

Trade Compliance

The QAD GTTE Global Trade Compliance solution starts at the very beginning of the export sales process. With QAD GTTE automated Global Trade Compliance software you can perform due diligence, streamline compliance and mitigate the risks associated with dynamic trading environments as well as control costs and create audit-ready electronic reports.

Using Trade Compliance

The Using Trade Compliance section describes the compliance functionality available to you, the user, in QAD GTTE. This functionality helps your company to comply with national and international trade regulations. Failure to comply with these regulations can result in penalties.

There are a number of different ways of running compliance checks:

- As a workflow task within the [Workflow Portal on page 56](#) (menu option FLOW).
- On an ad hoc basis, accessed through menu option CKADH.
- As a [Desktop Shipping on page 1509](#) step (menu option SHDTS).

Note For details of the compliance step in Desktop Shipping, see [Compliance Step on page 1516](#). The compliance process varies from company to company. The compliance manager configures QAD GTTE to implement the compliance process. To learn more about the compliance process within your company, consult your administrator.

Available Compliance Checks

It is possible to run a number of different compliance checks using QAD GTTE. You can run all of these checks as part of a workflow task or in Desktop Shipping. The table below identifies the checks that are available to run on a one-off or ad hoc basis..

Compliance Checks in QAD GTTE

Check	Purpose	Available as Ad Hoc Check
(DPL) Denied Party List	The Denied Party List (DPL) check compares the names and addresses against the list of denied and restricted parties in the system. The list of denied and restricted parties in the system can be a combination of lists that QAD GTTE has sourced and provided as content, and entries that your company may have maintained.	Yes
(DPL-TEXTS) Denied Party List – Text Boxes	The Denied Party List – Text Boxes (DPL-TEXTS) check compares the lines in shipment text boxes to the same list of denied and restricted parties used in the Denied Party List check.	No

Check	Purpose	Available as Ad Hoc Check
(EBC) Embargoed Countries	The Embargoed Countries (EBC) check compares the countries on a transaction against the list of embargoed or sanctioned countries in the system. The list of countries can be a combination of lists that QAD GTTE has sourced and provided as content, and entries that your company may have maintained.	Yes
(IEBC) Import Embargoed Countries	The Import Embargoes Countries (IEBC) check compares the country of origin against the IEBC list on an import transaction.	Yes
(ECLI) Dual Use	This check determines whether an item requires an export license to be shipped to a specific country. The check is based on the item-assigned dual-use code, known as an Export Control Classification Number (ECCN) in the US. QAD GTTE provides a content subscription service for the regulations; for example, United States and European Union. The compliance engine supports dual-use license requirements regarding exporting and re-exporting from the US to Hong Kong. This functionality is not restricted to Hong Kong, and can be configured for any country if required. For further information, see Dual Use – ECLI Check on page 1063 .	Yes
(EXLI) Permit/ Guarantee	This check determines whether an item requires a permit or guarantee to allow shipping. The check is based on rules maintained by your company.	Yes
(KEY) Keyword	This check determines whether names and addresses contain particular words; for example,	Yes

Check	Purpose	Available as Ad Hoc Check
	Nuclear. The list of words to check is maintained by your company.	
(DATA-INTEG) Data Integrity	This check ensures that key pieces of data on a transaction are included and are valid.	No
Questionnaire	The questionnaire checks allow you to investigate whether certain requirements are fulfilled by the shipment through a list of mandatory questions to answer. You can create multiple questionnaires at master, transaction type, partner role, partner, product, and commodity level.	No
(PRCT) Product to Country of Destination	This check fails when it identifies particular products being shipped to specified countries. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee's country. Your administrator maintains the list of product and country combinations that are not permitted	Yes
(PRNR) Product to Partner	This check fails when it identifies particular products being shipped to specified partners. By default, it checks the consignee, customer, and consignor. You can configure the check to screen additional partners on the shipment using the ZS sub-option, Compliance – Partner Types. Your administrator maintains the list of product and partner combinations that are not permitted.	Yes
(C1TC) Commodity to Country of Destination	This check fails when it identifies particular commodities being shipped to specified countries. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee's	Yes

Check	Purpose	Available as Ad Hoc Check
	country. Your administrator maintains the list of commodity and country combinations that are not permitted.	
(C1TP) Commodity to Partner	This check fails when it identifies certain commodities being shipped to specified partners. By default, it checks the consignee, customer, and consignor. You can configure the check to screen additional partners on the shipment using the ZS sub-option, Compliance – Partner Types. Your administrator maintains the list of commodity and partner types that are not permitted.	Yes
(EXCT) ECCN Code to Country	This check fails when it identifies items with particular ECCN codes being shipped to specified countries. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee's country. Your administrator maintains the list of ECCN code and country combinations that are not permitted.	Yes
(RPRC) Permitted Products to Country	This check fails when it identifies shipments of products to countries that do not appear in a list of permitted countries for that product. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee's country. Your administrator maintains the list of product and country combinations that are permitted.	Yes
(ITC-INTEG) ITC Data Integrity	This check ensures that key pieces of data on an Imports transaction are included and are valid. Note This check is specific to the Import Management module.	No

Use the *Product Information* grid to specify the product, ECCN, and commodity details that are necessary for a number of checks. If you are not sure which fields are required for a check, click *Check* to highlight any required information that is not complete.

Use the *References* fields to add unique reference numbers that you can use in the future to search for the results. You must specify at least one reference.

To run the chosen compliance checks and view the compliance results, click *Check*.

For details on the Compliance Results window, see the [Compliance Results on page 982](#) section.

Batch DPL Data Scrub

Batch Denied Party Scrub is a utility that allows you to screen multiple names and addresses. The names and addresses are uploaded into the system from a file. A file is generated with the results, which can then be sent to specified email addresses.

The system keeps a record of each batch data scrub run by linking it with the names and addresses screened.

CSV File Input Format

The file that you upload must be in a certain format. In addition to the names and addresses that you want to check against the DPL, the file contains some configuration settings. A sample file is displayed in the image below.

Data Scrub File in CSV Format

```
BatchReference,ValidClient,,,,,,,,,
ReplyTo,,,,,,,,,
Client,TGL,,,,,,,,,
Keep History in TRAXi3,Yes,,,,,,,,,
Warning % name,70,,,,,,,,,
Warning % address,60,,,,,,,,,
Fail % name,95,,,,,,,,,
Fail % address,85,,,,,,,,,
Result Type,Brief,,,,,,,,,
,,,,,,,,,
Reference,Name,Street,City,State/Province,Zip/Postal Code,Country,Additional Reference 1a,Additional Reference ,
a1dxx,John Doe,"TEST SYSTEMS, 412 Drachman Suite SA, Tucson AZ 832354",,,,YU,111,222,333
1ace,revolutionary organization of socialist muslims,"TEST SYSTEMS, 412 Drachman Suite SA",Tucson ,AZ,832354,US,111,222,333
4da,John Doe,"TEST SYSTEMS, 1989 Kensington Church Street, Kensington, London W8 4DP ",,,,UK,111,222,333
5seda,John Doe,"TEST SYSTEMS, 1989 Kensington Church Street, Kensington",London ,,W8 4DP ,UK,111,222,333
2s,Additional Reference 3,,,,,,,,,
```

The table below describes the contents of the CSV file.

CSV Input File Contents

Line	Purpose
BatchReference	A unique identifier for the data scrub. Change this number each time that you run a DPL data scrub. The reference number is not

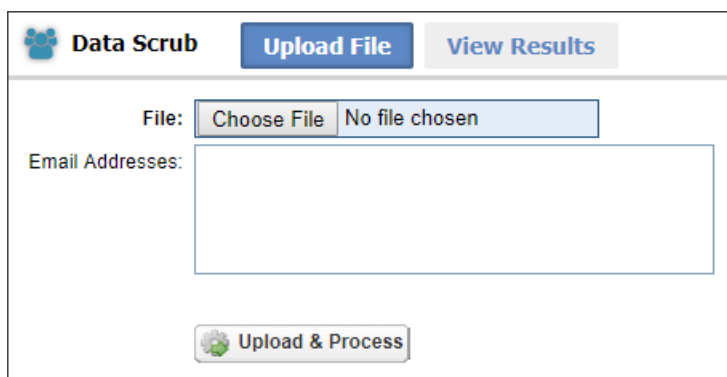
Line	Purpose
	checked when the data scrub is run; it is your responsibility to change this number for each upload. <i>Example:</i> BatchReference,ref11114
ReplyTo	Send the results of the data scrub to the e-mail address specified. You can enter multiple e-mail addresses in a comma-separated list. <i>Example:</i> ReplyTo,test_user@qad.com,test_user2@qad.com
Client	The QAD GTTE client in which to run the data scrub and store the data scrub results; specify a valid client to which you have access. To view the list of valid clients, access the CL option. If you do not specify a client in this file, then the data scrub runs in a client determined by your administrator's configuration.
Keep History in TRAXi3	This value informs the system whether a partner master record is created for each name and address checked. The partner is required when you want to use whitelisting. The possible values are Yes or No
Warning % name	The percentage match threshold above which you want the name check to pass with a warning. This value is used in conjunction with the Fail % name setting. <i>Example:</i> Warning % name,60
Warning % address	The percentage match threshold above which you want the address check to pass with a warning. This value is used in conjunction with the Fail % address setting. <i>Example:</i> Warning % address,50
Fail % name	The percentage match threshold above which you want the name check to fail. This value should always be higher than the Warning % name. <i>Example:</i> Fail % name,85
Fail % address	The percentage match threshold above which you want the address check to fail. This value should always be higher than the Warning % address.

Line	Purpose
	<i>Example:</i> Fail % address,75
Result Type	<p>The results of the data scrub are saved in an output file that you can download. To specify whether you want the data scrub results to be in a summarized or more detailed format, choose either Brief or Complete as the value of this field.</p> <p>Complete means that the result file contains more information on the matches, apart from the name and the result. The Brief setting only returns the name and the result of the check.</p> <p>For more information on the contents of the brief and complete versions of the output file, see the Output File Content on page 973 section.</p>
Run EBC Check	<p>Use this parameter to indicate whether to run the embargoed countries check on the file contents.</p> <p>The possible values are Yes or No.</p> <p>Default value: NO</p>
Address Headings	<p>This line includes the address headings that appear in columns in the results output file. This line is always:</p> <p>Reference,Name,Street,City,State/Province,Zip/Postal Code,Country,Additional Reference 1,Additional Reference 2,Additional Reference 3</p>
Address details	<p>There can be multiple address details lines in the CSV file. Each of these address lines is checked against the DPL when the batch DPL data scrub is run.</p> <p><i>Example:</i> 1,John Doe,"QAD GTTE, 412 Drachman Suite SA, Tucson AZ 832354",,,,US,,</p>

Upload Data Scrub File

To upload the CSV file containing names and addresses, access the DSCRUB option; the Upload Data Scrub File page displays.

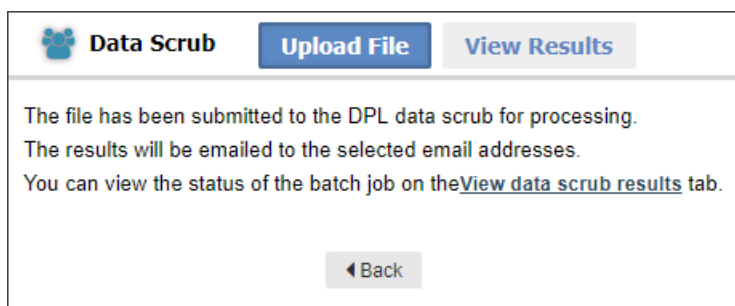
Batch DPL Data Scrub: Upload Data Scrub File



To perform a data scrub, complete the following steps:

1. Click *Choose File* and select the CSV file containing the names and addresses that you want to check against the DPL list.
2. In the *Email Addresses* field, enter an address to send the data scrub results to. Enter multiple email addresses in a comma-separated list.
3. To upload the CSV file and run the data scrub, click *Upload*.

Batch DPL Data Scrub: File Submitted Screen



View Data Scrub Results

To view the results of the data scrub, select the *View Data Scrub Results* tab.

Batch DPL Data Scrub: View Data Scrub Results

Date	Client	Job Id	User	Input File	Output File	Status	Reference
25/02/2019	TGL	486	RQF	[icon]	[icon]	Complete	dscrub-demo
24/02/2019	TGL	485	RQF	[icon]	[icon]	Complete	dscrub-demo
23/02/2019	TGL	484	RQF	[icon]	[icon]	Complete	dscrub-demo
22/02/2019	TGL	483	RQF	[icon]	[icon]	Complete	dscrub-demo
21/02/2019	TGL	482	RQF	[icon]	[icon]	Complete	dscrub-demo
20/02/2019	TGL	481	RQF	[icon]	[icon]	Complete	dscrub-demo
19/02/2019	TGL	480	RQF	[icon]	[icon]	Complete	dscrub-demo
15/02/2019	TGL	479	RQF	[icon]	[icon]	Complete	dscrub-demo
14/02/2019	TGL	478	RQF	[icon]	[icon]	Complete	dscrub-demo
13/02/2019	TGL	477	RQF	[icon]	[icon]	Complete	dscrub-demo

Depending on the size of the file to process, the results may not be available to view immediately. When the file finishes processing, the status is displayed as complete, as shown in the image above. When the displayed status is Processing, the file is still being processed.

When there are many data scrub requests in the system, you can use the filter fields to narrow your search.

Reference. To search by reference number, specify a reference number in this field. The reference number corresponds to the BatchReference line in the data scrub CSV file, as described in the *CSV Input File Contents* table in the [Batch DPL Data Scrub on page 968](#) section. This field accepts wild cards.

Client. Specify the client in which the data scrub was run. This field corresponds with the Client line in the data scrub CSV file described in the *CSV Input File Contents* table in the [Batch DPL Data Scrub on page 968](#) section. If this line of the uploaded CSV file is blank, then the data scrub is determined by the configuration set up by the administrator.

From Date, To Date. To search by date, specify a date or date range using these fields.

To run a search, click **Search**. To clear the contents of the search fields, click **Clear**. The table below displays the results of searches, and contains a number of columns.

Audit Search Results Table Columns

Column	Explanation
Date	The date that the data scrub was run.
Client	The client in which the data scrub was run. This value is determined by the Client field of the input file. If this field

Column	Explanation
	of the input file is blank, then the client is determined by the configuration set up by the administrator.
Job Id	A unique identifier that is automatically assigned when the data scrub is run.
User	The ID of the user who ran the data scrub.
Input File	A copy of the file that was input to the data scrub. Click to download this file, which has the title format IN---.csv; for example, IN-TGL-QCONFIG-21328.csv.
Output File	The data scrub results. Click to download this file, which has the title format OUT-- -.csv; for example, OUT-TGL-QCONFIG-21328.csv
Status	The status of the data scrub, which is either Processing or Complete
Reference	The reference number corresponds to the BatchReference line in the data scrub CSV file. This field accepts wild cards.

Output File Content

Depending on the value of the *Result Type* field in the CSV input file, the content of the data scrub output file is in either a brief or complete format. Both versions of the output file include the contents of the input file, but the complete version contains extra columns. The table below lists the columns that appear in the complete version of the output file. When your system is configured to display the brief version of the output file, you do not see the last five columns.

Batch Data Scrub Output File Contents: Complete Version

Column	Explanation
Reference	This field matches the Reference field in the corresponding row in the input file.
Name	This field matches the Name field in the corresponding row in the input file.
Street	This field matches the Street field in the corresponding row in the input file.
City	This field matches the City field in the corresponding row in the input file.
State/Province	This field matches the State/Province field in the corresponding row in the input file.

Column	Explanation
Zip/Postal Code	This field matches the Zip/Postal Code field in the corresponding row in the input file.
Country	This field matches the Country field in the corresponding row in the input file.
Compliance Status	The result of the compliance check. Possible values: <ul style="list-style-type: none"> • WARNING • FAIL • PASS
Results URL	The URL for the page that contains the compliance check results.
Match Category	The category in which the party details match a DPL entry; for example, name or address.
% Match	The percentage match between the party details and the DPL entry that it matches. For example, if this column is 75, and the Match Category column is NAME, there is a 75% match between the party name and a name entry in the DPL.
Source List	The organization that supplied the matching entry in the DPL list.
Name as it appears on the DPL	The name in the matching entry in the DPL list.
Address as it appears on the DPL	The address in the matching entry in the DPL list.

Note If a field in the input file is blank, then the corresponding row is omitted from the output file. For example, if there is no address in the ReplyTo line of the input file, there is no ReplyTo row in the output file.

Compliance History Search

The *Compliance History Search* panel is a collapsible area that allows you to view the results of past compliance checks run through Desktop Shipping, Workflow, the DPL and Embargoed Country Checking, or from an external system. You can use the Compliance History Search for managing compliance results and for audit purposes.

Compliance History Check Search Panel

The search fields are all AND fields. Therefore, each field that you complete further filters the results.

Run Number. A unique number assigned to the check when it was run, and displayed on the *Run Details* page.

Note For a batch DPL Data Scrub check, each row in the CSV file has a corresponding run number.

Run Status. To restrict your search to checks with a particular result, specify the result in the drop-down menu. All results are returned when the field is blank. The options are:

- Failed
- Failed Manually
- Passed
- Passed Manually
- Passed with Warnings
- Under Review

Run User. To search for compliance checks run by a specific user, enter the user name in this field.

Override User. To search for compliance checks with results that were manually overridden by a specific person, enter the appropriate user name in this field.

Run Date. Enter the run date or a run date range in these fields.

Run Type. Select the type of compliance check to search for. The options are:

- Transaction – A shipment that exists in the QAD GTTE database. When you select this option; the *Consignor*, *Transaction Reference*, *Despatch Number*, *Transaction Client*, and *Only Show Last Run* fields are displayed to the right of the search panel.
- Ad Hoc – Stand-alone compliance checks run using the DPL and Embargoed Country Checking window. When you select this option, the *Reference* and *Only Show Last Run* fields are displayed to the right of the search panel.

- Other – Compliance checks submitted from an external system; for example, processing an order in an ERP system or from a data scrub. When you select this option; the *Reference 1*, *Reference 2*, *Reference 3*, *Reference 4*, and *Only Show Last Run* fields are displayed to the right of the search panel
- All – All compliance checks. When you select this option; the *Reference 1*, *Reference 2*, *Reference 3*, *Reference 4*, and *Only Show Last Run* fields are displayed to the right of the Search panel.

Compliance History Check Search Panel with Transaction Selected

Search

Run Type: Transaction

Run Date: [] []

Run Status: []

Run Client: TGL

Detailed Search: ☒ Details

Run User: []

Run Number: []

Override User: []

Only Show Last Run: ☐

Search Reset

Consignor: []

Transaction Reference: []

Despatch Number: []

Transaction Client: []

Compliance History Check Search Panel with Ad Hoc Selected

Search

Run Type: Ad hoc

Run Date: [] []

Run Status: []

Run Client: TGL

Detailed Search: ☒ Details

Run User: []

Run Number: []

Override User: []

Only Show Last Run: ☐

Search Reset

Reference: []

Compliance History Check Search Panel with Other or All Selected

Search

Run Type: All

Run Date: [] []

Run Status: []

Run Client: TGL

Detailed Search: ☒ Details

Run User: []

Run Number: []

Override User: []

Only Show Last Run: ☐

Search Reset

Reference 1: []

Reference 2: []

Reference 3: []

Reference 4: []

Run Client. To view the transactions for a specific client, select the client from this drop-down menu. To view transactions from all clients, select the blank option from this drop-down menu.

The remaining fields on the search panel depend on the value that you select for the *Run Type* field.

Consignor. This field is only available when the *Run Type* field is set to Transaction. To search for compliance checks run on transactions with a particular consignor, specify the consignor in this field.

Transaction Reference. This field is only available when the *Run Type* field is set to Transaction. To search for compliance checks run on transactions with a particular reference, specify the transaction reference in this field.

Despatch Number. This field is only available when the *Run Type* field is set to Transaction. To search for compliance checks run on transactions with a particular despatch number, specify the despatch number in this field.

Transaction Client. This field is only available when the *Run Type* field is set to Transaction. To search for compliance checks run on transactions with a particular client, specify the client in this field.

Note You must prefix the client with the transaction type in this filter field; for example, specify STGL, not TGL.

Reference. This field is only available when the *Run Type* field is set to AdHoc. It corresponds to the *Reference* field in the DPL and Embargoed Country Checking windows.

Only Show Last Run. To restrict the history search to the last time that compliance was run on a transaction or SOA message, select this field.

Reference1. This field is only available when the *Run Type* field is set to Other or All. To search for compliance checks with a particular reference, specify the reference in this field. In the case of SOA messages, this field refers to the first reference field in an SOA message, SourceReferenceKey1. In the case of Batch DPL Data Scrub checks, this field refers to the Additional Reference 1 field in the data scrub input file.

Reference2. This field is only available when the *Run Type* field is set to Other or All. To search for compliance checks with a particular reference, specify the reference in this field. In the case of SOA messages, this field refers to the second reference field in an SOA message, SourceReferenceKey2. In the case of Batch DPL Data Scrub checks, this field refers to the Additional Reference 2 field in the data scrub input file.

Reference3. This field is only available when the *Run Type* field is set to Other or All. To search for compliance checks with a particular reference, specify the reference in this field. In the case of SOA messages, this field refers to the third reference field in an SOA message, SourceReferenceKey3. In the case of Batch DPL Data Scrub checks, this field refers to the Additional Reference 3 field in the data scrub input file.

Reference4. This field is only available when the *Run Type* field is set to Other or All. To search for compliance checks with a particular reference, specify the reference in this field. In the case of SOA messages, this field refers to the fourth reference field in an SOA message, SourceReferenceKey4.

You can also search based on the results of individual checks using the *Detailed Search* field; for example, you can search for manually passed DPL checks or failed ECLI checks.

Click *Details* to open the *Detailed Search* fields. In the pop-up, select the checks and the statuses that you would like to view for the specified checks. Click *Close* and ensure that the *Detailed Search* check box is selected to enable it.

Detailed Search

Search

Run Type: All Run Date: Run Client: TGL Run User: Reference 1: Reference 2: Reference 3:

Detailed Search: ☒ Details

Detailed Search Fields

Filter Enabled	Check	Description	Fail	Manual Fail	Manual Pass
☐	DPL	Denied Party check	☒	☒	☐
☐	DPL-SING	Singapore DPL List	☐	☐	☐
☐	DPL-TEXTS	Denied Party List - Text Boxes	☐	☐	☐
☐	DPLOR	Denied Party List EX,IM	☐	☐	☐
☐	EBC	Embargoed Country check	☒	☒	☐
☐	ECHS	mandatory eccn groups	☐	☐	☐
☒	ECLI	Export Control(dual use items)	☒	☒	☐
☐	EICT	ECCN's / Countries IM	☐	☐	☐
☐	END-USE	End-Use Questions	☐	☐	☐
☐	EXCT	ECCN's / Countries EX	☐	☐	☐
☐	EXLI	Permits & Licenses check	☐	☐	☐
☐	FLG3	prfig3 check	☐	☐	☐
☐	HDRVALID	Header values validation (IM)	☐	☐	☐
☐	IEBC	Embargoed Countries IM	☐	☐	☐
☐	IMLI	Import Licenses IM	☐	☐	☐
☐	IPRC	Product / Countries IM	☐	☐	☐
☐	IRPR	Permitted prod/Countries IM	☐	☐	☐
☐	KEY	Keywords check	☐	☐	☐

Close

Complete the relevant fields and click *Search*. The results of your search are displayed in the *Results* panel.

Note If you want to clear the search fields, click *Reset*. This action does not remove the contents of the *Results* panel when you have already run a search.

Compliance History Search and Results Panels

Search

Run Type: All

Run Date: 01/01/2018 30/11/2018

Reference 1:

Run Status:

Run Client: TGL

Reference 2:

Detailed Search: Details

Run User:

Reference 3:

Run Number:

Override User:

Reference 4:

Only Show Last Run:

Search

Reset

Results

	Run Number	Reference 1	Reference 2	Reference 3	Reference 4	Run Status	Run Date	Run Time	Run User	
1	21655	A9901	0028915	0	STGL		27/11/2018	02:31:20	RQF	

The *Results* panel displays the transactions that match the search criteria. When you double-click the transaction in the *Results* panel, the *Compliance Results* window opens. You can view the results in this screen, which is described in detail in the [Compliance Results on page 982](#) section.

For transaction type compliance checks, when you have permissions, you can run rechecks on compliance. However, for non-transaction type compliance checks, the recheck functionality is not available. Similarly, when you have the appropriate permissions, you can manually override transaction type compliance checks.

Alternatively, you can view the results in PDF format by clicking the PDF icon for the transaction in the Results panel.

Note The *Results* panel displays every compliance check run that matches the search criteria. Therefore, the same transaction can appear several times, once for each time compliance was run against it. However, you can only perform operations on the latest version of the transaction. Any previous version is a read-only history record.

The number of results pages returned in a search is displayed in the bottom right corner of the *Results* panel. Use the arrow keys to scroll to a particular results page or to the first or last page. Alternatively, insert the page number you want and press *Enter*. Updates to transaction information occur frequently. To update the *Transaction* panel with new information, use the *Refresh* button. The entries per page field enables you to specify the number of entries that appear on each page. You can select a value from the list or enter any numeric value in this field.

You can export the results that match the search criteria to an Excel spreadsheet using the Export to Excel link to the right of the results pages.

Export Results to Excel

20	20832	JDEDespatch	123456	
21	20831	DATASCRUB	dscrub-demo	ADDREF2-S16
22	20830	DATASCRUB	dscrub-demo	ADDREF2-S15

Page 1 of 330
 23 entries per page
 Export to Excel

Accessing the Compliance History from an Email

When you receive an email notification from the system that a check has failed, the email contains a link to the compliance check results. When you click this link, the *Compliance History* page opens, displaying only the check you received in the email in the *Results* panel. To open the *Compliance Results* window, double-click the compliance check in the *Results* panel. If you are not already logged in to the application, the login page is displayed.

Trade Compliance Workflow

Workflow Portal (Compliance)

For detailed user information on the Workflow Portal, see [Workflow on page 56](#).

The search panel may include a *Compliance Status* field, which you can use to filter transactions by their compliance status.

The compliance workflow tasks associated with the transaction selected in the *Transaction* panel are displayed in the *Tasks* area.

Search Panel

The search fields may include the *Compliance Status* field. This field enables you to search for transactions based on their compliance status. The statuses are:

- Passed
- Passed (Manually)
- Passed (Warning)
- Failed
- Failed (Manually)
- Under Review

Tasks Area

When you select a transaction in the *Transaction* or *Shipments* panel, any compliance tasks associated with the workflow are displayed in the *Tasks* area. The table below contains the compliance checking tasks that can be run in the Web UI. Depending on how your system is set up, these tasks may be named differently.

Web UI Compliance Tasks

Name	Description
Compliance Results	This task opens the <i>Compliance Results</i> window for the transaction.
Compliance Status	The status of this task is the current compliance status of the transaction.
Run Compliance	Enables you to run compliance on the current transaction.

Workflow Transaction with Compliance Tasks

The screenshot displays the 'Workflow Portal' interface. At the top, there is a search section with various filters including 'Open', 'Shipment', 'Group' (QTGLUSER), 'Client' (TGL), 'Reference No.' (0028911), 'Carrier', 'User ID', 'Customer', 'Consignee', 'Workflow', 'Despatch Date', 'Status', 'Invoice No.', and 'Booking Number'. A 'Template Search' field is also present. Below the search section, a table lists shipments with columns: Workflow, Type, Consignor, Reference, Carrier, Route, Place Of Delivery, Country Of Dest..., and Gross Weight. The first row shows 'WEB-ALL', 'E1', 'A9901', '0028911', 'HK', and '7.500000 LB'. To the right of the shipment table, a 'Tasks' panel is visible, listing various tasks. The tasks 'Compliance - Overall Status', 'Compliance - Run Compliance', and 'Compliance - View Comp Results' are highlighted with a red box. The 'Compliance - Run Compliance' task is marked with a green checkmark icon, indicating it is the active or successful task.

Run Compliance

When you click the Run Compliance task, compliance runs on the current transaction. There is no window associated with this task.

Compliance Status

The Compliance Status task is displayed for information purposes and does not allow user interaction. The task status is updated automatically when the overall compliance status of a transaction changes. The task icon displays a red X when compliance fails, and a green check mark when it passes. Your administrator may configure other workflow tasks not to run until compliance has passed by setting the Compliance Status as a prerequisite task.

Compliance Results

This task provides access to the compliance results screen for the transaction. For more information, see the [Compliance Results on page 982](#) section.

Compliance Results

The *Compliance Results* window enables you—based on authority—to view and manage compliance results. If compliance has run multiple times for the same transaction, you can also the previous results. It displays the results of each individual check performed; for example, Denied Party List and Embargoed Country screening.

You can access the window from:

- Compliance History Search
- Workflow Portal
- A URL link embedded in notification emails
- A URL link included in the Data Scrub results file
- DPL and Embargoed Country Checking menu option

The image below displays compliance checks for a shipment of cameras from the US to France

Compliance Results Screen

The screenshot displays the 'Compliance Run 20720 - A9901 0028405 0 STGL' window. On the left, a 'Compliance Checks' panel lists several checks with their status: (CITC) Commodities / CODs EX (Failed), (DPL) Denied Party check (Failed), (EBC) Embargoed Country check (Passed), (ECL) Export Control(dual use items) (Failed), (REDF) Red Flag EX/IM (Passed), (KEY) Keywords check (Passed), and (CITP) Commodities / Partners EX (Failed). Below this is an 'Add Comment' section with fields for Type, Partner, Name, and Address. A 'Legend' section at the bottom left defines status icons: Passed (green check), Passed Manually (green check with 'M'), Passed with Warnings (yellow check with 'W'), Failed (red X), Failed Manually (red X with 'M'), Under Review (red X with 'R'), and Disabled (grey X). The main table on the right shows results for 'Type', 'Code', 'Tested Date', 'Tested Time', 'Overridden By', 'Overridden Date', and 'Overridden Time'. It lists four checks: BillTo (60COMP-DPL3), BillTo (60COMP-DPL3), Consignee (60COMP-DPL3), and Consignee (60COMP-DPL3), all tested on 25/09/2018 at 01:18:29 GMT. Below the table, a message states 'None of the keywords were found for the partner:' followed by partner details: Name: Connolly Pearse Ltd, Address: ROOM 05 13/F NANYANG PLAZA, NO. 57 HUNG TO ROAD, KWUM TONG, KOWLOON.

Type	Code	Tested Date	Tested Time	Overridden By	Overridden Date	Overridden Time
BillTo	60COMP-DPL3	25/09/2018	01:18:29 GMT			
BillTo	60COMP-DPL3	25/09/2018	01:18:29 GMT			
Consignee	60COMP-DPL3	25/09/2018	01:18:29 GMT			
Consignee	60COMP-DPL3	25/09/2018	01:18:29 GMT			

None of the keywords were found for the partner:

Name: Connolly Pearse Ltd
Address: ROOM 05 13/F NANYANG PLAZA
NO. 57 HUNG TO ROAD
KWUM TONG, KOWLOON

The overall compliance status and the status of each individual check are displayed.

The overall compliance status is only set to pass when all individual checks pass. If any check fails, the overall status is failure. The following table shows a list of possible compliance statuses:

Possible Check Statuses

Icon	Check Status	Explanation
	Passed	The compliance check passed.
	Passed Manually	The compliance check failed and a user with relevant permissions has manually passed the check.
	Passed with Warnings	The compliance check passed but was flagged with a warning
	Failed	The compliance check failed.
	Failed Manually	The compliance check status was set to Failed by a user with the relevant permissions.
	Under Review	The compliance check failed and a user with relevant permissions has manually set the check to Under Review.

You can apply the Under Review status to compliance checks that received a Failed status. The Under Review status indicates that a compliance officer or manager is in the process of reviewing a failed check, and will later change the status to Passed Manually or Failed Manually, depending on the results of their investigation.

Note If a user sets any failed check to Under Review, this overrides the overall status to Under Review. The only status that overrides an overall status of Under Review is Failed Manually.

Depending on your user privileges, you may be able to access compliance check results in:

- Read-only mode
- Edit mode, which allows you to manually override compliance check results

Important If you have permission to view compliance results in edit mode and another user is already viewing the results of that check in edit mode, then changes that you make will overwrite earlier changes that the other user made. Similarly, another user with the edit privilege can access the results screen; any changes that the user makes will overwrite any earlier changes that you and other users made.

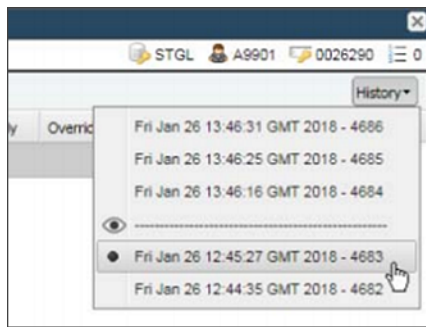
Your administrator can configure QAD GTTE so that when you access compliance results in edit mode and another user is already viewing the results of that check in edit mode, a message displays on the screen advising you that the compliance result is already in use. You can choose to unlock the result or view a read-only version of the result.

Your administrator can configure the Compliance Run window to display compliance results created by the older Windows UI. For further information, see the [Administration on page 1038](#) section.

Click the *History* button at the top right of the screen to open a drop-down list of past results. These compliance results are read-only and cannot be overridden.

Note This feature is only available when you run the compliance results Workflow task.

View Legacy Windows UI Results



Comments

In addition to the mandatory status update comment, you can use the *Add Comment* button to add multiple comments to a line of an under review check. This comments feature allows users to log and view the progress of a check that is Under Review. You do not need to change the status to do this, and adding a comment does not change the status.

You can view comments, the user, the time, and the date on which they were left in the *Comment* panel.

Add and View Comments

Compliance Run 5364 - A9905 0026422 0 STGL

Jump to...

Recheck Recheck All PDF

Filter: None History

Compliance Checks

(DPL) Denied Party check

(IEBC) Embargoed Countries IM

Pass Fail Under Review Add Comment

Type: Consignee

Partner:

Name: John Smith

Address: Somewhere in USA Line 2

Legend

- Passed
- Passed Manually
- Passed with Warnings
- Failed
- Failed Manually
- Under Review

Type	Partner	Tested Date	Tested Time	Run Date	Run Time	Overridden By
BillTo		20/02/2018	17:34:14 GMT	20/02/2018	17:34:14 GMT	P3K
BillTo	500	19/02/2018	17:09:53 GMT	20/02/2018	17:34:13 GMT	
Consignee		20/02/2018	17:34:14 GMT	20/02/2018	17:34:14 GMT	P3K
Consignee	500	19/02/2018	17:09:53 GMT	20/02/2018	17:34:14 GMT	

Comment	User	Date	Time
General comment about this result ...	P3K	20/02/2018	17:38:16

Name Address Parameters

Name & Address	Score	Source
1 PRIDMORE-SMITH, JOHN B. - MALABAR FIELDS, DAVENTRY, DAVENTRY - UNITED KINGDOM (GB)	100.0 %	BIS
2 KVIN LOY SMITH - UT 84405, OGDEN - United States (US)	80.0 %	GSA

Complete Close

Denied Party List Check

The Denied Party List (DPL) check compares the names and addresses on the transaction against the lists of denied and restricted parties in the system. When a name or address has a configured percentage of similarity to a denied party, a warning is produced. When the similarity reaches a certain configured threshold, a failure results. The list of denied and restricted parties in the system can be a combination of lists that QAD GTTE has sourced and provided as content, and entries that your company maintains.

You can configure the list of parties checked and the check parameters. For more information, see the [TC Administration on page 1038](#) section. In the image below, the check runs on the bill-to, the consignee, and the consignor.

Denied Party Check

Compliance Run 20727 - DATASCRUB dscrub-demo ADDRESS-577

Recheck Recheck All PDF Release Filter: None

Compliance Checks

(DPL) Denied Party check

Type	Partner	Tested Date	Tested Time	Run Date	Run Time	Overridden By	Overridden Date	Overridden Time
✓	RCUST-30	25/09/2018	01:38:37 GMT	25/09/2018	01:38:37 GMT			

Add Comment

Type:

Partner: RCUST-30

Legend

- ✓ Passed
- ✓ Passed Manually
- ⚠ Passed with Warnings
- ✗ Failed
- ✗ Failed Manually
- ⚖ Under Review
- ⏸ Disabled

✓ Name ✓ Address Parameters

Name & Address

1 ✓ No matches found against Name.

The screening results for each party are displayed and a failure of any party causes the overall DPL check to be a failure.

Each time you select a party from the list, the associated address of that party is displayed in the left pane. Below the party list, the details of the checks are displayed. There are four tabs. Each tab displays a status icon. A green check mark indicates success and a red x indicates a failure to be reviewed.

If a new content pack has been uploaded since the last time a DPL check was run on a partner, the system always reruns compliance on the partner.

- The *Name* tab displays details of the check against the party name. The name check fails when the percentage returned from any of the matches in the DPL algorithm exceeds the name failure threshold parameter level. For example, when a name is an 85% match or more with a denied party name and the threshold for a match is 80%, the check fails.
- The *Name Subset* tab displays details of the check against the party name. This check means that when the name you are checking is a subset of any denied party, the check fails. This always returns a 100% match. This check may be disabled in your company.
- The *Address* tab displays details of the check against the party address. The Address check fails when the percentage returned from any of the matches in the DPL algorithm exceeds the address failure threshold parameter level.
- The *Parameters* tab displays the system configuration related to Denied Party screening.

Translation

The compliance engine utilizes Google Translate functionality to translate names and addresses prior to party screenings. The source language is automatically detected and translated into English, before the translated value is then run against the DPL list.

Note Translation is not required if the source language uses Cyrillic or Latin characters, or if it is already English.

