

Completing Personnel Due Diligence (PDD)

PDD-01 · Version 1.1

Personnel Due Diligence verifies that your own staff meet AUSTRAC's integrity requirements under AML/CTF Rules 5-14 — a distinct obligation from customer KYC. Under Tranche 2 this applies to everyone in an AML/CTF role. PDD lives inside the **Compliance** module, alongside your other regulatory obligations (CDD, training, risk assessment).

OPEN TO START <https://app.easyaml.com/compliance>

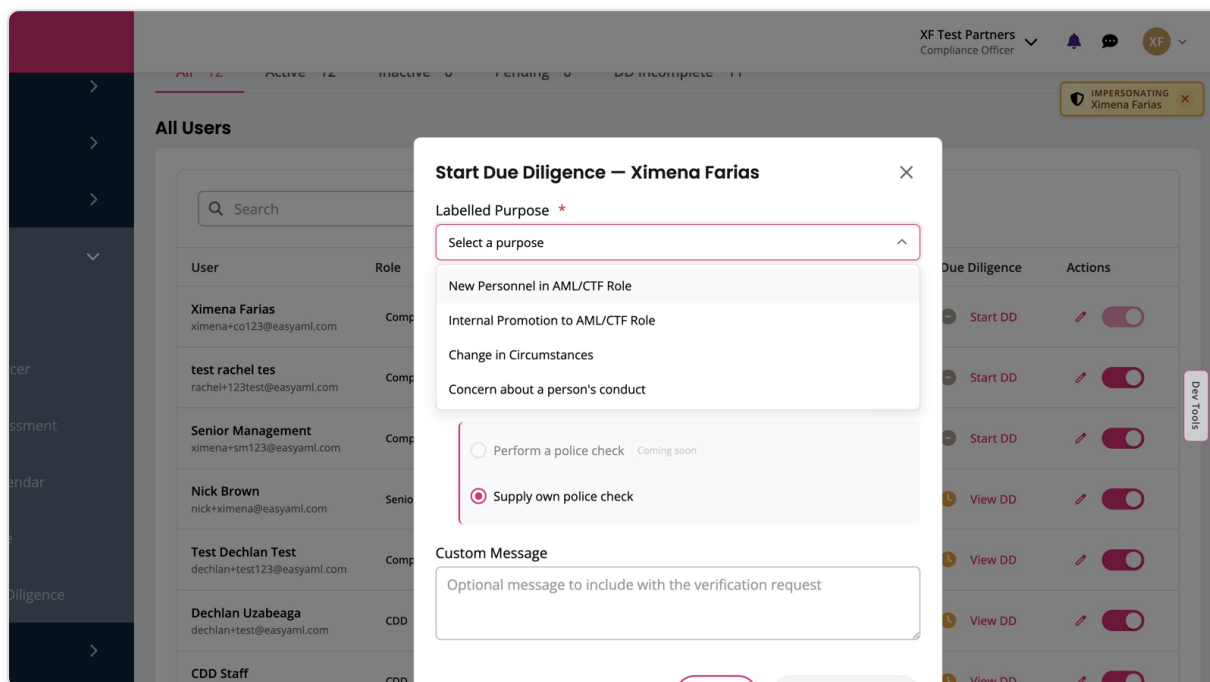
Start a PDD

- 1 Click **Compliance** in the left sidebar, then open **Personnel Due Diligence**. The table lists your staff; each saved profile has a **Start DD** option.

The screenshot shows the easyAML interface for Personnel Due Diligence. The left sidebar has a 'Compliance' menu with 'Personnel Due Diligence' selected. The main area displays a table of staff records. The table has columns: Full Name, Country, Screening, Result, Labels, Risk, and Updated. The table shows 6 records, with the first 5 being individual staff members and the last one being 'CDD Staff'. Each record has a 'Clear' button next to the Screening and Result columns. A search bar is at the top of the table. A 'Dev Tools' button is on the right side of the table.

Full Name	Country	Screening	Result	Labels	Risk	Updated
[Redacted]	-	Clear	Clear	[Redacted]	Low	29/05/2026
[Redacted]	-	Clear	Clear	[Redacted]	Low	28/05/2026
[Redacted]	-	Clear	Clear	[Redacted]	Low	27/05/2026
[Redacted]	-	Clear	Clear	[Redacted]	Low	27/05/2026
[Redacted]	-	Clear	Clear	[Redacted]	Low	21/05/2026
CDD Staff	-	Clear	Clear	[Redacted]	Low	21/05/2026

- 2 Click **Start DD** and set the **Labelled Purpose**. The purpose label matters for your audit trail — “*New Personnel in AML/CTF Role*” tells the system (and AUSTRAC, if records are ever produced) the specific reason this PDD was initiated. Other options cover promotions into AML/CTF roles and changes in circumstance.



