Once the template is populated, it should be saved as a CSV.

Reference*	Forename*	Middle Name	Surname*	Date Of Birth	Gender	Building Name	Building Number	Sub Building	Organisation	Street*	Sub Street	Town*	District	Postcode*
1	Gary		Milburn	06/10/1973			36			Brasenose Driftway		Oxford		OX42QX
2	Amanda		Ridlington	01/11/1969			15			High Street		Westbury		BA133BN
3	Cyril		Ward	09/03/1912			10			Hill Street		Newcastle		ST52DW

Upload Template

Use the 'Upload' button to upload your CSV file – this will prompt you to select the template you have populated. Once the file has been selected, the table will update to show the details from the CSV file:

Full

Results - 3

Date	Name	DOB	Post Code	Result	Reference	
05/05/2020	Gary Milburn	06/10/1973	OX42QX		1	Ready to process
05/05/2020	Amanda Ridlington	01/11/1969	BA133BN		2	Ready to process
05/05/2020	Cyril Ward	09/03/1912	ST52DW		3	Ready to process

1

The records will all be listed as 'Ready to process' – this means that they've been loaded successfully ready to be run.

Run Records

Next, use the 'Run' button to run the records. Once this has been completed, the status of the records will change from 'Ready to process' to 'Pending' – this means that the records are queued to be run.

Full

Results - 3

Date	Name	DOB	Post Code	Result	Reference	
05/05/2020	Gary Milburn	06/10/1973	OX42QX		1	Pending
05/05/2020	Cyril Ward	09/03/1912	ST52DW		3	Pending
05/05/2020	Amanda Ridlington	01/11/1969	BA133BN		2	Pending

1

Full & Re-Validations Results

The records will proceed to run in the background before updating in the table.

There is a toggle/switch located to the top right of the table, which allows you to switch between 'Full' & 'Re-Validations' results.

The 'Full' screen will show all records, which have been run previously in the last 90 days, and includes records that are yet to be validated and completed re-validations.

The 'Re-Validations' screen will only show records that are yet to be validated and require further information to be entered.

By moving the toggle/switch to 'Re-validations' then back to 'Full', you will see the status of each record change in the last column of the table from 'Pending' to 'Validate'.

Re-Validating Records

The screenshot above shows the records have run successfully as each have a result (Pass/Alert/Refer) and a 'Validate' link available in the last column of the table. The user now has two options on how to proceed with re-validating the records:

1. Individually click into each record using the 'Validate' link
2. Download the Re-Validation template to re-validate records in bulk

1. Re-validate individual records

When the 'Validate' link is clicked on each record, you will be taken to the standard Results page on the AML product, where you can add additional document details under the 'Follow Up Actions' section of the AML result as per the below:

2. Re-validate records in bulk

To complete re-validations in bulk, ensure the toggle/switch located to the top right of the table is on 'Re-Validations'. The 'Download Template' button will update to now show 'Download Re-Validation Template'- this will download a CSV called 'Re-ValidationTemplate'.

Download Re-Validation Template

When you download the Re-Validation template, all 'Pass' and 'Refer' results that have been run in the last 90 days will be displayed. To re-validate the 'Refer' results only, filter the column 'Result' using the 'Sort & Filter' then 'Filter' button on Excel and select the tick box 'Pass' to display those results only. Once selected, a list of all 'Pass' results will be displayed, which need to be selected and deleted from the list. Once deleted, go back to the 'Sort & Filter' button then un-click 'Filter' and you will have a list of only 'Refer' results to run.

On the Re-Validation template, you will notice that the fields after Postcode have changed from:

- First/Last Year Of Residency, Landline Number, Previous Addresses

To

- Driving Licence, Passport, European ID Card & MPAN fields

Enter the details into the template – all fields relating to the individual documents must be completed e.g. all parts of driving licence information must be provided.

Note There are specific 3 digit country codes that must be used for the fields, 'Passport Country', 'European ID Card Country Of Nationality' and 'European ID Card Country Of Issue'. This can be found on pages 10-15 of this guide.

Once the CSV has been populated, upload the file using the 'Upload' button and the table will refresh with the records to be run and show 'Ready to process'.

