

# **Vendor Compliance - Implementing and Automating the OFAC Process**

**Session 27344  
March 02, 2010  
2:00 PM –3:00 PM**



# Presenter

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## **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



## Co - Presenter

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### **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

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**Established 1851**

**Fall 2009 enrollment was 40,255**



# Session Overview

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- 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

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- OFAC Delivered Process Review cont'd
  - Building and Scheduling Indexes
  - SDN Validation Process
  - Review Financial Sanction Log
- Automating the Delivered OFAC Processes
- Lessons Learned



# General Information

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## What does OFAC Vendor Compliance Entail?

- The **O**ffice of **F**oreign **A**ssets **C**ontrol
  - Administers and enforces economic sanction programs against countries and groups or individuals.
  - All U.S. persons and businesses must comply OFAC regulations.



# General Information

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## 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

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- 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

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- A custom page was created to show an active listing of all countries FSU indentified 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**

Customize | Find | First 1-10 of 10 Last

	<u>Country</u>		<u>Description</u>		
1	BLR		Belarus		
2	CIV		Cote D'Ivoire		
3	COD		Congo, The Democratic Republic		
4	CUB		Cuba		
5	IRN		Iran (Islamic Republic Of)		
6	IRQ		Iraq		
7	MMR		Myanmar		
8	PRK		Korea, Democratic People's Rep		
9	SYR		Syrian Arab Republic		
10	ZWE		Zimbabwe		

Save



# OFAC Configuration Requirements



# Configuration Requirements

## Installation Options

**Installation Options** Overall

Last Journal Number Assigned:

Default Country:

Last VAT Authority Number:

\*SubCustomer Usage:

\*Tax Vendor:

\*Reconciliation Level:

\*InterUnit Method:

\*InterUnit Summarization Option:

☐ Enable Document Sequencing

☒ Enable Alternate Account

☐ Multibook entries in Subsystem

☒ Process Partition for GL

☒ Item Approval Required  
Method:

☒ Enable Document Tolerance

☒ Document Approval Required  
ChartField:

☒ Use Legal Entity for InterUnit

[Financial Sanctions Options](#)

**D&B Settings**

☐ Enable Realtime D&B Access

Maximum Response Number:

[DB Account Information](#)

**Account Balancing Attributes** [Customize](#) | [Find](#) | First 1-2 of 2 Last

Attribute Name	Active	Default Value
Balance Sheet Indicator		
Book Code		

Save Notify

[Installation Options](#) | [Overall](#)

Click this hyperlink to access  
the Financial Sanction Options



# Configuration Requirements

## Installation Options cont'd

### Financial Sanctions Options

#### Validation Options

☒ Enable in Treasury Settlements

\*Payables/e Settlements: Enabled at Installation

\*Order To Cash: Enable at Install

#### Search Options

☒ Use Enterprise Search Service

Verity Score Threshold: 80

☐ Use Third Party Web Service

Message Node Name:

#### List of Verity Search Indexes

[Customize](#) | [Find](#) | [View All](#) |

First 1-2 of 2

Last

	*Search Index Name		Index Type		
1	SDN_SEARCH_NAME		Name		
2	SDN_SEARCH_ADDR		Address		

OK

Cancel

Refresh

Validation  
and Search  
Options have  
to be chosen.

Information in  
this section  
automatically  
defaults



# Configuration Requirements

## 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](#)

SetID: =



Select appropriate SETID to validate vendor file

Search

Clear

[Basic Search](#)



[Save Search Criteria](#)

[Find an Existing Value](#) | [Add a New Value](#)



# Configuration Requirements

## 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

##### Field Options

\*ID Type: Warning Tax ID

\*VAT Registration: Do Not Check

\*Vendor Name: Warning

\*Vendor Short Name: Warning

\*Vendor Withholding TIN: Warning

\*Withholding Name: Warning

##### Processing Options

\*Inactive Vendors: Do Not Include

\*Vendor CI Load: Do Not Check

☒ Check for duplicates at save

Save

Return to Search

Notify

Add

Update/Display





# Configuration Requirements

## Building and Scheduling Indexes

Primary Record

### Design a Search Index

Index: SDN\_SEARCH\_ADDR

[Build Index](#)

[Test Index](#)

[Show Logs](#)

Index Location: /apps/psoffi/pt8.49/sdevfi/data/search/SDN\_SEARCH\_ADDR/SDEVFI

Key returned in search results:

<pairs/>

[Edit Key](#)

Parent Data Record

\*Record (Table) Name: SDN\_ADDRESS\_LST

WHERE clause to append:

WHERE

Fields

\*How to zone the index: One zone

[Click here for help with the Fields columns](#)

#### Fields Included in the Index

Record	Field Name	Verity Field	Word Index	Has attachment
1	SDN_ADDRESS_LST ADDRESS1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2	SDN_ADDRESS_LST ADDRESS2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3	SDN_ADDRESS_LST ADDRESS3	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4	SDN_ADDRESS_LST CITY	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5	SDN_ADDRESS_LST COUNTRY_NAME	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
6	SDN_ADDRESS_LST POSTAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7	SDN_ADDRESS_LST SDN_ENTRY_ID	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8	SDN_ADDRESS_LST SDN_ID	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
9	SDN_ADDRESS_LST SDN_ID_UID	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
10	SDN_ADDRESS_LST STATE_PROVINCE	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Append to Verity Command Line:

We used the default values from PeopleSoft.