- 3 Select any optional screening extras — Adverse Media & PEP, Professional Licence Check, Police Check — add a custom message if you wish, then click **Start Due Diligence**. This commits the PDD to the record: the staff member receives a mobile-friendly questionnaire tailored to their role, and the platform handles identity verification and PEP/sanctions screening.

The screenshot displays the easyAML web application interface. On the left is a dark sidebar with navigation links: Entities, Insights, Training, Compliance (expanded), Reporting, and Apps. The main content area is titled 'All Users' and contains a table of users. A modal window titled 'Start Due Diligence — Ximena Farias' is open in the center. The modal has a close button (X) in the top right corner. It contains the following fields and options:

- Labelled Purpose ***: A dropdown menu with 'New Personnel in AML/CTF Role' selected.
- Screening**: A section with three checkboxes:
 - ☒ Adverse Media & PEP (marked 'Required')
 - ☐ Professional Licence Check
 - ☒ Police Check (marked 'Required')
 - ☐ Perform a police check (Coming soon)
 - ☒ Supply own police check
- Custom Message**: A text input field with the placeholder 'Optional message to include with the verification request'.
- At the bottom right of the modal are two buttons: 'Cancel' and 'Start Due Diligence' (highlighted with a red box).

The background table shows user details for Ximena Farias, including her role as 'Compliance Officer' and a 'Due Diligence' status of 'Start DD'.

Review the assessment

- 1 Once a PDD is underway, **View DD** gives a live view — what's completed, what's pending, and whether any flags have been raised. With multiple PDDs in progress, the summary list shows all active records; each is independent.

The screenshot displays the easyAML interface for reviewing a Personnel Due Diligence (PDD) assessment. The left sidebar contains navigation options: Entities, Insights, Training, Compliance (expanded), Reporting, and Apps. The main content area shows a summary of the PDD for 'XF Test Partners'.

Summary

Identity: 3 Documents Collected
Risk: Reviewed
Matches: 0 Notes
Billing: Verification Results
Notes: Banned Directors, Sanctions Check, PEP Check
Attachments: Facial Comparison, Adverse Media, Online Fraud
Logs: No Matches
Questionnaire: No Matches

Created: 14/05/2026, Last Checked: 29/05/2026, Risk: Low

Verification: 14/05/2026 - Matched

Buttons: + Add Label, Add to group, Request Information, Add note, New Due Diligence, Generate Summary Report

Warning: IMPERSONATING

- 2 Identity tab** — identity verification records and supporting evidence (e.g. a police check from an external provider). If documents haven't been provided yet, use **Request Documents** to prompt the staff member directly through the same secure document-collection flow used for customers.

The screenshot shows the 'easyAML' interface with the 'Identity' tab selected in the left sidebar. The main content area displays the 'Identity' section for a user named 'Nick Brown'. The 'Summary' tab is active, showing a risk level of 'Low' and a verification status of '14/05/2026 - Matched'. The 'Name Matches' table shows a reference name 'Brown' and a match with 'Australia (Queensland) Drivers Licence'. The 'Liveness Check' section displays five images: Reference, Mouth, Down, Left, and Up. The 'Summary' tab is highlighted in the sidebar, and the 'Identity' tab is highlighted in the main content area.