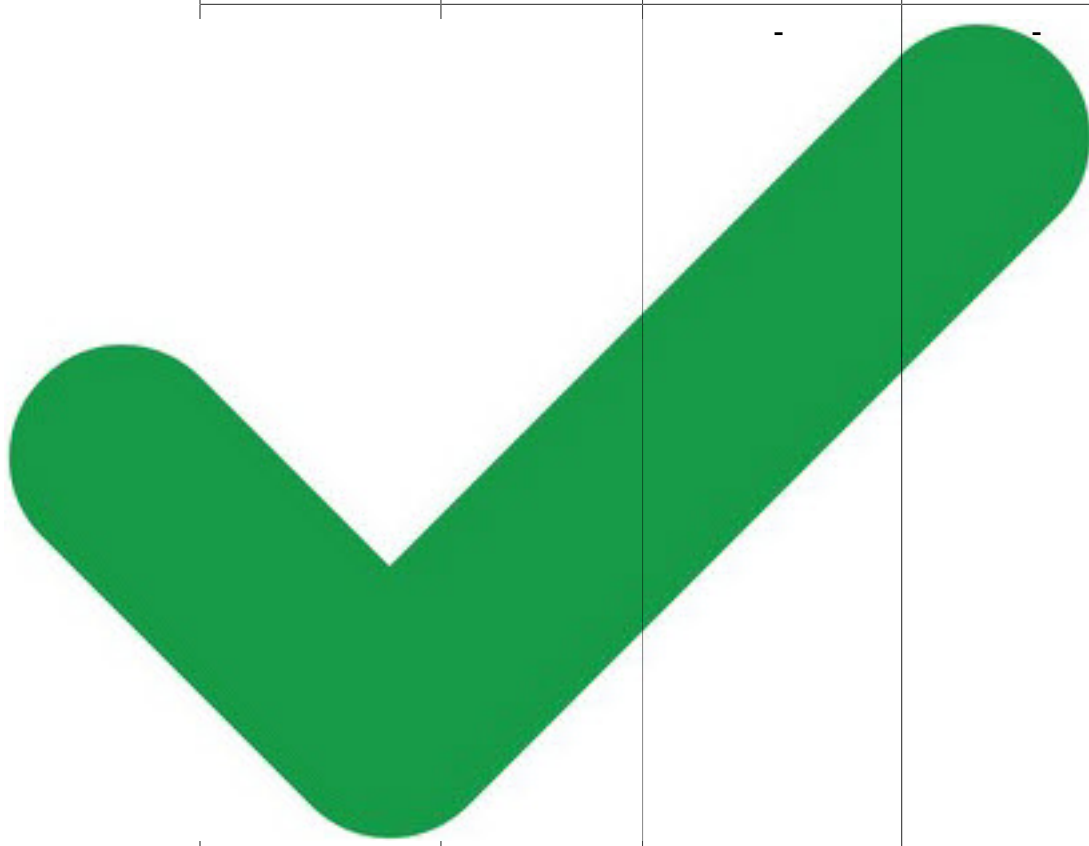
The table below lists the types of checks that offer translate functionality:

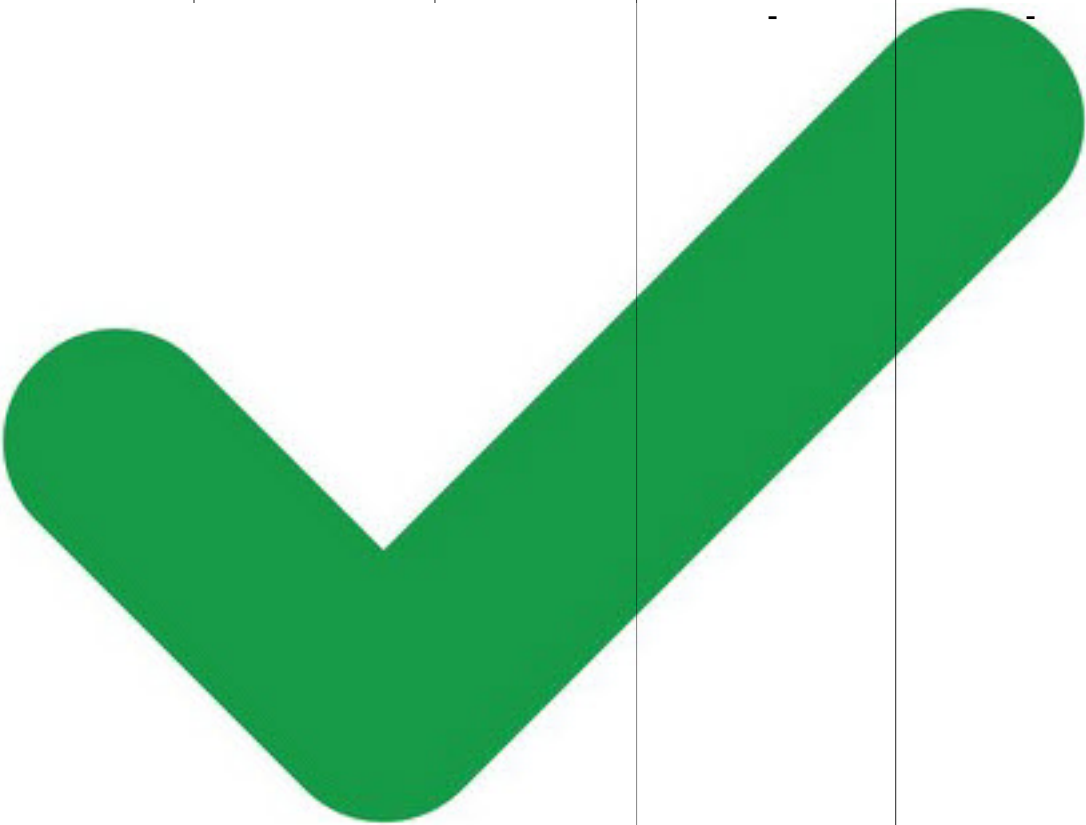
Compliance Check Types with Google Translate Functionality

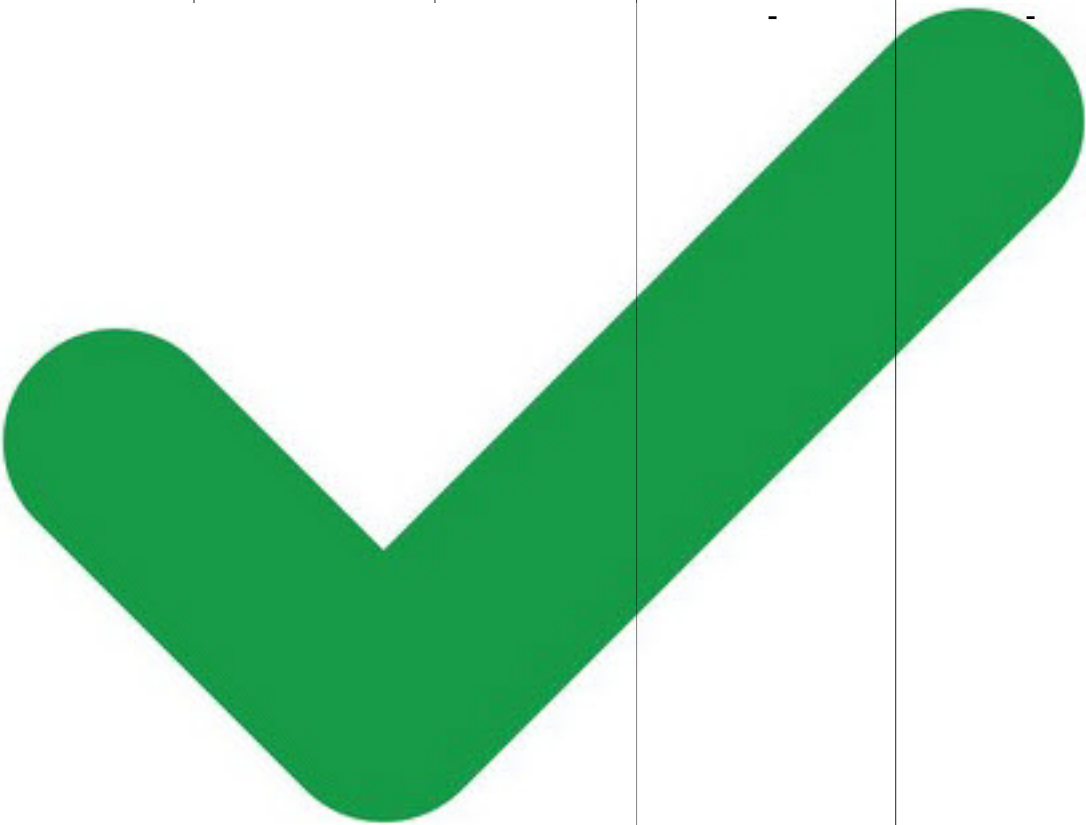
	DPL (Name and Address)	Keyword	Texts (DPL)
			-

	DPL (Name and Address)	Keyword	Texts (DPL)



	DPL (Name and Address)	Keyword	Texts (DPL)
			

	DPL (Name and Address)	Keyword	Texts (DPL)
			

	DPL (Name and Address)	Keyword	Texts (DPL)
			

To view the English translation that the system used during a check,



click the *Translation* button beside the name and address in the *Compliance Run* window.

Note This button only displays if a translation is available.

Translation Button in Compliance Results Window

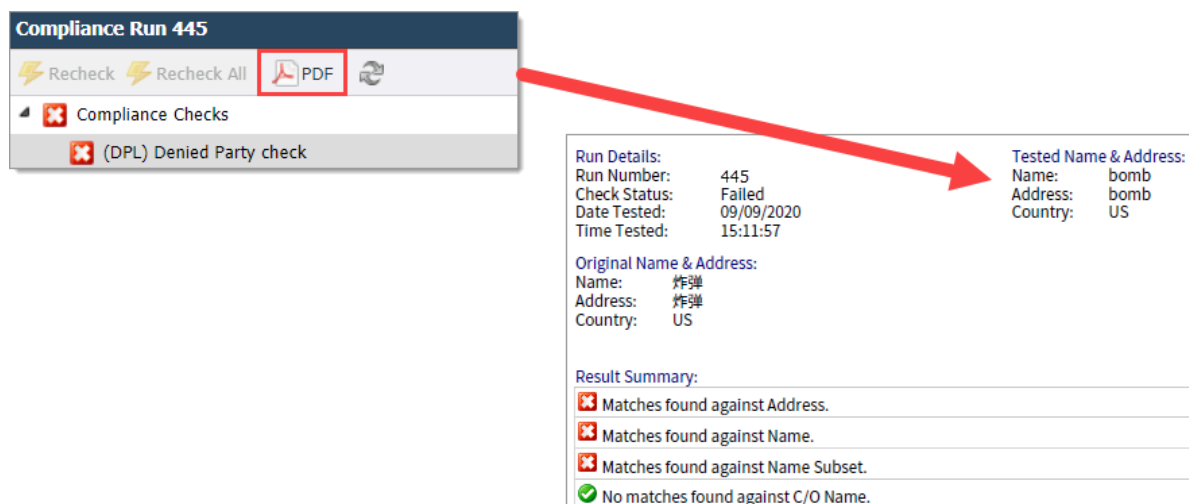
The screenshot shows a web interface for 'Compliance Run 445'. At the top, there are buttons for 'Recheck' and 'Recheck All', and a 'PDF' button. Below this is a section titled 'Compliance Checks' with a red 'X' icon. It lists '(DPL) Denied Party check' with a red 'X' and '(KEY) Keywords check' with a green checkmark. A red arrow points to a small icon in the top right corner of the form area, which is a square containing a stylized 'A' and a magnifying glass. Below the icon, there are input fields for 'Type:', 'Partner:', 'Name:', 'Address:', and 'Country:'. The 'Name' field contains the text '乌萨马·本·拉登' and the 'Address' field contains '美国某处'. The 'Country' field contains 'IE'. At the bottom right, it says 'translated by Google'.

The English translation then populates the *Name* and *Address* fields. This is the same value that is stored in the database for this party.

Note The Google Translate algorithm is updated regularly and some translations may be revised as a result. When you run a check, QAD GTTE checks for changes in names and addresses since the last check. If a change is detected, the compliance engine generates a new translation and checks this value against the DPL and keyword list.

This functionality is also reflected in the PDF output of the results, which displays both the translated value that the engine tested, and the source value before translation.

Translation Displayed in Results PDF



Compliance Run 445

⚡ Recheck ⚡ Recheck All PDF 🔄

❌ Compliance Checks

❌ (DPL) Denied Party check

Run Details:
 Run Number: 445
 Check Status: Failed
 Date Tested: 09/09/2020
 Time Tested: 15:11:57

Tested Name & Address:
 Name: bomb
 Address: bomb
 Country: US

Original Name & Address:
 Name: 炸弹
 Address: 炸弹
 Country: US

Result Summary:

- ❌ Matches found against Address.
- ❌ Matches found against Name.
- ❌ Matches found against Name Subset.
- ✅ No matches found against C/O Name.

Approved List

If a party fails the Denied Party List check and it is determined that it is safe to ship to that party, you can add the party to an approved list of parties. This means that the partner will not fail against the same denied party entries again. However, if new entries are added to the denied party list through content updates, the party may fail against these new entries.

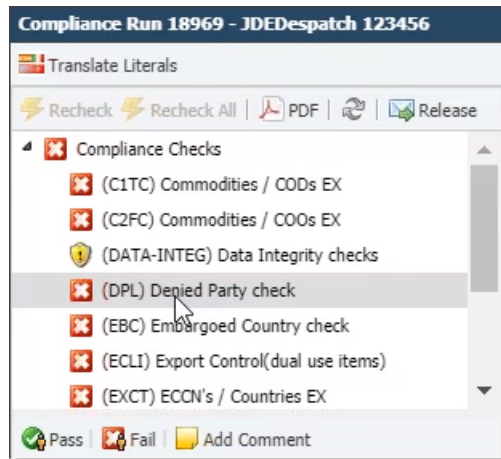
Approving a Partner

If a partner that already exists in the database has failed a DPL check, you can add them to your list of approved partners so that the party is not flagged as a failure in the future.

Select the failed compliance run from the Results panel on the Compliance History Search (CKHIST) page.

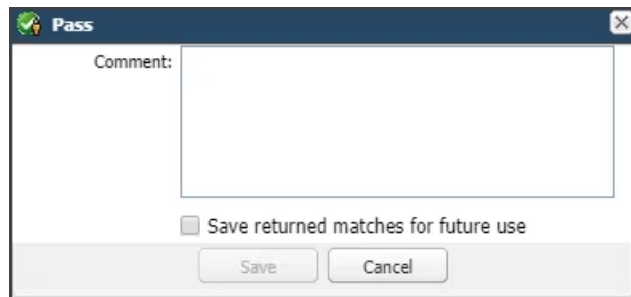
Select the DPL result of the check in the *Compliance Checks* panel on the top left.

Compliance Run Window, Compliance Checks Pane



Select the failed party from the list to the right of the *Compliance Checks* panel and click the *Pass* button. Enter a comment in the mandatory *Comment* field, and select the *Save returned matches for future use* field. Then click the *Save* button.

Save Returned Matches for Future Use Check Box

**Approving a Non-Partner**

If a partner does not exist in the database, it is possible to create this partner so that it can be approved for future checks.

To do this directly in the *Compliance Run* window, select the failed party from the list to the right of the *Compliance Checks* panel and click the *Pass* button. Enter a comment in the mandatory *Comment* field, and select the *Save returned matches for future use* field. Then click the *Save* button.

This generates a unique identifier for the party and stores it as an allowed partner record for future use. The partner's name and address are combined to create a unique CRC hashcode for the allowed party.

The words, characters, and prefix that are used to generate this hashcode are determined by the configuration set up by your administrator. For further information on configuring the hashcode, see [Translation on page 1109](#) in the Administration section.

View Whitelist Records

To view the list of approved partners, navigate to the *Compliance Checks* (CK) configuration page and select the *Whitelist* tab.

Compliance Checks Page, Whitelist Tab

Compliance Checks

Checks
Security
Notifications
Whitelist

Partners

Address Book
Partner
Partner Name

Address Book	Partner	Partner Name	Address Line 1	Address Line 2	Address Line 3	Address Line
01	1235	prad				
01	12366F56233C7A729DB	John Smith	Someewhere in Liverpool	Line 2		
01	3RYCPPXRHX	IFO bfdbgbdbfge	Someewhere in USA	Line 2		
01	AITOR	John Smith	Someewhere in Spain	Line 2		
01	DOIFJPR8OW	EaE bfddadffjaaa	Someewhere in USA	Line 2		
01	G6SHWYDB6YO	SLC bldfghhjcfe	Someewhere in USA	Line 2		
01	GDBS4LSP1R	FCB bldfghhiga	Someewhere in USA	Line 2		
01	GT37LCTMT2	KAD bldgbajagaf	Someewhere in USA	Line 2		
01	HHCTWAGE1U	QOp bfddadeafehf	Someewhere in USA	Line 2		
01	JOBYO1QYIR	QOT bldfghdghhj	Someewhere in USA	Line 2		
01	NVWXDGHW7S	WIH bldfjdabdgj	Someewhere in USA	Line 2		

Page 1 of 1

Whitelist

DPL List
Name
Address

DPL List	Denied Party Name	Denied Party Address	Whitelisted By	Whitelisted On
GSA	KEVIN LOY SMITH	UT 84405	P3K	11-07-2018 17:23:43
BIS	PRIDMORE-SMITH, JOHN B.	MALABAR FIELDS, DAVENTRY	P3K	11-07-2018 17:23:43

This page consists of two panels:

- Partners
- Whitelist

Partners

This panel contains all partners that have a whitelist record that match the transaction client of the whitelist table.

You can apply filters to the list of partners based on certain criteria, as displayed in the image below.

Whitelisted Partners Filters

Compliance Checks

Checks Security Notifications **Whitelist**

Partners

Address Book Partner Partner Name

Address Book	Partner	Partner Name	Address Line 1
01	16230	Cloud	
01	70006886	AFG	
01	AES-CAR	AES	Main st
01	AES-FRW	AES	Main st
01	QNIPPON	Nipp	
01	TOWER-CUST-DP	Fondation Secours Mondial	

Dropdown menu for Partner Name:

- Partner Name
- Address Line 1
- Address Line 2
- Address Line 3
- Address Line 4
- City
- Country

To clear the filters and display the full list of whitelisted partners, click the *Clear Search Results* icon to the right of the criteria fields.

You can use the buttons at the bottom of the panel to navigate the list pages.

Select a partner from the list in the *Partners* panel to view its whitelist records. The details of these records are displayed in the *Whitelist* panel.

Whitelist

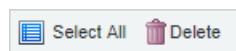
This panel contains all whitelist records for the selected partner in the *Partners* panel.

The columns in this panel display matching denied party data. You can sort these columns, and drag and drop them to change their location.

You can also filter the list to display items based on DPL List, Name, or Address. Select the criteria you want to search for, and press Enter or click the lookup button.

If the administrator has given you the requisite permission, you can delete one, many, or all whitelist records in this panel.

Delete Button in Whitelist Panel



Whitelist records are deleted in a transaction. However, if a record cannot be deleted, then the transaction is restored and the user is informed of the issue. The list automatically refreshes when records are successfully removed.

Denied Party List – Text Boxes Check

The Denied Party List – Text Boxes (DPL–TEXTS) check compares the lines in shipment text boxes to the same list of denied and restricted parties used in the Denied Party List check.

This check assumes that the first line in the text box is the name, and that subsequent lines are the address lines. It compares the first line of text in a text box to names in the denied and restricted parties list. The check also compares subsequent lines of text in a text box to address lines in the denied and restricted parties list.

Denied Party List – Text Boxes Check

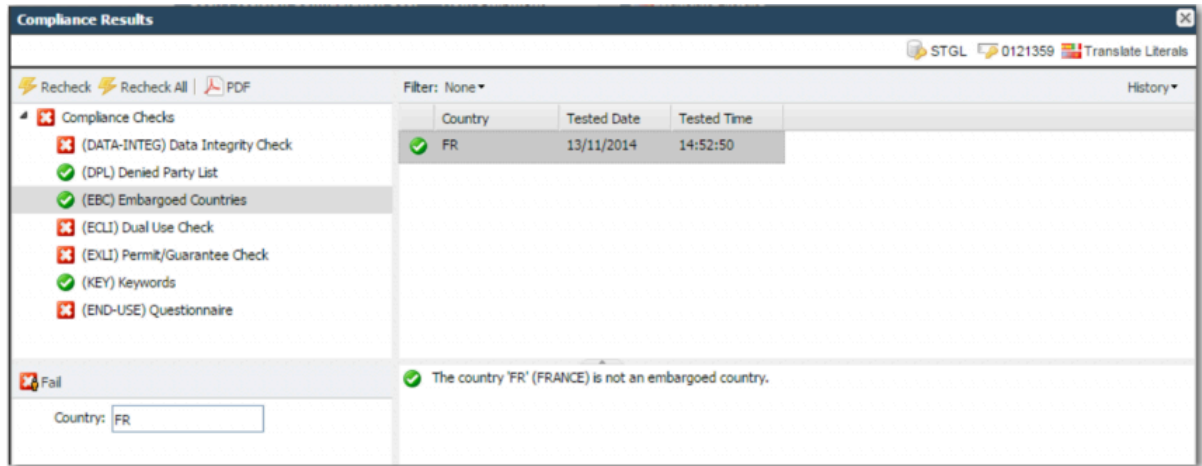
The screenshot displays the 'Compliance Run 21509 - A9901 0028838 0 STGL' window. The left sidebar lists various compliance checks, with '(DPL-TEXTS) Denied Party List - Text Boxes' selected and marked with a green checkmark. Below the sidebar, the 'Text Id' is set to '002', and the 'Name' field contains the text 'This is being shipped from >client'. The 'Address' field is empty. A legend at the bottom left defines the status icons: Passed (green check), Passed Manually (green check with hand), Passed with Warnings (yellow warning), Failed (red X), Failed Manually (red X with hand), Under Review (red flag), and Disabled (greyed out). The main results area shows a table with one entry: '1' with a green checkmark and the message 'No matches found against Name.' The table has columns for Name, Tested Date, Tested Time, Overridden By, Overridden Date, and Overridden Time. The top of the results area shows a summary row: 'This is being ship...' with a tested date of '14/11/2018' and a tested time of '02:14:04 GMT'.

Text boxes are maintained in option ZBTX, and you can add text to a shipment text box using the Texts workflow task.

Embargoed Countries Check

The Embargoed Countries check compares the countries on a transaction against the list of embargoed or sanctioned countries in the system. The list of countries can be a combination of lists that QAD GTTE has sourced and provided as content, and entries that your company maintains. When a country on the transaction is found on this list, the check fails.

Embargoed Countries Check



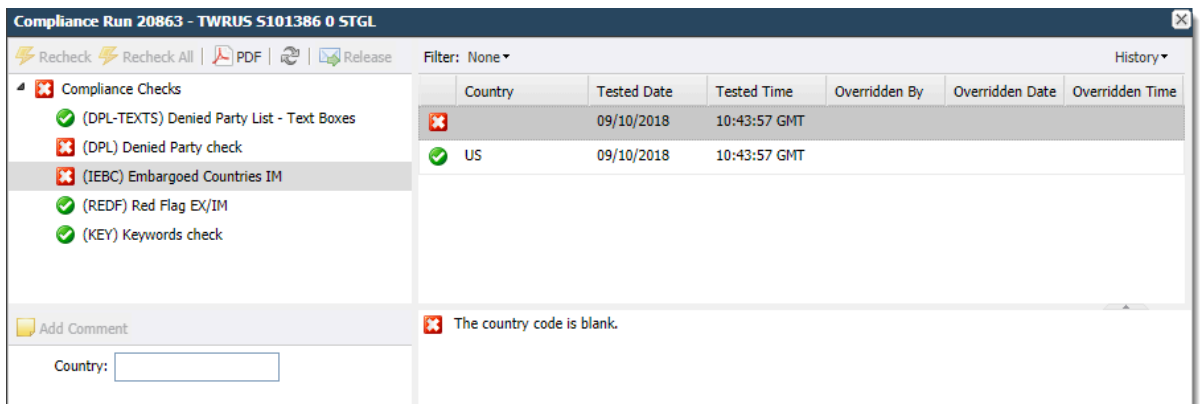
Import Embargoed Countries Check

The Import Embargoed Countries check compares the countries on an import transaction against the IEBC list in the system. When a country on the transaction is found on this list, the check fails. The following countries are checked:

- The country of origin on the transaction.
- The country associated with the shipment consignor.
- The country associated with the shipment consignor override address, if applicable.

If any of the countries listed above are blank or invalid, an error message is returned and the check fails.

Import Embargoed Countries Check



Dual Use Check

The Dual Use (ECLI) check determines whether an item can be shipped to or requires an export license to be shipped to a specific country. The determination is based on the classification of a product; the Export

Control Classification Number (ECCN) in the US or dual-use code in the EU. This supports the Export Administration Regulations (EAR) in the US and the dual use regulation 428/2009 in the European Union.

The Dual Use check ensures that valid ECCN or dual-use codes are present when required. When a product is associated with an ECCN or dual-use code and this code is required when shipping to a particular country, the check fails when a valid code is not present or when it is controlled for the country of destination on the transaction. In the example below, the check fails because an ECCN code is required for this item line but the code is not present.

Where there are multiple item lines on a transaction, click each line for more information. The lower right pane contains details of the results of the compliance check. The left pane contains item line details.

Note This check is based on the content provided by QAD GTTE. Currently, EU dual-use and US ECCN content are supported.

The screenshot shows the 'Compliance Checks' section with the following status:

- (DPL) Denied Party check: ✔
- (EBC) Embargoed Country check: ✔
- (ECL) Export Control(dual use items): ✖
- (EXL) Permits & Licenses check: ✔

The main table displays the results of the (ECL) check:

Item Line	ECCN Group	ECCN Number	Country	Tested Date	Tested Time	Overridden By	Overridden Date	Overridden Time
10	EU		US	27/11/2024	12:00:37 GMT			
10	US		US	27/11/2024	12:00:37 GMT			
20	EU		US	27/11/2024	12:00:37 GMT			
20	US		US	27/11/2024	12:00:37 GMT			
30	EU		US	27/11/2024	12:00:37 GMT			
30	US		US	27/11/2024	12:00:37 GMT			

The left pane shows details for Line Number: 10:

- ECCN: EU /
- Product Code: A6000007
- Commodity:
- Country of Destination: US
- Quantity: 40.000000 EA
- Price: 59.000000 USD
- Value: 2360.00 USD

The right pane shows the error message: "The ECCN Number is blank."

When the check fails and you have the necessary permissions, you can add a license to the transaction. To display the License window, click Add.

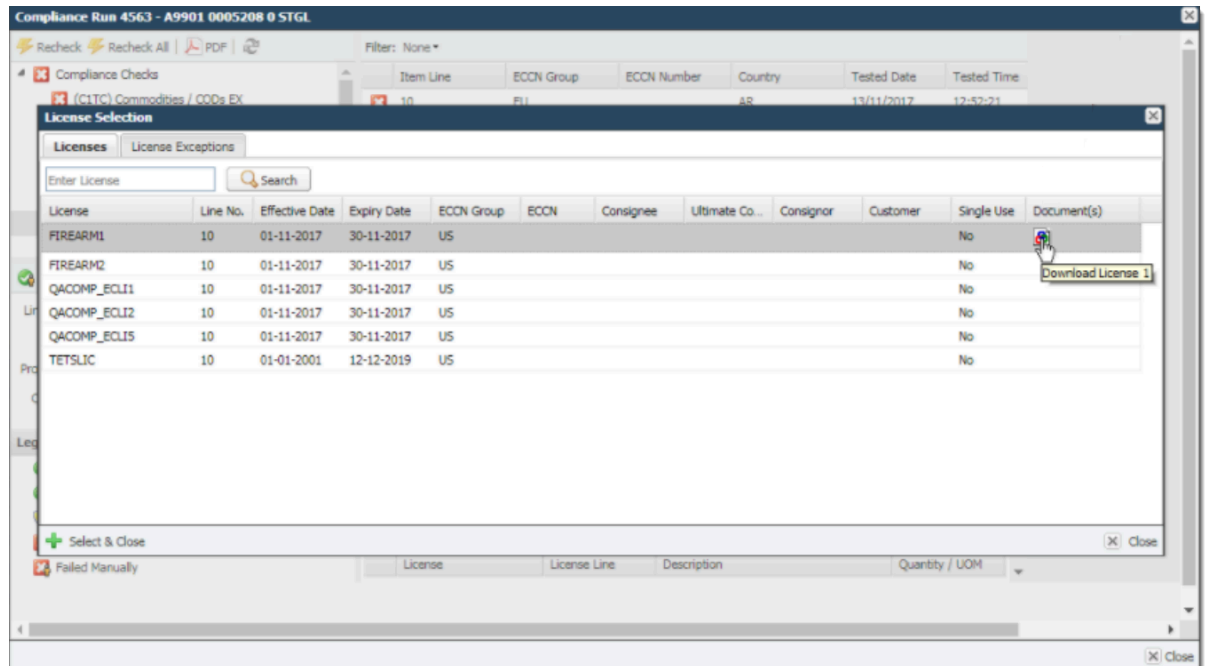
The 'License' window contains the following fields:

- License: LEIS4215
- License Line: 10
- Description:
- Item Quantity: 25

Buttons: Save, Cancel

License. Enter a license or select one using the lookup. You can only select from the licenses that are already set up in the system by the

administrator. This field is mandatory. The lookup displays a list of licenses, as displayed in the image below.



Note You can download a license document in the License Selection window to review it by clicking the PDF icon in the Document(s) column.

License Line. When you choose a valid license, the system chooses the first license line applicable to the transaction. This field is mandatory.

Description. The description defaults from the license description in option XL. You can override this description.

Item Quantity. Enter the quantity of the item that the license is required for. When the quantity on the item line exceeds the quantity left on the license, an error message is returned. For each line to pass compliance, the quantity on the transaction line must be covered by the assigned licenses. This field defaults to the quantity on the transaction line not already covered by a license. The system validates that the quantity and value available on the license line are not exceeded.

You can use the License Exceptions tab to check if license exceptions are available for your shipment. A license exception is an authorization to export, under stated conditions, items that would otherwise require a license. Examples of license exceptions include LVS (limited value shipments), which allow exports of twelve times the stated maximum value for a particular ECCN code to a specific consignee in any one year, and CIV (civil end users). Any license exceptions available for a license are loaded along with ECCN and dual use codes by the QAD GTTE Content Team

Note To ensure that you have access to the material provided by the Content Team, you must subscribe to the appropriate compliance check content.

Prerequisites for Successfully Attaching a License

- The transaction must occur within the date range covered by the master license in option XL.

Note If the despatch date of the shipment occurs between the effective date and the expiry date on the master license, then the check passes based on that license. The license can be used from the effective date up to and including the day before the expiry date on the license. If the despatch date falls on the same day as the expiry date, then you cannot use the license.

- You cannot use a license to ship an item line when the product value or amount on the license does not cover the amount or value on the item line.
- If you have a license set up for a particular commodity code or product, you cannot use it for any other commodity code or product.

If you have a license set up for a particular intermediate or ultimate consignee, you cannot assign the license to a different consignee.

Note For details on how to create licenses, see [Adding a Dual Use License on page 1027](#).

Permit/Guarantee Check

There can be a requirement when shipping certain goods to have a permit or guarantee in place to export or import. The check can specify that a permit or guarantee is required based on the following criteria:

- Product
- Commodity
- Country of Destination
- Country of Origin
- Customer
- Consignor

The check reviews each line on the transaction and when—based on the criteria—it determines that a permit or guarantee is required, compliance fails for that line. All lines must pass this check for the overall compliance status of this check to pass.

EXLI Check

Compliance Run 488988 - TC_PCR_273 r9a_fa_273 2018-06-21 STGL

Recheck Recheck All PDF

Filter: None History

Compliance Checks

- (DATA-INTEG) Data Integrity Check
- (DPL) Denied Party List
- (EBC) Embargoed Countries EX
- (ECLI) ECCN Export Licenses EX
- (EXLI) Export Licenses EX**

Item Line: 10
 Product: TC_PR_1
 Commodity Group:
 Commodity Code:
 Country of Origin: PK
 Quantity: 0
 Value: 0.00

Legend

- Passed
- Passed Manually
- Passed with Warnings
- Failed
- Failed Manually
- Under Review
- Disabled

Item Line	Product	Commodity Group	Commodity Code	Country of Origin	Tested Date	Tested Time
10	TC_PR_1			PK	06/25/2018	09:18:11 GM
10	TC_PR_1			PK	06/25/2018	09:18:11 GM
10	TC_PR_1			PK	06/25/2018	09:18:11 GM

Product TC_PR_1 (Product #1 description) requires a license to export to CA (CANADA).

Type	Product Code	License Required	License Code
Product	TC_PR_1	Yes	TC_RQ

Add Delete

Permit	Permit Line	Description	Quantity / UOM
--------	-------------	-------------	----------------

Close

If the check fails, you need to add a permit/guarantee to the item line. When you have the relevant permissions, you can add a permit to the transaction by clicking **Add**.

Add Permit Window

Permit

Permit:

License Line:

Description:

Item Quantity: 100

Save Cancel

Permit. Enter a permit or select one using the lookup. You can only select from the permits already set up in the system by the administrator. This field is mandatory. The lookup displays a list of licenses, as in the image below.

Compliance Results – Add License

One license found.

License	License Type	Line Number	Expiry Date
TC RQ	EX	10	2019-01-01

Close

License Line. When you choose a valid permit, the system chooses the first permit line applicable to the transaction. When the details on the license conflict with the current item line, you cannot complete a save operation. This field is mandatory.

Description. The description defaults from the description in option XG. You can override this description.

Item Quantity. Enter the quantity of the item that the permit is required for. When the quantity on the item line exceeds the quantity left on the permit, an error message is returned. For each line to pass compliance, the quantity on the transaction line must be covered by the assigned permits. This field defaults to the quantity on the transaction line not already covered by a permit. The system validates that the quantity and value available on the permit line are not exceeded.

When you have completed the fields, click **Save** and rerun compliance.

Prerequisites for Successfully Attaching a Permit

- The transaction must occur within the date range covered by the master permit in option XG.

Note If the despatch date of the shipment occurs between the effective date and the expiry date on the master permit, then the check passes based on that license. The license can be used from the effective date up to and including the day before the expiry date on the license—if the despatch date falls on the same day as the expiry date, then you cannot use the license.

- You cannot use a permit to ship an item line when the product value or amount on the permit does not cover the amount or value on the item line.
- If you have a permit set up for a particular commodity code or product, you cannot use it for any other commodity code or product.

If you have a permit set up for a particular intermediate or ultimate consignee, you cannot assign the permit to a different consignee.

Note For details on how to create permits, see [Adding a Permit/Guarantee on page 1034](#).

Keyword Check

The Keyword search checks names, addresses, products, and texts—or a subset of these elements—on the transaction for a set of keywords that are maintained in the system such as Nuclear, Military, or Bomb. One of these words may indicate an issue with the transaction. If any of the keywords are found, the Keyword check fails. For instructions on how to specify which elements of the transaction are searched for the keywords, see the [Administration on page 1038](#) section.

Keyword Check

The screenshot shows the 'Compliance Results' window. On the left, a list of compliance checks is shown with status icons: (DATA-INTEG) Data Integrity Check (fail), (DPL) Denied Party List (pass), (EBC) Embargoed Countries (pass), (ECLI) Dual Use Check (fail), (EXLI) Permit/Guarantee Check (fail), (KEY) Keywords (pass), and (END-USE) Questionnaire (fail). The 'Fail' section is expanded, showing details for the 'Type: BillTo' transaction. The partner information is: Partner: 0000000005, Name: ALOIS SCHMIDT & ASSOCIATES, Address: 245 RUE DE SLAVONIQUE, Poitiers. The 'Fail' message states: 'None of the keywords were found for the partner: ALOIS SCHMIDT & ASSOCIATES, 245 RUE DE SLAVONIQUE, Poitiers'. A table on the right shows the results of the keyword check for the partner.

Type	Partner	Tested Date	Tested Time
BillTo	0000000005	13/11/2014	14:52:50
Consignee	0000000005	13/11/2014	14:52:50
Consignor	A9901	13/11/2014	14:52:50

Data Integrity Check

The Data Integrity check validates the data on the transaction. For example, are the ISO country codes, commodity codes and commodity groups valid?

The image below displays the following data integrity checks:

- Partner ISO code. This check is run at header level.
- Export commodity code. This check is run at item line level.
- Import commodity code. This check is run at item line level.
- Valid US ECCN Code. This check is run at item line level
- Valid Export ECCN Code. This check is run at item line level.
- Valid Commodity Groups: This check is run at item level.
- Valid Commodity Codes: This check is run at item level

The data integrity check passes only when all individual integrity checks pass. If any one data integrity check fails, then the Data Integrity check fails

When you click one of these checks, the details associated with it display in the pane below it. For example, in the image below, the pane displays the details of each ISO code partner check. However, the other checks have failed and so the whole check fails

Data Integrity Check

Check	Tested Date	Tested Time
✓ PARTNER_VALID_ISO	13/11/2014	14:27:36
✗ PRODUCT_VALID_CMOD1	13/11/2014	14:27:36
✗ PRODUCT_VALID_CMOD_GROUP1	13/11/2014	14:27:36
✗ PRODUCT_VALID_CMOD_GROUP2	13/11/2014	14:27:36
✗ PRODUCT_VALID_COO	13/11/2014	14:27:36
✗ PRODUCT_VALID_ECON_EXP	13/11/2014	14:27:36

✗ Fail

- ✓ Consignor 'Precision USA, Sales' has a valid ISO country code (US) associated with it.
- ✓ BillTo 'ALOIS SCHMIDT & ASSOCIATES' has a valid ISO country code (FR) associated with it.
- ✓ Consignee 'ALOIS SCHMIDT & ASSOCIATES' has a valid ISO country code (FR) associated with it.

ITC Data Integrity Check

The Import Trade Compliance (ITC) Data Integrity check validates the data on imports transactions.

The following checks are included in the ITC Data Integrity check:

- **ITC_Bol_Number_Check:** This check runs at header level. This check verifies that, if the header contains both a bill of lading (BOL) number and an importing carrier, the first four characters of the BOL number match the standard carrier alpha codes (SCACs) for the importing carrier. If no SCAC is found, the check passes with a warning. If no BOL number is provided, the check does not run.
- **ITC_Valid_Product_COO:** This check runs at item line level. This check verifies that the country of origin (COO) code matches either the product supplier COO or the product commodity COO.
 - Optional parameter: **EMPTY_COO_VALID.** If this parameter is set and the COO is empty at line level, the check passes. If this parameter is not set and the COO is empty at line level, the check fails.
- **Partner_Valid_ITC_SFC:** This check runs at header level. This check verifies that the ship from partner country (SFC) code matches the exporting country.
- **Product_Valid_Code_ITC:** This check runs at line level. This check verifies that the product exists and is not on hold.

- **Product_Valid_ITC_Classification:** This check runs at line level. This check verifies that the Classification Status of a product is equal to CLASSIFIED.
 - Optional parameter: CLASSIFIED.
- **Product_Valid_ITC_HTS:** This check runs at item level. This check verifies that the commodity codes for each item are valid.
 - Optional parameter: CHECK_PRODUCT_CLASSIFICATION. Set CHECK_PRODUCT_CLASSIFICATION as the parameter to also check that the commodity code matches the product classification commodity code.

CHECK_PRODUCT_CLASSIFICATION Parameter

Compliance Checks

Checks Security Notifications Whitelist

ITC* Search Configure Engine Questionnaires

Check	Description	In Use	Non ECO Check
ITC-INTEG	ITC Data Integrity checks	Yes	No

Check: ITC-INTEG
Description: ITC Data Integrity checks

In Use: ☒
Non ECO Check: ☐
Update

Add Delete

Details

Element Search

Method	Element	Remarks	Warning ...	Program
PROGRAM	ITC_VALID_PRODUCT_COO		No	
PROGRAM	PARTNER_VALID_ISO		No	
PROGRAM	PARTNER_VALID_ITC_SFC		No	
PROGRAM	PRODUCT_VALID_CODE_ITC		No	
PROGRAM	PRODUCT_VALID_COO		No	
PROGRAM	PRODUCT_VALID_ECCN_EXP		Yes	*STANDARD
PROGRAM	PRODUCT_VALID_ITC_CLASSIFICATION		No	
PROGRAM	PRODUCT_VALID_ITC_HTS		No	
PROGRAM	PRODUCT_VALID_PRICE_ITC		No	
PROGRAM	SUPPLIER_ACTIVE_ITC		No	

Add Copy Delete

Method: PROGRAM
Element: Product_Valid_ITC_HTS
Program:
Base program: ☐
Optional params: CHECK_PRODUCT_CLASSIFICATI
Remarks:
Warning Only: ☐
Update

- **PRODUCT_VALID_PRICE_ITC:** This check runs at item level. This check verifies that items have a valid price—no zero or one penny prices—for customs valuations.
- **SUPPLIER_ACTIVE_ITC:** This check runs at header level. This check verifies that the supplier is active.
- **ITC_ADMISSIBILITY_FLAG_CHECK:** This check verifies that decisions are made on all suggested PGA Flags and that all mandatory custom attribute data related to these decisions has been collected.
- **PARTNER_VALID_ITC_IOR:** This check verifies that an Importer of Record is present in the transaction.

- **PRODUCT_VALID_SUPPLIER_SKU:** This check runs at line level. This check verifies that the Supplier SKU, also known as the Supplier Part Number, is populated and not left blank on any item lines.
- **PRODUCT_VALID_MANUFACTURER_SKU:** This check runs at line level. This check verifies that the Manufacturer SKU, also known as the Manufacturer Part Number, is populated and not left blank on any item lines.

The data integrity check passes only when all individual integrity checks pass or pass with warnings. If any data integrity check fails, then the ITC Data Integrity check fails.

Product to Country of Destination Check

The Product to Country of Destination (PRCT) check screens shipments for product and country of destination combinations. If any of these combinations are found, the check fails.

Product to Country of Destination Check

The screenshot displays the 'Compliance Run 5286 - 500 0026399 0 STGL' window. On the left, a list of checks includes (EXLI) Permits & Licenses check, (KEY) Keywords check, (PRCT) Product / Countries EX (highlighted), (PRNR) Product / Partners EX, (C1TP) Commodities / Partners EX, (RPRC) Permitted prod/Countries EX, (PK_TEST_17), and (PMU-T1) My transaction questionnaire 1. Below this list are input fields for 'Product Code' (60COMP-PR2) and 'Country of Destination' (AF). A legend at the bottom left defines status icons: Passed (green check), Passed Manually (green check with 'M'), Passed with Warnings (yellow warning), Failed (red X), Failed Manually (red X with 'M'), Under Review (red 'U'), and Disabled (grey circle). The main area shows a table with one row: Item Line 10, Product Code 60COMP-PR2, Country of destination AF, Tested Date 15/02/2018, Tested Time 16:57:41 GMT, and Overridden By RQF. Below the table, a comment from user 'vsvfvg' at 16:59:08 on 15/02/2018 states: 'The product '60COMP-PR2' can be shipped to the country 'AF'.' A green checkmark icon precedes this message. The window has a 'Close' button at the bottom right.

Item Line	Product Code	Country of destination	Tested Date	Tested Time	Overridden By
10	60COMP-PR2	AF	15/02/2018	16:57:41 GMT	RQF

Comment	User	Date	Time
vsvfvg	RQF	15/02/2018	16:59:08

✓ The product '60COMP-PR2' can be shipped to the country 'AF'.

The check screens shipment item lines and the shipment consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee to identify any unacceptable combinations.

Product to Partner Check

This check fails when it identifies particular products being shipped to specified partners. It checks the consignee, customer, and consignor listed on a shipment. Your administrator can configure the check to screen additional partners on the shipment.

Product to Partner Check

Compliance Run 5285 - 500 0026399 0 STGL

Recheck Recheck All PDF Release Filter: None History

☒ (EXLI) Permits & Licenses check
☒ (KEY) Keywords check
☒ (PRCT) Product / Countries EX
☒ (PRNR) Product / Partners EX,IM
☒ (C1TP) Commodities / Partners EX
☒ (RPRC) Permitted prod/Countries EX
☒ (PK_TEST_17)
☒ (PMU-T1) My transaction questionnaire 1

Add Comment

Product Code: 60COMP-PR2

Partner Code: 501

Item Line	Product Code	Partner role	Partner	Tested Date	Tested Time
10	60COMP-PR2	BillTo	501	15/02/2018	16:12:54 GMT
10	60COMP-PR2	Consignee	501	15/02/2018	16:12:54 GMT
10	60COMP-PR2	Consignor	500	15/02/2018	16:12:54 GMT

Comment	User	Date	Time
iuykuliu	RQF	15/02/2018	16:14:40

☒ The product '60COMP-PR2' can be shipped to the partner '501'

Legend

- ☒ Passed
- ☒ Passed Manually
- ☒ Passed with Warnings
- ☒ Failed
- ☒ Failed Manually
- ☒ Under Review
- ☒ Disabled

Close

Commodity to Country of Destination Check

This check fails when it identifies particular commodities being shipped to specified countries. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee.

Commodity to Country of Destination Check

Compliance Run 22790 - A9901 0029420 0 STGL

Recheck Recheck All PDF Release Filter: None History

Commodity Group	Commodity Code	Country	Tested Date	Tested Time	Overridden By	Ove
HTS		UA	26/02/2019	02:26:18 GMT		

☒ Compliance Checks
☒ (C1TC) Commodities / CODs EX
☒ (DPL) Denied Party check
☒ (EBC) Embargoed Country check
☒ (ECLI) Export Control(dual use items)
☒ (REDF) Red Flag EX/IM
☒ (KEY) Keywords check
☒ (C1TP) Commodities / Partners EX

Add Comment

Commodity Group: HTS

Commodity Code:

Country: UA

Legend

- ☒ Passed
- ☒ Passed Manually
- ☒ Passed with Warnings
- ☒ Failed
- ☒ Failed Manually
- ☒ Under Review
- ☒ Disabled

The commodity ('HTS', ' ') is an invalid commodity classification.

Close

The check screens shipment item lines and the shipment consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee to identify any unacceptable combinations.

Commodity to Partner Check

This check fails when it identifies certain commodities being shipped to specified partners. It checks the consignee, customer, and consignor listed on a shipment. You can configure the check to screen additional partners on the shipment using the ZS sub-option, Compliance – Partner Types.

