Vendor Compliance - Implementing and Automating the OFAC Process
Michael V. Williams

- ERP Analyst II
- Three Years with ERP
- Prior Work Experience - Coordinator of Accounting Services for FSU
- Eleven Cumulative Years of Service at FSU
Dawn M. Snyder, CPA

- Associate Controller, Disbursement Services and Travel
- Five Years as Associate Controller
- Prior experience as an external auditor and internal auditor for FSU
- Ten Cumulative Years of Service at FSU
Florida State University

Established 1851
Fall 2009 enrollment was 40,255
Session Overview

• OFAC Configuration Requirements
  ° Installation Options Set-Up
  ° Vendor Set Controls Options
  ° Building and Scheduling Indexes

• OFAC Delivered Process Review
  ° Importing Specially Designated Nationals (SDN) Files from the U.S. Department of the Treasury
Session Overview

• OFAC Delivered Process Review cont’d
  ° Building and Scheduling Indexes
  ° SDN Validation Process
  ° Review Financial Sanction Log
• Automating the Delivered OFAC Processes
• Lessons Learned
What does OFAC Vendor Compliance Entail?

• The Office of Foreign Assets Control
  ° Administers and enforces economic sanction programs against countries and groups or individuals.
  ° All U.S. persons and businesses must comply OFAC regulations.
OFAC Vendor Compliance cont’d

° OFAC’s regulations are designed to halt terrorists, their funding and other illegal transactions.

° It publishes a list of Specially Designated Nationals and Blocked Persons ("SDN list").

° OFAC penalty assessments can vary from significant monetary fines to civil and criminal prosecution.
Introduction

• Prior to going live with PeopleSoft 9.0, FSU used a custom, manual OFAC validation process.
  ° This process required an immense amount of data manipulation to the original SDN list published by the U.S. Department of the Treasury.
  ° Data analysis between the SDN List and the FSU vendor file was loaded into an Excel spreadsheet.
  ° Potential opportunities for data corruption issues, user error and the inability to perform a review timely.
  ° Very time consuming and meticulous process.
Introduction

° A custom page was created to show an active listing of all countries FSU identified as sanctioned based on the data on the OFAC Sanctions Program list.

° This custom page prevents AP/Purchasing vendor team members from adding new vendors, creating purchase orders and processing vouchers to any vendors located in these countries.
Introduction

Custom Page View

Add/Del Country

This feature is used to remove countries from OMNI's vendor file that have been sanctioned by the U.S. Department of Treasury Office of Foreign Asset Control. Once added on this screen, if VFMT member tries to enter a country that has been sanctioned, they will be informed:

FSU may resume normal business with this country if and when the country is removed from this list.

For more information please visit http://www.treasury.gov/offices/enforcement/ofac/.

Add Delete Country

<table>
<thead>
<tr>
<th>Country</th>
<th>Description</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Belarus</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>2</td>
<td>Cote D'Ivoire</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>3</td>
<td>Congo, The Democratic Republic</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>4</td>
<td>Cuba</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>5</td>
<td>Iran (Islamic Republic Of)</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>6</td>
<td>Iraq</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>7</td>
<td>Myanmar</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>8</td>
<td>Korea, Democratic People's Rep</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>9</td>
<td>Syrian Arab Republic</td>
<td>+</td>
<td>-</td>
</tr>
<tr>
<td>10</td>
<td>Zimbabwe</td>
<td>+</td>
<td>-</td>
</tr>
</tbody>
</table>

Save
OFAC Configuration Requirements
# Installation Options

<table>
<thead>
<tr>
<th>Installation Options</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last Journal Number Assigned:</td>
<td>114802</td>
</tr>
<tr>
<td>Default Country:</td>
<td>USA</td>
</tr>
<tr>
<td>Last VAT Authority Number:</td>
<td></td>
</tr>
<tr>
<td><em>SubCustomer Usage:</em></td>
<td>Use Both SubCustomer Fields</td>
</tr>
<tr>
<td><em>Tax Vendor:</em></td>
<td>None</td>
</tr>
<tr>
<td><em>Reconciliation Level:</em></td>
<td>Single Business Unit</td>
</tr>
<tr>
<td><em>InterUnit Method:</em></td>
<td>Direct</td>
</tr>
<tr>
<td><em>InterUnit Summarization Option:</em></td>
<td>Summarize</td>
</tr>
</tbody>
</table>

## Financial Sanctions Options

- Click this hyperlink to access the Financial Sanction Options
Installation Options cont’d

Validation and Search Options have to be chosen.

