

Sanctioned Parties Manual Screening - "One-time customers" - GTS

Tasks to be completed when creating an operating procedure (from creation to publication)

1. Enter the **Title of the procedure**: Description of the operating procedure - Region (*APAC, EMEA, LAM, NAM*) - Country (*Optional*) - ERP (*PI1, PF1, WP1*)
2. Add the following Labels :
 - Region: [apac](#), [emea](#), [lam](#), [nam](#)
 - ERP: [pf1](#), [pi1](#), [wp1](#)
 - Domain & Process using the [List of labels to be used in the space CCT](#)
3. Fill all fields as described
4. Once the procedure is completed, publish it using the [SBS-OtC approval workflow](#)

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Objective and Scope

"One-time customers" are new potential customers that have not been setup in the ERP.

List of existing "one-time customers" for WP1 in attachments.

List of "one-time customers" for PF1 still in development. (will be copy of WP1)

The point is to select a generic business partner number and manually enter the prospect's details. After it has been used for a sample order, the same generic partner number can be erased and re-used for another prospect.

The policy of the group is to screen every order, samples orders just the same as standard orders. GTS export control tool enables an automatic screening of the business partner name and address at the partner creation, at the sales order creation and at the shipment start. The system is setup so that if there is any manual change on the business partner name or address, GTS will automatically block the transaction for a manual screening and release.

The objective of this operating procedure is to describe the manual screening of the "one-time customers" against sanctioned parties.

All transaction using the "one-time customer", irrespective of the departure plants are concerned by the manual screening.

1. Identify the "one-time customer"

In GTS - Compliance Management - Legal control Export - Display blocked documents

Scope



ERP



GTS

References

Attachments

Annex:

<https://drive.google.com/drive/folders/0B1fFRgKxcv76eFFWeUJXQTN4QUU>

The transaction is blocked, SPL legal regulation checking is required

- ⊖ ⊗ Performance of Service: Sanctioned Party List Screening
 - ⊖ ⊗ Checking legal regulation SPL; synchronous address check is active
 - ▶ ⊗ Sanctioned-party list screening for partner 162497 and partner role(s) AG
 - ▶ ⊗ Sanctioned-party list screening for partner 162497 and partner role(s) RE
 - ▶ ⊗ Sanctioned-party list screening for partner 162497 and partner role(s) RG
 - ▶ ⊗ Sanctioned-party list screening for partner 162497 and partner role(s) WE

By default, all "one-time customers" are blocked. They have been included in the Customs & Trade Compliance ethic list.

The ERP business partners code used in the transaction is #999999 which is the "one-time customer" for France (see Annex).

| Partner Function in Doc. | Partner | Ctry | Ext. BP | Name | Description |
|--------------------------|---------|------|---------|---------------------------------------|-------------------|
| Sold-To Party for Export | 162497 | CN | 999999 | SHANGHAI GOODWAY INDUSTRIAL CO., LTD. | / 200333 Shanghai |
| Bill-to Party for Export | 162497 | CN | 999999 | SHANGHAI GOODWAY INDUSTRIAL CO., LTD. | / 200333 Shanghai |
| Payer for Export | 162497 | CN | 999999 | SHANGHAI GOODWAY INDUSTRIAL CO., LTD. | / 200333 Shanghai |
| Ship-to Party for Export | 162497 | CN | 999999 | SHANGHAI GOODWAY INDUSTRIAL CO., LTD. | / 200333 Shanghai |

In GTS - Compliance Management - Sanctioned Party List Screening - Display blocked Business Partner

Display Business Partners

Sanctioned Party List Screening | Release Partner | Positive List | Negative List | Confirm Block | On Hold

Blocked Business Partners

| Legal Reg. | FTOs | BP... | External Business Pa | Business Partner | Ctr | Name | Status |
|------------|--------------------------|-------|----------------------|------------------|-----|-----------------------|------------------------------------|
| SPL | ZFR3,ZFR9,7008,7752,7... | 02 | 999999 | 162497 | FR | CLIENT OCCASIONNEL FR | ⊗ |

