goAML Web

Technical Manual v1.9

Last Update: 12 – December - 2020

1. Overview

This document provides a full comprehensive guide for goAML Web. It is divided into 4 main chapters. The first chapter explains the administration side of the application and is tailored for IT staff responsible for configuring and maintaining the software. The second chapter is tailored for Reporting Entity, Stakeholders and FIU Analysts dealing with compliance. The last two chapters are to be used as a reference guide and troubleshooting common scenarios.

1.1. Features

Module	Feature	Attributes
Registration	Reporting Entity	Schema configurations, Initial User, Group email, Reporting User, Delegation, change requests, Approval Workflow
	Stakeholder	
	Supervisory Body	
	Individual User	
User Administration	Users	New users, approvals, new entities, approvals, entity user hierarchy, change requests, roles, delegations, supervisory bodies, user details, disabling/enabling status, passwords
	Roles	
	Permissions	
	Change Requests	
Settings	Configurations	Site wide variables, metadata after cleanup, image sizes, language flags, menu items, logged in main page, logged out main page, errors and tracking, logs
	Appearance and Content	
	Cleanup	
	3rd Party Portal	
	Email templates	
	language	

	Diagnostics	
Reporting	Web Reports	Zip archives, attachments, file size limits, report workflow, rejections, drafts, preview, auto-populated fields, reporting persons, reusable objects, generated numbers, dropdowns
	XML Uploads	
	B2B Uploads	
	Validator	
Statistics	Reports Statistics	Exporting and browser support, grouping, sorting, date filter, big data treatment, graphs, pivot summary charts
	Transaction Statistics	
	Entity Statistics	
	User Statistics	
	Registration Statistics	
Message Board	Notifications	Message attributes, cleanup, archiving, size limits, attachments
	Messages	
	Announcements	

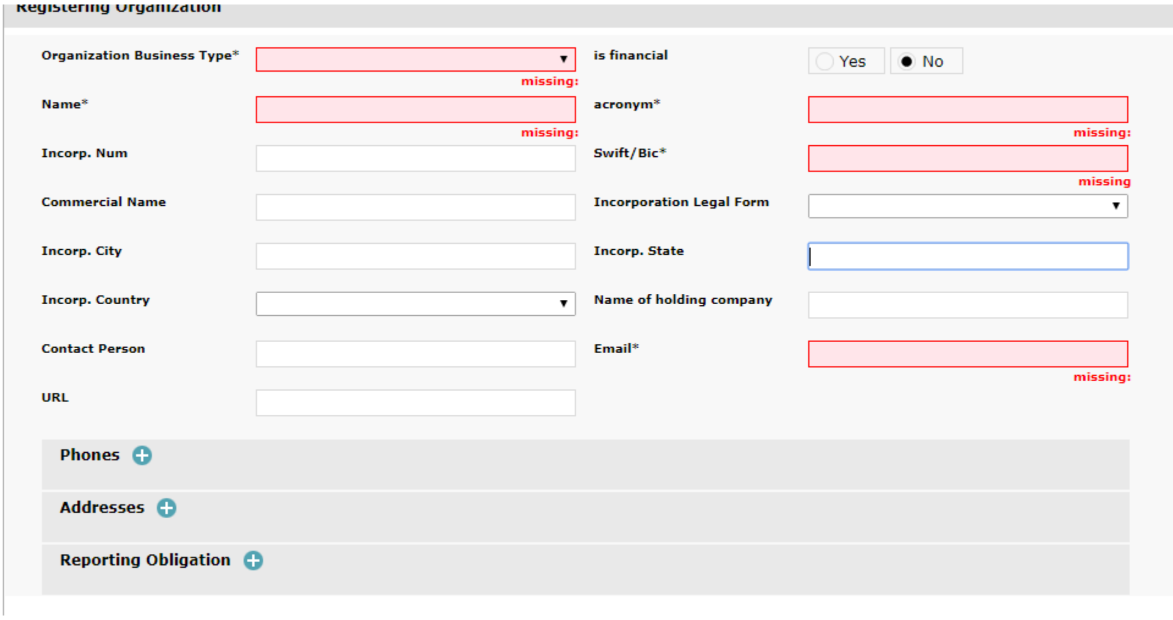
2. Registration

2.1 Forms Validations and Collections

Each registration form consists of a set of fields and collections (a collection is a set of fields such as an address or a phone)

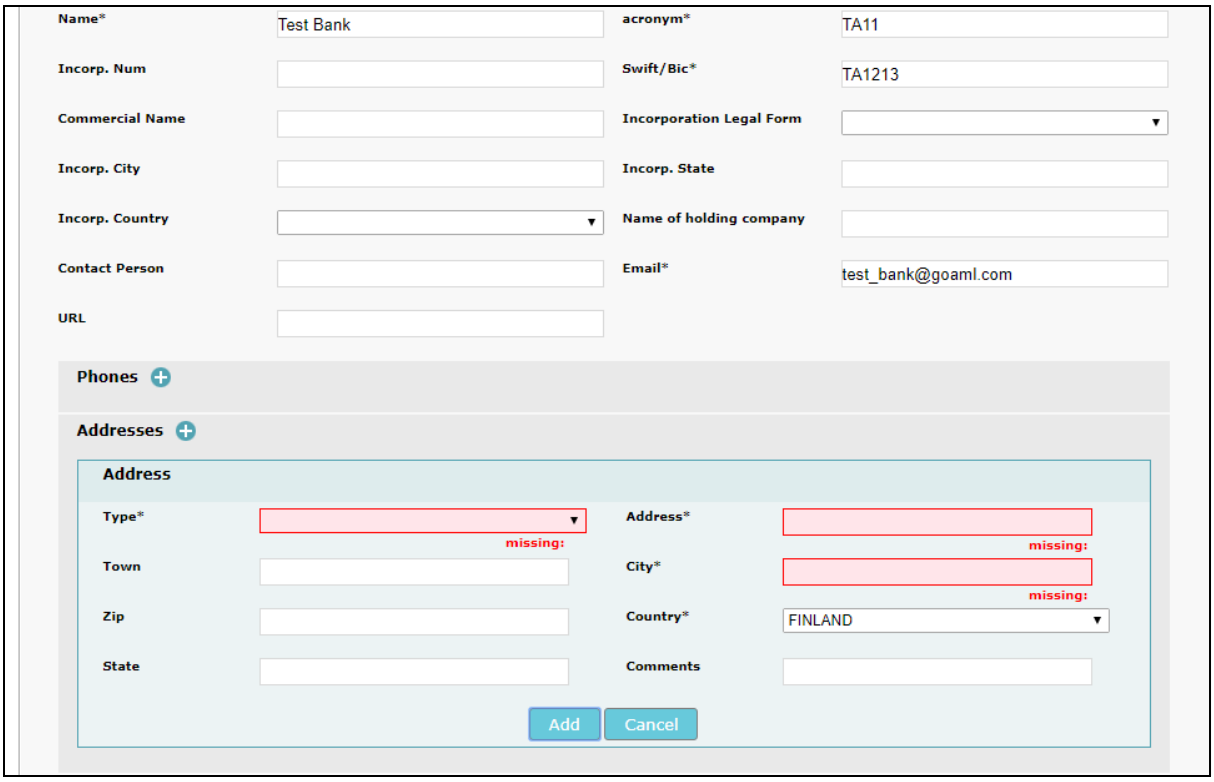
1. In order to add the addresses, you must first ensure the validity of the parent form. .
2. Select the button to add a new Address (see image below). The parent form is invalid so the Address dialog does not open.

***Note**: The invalid fields are highlighted to show what needs to be done.*

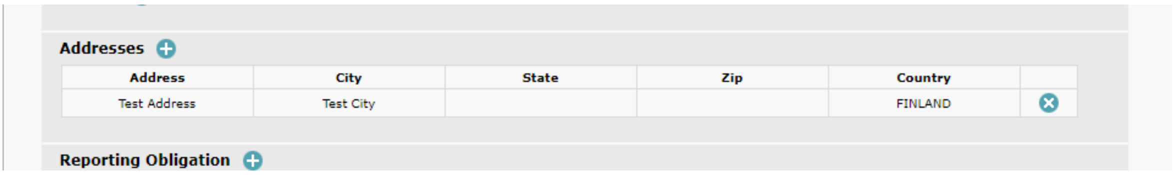


3. After you fill out the parent form, you can enter data in the Address dialog.

4. The address can only be added if the form is complete and valid
5. Click on **Add button to** validate the form, this will also highlight if anything needs to be corrected.
6. You can close the Dialogs for collection items by clicking **Cancel** and the item will not be added to the collection.



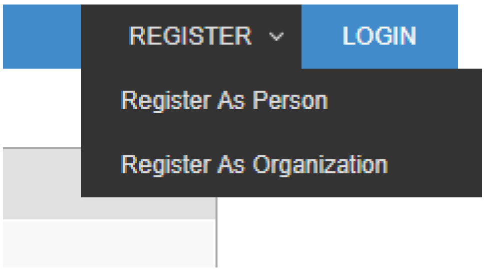
7. Once the new item in the collection is filled out successfully , Click on the **Add** button to add the item to the collection (in the example below, a new address to the address list)



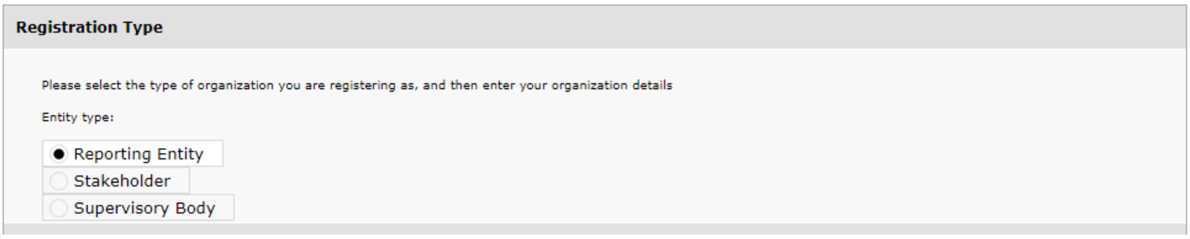
2.2 Registering a new Organization

When registering a reporting entity, it is necessary to register an initial user for the entity. This user will automatically become the **RE Admin** for the registered Entity.

1. From the Home page select **Register** -> **Register as Organization**



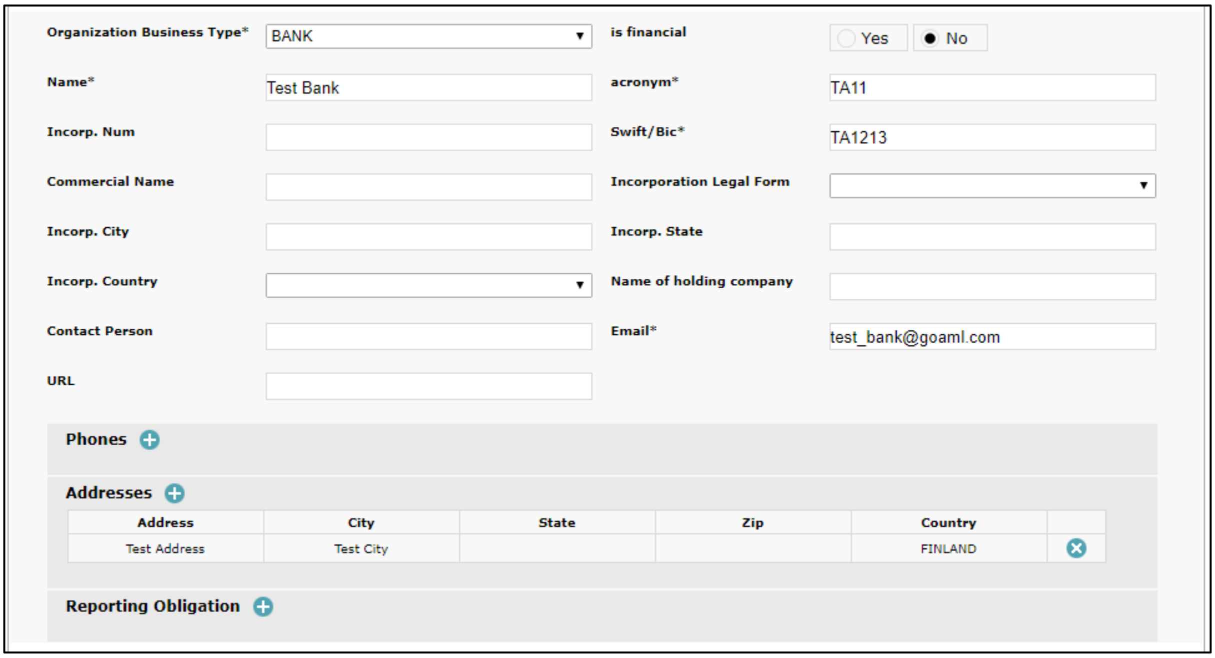
2. The Organization Registration form will load with the default **Reporting Entity** selected.



***Note** : Selecting **Stakeholder** or **Supervisory Body** will load the respective registration forms for those types.*

3. The first part of the Organization form is to collect the details of the organization itself. The email address provided here is where the following emails will be sent:

    - Registration Confirmation
    - Notification if the registration has been accepted or rejected
    - Notification of a new Change Request (if a user submits a request to change the details of an Organization)
    - Notification if a change request has been accepted or rejected
    - Notification of a new message in the message board



Organization Business Type*	BANK	is financial	Yes / ● No
Name*	Test Bank	acronym*	TA11
Incorp. Num		Swift/Bic*	TA1213
Commercial Name		Incorporation Legal Form	
Incorp. City		Incorp. State	
Incorp. Country		Name of holding company	
Contact Person		Email*	test_bank@goaml.com
URL			

Phones

Addresses

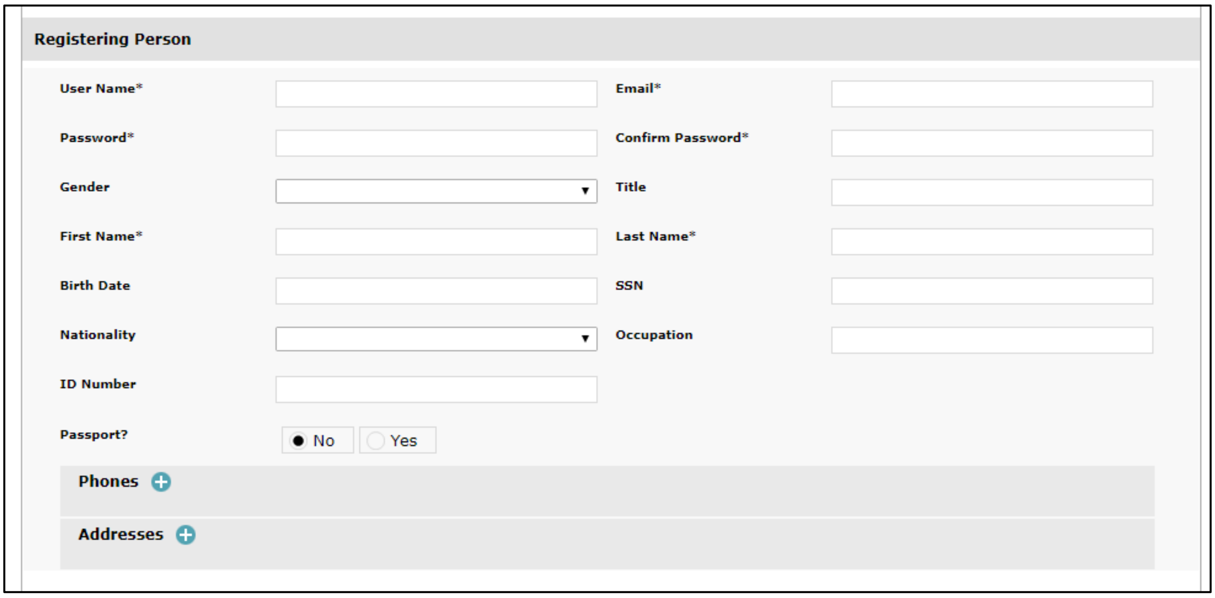
Address	City	State	Zip	Country
Test Address	Test City			FINLAND

Reporting Obligation

4. The second part of the form is the **Registering Person**, which captures the details of the **Reporting Entity Administrator.**
5. Once the registration is finalized, you will have the **RE Admin** user role and permissions to manage the entity and the users. Future users for this entity can also be given this role.

6. The email address provided here is where the following emails will be sent:

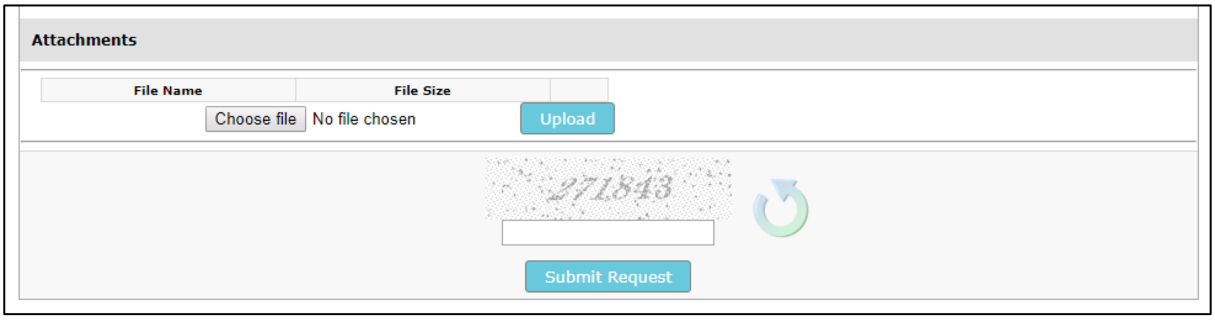
- Registration Confirmation
- Notification if the registration has been accepted or rejected
- Notification of a new Change Request (if a user submits a request to change their personal details)
- Notification if a change request has been accepted or rejected
- Password reset link (if the user forgets their password)
- Password reset confirmation (if the administrator has reset the users' password to a new random password.)



7. The final section of the form allows you to upload any required attachments or supporting documents.

8. Once you are ready to submit the form, you should enter the **CAPTCHA** code and press **Submit Request.**
9. If the CAPTCHA is not legible or has expired, press the reload button to the right of the image to generate a new code

***Note**: Do not refresh the page as the contents of the form will be lost*



10. After you have submitted the form, the notification of the entity registration will be sent to the entity email and the notification of the person (RE Admin) registration will be sent to the person email provided in the form.

11. Once the registration has been accepted or rejected, another email notification will be sent to the corresponding addresses.

1.1. Registering a Person of a Reporting Entity
1.2. Registering an Individual
1.3. Delegates
1.4. Create a delegate without admin.
1.5. Organization Request Management

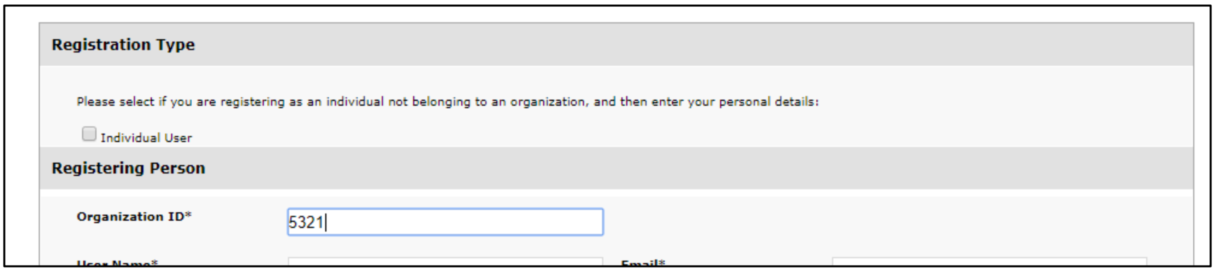
1.6. Registration Workflow For Entities
1.7. Person Request Management
1.8. Registration Workflow for Persons

2.3 Registering a Person

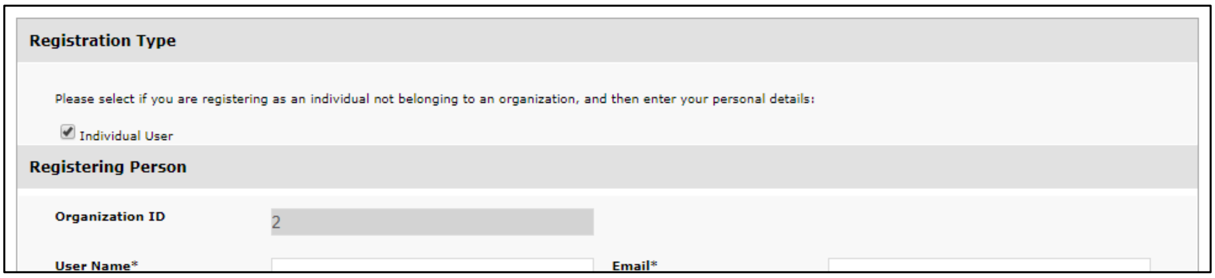
A Person can register as a user of the goAML Web application either as an **individual** or as a user of an existing reporting entity.