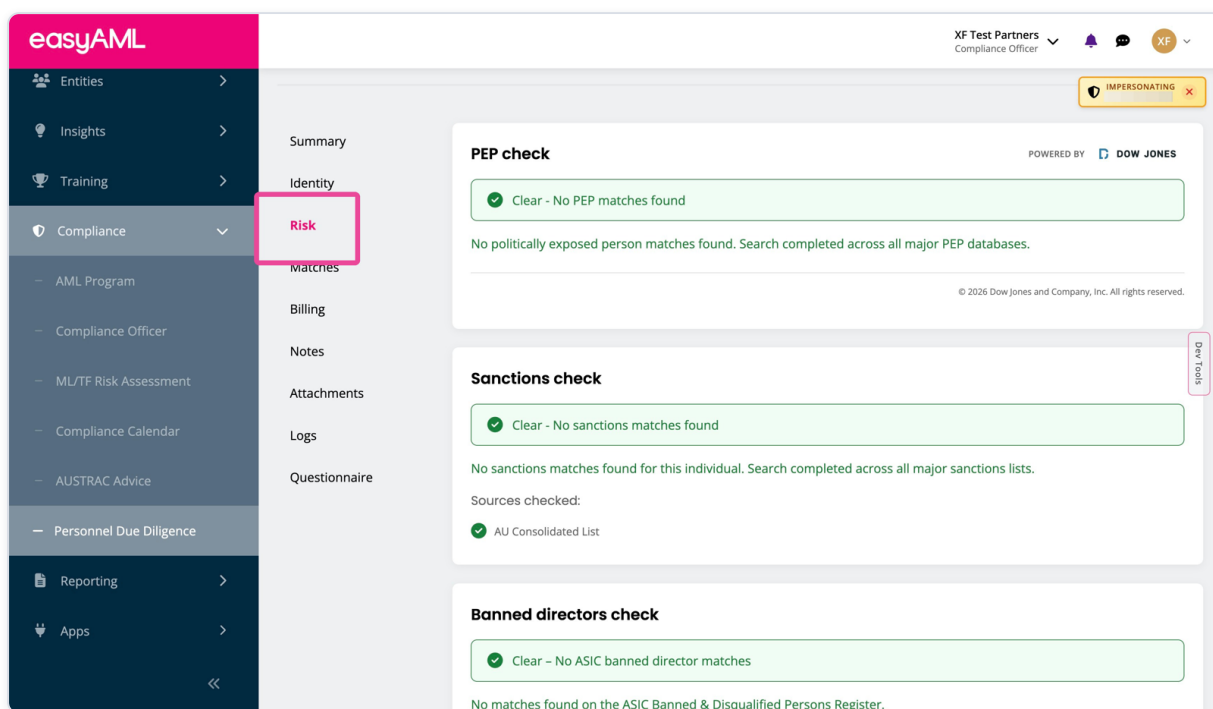
Document Type	First Name	Middle Name	Last Name	Match
Reference Name		-	Brown	
Australia (Queensland) Drivers Licence		-	Brown	No Match

Title	Type	Date	Status
Professional Membership Licence	PDF	15/05/2026	Uploaded
Police Check	PDF	15/05/2026	Uploaded

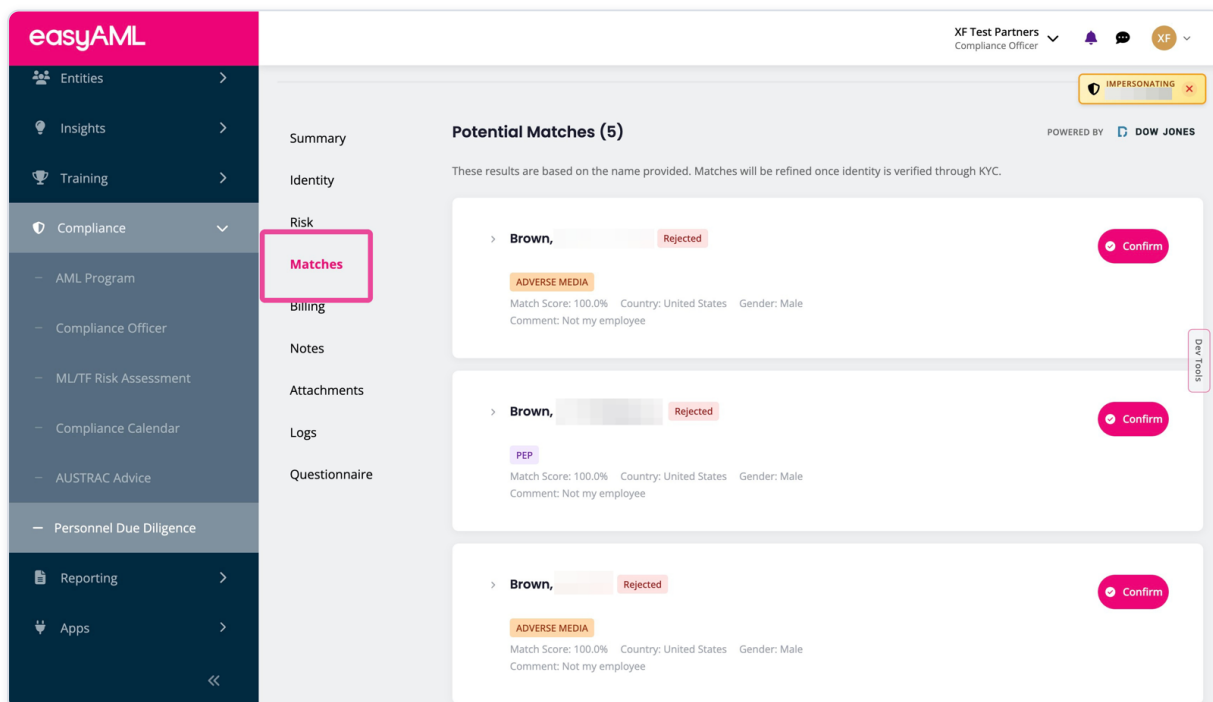
The screenshot shows the 'easyAML' interface with the 'Supplementary Documents' section. The 'Uploaded Documents (2)' table lists two documents: 'Professional Membership Licence' and 'Police Check', both uploaded on 15/05/2026. The 'Request Documents from Client' section lists four document types: 'Additional Document', 'Bank Statement', 'Birth Certificate', and 'Citizenship Certificate'. The 'Supplementary Documents' section is highlighted in the sidebar, and the 'Uploaded Documents (2)' table is highlighted in the main content area.