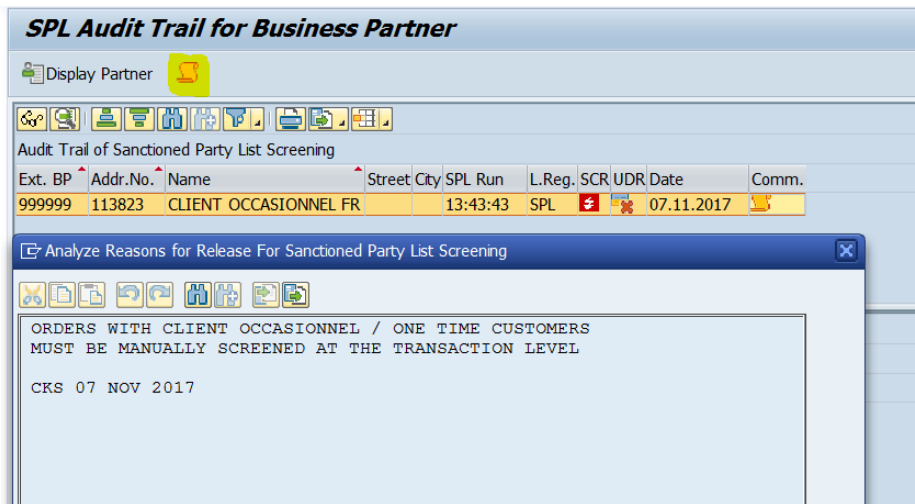
SPL Audit Trail for Business Partner

Display Partner

Audit Trail of Sanctioned Party List Screening

| Ext. BP | Addr.No. | Name | Street | City | SPL Run | L.Reg. | SCR | UDR | Date | Comm. |
|---------|----------|-----------------------|--------|------|----------|--------|------------------------------------|------------------------------------|------------|------------------------------------|
| 999999 | 113823 | CLIENT OCCASIONNEL FR | | | 13:43:43 | SPL | ⊗ | ⊗ | 07.11.2017 | ⊗ |

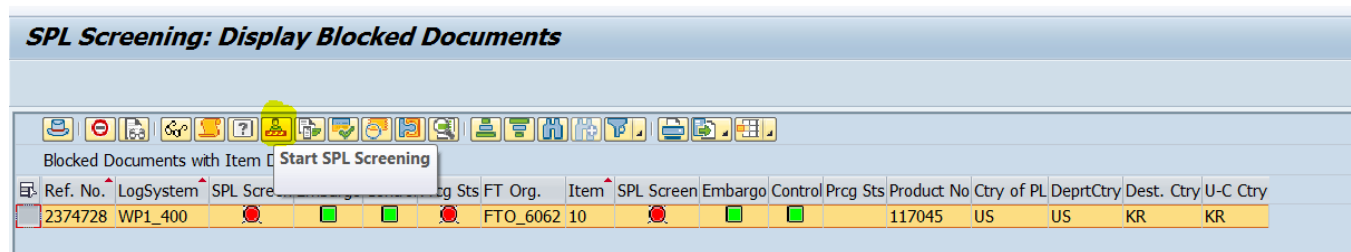
Negative List: Blocked



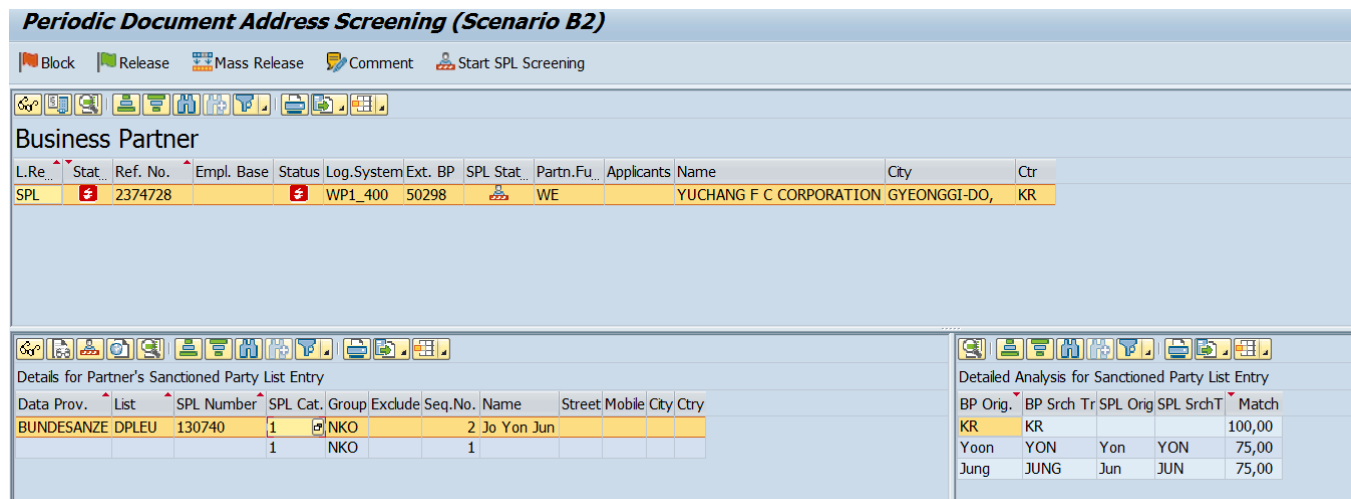
For standard orders, the best practice is to screen and release the business partner and then refresh the order in GTS to release the transaction.
For sample orders though, the best practice is to manually screen the business partner and then manually release the order in GTS.

