

Dow Jones Integration

Configuration Guide
January 2020

Table of Contents

Revision History	3
Dow Jones Setup and Configuration	4
Major differences: Dow Jones vs. Thomson Reuters integrations	4
User Defined Fields and Setup Data	4
Supplier User Defined Fields	4
Supplier Principal User Defined Fields.....	4
Dow Jones User Defined Objects UDFs	4
Dow Jones Setup Data Type & Values	5
Program 1: Dow Jones Initial One-Time Robo.....	5
Program 2: Dow Jones Daily Delta Robo	7

Revision History

Date	Version	Description	Author
8/13/2015	1.0 (Released with Risk Assess version 9.0)	Dow Jones integration setup and configuration guide initial release. Suppliers can be screened against DJ entities and Principals against Persons	Sandeep Bhide
9/14/2015	2.0 (Released with Risk Assess version 9.2)	Enhancement to allow for screening Suppliers and Principals against both Persons and Entities	Sandeep Bhide
		Reformatted	Rebecca Clever
1/9/2020	3.0	Rebrand to Coupa	Ace Howard

Dow Jones Setup and Configuration

The Dow Jones Integration consists of two Robo programs. The Program Component category for both is: Robo - Third Party Service Workflow.

Major differences: Dow Jones vs. Thomson Reuters integrations

- 1) Dow Jones does not provide a name identifier like Thomson Reuters does; therefore, this information is not stored in a User Defined Field (UDF) on the Supplier/Principal.
- 2) All adjudication needs to be accomplished on the Risk Assess side by editing the Dow Jones User Defined Object (UDO) record on the supplier, and by changing the Match Risk and Match Status fields. This adjudicated value is not written back to Dow Jones, since it is not supported within Dow Jones.
- 3) The Dow Jones screening site is accessible via the following URL:
 - <https://djlogin.dowjones.com/login.asp?productname=rnc>
 - a. Login to this site requires the successful entry of three criteria:
 - Username
 - Password
 - Name Space
 These same credentials are also needed when configuring the Dow Jones integration component.

User Defined Fields and Setup Data

The following fields and UDO are created automatically the very first time the Dow Jones initial enrollment programs runs.

Supplier User Defined Fields

Field Name	Type	Required (for integration)?
dj_lastupdateddate	Calendar	Yes

Supplier Principal User Defined Fields

Field Name	Type	Required (for integration)?
dj_lastupdateddate	Calendar	Yes

Dow Jones User Defined Objects UDFs

User Defined Object (UDO) Name: dowjones

Field Name	Type	Required (for integration)?
dj_objectid	Textbox	Yes

Field Name	Type	Required (for integration)?
dj_matchedname	Textbox	Yes
dj_matchrisk	Unspecified Low Medium High	Yes
dj_score	Textbox	Yes
dj_riskicons	Textbox	Yes
dj_title	Textbox	Yes
dj_link	Link	Yes
dj_subsiary	Textbox	Yes
dj_revisiondate	Textbox	Yes
dj_matchednametype	Textbox	Yes
dj_peid	Textbox	Yes
dj_countrycode	Textbox	Yes
dj_matchstatus	Unspecified False Possible Positive	Yes
dj_primaryname	Textbox	Yes

Dow Jones Setup Data Type & Values

Setup Data Type: dj_countrylookup

Setup Code	Display Text
Country code from Dow Jjones	Two-letter country code that gets displayed in Risk Assess

Setup Data Type: dj_lastrundate

Setup Code	Display Text
LastRunDate	Date and time of the last time the DJ Robo ran

Program 1: Dow Jones Initial One-Time Robo

The first program / component combination will be the “Initial Enrollment.” This should be a one-time program. Its only purpose is to enroll new suppliers into the DR process for screening. It requires one enrollment per supplier.

The Dow Jones integration is different from Thomson Reuters in the sense that there is no Name Identifier available to use within Dow Jones.

Program Configuration:

- *Program Type:* Robo Program
- *Frequency:* One Time (set on Step 3 of the wizard)

The program should contain the “Robo - Third Party Service Workflow” component with the following configuration:

DJ Initial One-Time Robo

Enter the detail information of the new program.

Program Detail

Status: Active

Program Manager: sbhide, Sandeep (sbhide@hiperos.com)

Team Default Method: Program

Use Corp Calendar:

Program Type: Robo

Category Type: [Dropdown]

Name: DJ Initial One-Time Robo

Final Rating Range: N/A

Description: Jones screening process. 3rd parties are enrolled on a one-to-one basis (i.e. one program enrollment per Dow Jones screened 3rd party). When configured to run the Initial Enrollment process, the 'Robo Third Party Workflow' component checks for the existence of all Dow Jones-required 3PM components (i.e. UDO, UDF & Setup Data) and creates them if they do not already exist.