Commodity to Partner Check

Compliance Run 22787 - A9901 0029419 0 STGL

Recheck Recheck All PDF Release Filter: None History

Compliance Checks

- (C1TC) Commodities / CODs EX
- (DPL) Denied Party check
- (EBC) Embargoed Country check
- (ECLI) Export Control(dual use items)
- (REDF) Red Flag EX/IM
- (KEY) Keywords check
- (C1TP) Commodities / Partners EX

Add Comment

Commodity Group: HTS

Commodity Code:

Party Type: BillTo

Legend

- Passed
- Passed Manually
- Passed with Warnings
- Failed
- Failed Manually
- Under Review
- Disabled

Commodity Group	Commodity Code	Partner role	Partner	Tested Date	Tested Time	Over
HTS		BillTo	60COMP-DPL3	26/02/2019	02:18:13 GMT	
HTS		Consignee	60COMP-DPL3	26/02/2019	02:18:13 GMT	
HTS		Consignor	A9901	26/02/2019	02:18:13 GMT	
HTS		UltimateConsignee	60COMP-DPL3	26/02/2019	02:18:13 GMT	

A commodity code for required group 'HTS' could not be found in the request.

Close

ECCN Code to Country Check

This check fails when it identifies items with particular ECCN codes being shipped to specified countries. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee.

ECCN Code to Country Check

Compliance Run 22730 - JDEDespatch 123456

Recheck Recheck All PDF Release Filter: None History

Compliance Checks

- (C1TC) Commodities / CODs EX
- (C2FC) Commodities / COOs EX
- (DATA-INTEG) Data Integrity checks
- (DPL) Denied Party check
- (EBC) Embargoed Country check
- (ECLI) Export Control(dual use items)
- (EXCT) ECCN's / Countries EX
- (EXLI) Permits & Licenses check
- (REDF) Red Flag EX/IM

Add Comment

ECCN Group: EU
ECCN Number: 0A001
Country: CN

Legend

- Passed
- Passed Manually
- Passed with Warnings
- Failed
- Failed Manually
- Under Review
- Disabled

ECCN Group	ECCN Number	Country	Tested Date	Tested Time	Overridden By	Overridden Time
EU	0A001	CN	23/02/2019	02:07:25 GMT		
EU	0A001	IE	23/02/2019	02:07:25 GMT		
EU	0A001	US	23/02/2019	02:07:25 GMT		
EU	1C111.a.1	CN	23/02/2019	02:07:26 GMT		
EU	1C111.a.1	IE	23/02/2019	02:07:26 GMT		
EU	1C111.a.1	US	23/02/2019	02:07:26 GMT		
US	0A001	CN	23/02/2019	02:07:25 GMT		

The ECCN classification ('EU', '0A001') can be shipped to the country 'CN' (CHINA).

Close

Permitted Products to Country Check

This check fails when it identifies shipments of products to countries that do not appear in a list of permitted countries for that product. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee.

The image below shows a Fail status for shipments of a particular product to Ireland.

Permitted Products to Country Check with Fail Status

Compliance Run 5390 - 500 0026443 0 STGL

Recheck Recheck All PDF Release Filter: None History

Item Line	Product	Country of Destin...	Tested Date	Tested Time	Overridden By	Overri...
10	60COMP-PR2	AF	21/02/2018	17:14:02 GMT		

☒ (EBC) Embargoed Country check
☒ (ECLI) Export Control(dual use items)
☒ (EXLI) Permits & Licenses check
☒ (KEY) Keywords check
☒ (PRCT) Product / Countries EX
☒ (PRNR) Product / Partners EX,IM
☒ (C1TP) Commodities / Partners EX
☒ (RPRC) Permitted prod/Countries EX
☒ (PMU-T1) My transaction questionnaire 1

Add Comment

Product: 60COMP-PR2

Country of: AF

Legend

- ☒ Passed
- ☒ Passed Manually
- ☒ Passed with Warnings
- ☒ Failed
- ☒ Failed Manually
- ☒ Under Review
- ☒ Disabled

The product '60COMP-PR2' cannot be shipped to the country 'AF'.
This has caused this compliance check to fail.

Close

Questionnaires

The Questionnaire check consists of a number of questions related to a transaction. These questions serve as a checklist that must be completed before the transaction passes that particular questionnaire check.

Questionnaire Check in Compliance Results Task

The screenshot displays a software interface for managing compliance runs. The title bar reads "Compliance Run 4312 - A9901 0006095 0 STGL". Below the title bar, there are tabs for "Recheck", "Recheck All", "PDF", and "Release". A "Filter: None" dropdown is visible. On the left, a list of questionnaires is shown, each preceded by a red X icon, indicating they have failed or are not yet answered. The questionnaires are: (KPKC) Permitted prod/Countries Ex, (AMCG) End-Use Questions, (PARQ), (PK_TEST_17), (PMU-T1) My transaction questionnaire 1, (PMU-T2) My transaction questionnaire 2, (PMU-XYZ) Product questions, (PRODQ), and (TRANQ). Below this list is a "Legend" section with icons and labels: Passed (green check), Passed Manually (green check with 'M'), Passed with Warnings (yellow warning triangle), Failed (red X), Failed Manually (red X with 'M'), Under Review (red 'U' in a box), and Disabled (greyed out). On the right, a table shows the "Tested Date" and "Tested Time" for the selected questionnaire. The table has columns: "Tested Date", "Tested Time", "Overridden By", "Overridden Date", and "Overridden Time". The first row shows "08/01/2018" and "15:04:16 GMT". Below the table, three questions are listed, each preceded by a red X icon, indicating they have not been answered yet. Question 1: "1 - The question hasn't been answered yet. Question: Is this question incorrectly answered by Qconfig? Answer: [text box]". Question 2: "2 - The question hasn't been answered yet. Question: Decimal enter 0.4 Answer: [text box]". Question 3: "3 - The question hasn't been answered yet. Question: date Answer: [text box]". At the bottom right, there is a "Save" button and a "Close" button.

If a question in a questionnaire is answered incorrectly or unanswered, then that questionnaire check fails. The compliance status of each individual question is indicated by a green check mark or red X. When all questions are completed correctly, the questionnaire check status changes to passed. Only users with the appropriate permissions have access to the questionnaire.

Depending on security settings, you may have the option to answer the question. When you save your answer, the related questionnaire compliance check runs automatically. The system validates the answers provided against those set up for the question. If the answer is correct, then the compliance check passes.

Multiple questionnaire checks can apply to one transaction, and each of these questionnaires can contain different questions.

Example Two questionnaires apply to a shipment of product X to customer Y in country Z. Questionnaire A contains questions about the completion of customs documentation. Questionnaire B contains questions about the results of a customer credit check.

For more details on questionnaires, refer to the [Administration on page 1038](#) section.

Question and Questionnaire Levels

There are two main types of questions:

- **Transaction questions**

These questions relate to transactions, and the answers apply to an individual transaction.

Example Is the value of this shipment less than 5000 euro?

Users answer these questions in the Compliance Results workflow task for the transaction.

Transaction Level Question

The screenshot displays the 'Compliance Run 7955 - A9901 0005736 0 STGL' window. The interface includes a 'Jump to...' search bar, a toolbar with 'Recheck', 'Recheck All', 'PDF', and 'Print' icons, and a 'Filter: None' dropdown. A 'History' tab is visible in the top right corner.

The main area is divided into two panes. The left pane, titled 'Compliance Checks', lists various checks with status icons (red X for failed, green checkmark for passed):

- (C1TC) Commodities / CODs EX
- (C2FC) Commodities / COOs EX
- (DATA-INTEG) Data Integrity checks
- (DPL) DPL CHECK
- (EBC) Embargoed Country check
- (ECLI) Export Control(dual use items)
- (EXCT) ECCN's / Countries EX
- (EXLI) Permits & Licenses check
- (REDF) Red Flag EX/IM
- (KEY) Keywords check
- (PRCT) Product / Countries EX
- (PRNR) Product / Partners EX,IM
- (C1TP) Commodities / Partners EX
- (RPRC) Permitted prod/Countries EX
- (PARQ)
- (PRODQ)
- (PRQ)
- (TPRQ)

The right pane shows a table with the following columns: Tested Date, Tested Time, Overridden By, Overridden Date, and Overridden Time. The table contains one entry:

Tested Date	Tested Time	Overridden By	Overridden Date	Overridden Time
06/03/2019	12:59:44 GMT			

Below the table, a legend defines the status icons:

- Passed (green checkmark)
- Passed Manually (green checkmark with hand icon)
- Passed with Warnings (yellow warning icon)
- Failed (red X)
- Failed Manually (red X with hand icon)
- Under Review (red X with magnifying glass icon)
- Disabled (grey circle)

The bottom right section of the window displays a questionnaire for a transaction:

1 - The question hasn't been answered yet
 Question: What is the value of the goods on the transaction?
 Answer:
 Save

The bottom status bar shows 'Complete' and a 'Close' button.

- **Master questions**

These questions relate to transaction elements:

- Partner
- Product
- Commodity

The answers to these questions apply to every instance of the transaction element, and so you can answer them at a master level, rather than answering them for each individual shipment that contains that transaction element.

Example Does product A1000000 have an ECCN code assigned to it in QAD GTTE?

Example Does product A6000005 contain hazardous material?

Example Has partner ABC passed the required credit check?

Master Level Question in Compliance Results Task

Compliance Run 7959 - A9901 0005736 0 STGL

Jump to...

STGL A9901 0005736 0

Recheck Recheck All PDF

Filter: None History

Product	Tested Date	Tested Time	Overridden By	Overridden Date
60COMP-PR2	06/03/2019	12:59:44 GMT		

Compliance Checks

- (C1TC) Commodities / CODs EX
- (C2FC) Commodities / COOs EX
- (DATA-INTEG) Data Integrity checks
- (DPL) DPL CHECK
- (EBC) Embargoed Country check
- (ECLI) Export Control(dual use items)
- (EXCT) ECCN's / Countries EX
- (EXLI) Permits & Licenses check
- (REDF) Red Flag EX/IM
- (KEY) Keywords check
- (PRCT) Product / Countries EX
- (PRNR) Product / Partners EX,IM
- (C1TP) Commodities / Partners EX
- (RPRC) Permitted prod/Countries EX
- (PARQ)
- (PRODQ)
- (PRQ)

Legend

- Passed
- Passed Manually
- Passed with Warnings
- Failed
- Failed Manually
- Under Review
- Disabled

1 - The question hasn't been answered yet

Question: Is the product hazardous?

Answer: ☐ Yes ☐ No

Complete Close

If you have the appropriate permissions, you can answer these questions by clicking the question mark icon in the *Compliance Run* window.

You can also answer these questions in the master table for the particular transaction element:

- Partner – Option NRAN
- Product – In option PR, choose the *Compliance – Questions – Product Level* sub-option, or access option PRAN directly.
- Commodity – In option CM, choose the *Answer* commodity questions sub-option, or access option CMAN directly.

Partner Questions Screen, Option NRAN

Partners

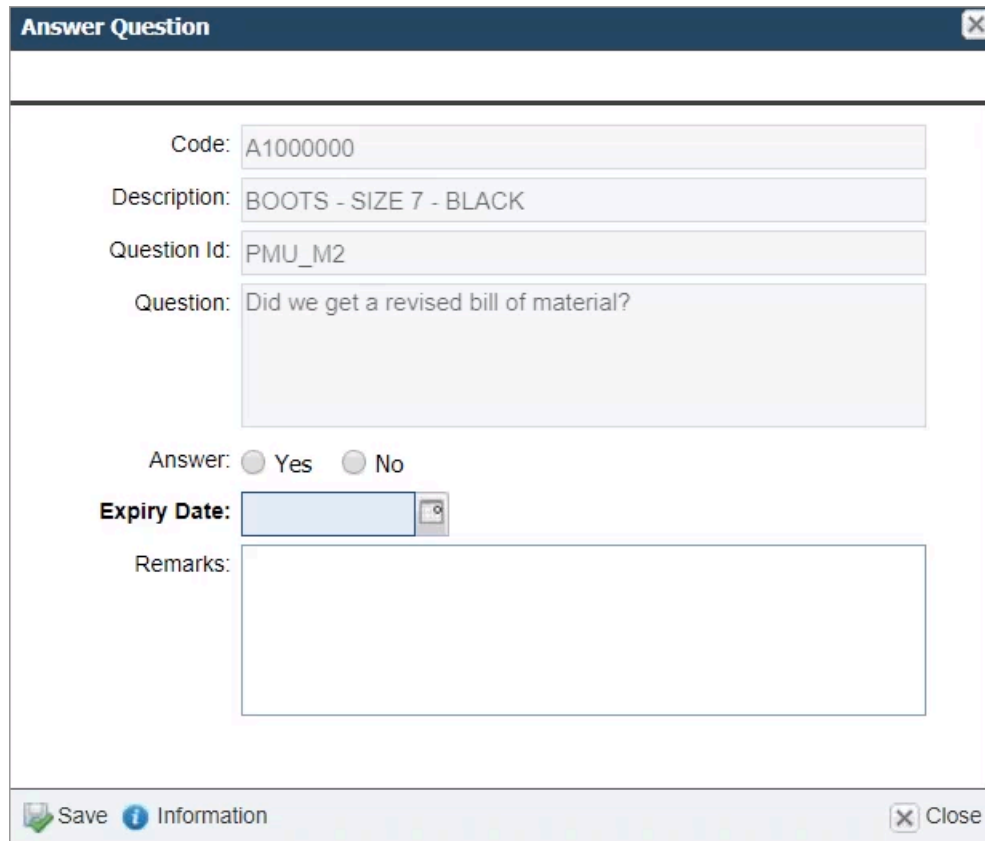
Address Book:
 Partner Code:

Compliance - Questions, Partner Level
 TGL 01 12386

Role	Question Id	Question	Answer	Type	Remarks	Expiry Date	User Id	Last M...
M_INT		how many people are entitled to collect packages?		INT				

Update
 Update Questions

Answering a Master Level Question



Answer Question

Code: A1000000

Description: BOOTS - SIZE 7 - BLACK

Question Id: PMU_M2

Question: Did we get a revised bill of material?

Answer: ☐ Yes ☐ No

Expiry Date: 

Remarks:

 Save  Information  Close

Question Formats

Questions can have different types of answers:

- Yes or No
- Drop-down list of possible answers
- Free text
- Numeric
- Date

Information Button

A blue information icon is displayed in various locations related to questionnaires:

- Compliance Results
- Answer Commodity Questions
- Answer Product Questions
- Answer Partner Questions

To view details that are unique to a particular question, click the information icon. A pop-up displays information that is associated with the question.

Questionnaire Information Icons

1 - The question hasn't been answered yet
 Question: Is this question incorrectly answered by Qconfig?
 Answer:

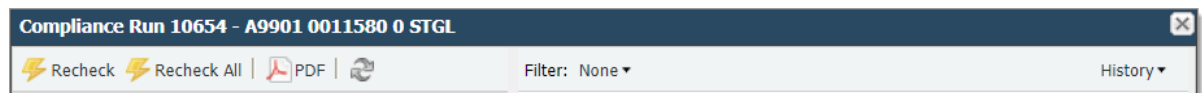
2 - The question hasn't been answered yet
 Question: Decimal enter 0.4
 Answer:

3 - The question hasn't been answered yet
 Question: date
 Answer:

Toolbar

The toolbar at the top of the *Compliance Run* window enables you to perform further functions on the transaction.

Compliance Results Toolbar



Recheck

You can perform compliance screening on an existing transaction at any time. To rerun compliance on the transaction, click *Recheck*. Each time you perform a recheck, a run number is generated for auditing purposes. This recheck retains any manual overrides you have made. You can only use this button on the most recent transaction run number.

Recheck All

Like Recheck, Recheck All runs compliance again on the transaction. However, this check ignores any previous manual overrides unless you selected the *Save returned matches for future use* field when you manually passed the DPL check. You can only use this option on the most recent transaction run number.

Note If you are working with transactions in the Workflow Portal, then the *Recheck* and *Recheck All* buttons are available. However, when you access the *Compliance Results* window from outside the Workflow Portal, these buttons are not available for non-transaction or ad hoc checks.

PDF

The PDF button enables you to produce a PDF document containing a summary of all information on the *Compliance Run* window.

Release

The system can be configured to send an electronic update to another system—such as an ERP system—when the status of an individual check changes. You can use the Release button to send the electronic update at any time. This button is only available when the system has been configured to send updates to other systems.

Filter

The *Filter* list enables you to display checks based on their status. You can display all checks, failed checks, or warning checks.

History

The History option provides access to all previous compliance runs for the current transaction. Open the *History* list and choose the run you want to view. This view is useful for audit purposes.

Note The results for previous runs are read only.

Manual Pass and Fail

The *Manual Pass* and *Fail* buttons allow a user—with relevant authority—to override the results of a compliance check. For example, you may want to manually pass a DPL failure after deciding that it is a false positive. Or you may decide that the keyword failure is not a concern. You may also want to manually fail a transaction. For example, you determine that a DPL failure is correct or a license was refused for an item to be shipped. You must override each individual failure within a check separately. For example, if you have five item lines and two items that fail, you need to pass both failures.

Manual Pass Symbol

Filter: None ▼

	Item Line	ECCN Group
✓	10	EU
✓	20	EU
✓🔑	30	EU
✓	30	US

Select the result of a check to override in the top right-hand pane. Depending on the function you require, click *Pass* or *Fail*. A pop-up with a mandatory comment field displays. Update the field with the reason for the override. When you click *Save*, this information is saved along with your user credentials and the date and time. The icon changes to indicate a manual pass or fail.

Manual Pass or Fail

⚡ Recheck ⚡ Recheck All 📄 PDF

✖ Compliance Checks

- ✖ (DATA-INTEG) Data Integrity Check
- ✓ (DPL) Denied Party List
- ✓ (EBC) Embargoed Countries
- ✖ (ECL) Dual Use Check
- ✖ (EXL) Permit/Guarantee Check
- ✓ (KEY) Keywords
- ✖ (END-USE) Questionnaire

☒ Pass
 ☐ Fail

Line Number: 10

ECCN: USML / I;X

Product Code: 1001

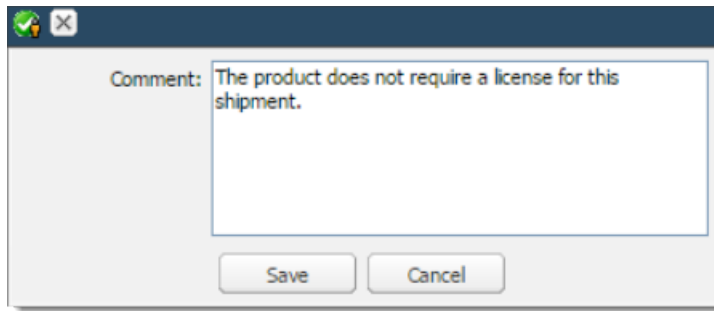
Commodity: SCHB / 0101100000

Country of Destination: FR

Quantity: 25 EA

Value: 2500.00 USD

Manual Pass Pop-up



When you manually pass a DPL check, a field labeled “*Save returned matches for future use*” in the pop-up enables you to specify that the matches returned are false positives and should be added to the list of approved partners in the *Whitelist* tab of option CK. The party is not flagged as a failure in the future. For more information, see the [Approved List on page 993](#) section.

If the party is later added to a Denied Party List, then the party is flagged as a failure during future screening.

Note You cannot manually override the results of a questionnaire.

Productivity Reports

The Productivity Reports provide a detailed breakdown of compliance analyst productivity. This tool offers compliance managers full visibility of users who review compliance results. The performance metrics enable your company to assess each user’s productivity by date, by batch, and by number of transactions they close.

Note Closed transactions are transactions that have a run status of Failed, and are then either updated to Failed Manually or Passed Manually by a user following a review.

You can access this feature using the CKRPT option. Alternatively, depending on how the administrator has configured your system, you may see a *Productivity Reporting* drop-down menu within the main Web UI menu. Mouseover *Productivity Reporting* and select *Productivity Reports*.

Productivity Reporting in Menu



Productivity Reports Page

 **Compliance Productivity Reports**

Report Type: CK4 - Denied Party Screening ▼

From Date: 17/04/2019

To Date: 17/04/2020

Email:

Report Format: ☒ Excel ☐ PDF Portrait ☐ PDF Landscape

Generate Report

Use the *Report Type* drop-down list to select the type of report.

Report Type

Report Type: CK3 - Batch Screening ▼

There are four types of productivity reports:

- Productivity (CK1)
- User Productivity (CK2)
- Batch Screening (CK3)
- Denied Party Screening (CK4)

Report Formats

The report results are available in Excel, PDF Portrait, and PDF Landscape format. To generate and download a report, select the desired format and click the *Generate Report* button.

Reports Formats

Report Format: ☒ Excel ☐ PDF Portrait ☐ PDF Landscape

Generate Report

Reports generated in Excel format contain two spreadsheets:

Information This is a cover sheet that summarises the contents of the data sheet. This includes the report run date, and report parameters such as date range and user ID.

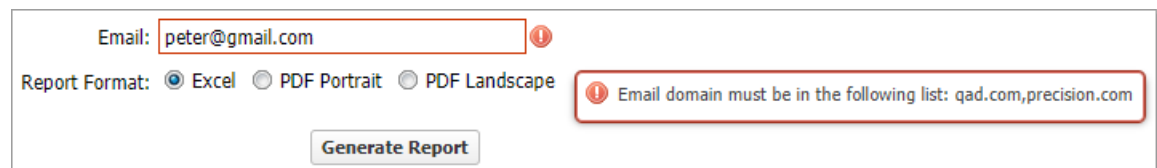
Data Depending on the report type, this sheet provides a detailed breakdown of productivity based on multiple users, a particular user, a date range, or a specific batch.

Reports generated in PDF format contain a cover sheet on the first page, followed by a table of performance metrics.

When you generate a report, you can also choose to send the report by email. Enter one email address in the *Email* field, select the desired report format, and click *Generate Report*.

Note The accepted domains for the *Email* field are defined by your administrator. If an email address does not match the accepted domain(s), the system displays a validation error.

E-mail Field Error



The screenshot shows a form with the following elements:

- Email:** A text field containing "peter@gmail.com" with a red border and a red exclamation mark icon to its right.
- Report Format:** Three radio buttons labeled "Excel" (selected), "PDF Portrait", and "PDF Landscape".
- Error Message:** A red-bordered box on the right contains the text: "Email domain must be in the following list: qad.com,precision.com".
- Generate Report:** A button at the bottom center.

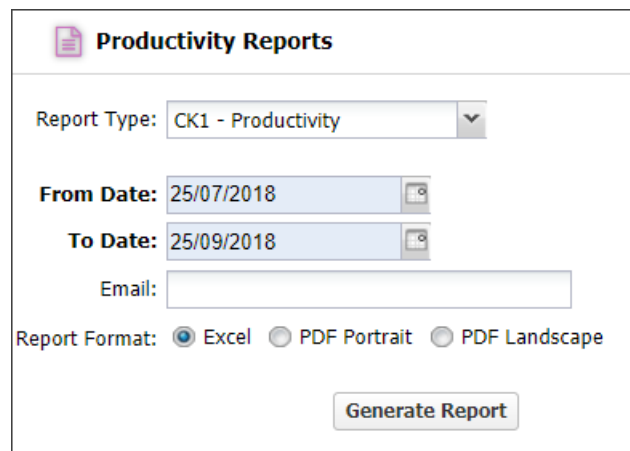
Note If you navigate away from the *Productivity Reports* page and return to it later, the most recently entered criteria are displayed by default.

Productivity Report (CK1)

The Productivity report provides a list of users and the number of transactions that they closed. This refers to results that required review and were either passed or failed by the analyst.

You can select a date range for this report using the *From Date* and *To Date* fields. By default, the *From Date* field is set to a year in the past, and the *To Date* field is the current date. The upper date range limit is one year. You receive a validation error if the *From Date* field is after the *To Date* field.

Productivity Reports Page, Productivity Report Selected



The screenshot shows the "Productivity Reports" page with the following elements:

- Report Type:** A dropdown menu showing "CK1 - Productivity".
- From Date:** A date field set to "25/07/2018" with a calendar icon.
- To Date:** A date field set to "25/09/2018" with a calendar icon.
- Email:** An empty text field.
- Report Format:** Three radio buttons labeled "Excel" (selected), "PDF Portrait", and "PDF Landscape".
- Generate Report:** A button at the bottom center.

The following table describes the column headers in the generated PDF and Excel files:

Productivity Report Columns

Column	Explanation
User ID	The user identification code.
User	The user description.
Failures Reviewed	The number of check failures that were reviewed by the user. To be included in this total, a failure must be updated to Failed Manually or Passed Manually by the user.
%	The percentage of the total failures reviewed.

User Productivity (CK2)

The User Productivity report provides a detailed breakdown of the daily number of requests that a specific user has manually passed or failed during a date range

The user ID entered must exist in the system. A validation error is returned if the user ID is not found.

Productivity Reports Page, User Productivity Report Selected


Productivity Reports

Report Type: CK2 - User Productivity ▼

From Date: 25/04/2017 

To Date: 25/04/2018 

User Id: 

Email:

Report Format: ☒ Excel ☐ PDF

The following table describes the column headers in the generated PDF and Excel files:

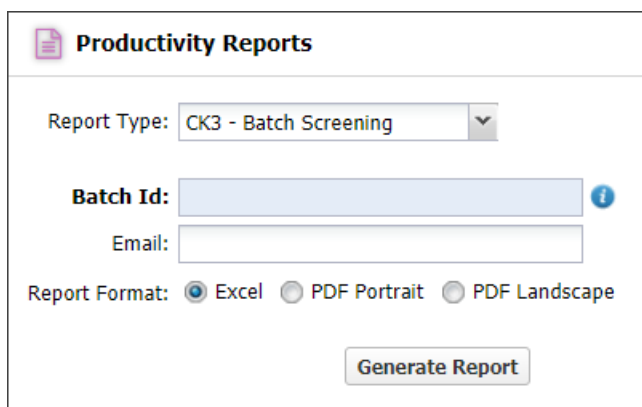
User Productivity Report Columns

Column	Explanation
Review Date	The date on which a failure was updated to either Failed Manually or Passed Manually. If no checks were reviewed on a particular date, then it is not included in the Review Date column.
Failures Reviewed	The number of check failures that were reviewed on the corresponding date. To be included in this total, a failure must be updated to Failed Manually or Passed Manually by the user.

Batch Screening (CK3)

The Batch Screening report provides a summary of screenings in a data scrub batch that require review, and their progress. In addition, the report allows you to view the users that have performed reviews, and each user's overall contribution.

Batch Screening Reports Page



The screenshot shows a web interface titled "Productivity Reports". It contains a "Report Type" dropdown menu set to "CK3 - Batch Screening". Below this is a "Batch Id" text input field with an information icon to its right. Underneath the "Batch Id" field is an "Email" text input field. At the bottom left, there are three radio buttons for "Report Format": "Excel" (selected), "PDF Portrait", and "PDF Landscape". A "Generate Report" button is located at the bottom right of the form.

Note The *Batch ID* field is mapped to the *Reference 2* field of a compliance result.

The following table describes the column headers in the generated PDF and Excel files:

Batch Screening Report Columns

Column	Explanation
User ID	The user identification code.
User	The user description.
Failures Reviewed	The number of check failures that were reviewed by the user. To be included in this total, a failure must be updated to Failed Manually or Passed Manually by the user.
%	The percentage of the total failures reviewed.

Denied Party Screening (CK4)

The Denied Party Screening report provides a summary of DPL screenings for a date range. This report is particularly useful for companies that have a high volume of DPL screenings each day.

You can select a date range for this report using the *From Date* and *To Date* fields. By default, the *From Date* field is set to a year in the past, and the *To Date* field is the current date. The upper date range limit is one year. You receive a validation error if the *From Date* field is after the *To Date* field.

Productivity Reports Page, Denied Party Screening Report Selected


Productivity Reports

Report Type: CK4 - Denied Party Screening

From Date: 25/02/2018

To Date: 25/02/2019

Email:

Report Format: ☒ Excel ☐ PDF Portrait ☐ PDF Landscape

Denied Party Screening Report Columns

Column	Explanation
Client	The client that the screenings apply to.
Number of Screens	Each time a run number is generated.
Number Pass	Automatic Passes
% Passed	The percentage of passed screens out of the total number of screens.
Number Failed	The number of automatically failed screens.
% Failed	The percentage of automatically failed screens out of the total number of screens.
Number Manually Passed	The number of screens that were manually passed by users.
% Manually Passed	The percentage of manually passed screens out of the total number of screens.

Managing Licenses

Overview

This section describes how to set up licenses or permits/guarantees that are required based on Dual Use or Permit/Guarantee checks performed. When one of the checks fails, customers apply—if they have not already done so—to the relevant agency for the license or permit/guarantee. The license or permit/guarantee you receive typically contains the following information:

- Start and finish dates
- Items/Commodities covered
- Maximum quantity to be shipped
- Maximum value to be shipped

This information can be captured in the system and associated with transactions. This section covers the setup of the license or permit/guarantee.

Adding a Dual Use License

Using the menu option XL, you can set up licenses for use with the Dual Use license check.

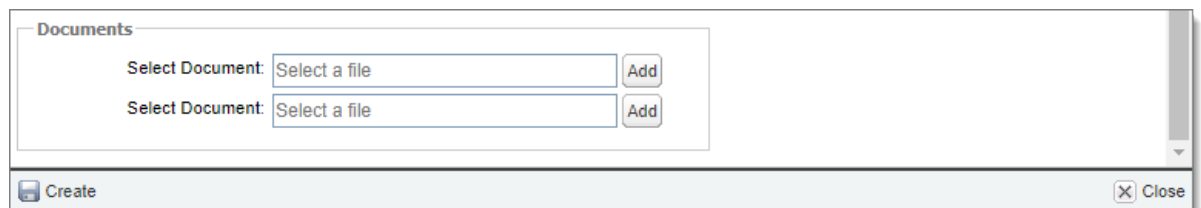
License Maintenance Panel

Manage Licenses					
Licence:	<input type="text"/>	Licence Type:	<input type="text"/>	Name Location License <input type="text"/>	<input type="button" value="Search"/>
Licence Maintenance					
Licence	Licence Type	Name Location License Lodged	Licence Code	Expiry Date	US Gov License Type
LICENCE JAN 18TH	EX			18-January-2018	
LICENCE JAN 29TH	EX			21-February-2018	
LICENCE JAN 30TH	EX			14-February-2018	
LICENCE MARCH 14TH	EX			12-April-2018	
LICENCE NOV23RD	EX			30-November-2018	
LICENCE T2	EX			18-February-2018	
LICENCE TEST1	EX			18-February-2018	
LICENCE TOL AUG 2ND	EX			31-August-2017	
LICENCE TW1	EX			28-September-2017	
LICENCE_TEST	EX			31-March-2016	
LICENSE AB3	EX			25-April-2018	
LICENSE AUG 28TH	EX			30-August-2017	
LICENSE JPN	EX			26-October-2017	
LICENSE JULY 24TH JPN USER	EX			25-July-2017	
LICENSE SEPT. 22ND	EX			25-October-2017	
LICENSE TEST 123	EX			31-July-2017	
LICENSETEST	EX			01-July-2017	
LIO	EX			30-November-2018	
LIO_R9A	EX			30-June-2019	
LIOJPN	EX			19-November-2018	

To create a new license, click the *New* button in the toolbar. The more fields you complete on the *License Maintenance Create* form, the narrower the application for this particular license.

- *License*. Enter the license code supplied by licensing agency. This field is mandatory.
- *License Type*. Select Export; the Import option is not currently supported.
- *License Code*. Enter the license code.
- *Issuing Country*. Enter the country that issued the license. This field is mandatory.
- *Export Classification Group*. This value defaults from the export classification group assigned to the Issuing Country. This field is read only.
- *ECCN Number*. If the license is issued for a specific ECCN number, enter the ECCN code in this field.
- *Applicant Office*. Enter the name of the office that you applied to for this license.
- *Applicant Ref. No.* Enter the application reference number.
- *Purchaser*. If the license is issued against a particular purchaser, enter their details in this field.
- *Intermediate consignee*. If the license is issued against a particular intermediate consignee, enter the details in this field.
- *Ultimate consignee*. If the license is issued against a particular consignee, enter the details in this field.
- *Effective Date*. This is the effective date of the license. This field is mandatory.
- *Expiry Date*. This is the expiry date of the license. This field is mandatory.
- *Documents*. This section allows you to attach up to two images to a license record.

License Maintenance, Fields for File Upload



The screenshot displays a web form titled "Documents". Inside the form, there are two identical rows for adding documents. Each row consists of the text "Select Document:" followed by a text input field with the placeholder text "Select a file", and a small "Add" button to the right of the input field. Below the document selection area, there is a horizontal bar containing a "Create" button on the left and a "Close" button on the right.

Other fields on the form enable you to enter further reference information for the license for documentation purposes.

XL Sub-option (Licenses – Allowed Products)

This option allows you to specify the products or ECCNs and the maximum values and quantities that can be used with the license. Select the license you created, and from the sub-options, select *Licenses – Allowed Products*.

License Sub-options

 **Manage Licenses**

Licence: Licence Type:

Licence Maintenance

	Licence	Licence Type	Expiry Date	Issuing Country
	PMU-PSWEB4841-HK_E2	EX	30-April-2017	HK
	Licences - Allowed Products	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I1	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I1_RQF	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I2	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I3	EX	30-April-2017	HK
	PMU-PSWEB4841-US1	EX	27-December-2017	US

To specify allowed products, click *Create*.

The *Licenses – Allowed Products Create* form contains the following fields, many of which are read only and default from the main option:

- *Client*. This field is read only and defaults from the license.
- *License*. This field is read only and defaults from the license.
- *License Type*. This field is read only and defaults from the license.
- *Product Code*. If the license is issued for a particular product, enter the product code in this field.
- *Export Classification Group*. This field is read only and defaults from the license.
- *ECCN Number*. If the license is issued for a particular ECCN number, enter the ECCN number in this field.
- *Intermediate Consignee/Ultimate Consignee*. These fields are read only and default from the license.
- *Tolerance ratio*. This field is for future use.
- *Consumed Value*. This field displays the total value of all transactions made against this license line. This field is read only.
- *Licensed Value*. If the license is issued for a particular value, enter the value in this field.
- *Currency*. This field contains the currency of the license value

- *Consumed Quantity*. This field is the total quantity of items from all transactions made against this license line. This field is read only.
- *Licensed Quantity*. If the license is issued for a particular quantity, enter the quantity in this field.
- *Quantity UOM Type*. This field contains the unit of measure type; for example, MASS, VOLUME, PROD.
- *Quantity UOM*. This field contains the unit of measure associated with the license quantity; for example, Each, KG.

Licenses – Allowed Products

Licences - Allowed Products [Create]

Client: TGL

Licence: PMU-PSWEB4841-HK_E2

Licence Type: ☒ Export ☐ Import

Line Number: 30

Product Code:

Export Classification Group: HK_E

ECCN Number:

Intermediate Consignee: 16230

Ultimate Consignee:

Tolerance ratio: 1

Consumed Value: 0

Licensed Value: 0

Currency:

Consumed Quantity: 0

Licensed Quantity: 0

Quantity UOM Type:

Quantity UOM:

Create Close

If the license covers multiple products or ECCNs, create multiple records.

Single License Consignee ECLI Check

A license can now be set up so that only a single consignee needs to be specified. When the license is attached to a transaction, the engine will check the license consignee against the consignee and ultimate consignee, and if either matches it will be possible to use it.

If enabled, the *License Maintenance* window will only show the *Consignee* field for licenses and license allowed products. The *Ultimate Consignee* will not be shown.

License Maintenance Window, Consignee field

License Maintenance [Create]

Licence:

License Code:

☐ Licence Assigned

Issuing Country:

Export Classification Group:

ECCN Number:

Applicant Office:

Applicant Ref. No.:

Purchaser:

Consignee

Effective Date:

Expiry Date:

Text ID 1:

Text ID 2:

Text ID 3:

Name Location License
Lodged:

Location Address Line 1:

XL Sub-option (Licenses – Allowed Products)

This option allows you to specify the products or ECCNs and the maximum values and quantities that can be used with the license. Select the license you created, and from the sub-options, select Licenses – Allowed Products. To specify allowed products, click Create.

The Licenses – Allowed Products Create form contains the following fields, many of which are read only and default from the main option:

- *Client*. This field is read only and defaults from the license.
- *License*. This field is read only and defaults from the license
- *License Type*. This field is read only and defaults from the license.
- *Product Code*. If the license is issued for a particular product, enter the product code in this field.
- *Export Classification Group*. This field is read only and defaults from the license.
- *ECCN Number*. If the license is issued for a particular ECCN number, enter the ECCN number in this field.
- *Intermediate Consignee/Ultimate Consignee*. These fields are read only and default from the license.

- *Tolerance ratio.* This field is for future use.
- *Consumed Value.* This field displays the total value of all transactions made against this license line. This field is read only.
- *Licensed Value.* If the license is issued for a particular value, enter the value in this field.
- *Currency.* This field contains the currency of the license value.
- *Consumed Quantity.* This field is the total quantity of items from all transactions made against this license line. This field is read only.
- *Licensed Quantity.* If the license is issued for a particular quantity, enter the quantity in this field.
- *Quantity UOM Type.* This field contains the unit of measure type; for example, MASS, VOLUME, PROD.
- *Quantity UOM.* This field contains the unit of measure associated with the license quantity; for example, Each, KG

Licenses – Allowed Products

Licences - Allowed Products [Create]

Client: TGL

Licence: PMU-PSWEB4841-HK_E2

Licence Type: ☒ Export ☐ Import

Line Number: 30

Product Code:

Export Classification Group: HK_E

ECCN Number:

Intermediate Consignee: 16230

Ultimate Consignee:

Tolerance ratio: 1

Consumed Value: 0

Licensed Value: 0

Currency:

Consumed Quantity: 0

Licensed Quantity: 0

Quantity UOM Type:

Quantity UOM:

Create Close

If the license covers multiple products or ECCNs, create multiple records.

Adding a Permit/Guarantee

Using the menu option XG, you can set up permits for use with the Permit/Guarantee check, as displayed in the image below. To create a new permit or guarantee, click *Create*.

Permits and Guarantees

Manage Permits ☆

Licence: Licence Type: Precision Defined Field:

Permits And Guarantees TGL

Licence	Licence Type	Expiry Date	Effective Date	Single Use	No Commodity/Product Restrict
JULY19TH PERMIT A	EX	26-July-2017	19-July-2017	false	false
LIO PERMIT	EX	30-November-2018	16-November-2018	false	false
NOVEMBER 1ST	EX	30-November-2017	01-November-2017	true	true
NOVEMBER PERMIT A12	EX	29-November-2017	01-November-2017	true	true
PERM NEW SEPT 21 EXP 22	EX	22-September-2017	21-September-2017	false	false
PERMIT A1	EX	30-November-2018	14-November-2018	false	false
PERMIT A12	EX	17-August-2018	20-July-2018	false	false
PERMIT A234234	EX	30-November-2018	02-November-2018	false	false
PERMIT ABC213	EX	29-September-2017	23-August-2017	false	false
PERMIT AUG 23RD	EX	24-August-2017	23-August-2017	false	false
PERMIT AUG 2ND A1	EX	28-September-2017	09-August-2017	false	false
PERMIT AUGUST 28TH	EX	29-September-2017	28-August-2017	false	false
PERMIT AUGUST 28TH JPN	EX	27-September-2017	28-August-2017	false	false
PERMIT CREATED SEPT. 22ND	EX	19-October-2017	22-September-2017	false	false
PERMIT DEF2	EX	22-February-2018	19-January-2018	false	false
PERMIT JAN 18TH	EX	30-March-2018	18-January-2018	false	false
PERMIT JULY 24TH JPN USER	EX	25-July-2017	24-July-2017	false	false
PERMIT MARCH TEST A1	EX	09-April-2018	14-March-2018	false	false
PERMIT MARCH TEST ABC1	EX	11-April-2018	15-March-2018	false	false
PERMIT TEST5	EX	18-February-2018	19-January-2018	false	false
PERMIT TGL AUG 2ND	EX	31-August-2017	02-August-2017	false	false
PERMIT XZ1	EX	14-February-2018	19-January-2018	false	false
PERMIT_2018	EX	31-December-2018	01-January-2018	false	false

Page 1 of 3

Displaying record 1 - 27 of 56

The more fields you complete on the Permits and Guarantees Maintenance *Create* form, the narrower the application of this particular permit or guarantee.

Permits and Guarantees Create

Permits And Guarantees [Create]

Permit:

Permit Type: ☒ Export
☐ Import

Effective Date:

Expiry Date:

Single Use Only: ☐

No commodity/product restrictions: ☐

Intermediate consignee:

Ultimate consignee:

- *Permit*. Enter the permit or guarantee number associated with the permit or guarantee. This field is mandatory
- *Permit Type*. Select Export or Import.
- *Effective Date*. This field contains the effective date of the permit or guarantee. The field is mandatory.
- *Expiry Date*. This field contains the expiry date of the permit or guarantee. The field is mandatory.
- *Single Use Only*. When selected, you can use this permit or guarantee for one shipment only, regardless of whether the shipment uses the full permit or guarantee quantity or value.
- *No commodity/product restrictions*. When you select this field, quantities and values are ignored and only the date range is considered. In addition, no XG sub-option is available.
- *Intermediate Consignee*. Enter an intermediate consignee to whom this license applies. The name must match the details on the permit.
- *Ultimate Consignee*. Enter an ultimate consignee. The ultimate consignee receives the goods at their final destination. The name must match the details on the permit.

XG Sub-Option – Allowed Commodities/Products

This option allows you to specify products or commodities and the maximum values and quantities of these that can be used with the permit or guarantee. To open the XG sub-option, select the relevant license and click *Allowed Commodities/Products*.

To add a new product or commodity, click *Add*.

