

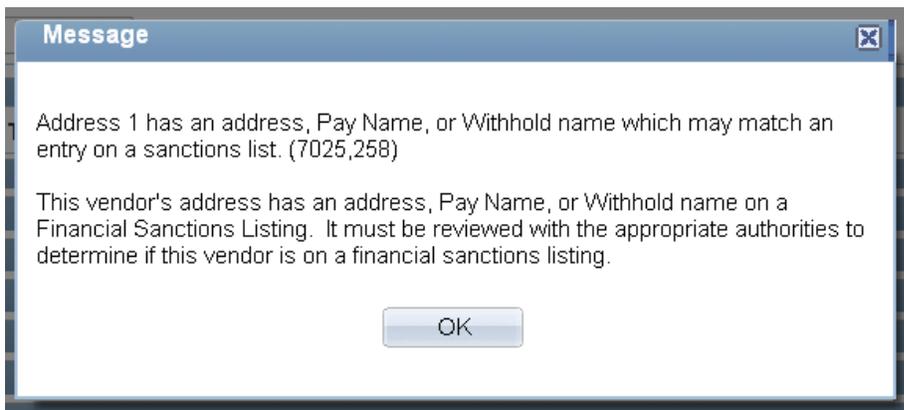
Office of Foreign Assets Control Sanction Program

This document outlines how the system notifies regarding a potential match, the procedure to verify if the match is correct, and how to block or clear the vendor for payment if the match is accurate or proves to be a false positive. The three steps in this process are:

1. Adding a new vendor
2. Reviewing a flagged vendor
3. Clearing or Blocking a flagged vendor

1. Adding a New Vendor

When adding a vendor, the system validates the vendor name and address against the SDN list upon save. If a potential match is detected, the message appears:



The vendor is assigned a Vendor ID, but cannot be paid. Expand the **Financial Sanctions Status** section located towards the bottom of the vendor *Identifying Information* tab by clicking on the right-arrow icon.



The vendor's **Financial Sanctions Status** equals *Review*. This means the vendor must be reviewed and cleared if determined to be a false positive. The system **does not pay** vendors whose sanctions status is *Review*.



2. Reviewing a Flagged Vendor

Navigate to the Financial Sanctions Inquiry page at:

Main Menu > Banking > Financial Sanctions > Financial Sanctions Inquiry

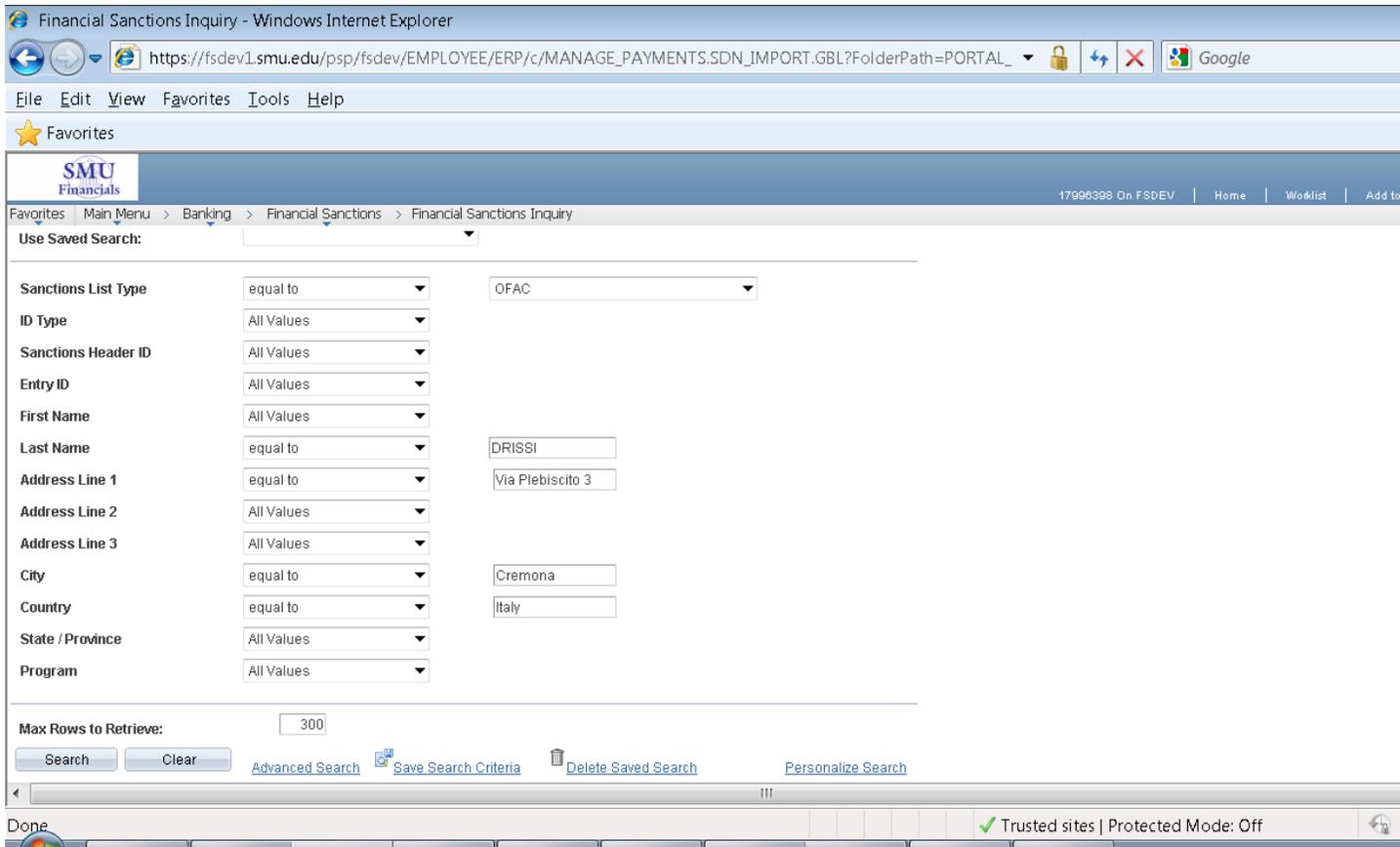
You will use this page to search the SDN list for the entry that triggered the potential match.

