



## Warning and Lockout Automation

Warning and Lockout Flag Maintenance

PS\_WRNLOCKOUT

Application 14122

DNAapp ID b06c9e88-8fab-41ee-a3cc-c2e5565e446b

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**Overview:**

This application provides institutions with the ability to add/activate or inactivate a Warning Flag or Lockout Flag on a group of persons or accounts. The batch application may be configured to process the flags maintenance based on parameter values, or to read in a comma-delimited file of data to be updated. This application produces a single report detailing the changed data, and listing any errors.

**Key Benefits:**

This application can improve your efficiency by automating the activation or inactivation of warning and lockout flags on a group of persons or accounts.

**Processing:**

A runtime parameter (8IS) defines whether the application will read an input file or use the remaining run-time parameters to process the Warning and Lockout Flags. The 'Parameters' option works well if a large number of persons, organizations, or accounts need to have the same action performed (i.e. expiring all warning flags of a specific type). If, however, the required updates vary (i.e. some persons, some organizations, varying flags and actions), then the 'File' option should be selected. If a file is used, then the remaining run-time parameters, except 'Report Only Y/N' and 'Record Activity Y/N', will be ignored. For each warning or lockout flag update performed, the application can write the corresponding information to the Activity table, depending on the setting of the 'Record Activity Y/N' application parameter.

The parameter Person ID Type Codes (8PIT) will allow an institution to place a warning flag (as specified in the parameter Restriction Type Code) at the person level if the identification type in the parameter value is found on the person record with an expired date. The parameter Number of Days After Expiration (8NDE), if used, will only place the warning flag after the identification type has been expired the specified number of days.

In addition, when the parameter Person ID Type Codes (8PIT) is used, the application will inactivate the warning flag (as specified in the parameter Restriction Type Code) on any person record where the specified identification type is not expired but the warning flag is still active. PS\_WRNLOCKOUT will exception out any person where the specified person id type code has no expiration date or a future dated issue date. The application will not remove an active warning flag or create a warning flag if the identification type does not have an expiration date.

When the parameter Person ID Type Codes (8PIT) is used the restriction action types listed on the report will be A = Added restriction, I = Inactivated restriction and U = Updated restriction.

**Parameters:**

Parameter	Code	Description (how used)	Required	Default
Input Source	8IS	Indicates whether the application should use the batch parameters or data from an input file to process the user-fields.  Parameters – The 'Input File Name' parameter is ignored and the remaining parameters are used to process the restrictions.  File – The 'Input File Name' parameter is used to read information from a file to process the restrictions. Only the 'RptOnly_YN' and 'Record Activity Y/N' parameters are used.	Yes	<Blank>
Update Entity Type	8UET	Indicates the entity type to be updated.  PERSON – Person level flags are processed  ACCOUNT – Account level flags are processed  TAX OWNER ACCTS – Qualification is based on persons/organizations, but flags are processed for tax-owned accounts  ORGANIZATION – Organization level flags are processed	Yes, when 8IS = Parameters	<Blank>
Restriction Type	8RT	Indicates whether the application should set warning flags or lockout flags. Valid parameter values are WARNING or LOCKOUT or PERSON or ORGANIZATION  When Person ID Type Codes (8PIT) is used, Restriction Type must be WARNING.	Yes, when 8IS = Parameters	<Blank>
Restriction Type Code	8RC	The Warning Code or Lockout Code to be processed. This can only have one value, not a list.	Yes, when 8IS = Parameters	<Blank>
Major Account Type Code	MJCD	Comma-separated list of Major codes for accounts to be updated. Not valid for Update Entity Type of PERSON.	No	<Blank> (All major account types will be processed.)
Minor Account Type Code	MICD	Comma-separated list of Minor codes for accounts to be updated (within selected majors, if applicable). Not valid for Update Entity Type of PERSON.	No	<Blank> (All minor account types within selected majors will be processed.)

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Parameter	Code	Description (how used)	Required	Default
Current Acct Status Code	CASC	Comma-separated list of valid Account Status Codes for an account to be processed. Not valid for Update Entity Type of PERSON	No	<Blank>
Report Person Type	RPER	Comma-separated list of Person Type codes for the Persons (or their tax-owned accounts) to be processed by the application. Not valid for Update Entity Type of ACCOUNT.	No	<Blank> (All person types will be processed.)
Report Org Type	RORG	Comma-separated list of Organization Type codes for the organizations to be processed by the application. Valid only when Update Entity Type is TAX OWNER ACCTS.	No	<Blank> (All organization types will be processed.)
Opt Out Premium OD Accts YN	8OPO	Indicates whether accounts that are active in the Premium Overdraft program should be excluded from lockout processing. Not valid for Update Entity Type of PERSON or Restriction Type of Warning.  Y – Do not add lockouts to qualifying accounts that are active in the Premium Overdraft program. N – Process lockouts on qualifying accounts as normal, regardless of Premium Overdraft program status.  Not valid when Person ID Type Codes (8PIT) is used.	No	<Blank>
User-field Code	8UFC	Defines a single user-field code to further narrow the processing criteria for Persons or Accounts. Valid only when 8IS = Parameters.	Yes, when 8UFV is not blank	<Blank>
User-field Value	8UFV	Comma-separated list of user-field code values to further narrow the processing of Persons or Accounts. Valid only when 8IS = Parameters and 8UFC is not blank.	No	<Blank>