- *Client*. This field is read only and defaults from the license.
- *License*. This field is read only and defaults from the license..
- *License Type*. his field is read only and defaults from the license.
- *Line Number*. Enter a line number.
- *Product Code*. If the permit or guarantee is issued for a particular product, enter the product code in this field.
- *Commodity Group*. Enter the commodity group to which the product belongs.
- *Commodity Code*. If the permit or guarantee is issued for a particular commodity, enter the product code in this field.
- *Intermediate Consignee/Ultimate Consignee*. These fields are read only and default from the license.
- *License Value*. If the permit or guarantee is issued for a particular value, enter the value in this field.
- *Consumed Value*. This field is the total value of all transactions made against this permit/guarantee line. This field is read only.
- *Currency*. This field contains the currency of the license value.
- *Consumed Quantity*. If the permit or guarantee is issued for a particular quantity, enter the quantity in this field.
- *Licensed Quantity*. If the permit or guarantee is issued for a particular quantity, enter the quantity in this field.
- *Quantity UOM Type*. This field contains the unit of measure type; for example, MASS, VOLUME, PROD.
- *Quantity UOM*. This field contains the unit of measure associated with the license quantity; for example, Each, KG.

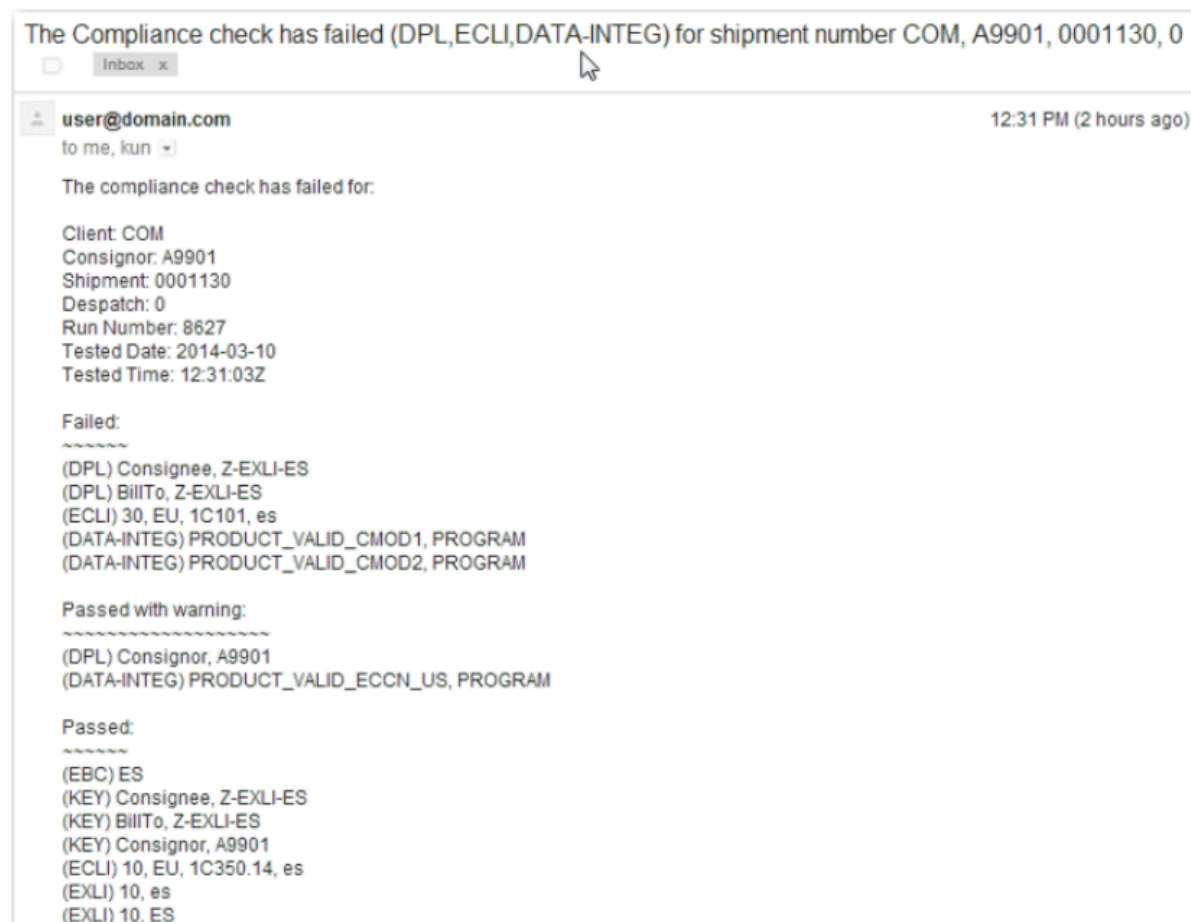
If the permit or guarantee covers multiple products or ECCNs, create multiple records.

Notifications

The system can be configured to send emails when Compliance screening is run. It can generate e-mails based on the status of individual checks. For example, DPL failure can be sent to one address and Dual Use License failure to a different address. The emails can be sent to multiple addresses.

The system can also send emails when a user manually passes or fails a check, assigns the required licenses or permits, or completes a questionnaire. The email includes a URL that provides access to the *Results* screen.

E-mail Notification



The system may also send XML messages to other systems based on the status of individual checks or the overall result.

When the overall compliance status of a transaction changes, the system can be configured to send an XML message to an external system.

TC Administration

Overview

This section describes how to configure the Compliance functionality available in QAD GTTE. This functionality helps your company to comply with national and international trade regulations. Failure to comply with these regulations can result in penalties.

Configuring Compliance Checks

There are a number of different ways to run compliance checks in the Web UI:

- As a workflow task within the **Workflow** portal.
- As a Desktop Shipping step, accessed through the Transportation Management module.

Note For details of the compliance step in Desktop Shipping, see [Compliance Step on page 1516](#).

You can configure a number of different compliance checks in the Web UI. For a list of the checks available in QAD GTTE, see [Available Compliance Checks on page 963](#).

The **Compliance Checks** screen (menu option CK) displays the available compliance checks and enables you to configure how the checks work. System values enable you to modify the behavior of these checks further. You can access these system values through menu option Y3 or by clicking the Configure Engine button in menu option CK. For more general information on system value behavior, see the [Base Administration on page 170](#) section.

Menu option CK also allows you to access the QE option for creating questions and questionnaires related to questionnaire checks

Note Some of the checks rely on content provided by the QAD GTTE Content Group; for example, the Denied Party List (DPL) check and Embargoed Country (EBC) check. Menu option HU enables you to view uploaded content packs.

Compliance Checks Screen

The screenshot displays the 'Compliance Checks' application window. It features a top navigation bar with tabs for 'Checks', 'Security', 'Notifications', and 'Whitelist'. The 'Checks' tab is active, showing a table of existing checks. Below the table are buttons for 'Add', 'Delete', and 'Copy'. To the right of the table is a 'Details' panel with fields for 'Commodity group', 'Commodity code', 'Country/Group', 'Country', 'Remarks', and 'Warning Only'. The 'Details' panel also includes a 'Create' button.

Check	Description	In Use	Non ECO Check
C-TPAT	C-TPAT Validation Questions	Yes	No
C1FC	Commodities / COOs IM	Yes	No
C1FP	Commodities / Partners IM	Yes	No
C1TC	Commodities / COOs EX	Yes	No
C1TP	Commodities / Partners EX	Yes	No
C2FC	Commodities / COOs EX	Yes	No
C2TC	Commodities / COOs IM	Yes	No
DATA-INTEG	Data Integrity Check	Yes	No
DPL	Denied Party List	Yes	No

Details Panel:

Commodity group:
 Commodity code:
 Country Type: ☒ Country Group ☐ Country
 Country:
 Remarks:
 Warning Only: ☐
 Create

The **Compliance Checks** screen has a Checks panel and Details panel.

The Checks panel has three tabs that enable you to add checks and configure security and notification settings for each check:

- The Checks tab lists the existing compliance checks.
- The Security tab allows you to configure security privileges for compliance functionality. For more information on compliance security privileges, see [Configuring Compliance Security on page 1127](#).
- The Notifications tab allows you to view a list of people who are notified by email when the status of a compliance check changes. For more details on this sub-option, see [Emails on page 1131](#).

The Details panel enables you to view and update additional information associated with the check that is currently selected in the Check grid:

- The Details tab allows you to view the criteria that the shipment content is compared with during the compliance check, including the following examples:
 - The list of embargoed countries that the shipment is screened against during the embargoed countries (EBC) check.
 - The list of permitted product and country combinations that the shipment is screened against during the permitted products to country (RPRC) check.

- The list of words that the shipment is screened against during the keyword check.

If it is possible to add or update check criteria, then the necessary fields and Update or Create button are available next to the Details grid. You can add explanatory remarks to the criteria and also specify if compliance check matches on this criteria cause a compliance failure or a warning.

- For some checks, including the DPL check and the EBC check, you can configure the check differently for different shipment types—for example, import shipments—using the Shipment Type tab.

Note

- All checks can be configured to run as a Workflow task or in the Blackbox Service-Oriented Architecture (BB SOA) message.
- The Non ECO Check checkbox is not currently used.

Denied Party List Check

The Denied Party List (DPL) check enables you to compare the names and addresses of various parties on the shipment with the list of denied and restricted parties in the system.

System Values Related to the DPL Check

The table below lists the system values in menu option Y3 that control denied party behavior and how a name or address is matched to an item in the denied party list.

Denied Party List System Values

Category	Key	Value
COMPLIANCE	ACTION ON DPL SUBSET	<p>Enables you to set the check to fail when the name being screened is a subset of the denied party name. This always returns a 100% match. There are four possible values:</p> <ul style="list-style-type: none"> • FAIL - If there is a name subset match, the name subset check fails and will always fail at 100%. • YES - This is the same as FAIL. • WARN - If there is a name subset

Category	Key	Value
		<p>match, the name subset check always passes with a warning. The system checks the warning threshold level, and adds one to give a pass with warning result.</p> <ul style="list-style-type: none"> • NO - This turns off the name subset check completely. <p>The default value is No.</p>
COMPLIANCE	DPL ALGORITHM	The only valid value is Soundex.
COMPLIANCE	DPL ALLOW REVERSE SCORING	<p>Set this value to Yes or No.</p> <p>The first step in the DPL engine is to return a subset of names from the DPL content, where at least one word in the name being checked exactly matches one word in the name from the content. If this parameter is turned on, it reverses the scoring in addition to the normal checking. It checks each of the names in the content returned from the first step against the name being screened.</p>
COMPLIANCE	DPL MAX MATCHES PER TYPE	<p>This value is a number.</p> <p>This parameter determines the maximum number of matches displayed on the screen and the number of matches to be added to the white</p>

Category	Key	Value
		<p>list when the partner is manually passed.</p> <p>For example, there are 200 matches and the parameter is set to 100. Only 100 are displayed on screen and 100 added to the white list.</p>
COMPLIANCE	DPL MINIMALWORD LENGTH	<p>This value is an integer. The default value is 1.</p> <p>This value indicates the minimum length a word in the name must be to trigger a match for the DPL scoring process to continue.</p> <p>For example, the parameter is set to 6 and the name being checked is John Desmond Arthur Smith. There must be a match on the words Desmond or Arthur with words in at least one name. Alternatively, there must be a Soundex match on one of the words being checked against one of the words in the content for the DPL process to continue.</p> <p>You can reduce the number of false positives by increasing the default value. However, it is recommended to keep the value to (≤ 3).</p> <p>If this parameter is increased, it can have an adverse effect and ignore names with potential matches in the DPL content.</p>

Category	Key	Value
		This parameter applies to the name and the address check.
COMPLIANCE	DPL_RUN_C/O_CHECK	<p>Set this value to Yes or No.</p> <p>If this parameter is set to Yes and the first address line of the address begins with C/O, then the name on the first address line is also screened.</p>
COMPLIANCE	DPL_RUN_CONTACT_CHECK	<p>Set this value to Yes or No.</p> <p>When set to Yes, the contact name associated with the partner is checked.</p>
COMPLIANCE	DPL_RUN_ISMATCH	<p>This value applies to the address screening and is a percentage. When the percentage match exceeds the specified value, the check fails. It is recommended to set the warning threshold to between 75% and 80%.</p>
COMPLIANCE	DPL_RUN_ISMATCH_WARN	<p>This value applies to the address screening and is a percentage. When the percentage match exceeds the specified value and the value is less than the failure percentage level, a warning is returned. It is recommended to set the warning threshold to between 65% and 70%.</p> <p>A warning does not trigger a Compliance failure.</p>

Category	Key	Value
COMPLIANCE	DPL_RUN_LISTS	The default value of this parameter is *ALL. This value runs the DPL check against all DPLs. To run the DPL check against only a certain number of DPLs, set this parameter to this set of lists; for example, OFAC,ENTITY,UKF,OFAC,BIS,CBW.
COMPLIANCE	DPL_RUN_NAME_CHECK	Set this value to Yes or No. The Denied Party Check consists of the Name check and the Address check. By default, this parameter is set to Yes and the Name check is run as part of the DPL screening. In the unlikely scenario that you have addresses without any names, the name check can be turned off by setting this parameter to No.
COMPLIANCE	DPL_RUN_NAME_ISMATCH	This value applies to the name screening and is a percentage. When the percentage match exceeds the specified value, the check fails. It is recommended to set the threshold to between 80% and 85%.
COMPLIANCE	DPL_RUN_NAME_ISMATCH_WARN	This value applies to the name screening and is a percentage. When the percentage match exceeds the specified value and the value is less than the

Category	Key	Value
		failure percentage level, a warning is returned. It is recommended to set the warning threshold to between 75% and 80%. A warning does not trigger a Compliance failure.
COMPLIANCE	DPL SAME COUNTRY	<p>Specify whether you want name screening to take into account the country associated with the partner being checked. Possible values:</p> <ul style="list-style-type: none"> • Yes - Name screening results in a match only when the related partner address country and denied party country match. • No - Name screening does not take into account the country associated with the denied party. It checks denied party entries from all countries—it checks against all of the DPL content. <p>Default value: No</p>
COMPLIANCE	DPL_UPDATE_COMMON	A comma-separated list of common words. The words in this list are ignored during the check; for example, Corporation, Inc, Ltd, Limited. QAD GTTE provides a list as a starting point.

Category	Key	Value
COMPLIANCE	COUNTRY MANDATORY	<p>Set this value to Yes or No.</p> <p>The default value is No, which means that the country code associated with the party being checked is not mandatory. The address check does not fail when the country code is blank. To make the country code mandatory, set this parameter to Yes. In this case, the check fails when the country code is blank.</p>
COMPLIANCE	SECURITY – DPL	<p>This value is in the format action,client,user group</p> <p>The three values specify a user group that can override the results of a DPL check; for example, Override,TGL,ALL-ECO</p> <p>For more details on this system value, see the Security on page 1126 section.</p>
COMPLIANCE	USE CACHED DPL RESULTS	<p>The value of this parameter is a comma-separated list of Compliance statuses. Values are PA (Pass), PW (Pass Warning), FA (Fail), PM (Passed Manually), FM (Fail Manually).</p> <p>When there has been no content update and you rerun a DPL check, the cached results for the partner are used</p>

Category	Key	Value
		<p>instead of running the check again to obtain the same result.</p> <p>This parameter defines the status for which the cached result is used.</p> <p>Example: PA,PW. In this case, if a partner passed or passed with warning previously, the system reuses this status the next time a DPL check is run on this partner. Otherwise, the system does not reuse the cache and reruns the DPL algorithm on the partner.</p> <p>It is recommended to use this parameter because it improves the overall response times of the DPL check.</p> <p>Note</p> <ul style="list-style-type: none"> • This parameter should be set to blank during the implementation phase until you have decided the threshold levels. • If using data scrub and processing compliance transactions and the percentage threshold levels for each may be different, this parameter must be set to blank permanently.

Category	Key	Value
COMPLIANCE	DPL INCLUDE PC IN CHECK	<p>Set this value to Yes or No.</p> <p>If this parameter is set to No, it excludes the postal code from the DPL compliance check.</p> <p>Default value: Yes</p>
COMPLIANCE	DPL CHECK - USE CITY CODE	<p>This parameter allows you to specify that the content of the Description field in menu option PL displays in the Address section of the Compliance Results screen for the DPL checks. Possible values:</p> <ul style="list-style-type: none"> • Yes - Content of the Place field in menu option PL displays in the Address section of the Compliance Results screen for DPL checks. • No - Content of the Description field in menu option PL displays in the Address section of the Compliance Results screen for DPL checks. <p>Default value: Yes</p>
COMPLIANCE	SW: REPLACE WITH BLANK	<p>Specify the special characters that you want to remove from names and addresses during the DPL check.</p> <p>Possible values: A list of special characters</p>

Category	Key	Value
		<p>For example:</p> <p>Setting this system value to ':' means that if a name or address contains : or ', these characters are removed for the purposes of the DPL check.</p>

Shipment Types for the DPL and KEY Checks

By default, the DPL and KEY checks screen the customer, consignee, and ultimate consignee on the transaction.

For more information on configuring the Keyword check, see [Keyword Check on page 1079](#).

DPL and SOA Messages

The ProcessCompliance request uses party types such as consignee, customer, and carrier, to specify partner details in the XML. However, the application uses partner types such as 01, 02, and 03. For those partners that you want to screen, map the party types to the partner types using the system value PARTY TYPE : PARTNER TYPE. For more details, see the table below.

For a ProcessCompliance SOA request, the DPL check screens the partners configured behind the transaction type specified in the request. If the transaction type is blank by default, the DPL check screens the consignee, customer, and the ultimate consignee (provided that these partners are included in the XML).

Party Types

Category	Key	Value
COMPLIANCE	PARTY TYPE : PARTNER TYPE	<p>The Compliance Black Box engine requires that the partner roles (such as 01,02,03,04) are mapped to the corresponding roles description (such as Consignee, Carrier, Shipment Bank, BillTo) used by the underlying Compliance Black Box engine.</p> <p>For any partner roles that you want to screen, the mapping for this role must exist in this system value.</p>

Category	Key	Value
		See Appendix C: Partner Types on page 1182 for a full list of these mappings.

Whitelist

Depending on permissions, users have the ability to delete one, many, or all records in the Whitelist panel of the Whitelist tab in menu option CK.

Permission to delete these records in the Web UI is controlled by user group permissions. This section describes how to enable and configure these permissions.

Permissions

The table below describes the system value that enables these permissions.

Whitelisting Permissions System Value

Category	Key	Value
ITRAX	ENABLE PERMISSIONS	<p>Set this value to Yes or No.</p> <p>If the system value is enabled, then only access to options granted using menu option ZP is allowed.</p> <p>If the user does not have the necessary permissions, then the Delete button is disabled and a tooltip informs the user.</p>

Menu Option ZP

You can maintain permissions to delete using menu option ZP.

To set up delete permissions for a user, they must be in an option group that contains the NRCK option with the Delete action. Alternatively, a user level permission needs to be created for the user containing the NRCK option with the Delete action.

ZP User Level Permissions

Permissions [Update]

User level: ☒ User ☐ Group ☐ Role

User / Group: P3K

Opt level: ☒ Option ☐ Group

Option / Group: NRCK

- ☒ Allowed access
- ☐ Add records
- ☐ Change records
- ☒ Delete records
- ☐ Copy records
- ☒ Display records
- ☐ Confirm
- ☐ Close
- ☐ Print records
- ☐ Custom Action 1
- ☐ Custom Action 2
- ☐ Custom Action 3
- ☐ Custom Action 4
- ☐ Custom Action 5
- ☐ In use flag

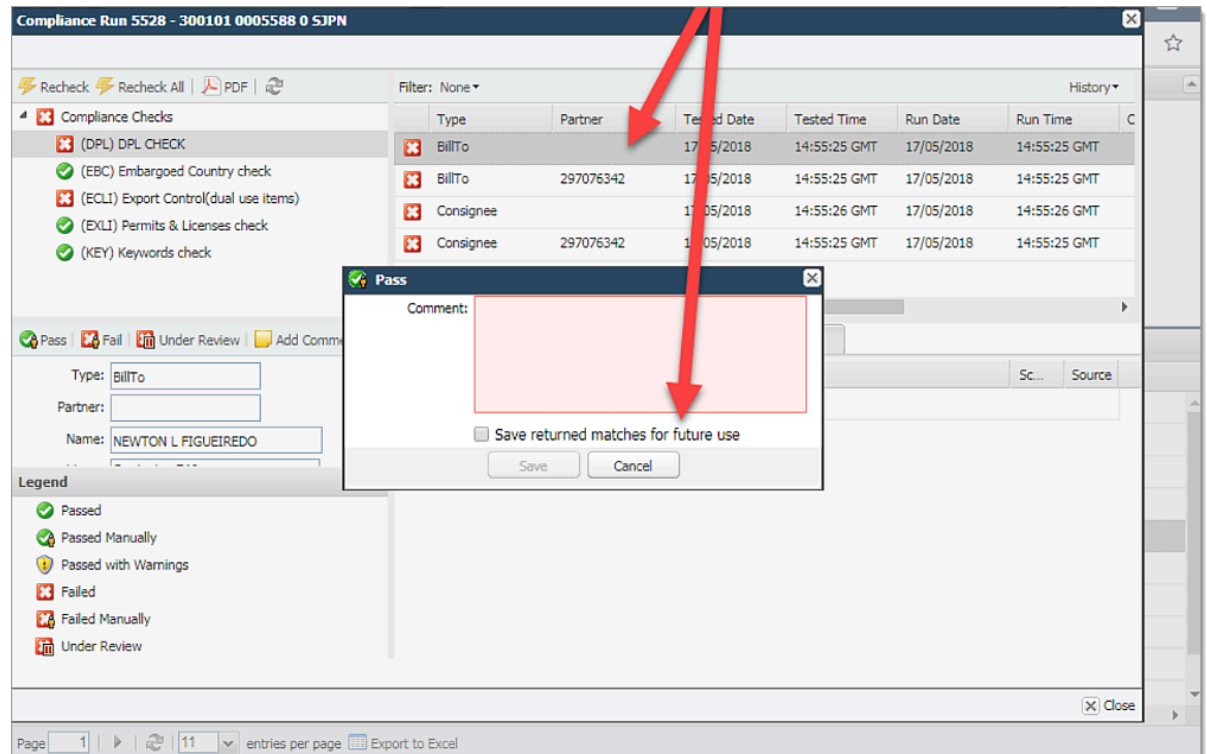
Ok Save Close

The user must also be assigned a role that has access to the **Compliance Checks** screen, which contains the Whitelist maintenance tab.

Configuring Non-Partner Whitelisting

When users choose to manually pass a check, the pop-up window includes a Save returned matches for future use option, as shown in the image below. This allows users to store approved records against the partner for future reference.

Whitelist Name and Address, Pop-up Check Box



This functionality is enabled using the system value below.

Non-Partner Whitelisting System Value

Category	Key	Value
COMPLIANCE	NON PARTNER WHITELISTING	TRUE

For partners that do not already exist in the database, a CRC hashcode is generated when users approve a party using this option in the Compliance Run window. The party's name and address are combined to create this unique ID and it is then stored as an approved partner record in the Whitelist tab of menu option CK.

Note Similarly, shipment partner override addresses can also be whitelisted.

Certain words and characters can be stripped out from the generation of this unique CRC, if required, using the system values specified in the table below.

Unique CRC System Values

Category	Key	Value
COMPLIANCE	WORDS TO STRIP NR CRC	AND,OF,A,THE

Category	Key	Value
COMPLIANCE	ECHARS TO STRIP NR CRC	,.:;~!-'\,/;<>{}[]()
COMPLIANCE	EPREFIX NR CRC	WL_

These system values can be maintained in the Whitelisting tab of the Configuring Compliance screen, menu option CFGCK. Select Create Value on any of the fields to begin configuring. Multiple values must be comma-separated.

When you have completed the fields, click Save.

Whitelisting Tab, Menu Option CFGCK

Configure Compliance

Compliance Results Technical Checks **Whitelisting** Reporting Translation

General

Words to be stripped from the partner: ⓘ ⌘ Create Value

Characters to be stripped from the partner: ⓘ ⌘ Create Value

Prefix for the partner identifier: ⓘ ⌘ Create Value

Non Partner Whitelisting

Create partners for whitelisting if none: ☐ Yes ☐ No ⓘ ⌘ Create Value

Setting Up a DPL and KEY Partner Check

You can change the default behavior so that other partners on the transaction are screened during the DPL and KEY checks. This change is done at the shipment type level. To set up a DPL and KEY partner check for a particular shipment type, complete the following steps:

1. Access menu option CK.
2. In the Check grid, select the DPL check.
3. In the Details panel, select the Shipment Type tab.
4. Click Add.
5. Complete the following fields to the right of the Shipment Type grid:
 - Shipment Type: Click the lookup icon, then select the transaction type of the shipment.
 - Party Type: Click the lookup icon, then select the partner ID of the shipment party.
 - Comment: Optionally, add a comment about the shipment type.
6. Select the In Use checkbox.
7. Click Create.

Create a record for each partner type and shipment type combination for which you want the DPL and KEY check to apply.

Configuring the Partner Types Screened in the DPL and KEY Checks on a Shipment Type Basis

The screenshot displays the 'Compliance Checks' interface. The top section shows a list of checks with columns for 'Check', 'Description', 'In Use', and 'Non ECO Check'. The 'DPL' check is selected, and its details are shown on the right. The 'DPL' check is described as 'Denied Party List' and is currently 'In Use'. Below the check list, the 'Details' panel is active, showing a table of DPL entries. The table has columns for 'DPL List', 'Party Id', 'Address Id', 'Name', 'Title', and 'Party Type'. The table contains 13 entries, including 'BIS' entries and 'A. ROSENTHAL (PTY) LTD.'. To the right of the table, there are input fields for 'DPL List' (set to 'CUSTOM'), 'Party Id', and 'Address Id', along with a 'Create' button. The bottom of the interface shows a pagination bar indicating 'Page 1 of 449' and 'Displaying Records 1 - 11 of 4936'.

Check	Description	In Use	Non ECO Check
C2FC	Commodities / COOs EX	Yes	No
C2TC	Commodities / COOs IM	Yes	No
DATA-INTEG	Data Integrity Check	Yes	No
DPL	Denied Party List	Yes	No
DPL-TEXTS	Denied Party List - Text Boxes	Yes	No
EBC	Embargoed Countries EX	Yes	No
ECLI	ECCN Export Licenses EX	Yes	No
EICT	ECCN's / Countries IM	Yes	No
END-USE	End-Use Questions	Yes	No

DPL List	Party Id	Address Id	Name	Title	Party Type
BIS	+1	47	DELTA LOGISTICS, B.V.		
BIS	+2	48	DELTA LOGISTICS, B.V.		
BIS	+3	276	NEI-CHIEN CHU		
BIS	+4	373	FERNANDO SERO		
BIS	+5	374	FERNANDO SERO		
BIS	1	1	A. ROSENTHAL (PTY) LTD.		
BIS	10	10	AHMED, YASMIN		
BIS	100	100	CHUN, KUE SANG		
BIS	101	101	CISNEROS, FIDEL IGNA...		
BIS	102	102	COHEN, ERIC		
BIS	103	103	CORDING, KARL		

Note You can also use the Compliance – Partner Types sub-option in menu option ZS to configure the DPL and KEY checks on a shipment type basis.

Creating Custom DPL Entries

To create custom DPL entries using the Details panel of menu option CK, complete the following steps:

1. Access menu option CK.
2. In the Check grid, select the DPL check.
3. In the Details panel, select the Details tab.
4. In the toolbar, click the Add New Denied icon.
5. Use the following fields to the right of the Details grid to create a DPL entry for a custom denied party list. You can create multiple custom lists:
 - **DPL List:** When the content team adds DPL content to QAD GTTE, the content of the DPL List field for each DPL entry is generated automatically. When you create a DPL entry manually, the default value of the DPL List field is CUSTOM, indicating that this is an entry in a custom DPL. You can change the content of this field to distinguish between different custom lists.
 - **Party Id and Address Id.** The party identifier must be a unique identifier based on the name in the denied party entry. The

address identifier must be a unique identifier based on the address in the denied party entry. If two different denied party entries have the same name, then they must have the same party identifier. Similarly, if two different denied party entries have the same address, then they must have the same address identifier. For example, DPL entries Jane Doe, Buffalo, New York, and Jane Doe, Pittsburgh, Pennsylvania, have the same party identifier and different address identifiers.

6. Click Create.
7. In the Denied Parties - Update window, specify the following name and address details for the party that you want to add to the DPL:
 - Party Name: Specify the name of the party that you want to add to the DPL.
 - Address: Specify the address of the party that you want to add to the DPL.
 - Country Code: From the lookup, select the country code of the party that you want to add to the DPL.

DPL Details

Denied Parties - Update

Client: SYS

Check type: DPL

Loaded from: CUSTOM

Party identifier: 123123

Address identifier: 123123

Party name:

Party type:

Party title:

Party remarks:

Address:

City code:

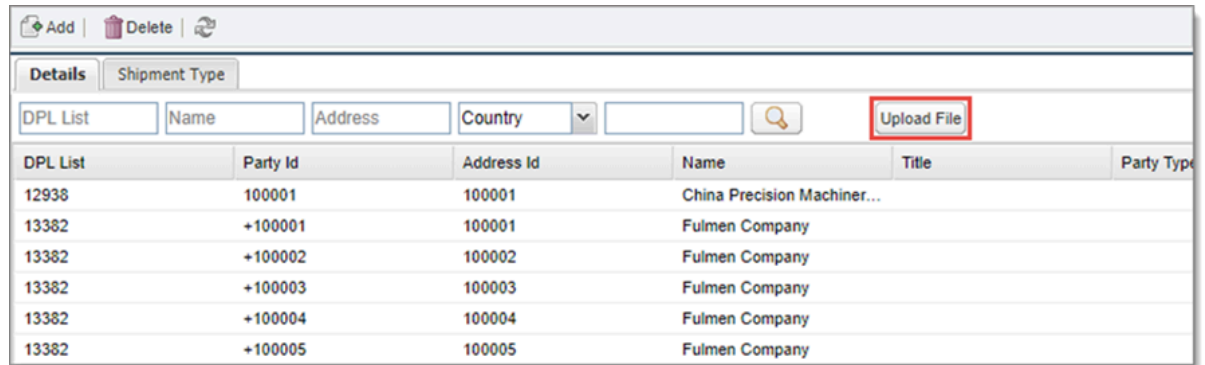
City name:

Save Close

8. Optionally, complete the remaining fields in the Denied Parties - Update window.
9. Click Save. If the denied party creation is successful, the message Record Updated Successfully is displayed.

Uploading a Custom DPL File

In menu option CK, you can upload a custom DPL in CSV format using the Upload File button in the Details panel.



DPL List	Party Id	Address Id	Name	Title	Party Type
12938	100001	100001	China Precision Machiner...		
13382	+100001	100001	Fulmen Company		
13382	+100002	100002	Fulmen Company		
13382	+100003	100003	Fulmen Company		
13382	+100004	100004	Fulmen Company		
13382	+100005	100005	Fulmen Company		

Before you begin, create a DPL CSV file. You can either import DPL CSV files from another QAD GTTE system or manually create a CSV file with DPLs.

If you are exporting DPLs from another GTTE system, complete the following steps:

1. In menu option CK, in the Checks grid, select the DPL check.
2. On the Details tab, select one or more DPL records in the grid. To select multiple records, press the Ctrl key and click the records.
3. To export the DPLs in CSV format, in the bottom toolbar, click the download icon.



4. In the Filename window, enter a file name for the CSV.
5. Click OK.
6. Open the CSV file in a spreadsheet editor.
7. Above line 1, add a new blank row.
8. Change the column headers to the following field names. Some fields may not have been populated in the original records. The column headers must be in the exact order and format that is shown here:
 - a. DPLList
 - b. PartyId
 - c. AddressId
 - d. PartyName
 - e. PartyType
 - f. PartyTitle
 - g. PartyRemarks
 - h. Address
 - i. CityCode
 - j. CityName
 - k. CountryCode
 - l. CountryName

- m. AddressRemarks
- n. Program/reason
- o. EffectiveFrom
- p. EffectiveUntil
- q. DPLVersion
- r. LoadedDate
- s. PrimaryDPLinkId
- t. SubType
- u. VesselCallSign
- v. VesselType
- w. VesselTonnage
- x. VesselFlag
- y. VesselOwner

	A	B	C	D	E	F	G	H	I	J	K
1	DPLList	PartyId	AddressId	PartyName	PartyType	PartyTitle	PartyRemarks	Address	CityCode	CityName	CountryCode
2		13382 +100002		100002 Fulmen Company			https://www.gov.ir	No. 167 Darya Blvd., Sharak Ghods		Tehran	IR
3		13382 +100005		100005 Fulmen Company			https://www.gov.ir	No. 57, Lida St, After Vanak Sq, Vall-e Asr Ave, 19697		Tehran	IR
4		13382 +100007		100007 NAGCO		Lifted	https://www.gov.ir	4th Floor, Bloc 1, Building 133, Mirdamad Avenue		Tehran	IR
5											

9. Optionally, update the field values.

10. Save the CSV file.

To manually create a DPL CSV file, complete the following steps:

1. Create a CSV file in a spreadsheet editor. Ensure the file has the .csv file extension.
2. Change the column headers to the following field names. They must be in the exact order and format that is shown here:
 - a. DPLList
 - b. PartyId
 - c. AddressId
 - d. PartyName
 - e. PartyType
 - f. PartyTitle
 - g. PartyRemarks
 - h. Address
 - i. CityCode
 - j. CityName
 - k. CountryCode
 - l. CountryName
 - m. AddressRemarks
 - n. Program/reason
 - o. EffectiveFrom
 - p. EffectiveUntil

- q. DPLVersion
 - r. LoadedDate
 - s. PrimaryDPLinkId
 - t. SubType
 - u. VesselCallSign
 - v. VesselType
 - w. VesselTonnage
 - x. VesselFlag
 - y. VesselOwner
3. Add values in some or all of the field columns and save the CSV file.

To upload a custom DPL file, complete the following steps:

1. Access menu option CK.
2. In the Checks grid, select the DPL check.
3. On the Details tab, click Upload File.
4. In the Denied Party Check File Upload window, in the Delimiter section, select the relevant delimiter. You must choose the same delimiter that is used in the CSV.
5. In the Select File field, click Browse.
6. Choose the CSV file to upload.
7. To view a summary of the upload results, click Upload.
8. To view a description of upload errors and their location in the CSV file, click the Errors tab. If there are no errors, the Errors tab is not displayed.
9. If there are errors in the CSV file, fix them in a spreadsheet editor, save the CSV file, then repeat Steps 1 to 7. For a list of possible errors, see [Appendix D: DPL Errors on page 1183](#).
10. Optionally, to download a CSV file of the upload report, on the Summary tab, click Export Summary.
11. If the file uploaded successfully, click Close to return to menu option CK.

Denied Party List - Text Boxes Check

The Denied Party List – Text Boxes (DPL–TEXTS) check compares the lines in shipment text boxes to the same list of denied and restricted parties used in the Denied Party List check.

This check assumes that the first line in the text box is the name and that subsequent lines are the address lines. The check compares:

- The first line of text in a text box to names in the denied and restricted parties list.
- Subsequent lines of text in a text box to address lines in the denied and restricted parties list.

Denied Party List – Text Boxes Check

The screenshot displays the 'Compliance Run 78874 - A9901 60005592 0 STGL' window. The left sidebar shows a list of compliance checks, with '(DPL-TEXTS) Denied Party List - Text Boxes' selected and marked with a green checkmark. Other checks include (C1TC) Commodities / COOs EX, (C2FC) Commodities / COOs EX, (DPL) Denied Party List, (EBC) Embargoed Countries EX, (ECLI) ECCN Export Licenses EX, and (EXCT) ECCN's / Countries EX. The main panel shows a table with columns: Name, Tested Date, Tested Time, Overridden By, Overridden Date, and Overridden Time. A single row is visible with the name 'This is being shi...', tested date '11/01/2017', and tested time '14:08:09 GMT'. Below the table, there are tabs for 'Name', 'Name Subset', 'Address', and 'Parameters'. The 'Name' tab is active, showing a table with columns 'Name & Address', 'Sco...', and 'Source'. A single row is visible with the name 'No matches found against Name.' and a green checkmark. On the left, there are input fields for 'Text Id: 002', 'Name: This is being shipped from >client', and 'Address:'. A legend at the bottom left shows status icons: Passed (green checkmark), Passed Manually (green checkmark with 'M'), Passed with Warnings (yellow warning icon), Failed (red X), Failed Manually (red X with 'M'), Under Review (red icon with 'U'), and Disabled (grey icon).

To specify the text boxes that the DPL–TEXTS check screens:

1. Open menu option CK.
2. Select the DPL–TEXTS check to view existing keywords in the Details panel.
3. To add a text box, complete the following fields to the right of the Details grid:
 - Text: From the Text lookup, select the text ID for the text box.
Note Text boxes and related IDs are listed in menu option ZBTX. You can also use the Texts workflow task to add text to a shipment text box.
 - Remarks: Optionally, enter explanatory remarks about the text box.
 - Warning Only: If you select the Warning Only checkbox, the keyword does not cause a compliance failure. Instead, a warning is displayed.
4. To add the text box to the Details grid, click Create.

Embargoed Countries Check

Embargoed Countries (EBC) check content is provided by the QAD GTTE Content Group and listed in menu option CK.

Although you can add entries in the embargoed countries list, this is not recommended. Instead, it is recommended to contact the QAD GTTE Content Group.

To view the embargoed countries list in the system:

1. Open menu option CK.
2. Select the EBC check and select the Details tab in the Details panel to display a list of embargoed countries.

By default, the EBC compliance check compares the contents of the embargoed country list to the shipment:

- Ultimate country of destination
- Country of destination
- Ultimate consignee address override country
- Ultimate consignee country
- Consignee address override country
- Consignee country

You can change the default behavior so that other partners on the transaction are screened during the EBC check. This change is done at the shipment type level.

Important If you choose to specify partners to be screened for embargoed countries at the shipment type level, the EBC check automatically screens the country of destination and the ultimate country of destination in addition to the countries associated with the partners specified for a shipment type.

To set up an EBC partner check for a particular shipment type, complete the following steps:

1. Go to menu option CK.
2. In the Check grid, select the EBC check.
3. In the Details panel, select the Shipment Type tab.
4. In the toolbar, click Add. Use the fields to the right of the Shipment Type grid to complete the following fields:
 - Shipment Type: From the lookup, select a shipment type.
 - Party Type: From the lookup, select a party type.
 - Comment: Optionally, enter an explanatory comment about the check.
 - In Use: Select the checkbox to activate the check.

5. To add the EBC check to the Details grid, click Create.

Create a record for each partner type and shipment type combination for which you want the EBC check to apply.

If you choose this option, then the EBC check screens the country of destination and the ultimate country of destination in addition to the countries associated with the partners specified for a shipment type.

It is possible to define embargoed regions within a country by specifying postal codes. This functionality can be configured for Ukraine and Russia in the Checks tab of menu option CFGCK, Configure Compliance. Click Create Value on either of the fields to begin configuring.

Checks Tab, Menu Option CFGCK

Configure Compliance

Compliance Results Technical **Checks** Whitelisting Reporting Translation

Embargoed Countries

Blacklisted Postal Code Range (Russia): ⓘ 📅 Create Value

Blacklisted Postal Code Range (Ukraine): ⓘ 📅 Create Value

The system values in the table below control this behavior and are specific to Ukraine and Russia. However, it is possible to apply the same functionality to other countries. To do this, copy this same system value and create a new one using menu option Y3. The key should include the ISO country code of another country; for example: EBC - POSTAL CODE BLACKLIST HK.

System Values for EBC Region

Category	Key	Value
COMPLIANCE	EBC - POSTAL CODE BLACKLIST UA	This value can contain individual postal codes, a range or ranges of postal codes. For example: 295000-299999295000;295600-299999295000;295300-295
COMPLIANCE	EBC - POSTAL CODE BLACKLIST RU	This value can contain individual postal codes, a range or ranges of postal codes. For example: 295000-299999295000;295600-299999295000;295300-295

Dual Use – ECLI Check

This check determines whether an item—based on its assigned dual-use code known as an Export Control Classification Number (ECCN) in the US—can be shipped to, or requires an export license to be shipped to, a specific country. Menu option XL is used to set up licenses for the ECLI check.

QAD GTTE provides a content subscription service for the regulations governing the United States and European Union. This content includes a list of ECCN codes. Ensure that you classify your company products with the appropriate ECCN codes.

To classify a product with an ECCN code:

1. Open menu option PR.
2. From the product code list, select the product you want to classify.
3. In the sub-options, select Classification – ECCN.

Product Classification

The screenshot shows the 'Items' window in QAD GTTE. The left sidebar contains a list of menu options, with 'Classification - ECCN' highlighted by a red rectangle. The main area displays a table of product codes and descriptions. The table has columns for Product code, Description, Freight class, Inner, and Outer. The first row is highlighted in green.

Product code	Description	Freight class	Inner	Outer
1-213-02-712	8TSC-14.3 4" SEAL RING F/1/8" PL TEFLON			
	8TSC-14.3 6" SEAL RING F/1/8" PL TEFLON			
	8TSC-14.3 8" SEAL RING F/1/4" PL TEFLON			
	14.3 8SNC 3" SNAP SEAL RING ZPMS W/ 90 D			
	14.3 8SNC 4" SNAP SEAL RING ZPMS W/ 90 D			
	14.3 8SNC 6" SNAP SEAL RING ZPMS W/ 90 D			
	14.3 8SNC 8" SNAP SEAL RING ZPMS W/ 90 D			
	STRIP 8 125-1500 AASG/NACE 410 NTRD 1/4			
	*DE SHAFT 6 150-1500 SR AASG/ NACE 316 1			
	KIT, USM FOR HOIST RING 3/4" C-10UNC			
	DASH No. 2-281 .139 X 14.984 X 15.262 VI			
	-120 O-RING SIZE BACKUP RING MTL-EOR-007			
	-222 O-RING SIZE BACKUP RING MTL-EOR-007			
	-120 O-RING NBR MTL-EOR-005			
	-222 O-RING NBR MTL-EOR-005			
	VALVE SPRINGS ALL SRS A TRIM 316SS			
	GREASE GUN ASSEMBLY STD 2-48 YELLOW ZPMS			
	S-BOX BODY SR/JR 2 IN-24 IN (A) (K)			
	3/4-16 UNF X 2-7/8 DBL END STUD A193-B7Q			
	30RW-5167 3 IN 300/600 LB ANSI 3.068 ID			
	30RW-5167 3 IN 300/600 LB ANSI 3.068 ID			

4. Create a new record.
5. In the Classification - Eccn [Create] window, from the Export Group lookup, select an export group.
6. In the ECCN field, enter a valid ECCN.
7. Optionally, from the Exception lookup, select a compliance code that you want to be exempt from the check.
8. Optionally, in the Maximum Value field, enter a maximum value. The maximum value is used in the validation of the ECCN export license

exception (LVS). The LVS exception can only be used if the shipment value is less than this maximum value field.

