



Australian Government
Attorney-General's Department

AusCheck

AusCheck System

Loading Multiple Applications using Excel or XML – A Guide for Issuing Bodies

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1. Introduction

1.1 About this Document

This document describes how Issuing Bodies (IBs) can lodge multiple applications in the AusCheck system in a single transaction using either Excel or XML. IBs can utilise these services to lodge both new and renewal applications as well as replacement cards, Under 18 registrations, MSIC to ASIC holder cards, and MSIC visa renewals.

Further technical information is available in the XML and Excel guidelines, which can be downloaded from the **Applications & Registry** section of the AusCheck system.

1.2 Who to Contact

If you have any questions about this document, please contact auscheck@ag.gov.au.

1.3 Related Documents

| Document Title | Short Name | Location |
|--|-------------------------|--|
| AusCheck Excel Application and Registration file (1.10) - Guide for Issuing Bodies | Excel Guide | Applications & Registry from the AusCheck system menu |
| AusCheck XML Application and Registration file (1.10) - Guide for Issuing Bodies | XML Guide | Applications & Registry from the AusCheck system menu |
| AusCheck Bulk Photo Upload – Guide for Issuing Bodies | Bulk Photo Upload Guide | AusCheck Downloads |

2. Lodging Multiple Applications – Step-by-Step Instructions

The following steps describe how to lodge multiple applications on the AusCheck system when using either an Excel or XML upload.

1. Select **Applications & Registry** from the AusCheck system menu.
2. Download the XML or Excel template and guidelines as required. The:
 - Excel template provides an Excel file to be completed
 - XML template provides schema files describing the XML rules.
3. Setup an Excel file or XML following the XML or Excel guide ensuring the data business rules are followed. For Excel uploads, a summary of the mandatory information is provided below (**Appendix 1 - Excel Upload Mandatory Data**).
4. When the XML or Excel is complete and ready for upload, select **Applications & Registry** from the menu.
5. Enter the full path and name of the file to be uploaded OR click the Browse button to search for the file you wish to upload.
6. Click the **Upload** button once the correct file is selected.
7. If the upload is successful, you will see the Lodgement Confirmation screen. If errors are identified while the file is loading, none of the applications in the file will load and a list of errors will be provided. All errors in the file will need to be fixed before the file will load correctly.

Solutions to common errors are listed below (**Appendix 2 - Common Error Messages**).

3. Pointers and Tips for Lodging Bulk Uploads

3.1 Pointers for using the Excel Upload Template:

- An Excel upload template spreadsheet is available for download from the Applications & Registry section of the AusCheck system. It contains all required columns and the worksheets and is correctly setup for loading.
- Spreadsheets not based on the template must contain all required information specified in the **AusCheck Excel Application and Registration file (1.10) - Guide for Issuing Bodies** (Excel Guide).
- The AusCheck system supports both .xls and .xlsx file types.
- Complete the spreadsheet by entering details for each application according to the rules specified in the data dictionary located at the end Excel guide. A summary of the mandatory information is provided below (**Appendix 1 - Excel Upload Mandatory Data**).
- In the Excel spreadsheet, start from row 4 to enter the first application. Enter one application per row. Different application types can exist in the one spreadsheet e.g. new and replacement applications can be lodged together on the same spreadsheet.
- To avoid timeout errors when uploading applications, AusCheck recommends restricting the number of applications to 100 per spreadsheet. Although the max number of applications accepted by the system is 300, the default timeout for uploads is 110 seconds. The maximum Excel upload file size is 5120kb.
- Instructions for including a photo with the upload are provided below (**4. Troubleshooting - How do I lodge a photo with the application?**).
- Previous Names: Given Name 1, Date of Birth, Gender and Name Type Previous are interdependent; if one is present the others become mandatory.
- Previous Name Type must have a value if any of the previous columns has data.
- If Country is Australia, then Suburb-Postcode-State combination must match an entry on the Australian Post code.
- The Background Check Type must match Card Type.
- At least one contact phone number must be provided. There must be one preferred telephone contact.
- An Employer Telephone Number or Liaison Officer Email Address must be supplied for an Employer.

