

Fraud/Compliance

SMARTAPP Description	PARAMETERS/USER INPUTS/SELECTIONS <i>Italics indicate required files.</i>	REQUIRED FIELDS	OUTPUT
FC01 Sanctioned Provider Name Matching Verifying that controls excluding sanctioned providers are operating effectively.	<i>Provider file</i> <i>Sanctioned Providers list</i>	<ul style="list-style-type: none"> Provider Name 	Table All providers appearing on sanctioned provider list.
FC02 Suspicious Key Word Matching Identifying transactions or events where keywords indicate high risk.	<i>Any file</i> Keyword List Select up to four fields to test	<ul style="list-style-type: none"> At least 1 text field 	Table All records where at least one keyword appears in the text field(s).
FC03 Transactions In High Risk Countries Testing risk controls by identifying transactions from high-risk countries.	<i>Transaction file</i> <i>High-Risk Countries List</i>	<ul style="list-style-type: none"> Country 	Table All transactions involving high-risk countries.
FC04 Repeat Even Dollar Transactions Ensuring that regular, rare round-dollar transactions are not posing a risk.	<i>Transaction file</i> Start Date End Date Threshold Cash Transaction Code Minimum Number of Transactions	<ul style="list-style-type: none"> Employee Amount Transaction Type Date 	Table All cash transactions within the specified dates where (1) the amounts are even-dollar and exceed the threshold and (2) the number of transactions by each employee exceeds the minimum number.
FC05 Vendors With Flip Flop Bank Accounts Ensure that controls on high-risk vendors are operating effectively.	<i>Vendor file</i> Start Date End Date	<ul style="list-style-type: none"> Vendor Bank Account Number Date 	Table All instances of multiple changes to bank account by any vendor within the specified dates.
FC06 Vendors With Flip Flop Alternate Payee Name Ensure that controls on high-risk vendors are operating effectively.	<i>Vendor file</i> Start Date End Date	<ul style="list-style-type: none"> Vendor Alternate Payee Name Date 	Table All instances of multiple changes to alternate payee by any vendor within the specified dates.
FC07 Unauthorized Vendor Data Changes Ensuring that controls on master data changes are effective.	<i>Vendor file</i> <i>Employee file</i>	<ul style="list-style-type: none"> Employee Approval ID Employee ID 	Table All vendor master file records where the approval ID is not in the employee master file.
FC08 Split Payments Verifying that controls on issuing payments are operating effectively.	<i>Payments file</i> Transaction Type Code Percent Below Limit	<ul style="list-style-type: none"> Vendor Employee Approval ID Transaction Type Amount Limit 	Table All payments within the percent range below the limit.
FC09 Invoice Receipt Exceeds Purchase Receipt Ensuring that matching controls are operating effectively.	<i>Invoice file</i>	<ul style="list-style-type: none"> Invoice Amount Order Amount 	Table All records where the invoice amount is greater than the order value.
FC10 Overpaid Purchase Orders Ensuring that payment controls are operating effectively.	<i>Payments file</i>	<ul style="list-style-type: none"> PO Number PO Amount PO Date Payment Amount 	Table All purchase orders where the payment amount exceeds the PO amount.
FC11 Word Count Summary Identify transactions or events that may be high-risk due to the existence of specific words.	<i>Any file</i>	<ul style="list-style-type: none"> Text Field 	Table Frequency distribution in decreasing order of all words in the selected field.