AML HUB

Staff Members & Vetting Manual

Contents

Introduction

Staff vetting is a requirement for all staff involved in AML obligations, such as onboarding new vendors and clients.

What is the Difference Between Staff Members and Users?

A *user* is a member added to a branch. Depending on their allocated role, users are able to view different sections of the AMLHub desktop.

Users *without staff memberships* are those with no involvement in such AML obligations, for example, third party providers (CDD outsourcing). Users with no staff membership may be allocated to several branches, however, do not need to be vetted and cannot be added to the training register.

A *staff member* is a further classification of a user. A user meets the criteria for staff membership if they are involved in AML obligations, such as onboarding new vendors or clients. Staff members must be vetted.

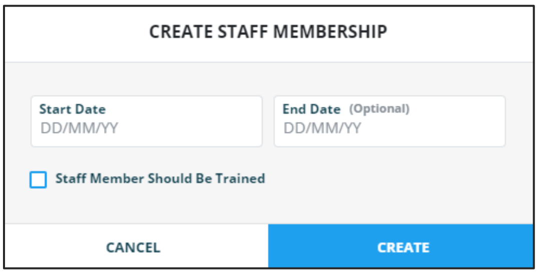
Creating a Staff Membership

Please note: to be added as a staff member, the user must have already been created and added to the branch. Adding a user can be done through the  button in the 'Users' section of the AMLHub desktop.

Classifying the user as a staff member can be done through the 'Users' section of the AMLHub desktop.

1. Click on the  button found under the 'Staff Member' field adjacent to the user's name.

2. A window will appear, as shown in the image below.

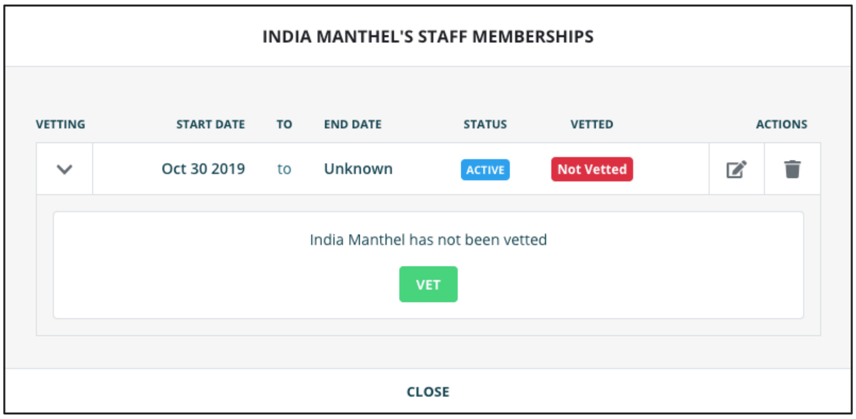


3. Enter the start date of the user; this should be the date the user started with the company. Entering the user's end date is an optional field.

4. Click on the 'Staff Member Should Be Trained' tick box, then select a respective training role for the user. If not selected, the staff member will not be added to the training register. Staff members must be added to the training register, where if they were not added upon creation this can be done through the training register at a later stage.

5. Click 'create'.

6. A window will appear, as shown in the image below.



7. The user is now an active staff member with a start date, which means they are ready for vetting.

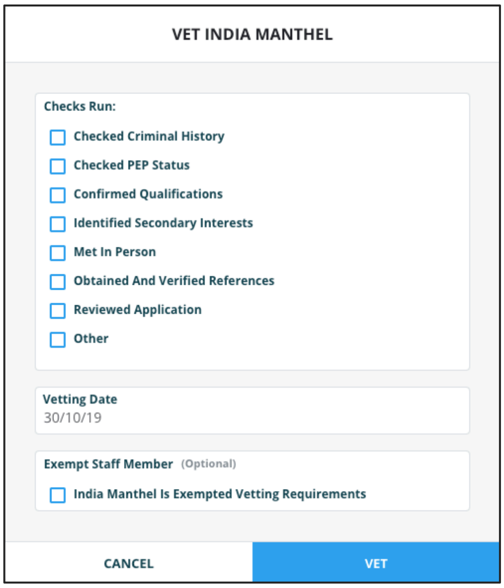
Vetting a Staff Member

Please note: any staff member hired before the 1st of January 2019 can be exempted from the vetting process. All staff members hired after the 1st of January 2019 will need to be vetted.

1. From the window above, click on the 

button. This window can be accessed either directly after creation of a staff membership, or by clicking on the following icon, found under the 'Actions' field adjacent to the user's name.