3.2 Pointers for using the XML Upload Template:

- The XML Upload Template is a zip file (compressed) containing XML schema files. When setting up an XML upload file, follow the **AusCheck XML Application and Registration file (1.10) - Guide for Issuing Bodies** (XML Guide) to ensure the upload conforms to relevant business rules and data requirements.

Please note: AusCheck is developing a generic XML file template for lodging new applications. This will be included in the zip file following the next release of the AusCheck system.

- XML files may include multiple applications. This is achieved by using the schema ApplicationLodgementRequests. Single applications would use the schema ApplicationLodgementRequest.
- The maximum XML upload file size is 5120kb.
- Instructions for including a photo with the upload are provided below (**4. Troubleshooting - How do I lodge a photo with the application?**).

4.0 Troubleshooting

4.1 Solutions to Common Issues and Problems for Excel Users

Can I process an applicant with more than 2 previous names?

The spreadsheet can accept a maximum of 2 previous names; further names can then be added via the AusCheck system. IBs may prefer to lodge applications with more than two previous names using the Card Wizard on the AusCheck website.

It is important that all previous names are added to an application to ensure a valid background check is processed.

An applicant with more than 2 previous addresses in less than 10 years?

The spreadsheet can accept a maximum of 2 previous addresses; further addresses can then be added via the AusCheck system. IBs may prefer to lodge applications with more than two previous addresses using the Card Wizard on the AusCheck website.

What information is required in the spreadsheet to load an application?

The Excel Guide provides a list of the data requirements to complete the spreadsheet. For a summary of the main data requirements see below (**Appendix 1 - Excel Upload Mandatory Data**).

4.2 Solutions to Common Issues and Problems for Excel and XML Users

Can I use the Excel or XML upload to 'Cancel' a card?

No, you must log into the AusCheck system to cancel cards.

Can I use the Excel or XML upload to update an individual's details?

No, you must log into the AusCheck system to update individual details.

I have lodged with an incorrect date of birth, what should I do?

It is very important that the correct date of birth is provided to ensure a valid background check is processed by AusCheck and its checking partners. Applications lodged with incorrect dates of birth must be 'Withdrawn' and re-lodged with correct details. Standard fees apply to both lodgements.

I have lodged an application with an incorrect name, or have not included a previous name, what should I do?

It is very important that the correct names are provided to ensure a valid background check is processed by AusCheck and its checking partners. Applications lodged with incorrect names must be 'Withdrawn' and re-lodged with correct details. Standard fees apply to both lodgements.

How do I renew an Under 18 card registration?

An under 18 card expires 6 months after the individual turns 18. At this time a NEW application must be lodged with AusCheck. Renewals cannot be lodged against Under 18 Card Registrations because these card holders do not undergo a background check. These cards are setup as basic registrations in the AusCheck system only. Further information is required and a full application must be lodged before a background check can be processed.

Can I lodge different application types in the one Excel or XML upload?

Yes. Both Excel and XML support multiple application types in a single upload file. In Excel each row represents an application type and in XML each application is a new ApplicationLodgementRequest element.

How do I indicate a card replacement reason (e.g. lost or damaged)?

It may be better to use the AusCheck system to replace cards. Replacements cards can be processed using the Card Wizard function on the AusCheck website. IBs will have the option of selecting Change of Name, Destroyed, Damaged, Lost or Stolen as the replacement card reason. Replacements cards processed using Excel or XML upload do not provide the full range of card replacement options.

Must I provide all the existing application details for a renewal?

Yes. If the AusCheck ID is known another option is to use the AusCheck system directly to lodge a renewal. The system will pre-populate the applicant's previously provided details (including photo) for renewals.

Will applications lodge if there is an error?

If an application is rejected when loading, the entire file will not load, an error/exception report will result providing details of all errors identified. All errors must be fixed before the file will load and applications lodge.

How do I lodge a photo with an application?