Enable Launch Request Button:

Collaboration Type

- Party 1 Only
- Collaborative: Party 2 first
- Collaborative: Simultaneous
- External Eval Only

Options

- # of Days For Supplier Scoring: 10
- # of Days For Client Scoring: 10
- # of Days For PM Approval: 0
- # of Days For OM Approval: 5
- # of Days to Collaborate: 0
- Re-calculate Due Dates:
- Launch Evals When Supplier Late:
- Auto Fill Internal Cards:
- Require All Org Mgrs To Approve:
- Skip Collaboration Step:
- Prevent In Line Discussions:
- Prevent In Line Action Plans:
- Enable Approval Delegation:
- Show Supplier Scores:
- Enable Evaluation Delegation:
- # of Late Notifications: 3
- Late Day Notification Frequency: Every Other Day
- Reminder Days Prior: 1
- Reminder Frequency: None
- Days After Due To Escalate: 5
- Escalate When Late:
- Approval Method: Normal
- Run Inactive Objects:
- Enable Copy Previous Item Results:
- Reject Internal:
- Reject External:
- Comment Visibility: Normal
- Approval Display Mode: Expanded

- 1) This is a one-time program which enrolls individual Risk Assess third parties into the Dow Jones screening process. Third parties are enrolled on a one-to-one basis (i.e., one program enrollment per Dow Jones screened third party). When configured to run the Initial Enrollment process, the ‘Robo Third Party Workflow’ component checks for the existence of all Dow Jones-required Risk Assess components (i.e., UDO, UDF and Setup Data) and creates them if they do not already exist.
- 2) Component configuration:

Field Name	Value	Culture	Status
Field Name	sdb_s_initial_thirdparty_workflow	English	Active
Display Name	DJ Initial Third Party Workflow		
Component	Robo - Third Party Service Workflow		
Workflow Configuration	{"Settings": {"Name": "DJ Initial Purple Dow Jones Test Tenant", "LogLevel": 0}, "Steps": [{"DowJonesInitialEnrollmentSettings": {"Username": "sb@hiperosap", "Password": "hiperosap", "MinimumScoreThreshold": 0, "AdditionalParameters": [{"Name": "content-set", "Value": "WL_SOC"}]}}]}		
Hiperos Category Family	Risk and Compliance	Hiperos Category	General
Program Type	General	Program Category	General
Reporting Column Name	sdb_s_initial_thirdparty_workflow	Edit Access Groups	No Edit Groups

Program 2: Dow Jones Daily Delta Robo

The second program/component is the “Daily Delta” process. **This program should only be enrolled on ONE supplier.** Although the program is only enrolled on one supplier, it still updates all Dow Jones data for all the respective suppliers. As such, the user should ensure this program is set up on a supplier that will never become inactive.

Considering that this program will only be enrolled on just one supplier, it is sufficient to manually enroll this supplier, and the user does not need to set up a rule on this program.

Program Configuration:

- *Program Type:* Robo Program
- *Frequency:* Daily (set on Step 3 of the program wizard)

The program should contain the “Robo - Third Party Service Workflow” component with the configuration below.

NOTE: Do not use the same component as in the previous program. The component configuration for both programs is slightly different, thus requiring two separate components.

The screenshot shows a web-based configuration form for a program named "DJ Daily Delta Robo". The form is titled "Program Detail" and includes the following fields and options:

- Status:** Active (dropdown menu)
- Program Manager:** Bhide, Sandeep (sbhide@hiperos.com) (dropdown menu)
- Team Default Method:** Program (dropdown menu)
- Use Corp Calendar:**
- Program Type:** Robo
- Category Type:** (dropdown menu)
- Name:** DJ Daily Delta Robo (dropdown menu)
- Final Rating Range:** N/A (dropdown menu)
- Description:** The Daily Delta program runs daily and performs on-going synchronization (i.e. maintenance) between Hiperos and Dow Jones. Only a single enrollment should ever be created for this program. The supplier chosen for enrollment should be a Dow Jones monitored supplier. When configured to process Daily Delta information, the 'Robo Third Party' (text area)
- Enable Launch Request Button:**
- Cascade Permissions To Enrollments?:**