# Configuration Requirements

## Building and Scheduling Indexes cont'd

**Primary Record**

### Design a Search Index

Index: SDN\_SEARCH\_NAME [Build Index](#) [Test Index](#) [Show Logs](#)

Index Location: /apps/pssoftfi/pt8.49/sdevfi/data/search/SDN\_SEARCH\_NAME/SDEVFI

Key returned in search results:  
<pairs/> [Edit Key](#)

**Parent Data Record**

\*Record (Table) Name: SDN\_HDR\_ENTR\_VW  
WHERE clause to append:  
WHERE SDN\_ACTIVE=Y

**Fields**

\*How to zone the index: One zone [Click here for help with the Fields columns](#)

Fields Included in the Index				
Record	Field Name	Verity Field	Word Index	Has attachment
1 SDN_AKA_LIST	SDN_CATEGORY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 SDN_AKA_LIST	SDN_ENTRY_ID	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3 SDN_AKA_LIST	SDN_FIRST_NAME	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4 SDN_AKA_LIST	SDN_ID	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5 SDN_AKA_LIST	SDN_ID_UID	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6 SDN_AKA_LIST	SDN_LAST_NAME	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7 SDN_AKA_LIST	SDN_TYPE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8 SDN_AKA_LIST	SDN_WHOLENAME	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
9 SDN_HDR_ENTR_VW	LOAD_DTTM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10 SDN_HDR_ENTR_VW	SDN_ACTIVE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11 SDN_HDR_ENTR_VW	SDN_ENTRY_ID	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12 SDN_HDR_ENTR_VW	SDN_FIRST_NAME	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
13 SDN_HDR_ENTR_VW	SDN_ID	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14 SDN_HDR_ENTR_VW	SDN_LAST_NAME	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
15 SDN_HDR_ENTR_VW	SDN_LIST_TYPE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

The screenshot shows the official website of the Office of Foreign Assets Control (OFAC) under the U.S. Department of the Treasury. The page layout includes a top navigation bar with links like HOME, CONTACT US, and SITE INDEX. A left sidebar contains a search bar and a comprehensive list of links categorized under News, Direct Links, Press Room, About Treasury, Offices, and Bureaus. The main content area is titled 'OFFICE OF FOREIGN ASSETS CONTROL' and features a link to 'Get e-mail updates when this information changes' (highlighted with a red box). Below this, the 'Specially Designated Nationals List (SDN)' section is displayed, with the link 'SDN List (in PDF format)' (also highlighted with a red box) indicating the list was last updated on January 19, 2010. Additional links provide help with downloading or opening the PDF, and options to view the list sorted by program or country, or to access an archive of changes. At the bottom, there is a link for 'Delimited and XML Versions of the SDN list'.

UNITED STATES  
DEPARTMENT OF  
THE TREASURY

HOME CONTACT US SITE INDEX FAQ FOIA ESPAÑOL ACCESSIBILITY PRIVACY & LEGAL

OFFICE OF FOREIGN ASSETS CONTROL

[News](#)  
[Direct Links](#)  
[Press Room](#)  
[About Treasury](#)  
[Offices](#)  
    [Domestic Finance](#)  
    [Economic Policy](#)  
    [General Counsel](#)  
    [International Affairs](#)  
    [Management](#)  
    [Public Affairs](#)  
    [Tax Policy](#)  
    [Terrorism and Financial Intelligence](#)  
    ▶ [Office of Foreign Assets Control](#)  
        [Designation Lists & Financial Advisories](#)  
        [Publications and Legislation](#)  
        [Programs and Initiatives](#)  
    [Treasurer](#)  
[Bureaus](#)  
[Site Policies and Notices](#)

[< Back to OFAC Home](#)

To view or print the PDF content on this page, download the free [Adobe® Acrobat® Reader®](#).

[Get e-mail updates when this information changes.](#)

**Specially Designated Nationals List (SDN)**

[SDN List \(in PDF format\)](#) Last Updated - **January 19, 2010**  
~~[SDN List \(in TEXT format\)](#)~~

[Having trouble downloading the latest SDN information?](#)  
[Having trouble opening the PDF format version of the SDN list?](#)

What changed on the list when it was last updated?

[SDN List Sorted by OFAC Sanctions Program](#)  
[SDN List Sorted by Country](#)  
[Archive of changes to the SDN list](#)

**Delimited and XML Versions of the SDN list**



# Delivered OFAC Process Review

## Import SDN File cont'd

[Bureaus](#)

[Site Policies and Notices](#)

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



### Delimited and XML Versions of the SDN list

[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)

[XML version of the SDN list](#)

[ASCII Delimited, Fixed-Width and CSV data files provided outside of the archive.](#)



### 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

[Main Menu >](#)

### Banking

Access Banking.


 <b><a href="#">Banks and Branches</a></b> Set up bank information. <ul style="list-style-type: none"><li><a href="#">Bank Information</a></li><li><a href="#">Bank Branch Information</a></li><li><a href="#">Treasury Counterparties</a></li><li><a href="#">6 More...</a></li></ul>	 <b><a href="#">Bank Accounts</a></b> Access bank accounts. <ul style="list-style-type: none"><li><a href="#">My Account Groups</a></li><li><a href="#">Bank Account Manager</a></li><li><a href="#">External Accounts</a></li><li><a href="#">3 More...</a></li></ul>	 <b><a href="#">Bank Statements</a></b> Load bank and fee statements, perform inquiries, and review information. <ul style="list-style-type: none"><li><a href="#">Bank Statement Manager</a></li></ul>
 <b><a href="#">Reconcile Statements</a></b> Perform auto, semi-manual or manual reconciliation; enter external transactions. <ul style="list-style-type: none"><li><a href="#">Reconciliation Manager</a></li><li><a href="#">Process Reconciliation</a></li><li><a href="#">Automatic Reconciliation</a></li><li><a href="#">3 More...</a></li></ul>	 <b><a href="#">Financial Sanctions</a></b> Provides pages that support financial sanction lists to validate payee information. <ul style="list-style-type: none"><li><a href="#">Financial Sanctions Inquiry</a></li><li><a href="#">Import Financial Sanction List</a></li></ul>	





# Delivered OFAC Process Review

## Manually Upload SDN File cont'd

[Main Menu](#) > [Banking](#) >

 **Financial Sanctions**

Provides pages that support financial sanction lists to validate payee information.