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Parameter	Code	Description (how used)	Required	Default
Restriction Processing Action	8RPA	<p>Indicates whether the specified flag type should be added or inactivated.</p> <p>A – Add the specified flag type to the qualifying Update Entity Type where an active flag of the same type does not exist.</p> <p>I – Inactivate the specified flag type on the qualifying Update Entity Type where an active flag of the same type is found.</p> <p>D – Delete the specified flag type on the qualifying Update Entity Type where an inactive flag of the same type is found.</p> <p>Not valid when Person ID Type Codes (8PIT) is used.</p>	Yes, when 8IS = Parameters	<Blank>
Input File Name	8IFN	<p>Name and the complete path of the file containing the flag information to be processed. See layout below.</p> <p>Example: G:\OSIBANK\EXTFILES\WARNLOCK.CSV</p>	Yes, when 8IS = File	<Blank>
RptOnly_YN	RPT	<p>Indicates if the application should only produce a report and not update the database.</p> <p>Y – Only produce a report of what would be updated, but do not update the database.</p> <p>N – Update the database and produce a report of the updates.</p>	No	Y
Record Activity Y/N	8RA	<p>This parameter is used to indicate if the application should record updates to the Activity table.</p> <p><i>Note: It is strongly recommended that this parameter be set "Y" when deleting warnings and lockouts.</i></p>	No	Y

Parameter	Code	Description (how used)	Required	Default
Person ID Type codes	8PIT	<p>Comma separated list of numeric values of the Person ID Type from the Person ID Type Business Table.</p> <p>When this parameter is populated, the application will ADD the flag when the ID expiration date is less than the current system date, and will REMOVE the flag if one is located but the expiration date on the ID is greater than the current system date.</p> <p>Valid only when Update Entity Type is PERSONS, Input Source is PARAMETER, and Restriction Type is WARNING.</p>	No	<Blank>
Number of Days After Expiration	8NDE	<p>Enter the number of days from the expiration date that needs to pass before the flag is applied.</p> <p>For example: 10 is entered</p> <p>Expiration date is 2-10-2015.</p> <p>Flag will not be added until the system date is at least 2-20-2015.</p> <p>Valid only when Person ID Type Codes is used, Update Entity Type is PERSONS, Input Source is PARAMETER, and Restriction Type is WARNING.</p>	No	0

### Non-Transaction Updating Applications

This application updates activity, using the following Activity Category and Activity Types of Account Maintenance/Person Maintenance and Account/Person.

#### Report(s):

This application produces a report containing the following data:

- Entity Name (Person, Org or Account)
- Entity Type
- Entity Number
- Restriction Type (LOCKOUT or WARNING or PERSON or ORG)
- Restriction Code
- Update Type (Added, Activated, Inactivated, Deleted)
- Person/Org Type Code (File Only)
- Exception Message, if applicable. Possible exceptions include:
  - "Warning/Lockout Flag does not exist"
  - "Warning/Lockout Flag is active and cannot be deleted."
  - "Required Parameter missing"
  - "Cannot find Input File"

- "Invalid Input Record" (FILE only)
- "Invalid Update Entity Type" (FILE only)
- "Invalid Entity Number Reference" (FILE only)
- "Invalid Restriction Type" (FILE only)
- "Invalid Update Action" (FILE only)
- "Warning is active, no expiration date located" (Identification type missing expiration date)

Report when the 8IS parameter value = 'Parameter'