1. To open the Person Registration form, select **Register** -> **Register as Person**

2. To Register as a user of an existing Reporting Entity, it is mandatory to have the **Reporting Entity ID (REID)** sometimes labelled as **Organization ID**



3. If you are registering as an individual, select the **Individual User** check box. The form will reload and the **Organization ID** field will be disabled and pre-populated with the REID for the **Individuals Reporting Entity**



4. You can then fill out the form and submit it and an email is sent out confirming the registration submission to the address that is provided.

2.4 Creating Delegates

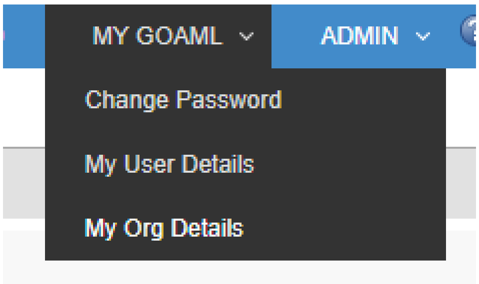
It is possible to associate two reporting entities so that one can report on behalf of the other. This is called **Delegation**.

The **Delegating** Reporting Entity is the entity that allows another organization to submit reports on their behalf. The reports do not **have** to be submitted by the other organization; users for the Delegating Entity can still log in and submit reports.

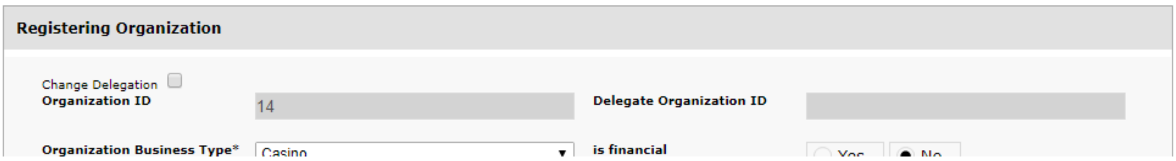
The **Delegated** Reporting Entity (or **Delegate**) is the entity that has been given the authority of another to submit their reports. A delegated reporting entity can read and send messages on behalf of the delegating entity via the message board and manage its users.

1. To create a delegation relationship between two entities that are already registered in the application, log in as the **RE Admin** of the entity that will be **Delegating**

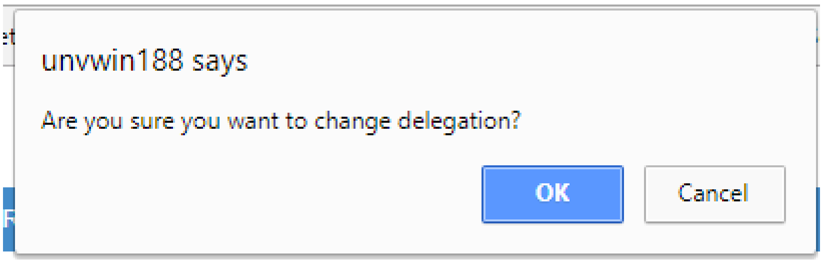
2. Select **My GoAML** -> **My Org Details**



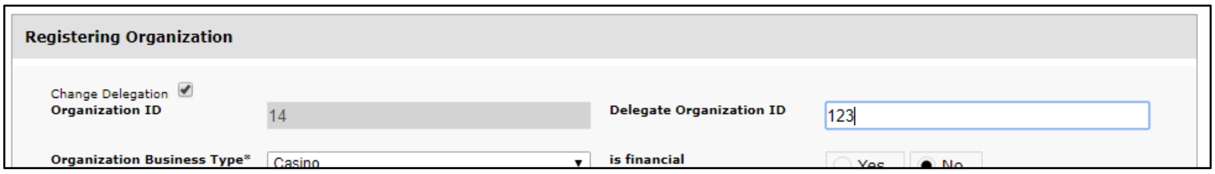
3. The details of the organization will be shown in the **Registering Organization** form



4. The **Delegate Organization ID** field is initially disabled and empty.
5. Selecting the **Change Delegation** checkbox will open a prompt



6. Click **OK**
7. The checkbox is selected and the **Delegate Organization ID** field is enabled.
8. Enter the value for the **Delegate** Organization.

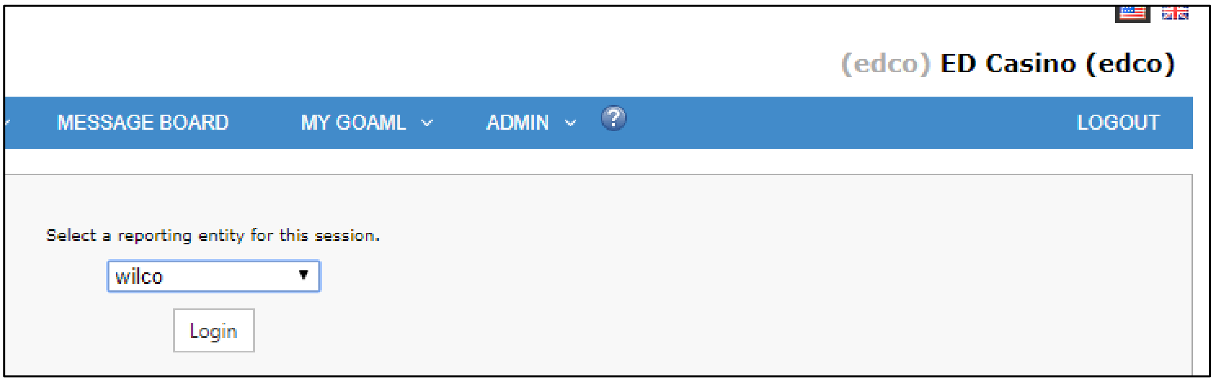


9. Click **Submit Request** at the bottom of the form. This will create a change request that needs to be finalized. Once the change request is finalized, the delegation will be created.

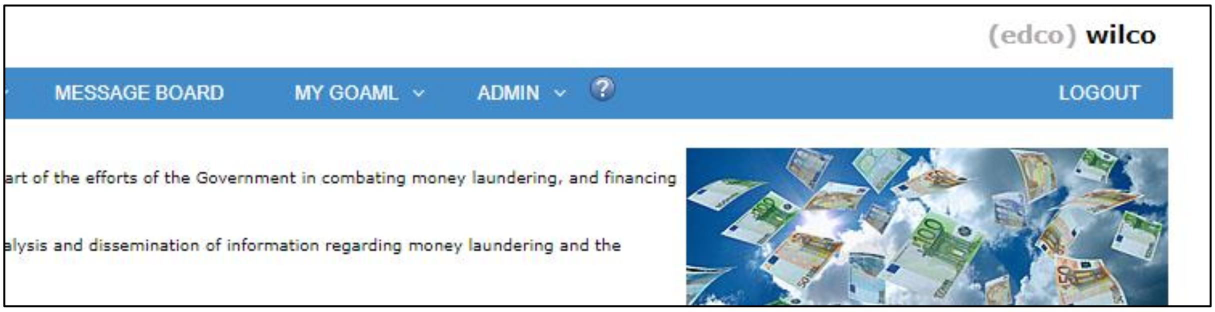
10. Once a delegation has been created between two reporting entities, the behavior of the login process is augmented for the **Delegated** Reporting Entity.

11. If you login as the user of a Delegated Entity, you will be presented with an option to change which Entity you are logged in as.

12. A drop down box is displayed with the reporting entity's name and all of the **Delegating** entities that you have delegated to the current entity.



13. If you select one of the other delegating reporting entities and then click login, you will be logged in as that Entity for the duration of the session until you log out.
14. The top right of the web app shows the username in brackets and the entity that they are logged in for in bold.
15. In the example below, the user **edco** for reporting entity **ED Casino** selected a delegating entity **wilco.** When you fill out a web report the Reporting Entity ID, which is sent with the report is determined by which entity you are logged in as. You can only read and send messages for the entity that you are logged in as.



16. If you navigate to another page in the application without selecting an entity from the dropdown box, you will stay logged in as their entity for the duration of the session.

2.4.1 Creating a delegating entity without an Admin user

It is possible to create an Entity without an associated administrator user for the purposes of delegating reporting, for example, a business may have several subsidiaries for which it needs a separate reporting entity (and REID) but only one reporting officer.

1. Click on **Create New Delegating Organization** button at the bottom of the page in the **Active Organizations** grid
2. It will load a registration for an entity that, when submitted and finalized, will create an entity that is automatically delegating to the entity which the user is currently logged in as.

3. Change Requests

Every time information for an Organization or Person is added, changed or deleted in the goAML web application, it is done so through a change request. Once a change request is submitted it goes through a workflow and is ultimately rejected or accepted. If the change request is accepted then the information for that Organization or Person is added or updated depending on the type of request.

When a change request is created, it appears in the **Organization Change Request Grid** or the **Person Change Request Grid** depending on the type. From these grids, the request can be managed through the workflow.

The change request workflow allows for any due process or due diligence that is required to be adhered to prior to the information being updated. The following table shows the change requests that can be created in the application

Change Request Type	When the Change Request is created
New Entity	**Register > Register as Organization** form is submitted. The

	form is in two parts, Entity and Admin. This change request represents the Entity part.
Existing Entity	**Admin > My Org Details** form is submitted
New Entity with Delegation Request	**Admin > Active Organizations > Create New Delegating Organization form** is submitted
Existing Entity Delegation Modification	When the **Admin > My Org Details** form is submitted with the **Change Delegation** checkbox selected.
New User	**Register > Register as Person form** is submitted
Existing User	**Admin > My User Details** form is submitted
Enable Disable User	When enabling or disabling a user from the **Active Users** grid
Enable Disable Entity	When enabling or disabling an Entity from the **Active Entities** grid
Admin User of New Entity	**Register > Register Organization** form is submitted. The form is in two parts, Entity and Admin. This change request represents the admin part.

3.1 Change Request History

As the change request moves through the workflow, each state change is logged. Clicking on **Change Request History** to expand the table shows the history of state changes which includes the user who made the change and the date the change occurred. Below is an example of a new person change request history that has gone through all the possible states in the workflow. This is displayed as being viewed by a user from the FIU, this means that the FIU user names are visible.

Request: AI-RI-180315-000717

Request Type: **New User**
Request Status: **Activated**

Change Request History ▲

Date	User	State From	State To	Comments
2018-03-15		Not Exists	Waiting for RE Admin to Verify	
2018-03-15	abco	Waiting for RE Admin to Verify	Waiting for RE Admin to Approve	some verify comments
2018-03-15	abco	Waiting for RE Admin to Approve	Waiting for Supervisory Body to Verify	some approve comments
2018-03-15	goaml	Waiting for Supervisory Body to Verify	Waiting for Supervisory Body to Approve	some FIU verify comments
2018-03-15	goaml	Waiting for Supervisory Body to Approve	Waiting for FIU to Verify	some FIU approve comments
2018-03-15	goaml	Waiting for FIU to Verify	Waiting for FIU to Approve	some FIU verify comments
2018-03-15	goaml	Waiting for FIU to Approve	Activated	some FIU approve comments

Below is the same person change request history that is shown above, however this is displayed as being viewed by a user from the Reporting Entity. This results in the usernames of the reporting entity being masked by **FIU**.

Request: AI-RI-180315-000717

Request Type: **New User**
Request Status: **Activated**

Change Request History ▲

Date	User	State From	State To	Comments
2018-03-15		Not Exists	Waiting for RE Admin to Verify	
2018-03-15	abco	Waiting for RE Admin to Verify	Waiting for RE Admin to Approve	some verify comments
2018-03-15	abco	Waiting for RE Admin to Approve	Waiting for Supervisory Body to Verify	some approve comments
2018-03-15	FIU	Waiting for Supervisory Body to Verify	Waiting for Supervisory Body to Approve	some FIU verify comments
2018-03-15	FIU	Waiting for Supervisory Body to Approve	Waiting for FIU to Verify	some FIU approve comments
2018-03-15	FIU	Waiting for FIU to Verify	Waiting for FIU to Approve	some FIU verify comments
2018-03-15	FIU	Waiting for FIU to Approve	Activated	some FIU approve comments

3.2 Organization Change Request Management Grid

The Organization Change Request Management grid lists all of the change requests that can be seen by the logged in user.

1. Select **Admin > Org Request Management** to load the Organization Change Request Management grid

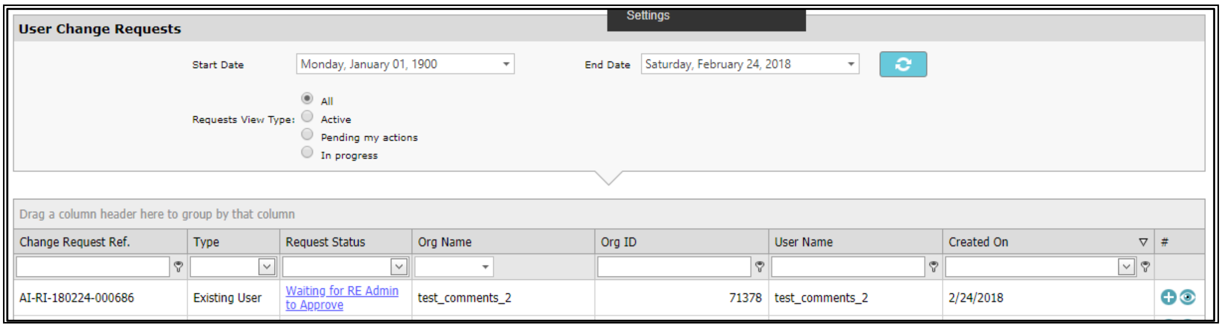
2. If you are logged in as the FIU, the grid will display all the change requests that have been received.
3. If you are logged in as a user for entity **A**, the grid will contain all the change requests for entity **A** and all the change requests for delegates of entity **A.**

4. The header of the page contains the initial filter, by date and view type.

5. To filter by the required date range and/or view types, you can select the criteria in the header of the grid and click on the reload button.

6. If the change request requires an action, the **Request Status** column will contain a link that opens the change request so that it can be moved through the workflow.

7. The icon in the right hand column allows you to edit and submit the request, if necessary, before the change request moves forward in the workflow. This would allow you to correct the data instead of you having to reject and resubmit.

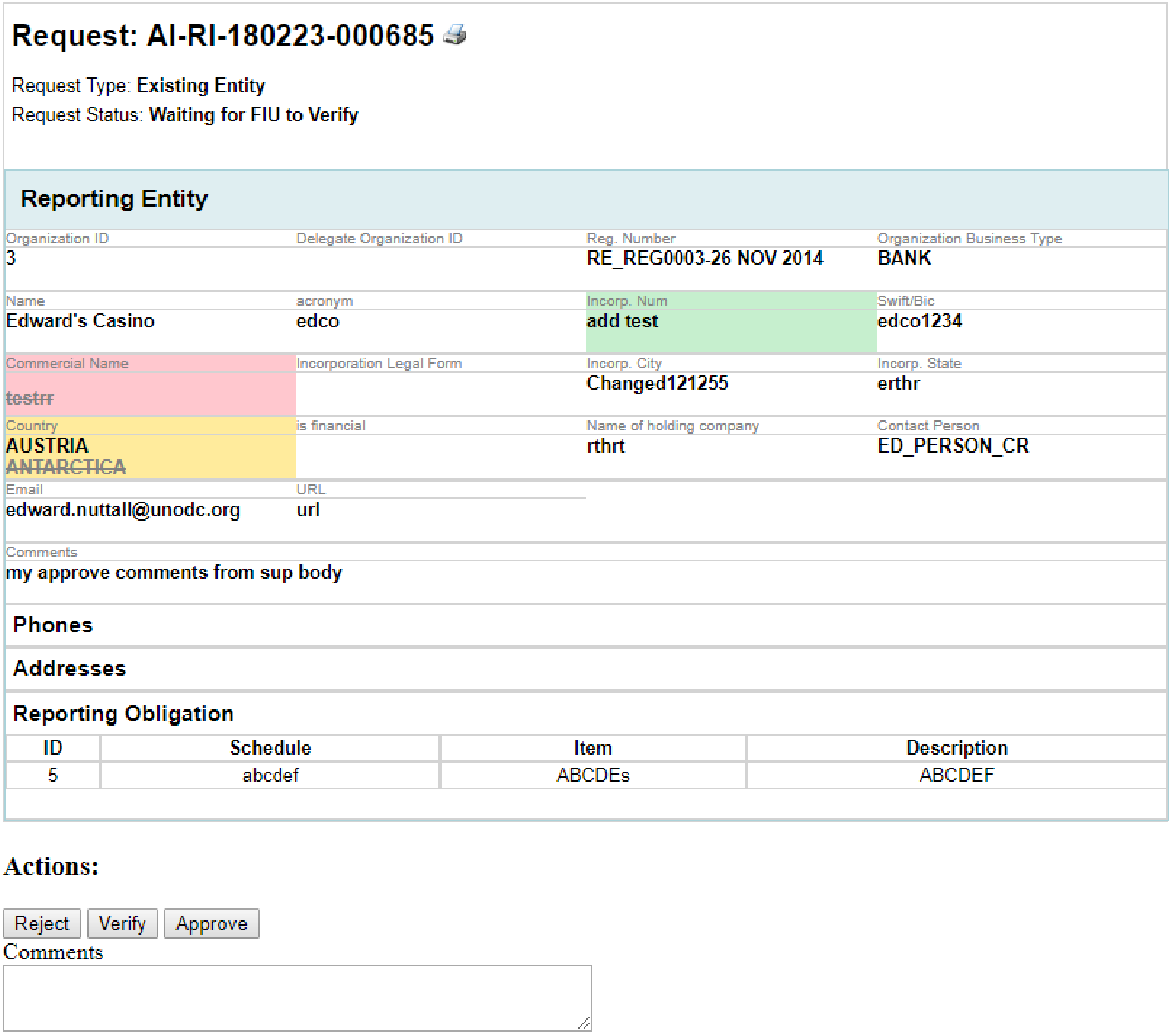


8. The image below shows an example of a User change request that has been opened by a user of the FIU. This example is for an **Existing User** change request.

- Cells highlighted in **red** show data that has been **deleted**.
- Cells highlighted in **yellow** show data that has been **changed**.
- Cells highlighted in **green** show data that has been **added**.

9. The buttons (**Reject, Verify, Approve** and **Finalise**) are the actions that you can take on this change request to move it through the workflow.