 <a href="#">Financial Sanctions Inquiry</a> Inquire Financial Sanctions data	 <a href="#">Import Financial Sanction List</a> ← Import financial sanction lists (OFAC etc.)
---	--

**Processor must select this hyperlink to begin the upload process.**



# Delivered OFAC Process Review

## Manually Upload SDN File cont'd

### Import Financial Sanction List

Run Control ID: IMPORT\_SANCTION

[Report Manager](#) [Process Monitor](#)

[Run](#)

#### Parameters

[Find](#) | [View All](#) First 1

\*Request Number:

1

\*Import Type:

File

File Path:

/inbound/

File Name:

SDN\_LIST\_05\_19\_09.xml

[File Selection Help](#)

[Select File](#)

\*Layout:

OFAC

[View Layout Details](#)

#### Advanced Options

#### Layout Properties

[Customize](#) | [Find](#) | [View All](#) | First 1 of 1 Last

[Property Code](#)

[Value](#)



File name will be the same as the name of the file saved to desktop.

[Save](#)

[Return to Search](#)

[Notify](#)

[Refresh](#)

[Add](#)

[Update/Display](#)








# Delivered OFAC Process Review

## Review Entries from SDN File

[Main Menu](#) > [Banking](#) >

 **Financial Sanctions**

Provides pages that support financial sanction lists to validate payee information.

 <a href="#">Financial Sanctions Inquiry</a> Inquire Financial Sanctions data	 <a href="#">Import Financial Sanction List</a> Import financial sanction lists (OFAC etc.)
---	--

**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

### Financial Sanctions Inquiry

Use Saved Search:

Sanctions List Type	<input type="text" value="equal to"/>	<input type="text" value="OFAC"/>
ID Type	<input type="text" value="All Values"/>	
Sanctions Header ID	<input type="text" value="All Values"/>	
Entry ID	<input type="text" value="All Values"/>	
First Name	<input type="text" value="All Values"/>	
Last Name	<input type="text" value="All Values"/>	
Address Line 1	<input type="text" value="All Values"/>	
Address Line 2	<input type="text" value="All Values"/>	
Address Line 3	<input type="text" value="All Values"/>	
City	<input type="text" value="All Values"/>	
Country	<input type="text" value="All Values"/>	
State / Province	<input type="text" value="All Values"/>	
Program	<input type="text" value="All Values"/>	

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

Max Rows to Retrieve:

[Search](#)

[Clear](#)

[Advanced Search](#)

[Save Search Criteria](#)

[Delete Saved Search](#)

[Personalize Search](#)

Search Results					Customize   Find   View 5   First 1-100 of 4152   Last
Entry ID	First Name	Last Name	ID Type	Title	
<a href="#">10</a>		ABASTECEDORA NAVAL Y INDUSTRIAL, S.A.	Entity		
<a href="#">10000</a>	Jhon Eidelber	CANO CORREA	Individual		
<a href="#">10001</a>		INVERSIONES MACARNIC PATINO Y CIA S.C.S.	Entity		
<a href="#">10002</a>		COMERCIALIZADORA DE CAFE DEL OCCIDENTE CODECAFE LTDA.	Entity		
<a href="#">10003</a>		GOMEZ MARIN LTDA.	Entity		
<a href="#">10004</a>		GAVIOTAS LTDA.	Entity		

Entry IDs are assigned by the  
OFAC process and originates  
from the XML file.



# Delivered OFAC Process Review

## Review Entries from SDN File cont'd

### Financial Sanctions Entry

Entry ID: 10

First Name:

Last Name: ABASTECEDORA NAVAL Y INDUSTRIAL, S.A.

Title:

ID Type: Entity

Program: CUBA

#### Identification Information [Find](#) | [View All](#) First [1 of 1](#) Last

<u>ID</u>	<u>ID Type</u>	<u>ID Number</u>	<u>Country</u>	<u>Issue Date</u>	<u>Expiration Date</u>

#### Alias Information [Find](#) | [View All](#) First [1 of 1](#) Last

<u>ID</u>	<u>ID Type</u>	<u>Category</u>	<u>First Name</u>	<u>Last Name</u>
4 a.k.a.		strong		ANAINSA

#### Address Information [Find](#) | [View All](#) First [1 of 1](#) Last

<u>ID</u>	<u>Address Line 1</u>	<u>Address Line 2</u>	<u>Address Line 3</u>	<u>City</u>	<u>Postal Code</u>	<u>State / Province</u>	<u>Country</u>
7							Panama