9. Optionally, from the Currency lookup, select the currency used for the ECCN.
10. Select the In Use checkbox.
11. To add the record, click Create.

Classification – ECCN Create

Classification - Eccn [Create]

CLIENT: PSL

Product: A1000004

Export Group: EU

ECCN: 0007

Exception:

Minimum Value: 0

Maximum Value: 0

Currency:

In use: ☐

Create Close

Export Control License System Values

The table below lists relevant system values that you can configure for the ECLI check in menu option Y3.

Export Control License System Values

Category	Key	Value
COMPLIANCE	ECLI – TRANSACTION TYPE UPDATE	<p>This value is a comma-separated list of transaction types from the Z9 option; for example, O for Order, S for Shipment, Q for Quote.</p> <p>For the transaction types listed here, the number used on the license is not incremented. Generally, this list contains transaction types where a Compliance request for a</p>

Category	Key	Value
		customer order is sent from third-party software. Therefore, the third-party software likely increments the number used for the license.
COMPLIANCE	ECCN MANDATORY GROUPS	This value is a comma-separated list of ECCN groups. The system value checks that the product is classified for each ECCN group specified in the system value. If not, then the check fails. For example, when the value is set to EU,US, any item not classified with an EU and a US ECCN code causes the check to fail.

Single License Consignee ECLI Check

The Single License Consignee ECLI Check functionality allows users to have one single consignee for an Export Control License that is compared to a configurable amount of parties on a transaction or ProcessComplianceRequest.

This functionality is enabled using a system value.

Single License Consignee ECLI Check System Values

COMPLIANCE	USE SINGLE CONSIGNEE FIELD	Set this value to YES or NO. This system value enables the single license consignee functionality. If this value is set to yes or true, then the XL screen only displays the Consignee field for licenses and license allowed products. The Ultimate Consignee is not displayed. License selection filtering and validation is performed against a defined list of parties on the transaction and the consignee on the license.
COMPLIANCE	ECLI LICENSE CONSIGNEE PARTIES	This value is a comma-separated list: Consignee,UltimateConsignee,DeliverTo,IntermediateCons

		This system value holds a comma separated list of Parties that can be compared against the license consignee field on the license. The contents of this list must be within the agreed list of supported parties.

US to Hong Kong Regulation

The compliance engine supports dual-use license requirements regarding exporting and re-exporting controlled items from the US to Hong Kong. This functionality is not restricted to Hong Kong, and can be configured for any country, if required. The following processes describe how to configure the engine for the new ECLI checks:

- Create System Values
- Add Country Group to ECCN Group
- Add ECCN Group to a Product
- Create Licenses
- Add Partner Types to Shipment Type

Create System Values

The table below is for shipments from the US in accordance with the new regulation.

US-HK ECLI System Values

Category	Key	Value
COMPLIANCE	ECLI IMP LIC COUNTRIES - US	This value is used to identify those countries that are subject to the regulation change and require an import license to be in place when shipping from the US. ISO Country Codes should be used to identify countries. For example: HK.
COMPLIANCE	ECLI RE-EX LIC COUNTRIES - US	This value is used to identify those countries that are subject to the regulation change and require an export license to be in place when shipping from the US. ISO Country Codes should be

Category	Key	Value
		used to identify countries. For example: HK.
COMPLIANCE	ECLI REGULATED CTRY GRPS - US	This value is used to identify the regulation reasons for control when shipping from the US. The values should be obtained from the Bureau of Industry & Security Commerce Control List Chart. For example: NS1,NS2,MT1,NP1,CB1,CB2,CB3

If the regulation is extended to include additional ECCN groups, these system values must be replicated for each additional ECCN group and post pended with that ECCN group instead of the US.

Add Country Group to ECCN Group

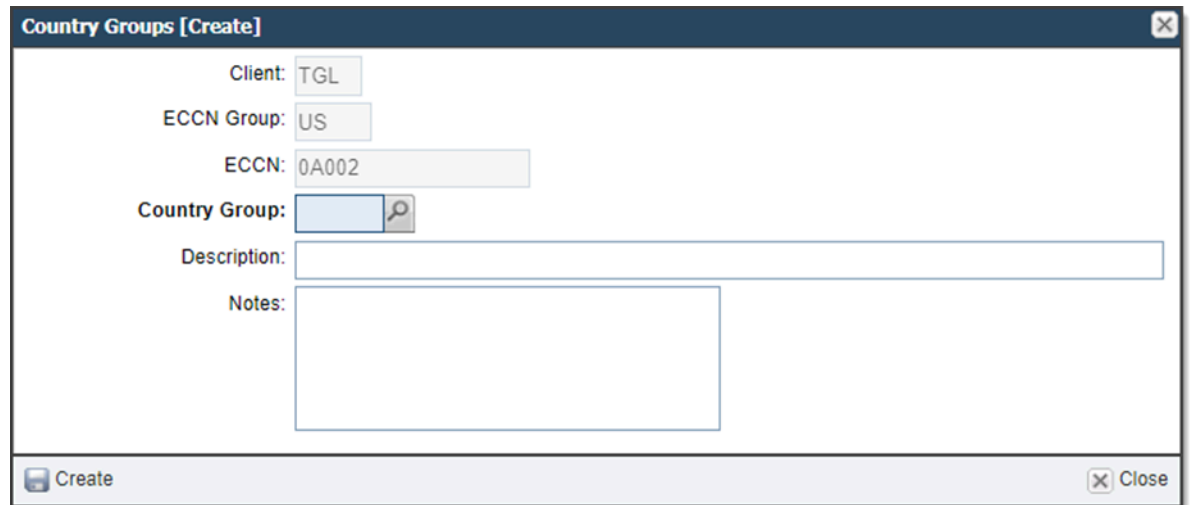
1. Navigate to the **Dual Use Classifications** screen (menu option ECCN).
2. Select a US ECCN Group; for example, 5A001.A.5.
3. Select Country Groups from the ECCN group's sub-options.

ECCN Group Sub-options, Country Groups Highlighted

The screenshot shows the 'Dual Use Classifications' screen. At the top, there is a green pencil icon and the title 'Dual Use Classifications'. Below this, there are two input fields: 'ECCN Group:' with the value 'US' and 'ECCN Number:' which is empty. Underneath these fields is a section titled 'Eccn Details' containing a table with three columns: 'ECCN Group', 'ECCN Number', and 'ECCN Desc.'. The first row of the table has 'US' in the 'ECCN Group' column, '0A002' in the 'ECCN Number' column, and 'Power genera' in the 'ECCN Desc.' column. A dropdown menu is open over the 'US' value in the 'ECCN Group' column, showing several options: 'Country Groups' (highlighted with a green arrow), 'ECCN Export Licence details', 'ECCN Import Licence details', 'Licence exceptions', and 'Reasons for control'. The 'Country Groups' option is the one selected for the next step.

4. Create a Country Group using one of the values from the ECLI REGULATED CTRY GRPS - US system value; for example, NS1.

Country Groups [Create] Window, Country Group Field



Country Groups [Create]

Client: TGL

ECCN Group: US

ECCN: 0A002

Country Group: 

Description:

Notes:

Create Close

Add ECCN Group to a Product

1. Navigate to the **Items** screen (menu option PR).
2. Select a product, and click the sub-option Classification - ECCN.

Items Sub-options

 **Items**

Product code:

Product

	Product code	Description
	1-213-02-712	8TSC-14.3 4
•	Associated Images	8TSC-14.3 6
•	Associated Rule books	8TSC-14.3 8
•	BOM components	14.3 8SNC 3
•	Classification - Customs	14.3 8SNC 4
•	Classification - ECCN	14.3 8SNC 6
•	Compliance - Country/CE Mark	14.3 8SNC 8
•	Compliance - Disable product checks	STRIP 8 125
•	Compliance - Questions - Product Level	*DE SHAFT
•	Export - Licence	KIT, USM FC
•	Export - Refund Recipes	DASH No. 2-
•	Hazmat - NAFTA - Transportation	-120 O-RING
•	Import - Attributes	-222 O-RING
•	Import - Licence	-120 O-RING
•	Preferential - Classification	-222 O-RING
•	Preferential - Internal Processing	VALVE SPRI
•	Preferential - Lot setup	GREASE GU
•	UOM conversions	S-BOX BOD
		3/4-16 UNF 3
		30RW-5167

3. Create a new ECCN classification based on the group used in the previous steps.

Classification - ECCN Update Window

Classification - Eccn [Update]

CLIENT: TGL

Product: 1-301-18-026

Export Group: EU

ECCN: 0007

Exception:

Minimum Value: 0.00

Maximum Value: 0.00

Currency:

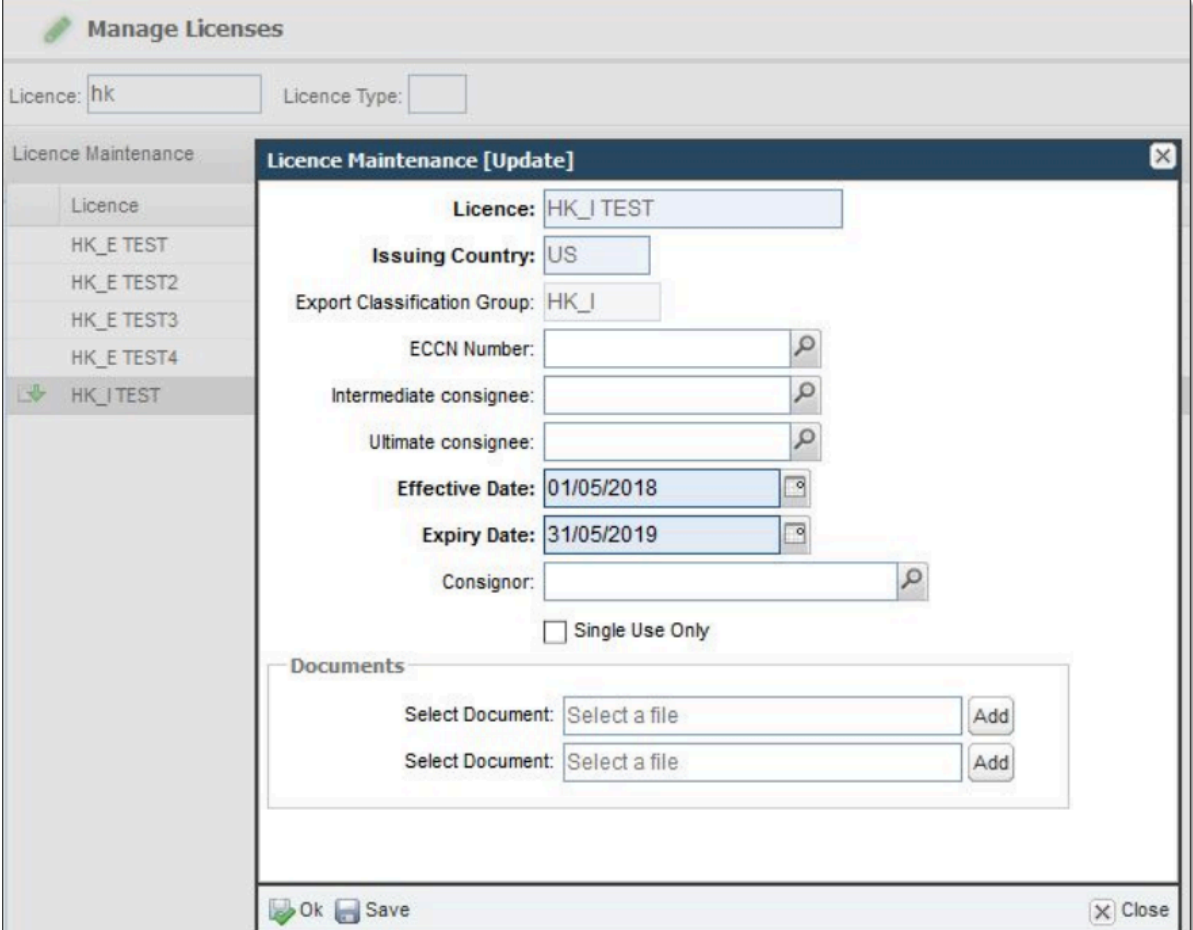
In use: ☐

Ok Save Close

Create Licenses

1. Navigate to the **Manage Licenses** screen (menu option XL).
2. Create a HK_I and a HK_E license.

License Maintenance Update Window



The screenshot shows a software window titled "Manage Licenses" with a sub-window titled "Licence Maintenance [Update]". The main window has a "Licence:" field with the value "hk" and a "Licence Type:" field. The sub-window has a left sidebar with a list of licenses: "Licence", "HK_E TEST", "HK_E TEST2", "HK_E TEST3", "HK_E TEST4", and "HK_I TEST" (which is selected and highlighted with a green arrow). The main area of the sub-window contains the following fields:

- Licence:** HK_I TEST
- Issuing Country:** US
- Export Classification Group:** HK_I
- ECCN Number:** (empty field with a search icon)
- Intermediate consignee:** (empty field with a search icon)
- Ultimate consignee:** (empty field with a search icon)
- Effective Date:** 01/05/2018 (with a calendar icon)
- Expiry Date:** 31/05/2019 (with a calendar icon)
- Consignor:** (empty field with a search icon)
- ☐ Single Use Only

Below these fields is a section titled "Documents" with two rows, each containing a "Select Document:" label, a text input field with the placeholder "Select a file", and an "Add" button. At the bottom of the sub-window are "Ok", "Save", and "Close" buttons.

3. On each license, add an Allowed Product on the sub-option.
4. Add the product used when adding an ECCN group to a product.

License Sub-options, Allowed Products Highlighted

 **Manage Licenses**

Licence: Licence Type:

Licence Maintenance

	Licence	Licence Type	Expiry Date	Issuing Country
	PMU-PSWEB4841-HK_E2	EX	30-April-2017	HK
	Licences - Allowed Products	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I1	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I1_RQF	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I2	EX	30-April-2017	HK
	PMU-PSWEB4841-HK_I3	EX	30-April-2017	HK
	PMU-PSWEB4841-US1	EX	27-December-2017	US

Licences - Allowed Products Update Window

Licences - Allowed Products [Update] 

Licence:

Licence Type: ☒ Export ☐ Import

Line Number:

Product Code: 

Export Classification Group:

ECCN Number: 

Intermediate Consignee:

Ultimate Consignee:

Tolerance ratio:

Consumed Value:

Licensed Value:

Currency: 

Consumed Quantity:

Licensed Quantity:

Quantity UOM Type: 

Quantity UOM: 

 Ok  Save  Close

Add Partner Types to Shipment Type

1. Navigate to the **Shipment Types** screen (menu option ZS).
2. Click the Compliance - Partner Types sub-option of the shipment type to use when creating shipments.

Shipment Types Sub-Options, Compliance - Partner Types Highlighted

Type	Description	Transaction type
CN	Compliance	S
	Charge/revenue template	Z
	Compliance - Checks	S
	Compliance - Partner types	S
	Sequence numbers	S
	Shipment rules	S
	EXC_A	S
	EXC_B	S
	PCHC_A	S

3. Add the following partner types:

- Consignee
- Customer
- Consignor
- Ultimate Consignee

Partner Types

Compliance check	Partner Type	In Use	Description	Comment	User Def 1
DPL	01	✓	Consignee		
DPL	02	✓	Carrier	CN carrier:02	
DPL	04	✓	Customer		

Permit/Guarantee (EXLI) Check

The EXLI check is used to determine whether a permit or a guarantee is required to ship a product based on certain restrictions such as country of destination, customer, country of origin, or consignor. You can configure these determination rules at product or commodity level. A rule set at product level takes precedence over a rule at commodity level. Configure these rules based on the company requirements; QAD GTTE does not provide any content in this area.

Example An organization ships 10 different products of the same commodity to France. Of these products, nine require a license. Instead of setting up individual rules for each product, you can set up one rule at commodity level for the 10 products and then one product-level rule for the exception.

Product-Level License Rules

To set up a license rule at product level:

1. Open the **Items** screen (menu option PR).
2. From the product code list, select the product you want to classify.
3. In the sub-options, select Export – License.

Items

Product code:

Product	
Product code	Description
1234567	test
8123456	Special "NUCLEAR" Adhesive Glue (Haz)
8987456	BOOTS - SIZE 7 - BLACK
A1000000	BOOTS - SIZE 7 - BLACK
	xxzz BOOTS - SIZE 8 - BLACK
	BOOTS - SIZE 9 - BLACK
	BOOTS - SIZE 7 - GOLD
	test
	BOOTS - SIZE 9 - GOLD
	BOOTS - SIZE 7 - RED
	BOOTS - SIZE 8 - RED
	BOOTS - SIZE 9 - RED
	Injection Mold
	Buttery Cheese
	Chicken Powder
	Chocolate Crosana
	Moqueca
	Mega-Milk Super Size(nft)
	VIS LAITON M6x1x18mm
	Gauze(nft)
	Sherians' Cream Liqueur(nft)
	Sherians' Low Fat Cream Liqueur

- Associated Images
- Associated Rule books
- BOM components
- Classification - Customs
- Classification - ECCN
- Compliance - Country/CE Mark
- Compliance - Disable product checks
- Compliance - Questions - Product Level
- Export - Licence**
- Export - Refund Recipes
- Hazmat - NAFTA - Transportation
- User Defined Fields
- Import - Licence
- Preferential - Classification
- Preferential - Internal Processing
- Preferential - Lot setup

- On the **Export - Licence** page, in the toolbar, click the Create a New Record icon.
- In the Export - Licence [Create] window, complete the following fields as appropriate:

Note The Client and Product Code fields are automatically populated according to the product record.

- To Country: From the lookup, select a country to ship to. The license is required when shipping to the country in this field.
- Consignor: Optionally, from the lookup, select a consignor. The license is required when the consignor is the one specified in this field.
- Export Licence: Optionally, from the lookup, select a valid export license that enables the transaction to automatically pass the check. You must set up the license in option XG before you can use it here.
- From Country: Optionally, from the lookup, select a country to ship from. A license is required when shipping from the country in this field.
- Customer: Optionally, from the lookup, select a customer. A license is required for shipping to the customer in this field.
- License Required (y/n): Select this checkbox to require a license. It is selected by default. Clear this field when this rule is an exception that specifies that a license is not required to ship this product.
- Comment: Optionally, add a comment about the export license.

The screenshot shows a software window titled "Export - Licence [Create]". Inside the window, there are several input fields and a checkbox. The "Client" field is populated with "TGL". The "Product Code" field is populated with "A3000001". The "To Country" field is populated with "FR" and has a magnifying glass icon to its right. The "Consignor" field is empty and has a magnifying glass icon to its right. The "Export Licence" field is populated with "EU001" and has a magnifying glass icon to its right. The "From Country" field is empty and has a magnifying glass icon to its right. The "Customer" field is empty and has a magnifying glass icon to its right. The "License Required (y/n)" field has a checked checkbox. The "Comment" field is empty. At the bottom left of the window is a "Create" button, and at the bottom right is a "Close" button.

6. To add the record, click Create.

Commodity-Level License Rules

To set up a license rule at commodity level, complete the following steps:

1. Open the **Commodities** screen (menu option CM).

2. From the commodity classification group list, select the commodity that you want to classify.
3. In the sub-options, select Commodity Export License Details.
4. On the **Commodity Export Licence Details** screen, in the toolbar, click the Create a New Record icon.
5. In the Commodity Export Licence Details [Create] window, complete the following fields as appropriate:

Note The Client, Classification Group, and Commodity fields are automatically populated according to the commodity record.

- To Country: From the lookup, select a country to ship to. The license is required when shipping to the country in this field.
 - Consignor: Optionally, from the lookup, select a consignor. The license is required when the consignor in the transaction is the one specified in this field.
 - Export Licence: Optionally, from the lookup, select a valid export license that enables the transaction to automatically pass the check. You must set up the license in menu option XG before you can use it here.
 - From Country: Optionally, from the lookup, select a country to ship from. A license is required when shipping from the country in this field.
 - Customer: Optionally, from the lookup, select a customer. A license is required for shipping to the customer in this field.
 - License Required (y/n): Select this checkbox to require a license. It is selected by default. Clear this field when this rule is an exception that specifies that a license is not required to ship this product.
 - Comment: Optionally, add a comment about the export license.
6. To add the record, click Create.

For the EXLI check, it is possible to set up different combinations of product and commodity rules. For each combination, the precedence is displayed in the following table:

Precedence in EXLI Check Combinations

Combination and Order of Precedence
Customer, Consignor, To Country, From Country
Customer, Consignor, To Country
Customer, Consignor, From Country
Customer, Consignor

Combination and Order of Precedence
Customer, To Country, From Country
Customer, To Country
Customer, From Country
Customer
Consignor, To Country, From Country
Consignor, To Country
Consignor, From Country
Consignor, From Country
To Country, From Country
To Country
From Country
All blank

When more than one entry is found for a matching combination, the following hierarchy applies:

- Use the entry that has an export license assigned.
- When more than one entry has an export license assigned, use the first one in alphabetical sequence.

Permit/Guarantee Check System Values

The table below lists relevant system values that you can configure in menu option Y3 for the EXLI check.

Export Control License System Value

Category	Key	Value
COMPLIANCE	EXLI – TRANSACTION TYPE UPDATE	<p>This value is a comma-separated list of transaction types from the Z9 option; for example, O for order, S for shipment, Q for quote.</p> <p>For the transaction types listed here, the number used on the license is not incremented.</p> <p>Generally, this list contains transaction types where a compliance request for a customer order is sent from third-party software. Therefore, the third-</p>

Category	Key	Value
		party software likely increments the number used for the license.

Keyword Check

The purpose of this Keyword (KEY) check is to check names, addresses, text boxes, and product descriptions for certain keywords; for example, bomb, nuclear, and military. If any of these keywords are found in the name and address of the partner, or in text IDs or product descriptions, then the check fails. The partner names and addresses checked for keywords are the same set of partner types that the DPL check is configured to screen. You can update the default list of partner types; for more information, see [Shipment Types for the DPL and KEY Checks on page 1049](#).

To set up and maintain keyword check:

1. Open menu option CK.
2. In the Checks panel, select the KEY check.
3. To add a keyword, in the toolbar, click the Add button.
4. Complete the following fields to the right of the Details grid:
 - Keyword: Enter the keyword to check.
 - Remarks: Optionally, enter explanatory remarks about the reason for the keyword check.
 - Warning Only: If you select the Warning Only checkbox, the keyword does not cause a compliance failure. Instead, a warning is displayed.
5. Click Create.

Uploading a Keyword File

To add a list of keywords from a text file, use the Upload keyword file button in the Details panel.

The keywords in the text file must be separated by a delimiter. Choose one of the following delimiters—carriage return, tab, comma, semicolon, or backslash.

The file must have at least three elements, and the final element must be the warning flag, followed by a comma. You can set the warning flag to a blank space, which is equivalent to setting it to FALSE. For example, the following file content is valid:

```
FIREARM,EXPLOSIVE,,
FIREARM,EXPLOSIVE,TRUE,
```

Keyword Check System Value

The table below lists the system value that you can configure in menu option Y3 for the KEY check.

Keyword Check System Value

Category	Key	Description
COMPLIANCE	KEYWORD SEARCH LOCATIONS	<p>Possible values:</p> <ul style="list-style-type: none"> • ADDRESS – Checks shipment names and addresses for words specified in the keyword check • TEXT – Checks text IDs for words specified in the keyword check • PRODUCT – Checks line item product descriptions for words specified in the keyword check <p>Default value: ADDRESS</p>

Data Integrity Check

The Data Integrity (DATA-INTEG) check consists of a list of compliance checks that are delivered as standard compliance checks in the QAD GTTE system. The purpose of the data integrity checks is to validate certain data elements on a transaction. There are a number of individual checks delivered:

- PARTNER_VALID_ISO checks that the country code associated with each partner on a transaction is a valid code.
- PRODUCT_VALID_CMOD1 checks that the export commodity codes on each of the item lines is valid.
- PRODUCT_VALID_CMOD2 checks that the import commodity codes on each of the item lines is valid.
- PRODUCT_VALID_COO checks that the country of origin code on each of the item lines is valid.
- PRODUCT_VALID_ECCN_EXP checks that the ECCN export code (associated with the country of origin on the transaction) on each item line is non-blank and valid. The system value ECCN MANDATORY GROUPS determines which lists of ECCN codes are checked. For more information on this system value, see, [Table 229 on page 1064](#).
- PRODUCT_VALID_ECCN_US checks that the US ECCN code on each item line is non-blank and valid.
- PRODUCT_VALID-HTS checks that the import and export group commodity codes on each item line are valid.
- PRODUCT_VALID-HTS_GROUP checks that the import and export group commodity groups on each item line are valid.

It is possible to have more than one data integrity check, allowing you to set up and run different lists of checks. For example, you may have different checks, depending on whether the transaction is export or domestic.

To view the data integrity checks in the system:

1. Open menu option CK.
2. Select the DATA-INTEG check in the Checks panel to view the available data integrity checks in the Details panel.

To add a data integrity check:

1. In the toolbar, click the Add button.
2. Complete the following fields to the right of the Details grid:
 - Method: Set this field to PROGRAM.
 - Element: Enter the general name of the check. For example, enter PARTNER_VALID_ISO to validate the ISO codes associated with the partners, or PRODUCT_VALID_ITC-HTS to validate item commodity codes against the master product classification.
 - Program: In standard systems, set this field to *STANDARD.
Note For data integrity checks customized by QAD GTTE, this field points to the customized Java class.
 - Base Program: If you are using a standard data integrity check provided with the QAD GTTE system, select this checkbox. If you are using customized data integrity checks, clear the checkbox.
 - Optional params: Optionally, enter parameters to control the behavior of the compliance check. For example, if the element is set to PRODUCT_VALID_ITC-HTS, and you want to raise a warning if an item's commodity code is valid but does not match the master product classification, enter the optional parameter CHECK_PRODUCT_CLASSIFICATION.
 - Remarks: Optionally, enter explanatory remarks about the data integrity check.
 - Warning Only: If you select the Warning Only checkbox, if the data integrity checks fail, the overall compliance check does not fail. Instead, a warning is displayed.

Creating a Data Integrity Check

Method: PROGRAM

Element:

Program:

Base program: ☐

Optional params:

Remarks:

Warning Only: ☐

Create

3. Click Create.

For the data integrity check to run, the data integrity check code must exist in the DATA INTEGRITY CHECKS system value in menu option Y3, as displayed in the table below.

Data Integrity System Value

Category	Key	Possible Values
COMPLIANCE	DATA-INTEGRITY CHECKS	A comma-separated list of data integrity codes that exist in menu option CK, such as DATA-INTEG,DOMDI.

Product to Country of Destination Check

The Product to Country of Destination (PRCT) check screens shipments for product and country of destination combinations. If any of these combinations are found, then the check fails.

Product to Country of Destination Check

The screenshot shows the 'Compliance Results' window. The top toolbar includes 'Recheck', 'Recheck All', and 'PDF' buttons. The 'Filter' is set to 'None'. The 'History' dropdown is visible. The main table displays the following data:

Item Line	Product Code	Country of desti...	Tested Date	Tested Time
10	A1000004	CA	30/10/2015	18:07:58

Below the table, the 'Pass' and 'Fail' status is shown. The 'Product Code' is A1000004 and the 'Country of Destination' is CA. A message indicates: 'The product 'A1000004' cannot be shipped to the country 'CA'. This has caused the compliance check to fail.'

The 'Legend' section shows the following status indicators:

- Passed (Green checkmark)
- Passed Manually (Green checkmark with 'M')
- Passed with Warnings (Yellow warning icon)
- Failed (Red X)
- Failed Manually (Red X with 'M')

The window status bar at the bottom shows 'Complete' and a 'Close' button.

To specify the product and country combinations that are not permitted, complete the following steps:

1. Open menu option CK.
2. In the Checks panel, select the PRCT check.
3. To add a PRCT check, in the toolbar, click the Add button.
4. Complete the following fields to the right of the Details grid:
 - Product Type: Choose either Product Group or Product.
 - Product Group/Product: Enter or select the product group or product to add to the check.
 - Country Type: Select either Country Group or Country.
 - Country Group/Country: From the lookup, select the country group or country to add to the check.
 - Remarks: Optionally, enter explanatory remarks about the reason for the check.
 - Warning Only: If you select the Warning Only checkbox, if the PRCT check fails, the overall compliance check does not fail. Instead, a warning is displayed.
5. Click Create.

This check screens shipment item lines and the shipment consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee to identify any unacceptable combinations.

PRCT Country and Product Group Restrictions

Product Type: ☐ Product Group ☒ Product
 Product: 60COMP-PR1
 Country Type: ☐ Country Group ☒ Country
 Country: CH
 Remarks:
 Warning Only: ☒
 Update

Uploading a PRCT Check

In menu option CK, you can upload a custom PRCT check in CSV or text format using the Upload File button in the Details panel.

Before you begin, create a PRCT CSV or text file in .csv or .txt format. In the file, include the following six key fields:

1. Product Code or Product Group. You must include either a product code or product group. The product code is validated against the product database. Product Group is a free-text field and must be between 1 and 6 characters long.
2. Product Type. This field is mandatory. If you entered a product group for key field 1, then this field must contain the word GROUP. If you entered a product code, this field must be blank.
3. Country Code or Country Group. You must include either a country code or country group. The country code is validated against the country table. The country group is validated against the country group table. The country code or country group is located in the 3rd element of the delimited row
4. Country Type. This field is mandatory. If you entered a country group for key field 3, then this field must contain the word GROUP.

Note

- For country groups, if the word GROUP is not included, a check is performed against the country table first, then the country group table.
- If the value of the fourth element is GROUP, then the third element must contain a valid Country Group ID (XMGCTR0 record). If the value of the fourth element is blank, then the third element can

either be a valid country code (xmctry0 record) or a country group (XMGCTR0 record).

If you entered a country code, this field must be blank.

5. Remarks. This is an optional free-text field. Enter remarks about the PRCT check.
6. Warning. You must set this value to either YES or NO. If the field is set to YES, if the PRCT check fails, the overall compliance check does not fail. Instead, a warning is displayed. If the field is set to NO, the compliance check fails if the PRCT check fails.

The combination of Product Code/Product Group and Country Code/Country Group must be unique.

The following codeblock contains sample content for a text file:

PRODUCTX,,US,,,NO

PRODUCTGROUPX,GROUP,US,,,NO

PRODUCTZ,,COUNTRYGROUPX,GROUP,,NO

PRODUCTGROUPY,GROUP,COUNTRYGROUPY,GROUP,,NO

PRODUCTZ,IE,not allowed to Ireland,NO

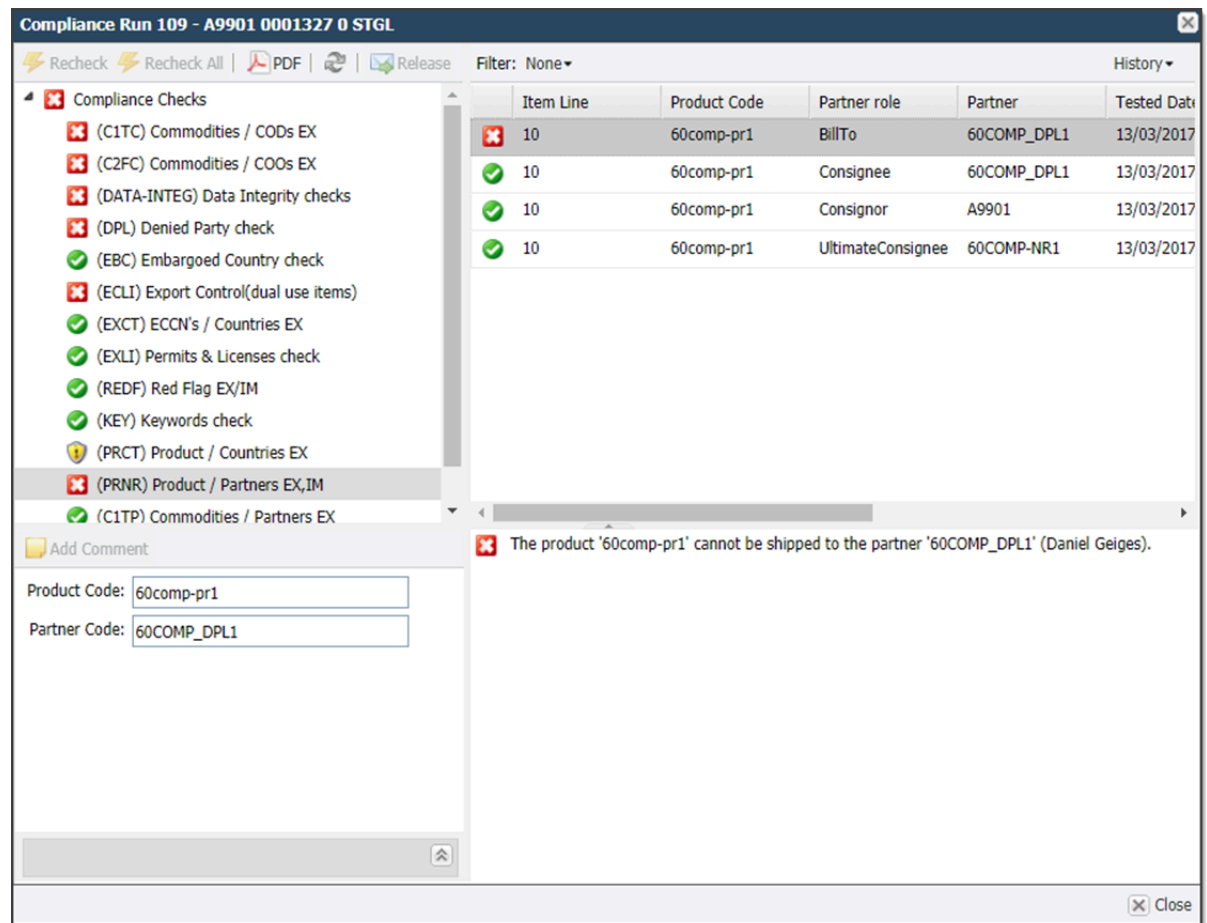
To upload a custom PRCT file, complete the following steps:

1. Access menu option CK.
2. In the Checks grid, select the PRCT check.
3. On the Details tab, click Upload File.
4. In the Product / Countries EX File Upload window, in the Delimiter section, select the relevant delimiter. You must choose the same delimiter that is used in the CSV file.
5. In the Select File field, click Browse.
6. Choose the CSV or text file to upload.
7. To view a summary of the upload results, click Upload.
8. To view a description of upload errors and their location in the file, click the Errors tab. If there are no errors, the Errors tab is not displayed.
9. If there are errors in the file, fix them in an editor, save the file, then repeat Steps 1 to 7.
10. Optionally, to download a CSV file of the upload report, on the Summary tab, click Export Summary.
11. If the file uploaded successfully, click Close to return to menu option CK.

Product to Partner Check

The Product to Partner (PRNR) check fails if it identifies particular products being shipped to specified partners. By default, it checks the consignee, customer, and consignor listed on a shipment. You can configure the check to screen additional partners on the shipment using the ZS sub-option, Compliance – Partner Types.

Product to Partner Check



Compliance Run 109 - A9901 0001327 0 STGL

Recheck Recheck All PDF Release Filter: None History

Compliance Checks

- (C1TC) Commodities / CODs EX
- (C2FC) Commodities / COOs EX
- (DATA-INTEG) Data Integrity checks
- (DPL) Denied Party check
- (EBC) Embargoed Country check
- (ECLI) Export Control(dual use items)
- (EXCT) ECCN's / Countries EX
- (EXLI) Permits & Licenses check
- (REDF) Red Flag EX/IM
- (KEY) Keywords check
- (PRCT) Product / Countries EX
- (PRNR) Product / Partners EX,IM**
- (C1TP) Commodities / Partners EX

Add Comment

Product Code: 60comp-pr1

Partner Code: 60COMP_DPL1

Item Line	Product Code	Partner role	Partner	Tested Date
10	60comp-pr1	BillTo	60COMP_DPL1	13/03/2017
10	60comp-pr1	Consignee	60COMP_DPL1	13/03/2017
10	60comp-pr1	Consignor	A9901	13/03/2017
10	60comp-pr1	UltimateConsignee	60COMP-NR1	13/03/2017

The product '60comp-pr1' cannot be shipped to the partner '60COMP_DPL1' (Daniel Geiges).

Close

To specify the product and partner role combinations that are not permitted, complete the following steps:

1. Open the **Compliance Checks** screen (menu option CK).
2. In the Checks grid, select the PRNR check.
3. In the toolbar, click Add.
4. Complete the following fields to the right of the Details grid:
 - Product Type: Choose either Product Group or Product.
 - Product Group/Product: Enter or select the product group or product to include in the PRNR check.

- Partner Role: From the lookup, select the partner role to include in the check.
- Partner: From the lookup, select the partner to include in the check.
- Remarks: Optionally, enter explanatory remarks about the reason for the PRNR check.
- Warning Only: If you select the Warning Only checkbox, if the PRNR check fails, the overall compliance check does not fail. Instead, a warning is displayed.

5. Click Create.

Combinations are displayed in the Details grid.

Adding Product to Partner Compliance Check Details

Product Type: ☐ Product Group ☒ Product

Product:

Partner Role:

Partner:

Remarks:

Warning Only: ☐

Create

Uploading a PRNR Check

In menu option CK, you can upload a custom PRNR check in CSV or text format using the Upload File button in the Details panel.

Before you begin, create a PRNR CSV or text file in .csv or .txt format. In the file, include the following six key fields:

1. Product Code or Product Group. You must include either a product code or product group. The product code is validated against the product database. Product Group is a free-text field and must be between 1 and 6 characters long.
2. Product Type. This field is mandatory. If you entered a product group for key field 1, then this field must contain the word GROUP. If you entered a product code, this field must be blank. The maximum length for this field is 35 characters.

Note The second element in the row of delimited values—the product type—can be either GROUP or blank. When the second element in the row of delimited values is GROUP, then the product group is mandatory and must be a valid record in XMMGRP0. When the second element in the row of delimited values is blank, then the first

element must contain a valid product code—namely, a valid record in the XMPROD0 record.

3. Partner Type. This field is mandatory. You must select a valid partner role.
4. Partner Code. This key is validated against the partner database.
5. Remarks. This is an optional free-text field. Enter remarks about the PRNR check.
6. Warning. You must set this value to either YES or NO. If the field is set to YES, if the PRNR check fails, the overall compliance check does not fail. Instead, a warning is displayed. If the field is set to NO, the compliance check fails if the PRNR check fails.

The combination of product code, partner type, and partner code must be unique.

The following codeblock contains sample content for a text file:

```
PRODUCTX,,01,PARTNERA,,NO
```

```
PRODUCTGROUPX,GROUP,01,PARTNERA,,NO
```

```
PRODUCTX,,01,PARTNERB,,NO
```

```
PRODUCTGROUPY,GROUP,01,PARTNERB,NO
```

```
PRODUCTZ,,01,PARTNERZ,NO
```

Note Each delimited row must contain six entries.

To upload a custom PRNR file, complete the following steps:

1. Access menu option CK.
2. In the Checks grid, select the PRNR check.
3. On the Details tab, click Upload File.
4. In the Product / Partners EX,IM File Upload window, in the Delimiter section, select the relevant delimiter. You must choose the same delimiter that is used in the CSV file.
5. In the Select File field, click Browse.
6. Choose the CSV or text file to upload.
7. To view a summary of the upload results, click Upload.
8. To view a description of upload errors and their location in the file, click the Errors tab. If there are no errors, the Errors tab is not displayed.
9. If there are errors in the file, fix them in an editor, save the file, then repeat Steps 1 to 7.
10. Optionally, to download a CSV file of the upload report, on the Summary tab, click Export Summary.

11. If the file uploaded successfully, click Close to return to menu option CK.

Commodity to Country of Destination Check

The Commodity to Country of Destination (C1TC) check fails if it identifies particular commodities being shipped to specified countries.

Commodity to Country of Destination Check

The screenshot displays the 'Compliance Run 115 - A9901 0001327 0 STGL' window. The left sidebar shows a list of compliance checks, with 'C1TC) Commodities / COOs EX' selected. The main area contains a table of results and a details section.

Commodity Group	Commodity Code	Country	Tested Date	Tested Time	Overridden By	Overridden Date	Overridden Time
HTS	2604000080	CH	13/03/2017	17:17:52 GMT			
HTS	2604000080	DE	13/03/2017	17:17:52 GMT			

Below the table, a message states: "The commodity ('HTS', '2604000080') cannot be shipped to the country 'CH' (SWITZERLAND). This has caused the compliance check to fail."

The 'Add Comment' section on the left shows the following details:

- Commodity Group: HTS
- Commodity Code: 2604000080
- Country: CH

A legend at the bottom left defines the status icons: Passed (green check), Passed Manually (green check with 'M'), Passed with Warnings (yellow warning), Failed (red X), Failed Manually (red X with 'M'), Under Review (red flag), and Disabled (grey circle).

To specify the commodity and country combinations that are not permitted, complete the following steps:

1. Open the **Compliance Checks** screen (menu option CK).
2. In the Checks grid, select the C1TC check.
3. In the toolbar, click Add.
4. Complete the following fields to the right of the Details grid:
 - Commodity Group: From the lookup, select the commodity group to include in the check.
 - Commodity Code: From the lookup, select the commodity code to include in the check.
 - Country Type: Select either Country Group or Country.
 - Country Group/Country: From the lookup, select the country group or country to add to the check.

- Remarks: Optionally, enter explanatory remarks about the reason for the C1TC check.
- Warning Only: If you select the Warning Only checkbox, if the C1TC check fails, the overall compliance check does not fail. Instead, a warning is displayed.

5. Click Create.

The check screens shipment item lines and the shipment consignee country, consignee override country, country of destination (COD), ultimate country of destination, and ultimate consignee to identify any unacceptable combinations.

