

Your Auditors will Love Audit Tracker!

Audit Tracker

Track Member Activity Related to Compliance

Tracked with Audit Tracker

- **OFAC Scan**
Interactively or via batch report
- **FIDM Scan**
- **BSA Monitoring**
A transaction appearing on a BSA Report or a BSA transaction that is marked as verified or deleted using the BSA Inquiry)
- **Dormancy**
An account is suspended or deleted using the dormancy inquiry tool



Introducing Audit Tracker

Audit Tracker (AT) is a new Tracker type and automated tool that tracks member activities related to compliance. Each time one of the following events—OFAC scan, FIDM scan, BSA Monitoring, or Dormancy (suspension or deletion) occurs, the system automatically adds a conversation to the member's Audit Tracker. These Tracker conversations record ongoing compliance activity with this member.

How Audit Tracker Works

For example, when an account is opened or scanned for OFAC, a conversation with one of three possible Memo Types: OF (Failed), OP (Passed, no suspected match) or OO (Failed but overridden) is generated and added to the member's Audit Tracker.

Then at a later date, the Audit Tracker can be reviewed to see a record of the activity on the member's account. The AT Tracker, which is attached to the base account, can be reviewed using Member Inquiry and *Tracker Review* (F21). Listed on the AT Tracker are separate entries, each recording instances when the member's account was scanned or affected by the compliance issues listed to the left.

The Conversations on the Audit Tracker Tell All

The Audit Tracker (AT) contains conversations with Memo Types and text about certain compliance activity. The Memo Type of the conversation immediately shows the results of the scan or activity, while the accompanying text includes information, such as the date and type of activity run. If the activity is a manual activity, as in the case of manually marking a member's account as verified on the BSA Inquiry screen, the ID of the credit union employee is also recorded.

Below is an example of what you might see if you were reviewing a member's Audit Tracker.

Session 0 CU*BASE GOLD Edition - Member Tracker Review

File Edit Tools Help

Member Tracker Review

Account 200 MARY MEMBER
Conversations 29
Position to date [MMDDYYYY]

Contact - Date: 10/09/2008 Time: 15:37:55 By Emp: ;Y
Name: MEMBER MARY A Memo Type: DD Dornancy Delete
Dornancy record was deleted on 10/09/2008 for account 2222-200

Contact - Date: 06/18/2008 Time: 15:21:14 By Emp: 89
Name: MEMBER MARY A Memo Type: OP OFAC/PLC Pass
OFAC scan run on 06/18/2008. No suspected match.

Contact - Date: 05/22/2008 Time: 09:29:02 By Emp: 02
Name: MEMBER MARY A Memo Type: FI FIDM
Member or Joint Member matched record on FIDM report on 06/22/2008 for account base 2222

Contact - Date: 05/22/2008 Time: 08:56:16 By Emp: 02
Name: MEMBER MARY A Memo Type: BU Bank Sec Verifi
The BSA Record was verified on 05/22/2008
BSA Record was verified on 05/20/2008.

Sort Contact Date

(4573) 5/30/13

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