Re-Validations

Results - 3

Date	Name	DOB	Post Code	Result	Reference	
05/05/2020	Gary Milburn	06/10/1973	OX42QX		1	Ready to process
05/05/2020	Cyril Ward	09/03/1912	ST52DW		3	Ready to process
05/05/2020	Amanda Ridlington	01/11/1969	BA133BN		2	Ready to process

1

Download Re-Validation Template   Upload   History

Run

The same process should be followed above with validations by pressing the 'Run' button. The status of the records will then show 'Pending'.

View Re-Validation Results

The records will proceed to run in the background. To view the results, use the toggle/switch to revert to the 'Full' screen. The status of the records will now change from 'Validate' to 'View'. This means that the records have been successfully re-validated and the result can be viewed by clicking on the 'View' link in the last column of the table.

Full ⬤

Results - 3

Date	Name	DOB	Post Code	Result			Reference	
05/05/2020	Gary Milburn	06/10/1973	OX42QX	PASS	✓		1	View
05/05/2020	Amanda Ridlington	01/11/1969	BA133BN	REFER	✗		2	View
05/05/2020	Cyril Ward	09/03/1912	ST52DW	ALERT	✗	❗ Alert	3	View

1

[Download Template] [Upload] [History]

[Run]

Records run through AML Batch will appear in the table for 90 days. Users are able to re-validate a check within the 90 days before it expires and a fresh check is required.

The records will also appear on the History page, which can be viewed using the 'History' button at the bottom right of the table. On this page, you are able to view a full history of your records.

All records within the AML Batch table can also be exported into a CSV for audit purposes using the 'Download Report (.csv)' button in the bottom right hand corner.

⬤ Latest 50 Records   ◯ Latest 100 Records   ◯ Full   [Download Report (.csv)]

3 Digit Country Codes

Use the following codes when entering the Passport Country, European ID Card Country Of Nationality and European ID Card Country Of Issue in the Revalidation Template.

Example: If you are entering the passport details of a UK citizen, use the code 'GBR' in the 'Passport Country' field.

COUNTRYCODE	GBCOUNTRYCODE	COUNTRYNAME
ABW	ABW	Aruba
AFG	AFG	Afghanistan
AGO	AGO	Angola
AIA	AIA	Anguilla
ALA	ALA	Aland Islands

ALB	ALB	Albania
AND	AND	Andorra
ANT	ANT	Netherlands Antilles
ARE	ARE	United Arab Emirates
ARG	ARG	Argentina
ARM	ARM	Armenia
ASM	ASM	American Samoa
ATA	ATA	Antarctica
ATF	ATF	French Southern Territories
ATG	ATG	Antigua and Barbuda
AUS	AUS	Australia
AUT	AUT	Austria
AZE	AZE	Azerbaijan
BDI	BDI	Burundi
BEL	BEL	Belgium
BEN	BEN	Benin
BFA	BFA	Burkina Faso
BGD	BGD	Bangladesh
BGR	BGR	Bulgaria
BHR	BHR	Bahrain
BHS	BHS	Bahamas
BIH	BIH	Bosnia and Herzegovina
BLM	BLM	Saint Barthelemy
BLR	BLR	Belarus
BLZ	BLZ	Belize
BMU	BMU	Bermuda
BOL	BOL	Bolivia
BRA	BRA	Brazil
BRB	BRB	Barbados
BRN	BRN	Brunei Darussalam
BTN	BTN	Bhutan
BVT	BVT	Bouvet Island
BWA	BWA	Botswana
CAF	CAF	Central African Republic
CAN	CAN	Canada
CCK	CCK	Cocos (Keeling) Islands
CHE	CHE	Switzerland
CHL	CHL	Chile
CHN	CHN	China
CIV	CIV	Ivory Coast
CIV1	CIV	Cte d'Ivoire
CMR	CMR	Cameroon
COD	COD	Democratic Republic of the Congo
COD1	COD	Congo, Democratic Republic of the
COG	COG	Congo
COK	COK	Cook Islands