Note To see the commodity codes linked to a particular product, in menu option PR, select the Classification – Customs sub-option for the product.

Uploading a C1TC Check

In menu option CK, you can upload a custom C1TC check in CSV or text format using the Upload File button in the Details panel.

Before you begin, create a C1TC CSV or text file in .csv or .txt format. In the file, include the following six key fields:

1. Commodity Group. This key is validated against the commodity group table.
2. Commodity Code. This key is validated against the commodity table.
3. Country Code or Country Group. You must include either a country code or country group. The country code is validated against the country table. The country group is validated against the country group table.
4. Country Type. This field is mandatory. If you entered a country group for key field 3, then this field must contain the word GROUP.

Note For country groups, if the word GROUP is not included, a check is performed against the country table first, then the country group table. If there is a match on the country group table, this field is then updated to contain the word GROUP.

If you entered a country code, this field must be blank.

5. Remarks. This is an optional free-text field. Enter remarks about the C1TC check.
6. Warning. You must set this value to either YES or NO. If the field is set to YES, if the C1TC check fails, the overall compliance check does not fail. Instead, a warning is displayed. If the field is set to NO, the compliance check fails if the C1TC check fails.

The combination of commodity group, commodity code, and country code must be unique.

The following codeblock contains sample content for a text file:

```
SCHB,8501104080,US,,,NO
```

SCHB,8501104060,COUNTRYGROUPX,GROUP,,NO

SCHB,8501104040,US,,,NO

ICN,85042290,COUNTRYGROUPLY,GROUP,comment,NO

ICN,85042210,IE,,not allowed to Ireland,NO

To upload a custom C1TC file, complete the following steps:

1. Access menu option CK.
2. In the Checks grid, select the C1TC check.
3. On the Details tab, click Upload File.
4. In the Commodities / CODs EX File Upload window, in the Delimiter section, select the relevant delimiter. You must choose the same delimiter that is used in the CSV file.
5. In the Select File field, click Browse.
6. Choose the CSV or text file to upload.
7. To view a summary of the upload results, click Upload.
8. To view a description of upload errors and their location in the file, click the Errors tab. If there are no errors, the Errors tab is not displayed.
9. If there are errors in the file, fix them in an editor, save the file, then repeat Steps 1 to 7.
10. Optionally, to download a CSV file of the upload report, on the Summary tab, click Export Summary.
11. If the file uploaded successfully, click Close to return to menu option CK.

Commodity to Partner Check

The Commodity to Partner (C1TP) check fails when it identifies certain commodities being shipped to specified partners. It checks the consignee, customer, and consignor listed on a shipment. You can configure the check to screen additional partners on the shipment using the ZS sub-option, Compliance – Partner Types.

Commodity to Partner Check

Compliance Run 109 - A9901 0001327 0 STGL

Recheck
 Recheck All
 PDF
 Print
 Release
 Filter: None
 History

	Commodity Group	Commodity Code	Partner role	Partner	Tested Date	Tested Time	Overridden By	Overridden Dat
	HTS	2604000080	BillTo	60COMP_DPL1	13/03/2017	17:15:30 GMT		
	HTS	2604000080	Consignee	60COMP_DPL1	13/03/2017	17:15:30 GMT		
	HTS	2604000080	Consignor	A9901	13/03/2017	17:15:30 GMT		
	HTS	2604000080	UltimateConsignee	60COMP-NR1	13/03/2017	17:15:30 GMT		

Add Comment
 The commodity ('HTS', '2604000080') can be shipped to the partner '60COMP_DPL1' (Daniel Geiges).

Add Comment
 Commodity Group:
 Commodity Code:
 Party Type:
 Partner Id:
 Partner Name:

Legend
 Passed
 Passed Manually
 Passed with Warnings
 Failed
 Failed Manually
 Under Review
 Disabled

Close

To specify the commodity and partner combinations that are not permitted, complete the following steps:

1. Open the **Compliance Checks** screen (menu option CK).
2. In the Checks grid, select the C1TP check.
3. In the toolbar, click Add.
4. Complete the following fields to the right of the Details grid:
 - Commodity Group: From the lookup, select the commodity group to include in the check.
 - Commodity Code: From the lookup, select the commodity code to include in the check.
 - Partner Role: From the lookup, select the partner role to include in the check.
 - Partner: From the lookup, select the partner to include in the check.
 - Remarks: Optionally, enter explanatory remarks about the reason for the C1TP check.
 - Warning Only: If you select the Warning Only checkbox, if the C1TP check fails, the overall compliance check does not fail. Instead, a warning is displayed.
5. Click Create.

Combinations are displayed in the Details grid.

Uploading a C1TP Check

In menu option CK, you can upload a custom C1TP check in CSV or text format using the Upload File button in the Details panel.

Before you begin, create a C1TP CSV or text file in .csv or .txt format. In the file, include the following six key fields:

1. Commodity Group. This key is validated against the commodity group table.
2. Commodity Code. This key is validated against the commodity table.
3. Partner Type. This key is validated against the partner role table.
4. Partner Code. This key is validated against the partner table.
5. Remarks. This is an optional free-text field. Enter remarks about the C1TP check.
6. Warning. You must set this value to either YES or NO. If the field is set to YES, if the C1TP check fails, the overall compliance check does not fail. Instead, a warning is displayed. If the field is set to NO, the compliance check fails if the C1TP check fails.

The combination of commodity group, commodity code, partner type, and partner code must be unique.

The following codeblock contains sample content for a text file:

```
SCHB,8501104080,01,PARTNERA,,NO
```

```
SCHB,8501104060,01,PARTNERB,,NO
```

```
SCHB,8501104040,01,PARTNERC,NO
```

```
ICN,85042290,01,PARTNERA,,NO
```

```
ICN,85042210,01,PARTNERB,,NO
```

To upload a custom C1TP file, complete the following steps:

1. Access menu option CK.
2. In the Checks grid, select the C1TP check.
3. On the Details tab, click Upload File.
4. In the Commodities / Partners EX File Upload window, in the Delimiter section, select the relevant delimiter. You must choose the same delimiter that is used in the CSV file.
5. In the Select File field, click Browse.
6. Choose the CSV or text file to upload.
7. To view a summary of the upload results, click Upload.

8. To view a description of upload errors and their location in the file, click the Errors tab. If there are no errors, the Errors tab is not displayed.
9. If there are errors in the file, fix them in an editor, save the file, then repeat Steps 1 to 7.
10. Optionally, to download a CSV file of the upload report, on the Summary tab, click Export Summary.
11. If the file uploaded successfully, click Close to return to menu option CK.

ECCN Code to Country Check

The ECCN Code to Country (EXCT) check fails when it identifies items with particular ECCN codes being shipped to specified countries. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee.

ECCN Code to Country Check

The screenshot displays the 'Compliance Run 109 - A9901 0001327 0 STGL' window. The left sidebar shows a list of compliance checks, with '(EXCT) ECCN's / Countries EX' selected. The main area shows a table of results for the EXCT check, indicating that the ECCN classification ('US', '0A984') can be shipped to the country 'CH' (SWITZERLAND).

ECCN Group	ECCN Number	Country	Tested Date	Tested Time	Overridden By	Overridden Date	Overridden Time
US	0A984	CH	13/03/2017	17:15:31 GMT			
US	0A984	DE	13/03/2017	17:15:31 GMT			

Below the table, a message states: "The ECCN classification ('US', '0A984') can be shipped to the country 'CH' (SWITZERLAND)." The left sidebar also includes an 'Add Comment' section with fields for ECCN Group (US), ECCN Number (0A984), and Country (CH). A legend at the bottom left defines the status icons: Passed (green check), Passed Manually (green check with 'M'), Passed with Warnings (yellow check with 'W'), Failed (red X), Failed Manually (red X with 'M'), Under Review (red 'U'), and Disabled (grey circle).

To specify the ECCN code and country combinations that are not permitted, complete the following steps:

1. Open the **Compliance Checks** screen (menu option CK).
2. In the Checks grid, select the EXCT check.
3. In the toolbar, click Add.
4. Complete the following fields to the right of the Details grid:

- ECCN Group: From the lookup, select the ECCN group to include in the check.
- ECCN Code: From the lookup, select the ECCN code to include in the check.
- Country Type: Select either Country Group or Country.
- Country Group/Country: From the lookup, select the country group or country to add to the check.
- Remarks: Optionally, enter explanatory remarks about the reason for the EXCT check.
- Warning Only: If you select the Warning Only checkbox, if the EXCT check fails, the overall compliance check does not fail. Instead, a warning is displayed.

5. Click Create.

This check enables you to set up restrictions for a group of countries, for all countries, or for one particular country.

EXCT Country Group Restrictions

Uploading an EXCT Check

In menu option CK, you can upload a custom EXCT check in CSV or text format using the Upload File button in the Details panel.

Before you begin, create an EXCT CSV or text file in .csv or .txt format. In the file, include the following six key fields:

1. ECCN Group. This key is validated against the ECCN group table.
2. ECCN Code. This key is validated against the ECCN table.
3. Country Code or Country Group. You must include either a country code or country group. The country code is validated against the country table. The country group is validated against the country group table.
4. Country Type. This field is mandatory. If you entered a country group for key field 3, then this field must contain the word GROUP.

Note For country groups, if the word GROUP is not included, a check is performed against the country table first, then the country group

table. If there is a match on the country group table, this field is then updated to contain the word GROUP.

If you entered a country code, this field must be blank.

5. Remarks. This is an optional free-text field. Enter remarks about the EXCT check.
6. Warning. You must set this value to either YES or NO. If the field is set to YES, if the EXCT check fails, the overall compliance check does not fail. Instead, a warning is displayed. If the field is set to NO, the compliance check fails if the EXCT check fails.

The combination of ECCN group, ECCN code, and country code must be unique.

The following codeblock contains sample content for a text file:

```
US,5A001.b.1.a,IN,,,NO
```

```
US,5A001.b.1.b,COUNTRYGROUPX,GROUP,,NO
```

```
US,5A001.b.1.c,IN,,,NO
```

```
EU,3A001.a.11.a,COUNTRYGROUPY,GROUP,comment,NO
```

```
EU,3A001.a.11.b,IE,,not allowed to Ireland,NO
```

To upload a custom EXCT file, complete the following steps:

1. Access menu option CK.
2. In the Checks grid, select the EXCT check.
3. On the Details tab, click Upload File.
4. In the ECCN's / Countries EX File Upload window, in the Delimiter section, select the relevant delimiter. You must choose the same delimiter that is used in the CSV file.
5. In the Select File field, click Browse.
6. Choose the CSV or text file to upload.
7. To view a summary of the upload results, click Upload.
8. To view a description of upload errors and their location in the file, click the Errors tab. If there are no errors, the Errors tab is not displayed.
9. If there are errors in the file, fix them in an editor, save the file, then repeat Steps 1 to 7.
10. Optionally, to download a CSV file of the upload report, on the Summary tab, click Export Summary.
11. If the file uploaded successfully, click Close to return to menu option CK.

Permitted Products to Country Check

The Permitted Products to Country (RPRC) check fails if it identifies shipments of products to countries that do not appear in a list of permitted countries for that product. It checks the consignee country, consignee override country, country of destination, ultimate country of destination, and ultimate consignee.

The image below shows a Fail status for shipments of a particular product to Ireland.

Permitted Products to Country Check with Fail Status

The screenshot displays the 'Compliance Run 5321 - 500 0026402 0 STGL' window. The interface includes a toolbar with 'Recheck', 'Recheck All', 'PDF', and 'Release' buttons, along with a 'Filter: None' dropdown and a 'History' button. A left-hand menu lists various compliance checks, with '(RPRC) Permitted prod/Countries EX' highlighted. The main area features a table with the following data:

Item Line	Product	Country of Destin...	Tested Date	Tested Time
10	60COMP-PR2	AF	16/02/2018	16:45:00 GMT

Below the table, a message states: 'The product '60COMP-PR2' cannot be shipped to the country 'AF'. This has caused this compliance check to fail.' The bottom left contains an 'Add Comment' section with input fields for 'Product: 60COMP-PR2' and 'Country of Destination: AF'. A 'Legend' section at the bottom left defines the status icons: Passed (green check), Passed Manually (green check with 'M'), Passed with Warnings (yellow warning), Failed (red X), Failed Manually (red X with 'M'), Under Review (red 'U'), and Disabled (greyed out).

To specify the product code and country code combinations that are permitted, go to the CK menu option and complete the following steps:

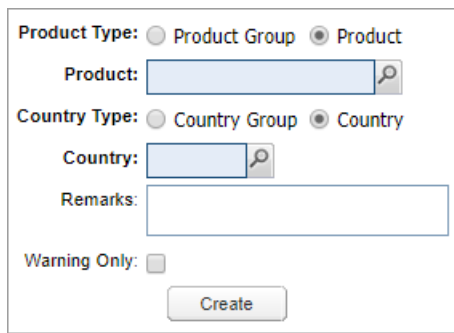
1. Open the **Compliance Checks** screen (menu option CK).
2. In the Checks grid, select the RPRC check.
3. In the toolbar, click Add.
4. Complete the following fields to the right of the Details grid:

- Product Type: Choose either Product Group or Product.
- Product Group/Product: Enter or select the product group or product to add to the check.
- Country Type: Select either Country Group or Country.
- Country Group/Country: From the lookup, select the country group or country to add to the check.
- Remarks: Optionally, enter explanatory remarks about the reason for the check.
- Warning Only: If you select the Warning Only checkbox, if the RPRC check fails, the overall compliance check does not fail. Instead, a warning is displayed.

5. Click Create.

Combinations are displayed in the Details grid.

RPRC Country and Product Group Restrictions



The screenshot shows a web form titled "RPRC Country and Product Group Restrictions". It contains the following fields and controls:

- Product Type:** Two radio buttons, "Product Group" (unselected) and "Product" (selected).
- Product:** A text input field with a magnifying glass icon on the right.
- Country Type:** Two radio buttons, "Country Group" (unselected) and "Country" (selected).
- Country:** A text input field with a magnifying glass icon on the right.
- Remarks:** A large text area.
- Warning Only:** A checkbox that is currently unchecked.
- Create:** A button at the bottom right of the form.

The image below shows that it is possible to send shipments with the product code A1000006 to Ireland, resulting in a Pass status for subsequent compliance checks.

Permitted Products to Country Check with Pass Status

The screenshot shows the 'Compliance Results' window. At the top, there are tabs for 'Recheck', 'Recheck All', and 'PDF'. A 'Filter: None' dropdown and a 'History' button are also present. The main area is divided into two panes. The left pane, titled 'Compliance Checks', shows a list of checks: '(DPL-TEXTS) Denied Party List - Text Boxes' and '(RPRC) Permitted prod/Countries EX', both with green checkmark icons. The right pane displays a table with the following data:

Item Line	Product	Country of Desti...	Tested Date	Tested Time
10	A1000006	IE	03/11/2015	17:14:34

Below the table, a message states: 'The product 'A1000006' can be shipped to the country 'IE'.' To the left of this message, there is a 'Fail' section with input fields for 'Product: A1000006' and 'Country of Destination: IE'. At the bottom left, a 'Legend' section defines the status icons: Passed (green check), Passed Manually (green check with 'M'), Passed with Warnings (yellow warning triangle), Failed (red X), and Failed Manually (red X with 'M'). The bottom status bar shows 'Complete' and a 'Close' button.

Uploading an RPRC Check

In menu option CK, you can upload a custom RPRC check in CSV or text format using the Upload File button in the Details panel.

Before you begin, create an RPRC CSV or text file in .csv or .txt format. In the file, include the following six key fields:

1. Product Code or Product Group. You must include either a product code or product group. The product code is validated against the product database. Product Group is a free-text field and must be between 1 and 6 characters long.
2. Product Type. This field is mandatory. If you entered a product group for key field 1, then this field must contain the word GROUP. If you entered a product code, this field must be blank.
3. Country Code or Country Group. You must include either a country code or country group. The country code is validated against the country database. The country group is validated against the country group database.
4. Country Type. This field is mandatory. If you entered a country group for key field 3, then this field must contain the word GROUP.

Note For country groups, if the word GROUP is not included, a check is performed against the country table first, then the country group table. If there is a match on the country group table, this field is then updated to contain the word GROUP.

If you entered a country code, this field must be blank.

5. Remarks. This is an optional free-text field. Enter remarks about the RPRC check.
6. Warning. You must set this value to either YES or NO. If the field is set to YES, if the RPRC check fails, the overall compliance check does not fail. Instead, a warning is displayed. If the field is set to NO, the compliance check fails if the RPRC check fails.

The combination of product code/product group and country code/country group must be unique.

The following codeblock contains sample content for a text file:

```
PRODUCTX,,US,,,NO
```

```
PRODUCTGROUPX,GROUP,US,,,NO
```

```
PRODUCTZ,,COUNTRYGROUPX,GROUP,,NO
```

```
PRODUCTGROUPY,GROUP,COUNTRYGROUPY,GROUP,,NO
```

```
PRODUCTZ,IE, allowed to Ireland,NO
```

To upload a custom RPRC file, complete the following steps:

1. Access menu option CK.
2. In the Checks grid, select the RPRC check.
3. On the Details tab, click Upload File.
4. In the Permitted prod/Countries EX File Upload window, in the Delimiter section, select the relevant delimiter. You must choose the same delimiter that is used in the CSV file.
5. In the Select File field, click Browse.
6. Choose the CSV or text file to upload.
7. To view a summary of the upload results, click Upload.
8. To view a description of upload errors and their location in the file, click the Errors tab. If there are no errors, the Errors tab is not displayed.
9. If there are errors in the file, fix them in an editor, save the file, then repeat Steps 1 to 7.
10. Optionally, to download a CSV file of the upload report, on the Summary tab, click Export Summary.

11. If the file uploaded successfully, click Close to return to menu option CK.

Questionnaires

A questionnaire is a set of questions related to a transaction; for example, Is the carrier C-TPAT certified? Each question must be answered correctly before the questionnaire check can pass.

For a detailed description of questionnaire compliance checks, including the difference between transaction and master compliance checks, see the [Using Trade Compliance on page 963](#) section.

You can create questionnaire checks in menu option QE, which is accessible from menu option CK by clicking on the Questionnaires button above the Checks grid. This questionnaire screen contains a Questions grid and a Questionnaires grid. Use the Questions grid to create questions, and the Questionnaires area to add these questions to questionnaires.

Questionnaire

Question Id	Question	Level	Type	Operator	Answer	Comment
PTEST3	Have you checked the credit rating of the parties on the transaction ?	M	LOG	=	Yes	
PTEST4	What ECCN code has been assigned to the product ?	M	CHAR	LIST	3E001,3E001,A,3...	
PTEST5	What is the value of the goods on the transaction ?	T	INT	<=	5000	
PTEST6	is this product hazardous ?	M	LOG	=	No	
V16CC_Q1	log/t	T	LOG	=	Yes	
V16CC_Q2	char/t	T	CHAR	=	test	
V16CC_Q3	int <=10	T	INT	<=	10	

Page 1 of 2
 Add
 Update
 Copy
 Delete
 Add to Questionnaire

Questionnaire	Description	In Use	Sequence
PROD_Q		true	120
TR_Q		true	140

Page 2 of 2
 Add
 Update
 Copy
 Delete
 Update Question
 Delete Question

When you attach a transaction level question to a questionnaire, you can configure whether the question should apply to all transactions or only transactions of a particular shipment type.

When you attach a master level question to a questionnaire, you can configure whether the question should apply to:

- All roles, a specific role, or a specific partner

- All products or a specific product
- A specific commodity code

Important You cannot add both master level and transaction level questions to a questionnaire. Similarly, you cannot create a master level questionnaire with a combination of product, commodity, and partner questions. You can combine questions for different products in a single questionnaire. Similarly, you can combine questions for different commodities or for different partners in a single questionnaire. Before you create a questionnaire and add questions to it, consider the purpose of the questionnaire, and your overall strategy for the questionnaires check.

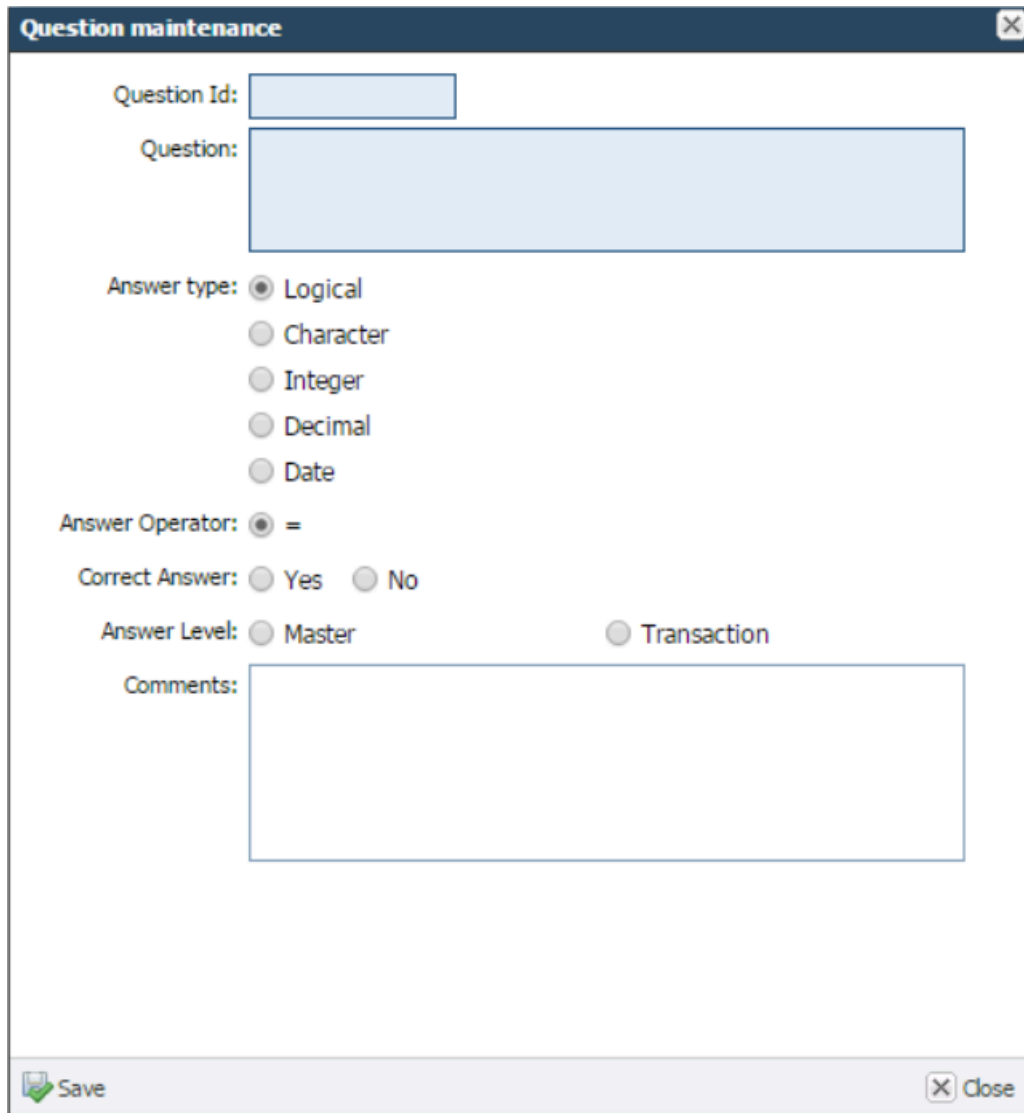
Questions Area

In the Questions area of menu option QE, you can set up questions to add to questionnaires.

For example, you can add a question such as "Have the purchase order, Letter of Credit, and all related purchase order documents been reviewed for boycott requests?" The user can choose to answer Yes or No.

To add a question, click Add.

Question Maintenance Screen for Adding a Question



The image shows a software window titled "Question maintenance" with a close button (X) in the top right corner. The window contains several input fields and radio button options. The "Question Id:" field is a small text box. The "Question:" field is a larger text box. The "Answer type:" section has five radio button options: "Logical" (selected), "Character", "Integer", "Decimal", and "Date". The "Answer Operator:" section has one radio button option: "=" (selected). The "Correct Answer:" section has two radio button options: "Yes" and "No". The "Answer Level:" section has two radio button options: "Master" and "Transaction". The "Comments:" field is a large text box. At the bottom left, there is a "Save" button with a green checkmark icon. At the bottom right, there is a "Close" button with a red X icon.

Question maintenance

Question Id:

Question:

Answer type: ☒ Logical
☐ Character
☐ Integer
☐ Decimal
☐ Date

Answer Operator: ☒ =

Correct Answer: ☐ Yes ☐ No

Answer Level: ☐ Master ☐ Transaction

Comments:

 Save  Close

Complete the following fields:

- Question ID: Enter an ID to identify the question. This field is mandatory.
- Question: This field contains the text presented to the user when completing a questionnaire; for example, Is the carrier ISO certified?
- Answer Type: Choose an answer type from the list:
 - Logical: The user can only answer yes or no to the question.
 - Character: The user answers the question by typing free text or by selecting an entry from a list.
 - Integer: The user answers the question by typing an integer.

- Decimal: The user answers the question by typing a decimal.
- Date: The user answers the question by typing a valid date.
- Answer operator: The following table contains the answer operators and their descriptions. The operators vary depending on the answer type.

Answer Operators

Answer Operator	Answer Type	Description
=	Logical, character, integer, decimal, date	The answer must be equal to the answer in the Correct Answer field.
Listed	Character	The answer must be equal to one of the values in a comma-separated list in the Correct Answer field. The questionnaire displays a free-text field.
Not Listed	Character	The answer must not be equal to any of the values in a comma-separated list in the Correct Answer field. The questionnaire displays a free-text field.
Selection	Character	The answer must be equal to one of the values in a comma-separated list in the Correct Answer field. The questionnaire displays a list for the user to choose from.
>	Integer, decimal, date	The answer must be greater than the answer in the Correct Answer field.
<	Integer, decimal, date	The answer must be less than the answer in the Correct Answer field.
>=	Integer, decimal, date	The answer must be greater than or equal to the answer in the Correct Answer field.
<=	Integer, decimal, date	The answer must be less than or equal to the answer in the Correct Answer field.

Answer Operator	Answer Type	Description
<>	Character, integer, decimal, date	The answer must not be equal to the answer in the Correct Answer field.

- **Correct Answer:** This field contains the answer to the question or a list of possible answers to the question.
- **Answer Level:** Specify whether this is a master-level question or a transaction-level question.
- **Comments:** Currently, comments you enter are not displayed in questionnaires.

When you have completed the fields, save the record. You can also update, copy, or delete a question. However, you cannot delete or update a question when it is associated with a questionnaire.

Questionnaires Area

The Questionnaires area of menu option QE is where you create questionnaires. In menu option Y3, the system value QUESTION CHECKS identifies compliance checks from menu option CK that are questionnaires. When you create a questionnaire in QE, the system automatically adds the questionnaire to this system value, as described in the table below. You can create a QUESTION CHECKS system value for a specific client or user and assign this value a subset of the general QUESTION CHECKS system value.

Questionnaire Setup System Values

Category	Key	Possible Values
COMPLIANCE	QUESTION CHECKS	A comma-separated list of questionnaire checks.
COMPLIANCE	SECURITY - <>	See the first table in Chapter 3.

Question Maintenance Screen for Adding a Questionnaire

To create a questionnaire, click Add, and, in the Questionnaire Maintenance window, complete the following fields:

- **Questionnaire:** Enter an ID to identify the questionnaire. This field is mandatory.
- **Description:** Enter a description for this questionnaire. The user sees this description on the Compliance Results page.
- **In Use:** This checkbox is selected by default. Only clear this field when you do not want to use the questionnaire at this time.
- **Sequence:** The sequence field is mandatory. However, it does not impact the questionnaire check, so you can specify any integer.
- **Non ECO check:** This checkbox is no longer used.

When you have completed the fields, save your record.

Adding Questions to Questionnaires

To add a question to a questionnaire in menu option QE:

1. In the Questionnaire area, select the relevant questionnaire to highlight it.
2. In the Questions area, select a question and click the Add to Questionnaire button.
3. In the Add Question to Questionnaire window, from the Level dropdown list, select the level at which you want the question to apply:

- **All transactions**

In this instance, the word transactions refers to the list of shipment types in menu option ZS. If you set up a questionnaire at this level, then the questionnaire applies to all shipments regardless of shipment type.

- **Transactions**

In this instance, the word transactions refers to the list of shipment types in menu option ZS. To add the question only for a specific transaction type, select Transaction from the Level dropdown menu. The Transaction Type field is displayed, and you can choose an entry in ZS that the questionnaire applies to.

- **All roles**

Select this option when you want the question to apply to all partners on the transaction.

- **Role**

To add the question only for a specific partner role or type, select Role from the Level dropdown menu. The Role field is displayed and you can choose the partner role that this question applies to. The full list of partner types is available in menu option PI.

- **Partner**

To add the question only for a specific partner, select Partner from the Level dropdown menu. The Role and Partner fields are displayed, and you can choose the partner role and partner that this question applies to. The question only applies for the specified role and partner combination; it does not apply if the partner has a different role for the shipment.

- **All products**

Select this option if you want the question to apply to all products on the transaction.

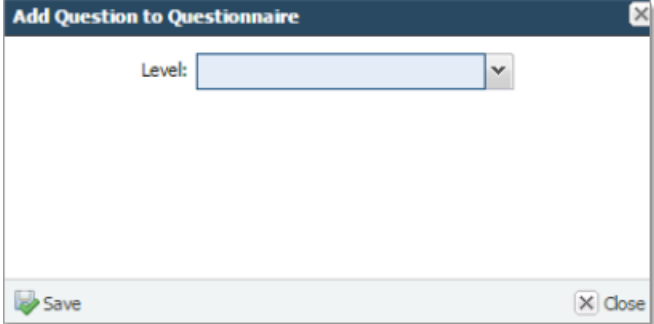
- **Product**

To apply the question only for a specific product, select Product from the Level dropdown menu. The Product field is displayed and you can choose the product that this question applies to.

- **Commodity**

To apply the question to a specific commodity, select Commodity from the Level dropdown menu. The Commodity Group and Commodity Code fields are displayed and you can choose the commodity, within a particular commodity group, that this question applies to.

Add Question to Questionnaire



The dialog box titled "Add Question to Questionnaire" has a "Level:" label followed by a dropdown menu. At the bottom, there are "Save" and "Close" buttons.

- When you complete the fields, click Save. The question is then added to the questionnaire.

Compliance History Search

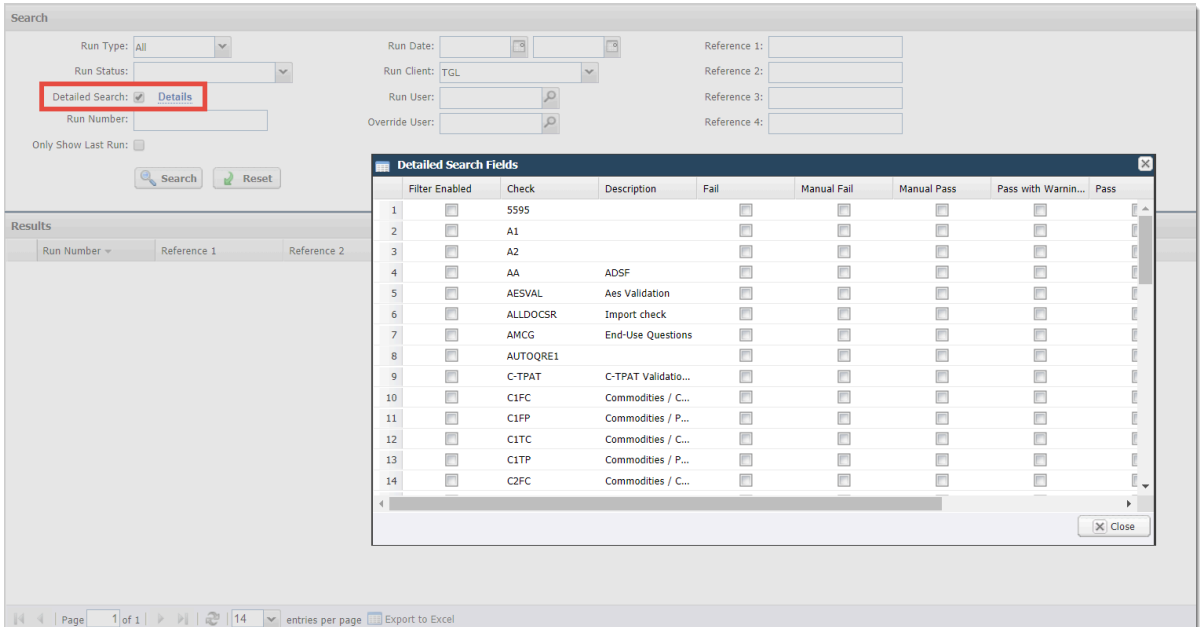
Configuring Detailed Search

The search panel of option CKHIST enables you to view the results of past compliance checks run through Desktop Shipping, Workflow, the DPL and Embargoed Country Checking, or from an external system.

Detailed Search System Values

You can specify the checks that are available for the Detailed Search criteria using the system value SEARCH CHECKS. For example, you can search for manually passed DPL checks or failed ECLI checks. For more details, see the table below.

Compliance History, Detailed Search



The interface shows a search panel on the left and a results table on the right. The search panel includes fields for Run Type, Run Status, Run Date, Run Client, Run User, and Run Number. The "Detailed Search" checkbox is checked, and the "Details" link is highlighted. The results table, titled "Detailed Search Fields", lists various checks and their status.

	Filter Enabled	Check	Description	Fail	Manual Fail	Manual Pass	Pass with Warmin...	Pass
1	☐	S595		☐	☐	☐	☐	☐
2	☐	A1		☐	☐	☐	☐	☐
3	☐	A2		☐	☐	☐	☐	☐
4	☐	AA	ADSF	☐	☐	☐	☐	☐
5	☐	AESVAL	Aes Validation	☐	☐	☐	☐	☐
6	☐	ALLDOCSR	Import check	☐	☐	☐	☐	☐
7	☐	AMCG	End-Use Questions	☐	☐	☐	☐	☐
8	☐	AUTOQRE1		☐	☐	☐	☐	☐
9	☐	C-TPAT	C-TPAT Validatio...	☐	☐	☐	☐	☐
10	☐	C1FC	Commodities / C...	☐	☐	☐	☐	☐
11	☐	C1FP	Commodities / P...	☐	☐	☐	☐	☐
12	☐	C1TC	Commodities / C...	☐	☐	☐	☐	☐
13	☐	C1TP	Commodities / P...	☐	☐	☐	☐	☐
14	☐	C2FC	Commodities / C...	☐	☐	☐	☐	☐

Page 1 of 1 | 14 entries per page | Export to Excel

Detailed Search System Values

Category	Key	Description
COMPLIANCE	SEARCH CHECKS	Specify the list of compliance checks that you want to make available for detailed searching in the Compliance History screen. Example: DPL,EBC,ECLI

Translation

The translation functionality for DPL and Keyword checks can be enabled and configured in the Translation tab of menu option CFGCK.

Translation Tab, Menu Option CFGCK

Configure Compliance

Compliance Results Technical Checks Whitelisting Reporting **Translation**

General

Fail if Translation Unavailable: ☒ Yes ☐ No ⓘ 📅

Google

Enable Translation: ☒ Yes ☐ No ⓘ 📅

Authentication JSON: E:\apps\PRECISION\WebUI\data\qad-precision-dev-9edce38956ed.json ⓘ 📅

Fail if Translation Unavailable. By default, this is set to **Yes** if translation is enabled. This means that a compliance check automatically fails if the engine is unable to translate the party's name or address.

Enable Translation. Select **Yes** to enable Google Translate on compliance checks.

Authentication JSON. Specify the path to the Google Translate API key. This JSON file is required to enable the integration and make requests to the API. For more information on generating Google API keys, see [Using API Keys](#).

The table below lists the corresponding system values that control the translation functionality.

Translation System Values

Category	Key	Value
COMPLIANCE	TRANSLATE: FAIL IF TRANSLATION UNAVAILABLE	Set this value to True if the compliance check should automatically fail for untranslatable names or addresses.

Category	Key	Value
COMPLIANCE	TRANSLATE: ENABLE GOOGLE TRANSLATE	Set this value is set to YES or TRUE to enable Google Translate on compliance checks.
COMPLIANCE	TRANSLATE: GOOGLE API KEY	Specify the path to the Google Translate API key JSON file.

Translated data is persisted in the database. The data is saved so that it can be reused in any rechecks without the need to call the Google Translate API again.

Translation details are also included in the ShowComplianceResult response message, as shown in the sample below.

Translated Element in ShowComplianceResult Response XML

```

<PartyResult>
  <PartyCheck>
    <Party>
      <PartyType>Consignee</PartyType>
      <PartyId>
        <Id>JS12345678</Id>
        <Source>JDE</Source>
      </PartyId>
      <Contact/>
      <Name>شرکت دماآتک ارفا</Name>
      <PartyAddress>
        <AddressLine1>غرب لافتساي ، طهران ، ايران</AddressLine1>
        <AddressLine2/>
        <Country>IR</Country>
      </PartyAddress>
      <Translated Language="English" Method="GoogleTranslateAPI">
        <Name>Arfa Paints Company</Name>
        <AddressLine1>Lavansay West, Tehran, Iran,</AddressLine1>
        <AddressLine2/>
      </Translated>
    </Party>
  </PartyCheck>
</PartyResult>

```

Productivity Reports

The Productivity Reports provide a detailed breakdown of compliance analyst productivity. This tool, accessed using option CKRPT, offers compliance managers full visibility of users who review compliance results.

This functionality can be configured in the Reporting tab of option CFGCK, Configuring Compliance.

Reporting Tab, Option CFGCK

Configure Compliance

Compliance Results Technical Checks Whitelisting **Reporting** Translation

Compliance Reports

Compliance report options: **Select Records** + ⓘ

CK1 - Productivity	X
CK2 - User productivity	X
CK3 - Batch screening	X
CK4 - Denied party screening	X

Enable and disable report types on the Compliance Productivity Reports

page by clicking the Add  and Remove  buttons in the Select Records box.

Add Report Type

Compliance report options: **Select Records** +

CK1 - Productivity	X
CK2 - User productivity	X
CK3 - Batch screening	X

Search...

☒	CK1 - Productivity
☒	CK2 - User productivity
☒	CK3 - Batch screening
☐	CK4 - Denied party screening

When you have completed your selection, click Save.

Note If no report types are selected in option CFGCK, then all report types are available by default on the **Productivity Reports** page, option CKRPT.

The system value in the table below controls this behavior:

Productivity Reports System Value

Category	Key	Value
COMPLIANCE	COMPLIANCE REPORTING OPTIONS	Determines what report types are available on the Compliance Productivity Reports page. Each value is

Category	Key	Value
		comma-separated and consists of one or more of the following: <ul style="list-style-type: none"> CK1: Productivity CK2: User productivity CK3: Batch screening CK4: Denied party screening

Windows UI Compliance Results

It is possible to view the compliance results created by the older Windows UI engine in the Web UI. For more information, see [Compliance Results on page 982](#) in the [Using Trade Compliance on page 963](#) section. These compliance results are read-only and cannot be overridden. The table below shows the related system value.

Note This feature is only available when running the compliance results Workflow task.

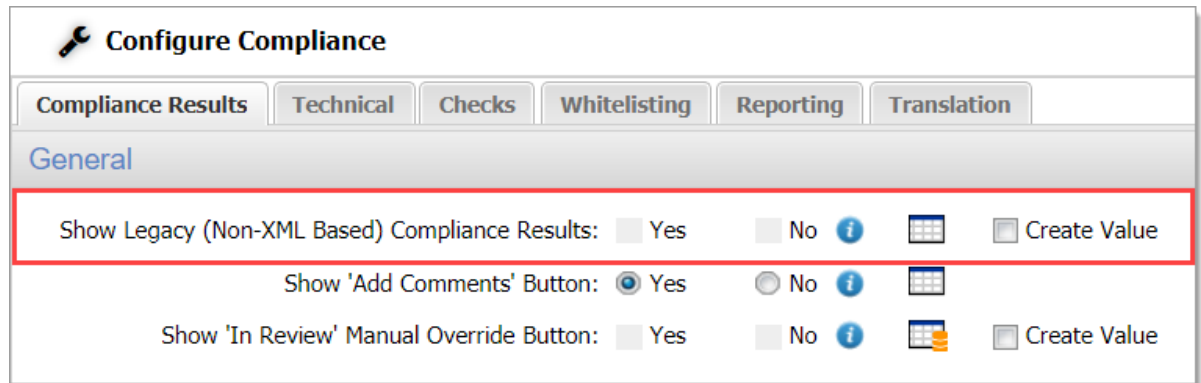
View Windows Legacy Results System Values

Category	Key	Description
COMPLIANCE	VIEW P2009 COMPLIANCE DATA	Set this value to Yes or No. When set to Yes, users will be able to view legacy Windows UI compliance results in the Compliance Run window.

You can enable this functionality using the Compliance Results tab on the **Configuring Compliance** page, menu option CFGCK. Here, you can maintain the system value described in the table above at a global level.

Select Create Value to begin configuring this feature. You can now select Yes to enable it. Users can now view the legacy Windows UI compliance results in the Web UI.

Show Legacy Compliance Results, Option CFGCK



Configure Compliance

Compliance Results Technical Checks Whitelisting Reporting Translation

General

Show Legacy (Non-XML Based) Compliance Results: ☐ Yes ☐ No ⓘ 📅 ☐ Create Value

Show 'Add Comments' Button: ☒ Yes ☐ No ⓘ 📅

Show 'In Review' Manual Override Button: ☐ Yes ☐ No ⓘ 📅 ☐ Create Value

The Maintain System Value  button opens a window in which you can further configure the system values associated with this functionality for a specific user, client, or group.

Workflow

Overview

You can configure your system to run Compliance as part of Workflow. If you are not familiar with Workflow functionality, first read the [Workflow on page 271](#) section in the *Administration* section of the Base documentation.

This section concentrates on the Compliance-related Workflow tasks that you can set up in the system. You can configure the Workflow tasks to run in two different ways:

- With user interaction through the Workflow Portal. There are three types of Compliance tasks that you can configure.
 - Run Compliance
 - Compliance Results
 - Compliance Status
- With a request from an external system; such as a QAD GTTE Web service call or an XML SOA request.
 - As part of a ship shipment or create shipment SOA XML request, you can configure the XML request to contain a section that runs a Workflow task.