#### Nationality Information [Find](#) | [View All](#) First [1 of 1](#) Last

<u>ID</u>	<u>Country</u>	<u>Main Entry</u>

#### Citizenship Information [Find](#) | [View All](#) First [1 of 1](#) Last

<u>ID</u>	<u>Country</u>	<u>Main Entry</u>

#### Birthdate Information [Find](#) | [View All](#) First [1 of 1](#) Last

<u>ID</u>	<u>Birth Date</u>	<u>Main Entry</u>

#### Birthplace Information [Find](#) | [View All](#) First [1 of 1](#) Last

<u>ID</u>	<u>Birth Location</u>	<u>Main Entry</u>



# Delivered OFAC Process Review

## Building and Scheduling Search Indexes

Search Index Admin

### Delete, Modify and Schedule Builds for Indexes

#### Defined Search Indexes

	Index	Index Location	Edit Properties	Schedule
<input type="checkbox"/>	1 CS_CONFIGURATOR	/apps/psofft/pt8.49/sqnafi/data/search/CS_CONFIGURATOR/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	2 CS_DOCUMENTS	/apps/psofft/pt8.49/sqnafi/data/search/CS_DOCUMENTS/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	3 CS_DOCUMENTS_ADH	/apps/psofft/pt8.49/sqnafi/data/search/CS_DOCUMENTS_ADH/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	4 CS_DOCUMENTS_PO	/apps/psofft/pt8.49/sqnafi/data/search/CS_DOCUMENTS_PO/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	5 CS_OBJECTS	/apps/psofft/pt8.49/sqnafi/data/search/CS_OBJECTS/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	6 CS_PLAINTEXT	/apps/psofft/pt8.49/sqnafi/data/search/CS_PLAINTEXT/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input checked="" type="checkbox"/>	7 SDN_SEARCH_ADDR	/apps/psofft/pt8.49/sqnafi/data/search/SDN_SEARCH_ADDR/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input checked="" type="checkbox"/>	8 SDN_SEARCH_NAME	/apps/psofft/pt8.49/sqnafi/data/search/SDN_SEARCH_NAME/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	9 WASRCA	/apps/psofft/pt8.49/sqnafi/data/search/WASRCA/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	10 WASRCB	/apps/psofft/pt8.49/sqnafi/data/search/WASRCB/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>
<input type="checkbox"/>	11 WMSRCA	/apps/psofft/pt8.49/sqnafi/data/search/WMSRCA/SQNAFI	<a href="#">Edit Properties</a>	<a href="#">Schedule</a>

#### Process Monitor

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

Delete checked Indexes

Save Notify

Select edit properties to build indexes on an ad-hoc basis or schedule to build indexes at a specified time.



# Delivered OFAC Process Review

## Building and Scheduling Search Indexes cont'd

Index: SDN\_SEARCH\_ADDR

Index Location: /apps/psprdfi/pt8.49/sprdfi/data/search/SDN\_SEARCH\_ADDR/SPRDFI

<a href="#">Customize</a>   <a href="#">Find</a>   <a href="#">View All</a>		
* <a href="#">Language Code</a>	<a href="#">Language to Map</a>	<a href="#">Build</a>
1 ENG		<a href="#">Build</a>

[OK](#) [Cancel](#)

This is the default page after the edit properties link is selected on the 'search index' page.



# Delivered OFAC Process Review

## Building and Scheduling Search Indexes cont'd

### Search Results

<a href="#">View All</a>	First <a href="#">1-57 of 57</a> <a href="#">Last</a>
Recurrence Name	Recurrence Description
<a href="#">Daily</a>	Daily
<a href="#">Daily Purge</a>	Daily Purge
<a href="#">Daily Search Rebuild</a>	Daily Search Rebuild
<a href="#">EOCM Daily Partner Cleanup</a>	EOCM Daily Partner Cleanup
<a href="#">Every15Mins</a>	Every15Mins
<a href="#">FSU DAILY 10:00PM</a>	FSU DAILY 10:00PM
<a href="#">FSU DAILY 11:00PM</a>	FSU DAILY 11:00PM
<a href="#">FSU DAILY 2:00AM</a>	FSU DAILY 2:00AM
<a href="#">FSU DAILY 3:00AM</a>	FSU DAILY 3:00AM
<a href="#">FSU DAILY 4:00AM</a>	FSU DAILY 4:00AM
<a href="#">FSU DAILY 5:00AM</a>	FSU DAILY 5:00AM
<a href="#">FSU DAILY 5:30PM</a>	FSU DAILY 5:30PM
<a href="#">FSU DAILY 6:00PM</a>	FSU DAILY 6:00PM
<a href="#">FSU DAILY 6:30PM</a>	FSU DAILY 6:30PM
<a href="#">FSU DAILY 7:00PM</a>	FSU DAILY 7:00PM
<a href="#">FSU DAILY 8:00PM</a>	FSU DAILY 8:00PM
<a href="#">FSU DAILY EVERY 1.5 HRS</a>	FSU DAILY EVERY 1.5 HRS
<a href="#">FSU DAILY NOON AND SIX</a>	FSU DAILY NOON AND SIX
<a href="#">FSU Daily 06:00AM</a>	FSU Daily 06:00AM
<a href="#">FSU Daily 07:00AM</a>	FSU Daily 07:00AM
<a href="#">FSU Daily 12:AM</a>	FSU Daily 12:00AM
<a href="#">FSU Daily Every 2 Hours</a>	FSU Daily Every 2 Hours
<a href="#">FSU Daily Every Hour</a>	FSU Daily Every Hour
<a href="#">FSU Daily at 11:00pm</a>	FSU Daily at 11:00pm
<a href="#">FSU Daily at 9:00pm</a>	FSU Daily at 9:00pm
<a href="#">FSU LAST FRIDAY OF MONTH</a>	FSU LAST FRIDAY OF MONTH
<a href="#">FSU Saturday 06:00AM</a>	FSU Saturday 06:00AM
<a href="#">FSU Weekday 2 AM</a>	FSU Weekday 2 AM
<a href="#">FSU Weekday 6:00PM</a>	FSU Weekday 6:00PM
<a href="#">FSU Weekly Audit</a>	FSU Weekly Audit
<a href="#">FSU Weekly Monday at 6:00PM</a>	FSU Weekly Monday at 6:00PM
<a href="#">FSU Weekly Tuesday at 5:30PM</a>	FSU Weekly Tuesday at 5:30PM
<a href="#">FSU Weekly Tuesday at 6:00PM</a>	FSU Weekly Tuesday at 6:00PM
<a href="#">FSU DAILY 12:00PM</a>	FSU_DAILY_12:00PM
<a href="#">FSU DAILY EVERY 4HRS</a>	FSU_DAILY_EVERY_4HRS
<a href="#">FSU DLY 1:00PM</a>	FSU_DLY_1:00PM
<a href="#">FSU EVERYDAY 1:30AM</a>	FSU_EVERYDAY_1:30AM
<a href="#">FSU EVERYDAY 2:30AM</a>	FSU_EVERYDAY_2:30AM
<a href="#">FSU EVERYDAY 7:00AM</a>	FSU_EVERYDAY_7:00AM
<a href="#">FSU FRIDAYS 7:00AM</a>	FSU_FRIDAYS 7:00AM
<a href="#">FSU MONDAYS 7 AM</a>	FSU_MONDAYS_7_AM
<a href="#">FSU MONTHLY FIRST TUESDAY</a>	FSU_MONTHLY_FIRST_TUESDAY
<a href="#">FSU THURS 9PM</a>	FSU_THURS_9PM
<a href="#">FSU TUES-SAT 12:30AM</a>	FSU_TUES-SAT_12:30AM
<a href="#">FSU TUESDAYS 7:00AM</a>	FSU_TUESDAYS 7:00AM
<a href="#">FSU TUESDAYS 5AM</a>	FSU_TUESDAYS_5AM
<a href="#">FSU TUES SAT 7AM</a>	FSU_TUES_SAT_7AM
<a href="#">FSU WEDNESDAYS 7 AM</a>	FSU_WEDNESDAYS_7_AM
<a href="#">FSU WEEKDAY 0630</a>	FSU WEEKDAY 6:30
<a href="#">M-F at 5pm</a>	M-F at 5pm
<a href="#">PC WEEKLY</a>	PC_WEEKLY
<a href="#">PerfMon Reaper Recurrence</a>	PerfMon Reaper Recurrence
<a href="#">RS</a>	RS
<a href="#">SP HCM INTG FOR DELIVERABLE WO</a>	SP_HCM_INTG_FOR_DELIVERABLE_WO
<a href="#">Spro User Profile Created Chek</a>	Spro_User_Profile_Created_Chek
<a href="#">Workflow Init 10 Mins</a>	Workflow Init 10 Mins
<a href="#">Workflow Init 60 Sec</a>	Workflow Init 60 Sec