Information in this section automatically defaults
Vendor Set Controls

Set Controls - Vendor

Enter any information you have and click Search. Leave fields blank for a list of all values.

Find an Existing Value | Add a New Value

Select appropriate SETID to validate vendor file
## Vendor Set Controls cont’d

### Vendor Set Control

- **SetID:** SHARE  FSU Standard SetID

#### Autonumbering
- **Use Autonumbering:**
- **Last Vendor ID Assigned:** 0000037015

#### Vendor Information Control
- **Display Withholding Option:** 1099
- **Display VAT Flag:** OFF
- **Country:** USA

#### EFT/ACH Prenote Confirmation
- **Wait Days:** 10

#### Financial Sanctions Options
- **Inactive Vendors:** Exclude
- **Vendor CI Load:**
  - Do not check
  - SDN Validation at save

#### Duplicate Vendor Checking

<table>
<thead>
<tr>
<th>Field Options</th>
<th>ID Type</th>
<th>Warning</th>
<th>Tax ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>*ID Type:</td>
<td>Warning</td>
<td>Tax ID</td>
<td></td>
</tr>
<tr>
<td>*VAT Registration:</td>
<td>Do Not Check</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Vendor Name:</td>
<td>Warning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Vendor Short Name:</td>
<td>Warning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Vendor Withholding TIN:</td>
<td>Warning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Withholding Name:</td>
<td>Warning</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Processing Options
- **Inactive Vendors:** Do Not Include
- **Vendor CI Load:**
  - Do Not Check
  - Check for duplicates at save
We used the default values from PeopleSoft.
Configuration Requirements

Building and Scheduling Indexes cont’d

We used the default values from PeopleSoft.
OFAC Delivered Process Review
Delivered OFAC Process Review

Import Specially Designated Nationals (SDN) File from the U.S. Department of the Treasury
Import SDN File cont’d

Select XML version to download and save to desktop, etc.

- ASCII Delimited, Fixed-Width and CSV data files provided outside of the archive
- ASCII Delimited, Fixed-Width and CSV data files in a Windows operating system 32 bit archive - Contains 33 files in a self-extracting archive (archive includes XML version of the SDN list)
- ASCII Delimited, Fixed-Width and CSV data files in a DOS 16 bit archive - Contains 33 files in a self-extracting archive (archive includes XML version of the SDN list)
- ASCII Delimited, Fixed-Width and CSV data files in a Unix/Linux-ready archive - Contains 33 files in a .zip archive (archive includes XML version of the SDN list)

Data Specifications for Delimited and XML Versions of the SDN list

- Data specification for ASCII Delimited, Fixed-Width and CSV data files
- XML SDN Schema (XSD file)

Recent Changes to OFAC Data Formats

- Recent Technical Actions
Delivered OFAC Process Review

Manually Upload SDN File into PeopleSoft
Delivered OFAC Process Review

Manually Upload SDN File cont’d

Processor must select this hyperlink to begin the upload process.
Delivered OFAC Process Review

Manually Upload SDN File cont’d

File name will be the same as the name of the file saved to desktop.
Delivered OFAC Process Review

Review Entries from SDN File

Processor has to select this hyperlink to view what entries were uploaded during the import process.
Delivered OFAC Process Review

Review Entries from SDN File cont’d

Specify OFAC in the “Sanction List Type” field. This will retrieve all entries from the last file uploaded.

Entry IDs are assigned by the OFAC process and originates from the XML file.
Review Entries from SDN File cont’d

Financial Sanctions Entry

Entry ID: 10
First Name: 
Last Name: ABASTECEDORA NAVAL Y INDUSTRIAL, S.A.
ID Type: Entity
Program: CUBA