***Note**: The buttons that are visible depend on the permissions that are granted to the user.*



Request: AI-RI-180223-000685

Request Type: **Existing Entity**
Request Status: **Waiting for FIU to Verify**

Reporting Entity

Organization ID	Delegate Organization ID	Reg. Number	Organization Business Type
3		RE_REG0003-26 NOV 2014	BANK

Name	acronym	Incorp. Num	Swift/Bic
Edward's Casino	edco	add test	edco1234

Commercial Name	Incorporation Legal Form	Incorp. City	Incorp. State
~~testrr~~		Changed121255	erthr

Country	is financial	Name of holding company	Contact Person
AUSTRIA ~~ANTARCTICA~~		rthrt	ED_PERSON_CR

Email	URL
edward.nuttall@unodc.org	url

Comments
my approve comments from sup body

Phones

Addresses

Reporting Obligation

ID	Schedule	Item	Description
5	abcdef	ABCDEs	ABCDEF

Actions:

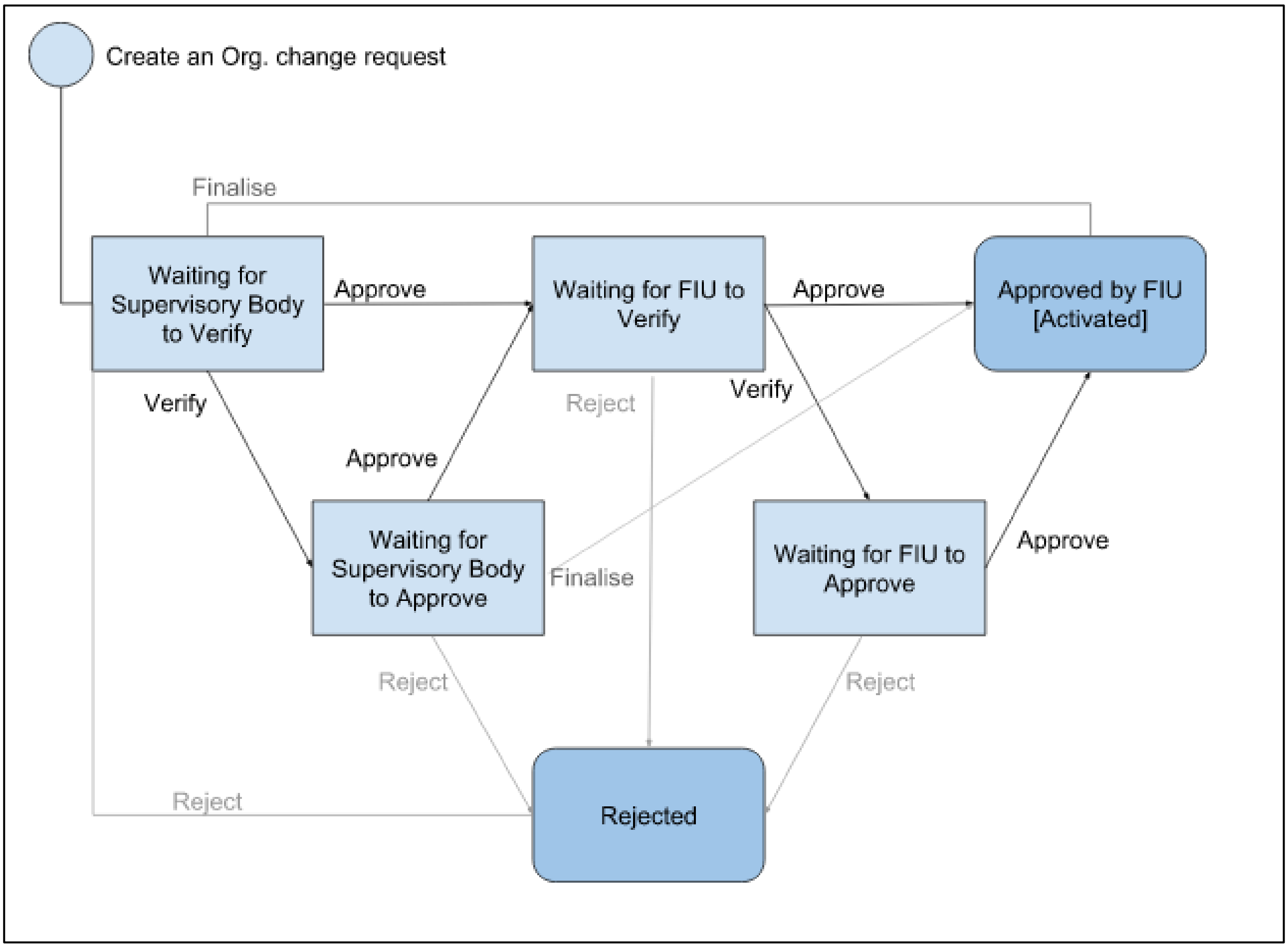
Reject | Verify | Approve

Comments

3.3. Organization Change Request Workflow

The diagram below shows the workflow of an Entity change request. The states of the change request are in blue and the arrows represent the actions that can be taken.

This is the 'maximum' workflow, which means that it is assumed that all permissions are granted to the user who opens the change request so that they will see all the possible buttons (reject, verify, approve, finalize) the workflow can be customized by restricting what actions a user can do by granting and denying permissions.



3.4. Organization Change Request Permissions

The following table describes the permissions that are used to customize the Organization Change Request workflow. To apply the permissions refer to the section **Managing Users and Entities.**

Default Permission Translation [permission_code]	**Description** 1. Action(s) allowed 2. Type of change request action can be performed on. **3.** States change request can be in before action is performed.
FIU Approve change Entity Change Request [ECR_Chg_FIU_Approve]	1. Approve 2. Existing Entity 3. Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Reject change Entity Change Request [ECR_Chg_FIU_Reject]	1. Reject 2. Existing Entity 3 .Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Verify change Entity Change Request	1. Verify

[ECR_Chg_FIU_Verify]	2. Existing Entity 3. Waiting for FIU to Verify
Entity Change Request submit change and finalize [ECR_Chg_REAdmin_Finalize]	1. Create, Finalise 2. Existing Entity 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Entity Change Request submit change [ECR_Chg_Requesting_User_Submit]	1. Create 2. Existing Entity
Sup Body Approve change Entity Change Request [ECR_Chg_Sup_Body_Approve]	1. Approve 2. Existing Entity 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Finalize change Entity Change Request [ECR_Chg_Sup_Body_Finalize]	1. Finalize 2. Existing Entity 3. Waiting for Supervisory Body to Approve
Sup Body Reject change Entity Change Request [ECR_Chg_Sup_Body_Reject]	1. Reject 2. Existing Entity 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Verify change Entity Change Request [ECR_Chg_Sup_Body_Verify]	1. Verify 2. Existing Entity 3. Waiting for Supervisory Body to Verify
FIU Approve new Entity Change Request [ECR_New_FIU_Approve]	1. Approve 2. New Entity 3. Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Reject new Entity Change Request [ECR_New_FIU_Reject]	1. Reject 2. New Entity 3. Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Verify new Entity Change Request [ECR_New_FIU_Verify]	1. Verify 2. New Entity 3. Waiting for FIU to Verify
Entity Change Request submit new and finalize [ECR_New_REAdmin_Finalize]	1. Create, Finalize 2. New Entity 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Entity Change Request recall change [ECR_New_REAdmin_Recall]	Recall (cancel) an Existing Entity change request
Entity Change Request recall new [ECR_New_Requesting_User_Recall]	Recall (cancel) a New Entity change request
Sup Body Approve new Entity Change Request [ECR_New_Sup_Body_Approve]	1. Approve 2. New Entity 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Finalize new Entity Change Request	1. Finalize 2. New Entity

[ECR_New_Sup_Body_Finalize]	3. Waiting for Supervisory Body to Approve
Sup Body Reject new Entity Change Request [ECR_New_Sup_Body_Reject]	1. Reject 2. New Entity 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Verify new Entity Change Request [ECR_New_Sup_Body_Verify]	1. Verify 2. New Entity 3. Waiting for Supervisory Body to Verify

3.5. User Change Request Management Grid

The User Change Request Management grid lists all the change requests, which can be seen by the logged in user.

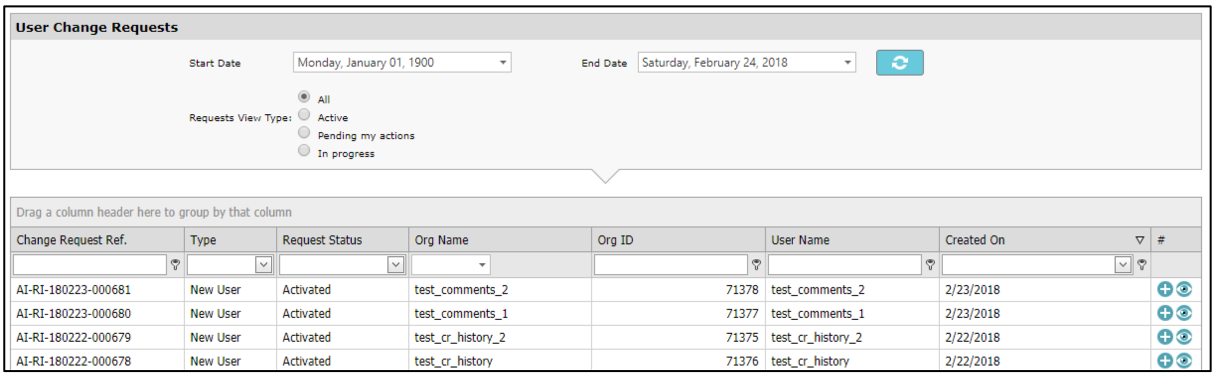
1. The User Change Request Management grid is accessed via the main menu under **Admin > User Request Management**
2. If you are logged in as the FIU, the grid will display all the user change requests.
3. If you are logged in as a user for entity **A**, the grid will display all the change requests for users of entity **A** and all the change requests for users of delegates of entity **A.**

Note: *This is dependent on the* ***AllowManagementOfDelegates*** *setting described in the Settings section*

4. The header of the page contains the initial filter, by date and view type. You can Change the date range and/or select one of the view types
5. Click on the reload button to filter the grid based on the selection.

6. If the change request requires an action, the **Request Status** column will contain a link that opens the change request so that it can be moved through the workflow.

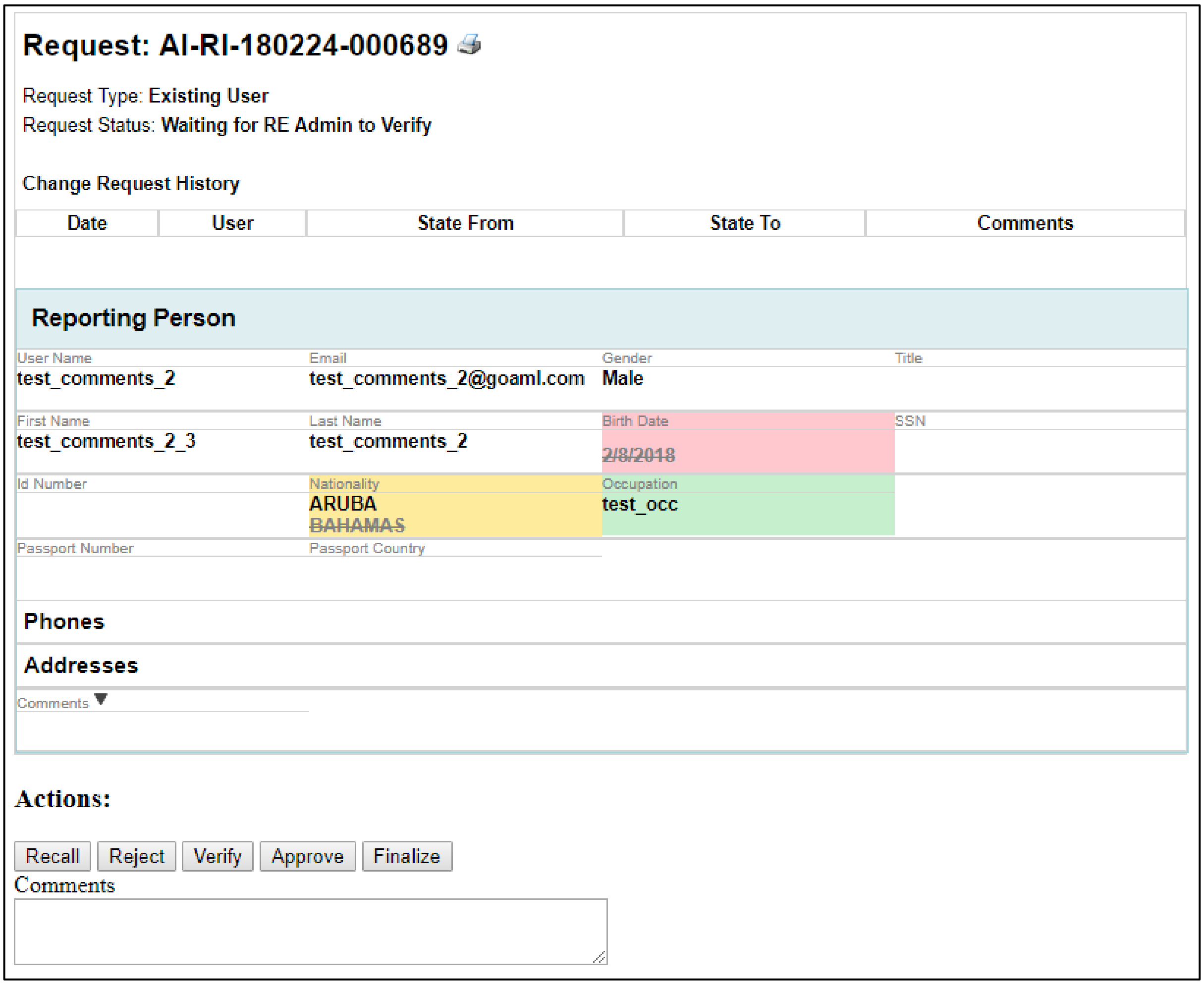
7. The icon in the right hand column allows you to edit and submit the request, if necessary. This will allow you to correct the data instead of rejecting and requiring you to resubmit.



8. The image below shows an example of an Organization change request that has been opened by a user of the FIU. This example is an **Existing Entity** change request.

- Cells highlighted in **red** show data that has been **deleted**.
- Cells highlighted in **yellow** show data that has been **changed**.
- Cells highlighted in **green** show data that has been **added**.

***Note** : These buttons (**Reject, Verify, Approve** and **Finalize**) are the actions that the user can take on this change request to move it through the workflow. The buttons that are visible depend on the permissions that are granted to the user.*
*Also, you may wish to note that **Approve** only does not complete a change request, it must be **finalized** to get it activated.*



Request: AI-RI-180224-000689

Request Type: **Existing User**
Request Status: **Waiting for RE Admin to Verify**

Change Request History

Date	User	State From	State To	Comments

Reporting Person

User Name	Email	Gender	Title
test_comments_2	test_comments_2@goaml.com	Male	
First Name	Last Name	Birth Date	SSN
test_comments_2_3	test_comments_2	~~2/8/2018~~	
Id Number	Nationality	Occupation	
	ARUBA ~~BAHAMAS~~	test_occ	
Passport Number	Passport Country		

Phones

Addresses

Comments ▼

Actions:

Recall | Reject | Verify | Approve | Finalize

Comments

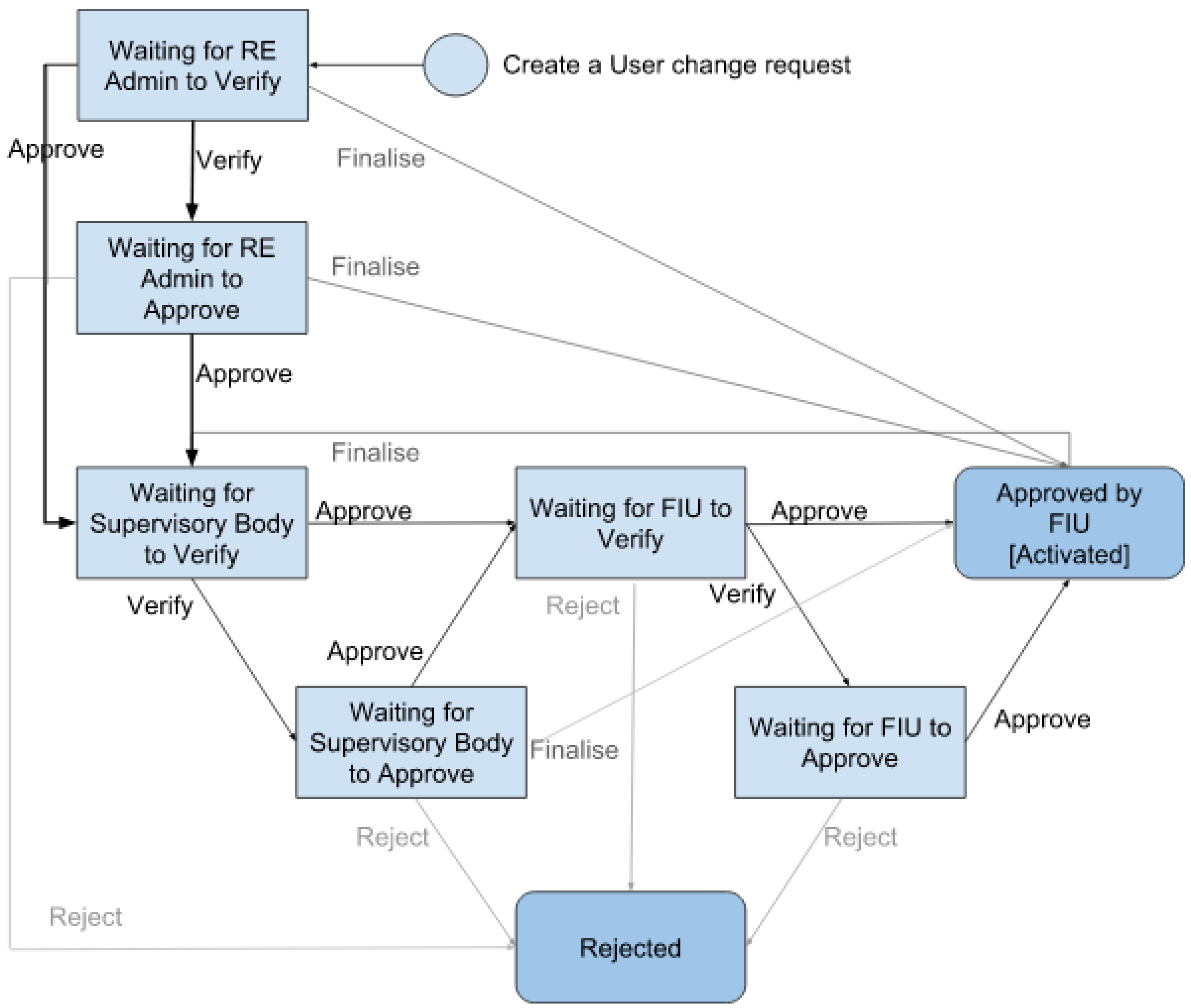
3.6. User Change Request Management Workflow

The diagram below shows the workflow of a User change request. The states of the change request are in blue and the arrows represent the actions that can be taken.

This is the ‘maximum’ workflow, which means that it is assumed that all permissions are granted to the user who opens the change request so that they will see all the possible buttons (reject, verify, approve, finalize) the workflow can be customized by restricting what actions a user can do by granting and denying permissions.

The important differences between User and Organization change requests are:

1. A User change request is automatically created for the **Admin user** when a new **Entity Change** request is submitted.
2. This change request is finalized or rejected automatically depending on the actions taken on the associated Entity Change request.
3. The workflow is similar to the Entity Change request workflow; however, a user change request can first be verified, approved, rejected and finalized by the **Reporting Entity Admin** when it is created.



3.7. User Change Request Permissions

The following table describes the permissions that are used to customize the User Change Request workflow. To apply the permissions, refer to the section **Managing Users and Entities.**

Default Permission Translation [permission_code]	**Description** 1. Action(s) allowed 2. Type of change request action can be performed on. **3.** States change request can be in before action is performed.
FIU Approve change Person Change Request [PCR_Chg_FIU_Approve]	1. Approve 2. Existing User 3. Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Reject change Person Change Request [PCR_Chg_FIU_Reject]	1. Reject 2. Existing User 3. Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Verify change Person Change Request [PCR_Chg_FIU_Verify]	1. Verify 2. Existing User 3. Waiting for FIU to Verify
Person Change Request submit change and finalize [PCR_Chg_REAdmin_Finalize]	1. Create, Finalize 2. Existing User 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Person Change Request submit change [ECR_Chg_Requesting_User_Submit]	1. Create 2. Existing User
Sup Body Approve change Person Change Request [PCR_Chg_Sup_Body_Approve]	1. Approve 2. Existing User 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Finalize change Person Change Request [PCR_Chg_Sup_Body_Finalize]	1. Finalize 2. Existing User 3. Waiting for Supervisory Body to Approve
Sup Body Reject change Person Change Request [PCR_Chg_Sup_Body_Reject]	1. Reject 2. Existing User 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Verify change Person Change Request [PCR_Chg_Sup_Body_Verify]	1. Verify 2. Existing User 3. Waiting for Supervisory Body to Verify

FIU Approve new Person Change Request [PCR_New_FIU_Approve]	1. Approve 2. New User 3. Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Reject new Person Change Request [PCR_New_FIU_Reject]	1. Reject 2. New User 3. Waiting for FIU to Verify, Waiting for FIU to Approve
FIU Verify new Person Change Request [PCR_New_FIU_Verify]	1. Verify 2. New User 3. Waiting for FIU to Verify
Person Change Request submit new and finalize [PCR_New_REAdmin_Finalize]	1. Create, Finalize 2. New User 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Person Change Request recall change [PCR_New_REAdmin_Recall]	1. Recall (cancel) an Existing User change request
Person Change Request recall new [PCR_New_Requesting_User_Recall]	1. Recall (cancel) a New User change request
Sup Body Approve new Person Change Request [PCR_New_Sup_Body_Approve]	1. Approve 2. New User 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Finalize new Person Change Request [PCR_New_Sup_Body_Finalize]	1. Finalize 2. New User 3. Waiting for Supervisory Body to Approve
Sup Body Reject new Person Change Request [PCR_New_Sup_Body_Reject]	1. Reject 2. New User 3. Waiting for Supervisory Body to Verify, Waiting for Supervisory Body to Approve
Sup Body Verify new Person Change Request [PCR_New_Sup_Body_Verify]	1. Verify 2. New User 3. Waiting for Supervisory Body to Verify
RE Admin Verify new Person Change Request [PCR_New_RE_Admin_Verify]	1. Verify 2. New User 3. Waiting for RE Admin to Verify
RE Admin Approve new Person Change Request [PCR_New_RE_Admin_Approve]	1. Approve 2. New User 3. Waiting for RE Admin to Verify, Waiting for RE Admin to Approve
RE Admin Finalize new Person Change Request [PCR_New_RE_Admin_Finalize]	1. Finalize 2. New User 3. Waiting for RE Admin to Approve
RE Admin Reject new Person Change Request]PCR_New_RE_Admin_Reject]	1. Reject 2. New User 3. Waiting for RE Admin to Verify, Waiting for RE Admin to Approve
RE Admin Verify change Person Change Request [PCR_Chg_RE_Admin_Verify]	1. Verify 2. Existing User

	3. Waiting for RE Admin to Verify
RE Admin Approve change Person Change Request [PCR_Chg_RE_Admin_Approve]	1. Approve 2. Existing User 3. Waiting for RE Admin to Verify, Waiting for RE Admin to Approve
RE Admin Finalize change Person Change Request [PCR_Chg_RE_Admin_Finalize]	1. Finalize 2. Existing User 3. Waiting for RE Admin to Approve
RE Admin Reject change Person Change Request]PCR_Chg_RE_Admin_Reject]	Reject Existing User Waiting for RE Admin to Verify, Waiting for RE Admin to Approve

4. Managing Users and Entities

4.2 Role Management

1. The Role Management page is accessed via **Admin > Role Management**. The role management permission is required to view the page.