2. Manually screen the "one-time customer"

In GTS - Compliance Management - Sanctioned Party List Screening - Display blocked documents



Case 1: the partner has a name and a physical address



Proceed to the analysis as for usual blocked partners in standard orders.

If the partner has been screened and approved, proceed to manually release the transaction.

If the partner has been screened and denied, do not release the transaction, and escalate the case to your hierarchy.

Case 2: the partner is missing information on its name or/and address

Display Customs Document for Sales Order 2374578

Document Number: 101167313 Year: 2017 Doc.Type: Customs Document (Export) - Sales Document Level

Organization | Item Overview | Partner | Value | Status | Doc. Flow | Addnl Data | Administr.

| Partner Function | Partner | Ctry | Ext. BP | Name | Description |
|--------------------------|---------|------|---------|-------------------------|-------------|
| Sold-To Party for Export | 165581 | MY | 999958 | CLIENT OCCASIONNEL MY / | SEKABGIR |
| Bill-to Party for Export | 165581 | MY | 999958 | CLIENT OCCASIONNEL MY / | SEKABGIR |
| Payer for Export | 165581 | MY | 999958 | CLIENT OCCASIONNEL MY / | SEKABGIR |
| Ship-to Party for Export | 165581 | MY | 999958 | CLIENT OCCASIONNEL MY / | SEKABGIR |

Details

| Group description | Cell Content |
|-------------------------|--------------------------|
| Partner Function | Sold-To Party for Export |
| Partner Function | AG |
| Business Partner | 165581 |
| Country Key | MY |
| External Partner Number | 999958 |
| Address Number | 650031 |
| Name | CLIENT OCCASIONNEL MY |
| Address Description | / SEKABGIR |
| Address Indicator | X |

You must request the necessary information to the customer service representative in charge and then proceed to manual screening of the partner. According to the Customer Service Process, you shall ask the customer service representative to update the document in the ERP with the missing information.

In GTS - Compliance Management - Sanctioned Party List Screening - Screen General Address

Enter Title (organization or person) and all available information on the address and execute

Simulate General Address Screening

Legal Regulation: SPL

Name

Title: Company

Name: BRENNTAG SDN BHD

Search Terms

Search term 1/2

Street Address

Street/House number: LOT PT 55,64&65 LN HULU TINGGI 26/6,SEKS... 26

Postal Code/City: 40400 SELANGOR

Country: MY Region: 10

PO Box Address

PO Box

Postal code

Company postal code

Simulate General Address Screening

Business Partner

| L.Reg. | Status | LS Gro. | BP Categ. | Ext. ... | Name | Street | Cty | Ctr |
|--------|--------|---------|-----------|----------|--------------------|---|----------|-----|
| SPL | ✓ | | | | BRENNTAG SDN BH... | LOT PT 55,64&65 LN HULU TINGGI 26/6,SEKSYEN | SELANGOR | MY |

Details for Partner's Sanctioned Party List Entry

Data Provider | List | Sanction Party List Number | SPL Cat. | Group | Exclude | Seq.No. | Name | Street | Mobile | Phone | Cty | Ctry

Detailed Analysis for Sanctioned Party List Entry

BP Orig. Doc. | BP Search Term | SPL Orig. Term | SPL SrchTerm | Mat...

Proceed to the analysis as for usual blocked partners in standard orders.

If the partner has been screened and approved, proceed to manually release the transaction.

If the partner has been screened and denied, do not release the transaction, and escalate the case to your hierarchy.

3. Manually release the transaction

In GTS - Compliance Management - Sanctioned Party List Screening - Manually release blocked documents

SPL Screening: Release Blocked Documents

Blocked Documents with Item Data

Cancel SPL Block

| Ref. No. | LogSystem | SPL Screen | Embar | FT Org. | Item | SPL Screen | Embargo | Control | Prcg Sts | Product No | Ctry of PL | DeprtCtry | Dest. Ctry | U-C Ctry |
|----------|-----------|------------|-------|---------|-------------|------------|---------|---------|----------|------------|------------|-----------|------------|----------|
| 2374728 | WP1_400 | | | | FTO_6062 10 | | | | | 117045 | US | US | KR | KR |

If the partner has been screened and approved, proceed to cancel SPL Block and add the relevant mandatory comment.

Standard comment:

no match with restricted parties or hit block on "xxx" without relevance

+ add initials and date of screening