<table>
<thead>
<tr>
<th>ID</th>
<th>ID Type</th>
<th>ID Number</th>
<th>Country</th>
<th>Issue Date</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ID</th>
<th>ID Type</th>
<th>Category</th>
<th>First Name</th>
<th>Last Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt; 4 a.k.a.</td>
<td>strong</td>
<td>ANAINS</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ID</th>
<th>Address Line 1</th>
<th>Address Line 2</th>
<th>Address Line 3</th>
<th>City</th>
<th>Postal Code</th>
<th>State / Province</th>
<th>Country</th>
<th>State / Province</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt; 7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Panama</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ID</th>
<th>Country</th>
<th>Main Entry</th>
<th>Citizenship Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>1 of 1</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ID</th>
<th>Birth Date</th>
<th>Main Entry</th>
<th>Birthplace Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>1 of 1</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Building and Scheduling Search Indexes

### Search Index Admin

**Delete, Modify and Schedule Builds for Indexes**

<table>
<thead>
<tr>
<th>Index</th>
<th>Index Location</th>
<th>Edit Properties</th>
<th>Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 CS_CONFIGURATOR</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/CS_CONFIGURATOR/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>2 CS_DOCUMENTS</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/CS_DOCUMENTS/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>3 CS_DOCUMENTS_ADH</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/CS_DOCUMENTS_ADH/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>4 CS_DOCUMENTS_PO</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/CS_DOCUMENTS_PO/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>5 CS_OBJECTS</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/CS_OBJECTS/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>6 CS_PLAINTXT</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/CS_PLAINTXT/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>7 SDN_SEARCH_ADDR</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/SDN_SEARCH_ADDR/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>8 SDN_SEARCH_NAME</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/SDN_SEARCH_NAME/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>9 WASRCA</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/WASRCA/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>10 WASRCB</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/WASRCB/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
<tr>
<td>11 WMSRCA</td>
<td>/apps/psoffii/pt8.49/sqnafi/data/search/WMSRCA/SQNAFI</td>
<td>Edit Properties</td>
<td>Schedule</td>
</tr>
</tbody>
</table>

### Process Monitor

Deleting the Index Definition also removes the actual collections stored in the filesystem, if any have been built.

Select **edit properties** to build indexes on an ad-hoc basis or **schedule** to build indexes at a specified time.
Building and Scheduling Search Indexes cont’d

<table>
<thead>
<tr>
<th>*Language Code</th>
<th>Language to Map</th>
<th>Build</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 ENG</td>
<td></td>
<td>Build</td>
</tr>
</tbody>
</table>

This is the default page after the edit properties link is selected on the ‘search index’ page.
These are default schedule options that appear after the schedule link is selected on the ‘search index’ page.
Financial Sanction Validation Process

<table>
<thead>
<tr>
<th>Conversations</th>
<th>Duplicate Vendor Report</th>
<th>Financial Sanctions Validation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record conversation details with vendors.</td>
<td>Identify potential duplicate vendors.</td>
<td>Identify possible matches against Financial Sanctions Lists.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fin Sanctions Validation Log</th>
</tr>
</thead>
<tbody>
<tr>
<td>Listing of all Vendors requiring review for possible Financial Sanctions List inclusion.</td>
</tr>
</tbody>
</table>

Select this option to begin validation process.
Delivered OFAC Process Review

Financial Sanction Validation Process cont’d

Financial Sanctions Validation

- Run Control ID: SANCTION_VNDRS
- Request ID: 1
- Process Frequency: Process Once
- Description: OFAC TESTING

Set run control options as desired.
Delivered OFAC Process Review

Financial Sanction Validation Process cont’d

AP_SDN_VAL is the application engine that runs during the sanction validation process.
Delivered OFAC Process Review

Financial Sanction Validation Process cont’d

<table>
<thead>
<tr>
<th>Conversations</th>
<th>Duplicate Vendor Report</th>
<th>Financial Sanctions Validation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record conversation details with vendors.</td>
<td>Identify potential duplicate vendors.</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fin Sanctions Validation Log</th>
</tr>
</thead>
<tbody>
<tr>
<td>Listing of all Vendors requiring review for possible Financial Sanctions List inclusion.</td>
</tr>
</tbody>
</table>

Select this option to review validation process results.
Delivered OFAC Process Review

Reviewing Validation Results

Clicking this option will take you directly to PeopleSoft vendor profile.

Clicking this option will take you directly to SDN list entry that is producing the potential match.

Financial Sanctions Validation Log

This listing represents Vendors requiring review for association with a Financial Sanctions Listing.