COL	COL	Colombia
COM	COM	Comoros
CPV	CPV	Cape Verde
CRI	CRI	Costa Rica
CUB	CUB	Cuba
CXR	CXR	Christmas Island
CYM	CYM	Cayman Islands
CYP	CYP	Cyprus
CZE	CZE	Czech Republic
D	D	Germany
DJI	DJI	Djibouti
DMA	DMA	Dominica
DNK	DNK	Denmark
DOM	DOM	Dominican Republic
DZA	DZA	Algeria
ECU	ECU	Ecuador
EGY	EGY	Egypt
ERI	ERI	Eritrea
ESH	ESH	Western Sahara
ESP	ESP	Spain
EST	EST	Estonia
ETH	ETH	Ethiopia
FIN	FIN	Finland
FJI	FJI	Fiji
FLK	FLK	Falkland Islands (Malvinas)
FRA	FRA	France
FRO	FRO	Faeroe Islands
FSM	FSM	Micronesia, Federated States of
FXX	FXX	France, Metropolitan
GAB	GAB	Gabon
GBD	GBD	United Kingdom of Great Britain and Northern Ireland (dependent territories citizen)
GBN	GBN	United Kingdom of Great Britain and Northern Ireland (national - overseas)
GBO	GBO	United Kingdom of Great Britain and Northern Ireland (overseas citizen)
GBP	GBP	United Kingdom of Great Britain and Northern Ireland (protected person)
GBR	GBR	United Kingdom of Great Britain and Northern Ireland (citizen - default)
GBR1	GBR	Isle of Man
GBS	GBS	United Kingdom of Great Britain and Northern Ireland (subject)
GEO	GEO	Georgia
GGY	GGY	Guernsey
GHA	GHA	Ghana
GIB	GIB	Gibraltar
GIN	GIN	Guinea
GLP	GLP	Guadeloupe
GMB	GMB	Gambia
GNB	GNB	Guinea-Bissau
GNQ	GNQ	Equatorial Guinea

GRC	GRC	Greece
GRD	GRD	Grenada
GRL	GRL	Greenland
GTM	GTM	Guatemala
GUF	GUF	French Guiana
GUM	GUM	Guam
GUY	GUY	Guyana
HKG	HKG	Hong Kong
HMD	HMD	Heard and McDonald Islands
HND	HND	Honduras
HRV	HRV	Croatia
HTI	HTI	Haiti
HUN	HUN	Hungary
IDN	IDN	Indonesia
IND	IND	India
IOT	IOT	British Indian Ocean Territory
IRL	IRL	Ireland
IRN	IRN	Iran, Islamic Republic of
IRQ	IRQ	Iraq
ISL	ISL	Iceland
ISR	ISR	Israel
ITA	ITA	Italy
JAM	JAM	Jamaica
JOR	JOR	Jordan
JPN	JPN	Japan
KAZ	KAZ	Kazakhstan
KEN	KEN	Kenya
KGZ	KGZ	Kyrgyzstan
KHM	KHM	Cambodia
KIR	KIR	Kiribati
KNA	KNA	Saint Kitts and Nevis
KOR	KOR	South Korea, Republic of Korea
KOR1	KOR	Korea, Republic of (South Korea)
KOR2	KOR	Republic of Korea (South Korea)
KWT	KWT	Kuwait
LAO	LAO	Lao People's Democratic Republic
LBN	LBN	Lebanon
LBR	LBR	Liberia
LBY	LBY	Libyan Arab Jamahiriya
LBY1	LBY	Libya
LCA	LCA	Saint Lucia
LIE	LIE	Liechtenstein
LKA	LKA	Sri Lanka
LSO	LSO	Lesotho
LTU	LTU	Lithuania
LUX	LUX	Luxembourg

LVA	LVA	Latvia
MAC	MAC	Macau, Special Administration Region of China
MAR	MAR	Morocco
MCO	MCO	Monaco
MDA	MDA	Moldova, Republic of
MDA1	MDA	Moldavia
MDA2	MDA	Republic of Moldova
MDG	MDG	Madagascar
MDV	MDV	Maldives
MEX	MEX	Mexico
MHL	MHL	Marshall Islands
MKD	MKD	Macedonia, The former Yugoslav Republic of
MKD1	MKD	Macedonia
MKD2	MKD	The former Yugoslav Republic of Macedonia
MLI	MLI	Mali
MLT	MLT	Malta
MMR	MMR	Myanmar
MNE	MNE	Montenegro
MNG	MNG	Mongolia
MNP	MNP	Northern Mariana Islands
MOZ	MOZ	Mozambique
MRT	MRT	Mauritania
MSR	MSR	Montserrat
MTQ	MTQ	Martinique
MUS	MUS	Mauritius
MWI	MWI	Malawi
MYS	MYS	Malaysia
MYT	MYT	Mayotte
NAM	NAM	Namibia
NCL	NCL	New Caledonia
NER	NER	Niger
NFK	NFK	Norfolk Island
NGA	NGA	Nigeria
NIC	NIC	Nicaragua
NIU	NIU	Niue
NLD	NLD	Netherlands
NOR	NOR	Norway
NPL	NPL	Nepal
NRU	NRU	Nauru
NTZ	NTZ	Neutral Zone
NZL	NZL	New Zealand
OMN	OMN	Oman
PAK	PAK	Pakistan
PAL	PAL	Palestinian Authority
PAN	PAN	Panama
PCN	PCN	Pitcairn