2. The following window will appear after clicking the VET button.

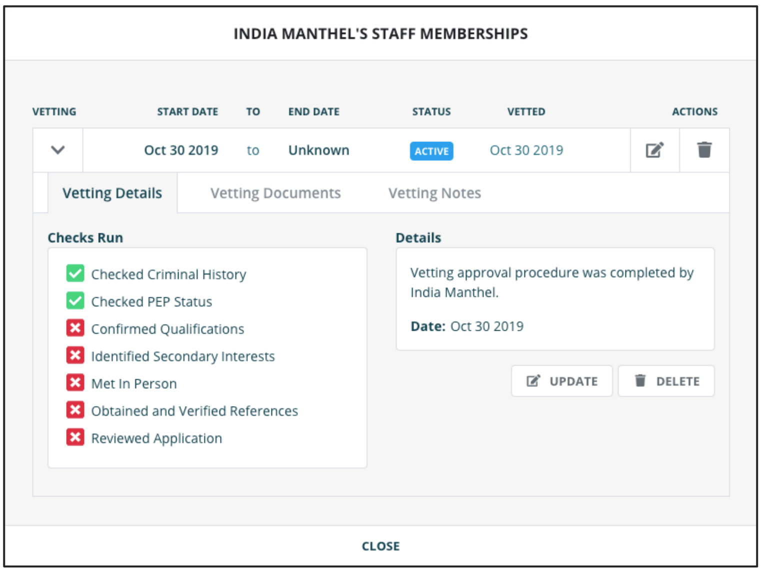


3. The list provided above is a guideline of possible checks that may have been conducted by your HR department during the hiring process. You will need to liaise with your HR department to find out what checks were completed. Select the applicable checks conducted.

4. There is an ‘other’ option to add additional checks not included in the list. Tick the ‘other’ box and type in the name of the check conducted; click ‘add’. You can add as many additional checks as desired (if any), just remember to click ‘add’ each time after typing in a particular check.

5. If the staff member was hired before 1st of January 2019, please disregard steps three & four and select the ‘Exempt Staff Member’ option.

6. The following window will appear, displaying which of the checks have been conducted.



To update the checks completed, click on the 

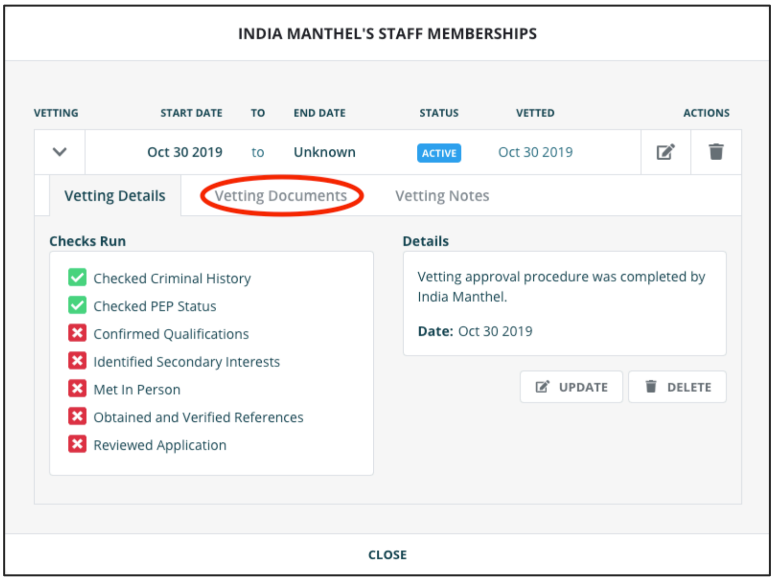
button and make any necessary changes.

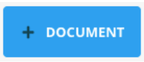
Uploading Vetting Documents

Vetting documents from checks conducted on a staff member can be uploaded to the AMLHub for accessibility and staff monitoring.

1. Open the staff memberships window either directly after creation of a staff membership, or by clicking on the following icon, found under the 'Actions' field adjacent to the user's name.

2. Click on the 'Vetting Documents' tab from this window.



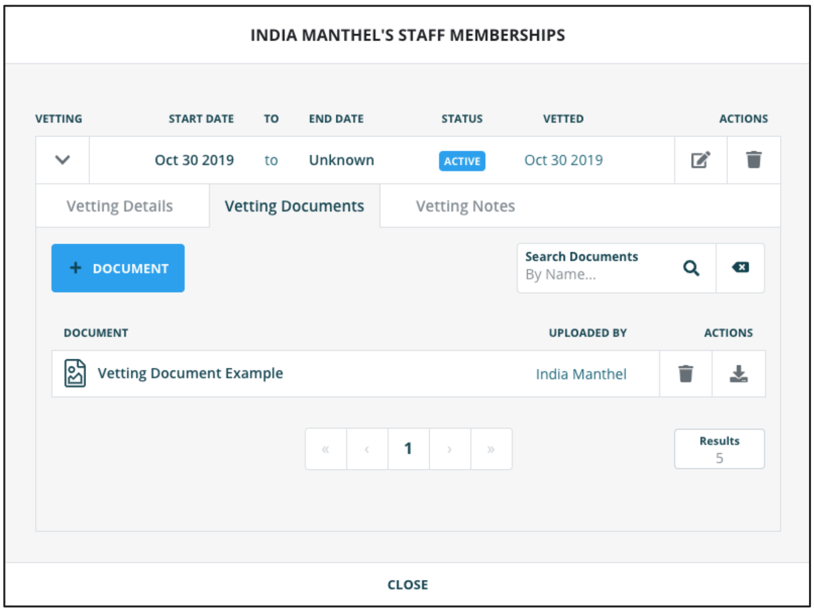
3. Click on the 

button to upload a document to the AMLHub.