<table>
<thead>
<tr>
<th>SetID</th>
<th>Vendor ID</th>
<th>Short Vendor Name</th>
<th>Entry ID</th>
<th>Sanctions List Type</th>
<th>Go To Vendor Info</th>
<th>Financial Sanctions Inquiry</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SHARE</td>
<td>0000000079</td>
<td>AMERINSTIP</td>
<td>4700 OFAC</td>
<td></td>
<td>Go To Vendor Info</td>
<td>Financial Sanctions Inquiry</td>
</tr>
<tr>
<td>2 SHARE</td>
<td>0000009373</td>
<td>NATLINSTIS</td>
<td>10128 OFAC</td>
<td></td>
<td>Go To Vendor Info</td>
<td>Financial Sanctions Inquiry</td>
</tr>
</tbody>
</table>
Delivered OFAC Process Review

Reviewing Validation Results cont’d

Financial Sanctions Entry

<table>
<thead>
<tr>
<th>Entry ID</th>
<th>10</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Last Name</td>
</tr>
<tr>
<td>Title</td>
<td>ID Type</td>
</tr>
<tr>
<td>Program</td>
<td>CUBA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Identification Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>ID Type</td>
<td>ID Number</td>
<td>Country</td>
<td>Issue Date</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Alias Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>ID Type</td>
<td>Category</td>
<td>First Name</td>
<td>Last Name</td>
</tr>
<tr>
<td>4</td>
<td>a.k.a.</td>
<td>strong</td>
<td>ANAINSA</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Address Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>Address Line 1</td>
<td>Address Line 2</td>
<td>Address Line 3</td>
<td>City</td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Nationality Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>Country</td>
<td>Main Entry</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Citizenship Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>Country</td>
<td>Main Entry</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Birthdate Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>Birth Date</td>
<td>Main Entry</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Birthplace Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>Birth Location</td>
<td>Main Entry</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Delivered OFAC Process Review

Handling Positive Validation Matches

Financial status defaults to review when there is a potential SDN match.
Handling Positive Validation Matches cont’d

**Review:** Pending review by VFMT. Voucher or Pay Cycle activity will not process successfully.

**Cleared:** Temporarily confirmed as a false positive.

**Blocked:** This is a verified SDN. Voucher or Pay Cycle activity will not process successfully.
Handling Positive Validation Matches cont’d

You can control how long a vendor can be excluded from future validations. 0 days will include the vendor in the next validation process.
Cleared vendors will drop off the Financial Sanctions Validation Log until the next validation is processed.
Delivered OFAC Process Review

Some Delivered Validation Error Messages

**Windows Internet Explorer**

Address 2 has an address, Pay Name, or Withhold name which may match an entry on a sanctions list. (7025,258)

This vendor's address has an address, Pay Name, or Withhold name on a Financial Sanctions Listing. It must be reviewed with the appropriate authorities to determine if this vendor is on a financial sanctions listing.

**Windows Internet Explorer**

The Invoicing Vendor is under review or blocked for Financial Sanctions. (7030,703)

The Invoicing Vendor is under review or blocked for Financial Sanctions. It must be reviewed with the appropriate authorities to determine if this vendor is on a financial sanctions listing.
Delivered OFAC Process Review

Some Delivered Validation Error Messages

**Windows Internet Explorer**

*The Remit Vendor is either under review or blocked. (7030,706)*

The Remit Vendor is under review or blocked for Financial Sanctions. It must be reviewed with the appropriate authorities to determine if this vendor is on a financial sanctions listing.

**Windows Internet Explorer**

*An express payment cannot be processed for this vendor. (7015,355)*

This vendor's financial sanctions status = review or blocked. No payments may be made to this vendor until it has been determined by the appropriate authorities that this vendor is not on a financial sanctions listing.
Delivered OFAC Process Review

Pay Cycle Validation

The pay cycle process will also validate against potential positive matches from the SDN list imported.