Title	Type	Date	Status
Professional Membership Licence	PDF	15/05/2026	Uploaded
Police Check	PDF	15/05/2026	Uploaded

- 3 Risk tab** — aggregated screening results: PEP status, sanctions matches, adverse media. Review before signing off; anything flagged here needs resolving first.



- 4 Matches tab** — any potential PEP, sanctions or adverse-media matches for adjudication. Confirm or dismiss each with a reason, exactly as for customer matches (see *Reviewing PEP, Sanctions and Adverse-Media Matches*).



- 5 Questionnaire tab** — the role-specific questionnaire the staff member completed: self-disclosures on criminal history, regulatory findings, conflicts of interest, and financial position.

The screenshot displays the easyAML web application interface. On the left is a dark blue sidebar with a pink header containing the 'easyAML' logo. The sidebar menu includes 'Entities', 'Insights', 'Training', 'Compliance' (expanded), 'AML Program', 'Compliance Officer', 'ML/TF Risk Assessment', 'Compliance Calendar', 'AUSTRAC Advice', 'Personnel Due Diligence' (selected), 'Reporting', and 'Apps'. The main content area has a top navigation bar with 'Home / Compliance / Personnel Due Diligence / Nick Brown'. Below this, a header section shows a profile picture, creation date (14/05/2026), last checked date (29/05/2026), risk level (Low), and buttons for 'Request information', 'Add note', and 'New Due Diligence'. A 'Verification' dropdown shows '14/05/2026 - Matched'. A 'Questionnaire' tab is highlighted in the left sidebar and in the main content area. The questionnaire form includes sections for 'Work Eligibility' (with questions about Australian citizenship, other names, and other nationalities), 'Conflict and External Interest' (question about external business interests), and 'Criminal Integrity Check' (question about criminal convictions or investigations). A 'Due Tools' button is visible on the right side of the questionnaire form.

- 6 Attachments** holds everything uploaded for this PDD — identity documents, police check, reference letters, or anything else your firm's policy requires — keeping the whole file against the record.

Sign off

- 1** Return to the summary for a consolidated view — a good checkpoint that nothing has been missed across identity, screening, questionnaire and documents.

- 2 Complete the three sign-off confirmations — the core of the Compliance Officer's review: you're confirming you've assessed the staff member's **integrity** (character and honesty), **competence** (skills and knowledge for the role), and reviewed the evidence. Add a comment, set the date of next review, choose the confirm reason, and sign off.

easyAML

XF Test Partners
Compliance Officer

Pass • High confidence

No Coverage

No IMPER

Sign Off

✓ Identity verified and Matched

✓ Questionnaire answered

☒ has the integrity to perform in this role

☐ has the competence to perform in this role

☐ has no adverse findings to perform in this role

Comments

he is all good

Date of next review

31/05/2027

Confirm Reason

Internal Promotion to AML/CTF Role

Complete Sign Off

Insights

Training

Compliance

AML Program

Compliance Officer

ML/TF Risk Assessment

Compliance Calendar

AUSTRAC Advice

Personnel Due Diligence

Reporting

Apps

Sign Off

✓ Identity verified and Matched

✓ Questionnaire answered

☒ has the integrity to perform in this role

☒ has the competence to perform in this role

☐ Nick Brown has no adverse findings to perform in this role

Comments

he is all good

Date of next review

31/05/2027

Confirm Reason

Internal Promotion to AML/CTF Role

Complete Sign Off

Recent activity

Report Generated 22/05/2026 16:53

A police check is generally expected for Compliance Officers. For other roles, follow your firm's risk-based policy on which screening extras to include.

More ways to get help

- **In-platform:** the “Want Help?” button on each page opens the relevant walkthrough.
- **Knowledge Base:** <https://knowledge.easyaml.com/add-users-and-complete-personnel-due-diligence-pdd>
- **Video walkthrough:**
https://scribehov.com/o/PKpOki2kThyzGwDRLEXASw/viewer/Personnel_Due_Diligence_PDD_in_EasyAML__a6248f95