These are default schedule options that appear after the [schedule](#) link is selected on the 'search index' page.







# Delivered OFAC Process Review

## Financial Sanction Validation Process

Main Menu > Vendors > Vendor Information >

 **Maintain**

 <b><u>Conversations</u></b> Record conversation details with vendors.	 <b><u>Duplicate Vendor Report</u></b> Identify potential duplicate vendors.	 <b><u>Financial Sanctions Validation</u></b> Identify possible matches against Financial Sanctions Lists.
 <b><u>Fin Sanctions Validation Log</u></b> Listing of all Vendors requiring review for possible Financial Sanctions List inclusion.	<div>Select this option to begin validation process.</div>	



# Delivered OFAC Process Review

## Financial Sanction Validation Process cont'd

### Financial Sanctions Validation

Run Control ID: SANCTION\_VNDRS

[Report Manager](#)

[Process Monitor](#)

Run

\*Request ID:

1

Description:

OFAC TESTING

\*Process Frequency:

Process Once

#### Report Request Parameters

SetID:

SHARE



☐ Search in all SetIDs

From Vendor ID

0000005001



To Vendor ID

0000010000



Country



Set run control  
options as  
desired.

Save

Return to Search

Notify

Add

Update/Display





# Delivered OFAC Process Review

## Financial Sanction Validation Process cont'd

### Process Scheduler Request

User ID: MVWILLIAMS

Run Control ID: SANCTION\_VNDRS

Server Name: PSUNX

Run Date: 03/20/2009

Recurrence:

Run Time: 3:25:59PM

Reset to Current Date/Time

Time Zone:

### Process List

Select	Description	Process Name	Process Type	*Type	*Format	Distribution
<input checked="" type="checkbox"/>	AP_SDN_VAL	AP_SDN_VAL	Application Engine	Web	TXT	<a href="#">Distribution</a>

AP\_SDN\_VAL is the application engine that runs during the sanction validation process.

OK


Cancel







# Delivered OFAC Process Review

## Financial Sanction Validation Process cont'd

[Main Menu](#) > [Vendors](#) > [Vendor Information](#) >

 **Maintain**

 <b><a href="#">Conversations</a></b> Record conversation details with vendors.	 <b><a href="#">Duplicate Vendor Report</a></b> Identify potential duplicate vendors.	 <b><a href="#">Financial Sanctions Validation</a></b> Identify possible matches against Financial Sanctions Lists.
 <b><a href="#">Fin Sanctions Validation Log</a></b> Listing of all Vendors requiring review for possible Financial Sanctions List inclusion.	<div style="border: 2px solid red; padding: 10px; text-align: center;">Select this option to review validation process results.</div>	



# Delivered OFAC Process Review

## Reviewing Validation Results

### Financial Sanctions Validation Log

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

Customize   Find   First 1-2 of 2 La						
<u>SetID</u>	<u>Vendor ID</u>	<u>Short Vendor Name</u>	<u>Entry ID</u>	<u>Sanctions List Type</u>	<u>Go To Vendor Info</u>	<u>Financial Sanctions Inquiry</u>
1 SHARE	0000000079	AMERINSTIP	4700	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
2 SHARE	0000009373	NATLINSTIS	10128	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>

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.



# Delivered OFAC Process Review

## Reviewing Validation Results cont'd

### Financial Sanctions Entry

Entry ID: 10

First Name:















Last Name: ABASTECEDORA NAVAL Y INDUSTRIAL, S.A.