PER	PER	Peru
PHL	PHL	Philippines
PLW	PLW	Palau
PNG	PNG	Papua New Guinea
POL	POL	Poland
PRI	PRI	Puerto Rico
PRK	PRK	Korea, Democratic People's Republic of
PRK1	PRK	Democratic People's Republic of Korea
PRT	PRT	Portugal
PRY	PRY	Paraguay
PSE	PSE	Palestinian Territory, Occupied
PYF	PYF	French Polynesia
QAT	QAT	Qatar
REU	REU	Reunion
RKS	RKS	Kosovo
ROM	ROM	Romania
ROU	ROU	Romania
RUS	RUS	Russian Federation
RWA	RWA	Rwanda
SAU	SAU	Saudi Arabia
SCG	SCG	Serbia and Montenegro
SDN	SDN	Sudan
SEN	SEN	Senegal
SGP	SGP	Singapore
SGS	SGS	South Georgia and the South Sandwich Island
SHN	SHN	Saint Helena
SJM	SJM	Svalbard and Jan Mayen Islands
SLB	SLB	Solomon Islands
SLE	SLE	Sierra Leone
SLV	SLV	El Salvador
SMR	SMR	San Marino
SOM	SOM	Somalia
SPM	SPM	Saint Pierre and Miquelon
SRB	SRB	Serbia
STP	STP	Sao Tome and Principe
SUR	SUR	Suriname
SVK	SVK	Slovakia
SVN	SVN	Slovenia
SWE	SWE	Sweden
SWZ	SWZ	Swaziland
SYC	SYC	Seychelles
SYR	SYR	Syrian Arab Republic
TCA	TCA	Turks and Caicos Islands
TCD	TCD	Chad
TGO	TGO	Togo
THA	THA	Thailand

TJK	TJK	Tajikistan
TKL	TKL	Tokelau
TKM	TKM	Turkmenistan
TLS	TLS	Timor-Leste
TLS1	TLS	East Timor
TMP	TMP	East Timor
TON	TON	Tonga
TTO	TTO	Trinidad and Tobago
TUN	TUN	Tunisia
TUR	TUR	Turkey
TUV	TUV	Tuvalu
TWN	TWN	Taiwan, Province of China
TWN1	TWN	Republic of China (Taiwan)
TZA	TZA	Tanzania
TZA1	TZA	United Republic of Tanzania
UGA	UGA	Uganda
UKR	UKR	Ukraine
UMI	UMI	United States of America Minor Outlying Islands
UNA	UNA	United Nations specialized agency official
UNK	UNK	United Nations Interim Administration Mission in Kosovo (UNMIK)
UNO	UNO	United Nations Organization
URY	URY	Uruguay
USA	USA	United States of America
UZB	UZB	Uzbekistan
VAT	VAT	Vatican City State (Holy See)
VAT1	VAT	Holy See (Vatican City State)
VCT	VCT	St Vincent and the Grenadines
VCT1	VCT	Saint Vincent and the Grenadines
VEN	VEN	Venezuela
VGB	VGB	Virgin Islands (Great Britian)
VIR	VIR	Virgin Islands (United States)
VNM	VNM	Vietnam
VUT	VUT	Vanuatu
WLF	WLF	Wallis and Futuna Islands
WSM	WSM	Samoa
WSM1	WSM	Western Samoa
XXA	XXA	Stateless (per Article 1 of 1954 convention)
XXB	XXB	Refugee (per Article 1 of 1951 convention
XXC	XXC	Refugee (non-convention)
XXX	XXX	Unspecified / Unknown
YEM	YEM	Yemen
ZAF	ZAF	South Africa
ZMB	ZMB	Zambia
ZWE	ZWE	Zimbabwe