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 (*PI 1, 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 attachements.

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.

Scope

APAC

EMEA

LAM

NAM

ERP

PF1

WP1

GTS

References

Attachments

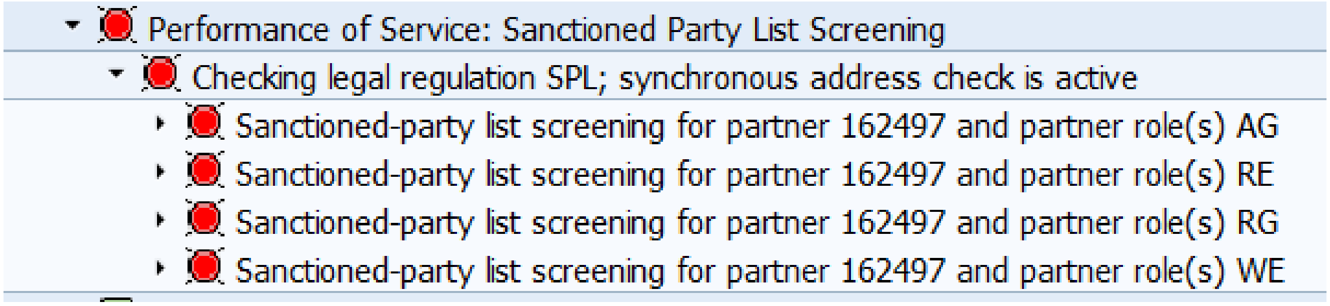
Annex:

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

1. Identify the "one-time customer"

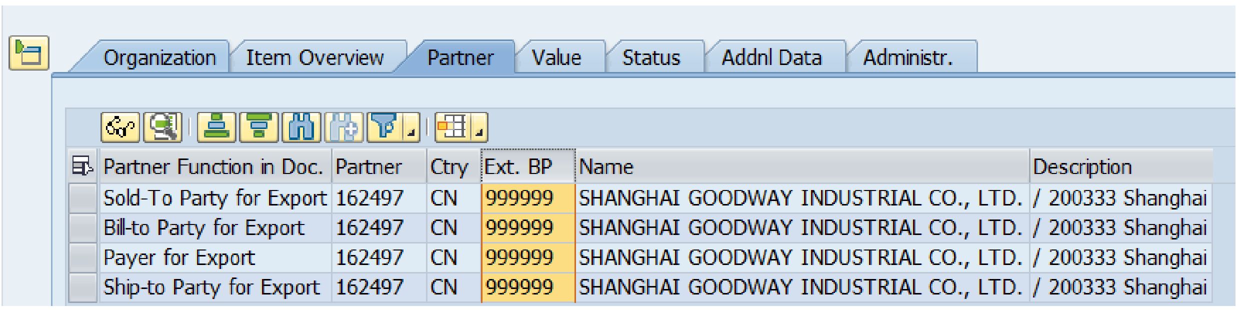
In GTS - Compliance Management - Legal control Export - Display blocked documents

The transaction is blocked, SPL legal regulation checking is required



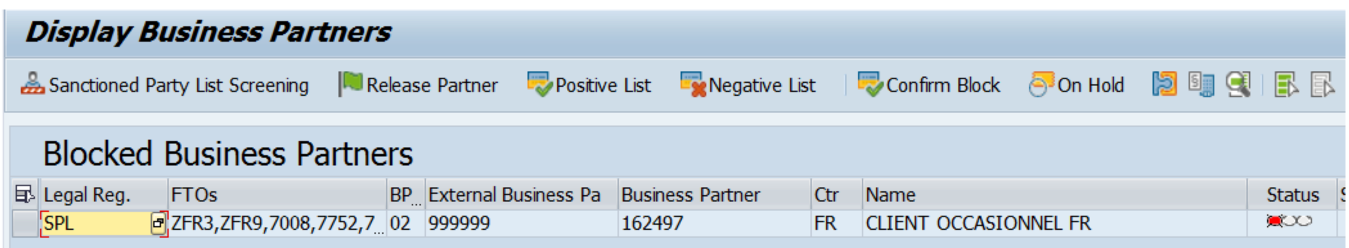
By default, all "one-time customers" are blocked. They have been included in the Customs & Trade Compliance ethic list.