Title:

ID Type: Entity

Program: CUBA

Financial Sanction Inquiry  
hyperlink default page.

Identification Information					<a href="#">Find</a>   <a href="#">View All</a>	First  1 of 1  Last					
ID	ID Type	ID Number	Country	Issue Date	Expiration Date						
Alias Information					<a href="#">Find</a>   <a href="#">View All</a>	First  1 of 1  Last					
ID	ID Type	Category	First Name	Last Name							
	4 a.k.a.	strong		ANAINSA							
Address Information					<a href="#">Find</a>   <a href="#">View All</a>	First  1 of 1  Last					
ID	Address Line 1	Address Line 2	Address Line 3	City	Postal Code	State / Province	Country				
	7						Panama				
Nationality Information				<a href="#">Find</a>   <a href="#">View All</a>	First  1 of 1  Last	Citizenship Information		<a href="#">Find</a>   <a href="#">View All</a>	First  1 of 1  Last		
ID	Country	Main Entry	ID	Country	Main Entry						
Birthdate Information				<a href="#">Find</a>   <a href="#">View All</a>	First  1 of 1  Last	Birthplace Information				<a href="#">Find</a>   <a href="#">View All</a>	First  1 of 1  Last
ID	Birth Date	Main Entry	ID	Birth Location	Main Entry						



# Delivered OFAC Process Review

## Handling Positive Validation Matches

**Summary** | **Identifying Information** | **Address** | **Contacts** | **Location** | **Custom**

SetID: SHARE Check for Duplicate

Vendor ID: 0000029256

\*Vendor Short Name: IBEROAMERI IBEROAMERI

\*Vendor Name 1: IBEROAMERICANA

Vendor Name 2: EDITORIAL VERUERT S L

\*Status: Approved \*Classification: Supplier

\*Persistence: Regular HCM Class:

☐ VAT Registration ☐ Withholding ☒ Open For Ordering

Expand All

**Vendor Relationships**

☐ Corporate Vendor ☐ InterUnit Vendor

Corporate SetID: SHARE InterUnit Vendor ID:

Corporate Vendor ID: 0000029256 IBEROAMERICANA

**Create Bill-To Customer**

☐ Create Bill To Customer

**Additional ID Numbers**

**Duplicate Invoice Settings**

**Government Classifications**

**Standard Industry Codes**

**Additional Reporting Elements**

**Financial Sanctions Status**

\*Financial Sanctions Status

Sanctions Status Date

Sanctions Update User Id

Expand All Collapse All

Save Return to Search Notify Add Update/Display In

[Summary](#) | [Identifying Information](#) | [Address](#) | [Contacts](#) | [Location](#) | [Custom](#)

Financial status defaults to review when there is a potential SDN match.



# Delivered OFAC Process Review

## Handling Positive Validation Matches cont'd

▶ Additional ID Numbers

▶ Duplicate Invoice Settings

▶ Government Classifications

▶ Standard Industry Codes

▶ Additional Reporting Elements

▼ Financial Sanctions Status

\*Financial Sanctions Status

Sanctions Status Date

Sanctions Update User Id

Expand All

Collapse All

Review

Blocked

Cleared

Review

**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.

Save

Return to Search

Notify

Add

Update/Display

Include History

Correct History

[Summary](#) | [Identifying Information](#) | [Address](#) | [Contacts](#) | [Location](#) | [Custom](#)



# Delivered OFAC Process Review

## Handling Positive Validation Matches cont'd

**Create Bill-To Customer**

☐ Create Bill To Customer

**Additional ID Numbers**

**Duplicate Invoice Settings**

**Government Classifications**

**Standard Industry Codes**

**Additional Reporting Elements**

**Financial Sanctions Status**

**\*Financial Sanctions Status**

**Sanctions Status Date**

**Days before next validation**

**Sanctions Update User Id**

Cleared

03/30/2009

30

☐ Skip future validation

MVWILLIAMS

Expand All

Collapse All

Save

Return to Search

Notify

Add

Update/Display

Include History

C

You can control how long a vendor can be excluded from future validations. 0 days will include the vendor in the next validation process.



# Delivered OFAC Process Review

## Handling Positive Validation Matches cont'd

### Financial Sanctions Validation Log

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

Customize   Find   First 1-2 of 2 Last						
<u>SetID</u>	<u>Vendor ID</u>	<u>Short Vendor Name</u>	<u>Entry ID</u>	<u>Sanctions List Type</u>	<u>Go To Vendor Info</u>	<u>Financial Sanctions Inquiry</u>
1 SHARE	0000009373	NATLINSTIS	10128	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
2 SHARE	0000028854	CPPAS	4700	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>