4. Name the document and click 'browse' to select the document from your library.

5. Click 'create'.

6. The uploaded document will subsequently be displayed in the following window, under the 'Vetting Documents' tab.

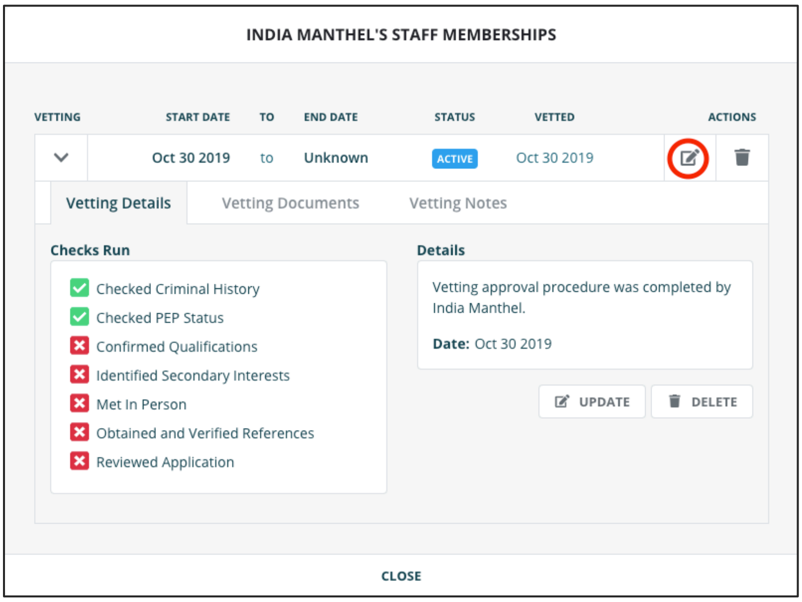


Concluding the Staff Membership Period for a User

If a staff member is no longer involved in AML obligations, for example, they leave a particular branch or entity, please follow the procedure below. Before concluding the period of staff membership, please check the CDD register to see if the staff member is assigned to any unverified deals. If this is the case, ensure a new user is added to such deal(s) before the staff member's period is concluded.

1. Open the staff memberships window either directly after creation of a staff membership, or by clicking on the following icon, found under the 'Actions' field adjacent to the user's name.

2. Click on the 'edit' icon displayed in the following window.



3. Enter the end date of the staff membership for the particular user and click ‘update’.

4. Underneath the ‘Staff Member’ tab adjacent to the user’s name, it will now say ‘ended’ with a subsequent end date.

5. If the user has left the branch entirely and needs to be removed as a user from the branch, click on the icon, found under the ‘Actions’ field adjacent to the user’s name.

The correct procedure for a staff member leaving a branch is their staff membership be concluded and subsequently their user removed from the branch if desired.

Removing Staff Membership from a User

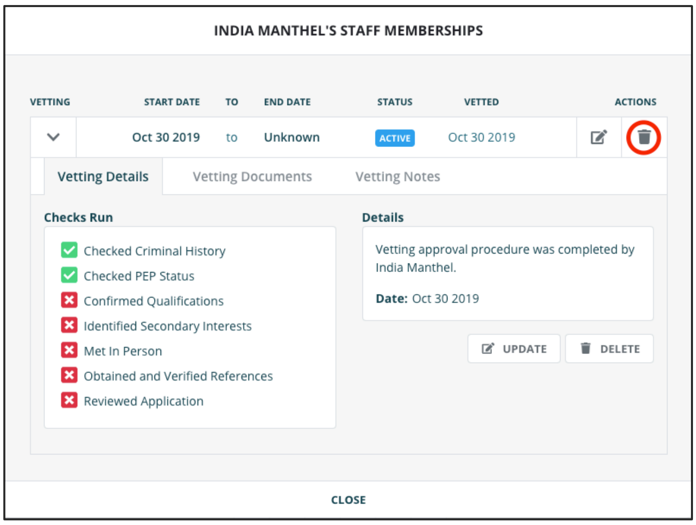
Removing the staff membership title from a user should be done only if, for example, the user was added as a staff member by mistake. If this is not the case, users should have their staff membership period concluded following the outlined procedure above.

Before removing the staff membership, please check the CDD register to see if the staff member is assigned to any unverified deals. If this is the case, ensure a new user is added to such deal(s) before the staff member is removed.

Please note: this does not remove the user from a branch, it removes the title of staff member from the user’s profile. To remove a user entirely from a branch, click on the icon, found under the ‘Actions’ field adjacent to the user’s name.

1. Open the staff memberships window either directly after creation of a staff membership, or by clicking on the following icon , found under the ‘Actions’ field adjacent to the user’s name.

2. Click on the rubbish bin icon displayed in the following window.



3. Click ‘delete’.

4. The following window will appear to indicate the removal of the staff membership from the user.