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

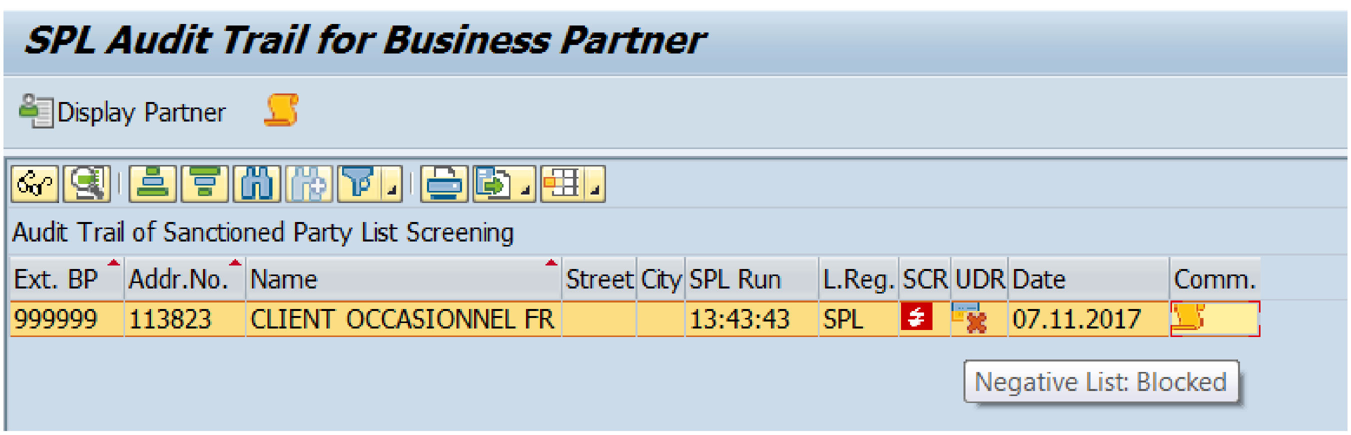


Partner Function in Doc.	Partner	Ctry	Ext. BP	Name	Description
Sold-To Party for Export	162497	CN	999999	SHANGHAI GOODWAY INDUSTRIAL CO., LTD.	/ 200333 Shanghai
Bill-to Party for Export	162497	CN	999999	SHANGHAI GOODWAY INDUSTRIAL CO., LTD.	/ 200333 Shanghai
Payer for Export	162497	CN	999999	SHANGHAI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

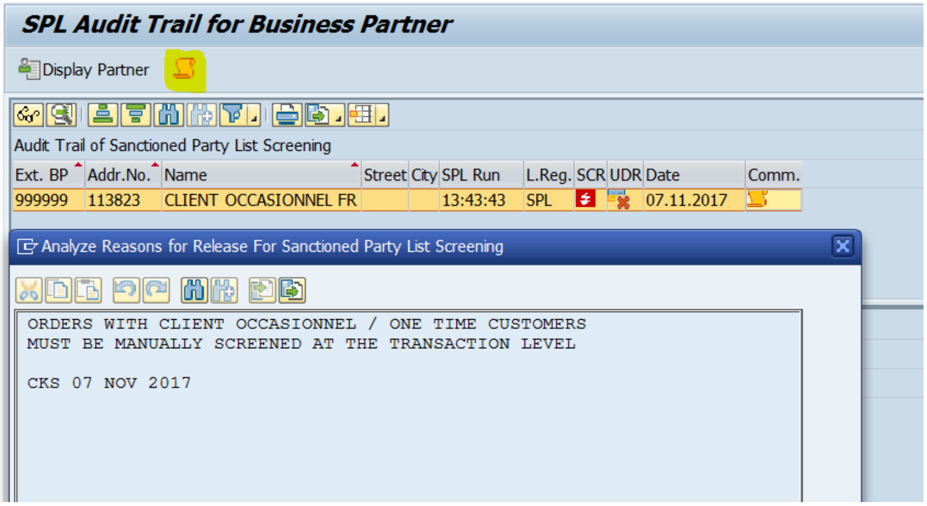
In GTS - Compliance Management - Sanctioned Party List Screening - Display blocked Business Partner



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	



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	

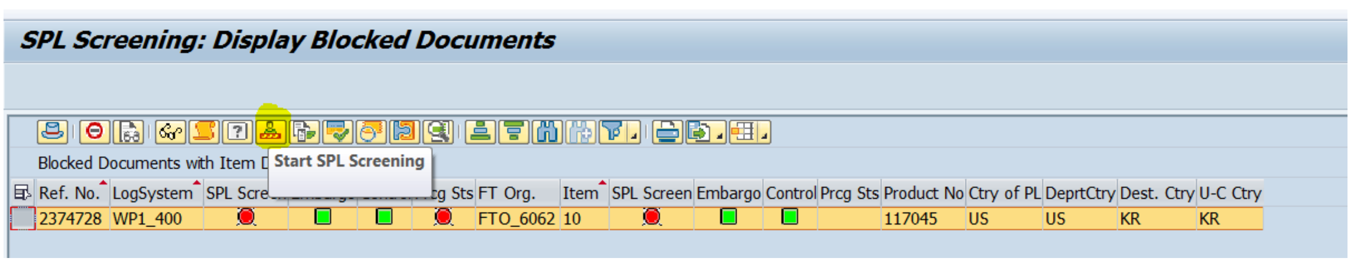


For standard orders, the best practice is to screen and release the business partner and then refresh the order in GTS to release the transaction.