2. The Role Management page allows the creation, update and deletion of roles that are used in the web application.

3. There are two main tabs **Roles for Org or User Type** and **Roles for a specific Org** or **User**. Only the FIU users are allowed to edit the roles for an Org or User Type.

4.2.1 Roles for Org or User Type

This tab is used to manage roles that are associated with an organization type or a user type. This means that a role can be created, which will be available to all organizations or individuals of that type. It does not mean that all the users are assigned the roles; it just means that they are available to them.

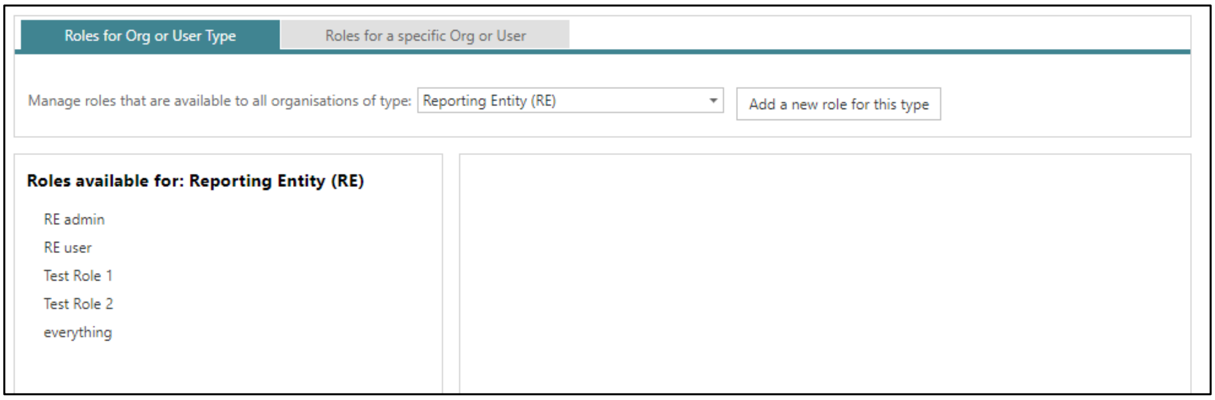
The web application has a fixed set of system roles for each type that are required and automatically assigned to new users. The roles should never be deleted from the system. The table below shows how these roles are automatically applied, however they can be given to other users provided the role association is valid for the user and the entity type.

System Role	Organization or Individual Type	Who the role is automatically assigned to
FIU admin	FIU	The initial **goaml** user, or if the there is no FIU admin in the system, the first FIU user that is created.
FIU user	FIU	Users that are created for the FIU
RE admin	RE	The user that is registered at the time of a Reporting Entity registration
RE user	RE	Users that are created for a Reporting Entity
individual	IND	Users that are registered as individuals.
sup body admin	SUP	The user that is registered at the time of a Supervisory Body registration
sup body user	SUP	Users that are created for a Supervisory Body
stake holder admin	SH	The user that is registered at the time of a Stake Holder registration
stake holder user	SH	Users that are created for a Stake Holder

4.2.2 Add a new role to an organization type

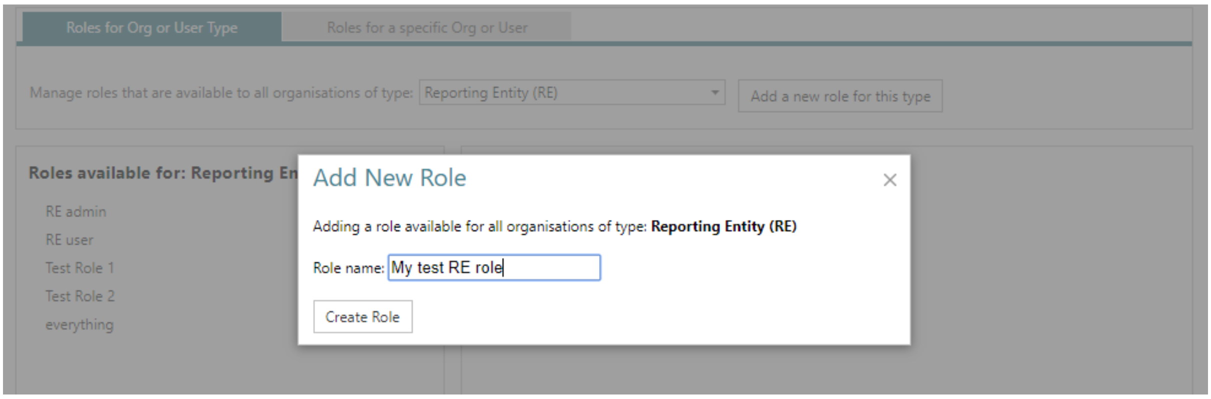
1. To create a new role for a specific organization type, select the entity type from the drop down box, e.g. **Reporting Entity (RE)**

2. Select **Add a new role for this type**



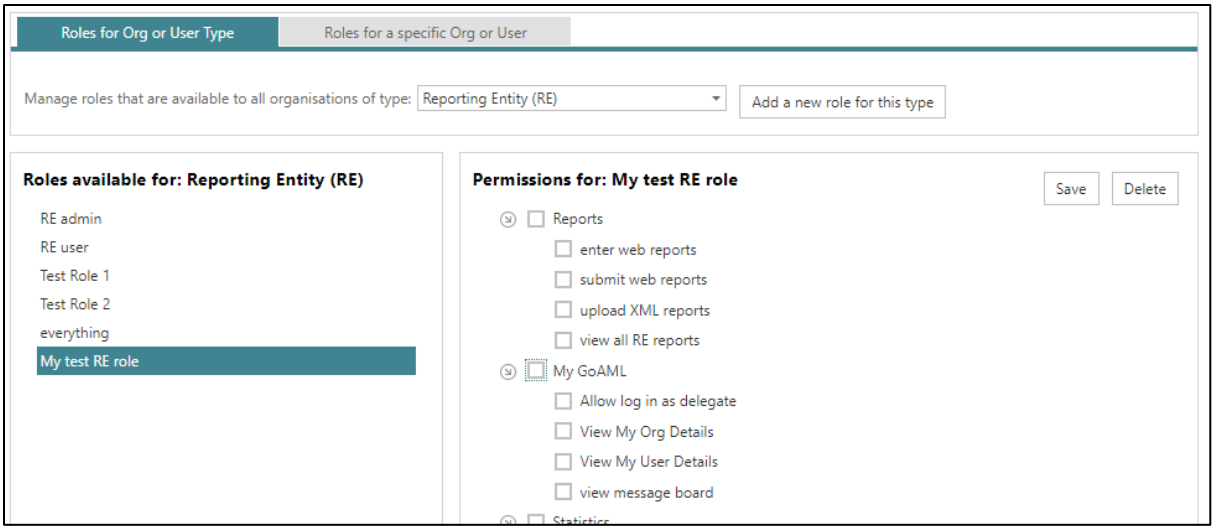
3. A dialog box confirming that a role is created for **Reporting Entity (RE)** type appears

4. Type the name of the new role and click **Create Role**



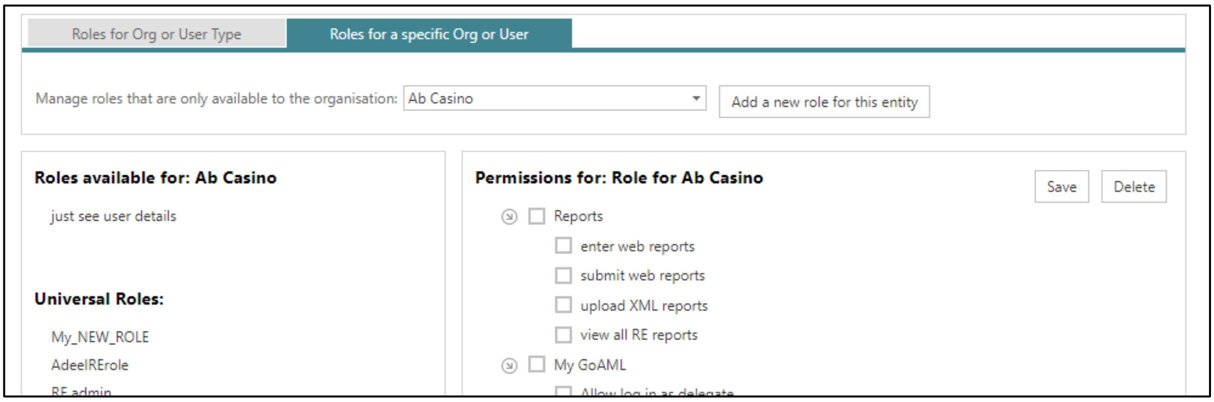
5. The role will now appear on the list of **Roles available for: Reporting Entity (RE)** and it will be available for applying to users of all organizations that are type **RE** (i.e. Reporting Entity)

6. To add permissions to a role, select the checkboxes next to the required permission in the **Permissions for: <<*role name*>>** and then select **Save**

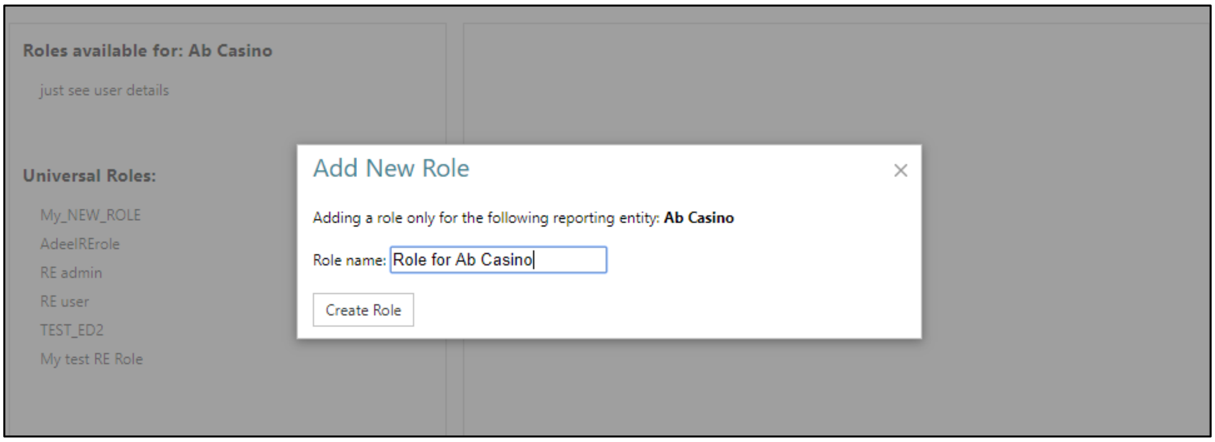


4.2.3 Add a new role for a specific organization

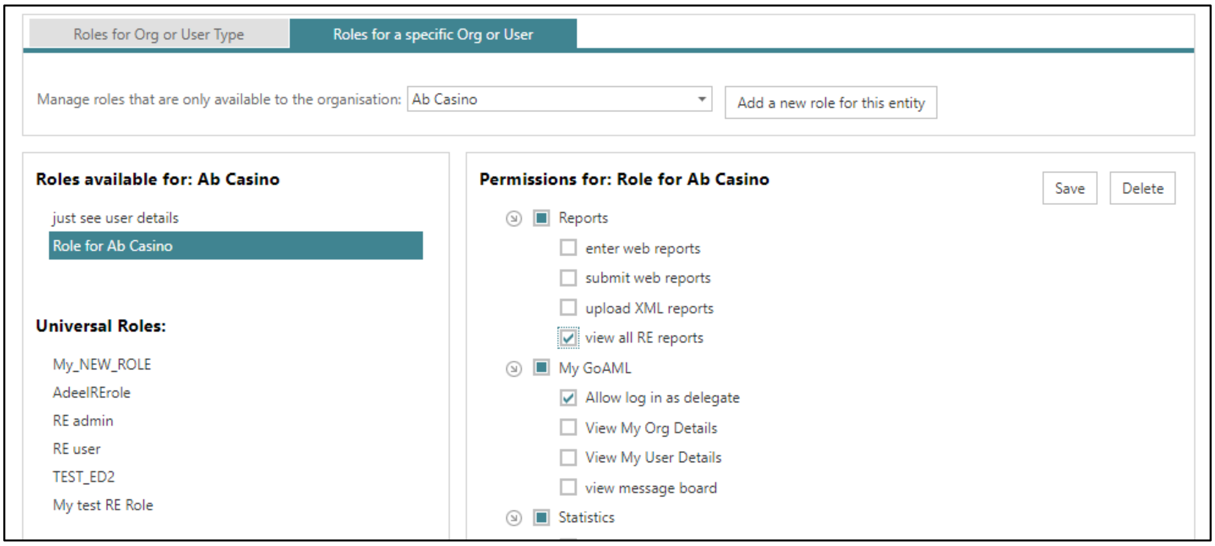
1. To create a new role for a specific organization, select the entity type from the drop down box (in this example Ab Casino)
2. Add a new role for this entity



3. Add a name for this role and click **Create Role**



4. The role will now appear in the list of **Roles available for: Ab Casino**
5. The list of **Universal Roles** will also be shown, this is a list of roles that are also available to the entity based on its type, and in this case, the type is **RE** so all the roles for Reporting Entities are displayed too.



4.2.4 Delete a Role

1. To delete a role, you simply select the role as described above and click the **Delete** button that is available in the permissions pane.

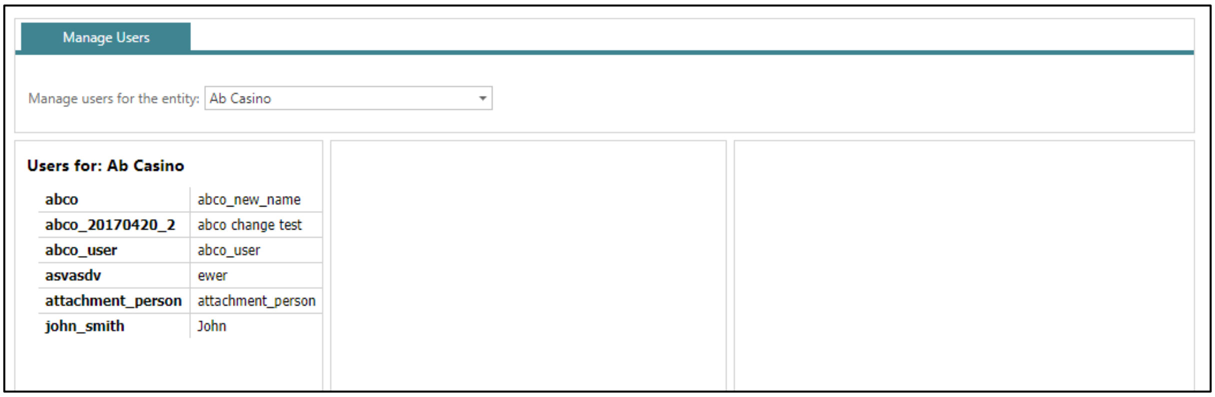
2. It is not possible to delete a role if there are users associated with it. It is necessary to remove all the role associations (see **User-Role Management**) before deleting a role.

4.3 User-Role Management

1. The **User-Role Management** page is accessed via **Admin > User-Role Management.** The **user management** permission is required to view the page.

2. The User-Role Management page allows management of the mapping between users and roles

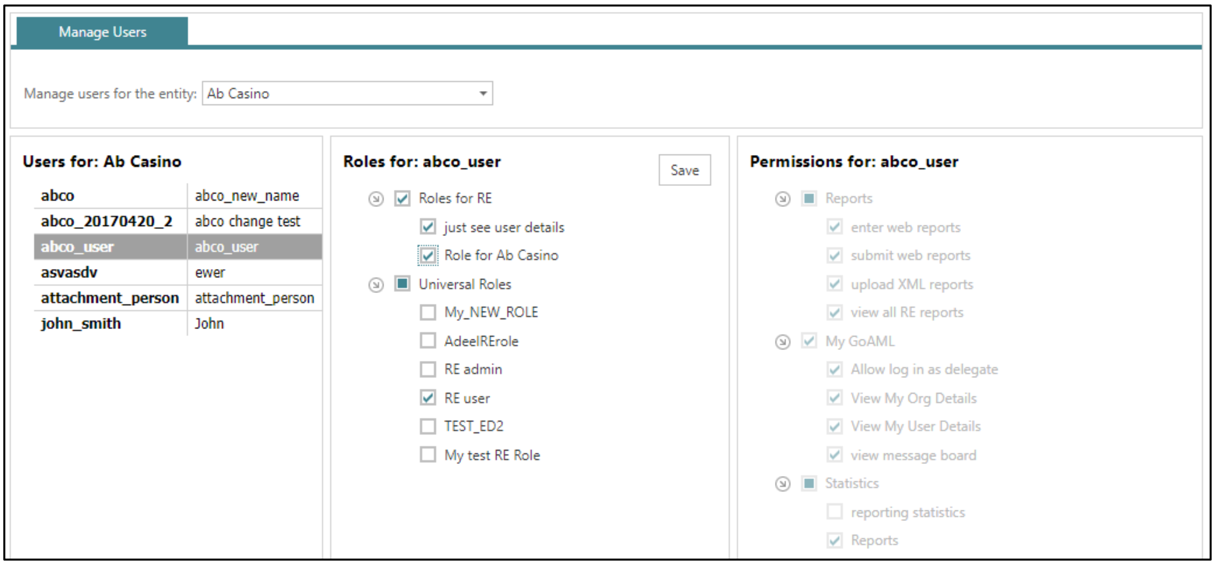
3. To manage the roles that a user has, open the page and select the Entity from the dropdown list (in this example **Ab Casino** is selected and all the users of this entity are shown in the first panel titled **Users for: Ab Casino)**



4. When selecting a user, all the roles available will be listed in the center panel **Roles for: <<username>>**.
5. They will be split into two lists, the first is all the roles for the specific entity **'Roles for RE'** and then all the universal roles for that entity type **'Universal Roles'**

6. To add and remove roles simply check and uncheck the roles in the list and click save.

7. The permissions list on the right will show all the permissions that are granted to the user depending on what roles the user has. This list is disabled as it is for information only so that it is clear what permissions the user has been given. (the checkboxes cannot be edited)



4.4 Permissions Definitions

The following table provides descriptions of what each of the permissions allows the user to do. The **User Change Request** and **Organization Change Request permissions** are part of the change management workflow and descriptions of these are provided in the **Change Requests** section.

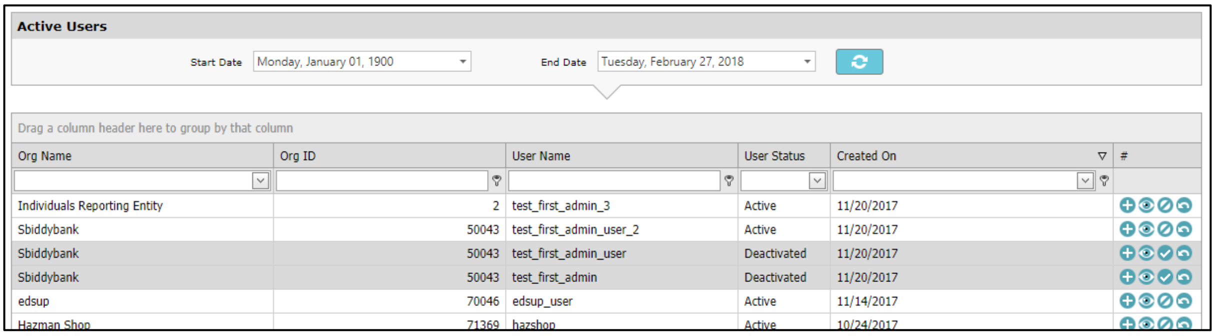
Permission	Description
Reports	
enter web reports	Allow the user to fill out a web report form
submit web reports	Allow a user to submit a web report form
upload XML reports	Allow a user to upload XML reports and ZIPs
view all RE reports	Allow a user to view the reports for their RE and for the delegating RE's
FIU Manage All Reports	Allow a user to view all reports in the DB
My GoAML	
Allow log in as delegate	Allow the user to log in as a delegating RE
View My Org Details	View the details of the users RE under **Admin > My Org Details**
View My User Details	View the details of the user under **Admin > My User Details** The permission **Person Change Request submit change** is also required for this menu item.
view message board	Allow the user to view and use the message board
Statistics	
Reporting Statistics	View the reporting statistics page under **Admin > Statistics**
Reports	View the Reports grid
Reports by Agency and Date	View the charts of Reports pivoted by Agency and Date
Reports by Entity and Type	View the charts of Reports pivoted by Entity and Type
Reports by Entity and Date	View the charts of Reports pivoted by Entity and Date
Reports by Status and Date	View the charts of Reports pivoted by Status and Date
Transactions	View the Transactions grid
Transactions by Entity	View the Transactions by Entity
Transactions by Type	View the Transactions by Report Type
Entity Requests	View the Entity Requests grid
Delegation Structure	View a grid showing a list of Delegate Entities with their respective Delegating Entities in the details.