The screenshot shows a web browser window titled "Financial Sanctions Inquiry - Windows Internet Explorer". The address bar contains the URL: https://fsdev1.smu.edu/psp/fsdev/EMPLOYEE/ERP/c/MANAGE_PAYMENTS.SDN_IMPORT.GBL?FolderPath=PORTAL_. The browser's menu bar includes File, Edit, View, Favorites, Tools, and Help. The page content features the SMU Financials logo and a breadcrumb trail: Main Menu > Banking > Financial Sanctions > Financial Sanctions Inquiry. The page title is "Financial Sanctions Inquiry". Below the title, there is a "Use Saved Search:" dropdown menu. A search criteria table is displayed with the following fields and values:

Field	Value
Sanctions List Type	equal to
ID Type	All Values
Sanctions Header ID	All Values
Entry ID	All Values
First Name	All Values
Last Name	All Values
Address Line 1	All Values
Address Line 2	All Values
Address Line 3	All Values
City	All Values
Country	All Values
State / Province	All Values
Program	All Values

The browser's status bar at the bottom shows "Done" and "Trusted sites | Protected Mode: Off".

For **Sanctions List Type** select *OFAC*. Change the applicable dropdowns from *All Values* to *equal to* or *contains* for relevant search fields and enter the vendor name and address information. When you are finished, click the **Search** button at the bottom of the page.



The entry or entries the system flagged as a potential match will appear in the search results box:

Max Rows to Retrieve:

[Advanced Search](#)

[Personalize Search](#)

Search Results				
Entry ID	First Name	Last Name	ID Type	Title
8093	Noureddine Ben Ali Ben Belkassem	DRISSI	Individual	

Click on the **Entry ID** link to view all SDN information on the potential match:

Financial Sanctions Entry

Entry ID: 8093
First Name: Noureddine Ben Ali Ben Belkassem Last Name: DRISSI
Title: ID Type: Individual
Program: Program
SDGT

Identification Information							Customize	Find	View All	First	1 of 1	Last
ID	ID Type	ID Number	Country	Issue Date	Expiration Date							
4083	Passport	L851940		9 Sep 1998	8 Sep 2003							

Alias Information					Customize	Find	View All	First	1 of 1	Last
ID	ID Type	Category	First Name	Last Name						

Address Information								Customize	Find	View All	First	1 of 1	Last
ID	Address Line 1	Address Line 2	Address Line 3	City	Postal Code	State / Province	Country						
7230	Via Plebiscito 3			Cremona			Italy						

Nationality Information			Customize	Find	View All	First	1 of 1	Last
ID	Country	Main Entry						
2391	Tunisia	true						

Citizenship Information			Customize	Find	View All	First	1 of 1	Last
ID	Country	Main Entry						

Birthdate Information			Customize	Find	View All	First	1 of 2	Last
ID	Birth Date	Main Entry						
2389	30 Apr 1969	true						

Birthplace Information			Customize	Find	View All	First	1 of 1	Last
ID	Birth Location	Main Entry						
2390	Tunisi, Tunisia	true						

At this point, you must determine if the vendor added is the same as the entry on the SDN list or if the match is a false positive. The Dept of Treasury [provides due diligence steps](#) and an [OFAC Hotline](#) you can call to assist in determining if the match is valid – click [here](#) to view the steps. If in doubt, please contact Accounts Payable for further assistance.

3. Clearing or Blocking a Flagged Vendor

Navigate back to the Maintain Vendor page and select the vendor you added. Expand the **Financial Sanctions Status** section.

If you determine the vendor *is the same* as on the SDN list, change **Financial Sanctions Status** to 'Blocked'. This vendor is prevented from receiving payments. Click Save to finish.

If you determine the vendor *is not the same* as on the SDN list, change **Financial Sanctions Status** to 'Cleared'. Also, check the **Skip future validation** box. Click Save to finish. Payments can now be made to this vendor.

▼ Financial Sanctions Status

*Financial Sanctions Status:

Days before next validation:

Sanctions Status Date: 01/18/2012

Skip future

Sanctions Update User Id: 17996398