You can use the prerequisite functionality in Workflow to control the tasks that can be run on a transaction based on the Compliance status of that transaction.

Example When the Compliance Status task is a prerequisite task to the Packing task, it prevents packing until Compliance has passed.

Note Each time you run Compliance, a unique ID number—a run number—is generated. The run number and the Compliance results associated with the run number are stored in the TMS database. It may be necessary to run Compliance at different times on the Workflow. However, it is recommended that you keep Compliance runs to a minimum to prevent the TMS Compliance tables growing excessively.

You can use a database sequence - TC_RUNNUMBER_SEQ - to generate the next run number to use when generating a new compliance result. The sequence can provide a performance improvement in certain high volume environments.

The USE RUN-NUMBER SEQUENCE system value specifies whether a sequence or system value is used to track run numbers.

USE RUN-NUMBER SEQUENCE

Category	Key	System Value
COMPLIANCE	USE RUN-NUMBER SEQUENCE	<p>Possible values:</p> <ul style="list-style-type: none"> • Yes – The TC_RUNNUMBER_SEQ database sequence is used to generate the next compliance run number. • No – The TC_RUNNUMBER_SEQ database sequence is used to generate the next compliance run number. Instead, based on the current default behavior, the RUN-NUMBER system value is incremented to generate the next compliance run number.

Workflow Portal Compliance Configuration

This section covers the Compliance tasks that you can configure to run in the Workflow Portal.

For information on configuring workflows, see the Administration section of the Base documentation.

Run Compliance Task

The Run Compliance task is displayed in the tasks area of the Workflow Portal. You can run this task by double-clicking it. When a green check mark is subsequently displayed, it indicates that Compliance has run successfully.

To enable a user to run Compliance in Workflow, make a Run Compliance task available. You can configure this task from the WFWT sub-option of Workflow Maintenance (WF), as shown in the image below.

Run Compliance Task Settings

Workflow Task - Update

Workflow code: WEB-ALL-S

Workflow type: S

Task sequence number: 180

Key ID: WFTCKR50

Task option: WFTCKR

Task program type: 50

Task description: Compliance - Run Compliance

Availability:
 ☐ Windows
 ☒ Web
 ☐ Both

Program Parameters: CHECKS=DPL;EBC;EXLI;SET_TASK=CK_STAT

Task type:
 ☒ Standard Task
 ☐ Secure Task - Before
 ☐ Secure Task - After
 ☐ Secure Task - Before && After
 ☐ Check
 ☐ Sub-Flow
 ☐ Compliance Status Task

Categories: Compliance,Other,All

☒ Repeatable task

☐ Warn of repeat

Required status:

Required status condition:
 ☒ =
 ☐ >
 ☐ <
 ☐ >=
 ☐ <=

☐ User confirms success

New status if successful:

New owner if successful:

New User if successful:

☐ Complete if unsuccessful

New status if unsuccessful:

New owner if unsuccessful:

New User if unsuccessful:

☒ Change status only on 1st run
☒ Break point task
☒ In forward loop when New
☒ In forward loop when Update
☐ In back loop when New
☐ In back loop when Update
☐ Is create new task
☐ Can display in read-only mode
☐ Can update in read-only mode
☐ Is a background task
☒ Show on Goto menu
☒ Show on Jump menu

Menu accelerator CTRL+ / ALT+: -

☒ Show in Task List area
☒ Lock transaction

VRC code: *STANDARD

Save Close

Key ID. Enter a unique code for the task; for example, RUN_COMP. This field is mandatory.

Task Option. Set to WFTCKR. This field is mandatory.

Task Program Type. Set to 50. This field is mandatory.

Task Description. Enter a meaningful description for this task. This text is the description the user sees for this task on the Workflow Portal.

Availability. Set to Web. This field is mandatory.

Program Parameters. There are two parameters for this task:

- **CHECKS=<CHECK_LIST>**

A semi-colon separated list of Compliance checks that you want to run. The possible checks are C1TC, C1TP, DATA-INTEG, DPL, DPL-TEXTS, EBC, ECLI, EXCT, EXLI, KEY, PRCT, PRNR, RPRC. For example, to set the Run Compliance task to run the Denied Party List and Embargoed Countries checks, set this parameter to DPL;EBC. This parameter is mandatory.

- **SET_TASK=<TASK_ID>**

This parameter is used to update the Compliance Status task in the workflow with the results of the Compliance checks. Set to the Key ID of the task that you want to update. For example, when the Key ID of the Compliance Status Workflow task is CK_STAT, specify SET_TASK=CK_STAT.

Task Type. Set to Standard Task.

Note The status of this task reflects whether the system was able to run this Workflow task successfully; it is not related to the result of the Compliance check.

Compliance Results

The Compliance Results task enables you to open the *Compliance Run* window and view the compliance results. You cannot access the results until a compliance check has run on a transaction at least once.

The task can be configured as follows from the WFWT sub-option of Workflow Maintenance (WF).

Compliance Results Task Settings

Workflow Task - Update

Workflow code: WEB-ALL-S

Workflow type: S

Task sequence number: 190

Key ID: WFTCKVCL

Task option: WFTCKV

Task program type: 50

Task description: Compliance - View Comp Results

Availability: ☐ Windows ☒ Web ☐ Both

Program Parameters:

Task type: ☒ Standard Task ☐ Secure Task - Before ☐ Secure Task - After ☐ Secure Task - Before && After ☐ Check ☐ Sub-Flow ☐ Compliance Status Task

Key ID. This is a unique code for the task; for example, VIEW_COMP. This field is mandatory.

Task Option. Set to WFTCKV. This field is mandatory.

Task Program Type. Set to 50. This field is mandatory.

Task Description. Enter a description for this task; for example, View Compliance Results. The user sees this description of the task in the Workflow Portal.

Availability. Select Web. This field is mandatory.

Program Parameters. There is one parameter that can be used for this task:

- SET_TASK=<TASK_ID>

This parameter is used to update a Compliance status task on the Workflow with the results of the Compliance checks when Recheck or Recheck All options are used on the results screen. Set TASK_ID = "Key ID" for the status task to be updated. This parameter is optional. However, when not configured, the Compliance status task is not updated when Compliance results change.

Task type. Set to Standard Task.

Note The status of this task reflects whether the system was able to run this Workflow task successfully; it is not related to the result of the Compliance check.

Compliance XML Compression

The compliance detail results are saved in the database as XML, which can be compressed using a binary XML format, EXI. The key benefit of compression is that it reduces the database growth, particularly in high volume environments.

Compression can be enabled and maintained in the *Technical* tab of the *Configuring Compliance* page, option CFGCK. If enabled, new results are compressed when they are written to the database.

Note Old results are not compressed.

Compression System Value

Category	Key	Value
COMPLIANCE	COMPRESS_COMPLIANCE_RESULTS	<p>NO. Determines if compression of new compliance results is enabled.</p> <p>Possible values: yes, no</p> <p>Default value: yes</p>

Compress Compliance Results, Option CFGCK

Configure Compliance

Compliance Results | **Technical** | Checks | Whitelisting | Reporting | Translation

Advanced

Compress Compliance Results: ☒ Yes ☐ No

Disable Count Query: ☒ Yes ☐ No

Ensure No Duplicates: ☐ Yes ☐ No

Disable Source Search: ☐ Yes ☐ No

Number Of References:

Compression System Values

System Values | Tags | **Database**

Category: Key: Value: User: Client: Group: Env:

Category Values

Category	Key	Value	User	Client	Group	In Use	Template	Environment	Last Modified By	Last Modified Time
COMPLIANCE	COMPRESS_COMPLIANCE_RESUL	true				true		*STANDARD	RQF	16-02-2018 12:35:08
COMPLIANCE	COMPRESS_COMPLIANCE_RESUL	false							PJK	16-02-2018 09:21:53

Configuring the Under Review Status

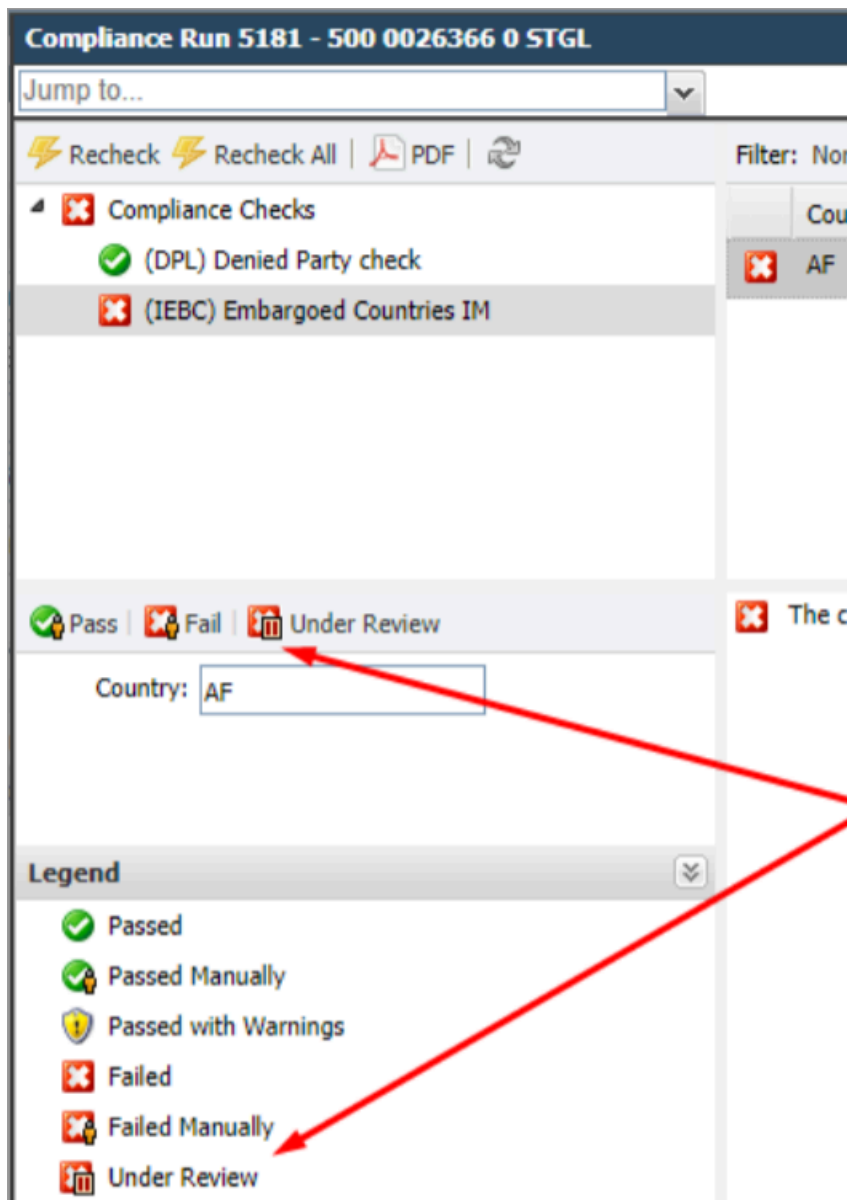
Under Review (FR) is a manual override status that is available for all check types. Users with the appropriate permissions can apply the Under Review status to compliance checks that have failed. Under Review

status is not available as a manual override option for checks that have passed. The purpose of this feature is to indicate to other users that the reason for the failure is currently being investigated.

Note A check can only move out of Under Review status if it is updated to either Passed Manually or Failed Manually. Users can also select the *Recheck* or *Recheck All* buttons. Clicking *Recheck All* removes all manual override statuses, including Under Review.

When configured, the *Under Review* button is available in the compliance results window beside the existing manual override buttons, *Pass* and *Fail*.

Under Review Button Available on Failed Compliance Check



If Under Review status is applied to a check detail line, the same status of Under Review is then applied to the overall compliance result. The only status that takes precedence over the Under Review status is the Failed Manually status. The overall result becomes Failed Manually when this is applied to a check result, even if the Under Review status has been applied to a check detail line.

Under Review Status Becomes Overall Compliance Result

Enabling the Under Review Status

Similar to the *Pass* and *Fail* manual override options, users must have the required permissions for each check type in order to have access to the *Under Review* status button. The system value below must also be set.

Enable Under Review System Value

Category	Key	Value
COMPLIANCE	ENABLE UNDER REVIEW STATUS	YES

Note The Under Review status behaves the same way when compliance is run as part of Desktop Shipping. The user cannot proceed to the next step when a check is set to Under Review.

The system value can be configured in the *Compliance Results* tab of the *Configure Compliance*, option CFGCK, page. Select *Create Value* for the *Show 'In Review' Manual Override Button* field, and then *Yes* to enable it.

Enable Under Review Button, CFGCK Page

Configure Compliance

Compliance Results | Technical | Checks | Whitelisting | Reporting | Translation

General

Show Legacy (Non-XML Based) Compliance Results: ☐ Yes ☐ No   ☐ Create Value

Show 'Add Comments' Button: ☒ Yes ☐ No  

Show 'In Review' Manual Override Button: ☐ Yes ☐ No   ☐ Create Value

Show 'In Review' Manual Override Button:
Allows user use the 'In Review' override status button. User also requires the standard manual override security permissions. This button can only be viewed when the check detail result is FAIL.

Configuring Comments

When enabled, the *Add Comment* button appears in the compliance results window beside the manual override options. This functionality is useful when users want to log and view the progress of an Under Review check. Multiple comments of up to 1000 characters can be added to a check detail line with any status. The comment does not impact the status of the detail line, or the overall check status.

Note Users can access the Add Comment functionality if the manual override buttons are unavailable in the compliance results window.

Add Comment Button

Compliance Run 10441 - IMD 1962 0 EGB

 Translate Literals

 Recheck  Recheck All |  PDF | 

  Compliance Checks

 (DPL) Denied Party check

 (IEBC) Embargoed Countries IM

 Pass |  Fail |  Add Comment

Note User comments are stored as manual overrides. Therefore, comments are only carried forward when the user runs a recheck, but not when Recheck All is run.

Enabling the Add Comment Button

To enable the *Add Comment* button in the compliance results window, the system values below must be set.

Add Comment System Value

Category	Key	Value
COMPLIANCE	ENABLE ADD COMMENTS	YES

The system value can be configured in the *Compliance Results* tab of the *Configure Compliance* (CFGCK) page. Select the *Yes* option on the *Show 'Add Comments' Button* field.

Enable Add Comments Button, CFGCK page

The screenshot shows the 'Configure Compliance' (CFGCK) page with the 'General' tab selected. The 'Show 'Add Comments' Button' field is highlighted with a red box and is set to 'Yes'. A tooltip is visible for this field, stating: 'Show 'Add Comments' Button: Allows user use the 'Add Comment' button. Category: COMPLIANCE Key: ENABLE ADD COMMENTS'.

Compliance Status Task

The Compliance Status task is usually displayed in the Tasks area, although it is not interactive. It simply displays the current Compliance status of the transaction.

The status of this task is updated when Compliance checking is run from a run Compliance Workflow task or from the *Compliance Results* window. The task can be configured from the WFWT sub-option of Workflow Maintenance (WF), as shown in the image below.

FLOW Settings

WorkFlow Task - Update

Workflow code: WEB-ALL-T

Workflow type: S

Task sequence number: 170

Key ID: CK_STAT

Task option: FLOW

Task program type: 90

Task description: Compliance - Overall Status

Availability: ☒ Windows
☐ Web
☐ Both

Program Parameters:

Task type: ☒ Standard Task
☐ Secure Task - Before
☐ Secure Task - After
☐ Secure Task - Before && After
☐ Check
☐ Sub-Flow
☐ Compliance Status Task

Key ID. Enter a unique code for the task; for example, CK_STAT. This field is mandatory

Task Option. Set to FLOW. This field is mandatory.

Task Program Type. Set to 90. This field is mandatory.

Task Description. Enter a description for this task; for example, Compliance Status. Enter a description that the user sees for this task on the Workflow Portal.

Availability. Set to Web. This field is mandatory.

Program Parameters. Leave this field blank.

Task Type. Set to Standard Task.

Note The option Compliance Status Task is for future use.

System Value Related to Compliance Status Task

Category	Key	Value
COMPLIANCE	WORKFLOW STATUS	<p>The task ID of the Compliance Workflow status used on Transactions.</p> <p>This system value is used when the Compliance status changes due to the Compliance Results screen being accessed outside of Workflow. It ensures that the Compliance Status Workflow task displays the current Compliance status.</p>

Compliance Prerequisite Checks

You can configure Workflow to prevent tasks from running based on the Compliance results. There are two methods:

- Add the Compliance Status task as a prerequisite of another Workflow task so that, when Compliance fails, it is not possible for the other Workflow task to run.
- Configure the Run Compliance task as a check task and as a prerequisite task of another Workflow task. Compliance then runs before the task and prevents the task from running when Compliance has failed. To configure the Run Compliance task as a check task, set up the task as shown in the *Run Compliance Task Settings* image, but set the *Task Type* field to Check.

SOA Compliance

As part of Service-Oriented Architecture (SOA), Compliance can be integrated into ship shipment and create shipment messages. There is a Compliance section at the bottom of these messages that triggers the Workflow task Run Compliance (SOA), which contains details of the checks to run. Set up this task using the WF option in the Windows UI. The details are contained in the table below. This task generally runs at the end of the process, so assign it a high sequence number.

Note The user does not see this task.

SOA Compliance Task Fields

Field	Run Compliance (SOA)
Task option	WFTCKR
Task program type	02
Program Parameters	<p>Enter a semi-colon separated list of checks to run on the transaction. Each program parameter is then separated by a comma.</p> <p>For example: CHECKS=DPL;DATAINTEG;EBC;ECLI;EXLI;KEY;CMKQ1,RESULT-TYPE=</p> <p>Complete,SET_TASK=CK_STAT,HIGHWAY_TARGET=SYNCH_IN,HIGHWAY_MESSAGE_ID=COMPLY_SYNCH,RESULT-TYPE=INTERMEDIATE</p> <p>To run all checks, enter: CHECKS=*ALL</p> <p>SET_TASK = Task Key ID identifies the task to set to indicate whether Compliance passed or failed.</p> <p>HIGHWAY_TARGET=SYNCH_IN indicates which Highway endpoint to send the Compliance XML request message to.</p>

Field	Run Compliance (SOA)
	<p>HIGHWAY_TARGET=SYNCH_IN points to a system value which stores the Highway Reader URL, Endpoint ID, and whether debugging is on or off. For example:</p> <p>SEND_METHOD=HTTP,URL=http://qqcoqadwin555:8080/HighwayConsole/HttpReader,ENDPOINT=COMPLYBB_SYNCH_OR2,DEBUG=YES</p> <p>HIGHWAY_MESSAGE_ID=COMPLY_SYNCH indicates the Highway message ID endpoint, which states that it is a synchronous message.</p> <p>RESULT-TYPE=INTERMEDIATE indicates the format of the response message containing Compliance results. There are three possible formats for the Compliance result message:</p> <ul style="list-style-type: none"> • Short – Basic results of each check. • Intermediate – More detailed information on each check. • Complete – The intermediate check information plus a more detailed breakdown on the DPL check, including more information on percentages.
Task Type	Check
Repeatable task	Yes
Lock transaction	Yes

SOA Communication

For the Run Compliance (SOA) task to work, the 4GL listeners must be running. The Java listener also needs to be running for communication with the Web UI.

The Program Parameters field entry must specify endpoints where messages can be sent and picked up. For more details on SOA communication involving Compliance, see the [SOA on page 1142](#) section.

Security

Compliance security permissions in the Web UI are controlled by user group permissions. Set up your user groups once and then add and remove users as necessary. For details on security in the Web UI, see the [Permissions on page 249](#) page in the Administration section of the Base documentation.

You can set up the user group to which you want to give certain permissions in option GU. Using system values, you can specify which permissions to give the user group; you can enable groups to perform a manual override, attach a license, or complete a questionnaire.

Configuring Compliance Security

For each client, at a Compliance check level, you can specify the user group that can perform:

- A manual override
- Data entry tasks such as assigning a license or answering a question

You can restrict these user group privileges so that users in a group can only exercise a privilege on compliance results run in a particular client (or all clients).

Example You assign override privileges for the DPL check to user group A. All users in user group A can manually override results of DPL checks that are run in any client to which they have access.

Example You assign override privileges for the DPL check to users in user group A in client NY only. All users in user group A with access to client NY can manually override results of DPL checks that are run in client NY.

You can configure Compliance security using the *Security* tab in the CK option, or by updating the compliance system values directly in option Y3.

To configure Compliance security in the CK option, select the *Security* tab and use the fields to the right of the grid to specify the user group with manual override privileges. Similarly, you can specify the user group with data entry privileges.

Compliance Check Security Settings

Compliance Checks

Checks | **Security** | Notifications | Whitelist

Check Type: Client: Search

Check	Type	Client	User Group
C1TC	Override		QTGLUSER
C1TP	Override		QTGLUSER
C2FC	Override	QA1	QTGLUSER
C2FC	Override	TGL	QTGLUSER
COMQ	Override		QTGLUSER
COMQ	DataEntry		QTGLUSER
DATA-INTEG	Override		QTGLUSER
DATA-INTEG	Override	JPN	QTGLUSER
DATA-INTEG	Override	QA1	QTGLUSER
DEC_T1	DataEntry		QTGLUSER
DPL	Override	QAU	QTGLUSER
DPL	Override	QA1	QTGLUSER
DPL	Override	TGL	QTGLUSER
DPL	Override	JPN	QTGLUSER
DPL	Override	QA2	QTGLUSER
DPL	Override	QA3	QTGLUSER
EBC	Override	TGL	QTGLUSER
EBC	Override	QAU	QTGLUSER
EBC	Override	QA1	QTGLUSER
EBC	Override	JPN	QTGLUSER

Check: Type: ☒ Override ☐ DataEntry

Client:

User Group:

Add |
 Delete |
 Update |
 Copy |
 Print

Check. Specify the compliance check for which you want to assign security privileges at user group level.

Type. Specify the permissions that you want to assign to the selected user group.

Client. If you want to restrict this security privilege to compliance checks run in a particular client, then specify the client in this field. For the security privilege to apply to a member of the user group, you must give the user access to the client in option US.

User Group. Specify the user group to which you want to assign the security privilege.

Compliance Security System Values

Compliance Security Setup System Values

Category	Key	Possible Values
COMPLIANCE	SECURITY – <CHECKNAME> The checks are: SECURITY – DATA-INTEG SECURITY – DPL SECURITY – EBC SECURITY – ECLI	Each value is comma separated and consists of Type, Client, User Group <ul style="list-style-type: none"> Type: Override or DataEntry Client: Blank or a specific client

Category	Key	Possible Values
	<p>SECURITY – EXLI SECURITY – TFSQ1 (TFSQ1 is an example of a questionnaire. Security can only be set up at questionnaire level, not question level.)</p>	<ul style="list-style-type: none"> User Group: A particular user group <p>Each value must begin on a new line. Examples: Setting SECURITY – ECLI to Override,US1,ECLI-US Means that for users where the client US1 and user group ECLI-US applies, these users can override a failed ECLI Compliance check in the Compliance Results screen. Setting SECURITY – ECLI to DataEntry,,QTGLUSER Override,,EU1 Allows members of the QTGL user group to add licenses in the (ECLI) Dual Use section of the Compliance Results screen. It does not give members of this users group permission to override failed ECLI checks. Members of the EU1 user group can add licenses in the (ECLI) Dual Use section of the Compliance Results screen and can also override ECLI check fails.</p>

Category	Key	Possible Values
COMPLIANCE	LOCK WEBUI COMPLIANCE HISTORY	<p>Determines whether compliance results automatically open in edit mode for users with that privilege, and whether users are informed that other users are viewing the results in edit mode.</p> <p>Possible values:</p> <ul style="list-style-type: none"> • Yes—Users are notified when they try to access compliance results in edit mode and another user is already viewing the results in edit mode. The user can choose to unlock the results or to view the results in read-only mode. • No—Users are not notified when they try to access compliance results in edit mode and another user is already viewing the results in edit mode. The results automatically open in edit mode. <p>Default value: No</p>

Note When a user does not have access to license buttons on the *Compliance Run* window, the *Add License* button is not active.

Notifications and Responses

Overview

Notifications and responses to external systems can be sent when running Compliance or when performing a manual override, license, or questionnaire action.

You can choose to send e-mail notifications when the overall compliance status for a transaction changes, or when the compliance status for individual compliance checks on a transaction changes.

Notifications are sent by email. Responses to external systems are sent using QAD GTTE SOA XML messages.

Emails

Email Triggers

You can configure the system to send an email when you run compliance or manually update a compliance check result. The possibilities are:

- Run compliance through:
 - Compliance Workflow task
 - Recheck or Recheck All buttons in the Compliance Results window
- Manually update a check on the Compliance Results window by
 - Manually overriding a compliance check result
 - Adding or deleting a license
 - Answering a question
- Receive a ProcessCompliance request from an external system

You can also configure the system to send an email based on the Compliance status.

Email Recipients

The system sends these notification emails to:

- Users listed for notification for that particular check in menu option CK. For information on how to add these users, see [Configuring Compliance Checks on page 1038](#).
- Check-level ECOs. Specify these Export Compliance Officers (ECOs) through the ECO system value in the Compliance Notification System Values for all Compliance Notifications table.
- Shipment-level ECOs. Specify these ECOs through the ECO system value in the Compliance Notification System Values for all Compliance Notifications table.

- Shipping officer parties—listed on the shipment as the Shipping Officer.
- Shipment notify parties—listed on the shipment as the Notify Party.

Configuring Email Notifications

In menu option Y3, the system values that control behavior for notifications resulting from running compliance checks are described in the Compliance Notification System Values for Run Compliance Notifications table.

The system values that control behavior for notifications resulting from manually updating compliance checks are described in the Compliance Notification System Values for Manual Update Notifications table.

General compliance notification system values are listed in the Compliance Notification System Values for all Compliance Notifications table.

Compliance Notification System Values for Run Compliance Notifications

Category	Key	Description
COMPLIANCE	NOTIFICATIONS ENABLED	This value allows you to enable or disable notifications sent as a result of running compliance. Possible values: <ul style="list-style-type: none"> • Yes – enables notifications • No – disables notifications Default value: Yes
COMPLIANCE	NOTIFY SAME STATUS	If the value is set to NO, then the overall status on the transaction must change in order to send an email notification. If the value is set to YES, then the overall status on the transaction does not need to change in order to send a notification email.
COMPLIANCE	NOTIFY CHECK LEVEL STATUSES	Possible values are PA (passed), FA (failed), FM (failed manual), PW (passed with warnings), PM (passed manually).

Category	Key	Description
		E-mail notifications are sent for transactions with an overall compliance status that matches one of the values listed in this system value. Default value: FA,PM,PW
COMPLIANCE	RESULTS URL	This value allows you to configure the compliance check URL that is displayed in the results email notification. Default value: blank

Compliance Notification System Values for Manual Update Notifications

Category	Key	Description
COMPLIANCE	OVERRIDE NOTIFICATIONS ENABLED	This value allows you to enable or disable notifications sent as a result of manually updating a compliance check. Possible values: <ul style="list-style-type: none"> • Yes – enables notifications • No – disables notifications Default value: Yes
COMPLIANCE	NOTIFY_ON_MANUAL_OVERRIDE	Possible values: CRT_USR,NOTIFY_PARTIES. This value defaults to NOTIFY_PARTIES. The NOTIFY_PARTIES value includes the groups listed in Email Recipients. When CRT_USR is specified, the user who created the transaction receives an email.
COMPLIANCE	NOTIFY OVERRIDE SAME STATUS	Determines whether a notification is sent when the status of a compliance check changes but the overall compliance status of the transaction has not changed. Possible values:

Category	Key	Description
		<ul style="list-style-type: none"> • Yes – when a compliance check status changes but the overall compliance status of that transaction does not change, a notification is sent. • No – when a compliance check status changes but the overall compliance status of that transaction does not change, a notification is not sent <p>Default value: Yes</p>
COMPLIANCE	NOTIFY CHECK OVERRIDE STATUSES	<p>This system value applies at the shipment level.</p> <p>Possible values are PA (passed), FA (failed), FM (failed manual), PW (passed with warnings), PM (passed manually).</p> <p>Email notifications are only sent when the overall compliance check status changes.</p> <p>For example, a DPL check with an overall status of FAIL that has three failed partners:</p> <ul style="list-style-type: none"> • Two of the failed partners are passed manually (PM). The check status is still FA, so no email notification is sent. • When the final failed partner is passed manually, the overall check status then changes to PM. Therefore, a notification email is sent. <p>Default value: FA,PM,PW</p>
COMPLIANCE	NOTIFY LINE OVERRIDE STATUSES	<p>This system value applies at the line-item level.</p> <p>Possible values are PA (passed), FA (failed), FM (failed manual), PW (passed</p>

Category	Key	Description
		<p>with warnings), PM (passed manually).</p> <p>Email notifications are sent for transactions with any compliance check status that matches one of the values listed in this system value. This system value does not apply to questionnaire checks.</p> <p>Default value: blank</p>

Compliance Notification System Values for all Compliance Notifications

Category	Key	Description
SHIPMENT	ECO	<p>The value is a comma-separated list of user IDs.</p> <p>Compliance notification emails are sent to email addresses associated with ECO users on this list.</p>
SHIPMENT	ECO – <CHECKTYPE>	<p>The value is a comma-separated list of user IDs.</p> <p>For the specified check, compliance notification emails are sent to email addresses associated with ECO users on this list.</p>

To configure an email notification for a particular check:

1. Open menu option CK.
2. Select the Notifications tab.
3. Click the Add button at the bottom of the grid.
4. Use the fields to the right of the grid to specify notification details. If you want to notify multiple parties about a compliance check, then you can set up multiple notifications details.

Important Regardless of the settings in the Notifications tab of the **Compliance Admin** screen, the system sends emails to shipment-level ECOs, check-level ECOs, and the shipping officer. If there is no shipping officer specified on the shipment, then the system sends an email to the notify party on the shipment when that party is specified on the shipment.

Creating a Compliance Notification

Compliance Checks

Checks | Security | **Notifications** | Whitelist

Check: Client: Search

Check	Client	Role	Partner Code	Partner	Contact	Contact Id	In Use
DPL							Yes
DPL							No
EXLI							No
KEY	TGL						No

Check:

Client:

Partner Type:

Partner:

Contact:

Email:

In Use: ☒

Create

Add | Copy | Delete | Refresh

Check. Specify the compliance check for which you want to create a notification.

Client. If you want to limit this notification to a specific user client, then specify the client. If you want this notification to apply to all user clients, then leave this field blank.

To specify that the notifications are sent to a particular partner, complete the Partner Type and Partner fields and leave the Email field blank. The Contact field is optional. To specify that notifications are sent to a particular email address, complete the Email field and leave the Partner Type, Partner, and Contact fields blank.

Partner Type. Specify the partner type (role) that you want to send the notification to.

Partner. Specify the partner that you want to send the notification to. If the partner has the role specified in the Partner Type field, then notifications will be sent to the partner using the email address specified for that partner in menu option NR.

Contact. Select a contact related to the partner. When the contact email address is blank or when the contact cannot be found, the system uses the email address associated with the partner. When the Partner field is blank, the system looks for the partner associated with the role on the transaction and checks whether there is a contact email address configured for that partner. Otherwise, the system sends an email to the partner for the role type you have selected.

Note Contact email addresses are listed in the Contact sub-option of menu option NR.

Email. Specify the email address that you want to send the notification to. You can only enter one email address.

In Use. Ensure that this field is selected to activate the notification settings.

Note You can configure the same user to receive an email for multiple checks. When multiple checks fail, the user only receives one email.

Email Notification URL

The notification email contains a URL to access the Compliance results for the transaction referenced in the email.

To construct this URL, configure the system values described in the table below.

Email URL Configuration System

Category	Key	Description
ITRAX	URL LOGIN PROTOCOL	The protocol to access your QAD GTTE instance from your browser. Possible values: http https
ITRAX	URL HOSTNAME	The hostname of the server running the QAD GTTE Web UI application.
ITRAX	URL LOGIN PORT	The port that the Web UI application is configured to run on. This is usually set to 8080.
ITRAX	URL CONTEXT	The Web UI Context. This is usually set to Precision.
ITRAX	COMPLIANCE RUN RESULTS URL	This value set to /htm/compliance-historysearch-xx.htm?runNumber=

Email Content

Depending on whether the notification is related to Compliance for a transaction or a non-transaction, the content of the email varies slightly.

For more information on the content of email notifications, see [Appendix B: Compliance Email Notification Examples on page 1176](#).

For more details on the content of the XML messages, see [SOA](#).

XML Updates

QAD GTTE can integrate with other systems to perform Compliance checking.

Example An ERP system sends a message to QAD GTTE to run Compliance at order creation. If the check fails, then a message is sent to the ERP system to put the order on hold. If the Compliance check is manually passed, then another message is sent to the ERP system to release the order.

You can configure the system to generate a response message with Compliance results when the following actions are taken:

- Run Compliance by clicking *Recheck*, *Recheck All*, or the Run Compliance Workflow task
- Override a check result manually
- Attach a license or permit
- Answer a question
- Release an update to another ERP system

Note The ComplianceResponse message is sent as the response to the createShipment message and the ProcessCompliance message. The only exception is on initial creation of a shipment. In this case, the SPSResponse message is sent as a response to the createShipment message.

When an initial request is submitted to create a transaction and run Compliance, a response message is always sent. Further response messages are only generated when the overall Compliance status on a transaction changes to one of the statuses specified in the GENERATE RESPONSE STATUSES system value described in the table below.

GENERATE RESPONSE STATUSES System Value

Category	Key	Description
COMPLIANCE	GENERATE RESPONSE STATUSES	<p>A comma-separated list of values that represent transaction statuses. When the overall transaction status changes to one of the statuses in this list, then an XML message is sent. Possible values:</p> <ul style="list-style-type: none"> • PM – Pass Manual • FM – Fail Manual • PA – Pass • FA – Fail • PW – Pass with Warning

Category	Key	Description
		Default value: PM,FM,PA,FA,PW

The *Release* button in the Compliance Results window allows the user to manually generate an XML response.

GENERATE RESPONSE STATUSES System Value

Category	Key	Description
COMPLIANCE	RELEASE BUTTON	<p>The <i>Release</i> button in the Compliance Results window allows the user to manually generate an XML response. Possible values:</p> <ul style="list-style-type: none"> • Yes – The <i>Release</i> button is enabled. • No – The <i>Release</i> button is not available. <p>Default value: No</p>

Configuring Endpoints for XML Response Messages

The system can be configured to generate an XML message (Compliance Response message) into a Highway endpoint when any of the following actions are taken:

- Running Compliance by clicking Recheck, Recheck All, or the Run – Compliance Workflow task
- Manually overriding a check result
- Attaching a license or permit
- Answering a questionnaire
- Clicking the Release button

This section describes how these return endpoints in Highway are configured.

ProcessComplianceRequest

Asynchronous Requests

The return endpoint is defined on the Return message endpoint field on the Compliance SOA queue that the request from the external system is processed on.

Note This value is stored in the field CKHUSR3 on the table XMCKRH0 when Compliance is run initially on the transaction

Endpoint for Asynchronous ProcessComplianceRequest

HIGHWAY Configuration Console

Servers Endpoints Monitor Patterns Users Partners Payload Types Message Ids Program Params Key Stores

Endpoint id: **COMPLYBB_SYNCH_ORC_A**

Description: **Compliance Black Box (Synchronous Messaging)**

Type: ☐ Input (Reader) ☒ Output (Writer) ☐ Reference (Writer) ☐ System

Storage: ☒ JMS Queue ☐ WebSphere MQ ☐ AS/400 DataQueue ☐ Folder ☐ FTP ☐ E-Mail ☐ SOAP ☐ HTTP

Target name: **queue/OUT5**

Sub target name:

Server: **JBOSS7-JMS-JNDI**

Reference endpoint id:

Default message id:

Overwrite message id:

Payload spy plugin:

Number of readers: **0**

Monitor listeners on this endpoint:

Monitor pattern:

Program: **a2a.ComplianceHandler**

Program parameter hint:

Sign:

Signature template:

Key store:

Acknowledge step:

Acknowledge method:

Acknowledge id:

Acknowledge driver:

Acknowledge listener program:

Acknowledge listener target:

Return message endpoint: **COMPLY_XML_OUT**

Property key 1:

Property key value 1:

Property key 2:

Property key value 2:

Property key 3:

Synchronous Requests

The return endpoint is defined in the ComplianceOverrideReturnEndpoint property field on the Compliance SOA queue that the request from the external system is processed on. This value needs to be set to a valid Highway endpoint that defines where the XML will be generated.

Note This value is stored in the field CKHUSR3 on the table XMCKRH0 when Compliance is run initially on the transaction.

Endpoint for Synchronous ProcessComplianceRequest

Configuration Console

Servers Endpoints Monitor Patterns Users Partners Payload Types Message Ids Program Params Key Stores

Endpoint id: **COMPLYBB_SYNCH_ORC**

Description: **Compliance Black Box (Synchronous Messaging)**

Type: ☐ Input (Reader) ☒ Output (Writer) ☐ Reference (Writer) ☐ System

Storage: ☒ JMS Queue ☐ WebSphere MQ ☐ AS/400 DataQueue ☐ Folder ☐ FTP ☐ E-Mail ☐ SOAP ☐ HTTP

Target name: **queue/OUT5**

Sub target name:

Server: **JBoss7-JMS-JNDI**

Reference endpoint id:

Default message id:

Overwrite message id:

Payload spy plugin:

Number of readers: **0**

Monitor listeners on this endpoint:

Monitor pattern:

Program: **a2a.ComplianceHandler**

Program parameter hint:

Sign:

Signature template:

Key store:

Acknowledge step:

Acknowledge method:

Acknowledge id:

Acknowledge driver:

Acknowledge listener program:

Acknowledge listener target:

Return message endpoint: **REPLY**

Property key 1: **ComplianceOverrideReturnEndpoint**

Property key value 1: **COMPLY_XML_OUT**

Property key 2:

Property key value 2:

Property key 3:

CreateShipment, ShipShipment

These requests generate a ProcessComplianceRequest and post it to Highway to run Compliance. The (return) endpoint is defined in the ComplianceOverrideReturnEndpoint property field on the Compliance SOA queue that the ProcessComplianceRequest is processed on. This value needs to be set to a valid Highway endpoint that defines where the XML will be generated.

Note This value is stored in the field CKHUSR3 on the table XMCKRH0 when Compliance is run initially on the transaction.

SOA

Overview

SOA enables you to send messages to the QAD GTTE application from external systems. You can send requests to run Compliance and to receive Compliance results.

This chapter provides details on how other systems connect to QAD GTTE to perform Compliance screening. There are two approaches:

- Run Compliance without a shipping transaction
- Run Compliance with a shipping transaction

Running Compliance Without a Shipping Transaction

This scenario is typically used when users are logging in to an ERP system other than QAD GTTE and require QAD GTTE to run Compliance.

The WebService/XML request message to support this action is ProcessComplianceRequest. The ProcessComplianceRequest message can contain the:

- Transaction details including parties, countries of destination, products, and commodities
- Checks to run
- List of email addresses to receive results
- Type of Response message required:
 - Short
 - Intermediate
 - Complete

The response message is ShowComplianceResult or ShowShortComplianceResult. The results are also stored in the QAD GTTE database, where authorized compliance personnel can access and review the information.

Highway is the QAD GTTE messaging system and receives the request from external systems. There must be at least one endpoint set up in Highway to process the ProcessComplianceRequest message. As shown in the image below, set the Program field to *a2a.ComplianceHandler*

COMPLYBB_SYNCH Endpoint

Endpoint id:	COMPLYBB_SYNCH
Description:	Compliance Black Box (Synchronous Messaging)
Type:	☐ Input (Reader) ☒ Output (Writer) ☐ Reference (Writer) ☐ System
Storage:	☒ JMS Queue ☐ WebSphere MQ ☐ AS/400 DataQueue ☐ Folder ☐ FTP ☐ E-Mail ☐ SOAP ☐ HTTP
Target name:	queue/OUT3
Sub target name:	
Server:	JBOSST-JMS-JNDI
Reference endpoint id:	
Default message id:	
Overwrite message id:	☐
Payload spy plugin:	
Number of readers:	0
Monitor listeners on this endpoint:	☐
Monitor pattern:	
Program:	a2a.ComplianceHandler
Program parameter hint:	
Sign:	☐
Signature template:	

Running Compliance With a Shipping Transaction

This scenario is used for QAD GTTE shipping transactions where Compliance screening is required.

The WebService/XML request messages to support this scenario are CreateShipment and ShipShipment. The CreateShipment and ShipShipment requests create a shipment transaction and run Compliance. The Compliance results are returned as part of the SPSResponse message. QAD GTTE also stores the results in the QAD GTTE database so that authorized Compliance personnel can access and review them.

There are two ways to configure the CreateShipment and ShipShipment messages to run Compliance:

- Run Compliance as a Workflow task
- Specify the Compliance checks in the XML message

You can configure the CreateShipment and ShipShipment messages to run Compliance. When these messages are submitted to Highway, QAD GTTE creates a ProcessComplianceRequest message from the transaction details. The ProcessComplianceRequest message is then submitted to a Highway endpoint configured to run Compliance. The Compliance results are passed back and embedded in the SPSResponse message.

Running Compliance as a Workflow Task

The ProcessComplianceRequest message can be generated from CreateShipment and ShipShipment by running an SOA Compliance Workflow task. There is a specific option, WFCTKR/02, in the system to generate the ProcessComplianceRequest message from the CreateShipment or ShipShipment message.

In the workflows that are assigned to these transactions, add a Workflow task to run Compliance using option WFCTKR/02.