There are currently three options for lodging photos with an application:

- i. open an existing application in the AusCheck system and upload the photo
- ii. use the Bulk Photo Upload option, refer to the AusCheck Issuing Body Guide to Bulk Photo Upload available on the AusCheck website, or
- iii. convert the image to a base64 string by using decoder software. Place the string into the XML element 'Photo' eg: <Photo>*add encoded binary*</photo> or into the Excel column 'Photo'.

What happens to a previous card when I submit a replacement?

From 12/4/2011, the previous card will automatically cancel when a replacement card is processed.

Please note: Previous cards replaced before 12 April 2011 will not cancel and will continue to show as Issued in the system. These cards will also be Read Only. If an IB requires a card replaced before 12/4/2011 to be changed to Cancelled, please email the AusCheck ID/Card number and an explanation of why the card was replaced to AusCheck@ag.gov.au

Appendix 1 – Excel Upload Template – Mandatory Data


| | New | Replacement, Renew, Temporary Card | Under 18 | MSIC to ASIC | MSIC Visa Renewed |
|------------------------------|---|---|---|---|---|
| Current Name: | | | | | |
| Given Name 1 | ✓ | ✓ | ✓ | ✓ | ✓ |
| Date of Birth | ✓ | ✓ | ✓ | ✓ | ✓ |
| Gender | ✓ | ✓ | ✓ | ✓ | ✓ |
| Place of Birth: | | | | | |
| Birth Locality | ✓ | ✓ | ✓ | ✓ | ✓ |
| Birth State | ✓ | ✓ | ✓ | ✓ | ✓ |
| Birth Country | ✓ | ✓ | ✓ | ✓ | ✓ |
| Current Address: | | | | | |
| Street Name | ✓ | ✓ | ✓ | ✓ | ✓ |
| Suburb | ✓ | ✓ | ✓ | ✓ | ✓ |
| Postcode | ✓ | ✓ | ✓ | ✓ | ✓ |
| City | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) |
| State | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) | ✓ (only if country is not Australia) |
| Country | ✓ | ✓ | ✓ | ✓ | ✓ |
| Current Address Current From | ✓ | ✓ | ✓ | ✓ | ✓ |
| Card Details: | | | | | |
| Issuing Body | ✓ | ✓ | ✓ | ✓ Must be MSIC | ✓ |

| | | | | | |
|--|---------------------------|---------------------------|---------------------------|---|---|
| Card Number | ✓ | ✓ | ✓ | ✓ | ✓ |
| Card Holder Name | ✓ | ✓ | ✓ | ✓ | ✓ |
| Card Type | ✓ | ✓ | ✓ | ✓ must match Background Check Type | ✓ |
| Card Sub Type | ✓ (only MSIC, ASIC) | ✓ (only MSIC, ASIC) | ✓ (only MSIC, ASIC) | | |
| Is Temporary | ✓ | ✓ | ✓ | ✓ | ✓ |
| Application Details: | | | | | |
| Previous Card Number and Previous Issuing Body Number | | ✓ | | ✓ | ✓ |
| Application Type | ✓ | ✓ | ✓ | ✓ | ✓ |
| Background Check Type | ✓ | ✓ | ✓ | ✓ | ✓ |
| Preferred Contact Method: | | | | | |
| Preferred Method of Contact | ✓ | ✓ | ✓ | ✓ | ✓ |
| Home, work, mobile or email | ✓ | ✓ | ✓ | ✓ | ✓ |
| Employer Details: | | | | | |
| Company Name | ✓ | ✓ | ✓ | ✓ | ✓ |
| Street Name | ✓ | ✓ | ✓ | ✓ | ✓ |
| Suburb | ✓ | ✓ | ✓ | ✓ | ✓ |
| Postcode | ✓ | ✓ | ✓ | ✓ | ✓ |
| State | ✓ | ✓ | ✓ | ✓ | ✓ |
| Country | ✓ | ✓ | ✓ | ✓ | ✓ |
| Telephone or Email Address | ✓ | ✓ | ✓ | ✓ | ✓ |
| Liaison Officer | ✓ | ✓ | ✓ | ✓ | ✓ |

