

goBRIEF

The “go” family of products, developed by UNODC, provide sustainable and affordable IT solutions for use by government agencies in a wide range of areas including Law Enforcement, Prosecution, Intelligence, Financial Intelligence, Revenue and Customs, Regulatory, Anti-Corruption and Asset Forfeiture and Recovery within the realms of the UNODC mandates.

>> DO YOU KNOW WHAT’S HAPPENING IN YOUR FIU?

The goAML Management Suite

Previous articles on goAML in this publication have tended to focus on the many analytical functions of goAML and how they can effectively support the work and output of an FIU. There are a number of new features in this area that have been recently added to goAML, principally developed at the request of current users, for details see “New features in goAML” below.

Whilst the analytical capability of any FIU’s IT system is central to the effective and efficient discharge of the FIU’s mandate, equally important is the IT system’s capacity to support the management functions of the FIU. The management and statistical components of an FIU’s IT system should be integrated with the data management and analytical modules of the system so that management can, in real time, monitor the full spectrum of the FIU’s tasks including, amongst many other things, the volume and throughput of work, the performance of units and individuals and the reporting performance of reporting entities. The management module of goAML has a particularly robust statistical reporting capability which can be of considerable value to the management of the FIU in producing mandated reports such as the FIU’s annual report, reports to officials or ministers, internal performance assessments or feedback reports to reporting institutions.

An especially important aspect of the management module of goAML is that all the analytical tools available to operational personnel to analyse reports and other data are available to management to analyse non-operational data which provides an almost limitless variety of ways of viewing, interpreting and visualizing data. This enables the production of a wide range of reports from strategic to very detailed reports of a particular aspect of the FIU’s performance.

Examples of individual reports available from goAML include:

Submitted reports: This report shows the status of all reports submitted by reporting entities in XML format either by XML file upload or through web based forms. The report shows management how many reports have been submitted by individual reporting entities and how those reports performed against the FIU’s data validation rules. The various status steps that can be viewed include processed, rejected, failed loading etc. The report provides a snapshot of reporting performance by reporting entities at any time and provides a number of different search criteria by which data may be obtained. One of the most useful features of this type of report is that the number of times reports or transactions within reports are rejected by the system can indicate deficiencies in the reporting entity’s customer due diligence processes or its compliance with other aspects of the user country’s AML/CFT laws and regulations.

Workflow reports: There are various workflow processes within the application which are customized according to the standard operating procedures of the individual FIU. These workflows drive the process of handling various tasks within the FIU such as how an STR is dealt with once it is received, the process by which an STR might be escalated to a case proposal and then to a case etc. The various reports available can give management a picture of how work is flowing through the various steps of the workflow processes, whether or not minimum deadlines for the various workflow steps are being met, if there are bottlenecks in the system where work is being held up, the individual workloads of analysts and how long, on an individual basis, each analyst is taking to progress work assigned to him/her.

User Report Log: A further very useful report, particularly from the viewpoint of user activity and security, is the User Report Log which essentially tracks all activity carried out within the application. The report details what parts of the system have been accessed, by whom and when, who performed various tasks, what was the nature of those tasks and the time over which they were performed.

These are just a very few of a multitude of reports and logs that goAML can produce for management.

There is a great deal more to the business of an FIU than just the receipt, analysis and dissemination of information. goAML has been designed to meet all the needs of an FIU in performing those vital functions. However the application goes far beyond

that by providing the management of an FIU with a wide range of monitoring and reporting capabilities that few, if any, other applications can match. The ever growing goAML user group is driving the further development and refinement of the management and statistical modules of goAML and more and more features will be offered in the future as a result of feedback from that user group.

>> LATEST NEWS

New Features in goAML

Profiling Tool: This new feature allows analysts, either individually or collectively, to design profiles or queries to run against part, or the whole of the FIU's data holdings. It looks and feels like a filter builder in Excel and offers an almost limitless range of questions that can be put to the data set. These can range from the very simple and general to highly detailed enquiries aimed at extracting very specific information from data holdings. Profile matches can be run as a "one off" enquiry, saved for reuse as and when required or set to run against the data holdings on a scheduled basis. This is a powerful new tool that provides analysts, particularly strategic analysts, with a highly flexible means by which they can run queries and scenarios against the FIU's data holdings.

goAML Web: The goAML Web application that comes with every installation of goAML provides a secure web based interface between the FIU and its reporting institutions for the electronic upload of reports and other information. The reporting interface has been further developed to provide the facility to report multi party transactions using the web based forms provided. This is a particularly important feature for reporting entities such as dealers in high value goods who tend to report single sided transactions even where there are a number of parties to the transaction.