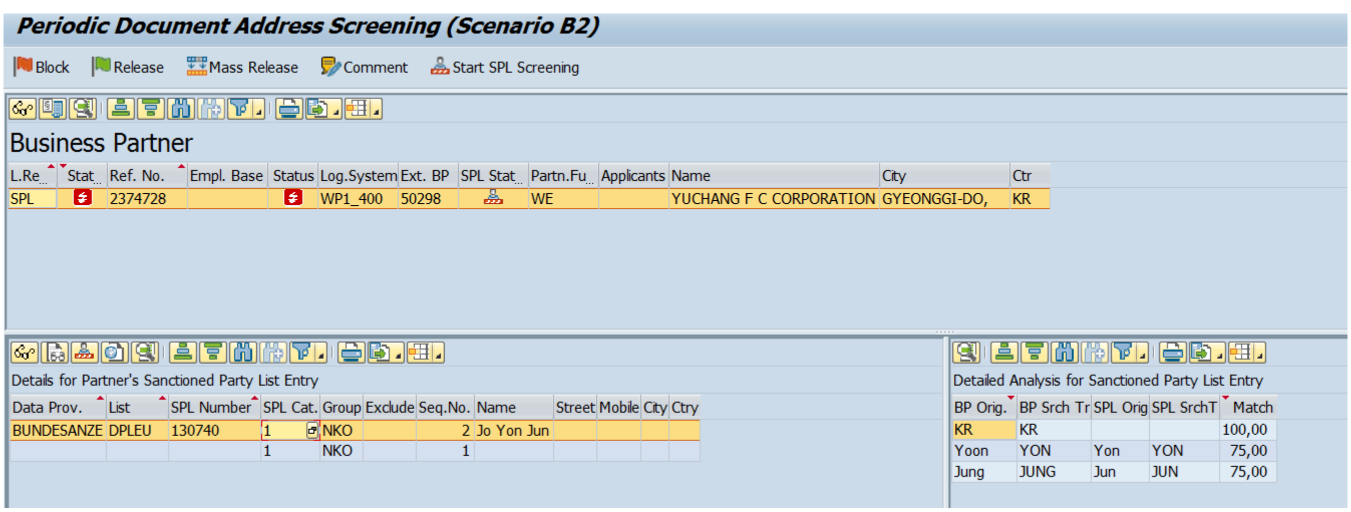
For sample orders though, the best practice is to manually screen the business partner and then manually release the order in GTS.

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

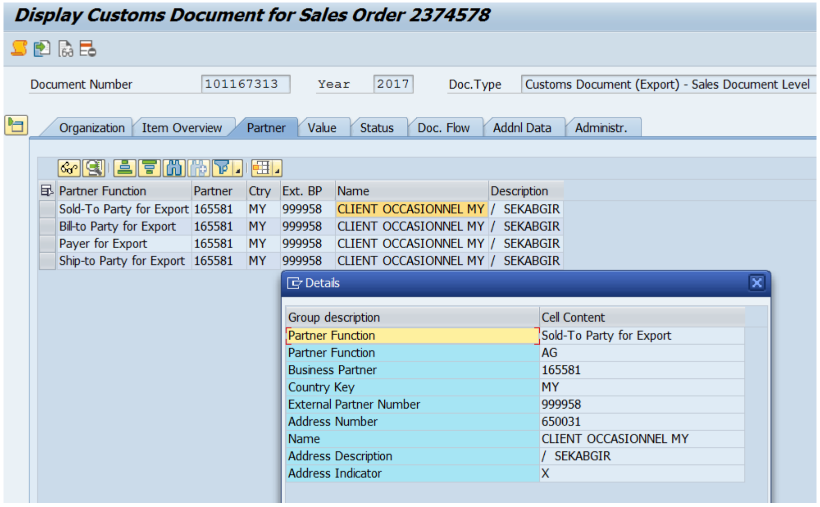


Proceed to the analysis as for usual blocked partners in standard orders.

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.