Entity Registration Statistics	View the Entity Registrations grid
New Entities by Type and Date	View the charts of New Entities pivoted by Agency Type and Date
User Requests	**View the User Requests grid**
New Users by Entity and Date	View the charts of New Users pivoted by Entity and Date
User Registration Statistics	View the User Registration grid
Admin	
Role Management	View and perform actions on the **Admin > Role Management** page
User Management	View and perform actions on the **Admin > User Management** page
Security Cleanup	*Deprecated.* **Admin > Site Customization** is used instead.
Site Customization	View and perform actions on the **Admin > Settings** page
Manage Organization Change Requests	View and perform actions on the **Admin > Org Request Management** page
Manage User Change Requests	View and perform actions on the **Admin > User Request Management** page
edit Supervisory Bodies Associations	View and perform actions on the **Supervisory Body mapping** grid that is accessible from **Admin > Active Organizations.**
Create delegation	Allow the creation of the new delegating organization with the **Create New Delegating Organization** button from **Admin > Active Organizations**
Can Create change Requests for my Users	From the **Admin > User Request Management** page, allow creation of a Delegating Entity.
Release Notes	*Deprecated.*
Entity Change Requests	*Refer to the section **Organization Change Request Permissions***
Person Change Requests	*Refer to the section **User Change Request Permissions***

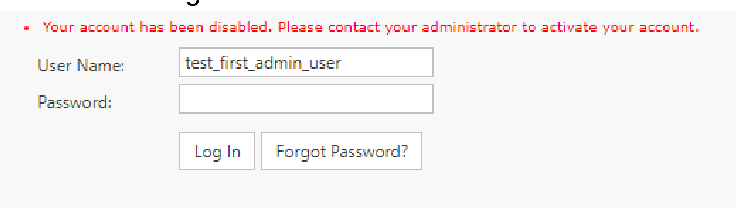
4.5 Active Users Grid

The **Active Users** Grid shows all the user registrations that have been through the registration workflow and approved by the FIU (**[Activated]**)

As in the image below, the grid also shows users that are in status **Deactivated**. This is not the same as either **Recalled** or **Rejected**. For a user to be deactivated, the registration should first be finalized bringing the user to an activated state. That means that a deactivated user was at some point able to log in.



Depending on the permissions of the user, several actions can be performed on each user.

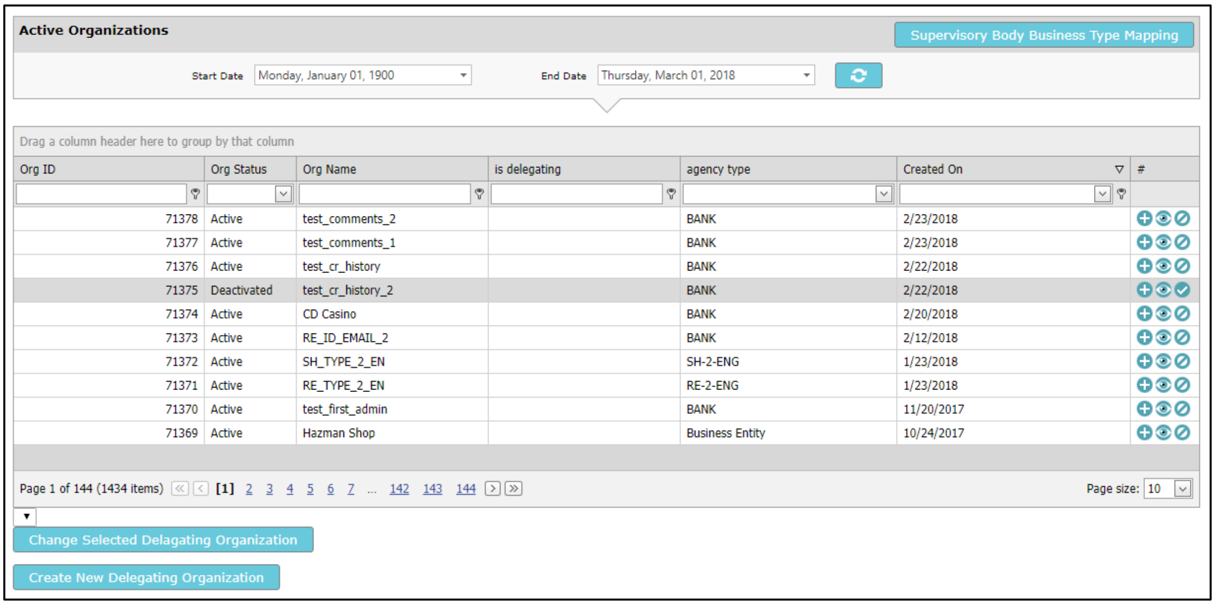
Active User Action	Icon	Description
New Change Request		This opens a new form to allow the update and submission of a user's details. The change request must be finalized for the update to be persisted. The new form opens in a new browser window that may be prevented by pop-up blockers. Ensure that pop ups are allowed for the goAML application.
Preview		This opens a new form to view a user's details. This will be the most recently approved change request for that user. The new form opens in a new browser window that may be prevented by pop-up blockers. Ensure that pop ups are allowed for the goAML application.
Disable / Enable		This deactivates or activates a user to prevent or allow them to log in and use the goAMLWeb application. If an account is deactivated, an error is shown when the user tries to log in. 

Reset Password		This will reset the password for the current user. This creates a new random password and emails it to the user. For details on passwords, see the **Passwords** section

4.6 Active Organizations Grid

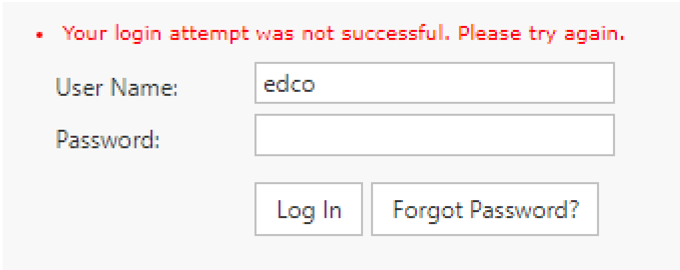
The **Active Organizations** Grid shows all the organization registrations that have been through the registration workflow and approved by the FIU (**[Active]**)

As in the image below, the grid also shows organizations that are in status **Deactivated**. This is not the same as either **Recalled** or **Rejected**. For an organization to be deactivated, the registration should first have been finalized bringing the organization to an Activate state. That means that a Deactivated organization was at some point able to submit reports.



Depending on your permissions, there are several actions that you can perform on each organization as well as create new organizations and map the supervisory body types.

Active Organization Action	Icon	Description
New Change Request		This opens a new form to allow the update and submission of organizations' details. The change request should be finalized for the update to be persisted.

		The new form opens in a new browser window that may be prevented by pop-up blockers. Ensure that pop ups are allowed for the goAML application.
Preview		This opens a new form to view organization details. This will be the most recently approved change request for that organization The new form is opened in a new browser window that may be prevented by pop-up blockers. Ensure that pop ups are allowed for the goAML application.
Disable / Enable		This deactivates or activates an organization to prevent or allow all of the associated users to log in and use the goAMLWeb application. If an organization is deactivated, an error is shown when one of the users of that, organization tries to log in. 

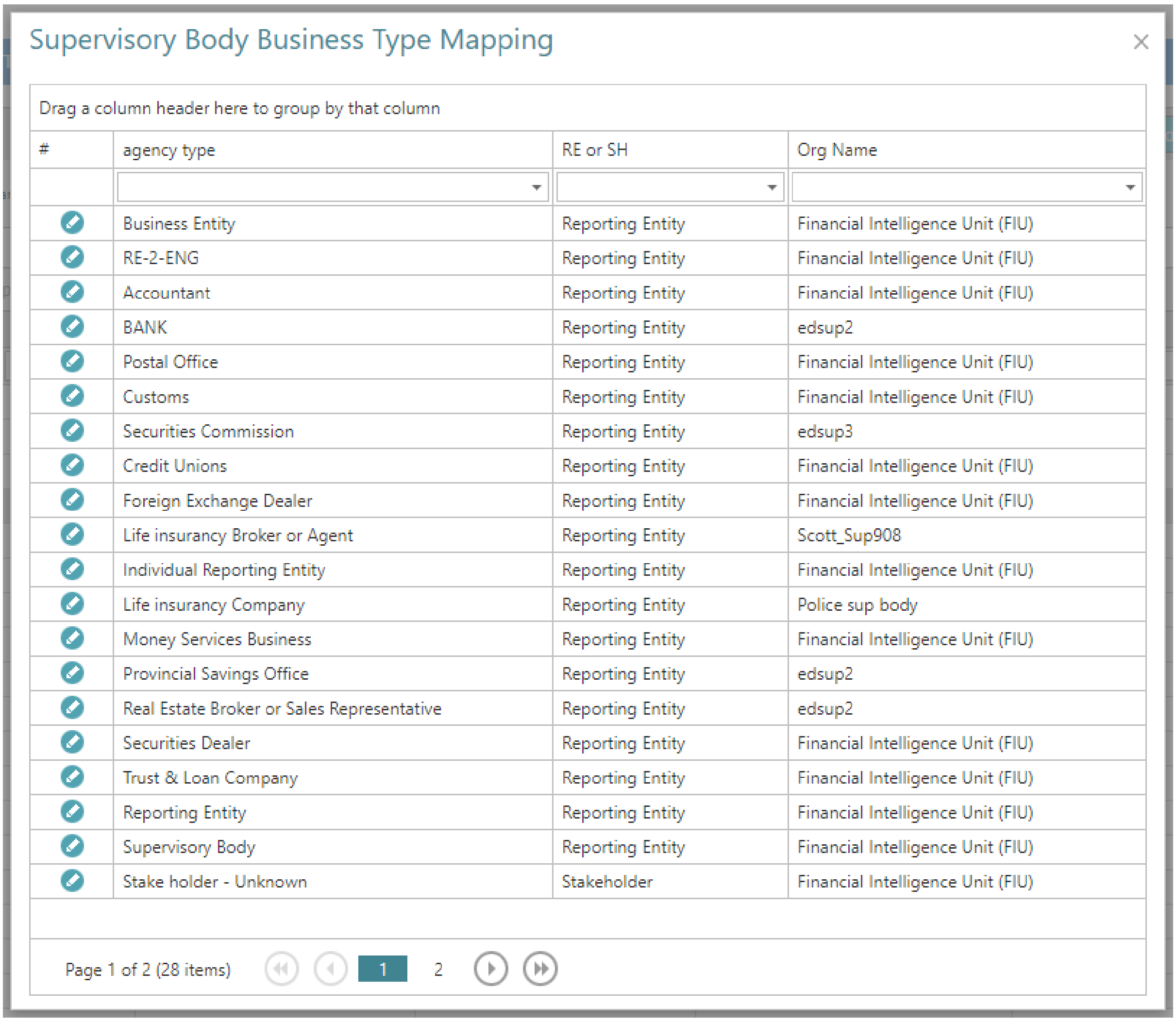
4.6.1 Create new Delegating Organization

1. Select the button Create New Delegating Organization in the **Active Organizations** grid
2. It will open a form to allow the submission of a new entity request that, if finalized, will create a new Entity that is delegating to the current logged in Entity.

   Note*: The advantage of this is that is it not necessary to create another reporting admin. This also means that the newly created Entity does not and will not contain any users.*

4.6.2 Supervisory Body Business Type Mapping

1. Select the button Supervisory Body Business Type Mapping in the Active Organizations grid
2. It opens the supervisory body business type-mapping grid.


Supervisory Body Business Type Mapping

Drag a column header here to group by that column

#	agency type	RE or SH	Org Name
	Business Entity	Reporting Entity	Financial Intelligence Unit (FIU)
	RE-2-ENG	Reporting Entity	Financial Intelligence Unit (FIU)
	Accountant	Reporting Entity	Financial Intelligence Unit (FIU)
	BANK	Reporting Entity	edsup2
	Postal Office	Reporting Entity	Financial Intelligence Unit (FIU)
	Customs	Reporting Entity	Financial Intelligence Unit (FIU)
	Securities Commission	Reporting Entity	edsup3
	Credit Unions	Reporting Entity	Financial Intelligence Unit (FIU)
	Foreign Exchange Dealer	Reporting Entity	Financial Intelligence Unit (FIU)
	Life insurancy Broker or Agent	Reporting Entity	Scott_Sup908
	Individual Reporting Entity	Reporting Entity	Financial Intelligence Unit (FIU)
	Life insurancy Company	Reporting Entity	Police sup body
	Money Services Business	Reporting Entity	Financial Intelligence Unit (FIU)
	Provincial Savings Office	Reporting Entity	edsup2
	Real Estate Broker or Sales Representative	Reporting Entity	edsup2
	Securities Dealer	Reporting Entity	Financial Intelligence Unit (FIU)
	Trust & Loan Company	Reporting Entity	Financial Intelligence Unit (FIU)
	Reporting Entity	Reporting Entity	Financial Intelligence Unit (FIU)
	Supervisory Body	Reporting Entity	Financial Intelligence Unit (FIU)
	Stake holder - Unknown	Stakeholder	Financial Intelligence Unit (FIU)

Page 1 of 2 (28 items) 1 2

3. This allows to select which organization will be the supervisory body for each agency type (agency type refers to the types of both Reporting Entities and Stake Holders)

4. The default supervisory body is the **FIU** this means that if there are no changes to the default mappings, the ‘supervisory body’ will be the **FIU** in the workflow and so once the **FIU** approves the change request it will be finalized.

5. To change a mapping for a row, select the edit icon on the left hand side, then select the organization that you want to be the supervisory body for that agency type

6. Select the save icon (or cancel to return without making any changes)

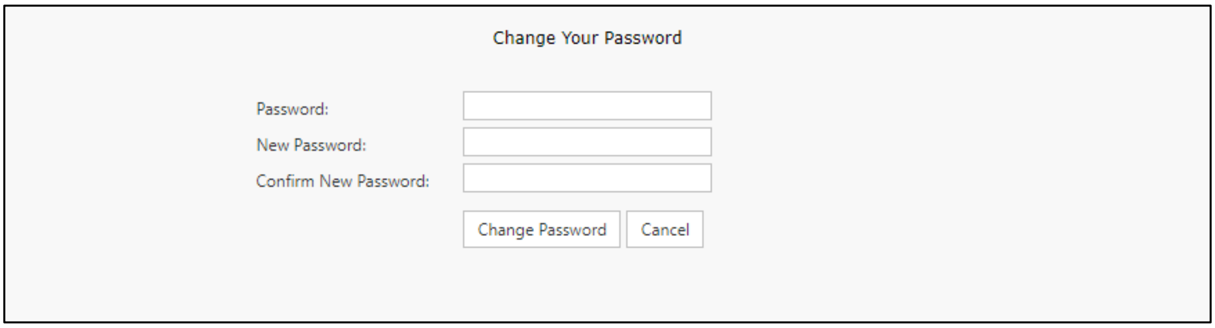
4.7 Passwords

The password that is associated with a user account can be changed, recovered and expired.

4.7.1 Change password

You can change your password at any time directly in the web application, providing you know your existing password.

1. Go to **Admin > Change Password**
2. Enter your existing password and the new password in the **New Password** and **Confirm New Password** input boxes respectively.



4.7.2 Forgot Password

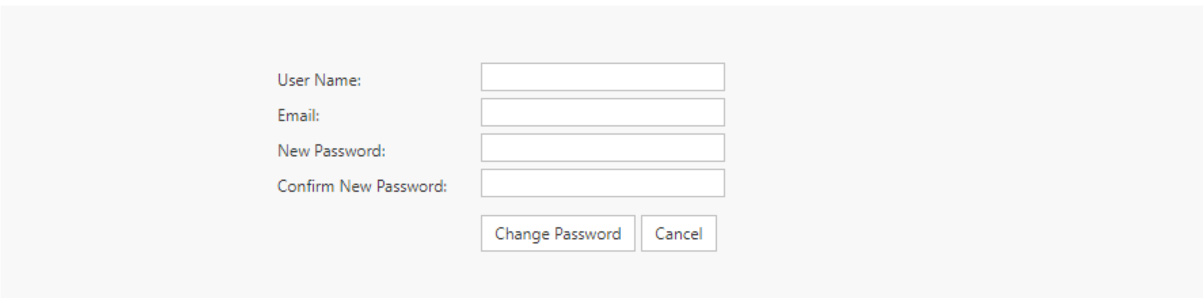
In order to retrieve a forgotten password:

1. Click the **Forgot Password** button on the login screen.
2. Fill out the username and email address for the account you wish to reset the password for and click submit
3. An email similar to the one below is sent to the user.

A request to reset your goAML password was created. Please click on the following link to reset your password:
http://www.mygoamlsite.com/Account/pwLink/8d48a9d9-b21f-4af1-9cea-1ac905b27b59
If you did not make this request, please contact your FIU immediately.
Please do not reply, this is an automated message.

4. The link will take the user to the following screen where they must supply their username, email and new password.
5. Select **Change Password** for the changes to take effect.

***Note**: If the user cannot recall their username or email address associated with their account, they must contact the FIU.*



4.7.3 Reset Password

1. In the Admin > Active Users grid, Select a user and click
2. This creates a new random password and emails it to the user
3. When the user then logs in with this new password they will be redirected to the change password screen where they must change their password before continuing to use the system

5. Reporting

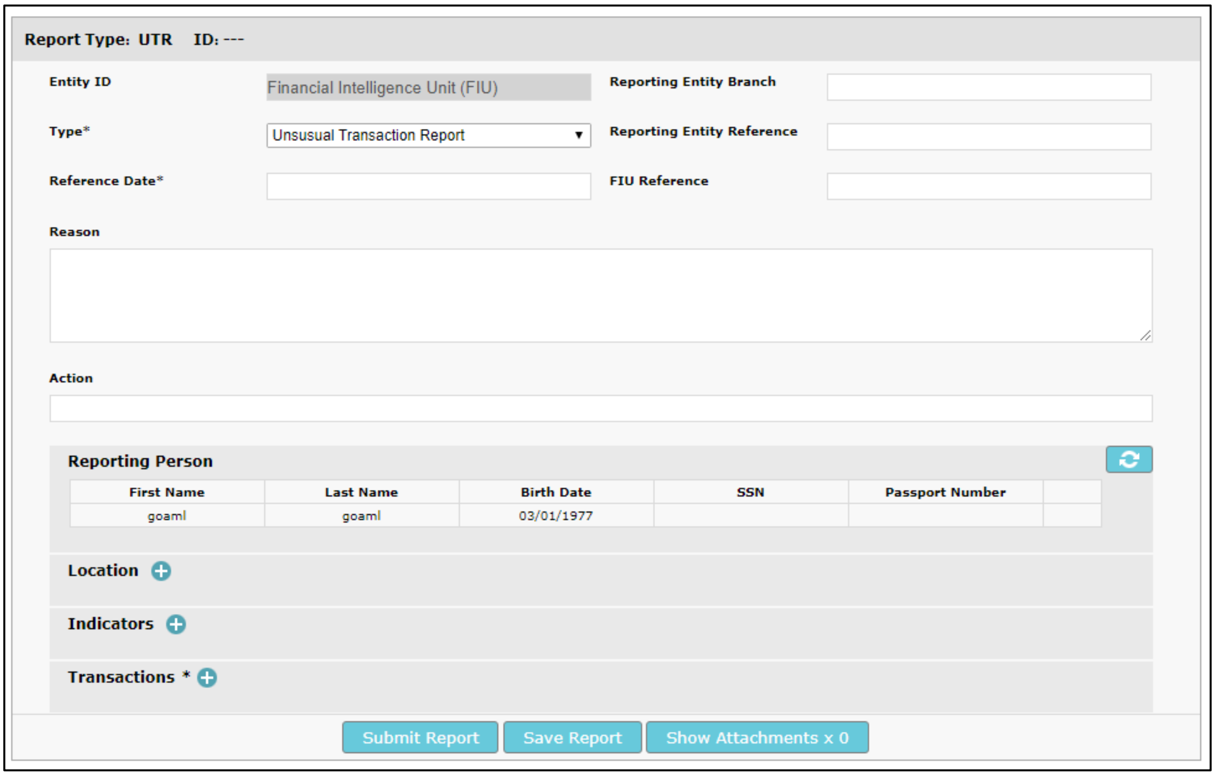
Transaction Reports and Activity Reports are XML documents that conform to the current goAML schema that are uploaded, validated and transferred to the goAML client via the goAML Web application. These XML documents can be submitted in three ways;

1. **Web Report**, This is where the user manually keys in the data into an online form that is then converted to XML before being uploaded and queued for validation.
2. **XML Upload** This is where the user has created the XML documents themselves and directly uploads them individually or grouped together as part of a zip file.
3. **B2B** This is the same as the XML upload; however, the files are uploaded via a web service. For more details on this, please refer to the **B2B section.**

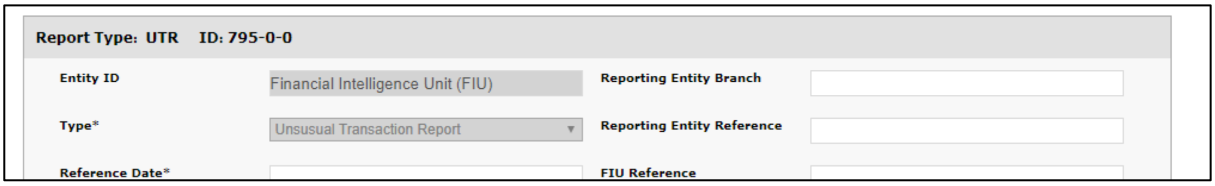
5.2 Web Reports

N.B. As from release 4.6.00.0 there are New Web Forms that are available which have separate documentation. Please refer to goAML Web New Report Form for more details. The Web Report Forms described below are only supported for security fixes. All new features and fixes will be implemented in the New Web Forms

1. The manual web report is opened via the main menu **New Reports > Web Reports**
2. You. will see a form similar to the image below.
3. You can start filling out the form and save it to return working on it later.