Restriction Type Code: 8ANT Minor Account Type Code: Current Acct Status Code: ACT Report Person Type: Opt Out Premium OD Accts Y/N: Report Org Type: User-field Code: User-field Value: Restriction Processing Action: A Import File Name: RptOnly_YN: Y Record Activity YN: Person ID Types: Nbr of Days After Expiration:						
Bank: Test Institution	Warning and Lockout Flag Maintenance				Run Date: 09-12-2019	
Report: PS_WRNLOCKOUT					Post Date: 09-12-2019	
						Page: 1 of 785
-----Restriction-----						
Entity Name	Entity Type	Entity Number	Type	Code	Action	Exception Message
Person	PERSON	1	WARNING	8ANT	A	
Person	PERSON	11	WARNING	8ANT	A	
Person	PERSON	22	WARNING	8ANT	A	
Person	PERSON	33	WARNING	8ANT	A	
Person	PERSON	44	WARNING	8ANT	A	
Person	PERSON	55	WARNING	8ANT	A	
Person	PERSON	1005	WARNING	8ANT	A	
Person	PERSON	1006	WARNING	8ANT	A	
Person	PERSON	1007	WARNING	8ANT	A	
Person	PERSON	1008	WARNING	8ANT	A	
Person	PERSON	1009	WARNING	8ANT	A	
Person	PERSON	1010	WARNING	8ANT	A	
Person	PERSON	1011	WARNING	8ANT	A	
Person	PERSON	1012	WARNING	8ANT	A	
Person	PERSON	1013	WARNING	8ANT	A	
Person	PERSON	1014	WARNING	8ANT	A	
Person	PERSON	1015	WARNING	8ANT	A	
Person	PERSON	1016	WARNING	8ANT	A	

When the 8IS parameter value = 'File'



RELEASE DNA 4.5.1.0  09-12-2019 02:10:03 PM 507260 G:\OSI\BANK\SQT\4510\BAT_EXE\PS\  REPORT PARAMETERS  Input Source: FILE Major Account Type Code: CK Update Entity Type: PERSON Restriction Type: Restriction Type Code: 8ANT Minor Account Type Code: Current Acct Status Code: ACT Report Person Type: Opt Out Premium OD Accts Y/N: Report Org Type: User-field Code: User-field Value: Restriction Processing Action: A Import File Name: G:\TEMP\TESTFILE_WRN.TXT RptOnly_YN: Y Record Activity YN: Person ID Types: Nbr of Days After Expiration:							
Bank: Test Institution	Warning and Lockout Flag Maintenance	Run Date: 09-12-2019					
Report: PS_WRNLOCKOUT		Post Date: 09-12-2019 Page: 1 of 1					
-----Restriction-----							
Entity Name	Entity Type	Entity Number	Type	Code	Action	Person/Org Type	Exception Message
Person	PERSON	2007	PERSON		A	WALK	
Organization	ORGANIZATION	233	ORG		A	EST	
Person	PERSON	3617	PERSON		A	WALK	
Person	PERSON	2007	WARNING	8ANT	A		
Person	PERSON	3617	WARNING	8ANT	A		

**File Layout(s):**

When the 8IS parameter value = 'File', the application reads in a comma-delimited (csv) file. Each record on the file should contain comma-separated values in the format below.

Field	Data Type	Description	Required
Update Entity Type	String	Single-character value defines the entity type to be maintained. Valid Values are P - Person A - Account R - Tax-Owned Accounts, Person Only C - Tax-Owned Account, Org Only O - Organization	Yes
Entity Number Reference	String	Indicates whether the entity number is a Tax ID Number (T) or a Person/Organization number (N). T and N are the only valid values. Note: When Update Entity Type is A, the Entity Number always represents the Account Number, regardless of this value.	Yes

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Field	Data Type	Description	Required
Entity Number	Number	This number represents the corresponding Person/Org number, Person/Org Tax ID or Account number (depending on Update Entity Type and Entity Number Reference). When the value represents a Tax ID, it should be entered without the dashes (-); leading zeros are optional.  Note: If using the Tax ID as Entity Number and more than one Person (or Org) is found to have the same Tax ID, the flags will not be processed for that entity and an exception will be generated on the report.	Yes
Restriction Type	String	Indicates whether the application should process Warning Flags (W) Lockout Flags (L) Person Types (P) or Org Types (O).	Yes
Restriction Type Code	String	The Warning Code, Lockout Code, Person Type Code, or Org Type Code to be processed.	Yes
Update Action	String	Valid values are A (Add/Activate), I (Inactivate), or D (Delete). Flags must already be inactive to be eligible for deletion. A Person Type or Org Type may not be inactivated – only added or deleted. DNA allows for multiple Person Types for a single person but only one Org Type per organization. Therefore, selecting A when updating Org Type will cause any current Org Type to be replaced.	Yes