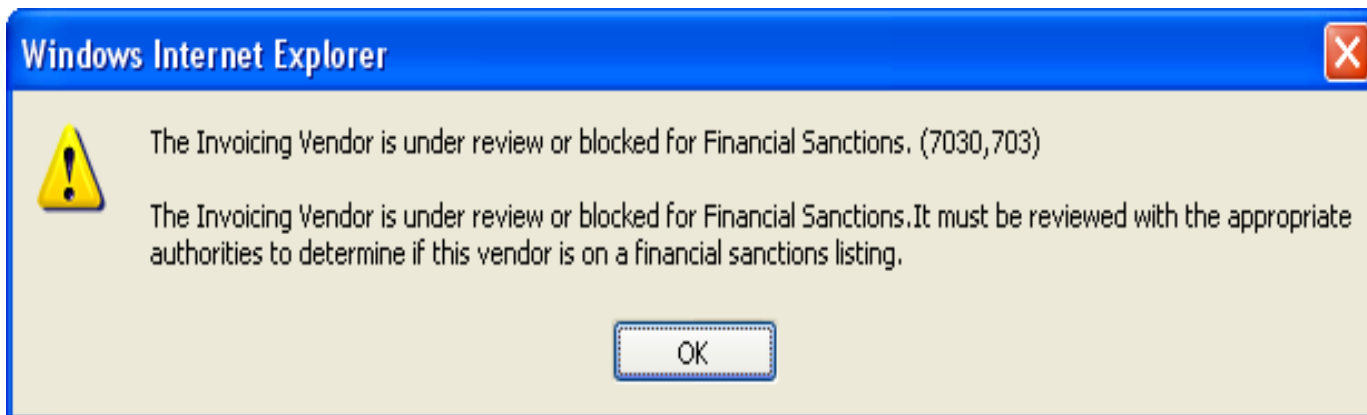
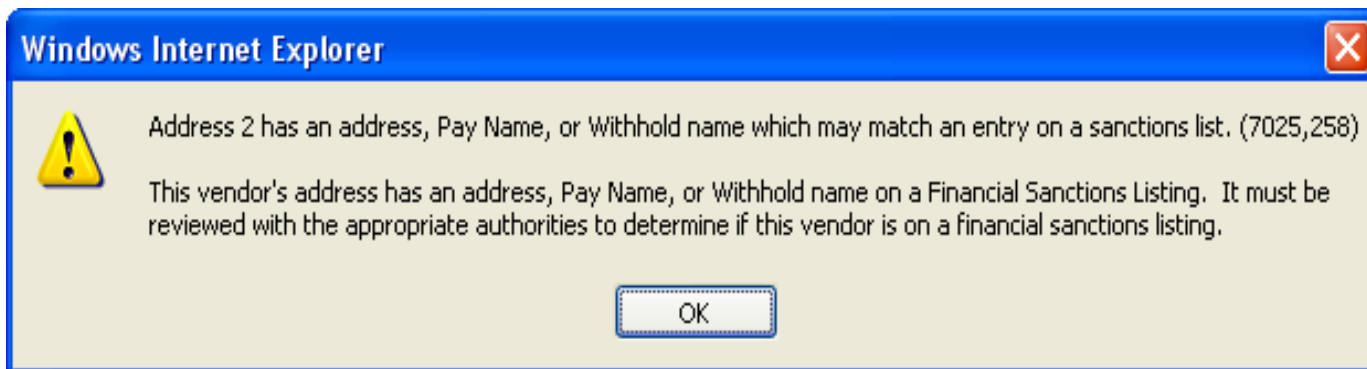
Cleared vendors will drop off the Financial Sanctions Validation Log until the next validation is processed.





# Delivered OFAC Process Review

## Some Delivered Validation Error Messages





# 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.

OK

### 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.

OK



# Delivered OFAC Process Review

## Pay Cycle Validation

[Selection Criteria](#) Approve Trial Register Reference Confirmation Draft Staging Approval

---

### Pay Cycle Status

Status: No work [Refresh](#) [Process Monitor](#)

Pay From Date: 02/05/2010

Pay Through Date: 02/06/2010

Payment Date: 02/06/2010

Schedule Payments: 0 [Summary](#) [Details](#)

Selected:

Process	Server
Process	Payment Selection
Process	Payment Selection & Creation

**Pay Cycle Reset**

Server:  [Reset](#)

---

### Pay Cycle Exceptions

[Pay Cycle Error](#) Discount Lost Discount Denied Withholding Bank Replacement [Financial Sanctions Exceptions](#)

---

### Pay Cycle Results

[Customize](#) | [Find](#) | [View All](#) | [First](#) | [1 of 1](#) | [Last](#)

[Main Information](#) [Additional Info](#) [More](#)

Description	Bank	Account	Status	Server Name	*Output Type	Output Destination
-------------	------	---------	--------	-------------	--------------	--------------------

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.



# Delivered OFAC Process Review

## Pay Cycle Validation Search Options

### Pay Cycle Financial Sanction Warnings

[Pay Cycle Manager](#)

Pay Cycle:      APPAY      AP PAYCYCLE

Search Results									
Customize   Find   View All   First 1 of 1 Last									
Voucher    Name/Address Information    Message Detail									
Business Unit	Advice ID	Advice Sequence	Entry ID	Financial Sanctions Inquiry	SetID	Vendor ID	Name 1		
FSU01	00538696	1	10128	<a href="#">Financial Sanctions Inquiry</a>	SHARE	0000009373	NATIONAL INSTITUTE OF STANDARDS AND		

The Search results page defaults after the [Financial Sanction Exceptions](#) link is selected.

Search options includes:

- Voucher
- Name/Address Info
- Message Details

[Return to Search](#)    [Notify](#)



# Delivered OFAC Process Review

## Pay Cycle Validation Message Details

### Pay Cycle Financial Sanction Warnings

[Pay Cycle Manager](#)

Pay Cycle: APPAY AP PAYCYCLE

Pay Cycle provides a brief description of the possible match.

Search Results									
Voucher		Name/Address Information		Message Detail					
Business Unit	Advice ID	Advice Sequence	Entry ID	Financial Sanctions Inquiry	SetID	Vendor ID	Message Text	Error Message	
FSU01	00538696	1	10128	<a href="#">Financial Sanctions Inquiry</a>	SHARE	0000009373	A Potential match was found on a Financial Sanctions List. This vendor must be verified.		

[Return to Search](#) [Notify](#)



# Automating the OFAC Process



# OFAC Automation

## Configuring AppWorx to Run OFAC Processes

AppWorx Master: APPWORXQ User: ATEKRIWAL FLORIDA STATE UNIV.