4. The **Reference Date** field is mapped to the **<submission_date>** tag in the XML. In the next schema a new tag **<reference_date>** is proposed that will run alongside the submission date tag which will eventually be deprecated. The reference date is populated with the current date, but can also be edited.
5. Once a report is saved for the first time, it will be assigned a **Report ID** that is shown in the header of the form,
6. **Report Type** drop down box is then disabled.



7. The report can now be accessed from the **Unsubmitted Reports** grid, where if necessary it can be deleted.

   Alternatively

8. From the main menu, select, **Drafted Reports > Current Report**, which will load the last saved web report.

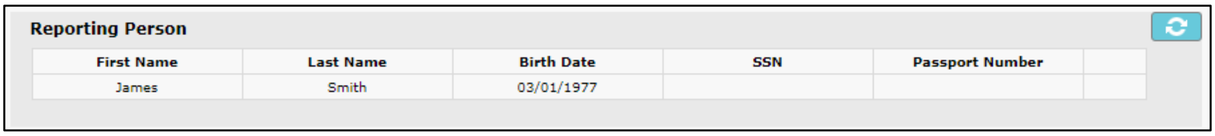
5.2.1 Save Points

There are several ‘save points’ in the form where the report is automatically saved when adding a particular object to a collection. At these points, when you click the button to **Add** the object, the report is saved. This happens at the following locations:

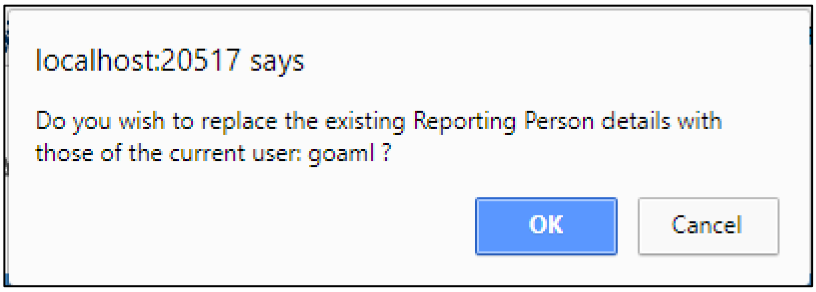
- Adding a Transaction
- Adding an Involved Party within a Multi-Party Transaction
- Adding a To or From Party within a Bi-Party Transaction

5.2.2 Reporting Person

1. When a form is first loaded, the **Reporting Person** section is auto-populated with the details of the user you are logged in as
2. This person object cannot be edited in the same way that other person objects can be. Once the form is saved, the reporting person will stay the same
3. If another user opens the form, it is not automatically overridden by that user.



4. However, if you want to change the reporting person details with your own details. Or
5. If you have updated the details that you want reflected in the saved report, click on the refresh icon in the top right of the **Reporting Person** collection.
6. A confirmation dialog will be displayed asking if you wish to replace this person object with the details of the current user.
7. Select **OK** to make the replacement.

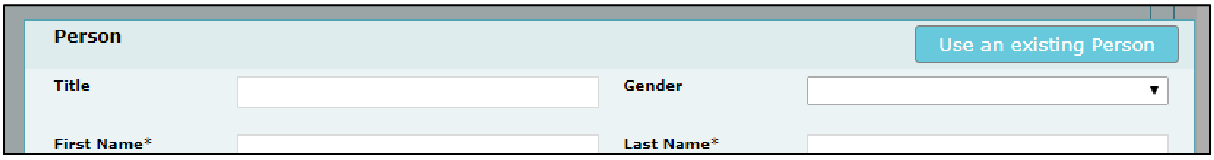


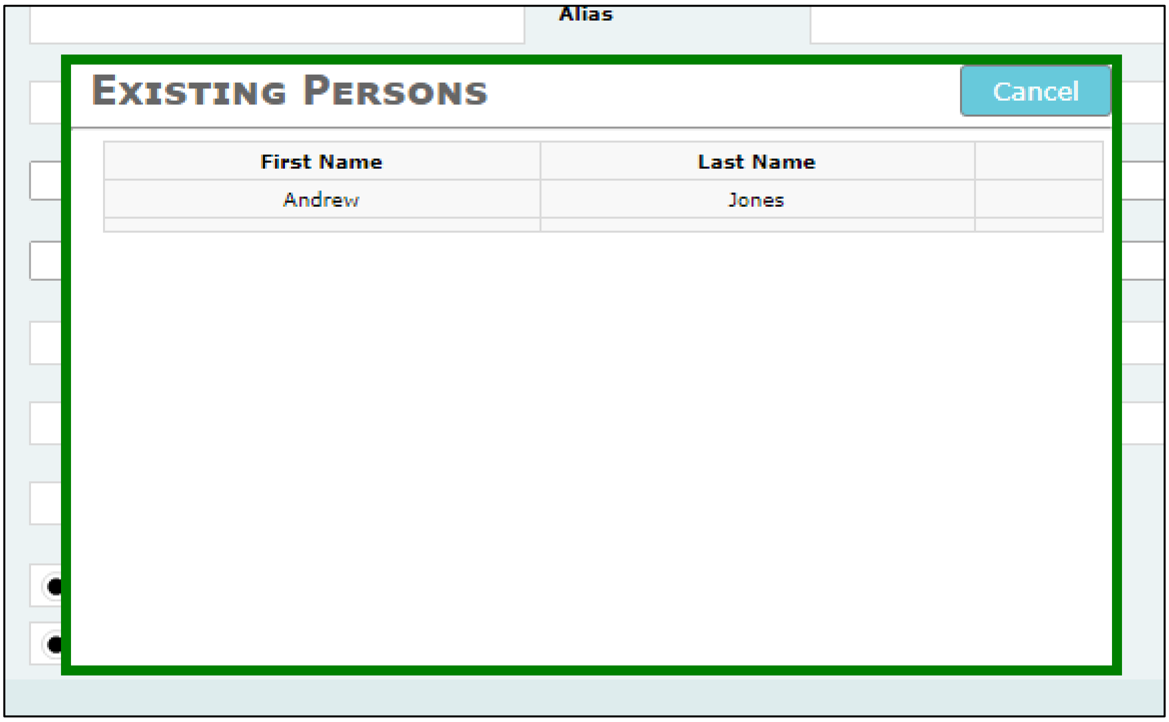
5.2.3 Reusable Objects

In the web form, once a **Person**, **Account**, **Entity** or **Address** object has been created it can be reused elsewhere in the form.

1. When the form for any of these objects is open, select **Use an Existing *Person*** and a dialog will open containing a list of those objects that are already in the form that can be reused.

2. Select the object to auto-populate the form with this object.





3. Once an object has been reused, they are considered the same, so any update to one of those objects will automatically update the rest of those objects in the report.

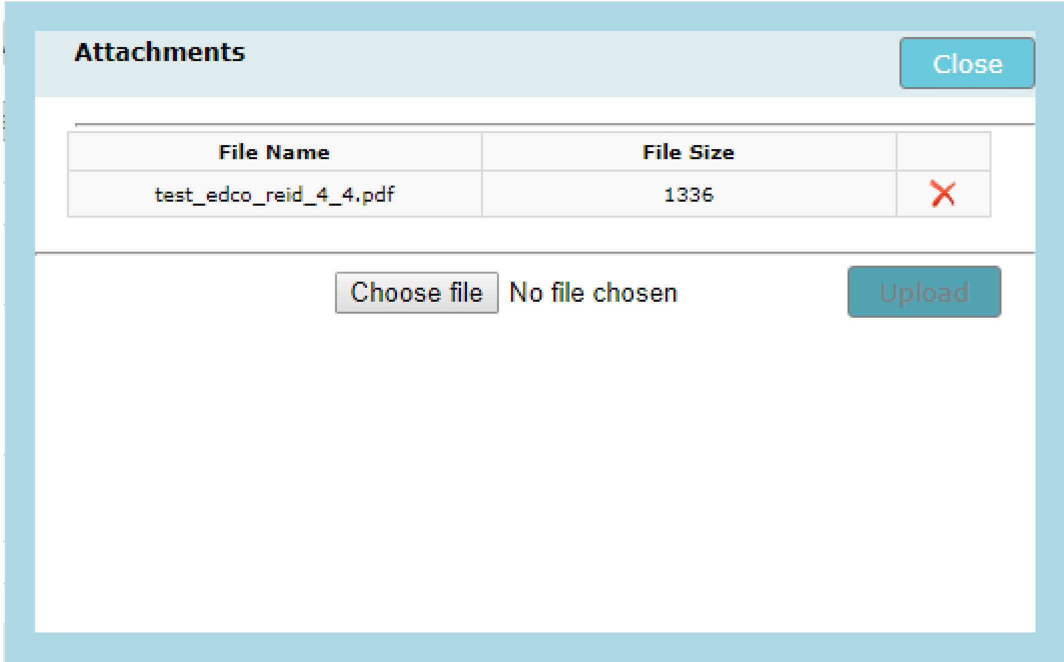
4. For example, if an account is created called **Account_1** and that account is reused in several **Entity** objects. If in one of those references the **Institution Name** is changed, then all the other **Account_1** objects will have their **Institution Name** changed as well.

5.2.4 Attachments

Attachments can only be added to a saved report.

1. Once a report is saved, select the **Show Attachments** button at the bottom of the report.
2. Select **Choose File** and then select the file from the dialog box.

3. Once the file is chosen the file will only be uploaded after the **Upload button** is clicked.
4. The attachment will then appear in the list. The attachment can be deleted by selecting the ‘cancel’ icon ()



5. The number of attachments can be seen at any time in the report in the **Show Attachments** button following the ‘x’

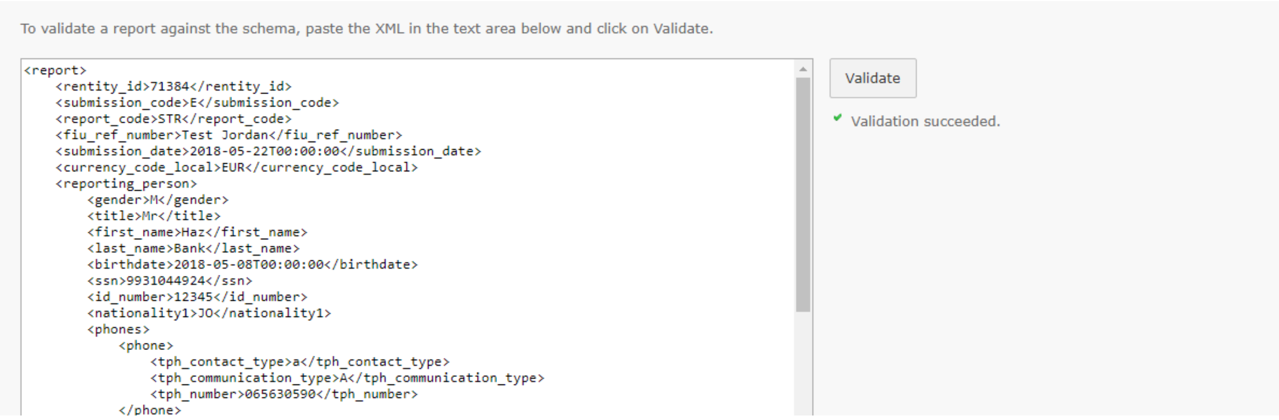
5.3 XML Report Validator

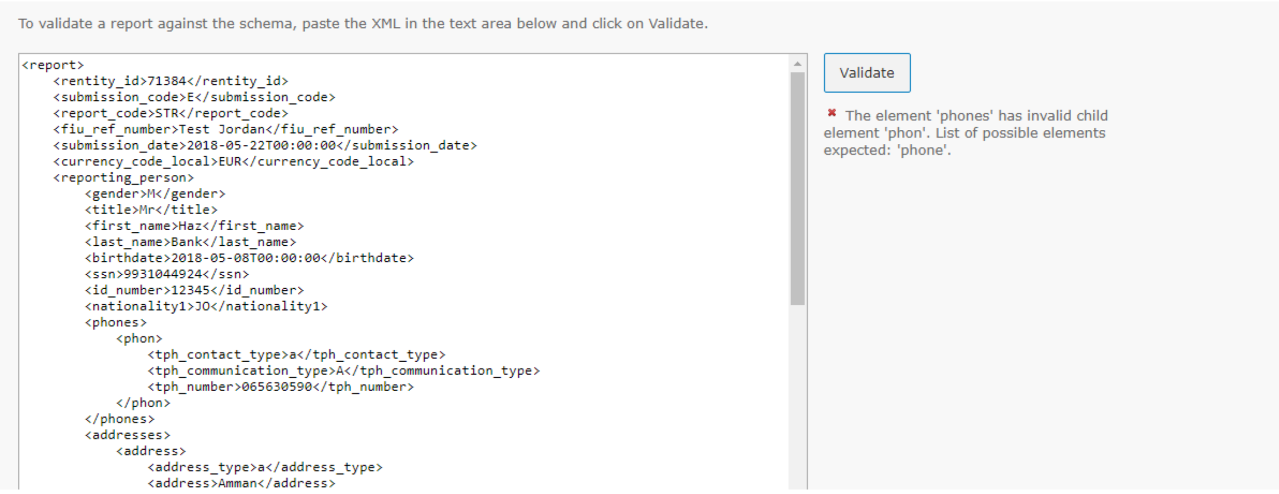
1. The XML report Validator is accessed via the main menu **New Reports** > **XML Report Validator**

2. This allows the user to verify their XML reports prior to upload. Simply paste the XML into the text area and click **Validate.**

3. Any errors will be shown on the right of the text area and are from the Microsoft XML schema validation code, so the output will be in English unless the server and **.Net** environment that IIS is using is configured otherwise. It is possible to hide this menu item altogether via the setting **Show_XML_Report_Validator** in the Site configuration tab of the settings page.

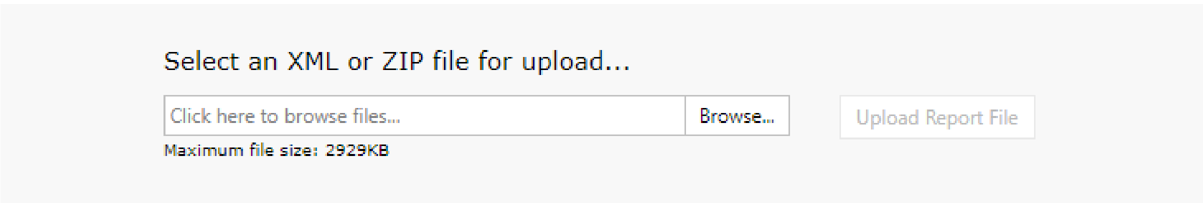
4. The images below show examples of successful and unsuccessful validation.



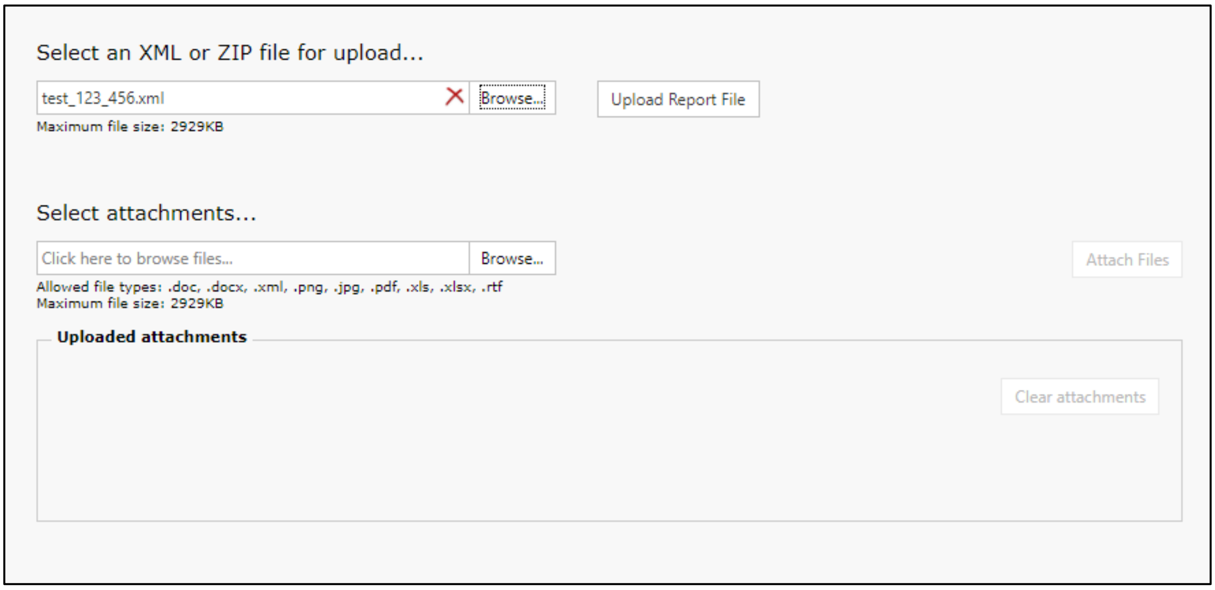


5.4 XML and ZIP Upload

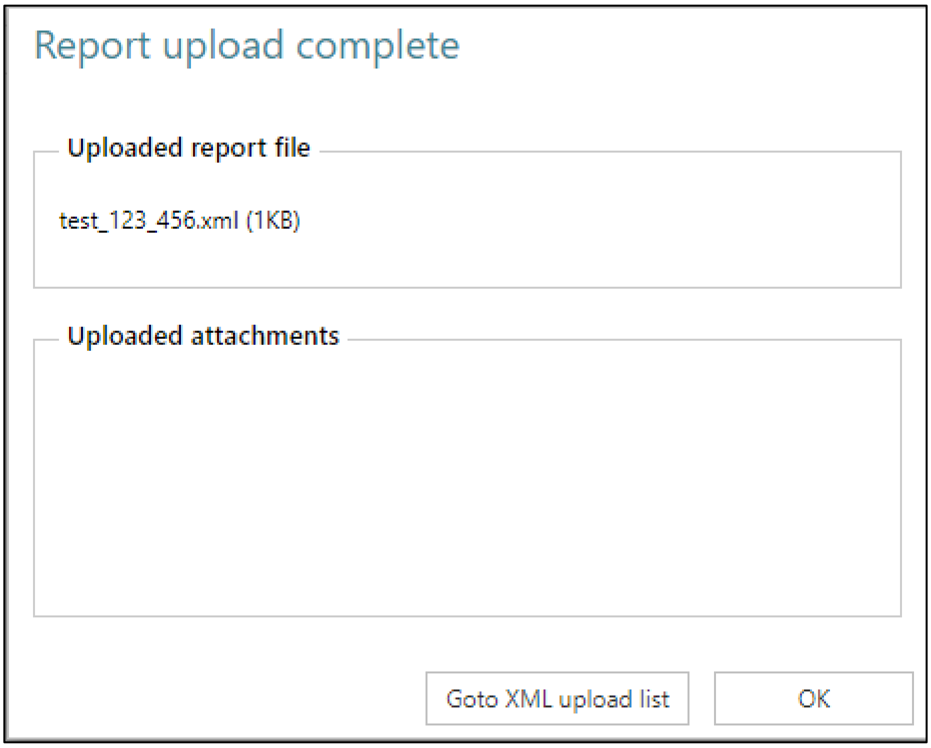
1. The XML Upload screen is accessed via the main menu **New Reports > XML Upload**
2. The initial page shows a file input to select an XML or ZIP file.