Note: SDN Validation must be turned off at the vendor set controls for this to work.
Pay Cycle Validation Search Options

Pay Cycle Financial Sanction Warnings

Pay Cycle: APPAY AP PAYCYCLE

Search Results

<table>
<thead>
<tr>
<th>Business Unit</th>
<th>Advice ID</th>
<th>Advice Sequence</th>
<th>Entry ID</th>
<th>Financial Sanctions Inquiry</th>
<th>SetID</th>
<th>Vendor ID</th>
<th>Name 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>FSU01</td>
<td>00538696</td>
<td>1</td>
<td>10128</td>
<td>Financial Sanctions Inquiry</td>
<td>SHARE 000009373</td>
<td>NATIONAL INSTITUTE OF STANDARDS AND</td>
<td></td>
</tr>
</tbody>
</table>

The Search results page defaults after the **Financial Sanction Exceptions** link is selected.

Search options includes:
- Voucher
- Name/Address Info
- Message Details
Pay Cycle Validation Message Details

Pay Cycle Financial Sanction Warnings

Pay Cycle Manager

Pay Cycle: APPAY AP PAYCYCLE

<table>
<thead>
<tr>
<th>Business Unit</th>
<th>Advice ID</th>
<th>Advice Sequence</th>
<th>Entry ID</th>
<th>Financial Sanctions Inquiry</th>
<th>Set ID</th>
<th>Vendor ID</th>
<th>Message Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>FSU01</td>
<td>00538396</td>
<td>1</td>
<td>10128</td>
<td>Financial Sanctions Inquiry</td>
<td>SHARE 0000009373</td>
<td>A Potential match was found on a Financial Sanctions List. This vendor must be verified.</td>
<td></td>
</tr>
</tbody>
</table>

Pay Cycle provides a brief description of the possible match.
Automating the OFAC Process
OFAC Automation

Configuring AppWorx to Run OFAC Processes

This page illustrates the number of steps required to automate OFAC process.
AppWorx Step Levels Process Details

- Subsequent steps 2 through 14

- **Step 2: Search Build** – This step runs the process that builds the indexes for the SDN_SEARCH_NAME table. PeopleSoft recommends indexes be rebuilt whenever a new file is imported.

- **Step 3: Search Build 01** - This step runs the process that builds the indexes for the SDN_SEARCH_ADDR table. PeopleSoft recommends indexes be rebuilt whenever a new file is imported.

- **Step 4: RSYNC_FI_SDN_INDEX** – This step sync indexes on our servers.

- **Steps 5–13: AP_SDN_VAL** – These steps validate our vendors against the latest SDN list. Each step processes a group of 5000 vendors at time.

- **Step 14 : SDN_SEND_NOTIFICATION** - This step sends out email notifications to designated individuals.
This page illustrates the run control ID required to run a specified step within the OFAC process.
Creating AppWorx Integration Node

Import Financial Sanction List

Run Control ID: OFAC_IMPORT_XML

Parameters

*Request Number: 1

*Import Type: HTTP

Integration Node: FSU_OFAC

File Path: http://www.ustreas.gov/offices/enforcement/ofac/sdn/sdn.xml

File Name: 

*Layout: OFAC

Advanced Options

Layout Properties

Property Code | Value
--- | ---

Save | Return to Search | Notify | Refresh
OFAC Automation

Scheduling AppWorx Processing Start Time

AppWorx starts the OFAC process on Sundays beginning at 1AM.
OFAC Automation

AppWorx’s Email Notification

From: appworx@admin.fsu.edu
To: Tekrwal, Amardeep V; Williams, Michael V
Cc: 
Subject: OFAC SDN list updated in OMNI

The latest SDN list has been retrieved from the U.S. Treasury website and uploaded into OMNI Financials. Please follow this navigation path to see if any of our vendors were designated as potential matches:

Vendors > Vendor Information > Maintain > Fin Sanctions Validations Log

Note: Please do not reply. This is a system generated message.
Vendor file team members are still required to research possible matches and update vendor file.
Lessons Learned

- PeopleSoft will not give you an exact verity score number to enter into your installation options. This number is based solely on your organizational requirements.
- The process will run for a very long time if you try to validate your entire vendor file at once.
- The process doesn’t display active related documents for a possible match.
- Other U.S. Treasury Department lists can be imported as long as the XML format is the same.
- You must remember to include all vendor SETIDs.
- Security requirements were minimal.
Questions?
Contact Information

Michael V. Williams
Business Analyst
Accounts Payable
Florida State University
E-mail: mvwilliams@admin.fsu.edu

Dawn M. Snyder
Associate Controller
Disbursement Services and Travel
Florida State University
E-mail: dmsnyder@fsu.edu
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