

Wednesday, October 27, 2010

3rd Quarter 2010 Meeting

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USER GROUP
ST LOUIS

AGENDA

Presenters - Jan Beckmann and Violeta Calmus

- ✘ Tips & Tricks

 - Beginner to Advanced

 - + Interface

 - + Commands

 - + Data Import

 - + Scripting

- ✘ NY Conference Update

 - + 100 Top ACL tests

 - + ACL Impact Award Winner

INFORMATION

- ✘ ACL Connections Conference
 - + Dallas this week
 - + NY September 30 – October 1
- ✘ Stlouisacl.com
 - + Presentations
 - + Tips & Tricks

INTERFACE TIPS

- ✘ Command Line to run individual commands
- ✘ Resizing columns
- ✘ Keeping result tabs open
- ✘ Quick Filter
- ✘ Filter temporary list
- ✘ Record Notes – create and filter

COMMANDS

- ✘ Classify, Stratify, and Age with Break Fields

Example – total by vendor broken into years

- + Key – Must Sort/Index on Break Field 1st

- + Discussion topics:

 - ✘ Sort vs. Index

 - ✘ Parsing a date field

COMMANDS

✘ Summarize with Other Fields

+ Retain header information

Example – Summarize by vendor number and keep vendor name

+ Get one record for each unique occurrence

Example – Largest invoice per Vendor

✘ Statistics

+ Set number of high/low

+ Variables

DATA IMPORT

- ✗ Excel vs. ODBC
 - + Excel selection is still unreliable/use ODBC
- ✗ Delimited files
 - + Choose pipe or other delimiter over comma
 - + Delimit through Edit/Table Layout instead of wizard
 - + Lots of delimited files?
 - ✗ Import one file as an “Other File Format”.
 - ✗ Skip to Finish with no fields defined.
 - ✗ Define the whole record as one field with a set record length.
 - ✗ Do that for each of the files.
 - ✗ Append all together – only one field, so easy append.
 - ✗ Re-import the appended file as a delimited file to define all fields.

SCRIPTING

- ✘ Capture Syntax
- ✘ Do Script While – to continue looping through a script until a condition is met
- ✘ Locate Record – use in combination with Do Script While to make commands run on a specific record
- ✘ DIR – list all the file names in a directory to a table

EXAMPLE – DO SCRIPT WHILE, LOCATE RECORD, DIR

Master_Script

```
SET EXACT OFF
DIR *.fil to "file_names"
OPEN file_names
EXTRACT all if FileName = "Detail" to files_to_append OPEN
COUNT
v_record = 1
DO append_script while v_record <= COUNT1
```

Append_Script

```
LOCATE RECORD v_record
v_Num_Slash = OCCURS( FILE_NAME, "\")
v_Table_Name = ALLTRIM( SPLIT( SPLIT( FILE_NAME, ".", 1), "\", %v_Num_Slash%+1))
OPEN v_Table_Name
EXTRACT all to all_records APPEND
v_record = v_record+1
OPEN files_to_append
```

SCRIPTING

- × DEFINE FIELD

 - Unconditional computed field syntax captured in log

- × Delete Underlying Data Files with Tables

- × Create Output Folders to direct results

CONFERENCE UPDATE

NY Connections – September 30 – October 1

- ✘ Technical presentations:
 - + Advanced Techniques with ACL
 - + Purchasing Cards
 - + Split Payments
 - + FCPA
 - + Automated Analytics
- ✘ Top 100 Tests
- ✘ Theoretical Data Analysis and Audit

IMPACT AWARD WINNERS

- ❖ Best Continuous Auditing/Monitoring Award – David Riddell, Fidelity National Financial
- ❖ Best Application of Continuous Auditing and Continuous Monitoring – Gerritt Buitendag & FATIS Project Team, Lafarge North America
- ❖ Audit Team Productivity Award – Mark Burr & Renee Underhill, State Farm Mutual Automobile
- ❖ North America Regional Impact Award – Seth Davis & Pat Ferrell, RLI Insurance Company
- ❖ Regional Award, Latin America and Caribbean – Cyntia Hernandez Rosas, ABA SEGUROS, S.A. DE C.V.

IMPACT AWARD WINNERS

- ❖ Best Continuous Auditing/Monitoring Award – David Riddell, Fidelity National Financial
 - ❖ Fidelity National Financial – largest title insurance in United States providing title insurance, specialty insurance, and information services. Insure over 40% of real estate transactions in the country.
 - ❖ Audit Services Department (ASD) developed FAST (Fidelity Analytic Software Technology) a software based principally on ACL's server edition to provide continuous monitoring for HUD title orders, payroll and AP transactions.

IMPACT AWARD WINNERS

- ❖ ACL/FAST examines 100% of the title and escrow orders within FNF along with accompanying ledger activity and HUD detail.
- ❖ Moved from a 30- file manual sample from an office to complete coverage of title operations in real time.
- ❖ Over 30,000 new titles are processed each month on the 200 offices throughout U.S. and Canada.
- ❖ Over 8 major production systems in use.
- ❖ ACL/FAST operates in 2 modes:
 - transactional (analyze each title order as an individual entity) and
 - group (run analytics against batches of title and escrow files)
- ❖ HUD analytics searches HUD for fraud, misappropriation of funds, suspicious ledger activity, patterns of known fraud schemes and compliance with regulatory rules and company policies.
- ❖ ACL/FAST has identified inappropriate disbursements to employees, violations of regulatory rules and company policies.
- ❖ ACL/FAST is currently online processing HUD title orders, payroll and AP transactions 24 x 7 in continuous unattended mode.
- ❖ Results of title operations are reviewed by 5 field auditors and AP and payroll departments monitor and review exceptions in their respective areas.

IMPACT AWARD WINNERS

- ❖ Best Application of Continuous Auditing and Continuous Monitoring – Gerritt Buitendag & FATIS Project Team, Lafarge North America
 - ❖ Lafarge North America – largest diversified supplier of construction materials in U. S. and Canada.
 - ❖ In 2009, legacy systems were replaced with an ERP.
 - ❖ Implemented ACL to satisfy the needs of the corporations' auditors and various regulatory bodies (mainly governmental taxation authorities).
 - ❖ Using ACL, data was extracted, verified and delivered to recipients timely.

IMPACT AWARD WINNERS

- ❖ Audit Team Productivity Award – Mark Burr & Renee Underhill, State Farm Mutual Automobile
 - ❖ State Farm – largest auto insurer in the U.S. since 1942 providing property and life insurance, banking products and mutual funds.
 - ❖ Implemented ACL Desktop and ACL AX to provide a repository of data files most commonly used by the company analysts and pre-defined scripts for fraud analysis.
 - ❖ Number of data requests decreased by 75% within one year and the results of analysis were used by multiple areas.

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Thanks for coming!



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