3. If an XML file is selected, an attachments area is shown so that the user can select files to upload with the XML file as attachments.
4. To add attachments, select each one and then choose Attach Files
5. Clear Attachments will remove all the pending attachments.



6. Click on the **Upload Report File** button to ensure that the XML and attachments (or ZIP file) are uploaded
7. A confirmation dialog box appears to confirm that the files have been uploaded
8. You can then navigate to the XML Upload grid or back to the XML Upload page.



5.4.1 File Rules

XML Files should be encoded in **UTF-8**

Zip files are used to group together XML reports and attachments to upload as one file. The files inside the zip file must be structured in a specific way to be accepted by the goAML Web application.

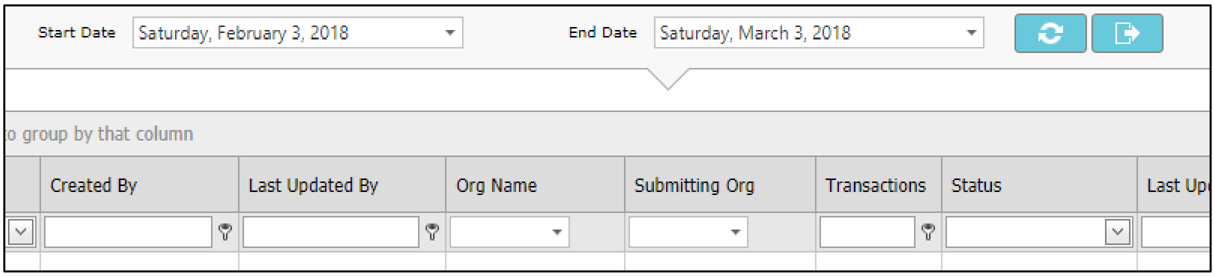
The zip file must contain one of the following file arrangements

- A single XML report file with zero or more non-XML attachments
- Multiple XML report files with no attachments
- One or more folders that each contain:
    - One XML report file with zero or more non-XML attachments

5.4.2 Report Grids

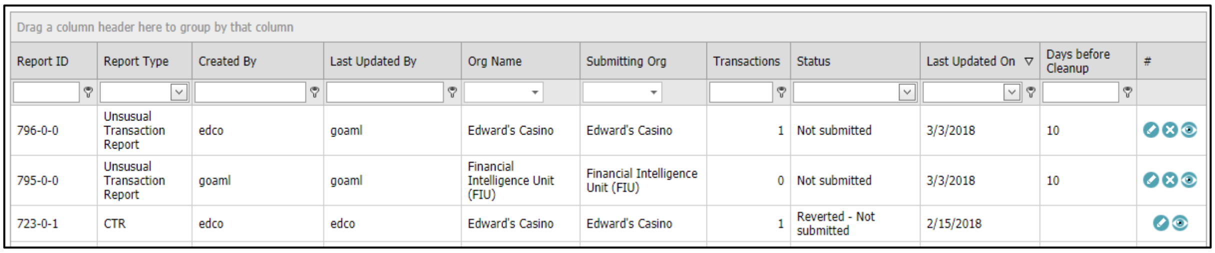
Three grids in the Web Application show the report data.

1. Each grid can be filtered by a date range by entering the Start Date and End Date and then selecting Refresh
2. The Export button ( ) opens a dialog to export the currently viewed grid as a PDF or Excel document.
3. Each grid can be filtered by selecting from the drop down box, the date selector or entering a value depending on the column type. Columns with next to the filter can have rules applied such as ‘Begins with’ or ‘Contains’.
4. Column headers can also be dragged into the grouping header to group by that column.



5.2.3.1 Not Submitted Web Reports

The **Not Submitted Web Reports** grid is where all **Web Reports** that have been saved but not submitted are sent, as well as reports that have been reverted.

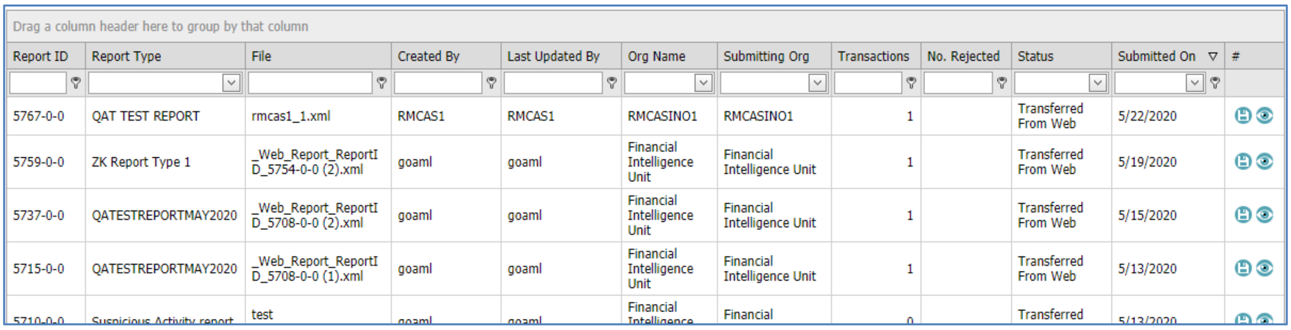


Actions available for the Not Submitted Reports grid

Action Name	Description
Edit	Opens the report for editing. This is only visible for reports that have not been archived.
Delete	Deletes the report, this is only visible if the report has not been archived
Preview	Opens the report in the preview format for viewing and printing. This is only visible for reports that have not been archived.

5.2.3.2 XML Reports

The XML Reports grid is where all the files and reports from the **XML Upload** page are displayed. For zip files that are uploaded there will be one row for the zip file and one row for each of the contained XML reports. The status column will contain a link if there are actions or error data available for that row.



Actions available for the XML Reports grid

Action Name	Description
Preview	Opens the report in the preview format for viewing and printing. This is only visible for the XML documents not the ZIP files and only if the report has not been archived.

Save	Download the report as an XML document. **Not available if the report fails validation.**

5.2.3.3 Web Reports

The Web Reports grid is where all of the submitted web reports are displayed. The status column will contain a link if there are actions or error data available for that row.

Drag a column header here to group by that column

Report ID	Report Type	Created By	Last Updated By	Created On	Org Name	Submitting Org	Transactions	No. Rejected	Status	Submitted On	#
5818-0-0	STR	sudha	sudha	6/6/2020	RMBANK1	RMBANK1	1		Transferred From Web	6/6/2020	
5815-0-0	STR	aira	aira	6/4/2020	QASHJUNE	QASHJUNE	1		Transferred From Web	6/4/2020	
5812-0-0	Cross Border Report	aira	aira	6/4/2020	QASHJUNE	QASHJUNE	0		Transferred From Web	6/4/2020	
5752-0-1	CTR - ENG	GOAML	GOAML	5/28/2020	Financial Intelligence Unit	Financial Intelligence Unit	1		Transferred From Web	5/28/2020	
5785-0-0	QAT TEST REPORT	sudha	sudha	5/26/2020	RMBANK1	RMBANK1	1		Transferred From	5/26/2020	

Actions available for the Not Submitted Reports grid

Action Name	**Description**
Preview	Opens the report in the preview format for viewing and printing. This is only visible for reports that have not been archived. **Not available if the report fails validation.**
Save	Download the report as an XML document **Not available if the report fails validation.**
Revert (from Failed Validation)	Creates a new revision for editing that will appear in the **Not Submitted Reports** grid. Please refer to the Report Workflow
Reset (from *Unexpected Error* or *Processing*)	Resets the report status to **Uploaded** so that the report can be processed again. This can only be done by the FIU.
Reject (from *Unexpected Error* or *Processing*)	Reject the report that has become stuck in processing or failed due to an unexpected error. This can only be done by the FIU.

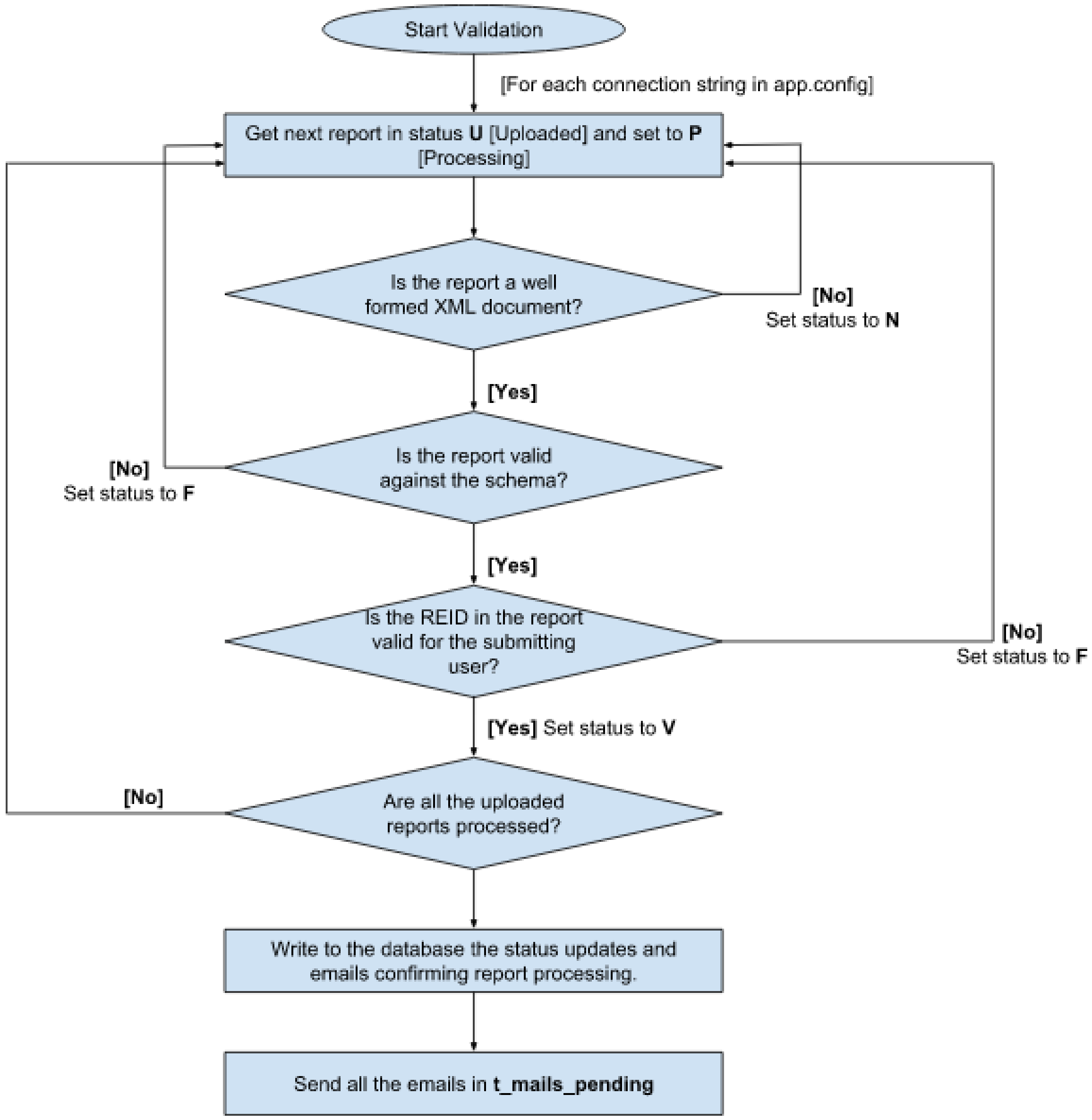
5.2.3.4 Report Grid Column Definitions

Each report grid uses columns from the same set of columns. The screen shots above show which columns are available in each grid.

Column Name	Description
Report ID	The report key for the report.
Report Type	The type of report (lookup table ref: **lk_report_type**)
File	The file name for XML and ZIP uploads
Created By	The user who added the report
Last Updated By	The user who last edited or changed the status of the report
Created On	The date the row was added to the database (in r_file_drop this is **rfd_date**)
Org Name	The Reporting Entity name that is in the report. If the REID in the report is invalid for the user that is uploading the report, then this value will appear as the user's Reporting Entity
Submitting Org	The Reporting Entity of the user that submitted the report.
Transactions	The number of transactions in the report
No. Rejected	The number of transactions in the report that have been rejected (if any) by the client. This is only populated once the report is processed on the client.
Status	The status of the report
Last Updated On	(in r_file_drop this is **lup_date**)
Submitted On	The date when a report is submitted. This is not extracted from the report, which might contain a different submission date. (in r_file_drop this is **rfd_submit_date**) In the web report the translation for **Report_Submission_Date** should be **Reference Date** not **'**Submission Date' This is understandably confusing since the tag in the XML is still **<submission_date>.** In the next schema a new tag **<reference_date>** is proposed that will run alongside the submission date tag which will eventually be deprecated.
Days before Cleanup	The number of days before the row is archived. (Refer to the Cleanup settings)

5.5 Validation Process

The diagram below outlines the basic flow of the validation process of the XML Web Service. The validation process is only part of the whole report workflow. Please refer to the **Report Workflow** diagram.



6. Message Board

The message board allows the user to send and receive messages from the FIU.

1. You can launch the **Message Board** from the Main Menu.

Note: *Communication is only with the FIU; messages cannot be sent or received from other Reporting Entities or Organizations.*

2. When the message board is open, you will only see messages for the reporting entity for which you are logged in

3. You will not see messages for any of the delegating entities,

4. To view and send messages for a delegating entity, you need to log in as that entity.

6.2 Messages and Folders

1. When a message is received or sent, it is associated with a folder. Folders are stored in the **t_msg_board_folder** table.

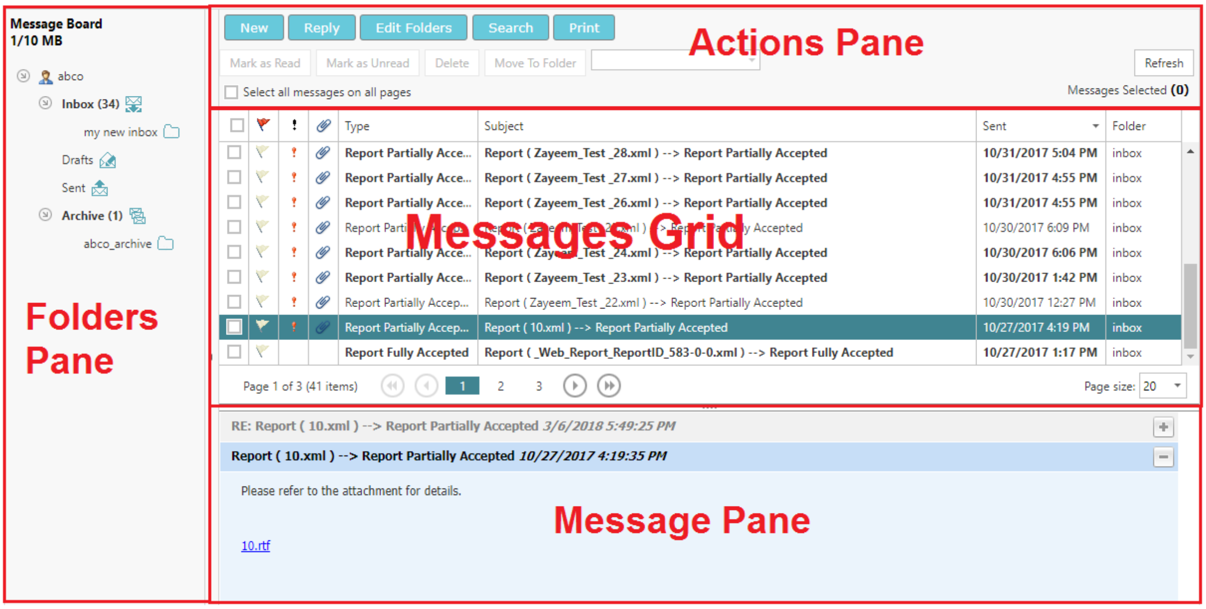
2. You can create folders for organizing messages, however, there are four system folders that are static and cannot be edited or deleted.

System Folder Name	Direction
inbox	Incoming [0]
draft	Outgoing [1]
sent	Outgoing [1]
archive	Both [null]

3. A message has a direction, either incoming (sent from the FIU) or outgoing (sent from the Reporting Entity).
4. Folders are also assigned a direction, either incoming, outgoing or archive. Only incoming messages can be put into incoming folders and only outgoing messages can be put into outgoing folders. Archive folders can contain all messages.

6.3 Message Board Features

The message board is divided into four areas, **Folders Pane, Actions Pane, Messages Grid** and the **Message Pane**. These areas are referenced in the feature descriptions below.



6.3.1 Viewing Messages

1. Select a folder in the Folders Pane to load all the messages from that folder into the Messages Grid.

2. Select a row in the Messages Grid to load that message into the Message Pane.

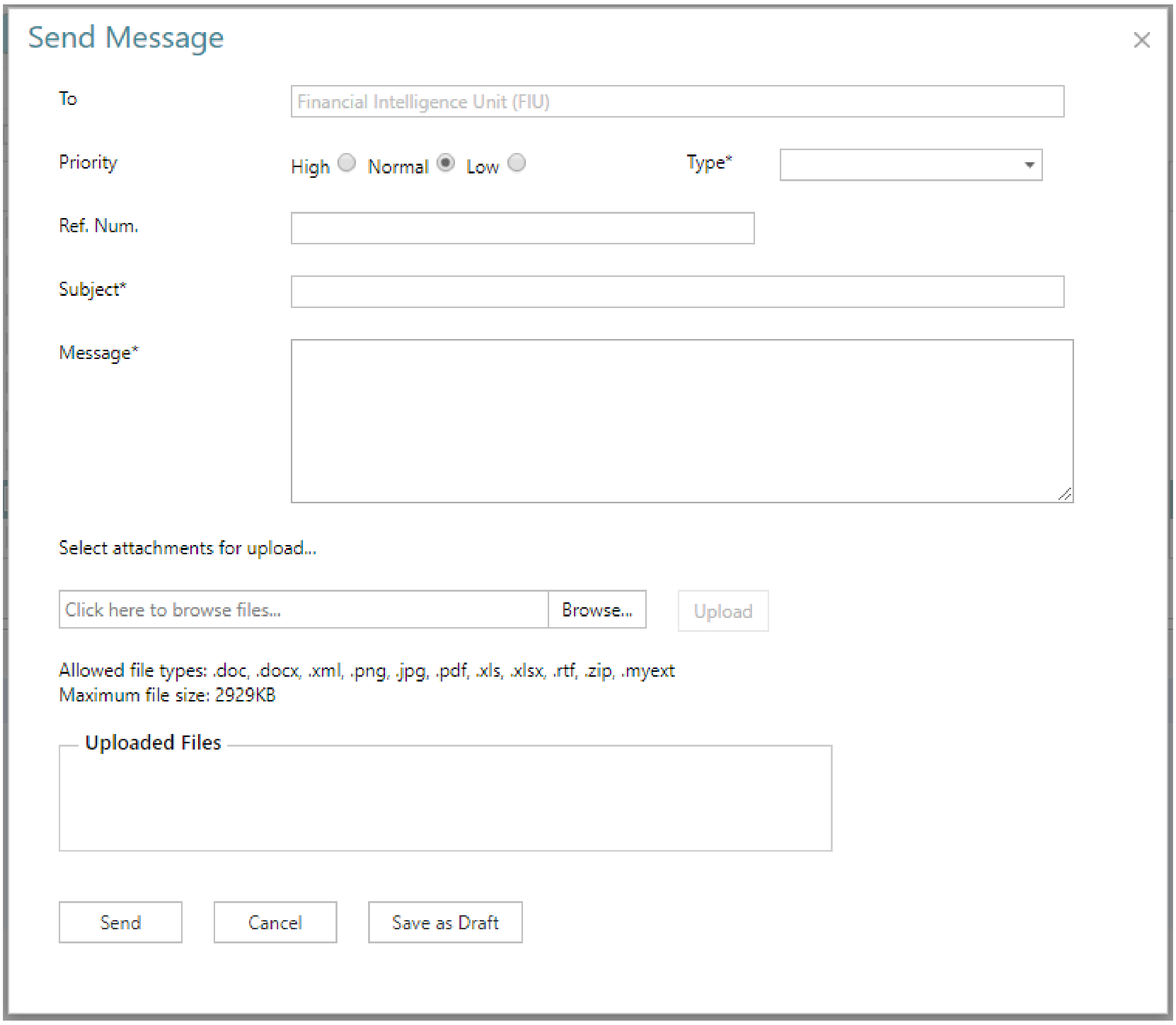
3. If the message is part of a thread of messages between the FIU and the RE, all the messages from that thread will be shown in the messages pane, with all but the selected message collapsed.