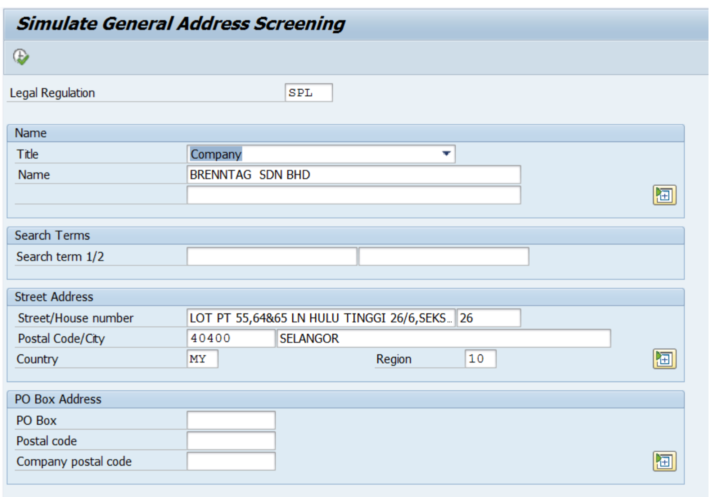
Case 2: the partner is missing information on its name or/and address

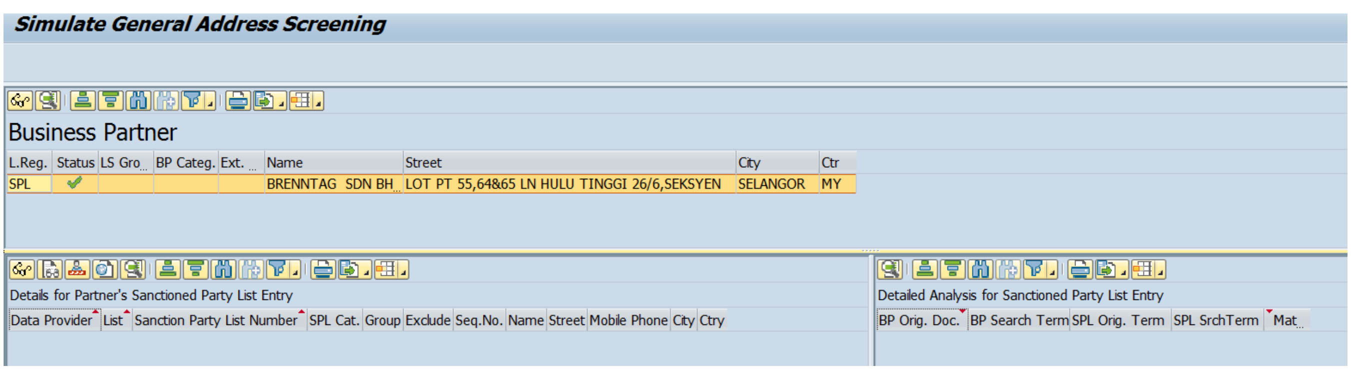


You must request the necessary information to the customer service representative in charge and then proceed to manual screening of the partner. According to the Customer Service Process, you shall ask the customer service representative to update the document in the ERP with the missing information.

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





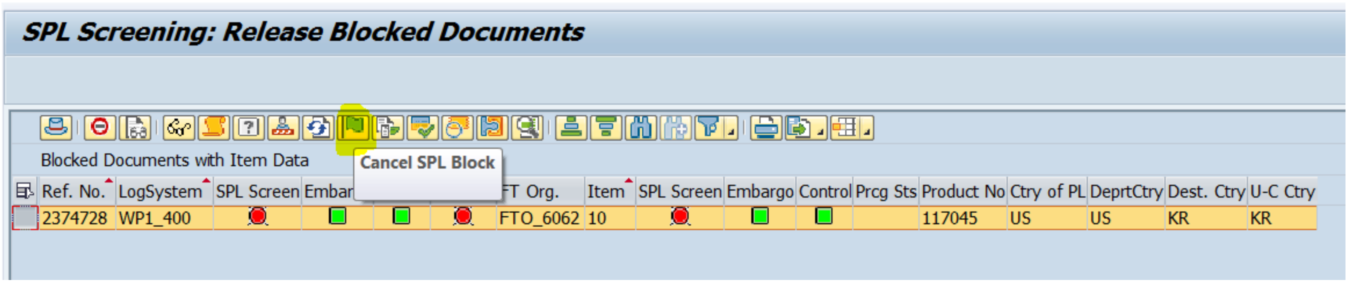
Proceed to the analysis as for usual blocked partners in standard orders.

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



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