Collaboration Type	Options	
<input checked="" type="radio"/> Party 1 Only	# of Days For Supplier Scoring	10
<input type="radio"/> Collaborative: Party 2 first	# of Days For PM Approval	0
<input type="radio"/> Collaborative: Simultaneous	# of Days to Collaborate	0
<input type="radio"/> External Eval Only	Launch Evals When Supplier Late	<input type="checkbox"/>
	Require All Org Mgrs To Approve	<input type="checkbox"/>
	Prevent In Line Discussions	<input type="checkbox"/>
	Enable Approval Delegation	<input checked="" type="checkbox"/>
	Enable Evaluation Delegation	<input type="checkbox"/>
	Late Day Notification Frequency	Every Other Day
	Reminder Frequency	None
	Escalate When Late	<input type="checkbox"/>
	Run Inactive Objects	<input checked="" type="checkbox"/>
	Reject Internal	<input type="checkbox"/>
	Comment Visibility	Normal
	# of Days For Client Scoring	10
	# of Days For OM Approval	5
	Re-calculate Due Dates	<input type="checkbox"/>
	Auto Fill Internal Cards	<input type="checkbox"/>
	Skip Collaboration Step	<input checked="" type="checkbox"/>
	Prevent In Line Action Plans	<input type="checkbox"/>
	Show Supplier Scores	<input type="checkbox"/>
	# of Late Notifications	3
	Reminder Days Prior	1
	Days After Due To Escalate	5
	Approval Method	Normal
	Enable Copy Previous Item Results	<input type="checkbox"/>
	Reject External	<input type="checkbox"/>
	Approval Display Mode	Expanded

- 1) The Daily Delta program runs daily and performs ongoing synchronization (i.e., maintenance) between Risk Assess and Dow Jones. Only a single enrollment should ever be created for this program. The supplier chosen for enrollment should be a Dow Jones monitored supplier. When configured to process Daily Delta information, the 'Robo Third Party Workflow' component finds all Dow Jones-enabled suppliers by loading all Risk Assess Robo programs, filters them to only Robo programs with 'Robo Third Party Workflow' components attached, loads all enrolled suppliers and then filters those by all who have values in their Last Updated Date user-defined fields.
- 2) Component configuration:

Field Name		Culture
sdb_dj_dailydelta_thirdparty_workflow		English
Display Name		Status
DJ Daily Delta Third Party Workflow		Active
Component		
Robo - Third Party Service Workflow		
Workflow Configuration		
["Settings": { "Name": "DJ Daily Delta Purple Dow Jones Test Tenant", "LogLevel": 0, "Steps": [{ "DowJonesDailyDeltaSettings": { "Username": "&hiprocap", "Password": "hiprocap", "MinimumScoreThreshold": 0.99, "AdditionalParameters": [{ "Name": "content-set", "Value": "WL,SOC" }] } }] }		
Hiperos Category Family		Hiperos Category
Risk and Compliance		General
Program Type		Program Category
General		General
Reporting Columns Name		Edit Access Groups
sdb_dj_dailydelta_thirdparty_workflow		No Edit Groups

```

{
  "Settings": {
    "Name": "DJ Daily Delta Newscorp Test Tenant",
    "LogLevel": 0
  },
  "Steps": [
    {
      "DowJonesDailyDeltaSettings": {
        "Username": "<username>",
        "Password": "<password>",
        "MinimumScoreThreshold": 0.99,
        "HasCorporatePrincipals": true,
        "HasIndividualSuppliers": true,
        "AdditionalParameters": [ { "Name": "content-set", "Value": "WL,SOC" } ]
      }
    }
  ]
}

```



```
}  
}  
]  
}
```

NOTES:

1. The MinimumScoreThreshold value ranges from **0.00** to **1.00**, where **1.00** means a match confidence of 100%.
2. HasCorporatePrincipals can have the value of **true** or **false** (default). If not specified, then this setting is assumed to be set to **false**. This setting controls whether the integration screens Principals (First Name + Middle Name + Last Name) against Persons (if set to **false**) or both Entities and Persons (is set to **true**).
3. HasIndividualSuppliers can have the value of **true** or **false** (default). If not specified, then this setting is assumed to be set to **false**. This setting controls whether the integration screens Suppliers (Corporate Name) against Entities (if set to **false**) or both Entities and Persons (is set to **true**).

```
{  
  "Settings": {  
    "Name": "DJ Initial Newscorp Test Tenant",  
    "LogLevel": 0  
  },  
  "Steps": [  
    {  
      "DowJonesInitialEnrollmentSettings": {  
        "Username": "<username>",  
        "Password": "<password>",  
        "MinimumScoreThreshold": 0.99,  
        "HasCorporatePrincipals": true,  
        "HasIndividualSuppliers": true,  
        "AdditionalParameters": [ { "Name": "content-set", "Value": "WL,SOC" } ]  
      }  
    }  
  ]  
}
```

NOTES:

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3. HasIndividualSuppliers can have the value of **true** or **false** (default). If not specified, then this setting is assumed to be set to **false**. This setting controls whether the integration screens

Suppliers (Corporate Name) against Entities (if set to **false**) or both Entities and Persons (is set to **true**).