File Operations **Step 2** Object Admin Options View Help

Chains: FSU-OFAC-SND-LD-INDEX-BLD

General Output Components Schedule Prompts Conditions Notes Roles

File Edit **Step 2** Options Predecessors Simulation

Navigator Legend Scale:

FSU-OFAC-SND-LD-INDEX-BLD

IMPORT\_FILES Step 1.

SEARCH\_BUILD Step 2

SEARCH\_BUILD\_01 Step 3

RSYNC\_FI\_SDN\_INDEX Step 4

AP\_SDN\_VAL Step 5

AP\_SDN\_VAL\_01 Step 6

AP\_SDN\_VAL\_02 Step 7

AP\_SDN\_VAL\_03 Step 8

AP\_SDN\_VAL\_04 Step 9

AP\_SDN\_VAL\_05 Step 10

AP\_SDN\_VAL\_06 Step 11

AP\_SDN\_VAL\_08 Step 12

AP\_SDN\_VAL\_09 Step 13

SDN\_SEND\_NOTIFICATION Step 14

External References

SEARCH\_BUILD

General Output Prompts Predecessors Conditions Notes

#	Description	Default	Value	
1	Process or Job	SEARCH_BUILD-I-Ap...	N	LOV
2	Requestor	FSU_BATCH	N	MS
3	Run Control ID	SDN_SEARCH_NAME	SDN...	
4	PeopleSoft server name	PSNT	N	
5	Output Format	TXT	N	
6	Output Type	WEB	N	
7	Destination		N	
8	System Output Path		N	
9	Report Output Path		N	

OK Apply Cancel Help

FSU-OFAC-SND-LD-INDEX...

This page illustrates the number of steps required to automate OFAC process.



# OFAC Automation

---

## 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.





# OFAC Automation

## Establishing AppWorx Run Controls

AppWorx Master: APPWORXQ User: ATEKRIWAL FLORIDA STATE UNIV.

File Operations Object Admin Options View Help

Chains: FSU-OFAC-SND-LD-INDEX-BLD

General Output Components Schedule Prompts Conditions Notes Roles

File Edit View Options Predecessors Simulation

Navigator Legend Scale:

FSU-OFAC-SND-LD-INDEX-BLD

IMPORT\_FILES

SEARCH\_BUILD

SEARCH\_BUILD\_01

RSYNC\_FI\_SDN\_INDEX

AP\_SDN\_VAL

AP\_SDN\_VAL\_01

AP\_SDN\_VAL\_02

AP\_SDN\_VAL\_03

AP\_SDN\_VAL\_04

AP\_SDN\_VAL\_05

AP\_SDN\_VAL\_06

AP\_SDN\_VAL\_08

AP\_SDN\_VAL\_09

SDN\_SEND\_NOTIFICATION

External References

IMPORT\_FILES

#	Description	Default	Value	Re...
1	Process or Job	IMPORT_FILES...		N
2	Requestor	FSU_BATCH		N
3	Run Control ID	FSUBAI2	OFAC_IMPORT_XML	Y
4	PeopleSoft server name	PSNT		N
5	Output Format	TXT		N
6	Output Type	WEB		N
7	Destination			N
8	System Output Path			N
9	Report Output Path			N

LOV MS

OK Apply Cancel Help

FSU-OFAC-SND-LD-INDEX...

**This page illustrates the run control ID required to run a specified step within the OFAC process.**



# OFAC Automation

## Creating AppWorx Integration Node

### Import Financial Sanction List

Run Control ID: OFAC\_IMPORT\_XML

[Report Manager](#) [Process Monitor](#)

Run

#### Parameters

[Find](#) | [View All](#) First 1 of 1 Last

\*Request Number:

1



\*Import Type:

HTTP

Integration Node:

FSU\_OFAC



[View Integration Node Details](#)

File Path:



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

[File Selection Help](#)

File Name:

Select File

\*Layout:

OFAC



[View Layout Details](#)

#### Advanced Options

#### Layout Properties

[Customize](#) | [Find](#) | [View All](#) | First 1 of 1 Last

Property Code

Value



Save

Return to Search

Notify

Refresh

Add

Update/Display



# OFAC Automation

## Scheduling AppWorx Processing Start Time

AppWorx Master: APPWORXQ User: ATEKRIWAL FLORIDA STATE UNIV.

File Operations Object Admin Options View Help

Chains: FSU-OFAC-SND-LD-INDEX-BLD

General Output Components **Schedule** Prompts Conditions Notes Roles

Schedules

EVERY\_SUNDAY\_1AM

New Edit Delete Display

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

General Frequency Exceptions Prompts

Name	EVERY_SUNDAY_1AM	Queue	BATCH
Frequency	1 Day(s) NNNNNNY	Requestor	
Scheduled start date	06-17-2009	Agent	
Scheduled end date	12-31-2020	Time Zone	
Start times	01:00	Last submit time	06-21-2009 01:00:00 EDT
Next run date	06-28-2009		

OK Apply Cancel Help

FSU-OFAC-SND-LD-INDEX...



# OFAC Automation

## AppWorx's Email Notification

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

Sent: Mon 6/22/2009 3:29

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.



# OFAC Automation

## AppWorx's Email Notification

### Financial Sanctions Validation Log

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

Customize   Find   First 1-2 of 2 Last						
<u>SetID</u>	<u>Vendor ID</u>	<u>Short Vendor Name</u>	<u>Entry ID</u>	<u>Sanctions List Type</u>	<u>Go To Vendor Info</u>	<u>Financial Sanctions Inquiry</u>
1 SHARE	0000009373	NATLINSTIS	10128	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
2 SHARE	0000028854	CPPAS	4700	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>

Vendor file team members are still required to research possible matches and update vendor file.



# Lessons Learned

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- 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?

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# Contact Information

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