| | | | | | |
|--|---------------------------------|---------------------------------------|---------------------------------|---------------------------------|---------------------------------|
| Name | | | | | |
| Lawful Non-Citizen or Work Rights Check Information: | | | | | |
| IB Satisfied | ✓ | ✓ | ✓ | ✓ | ✓ |
| Travel Document/Visa grant number/Port of Arrival/Date of Arrival/Flight Number/Name of Vessel | (only if IB Satisfied is False) | (only if IB Satisfied is False) | (only if IB Satisfied is False) | (only if IB Satisfied is False) | (only if IB Satisfied is False) |
| Endorsement | ✓ | ✓ | ✓ | ✓ | ✓ |
| Citizenship Country | ✓ | ✓ | ✓ | ✓ | ✓ |
| Reason for Cancellation | | ✓ (only applicable to Replacement) | | | |

Appendix 2 - Common Error Messages

| Error | Solution |
|--|--|
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>Missing 'Previous 1' Individual Given Names</p> | <p>Given Name 1, Date of Birth, Gender and Name Type Previous are interdependent – if one is present the others become mandatory. Previous Given Name is required if Name Type Previous is selected.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>Missing Mandatory Individual Birth State</p> | <p>Birth Locality, Birth State and Birth Country are mandatory.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>Missing Mandatory Individual Birth State</p> <p>Invalid 'Current' address: postcode '2619' is incorrect for suburb 'Sutton' in state 'NSW'</p> <p>Invalid 'Postal' address: postcode '2619' is incorrect for suburb 'Sutton' in state 'NSW'</p> | <p>If country is Australia, the Suburb – Postcode-State combination must match an entry on the Australia Postcode list and is mandatory.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>Missing City from 'Current' Address</p> <p>Missing City from 'Postal' Address</p> | <p>Current Address City is mandatory when country is not Australia.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>The current residential address has been occupied for less than 10 years. Please provide a previous address.</p> | <p>When the From date of the Current Address is less than 10 years ago at least one Previous Address Details is required.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>The Background Check Type 'ASIC' does not match the Security Card Type 'MSIC'</p> | <p>The Background Check Type must match Card Type.</p> |

| | |
|--|---|
| <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>Missing Requested Card Location</p> | <p>Card Validity Location is mandatory if Card Type is ASIC.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'GivenTest1'</p> <p>Preferred method of contact: 'WorkTelephoneNumber' is missing</p> | <p>There must be one preferred telephone contact. At least one contact number must be provided.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'Given3'</p> <p>Exception occurred during XML application validation.</p> | <p>This may refer to a number of errors when applying for a card requiring Previous Card Details, for example the Previous Card details are not correct or no values exist; or mandatory information is not provided.</p> |
| <p>Errors</p> <p>Row '4'. Validation errors occurred while processing the application for Individual: 'Given3'</p> <p>Unable to identify the previous security card requested. Please check the details entered for the Previous Card Number: '548471', Previous Issuing Body: 'OSC', Individual Name: 'Given3' and Individual Date of Birth: '8/02/1963'</p> | <p>This message may occur when applying for a card requiring Previous Card information e.g. Temporary Card. This could be due to the card number provided under Previous Card is not valid or the Given Name and Date of Birth in the Current Name details do not match the Previous Card details provided.</p> |
| <p>Upload Multiple Applications</p> <hr/> <p> Row : '4' has an invalid Issuing Body code</p> | <p>Check the Previous Card Number exists in the AusCheck system or the Issuing Body Code is correct.</p> |
| <p>Missing or Incorrect Existing Card Identifier</p> <p>To identify an existing security card provide either the: 1) AusCheck ID, 2) Client Reference and Individual Name and Date of Birth, or 3) Card Number and Issuing Body and Individual Name and Date of Birth.</p> | <p>This message will appear when the previous card information is not supplied for the processes: MSIC to ASIC holder, renewal, replacement, temporary and MSIC Visa Renewed cards.</p> |