Case Proposals: This is yet another new feature developed following feedback from goAML users. This feature provides another step in the analytical and case management components of goAML. Once initial analysis of a report has been carried out a decision is made whether or not to escalate the matter and work on it further. If the matter is immediately escalated to a "case" or "file" this is reflected in the goAML statistical reports. Some users requested an interim step between the completion of initial analysis and the escalation to a case or file.

This has been provided with the Case Proposal module which has its own configurable workflow cycle and is fully reported on by the goAML statistical module.

Request for additional Information (AIR): Upon receipt of an STR or other report an FIU will often want further information, particularly transaction histories, from the reporting institutions. This new feature allows for the automation of that process through the goAML Web interface. Upon request the reporting institution can compile the information in XML format as it would with reports and transmit it electronically to the FIU. The requested data is uploaded to the goAML database and is immediately available to analysts.

UTR: Again at the request of users a further report type has been added to goAML. This is the Unusual Transaction Report (UTR) which can be submitted by reporting entities by XML file upload or through web based forms provided in the goAML Web application.

Multiple business process workflows: The workflow module of goAML has been further developed to now allow for multiple workflows to reflect the different standard operating procedures applied to different aspects of an FIU's business. Whereas before there was one workflow that drove the process of receipt, analysis, escalation and dissemination of information, the system now allows completely separate workflow processes to be applied to different tasks and activities. For example, a workflow can be applied to the initial analysis of reports; if a report is escalated to a case proposal a different workflow process then commences. If the matter is escalated further another workflow process commences and drives the task through to its conclusion. Each workflow is configurable to the individual requirements of the user FIU.

goAML deployed in the Netherlands



The deployment of the proof of concept of goAML in the Netherlands FIU took place from 25 January – 05 February 2010. Deployment was a success and the goAML system is expected to be in full production in the Netherlands by the 3rd quarter of 2010.

Deployment of goCASE in Moldova's Centre of Combating Economic Crime and Corruption (CCECC)



A Service Level Agreement was signed in late December 2009 between UNODC, the Council of Europe and the Centre of Combating Economic Crime and Corruption (CCECC) of the Republic of Moldova for the deployment of goCASE in the CCECC. Deployment is scheduled to begin on 5 April 2010.

Updates from UNODC's "goPartners":



Financial Intelligence Centre (FIC), South Africa

goAML version 2.0 has now been deployed in a production environment in the FIC, South Africa. Deployment took place from 22 February – 5 March 2010 and included the successful delivery of training for the FIC's IT staff as well as full business training for analysts. During the training, analysts indicated that the capabilities of the goAML application reduce the time it takes from receiving reports until intelligence is disseminated. In addition, the system will open the horizons for conducting new forms of tactical and strategic intelligence.



Financial Intelligence Agency (FIA), Bermuda

The annual support mission to Bermuda's Prevention Financial Intelligence Agency (FIA) took place from 15 -26 March 2010. During this time, the goAML application was upgraded and analysts and IT staff were trained on goAML's latest features.



Prevention and Combating of Corruption Bureau (PCCB), Tanzania

As part of UNODC's commitment to continuously support agencies that use goCASE, the annual support mission to Tanzania's Prevention and Combating of Corruption Bureau (PCCB) took place during the period 9 -26 March 2010.

Other News



Egmont Working Group Meetings 1-5 March 2010

A representative from UNODC/ITS attended the Egmont Group Working Group meetings in Mauritius from 1-5 March 2010. An update of progress with goAML since the last meeting in 2009 was delivered and a number of new features of goAML was demonstrated to the members of the group, who expressed a high level of interest in the application. During the meeting, the Netherlands FIU reported positively on goAML and explained in some detail the impact the Dutch FIU expects goAML to have on the business of the FIU.

A similar presentation was also made to the Operations Working Group. The last presentation to the Operations Working Group sparked a discussion about data quality and how data validation can be automated so the presentation focused on the new XML validation rules editor which was actually demonstrated live. There was also interest expressed in the system's charting ability which provided a good opportunity to briefly demonstrate the new charting tool.



goIDM in Nigeria's BPP

A Service Level Agreement was concluded between UNODC and the Government of Nigeria's Bureau of Public Procurement (BPP) on 22 January 2010 for the implementation of goIDM (ICT Infrastructure and Data Centre Model for Government Agencies) in BPP.

goCASE demonstrated in Southeast Asia

During February, three meetings were held with the Anti-Corruption Agency of Indonesia (KPK), the National Anti-Corruption Commission of Thailand (NACC) and the Malaysian Anti-Corruption Commission (MACC) to demonstrate goCASE. A meeting was also held with the Director of the Malaysian anti corruption academy (MACA) on developing a training package that could include, as a core element, the use of goCASE as an IT tool.

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