4. You can expand and collapse the individual messages using the +/- icons in the top right corner of each message.

5. Messages with attachments are identified with a paperclip icon in the messages grid; the links to download the attachments appear in the Message Pane underneath the body of the message.

6.3.2 Sending and Replying

1. To send a new message, select the **New** button in the Actions Pane. This will open the Send Message dialog.



2. The fields **Type**, **Subject** and **Message** must be filled out before a message can be sent. The types available are those that have a value of 1 in the web_refresh column in the lk_msg_type table. This is configured in the client and pushed to the web.

3. Attachments can be added; select **Browse…** and then choose a file.

4. Select**Upload**. Only attachments that are in the **Upload Files** area will be sent with the message.

5. Click **Send** to send the message. The message will appear in the Sent Folder

6. Click **Cancel** to discard the message. The message will not be saved.

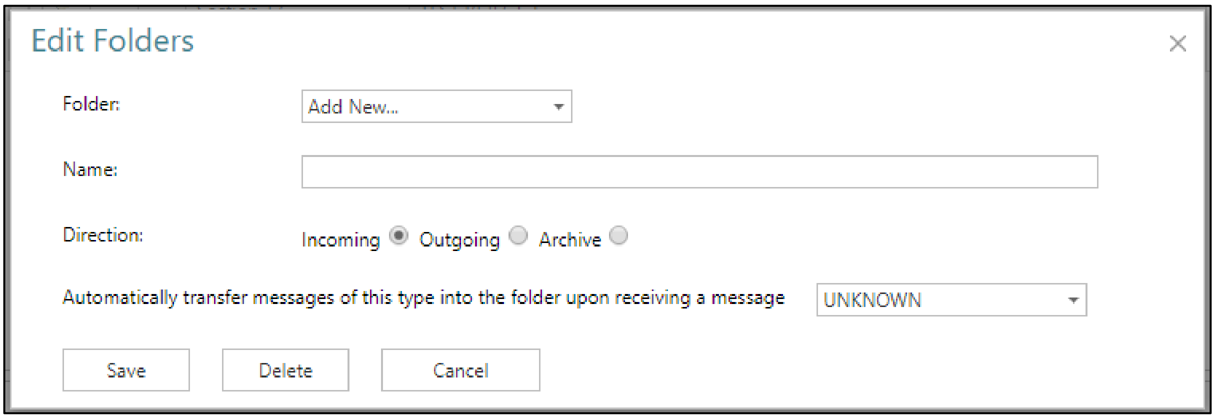
7. Click **Save as Draft** to save the message into the Drafts Folder

8. To reply to a message, select the message that you want to reply to in the Messages Grid and select **Reply** from the Actions Pane. This will open the Send Message dialog again; however, this message will be included in the selected message thread, so that it will be visible in the list of messages when that thread is viewed again in the Message Pane.

9. When replying to a message, the message type is fixed; it is not possible to change the message type when replying.

6.3.3 Editing Folders

1. To organize and edit the folders for the message board of the Reporting Entity, select **Edit Folders** from the Action Pane.



2. The **Folder** dropdown box default is **Add New…** this means a new folder will be created.
3. Enter a name and click save to create the new folder.

4. The **Direction** is defaulted to **Incoming** this means that the new folder will only allow incoming messages to be stored in it. (refer to Messages and Folders section above)
5. To change to **Outgoing** or **Archive** select the appropriate radio button before saving. The folder will then appear under the respective node in the Folder menu.

6. Folders can also be used to automatically store certain types of messages. For example if there are many messages of type **Report Fully Accepted** being sent to the message board and you want to automatically have these moved into a separate folder, simply select the message type from the drop down list before saving.

7. It is possible to change the name, associated message type, or delete an existing folder. From the Folder dropdown, select the folder you wish to edit and then change the name or message type and then **Save**. Alternatively, select **Delete** to remove the folder completely.

8. Deleting a folder does not delete the messages that are inside. These are moved to the parent folder in the Folder Menu (i.e. Inbox, Sent or Archive)

9. It is not possible to edit the direction of an existing folder.

6.3.4 Move, Delete, Mark Messages

1. Moving, Deleting and Marking messages can be done on a single message or a selection of messages all at once.

2. To select multiple messages, select the boxes of the rows in the Messages Grid. The checkbox in the header row will select all the messages on that page, and the checkbox above the Messages grid in the Actions Pane will select all the messages in all the pages for that folder.

3. Once the message(s) are selected, the combo box in the Actions Pane will be populated with all the folders that this selection can move to. If both incoming and outgoing messages are selected then only the archive folders will be available.
4. To move the selection of messages, select the folder and then select **Move To Folder** from the Actions Pane

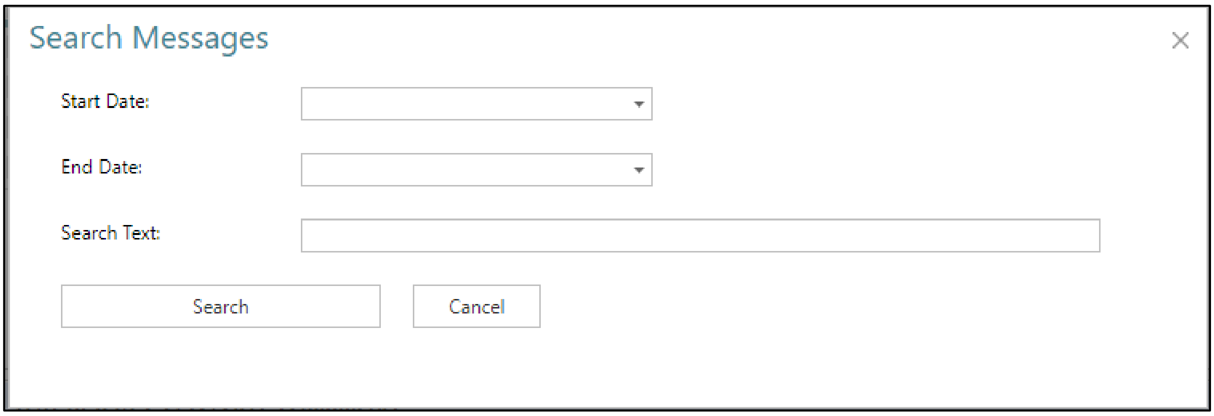
5. To delete the selection of messages, select **Delete** from the Actions Pane.

6. To mark messages as read or unread, use the buttons **Mark as Read / Mark as Unread** in the actions pane.

7. Messages can also be flagged. This is only done individually for each message and is done by toggling the flag icon in the message row,

6.3.5 Search Messages

1. Text search for the message board is available by selecting the **Search** button from the Actions Pane.



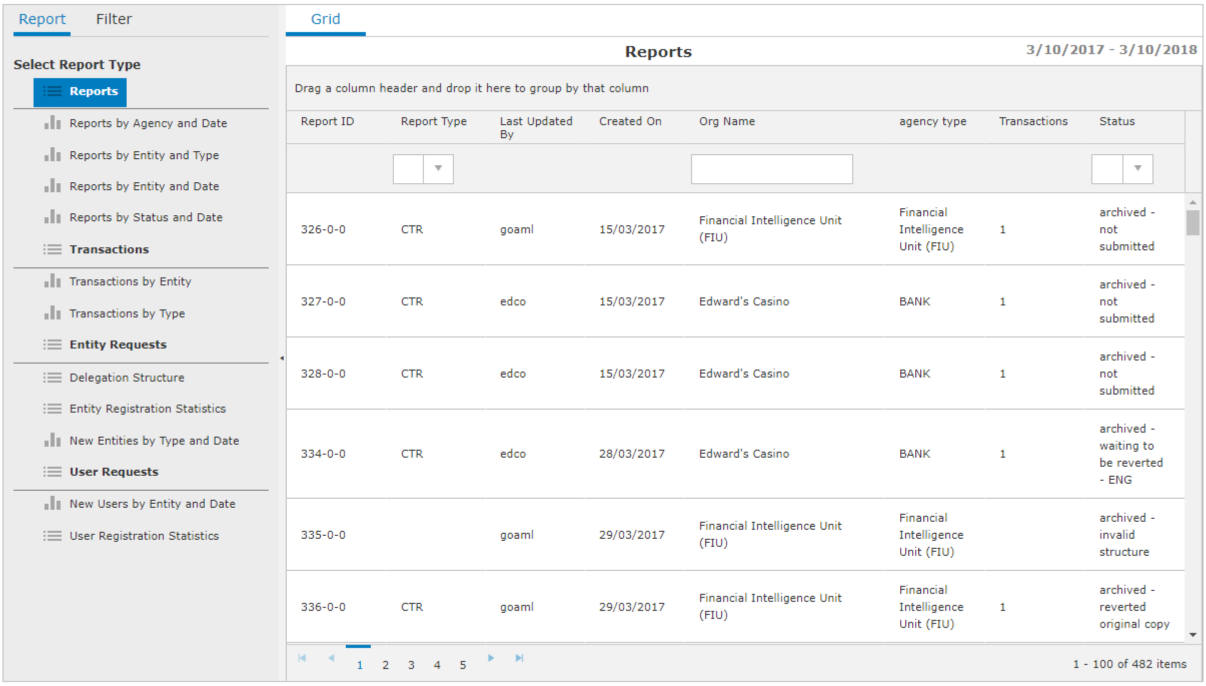
1. The value in **Search Text** will be searched in all of the non-archive and archive folders when the **Search** button in clicked. This can have performance implications for installations

with very large message boards; it is advisable to use the Data range to minimize the impact on the server.

7. Statistics

The statistics page provides fixed reports and charts pertaining to reports and change requests that have been submitted to the system. The reports you can see is determined by the permissions you have (refer to Roles and Permissions section)

1. The statistics page is accessed via **Admin > Statistics** the image below shows the full list of reports.

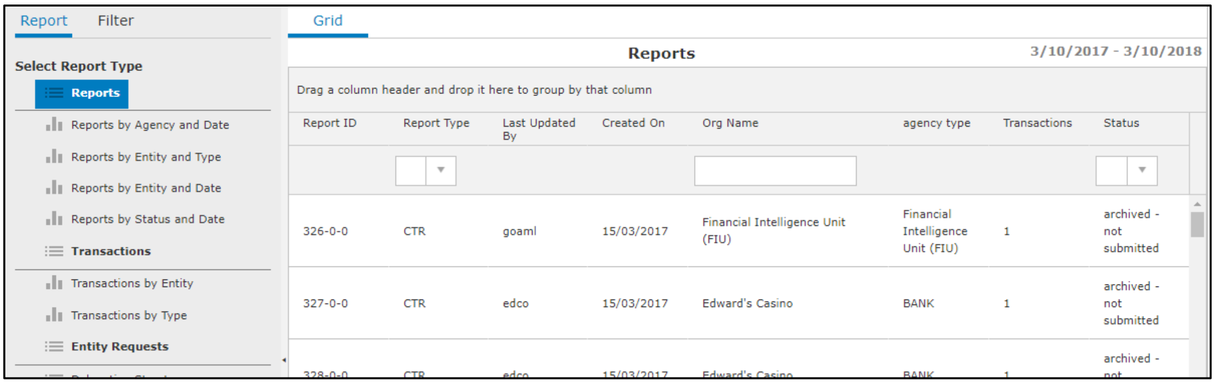


2. The report list on the left hand side contains a list of Grid Reports (shown by) and Chart Reports (shown by)

3. A Grid Report is a table of the actual data, A Chart report is where two or more attributes of the data are pivoted to produce a report that shows the relationship between these two attributes.

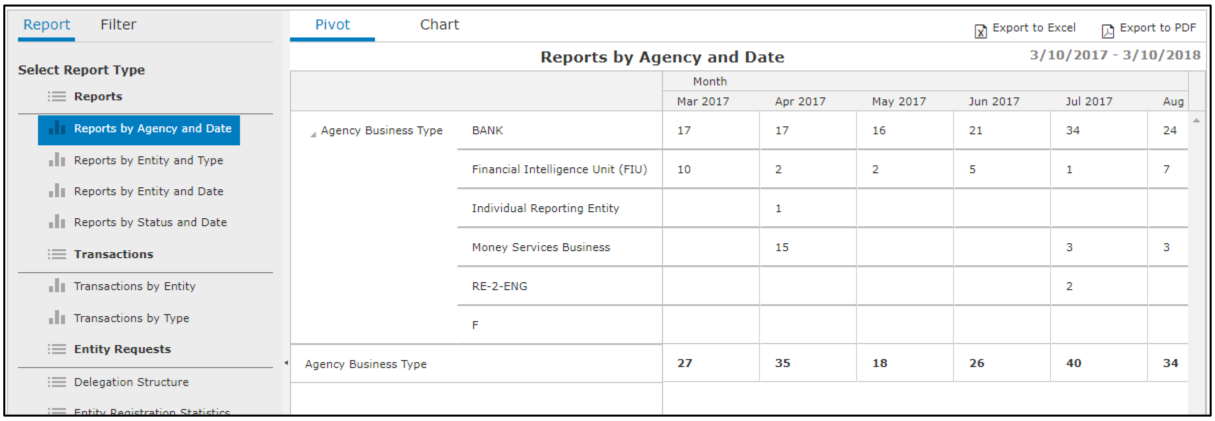
4. For the Chart Reports the pivot grid is shown in one tab and a graphical representation is shown in another.

For example, the Reports Grid shows the list of all the reports

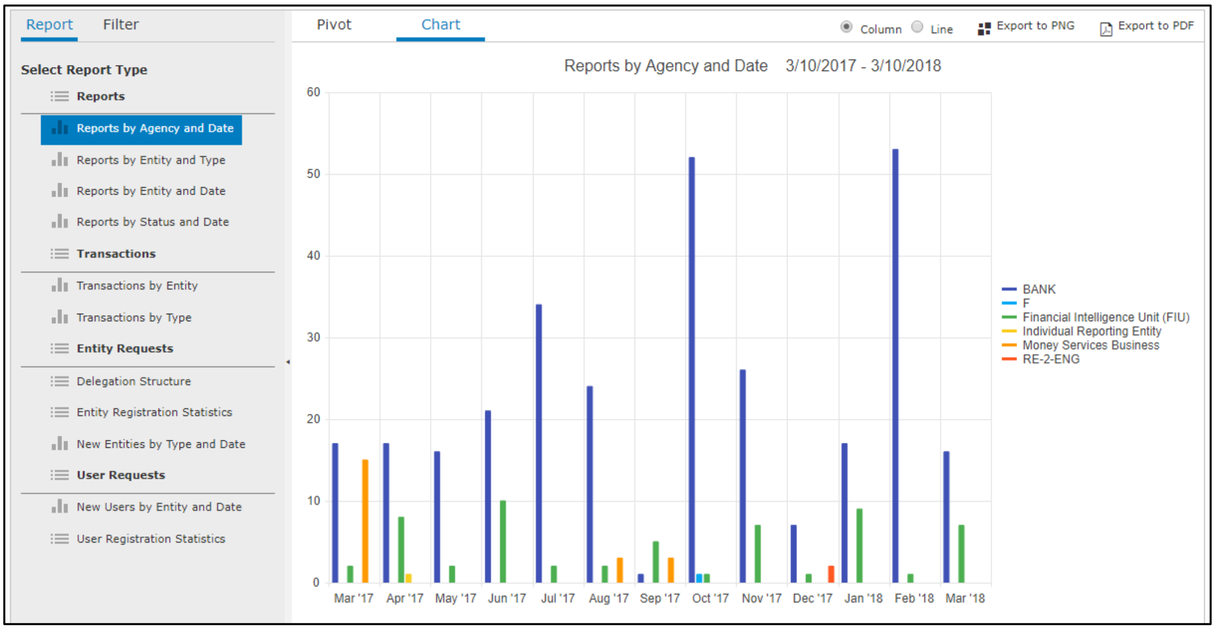


5. Reports by Agency and Date Chart shows how many reports each Agency Type submits for each Month.

From the example below all of the Reporting Entities of type, BANK submitted 17 reports in March 2017.



6. Click on the **Chart** tab to view a graphical representation of the pivot grid
7. Using the mouse wheel, you can zoom in and out of the graph, as well as hold down the left mouse button to drag (pan) the chart left and right.

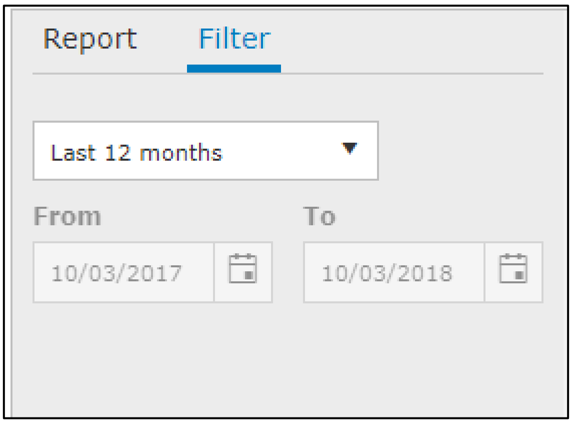


8. All Pivot Grids can be exported to **Excel** or **PDF**, and all Graphical Charts can be exported to **PNG** or **PDF**

9. Click on the filter tab user to change the date range of the report that you are currently viewing. The charts will only render if there are less than 1000 data points, so you may have to reduce the time span in order to have fewer data points provided in the report.

10. If more than 1000 data points are returned there will be an error message displayed at the top of the chart.

11. There are preset date ranges (e.g. Last 12 months, Last 30 days, This month etc.) or You can select the **From** and **To** date pickers to choose a custom date range. The date range boxes appear disabled until they are selected.



7.2 Report Definitions

Report Name	Description
Reports	A list of all the reports that are visible to the user
Reports by Agency and Date	How many reports were submitted by all the reporting entities of a particular entity type in each month?
Reports by Entity and Type	How many reports were submitted of a particular report type by each reporting entity?
Reports by Entity and Date	How many reports were submitted by each Reporting Entity in each month
Reports by Status and Date	How many reports that were submitted in each month, grouped by the current status that the reports are in.
Transactions	A list of all the reports that are visible to the user, with the transactions for each report
Transactions by Entity	The number of Accepted and Rejected transactions for each Reporting Entity in the specified date range.
Transactions by Type	The number of Accepted and Rejected transactions for each Report Type in the specified date range.
Entity Requests	A list of all the Entity Change Requests that are visible to the user.
Delegation Structure	A list of all reporting entities that have delegating entities. The total number of delegating entities is shown; expanding the row shows the list of the entities that are delegating to that organization.
Entity Registration Statistics	A list of Organizations that have registered during the defined dates
New Entities by Type and Date	The number of new entity registrations each month for each Entity Type.
User Requests	A list of all the User Change Requests that are visible to the user.
New Users by Entity and Date	The number of new user registration each month for entity

Report Code	Code Name	Description
-	UNKNOWN	
1	Reverted - Not submitted	
2	archived - accepted	
3	archived - invalid structure	
4	archived - reverted not submitted	
5	archived - reverted original copy	
6	archived - not submitted	
7	archived - waiting to be reverted	
8	Approved; scheduled for processing	
A	Failed Integration	
B	Failed filtering	
C	Failed Transformation	
D	Failed Loading	
E	Failed Validation	
F	Success	
G	Archived	
H	Report Integration in progress	
I	Processing	
J	Not submitted	
K	Loaded; pending filtering	
L	Filtered; pending approval	
M	Failed Validation; Invalid Structure - ENG	
N	Reverted	
O	Processed	
P	Marked For Rejection	
Q	Rejected	
R	Submitted; scheduled for validation	
S	Transferred	

T	Uploaded	
U	Validated; scheduled for loading	
V	Report Transfer in progress	
X	Transferred From Web	
Y	XML Bulk Loading in progress	
Z	Unexpected Error	

11 References

11.1 Common Acronyms

Acronym	Description
FIU	Financial Intelligence Unit
RE	Reporting Entity
B2B	Business to Business

11.2 Emails sent from goAML Web

When email is sent	Recipient
New Entity Change Request submission (Registration)	Reporting Entity email address and RE Admin email address
New Entity Change Request acceptance	Reporting Entity email address
New Entity Change Request rejection	Reporting Entity email address
Edit Entity Change Request submission	Reporting Entity email address
Edit Entity Change Request acceptance	Reporting Entity email address
Edit Entity Change Request rejection	Reporting Entity email address
New Message in the message board (including report acceptance or rejection)	**Reporting Entity email address**
Report is submitted and validated (or determined	**User email address**

invalid)	
New User Change Request submission (Registration)	User email address
New User Change Request acceptance	User email address
New User Change Request rejection	User email address
Edit User Change Request submission	User email address
Edit User Change Request acceptance	User email address
Edit User Change Request rejection	User email address
Password reset link	User email address
Password reset confirmation	User email address