**Example:**

Record Data	Application Results
P, T, 111223333, W, CKID, A	Person Warning Flag CKID is created for the person having Tax ID Number 111-22-3333. The Warning Flag Effective Date = System Post Date and the Release Date is left blank.
A, N, 8520136497, L, BK13, A	Lockout Flag BK13 is added to account number 8520136497. The Lockout Flag Effective Date = System Post Date and the Release Date is left blank.
P, N, 10756, W, CONV, I	Warning Flag CONV on Person Number 10756 is changed to expired by setting the Inactive Date = System Post Date.
R, T, 349786204, L, NACH, I	Lockout Flag NACH is added to all accounts where the person with Tax ID 349-78-6204 is the primary tax owner. The Lockout Flag Effective Date = System Post Date and the Release Date is left blank.
C, N, 786, W, CKID, I	Warning Flag CKID is changed to expired by setting the Inactive Date = System Post Date on all accounts where Org Number 786 is the primary tax owner.
P, N, 5252, P, EXPM, A	Person Type EXPM will be added to the person having person number 5252. The Person Type Effective Date = System Post Date.

Record Data	Application Results
P, N, 1212, P, EXPM, D	Person Type EXPM will be removed from the person having person number 1212.
O, N, 1900, O, EXPO, A	Organization Type EXPO will be set as the Organization Type for the organization having org number 1900. The Organization Type EXPO will replace the existing Organization Type currently in DNA.
O, N, 1900, O, EXPO, D	Organization Type EXPO will be deleted as the Organization Type for the organization having org number 1900. The new value for Organization Type will be blank.

**Exceptions:**

Condition	Exception Messages
The Person Type Code does not exist in the database	Person Type Code does not exist.
The Organization Type Code does not exist in the database	Organization Type Code does not exist.
Restriction Type Code does not equal 'W', 'L', 'P', or 'O'	Invalid Restriction Type.
Update Action is 'I' when Restriction Type is 'P' or 'O'	Invalid Update Action.

**Activity:**

Activity Category	Code	Activity Type	Code	Activity Subject
Person Maintenance	PMNT	Person	PERS	Person
Organization Maintenance	OMNT	Organization	ORG	Organization

**Additional Requirements:**

- The Warning or Lockout code to process must exist in the database.
- The core database only supports Lockout Flags on accounts, not persons or organizations. In the event that the application parameters or file data indicate lockout flag processing for entities other than accounts, the records are not processed and an error message is generated on the report.

**Exclusions:**

Warning and Lockout Flags are effective and/or inactive (as applicable) as of the date and time that the application is run. No support is provided for effective dated entries.

**Configuration Checklist:**

Item	Test Environment	Production Environment
Parameters		
Warning & Lockout Flags		

**Installation:**

**Note:** If you obtained this application from the DNAappstore, please disregard the installation instructions below. If you did not obtain this application from the DNAappstore, please complete the installation instructions below.

- Copy PS\_WRNLOCKOUT.SQT to the Batch Process to the PS batch application directory; this is typically G:\OSI\BANK\BAT\_EXE\PS (or the location specified in the PS Batch Report Directory 'BATP' Institution Option).
- This application requires the running of the script PS\_WRNLOCKOUT.SQL (Setup Script): Copy this file to any directory accessible to the applicable SQL application (SQL Developer, PL/SQL Developer, etc.) You need to run the setup script to register the application.
- This application requires an Authorization Key. After the primary installation instructions have been completed, you must apply the supplied Authorization Key for this application.

To enter the Authorization Key, go to Services >> System >> Institution >> Applications >> Application Manager.

**Revisions:**

Date	App Version #	Change
08/2020	1.0.0.7	Fixed the issue where the Person warning flag was being validated as account level flag in the WrnFlag table when using the FILE option.
02/2020	1.0.0.6	Fixed App validation findings.
09/2019	1.0.0.5	Updated the document and fixed the version and app validation issues.
07/2019	1.0.0.4	Updated documentation with latest Person and Org functionality.
07/2019	1.0.0.4	Added logic for Person or Org restriction type.
07/2019	1.0.0.4	Added logic to raise an exception message when a lockout is attempted on a Person entity type via an input file.
03/2019	1.0.0.4	Resolved issue with Oracle error generated when a lockout or warning was being created for an account already with a lockout or warning existing with the current Effective Date and Inactive Date not blank.
02/2018	1.0.0.3	Modified code to handle Query block has incorrect number of columns exception.
02/2018	1.0.0.3	Documentation update - Added Confidential-Limited Label
02/2018	1.0.0.3	Fixed validation findings
01/2018	1.0.0.3	Changed program to not run person/org. warning/lockout options when Person ID parameter is specified.
01/2018	1.0.0.2	Made DNAX compatible to Dnacreator V4

Date	App Version #	Change
04/2015	1.0.0.2	Added warnings on expired identification types
03/2015	1.0.0.1	Documentation updated to current template
4/2012	1.0.0.1	Added deletion functionality.
1/2011	1.0.0.0	Applied standard formatting and installation verbiage. Clarified processing options and examples.