Workflow Task for Option WFCTKR/02

WorkFlow Task - Update

Workflow code: WEB-COMP

Workflow type: S

Task sequence number: 90

Key ID: SOA_COMP

Task option: WFCTKR

Task program type: 02

Task description: Compliance Checking (SOA)

Availability: ☒ Windows
☐ Web
☐ Both

Program Parameters: CHECKS=DPL;EXLI;EBC;SET_TASK=CK_STAT;HIGHWAY_TARGET=SYNCH_IN;HIGHWAY_MESSAGE

Task type: ☐ Standard Task
☐ Secure Task - Before
☐ Secure Task - After
☐ Secure Task - Before & After
☒ Check
☐ Sub-Flow
☐ Compliance Status Task

Categories:

☒ Repeatable task
☐ Warn of repeat

Required status:

Required status condition: ☒ =
☐ >

Save | Close

Key Id. A unique code for the task; for example SOA_COMP. This field is mandatory.

Task Option. This field is mandatory; set this field to WFCTRK.

Task Program Type. This field is mandatory; set the field to 02.

Task Description. Enter a description for this task; for example, Run SOA Compliance. This field is mandatory. This task is not visible on the Workflow task list.

Availability. This field is mandatory; set this field to Windows.

Program Parameters. Specify the list of checks that you want to run, the Highway-related parameters, and the result type.

Each program parameter is separated by a comma. The parameters are:

- CHECKS: a semi-colon separated list of checks to run.

Example CHECKS=DPL;DATA-INTEG;EBC;ECLI;EXLI;KEY;CMKQ1

This parameter is mandatory.

- HIGHWAY_TARGET=<Highway Endpoint> This endpoint is the Highway endpoint that the ProcessCompliance request is posted to.

Example HIGHWAY_TARGET=SYNCH_IN

This parameter is mandatory

- HIGHWAY_MESSAGE_ID=<Highway MessageId>

The Highway message ID associated with the message.

Example HIGHWAY_MESSAGE_ID=COMPLY_SYNCH

This parameter is mandatory.

- RESULT-TYPE =<Result Type>

There are three possible values:

- Short – Overall Compliance Result on the transaction.
- Intermediate – Result of each individual check.
- Complete – The intermediate check information plus a more detailed breakdown on the DPL check, including more information on percentages.

Example RESULT-TYPE = Short

This parameter is mandatory.

- SET_TASK = Task Key ID identifies the task to set to indicate whether Compliance passed or failed. This parameter is optional.

Example CHECKS=DPL;DATA-INTEG;EBC;ECLI;EXLI;KEY;CMKQ1,RESULT-TYPE=Complete,SET_TASK=CK_STAT,HIGHWAY_TARGET=SYNCH_IN,HIGHWAY_MESSAGE_ID=COMPLY_SYNCH,RESULT-TYPE= INTERMEDIATE.

Task Type. Set this field to Check. This field is mandatory.

VRC Code. Set this field to *STANDARD. This field is mandatory.

The external application generating the CreateShipment or ShipShipment request must include the following action segments for the Compliance Workflow task and the Compliance results.

Actions for CreateShipment and ShipShipment

```

</Shipment>
- <Actions>
  - <Action>
    <Sequence>10</Sequence>
    <Type>WORKFLOW-TASK</Type>
    - <Parameters>
      - <Parameter>
        <Name>TASK-ID</Name>
        <Value>SOA_COMP</Value>
      </Parameter>
    </Parameters>
  </Action>
  - <Action>
    <Sequence>20</Sequence>
    <Type>COMPLIANCE-RESULTS</Type>
    - <Parameters>
      - <Parameter>
        <Name>RESULT-FORMAT</Name>
        <Value>SHORT</Value>
      </Parameter>
    </Parameters>
  </Action>
</Actions>
</DataArea>
</CreateShipment>

```

Include an action segment to run Compliance.

Type. WORKFLOW-TASK

Name. TASK-ID

Value. KEY-ID associated with the Workflow task; for example SOA_COMP.

Include an action segment to return the Compliance results.

Type. COMPLIANCE_RESULTS

Name. RESULT-FORMAT

Value. The type of response required, which must match the RESULT-FORMAT configured on the Workflow task. There are three possible values for the response:

- SHORT
- INTERMEDIATE
- COMPLETE

For more information on configuring Compliance Workflow tasks, see [Workflow Portal Compliance Configuration on page 1114](#).

Running Compliance using Parameter Values

The ProcessComplianceRequest message can be generated from CreateShipment and ShipShipment by specifying the checks that are required to run within the action segment of the XML message.

Compliance Check in an XML Message

```

</Shipment>
- <Actions>
  - <Action>
    <Sequence>10</Sequence>
    <Type>COMPLIANCE-CHECK</Type>
    - <Parameters>
      - <Parameter>
        <Name>CHECKS</Name>
        <Value>DPL;EBC</Value>
      </Parameter>
      - <Parameter>
        <Name>HIGHWAY_TARGET</Name>
        <Value>SYNCH_IN</Value>
      </Parameter>
      - <Parameter>
        <Name>HIGHWAY_MESSAGE_ID</Name>
        <Value>COMPLY_SYNCH</Value>
      </Parameter>
      - <Parameter>
        <Name>RESULT-TYPE</Name>
        <Value>Complete</Value>
      </Parameter>
    </Parameters>
  </Action>
  - <Action>
    <Sequence>20</Sequence>
    <Type>COMPLIANCE-RESULTS</Type>
    - <Parameters>
      - <Parameter>
        <Name>RESULT-FORMAT</Name>
        <Value>Complete</Value>
      </Parameter>
    </Parameters>
  </Action>
</Actions>
</DataArea>
</CreateShipment>

```

Include an action segment to run Compliance.

Type. COMPLIANCE-CHECK

Name. CHECKS

Value. A semi-colon separated list of Compliance checks that you require to run; for example, DPL;EBC;KEY;DATA-INTEG

Name. HIGHWAY_TARGET

Value. The Highway endpoint that the ProcessCompliance request is posted to.

Example SYNCH_IN

Name. HIGHWAY_MESSAGE_ID

Value. The Highway message ID associated with the message.

Example COMPLY_SYNC

Name. RESULT_TYPE

Value. There are three possible values:

- Short
- Intermediate
- Complete

Example RESULT-TYPE = Short

Include an action segment to return the Compliance results.

Type. COMPLIANCE_RESULTS

Name. RESULT-FORMAT

Value. The type of response required. This parameter must match the RESULT-TYPE parameter specified in the COMPLIANCE_CHECK segment. There are three possible values:

- SHORT
- INTERMEDIATE
- COMPLETE

Note If you run a Blackbox Transportation Execution request with the COMPLIANCE-CHECK, COMPLIANCE-STATUS, or COMPLIANCE-RESULTS action, use the BLACK BOX: CHECK COMPL PARAM system value to retrieve parameters that are normally found in the Compliance - Run Compliance workflow task.

For example:

SHTYPE=EX,CHECKS=DPL;EBC;ECLI;DATA-INTEG,HIGHWAY_TARGET=SYNCH_IN_HTTP_PSLCHI02,HIGHWAY_MESSAGE_ID=COMPLY_SY

Data Scrub

Overview

The Denied Party List (DPL) data scrub allows a one-off screening of an address book. This enables you to see whether any of your partners have failed the DPL Compliance check. For details of how the data scrub works, see [Batch DPL Data Scrub on page 968](#).

To screen your address book, generate an Excel file with details of all your partners in the QAD GTTE-defined format. Submit the file in CSV format to the data scrub tool. The data scrub generates a second Excel file with the results of the check.

The input Excel file contains information such as partner name and address. The output file contains the check result—pass, fail, or warning—and a hyperlink to view the results in the Web UI.

Configuration

QAD GTTE provides regular DPL content lists to customers who subscribe to DPL content. Updated lists are issued when the content changes. You can receive these lists by email or by automatic content update (ACU).

Input File

The partner data to be screened needs to be submitted to the engine through a CSV file. The file contains the partner details and other parameter-related information.

QAD GTTE does not provide a tool to extract the partner database so you must produce the input file yourself. The table below displays the general system configuration to set up within the input file

Input File Parameter Data

Field	Description
BatchReference	A unique reference to identify this particular batch run. It uniquely identifies the complete input file.
Reply To	The email address where the results email is sent after the scrub has run
Client	The QAD GTTE client in which to run the data scrub and to store the data scrub results; specify a valid client to which you have access. If you do not specify a client in this file, then the data scrub runs in a client determined by your administrator's configuration.
Keep History in TRAXi3	To review the results of the scrub after the check has run, you need to retain the Compliance run details within the database. To store the history, set this value to YES. However, a large Compliance history takes up database space.
Warning % name	Specify the percentage threshold above which you want the name check to pass with warning. However, if the DPL percentage returned is above the Fail % name, the

Field	Description
	check still fails. This setting overrides the COMPLIANCE category system value DPL_RUN_NAME_ISMATCH_WARN.
Warning % address	Specify the percentage threshold above which you want the address check to pass with warning. When the DPL percentage returned is above the Fail % address, the check still fails. This setting overrides the COMPLIANCE category system value DPL_RUN_ISMATCH_WARN
Fail % name	Specify the percentage threshold above which you want the name check to fail. This setting overrides the COMPLIANCE category system value DPL_RUN_NAME_ISMATCH.
Fail % address	Specify the percentage threshold above which you want the address check to fail. This setting overrides the COMPLIANCE category system value DPL_RUN_ISMATCH.
Result Type	Set this value to Complete or Brief. The complete result contains more detailed information.
Run EBC Check	Use this parameter to specify whether to run the embargoed countries check on the file contents. Possible values: YES or NO. Default value: NO

The table below contains the partner information that you can supply within the input file. [Data Scrub Highway Setup on page 1166](#) contains a sample layout of this file.

Input File

Field	Description
Reference	A unique reference, which is stamped on the results of the DPL run. This reference can be used to link the result back to the partner the check was run on.
Name	The full name of the partner.
Street	The street the partner resides on. You can set up multiple address lines in this field. Each separate address line must be separated with a linefeed character in the input file.
City	The city code where the partner resides.

Field	Description
State/Province	The state code where the partner resides.
Zip/Postal Code	The zip code associated with the partner address.
Country	The country ISO code where the partner resides.
Additional Reference 1	Use this field to enter an additional piece of information.
Additional Reference 2	Use this field to enter an additional piece of information.
Additional Reference 3	Use this field to enter an additional piece of information.

Note None of the fields in the table above are mandatory. However, it is important to specify either an address or a name. Specify as much information related to the partner as possible.

Technical Details

1. The input file is placed on a Highway input endpoint.
2. A rule moves the file to the processing endpoint.
3. A listener picks up the input file and calls the appropriate ComplianceCsvHandler class.
4. The handler class reads the input file and runs the DPL check on each entry, creating a history run number for each entry.
5. When all entries have been processed, a result file is sent to the specified e-mail address.

Data Scrub Results

When the data scrub has finished running, a CSV file is generated containing the results of the check. You can generate a file with complete or brief results. An email containing the results file as an attachment is sent to the email address indicated by the Reply To parameter.

The output file contains the following parameters from the input file.

BatchReference

Reply To

Keep History in TRAXi3

Warning % name

Warning % address

Fail % name

Fail % address

Result Type

Client

Brief

The Brief response contains basic DPL Compliance check results. It includes the information displayed in the table below for each partner specified in the input file. The Data Scrub Highway Setup section contains a sample layout of the response file.

Brief Response

Field	Description
Reference	A unique reference from the input file.
Name	The full name of the partner.
Street	The street where the partner resides.
City	The city code where the partner resides.
State/Province	The state code where the partner resides.
Zip/Postal Code	The zip code associated with the partner's address.
Country	The ISO code of the country where the partner resides.
Compliance Status	The result of the check, which is PASS, WARNING, or FAIL.
Results URL	The URL, which you use to view partner Compliance results in more detail.

Complete

The Complete response contains more detailed DPL Compliance check results. It includes the information displayed in the table below for each partner specified in the input file. The Data Scrub Highway Setup section contains a sample layout of the response file.

Complete Response

Field	Description
Reference	A unique reference from the input file.
Name	The full name of the partner.
Street	The street where the partner resides.
City	The city code where the partner resides.
State/Province	The state code where the partner resides.
Zip/Postal Code	The zip code associated with the partner's address.

Field	Description
Country	The ISO code of the country where the partner resides.
Compliance Status	The result of the check, which is PASS, WARNING, or FAIL.
Results URL	The URL, which you use to view partner Compliance results in more detail.
Match Category	Indicates whether the match was found against the name or address.
%Match	The percentage match returned from the DPL check.
Source List	The DPL list, such as BIS.OFAC, from which the match was found.
Name as it appears on the DPL	The name from the DPL list that resulted in a match.
Address as it appears on the DPL	The address from the DPL list that resulted in a match.

Note As it may be possible to find matches in more than one list for a particular partner, there may be multiple entries for each partner in the Excel file.

Helpful Tips

When starting the configuration process, consider the following:

- It is recommended that files with a large number of partners to screen be split into smaller batches.
- It is recommended that you do an initial test with a small number of partners. This enables you to configure Compliance parameters to reduce the number of false positives. For example, you may need to switch off the name subset check.
- There is no facility to provide for delta content updates. Each time the DPL engine runs, it scans the full DPL database for matches.

Web UI Configuration

Using the audit trail functionality, a user can search for a data scrub based on a reference number or on a date range, as displayed in the image below. This page enables the user to view the input CSV file, the output CSV file, or to view the status of the data scrub.

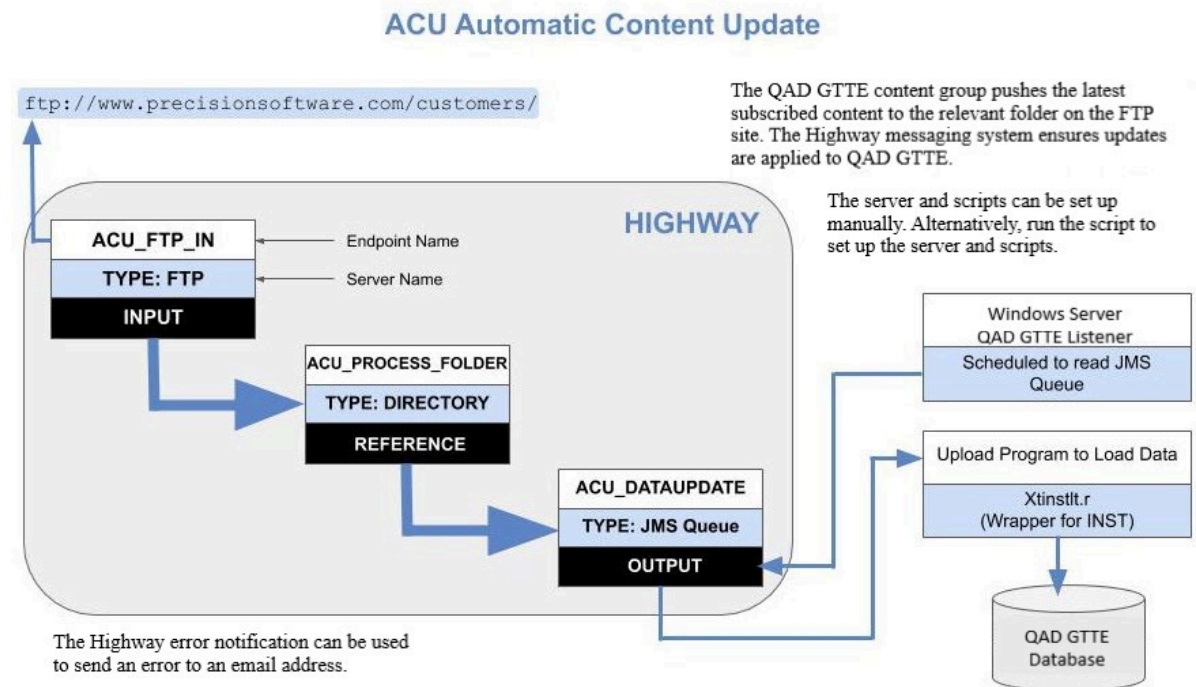
ACU

You can configure your system to enable Highway to load compliance updates automatically. This process is known as ACU. To perform this operation:

1. Pool an FTP server.
2. Save the compliance message in a local folder.
3. Send a message containing the file name and its full path to a JMS queue.

The file containing the compliance update is then uploaded into QAD GTTE. An overview of the full process is displayed in the diagram below.

ACU Automatic Content Update Flow



Note It is recommended that you configure the email notification message for content updates using the system value below:

Content Update Notification System Value

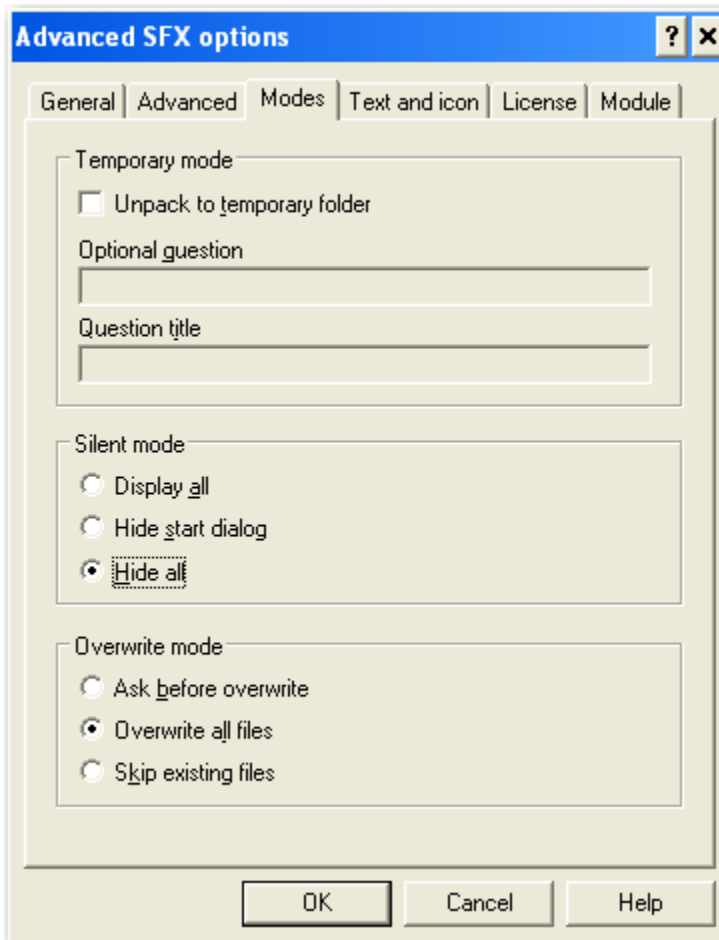
Category	Key	Value
ONLINE	NOTIFY ON COMP UPDATE	You can notify an external system of a compliance update (start and end message). The value can be Yes or No.

PSL FTP Server

QAD GTTE provides compliance update data to a customer-specific directory on an FTP server at ftp.precisionsoftware.com/download/customer_name.

- XML files out of QAD GTTE must be created with NO-ASK options. Other available options can be configured according to requirements such as CREATE only, DELETE only, or CREATE-UPDATE.
- The self-extracting Winrar file must be set up as displayed in the image below:
 - In the *Silent mode* section, select *Hide all*.
 - In the *Overwrite mode* section, select *Overwrite all files*.

Advanced SFX Options



Prerequisites

Before starting configuration, verify that you have an account to access the FTP server to retrieve content updates. The information you need includes:

- FTP server name
- Port
- User name
- Password

Note When you connect to the server, you may need to add ftp.precisionsoftware.com to your list of trusted sites. You may also need to resolve other security settings.

When you verify that you can download content files, create a folder to store current and archived messages.

Constants

The following values are hard-coded into the progress upload routine:

- The file extension is xml. This setting is controlled by the message types. For more information, see [Highway Configuration on page 1166](#).
- The required folders:
 - <Message-Home>\In
 - <Message-Home>\Process

The upload routine starts in <Message-Home>\In and works out where the Process folder is. If you change either name, the program will not run.

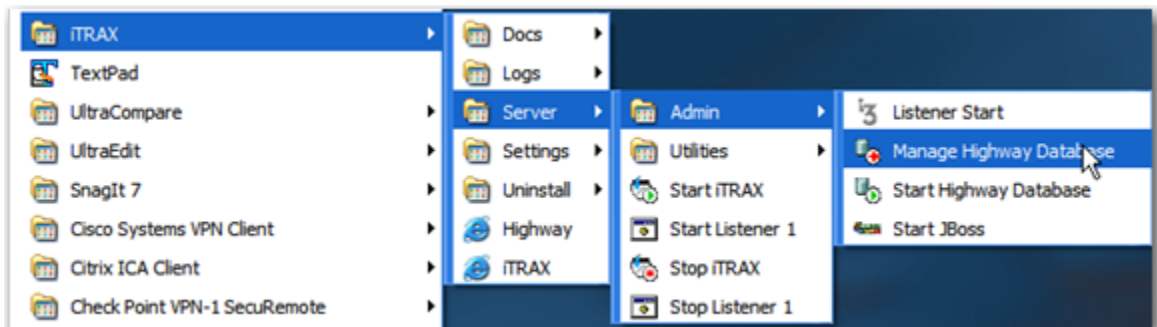
Highway Configuration

The initial configuration is already loaded into the system. To configure the system for ACU, open the Highway Console.

Loading the Initial Configuration

When the initial configuration is not in the system, you may need to load it by running the following ASQL statements in the Highway database:

Highway Manager Tools



```
INSERT INTO SERVER VALUES('ACU_FTP_READ','Retrieve compliance updates
```

```

from FTP

server','<ftp_server>',21,'<ftp_user>', '<ftp_password>', 'monitor.disable

','no','file.size.changed.pause','500','polling.pause','1000','transfer.

type','binary','connect.mode','pasv','file.delete','yes',' ',' ',' '

',' ',' ',' ',' ',' ',' ',' ',' ',' ',' ',' ',' ',' ',' ',' ')

INSERT INTO MESSAGE VALUES('ACU_CACHE_REFRESH','CACHE
REFRESH

NOTIFY','XML',' ')

INSERT INTO MESSAGE VALUES('ACU_FTP_FILE','Compliance
File','TEXT',' ')

INSERT INTO "MESSENGERULE"
VALUES('ACU_CACHE_REFRESH',10,'Notify external

system of cache refresh','ACU_NOTIFY',' ',' ',0)

INSERT INTO "MESSENGERULE" VALUES('ACU_FTP_FILE',10,'Route
File','ACU_DATAUPDATE',' ',' ',0)

INSERT INTO ENDPOINT VALUES('ACU_FTP_IN','Check for complince
updates','I','FTP','<ftp_content_dir>','ACU_FTP_READ','

','ACU_FTP_FILE',' ','0,0',' ',' ',' ',0,'preserve.filename','yes',' '

',' ',0,' ',' ',' ',' ',0,' ',' ')

INSERT INTO ENDPOINT VALUES('ACU_PROCESS_FOLDER','Process
Folder','R','DIR','<local_content_dir>','ACU_FTP_READ',' ',' ',' ',0,0,'

',' ',' ',0,' ',' ',' ',' ',0,' ',' ',' ',0,' ',' ')

INSERT INTO ENDPOINT VALUES('ACU_DATAUPDATE','Call update
program','O','JMS','OUT2','JBOSSMQ','ACU_PROCESS_FOLDER',' ','

','0,1','LISTENERS','xtinstlt.r','ID:M:UID',0,' ',' ',' ',' ',0,' '

',' ',' ',0,' ',' ')

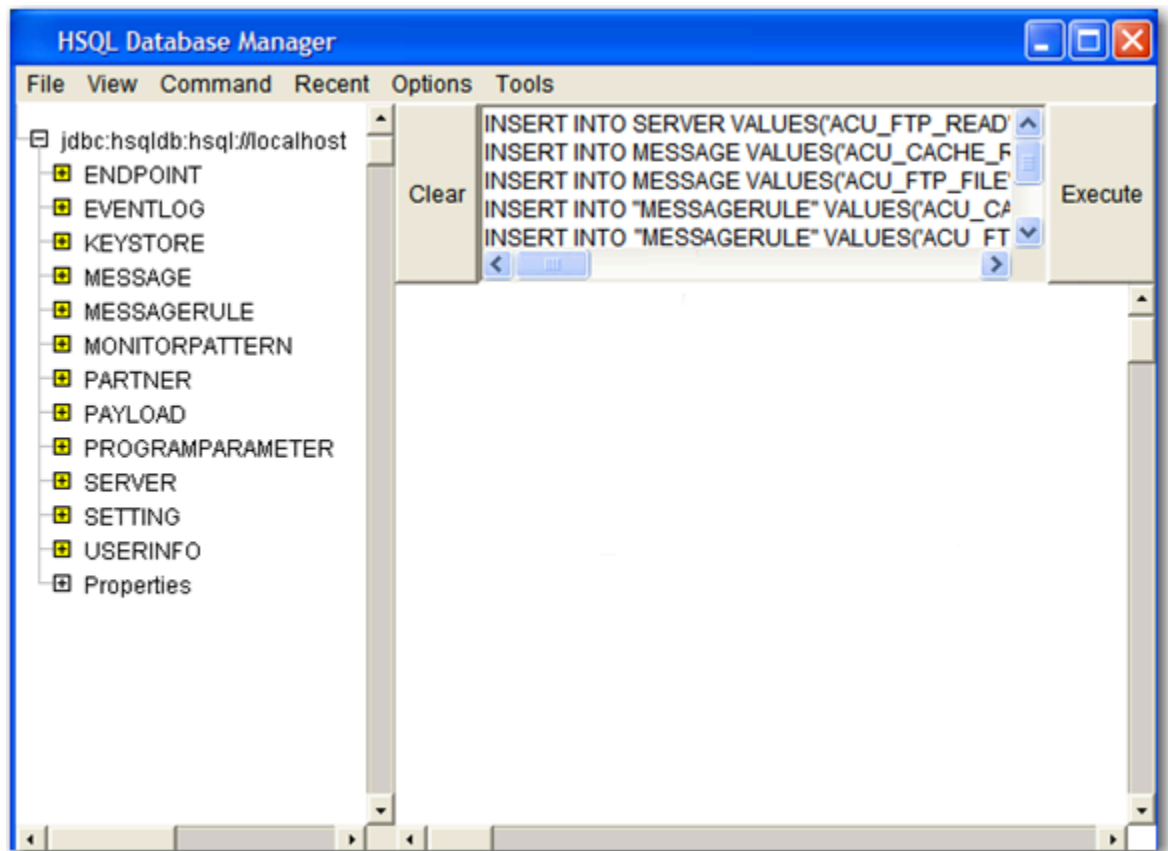
```

```

INSERT INTO ENDPOINT VALUES('ACU_NOTIFY','Auto content upload
notification messages','O','DIR','<update_notify_folder>','FILE','',
'',0,0,'','','N/A',0,'','','',0,'','','',0,'',
')

```

Input Statements from Installation Instructions



ACU_FTP_READ – FTP Server Configuration

In the Highway Console, choose System Definition | Servers and open the ACU_FTP_READ server. Complete the fields to reflect customer access to the QAD GTTE FTP server, making sure to supply the correct server name, user name, password, and port number, as displayed in the image below.

Note During testing, set the value file.delete to no. After successful tests, change it to yes.

ACU FTP Server Configuration

The screenshot shows the Precision Highway Configuration Console. The top navigation bar includes links for Home, Monitor, Message Centre, System Definition, Data, Documentation, and Links. Below this, the 'Configuration Console' section has tabs for Servers, Endpoints, Monitor Patterns, Users, Partners, Payload Types, Message Ids, Program Params, and Key Stores. The 'Endpoints' tab is active, displaying the configuration for the 'ACU_FTP_READ' endpoint.

Server id: ACU_FTP_READ

Description: Retrieve compliance updates from FTP server

Hostname: ftp.precisionsoftware.com

Port: 21

Username: pelftp

Password: *****

Property key 1: monitor.disable

Property key value 1: no

Property key 2: file.size.changed.pause

Property key value 2: 500

Property key 3: polling.pause

Property key value 3: 1000

Property key 4: transfer.type

Property key value 4: binary

Property key 5: connect.mode

Property key value 5: pasv

Property key 6: file.delete

Property key value 6: no

Property key 7:

Property key value 7:

Property key 8:

Property key value 8:

Property key 9:

Property key value 9:

At the bottom, there are three buttons: Update (with a green checkmark icon), Delete (with a scissors icon), and Cancel (with a red X icon).

ACU_FTP_IN

In the Highway Console, choose System Definition | Endpoints and open the ACU_FTP_IN endpoint. This endpoint enables you to specify where QAD GTTE uploads compliance content for customers. Complete the fields, making sure that the Target name field contains a valid upload location.

ACU FTP In Endpoint Configuration

The screenshot shows the 'Configuration Console' for 'PRECISION HIGHWAY'. The 'Endpoints' tab is selected. The configuration for the 'ACU_FTP_IN' endpoint is displayed. The 'Description' is 'Check for Compliance Updates'. The 'Type' is 'Input (Reader)'. The 'Storage' is 'JMS Queue'. The 'Target name' is '/download/customer'. The 'Sub target name' is empty. The 'Server' is 'ACU_FTP_READ'. The 'Reference endpoint id' is empty. The 'Default message id' is 'ACU_FTP_FILE'. The 'Overwrite message id' is unchecked. The 'Payload spy plugin' is empty. The 'Number of readers' is 0. The 'Monitor listeners on this endpoint' is unchecked. The 'Monitor pattern' is empty. At the bottom, there are three buttons: 'Update' (with a green checkmark icon), 'Delete' (with a scissors icon), and 'Cancel' (with a red X icon).

PRECISION
HIGHWAY
A DIVISION OF QAD

Configuration Console

Servers Endpoints Monitor Patterns Users Partners Payload Types Message Ids Program Params Key Stores

Endpoint id: ACU_FTP_IN

Description: Check for Compliance Updates

Type: ☒ Input (Reader)
☐ Output (Writer)
☐ Reference (Writer)
☐ System

Storage: ☒ JMS Queue
☐ WebSphere MQ
☐ AS/400 DataQueue
☐ Folder
☒ FTP
☐ E-Mail
☐ SOAP
☐ HTTP

Target name: /download/customer

Sub target name:

Server: ACU_FTP_READ

Reference endpoint id:

Default message id: ACU_FTP_FILE

Overwrite message id: ☐

Payload spy plugin:

Number of readers: 0

Monitor listeners on this endpoint: ☐

Monitor pattern:

Update Delete Cancel

ACU_PROCESS_FOLDER

Next, open the ACU_PROCESS_FOLDER endpoint. This endpoint specifies the location of updates on the server. Complete the fields, making sure that the Target name field contains a valid folder. Make sure the end of this entry specifies the In folder.

ACU Process Folder

PRECISION HIGHWAY Configuration Console

Home Monitor Message Centre System Definition Data Documentation Links

Servers Endpoints Monitor Patterns Users Partners Payload Types Message Ids Program Params Key Stores

Endpoint id:

Description:

Type: ☐ Input (Reader)
☐ Output (Writer)
☒ Reference (Writer)
☐ System

Storage: ☐ JMS Queue
☐ WebSphere MQ
☐ AS/400 DataQueue
☒ Folder
☐ FTP
☐ E-Mail
☐ SOAP
☐ HTTP

Target name:

Sub target name:

Server:

Reference endpoint id:

Default message id:

Overwrite message id: ☐

Payload spy plugin:

Number of readers:

Monitor listeners on this endpoint: ☐

Monitor pattern:

Update Delete Cancel

ACU_DATAUPDATE

Next, open the ACU_DATAUPDATE endpoint. This endpoint specifies how the message gets moved to a place where it can be picked up by the system. Complete the fields, making sure that the Target name field is set as default to OUT2 queue. Verify that there is no conflict with any other JMS out endpoint that uses the same queue.

ACU Data Update Endpoint Configuration

PRECISION
HIGHWAY
A DIVISION OF QAD

Configuration Console

Home Monitor Message Centre System Definition Data Documentation Links

Servers Endpoints Monitor Patterns Users Partners Payload Types Message Ids Program Params Key Stores

Endpoint id: ACU_DATAUPDATE

Description: Call update program

Type: ☐ Input (Reader) ☒ Output (Writer) ☐ Reference (Writer) ☐ System

Storage: ☒ JMS Queue ☐ WebSphere MQ ☐ AS/400 DataQueue ☐ Folder ☐ FTP ☐ E-Mail ☐ SOAP ☐ HTTP

Target name: OUT2

Sub target name:

Server: JBOSSMQ

Reference endpoint id: ACU_PROCESS_FOLDER

Default message id:

Overwrite message id: ☐

Payload spy plugin:

Number of readers: 0

Monitor listeners on this endpoint: ☐

Monitor pattern: LISTENERS

Create Cancel

ACU_NOTIFY

Next, open the ACU_NOTIFY endpoint. This endpoint specifies the notification folder where the message is placed to be picked up. Complete the fields, making sure that the Target name field contains a valid folder.

ACU Notification Folder

The screenshot shows the Precision Highway Configuration Console. The top navigation bar includes links for Home, Monitor, Message Centre, System Definition, Data, Documentation, and Links. Below this is a secondary navigation bar with tabs for Servers, Endpoints, Monitor Patterns, Users, Partners, Payload Types, Message Ids, Program Params, and Key Stores. The 'Endpoints' tab is selected, displaying the configuration for an endpoint named 'ACU_NOTIFICATION'. The description is 'Auto content upload notification manager'. The 'Type' is set to 'Output (Writer)'. The 'Storage' is set to 'Folder'. The 'Target name' is 'C:\precision\messages\ComplianceContentUpdate\notification'. The 'Server' is set to 'FILE'. The 'Reference endpoint id', 'Default message id', and 'Overwrite message id' fields are empty. The 'Payload spy plugin' field is empty. The 'Number of readers' is set to 0. The 'Monitor listeners on this endpoint' checkbox is unchecked. The 'Monitor pattern' field is empty. At the bottom, there are three buttons: 'Update' (green checkmark), 'Delete' (red scissors), and 'Cancel' (red X).

Highway Listener Configuration

Before configuring the Highway listener, ensure that xtinstlt.p is installed. This is a wrapper program for the menu option INST.

It is important to schedule compliance updates for a time when nobody is running compliance in the system. Therefore, schedule the listener to start and stop at a time when it does not affect operations.

Testing

Use the PSL99999.txt package for testing. This package creates a non-intrusive Z9 new transaction type.

Important System Values

Compliance Notification System Values

Category	Key	Possible Values
ONLINE	NOTIFY ON ERROR	When the system cannot run the package successfully, this value sends an e-mail notification. The value is a comma-separated or semi-colon separated list of e-mail addresses, depending on the format used by the mail server. It is recommended to send the emails to an e-mail group that can be managed outside QAD GTTE.
ONLINE	L3-CLIENTS	This value specifies a comma-separated list of clients that are updated by ACU. The list is validated against the list in option CL.
ONLINE	NOTIFY ON COMP UPDATE	You can notify an external system of a compliance update (start and end message). The value can be Yes or No.
HIGHWAY	SYNCH_IN	When NOTIFY ON COMP UPDATE is set to Yes, the message is sent initially to Highway. The value is: SEND_METHOD=HTTP, URL= http://localhost:8080/ highway/http/SubmitMessage, ENDPOINT=SYNCH_IN,DEBUG=NO Modify the URL to reflect the machine name. From Highway, the message can be routed to another system. The default configuration writes messages to the target folder defined for the ACU_NOTIFY endpoint. In a Black Box environment, this message can be used to signal another system when the update begins. No checks are performed and when the update is finished, it is safe to send the message again.

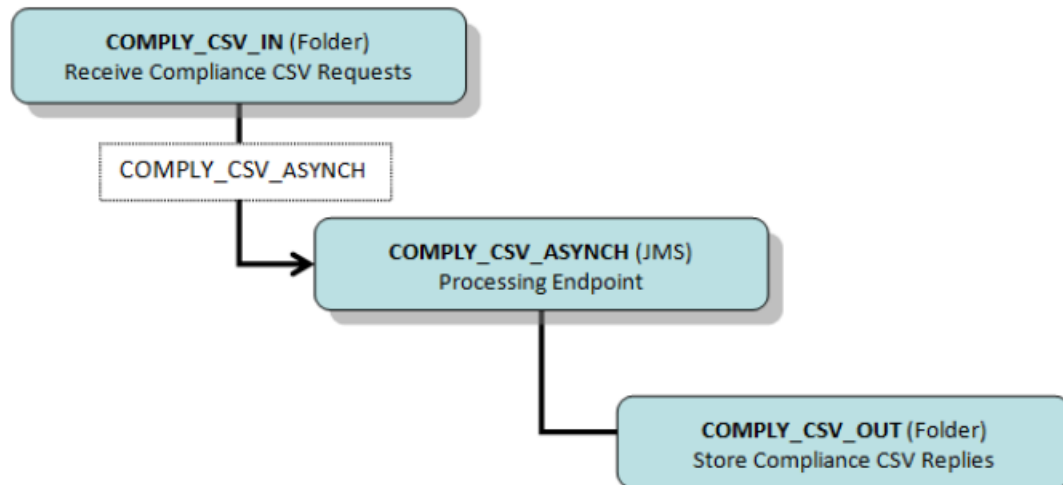
Appendix A: Data Scrub Highway Setup

Highway is used to take the input CSV file for a data scrub and route it to an endpoint. The Java listener picks up the message and calls the appropriate handler to parse the partner data and run the DPL engine on each partner.

Asynchronous Model

The asynchronous model allows you to place a number of request files into an input folder for background processing. This section contains the setup necessary for the asynchronous model.

Asynchronous Model



Payload Type

In Highway, select *System Definition | Payload Types* and add a new entry.

Payload Fields

Field	Value
Payload ID	CSV
Description	CSV text message
Format	TEXT
Extension	cvs

Payload Entry

[Servers](#)
[Endpoints](#)
[Monitor Patterns](#)
[Users](#)
[Partners](#)
[Payload Types](#)
[Message Ids](#)
[Program Params](#)
[Key Stores](#)

Payload id:

Description:

Format:

Extension:

Message IDs

In Highway, select System Definition | Message IDs and add two new entries.

Payload Fields

Field	Value
Message Id	COMPLY_CSV_ASYNC
Description	Compliance CSV request (Asynchronous)
Payload	CSV

Message ID Compliance Request Entry

Servers	Endpoints	Monitor Patterns	Users	Partners	Payload Types	Message Ids	Program Params	Key Stores
-------------------------	---------------------------	----------------------------------	-----------------------	--------------------------	-------------------------------	-----------------------------	--------------------------------	----------------------------

Message id:
 Description:
 Payload: ...
 Partner: ...

 [Create](#)
 [Cancel](#)

Message ID Compliance Reply Fields

Field	Value
Message Id	COMPLY_CSV_ASYNC_REPLY
Description	Compliance CSV Result (Asynchronous)
Payload	CSV

Message ID Compliance Reply Entry

Servers	Endpoints	Monitor Patterns	Users	Partners	Payload Types	Message Ids	Program Params	Key Stores
-------------------------	---------------------------	----------------------------------	-----------------------	--------------------------	-------------------------------	-----------------------------	--------------------------------	----------------------------

Message id:
 Description:
 Payload: ...
 Partner: ...

 [Create](#)
 [Cancel](#)

Endpoint

In Highway, select System Definition | Endpoints and add three new entries.

Endpoint Fields

Field	Value
Endpoint ID	COMPLY_CSV_IN
Description	Receive Compliance CSV Requests (input folder)
Type	Input (Reader)
Storage	Folder
Target name	C:\PRECISION\WebUI\highway\messages \COMPLY_CSV_IN
Server	FILE
Default Message Id	COMPLY_CSV_ASYNC
Number of readers	1

Endpoint Fields

Field	Value
Endpoint ID	COMPLY_CSV_OUT
Description	Store Compliance CSV Replies (input folder)
Type	Output (Writer)
Storage	Folder
Target name	C:\PRECISION\WebUI\highway\messages \COMPLY_CSV_OUT
Server	FILE

Endpoint Fields

Field	Value
Endpoint ID	COMPLY_CSV_ASYNC
Description	Process Compliance CSV messages (Asynchronous)
Type	Output (Writer)
Storage	JMS Queue
Target name	OUT3
Server	JBOSMQ
Program	a2a.ComplianceCsvHandler

Field	Value
Return message endpoint	COMPLY_CSV_OUT

In Highway, select Message Center | Rules and add a new entry.

Rule Entry Fields

Field	Value
Message ID	COMPLY_CSV_ASYNC
Sequence	10
Description	Move Compliance CSV requests for processing
Write Endpoint	COMPLY_CSV_ASYNC

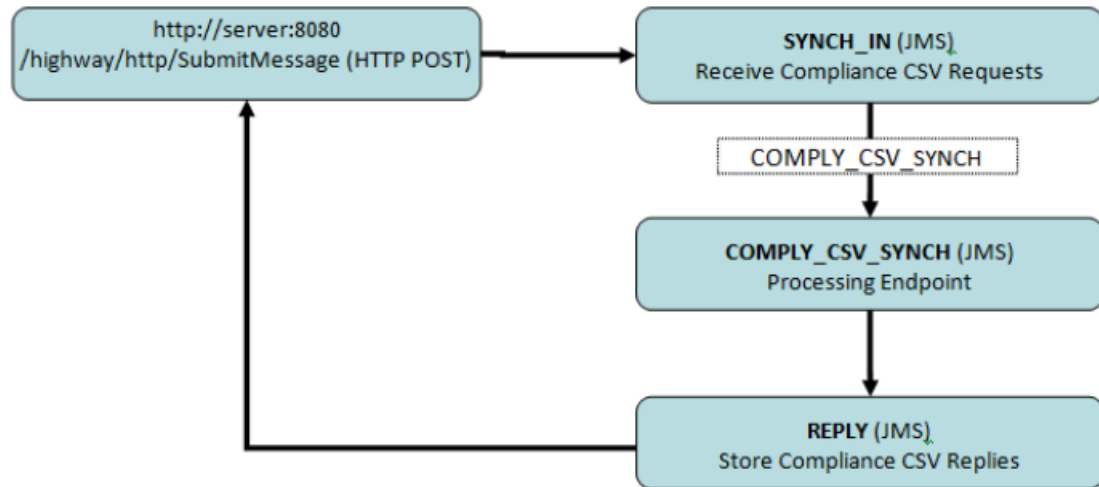
Rule Entry

Servers	Endpoints	Monitor Patterns	Users	Partners	Payload Types	Message Ids
Message id: <input type="text" value="COMPLY_CSV_ASYNC_REPLY"/>						
Description: <input type="text" value="Compliance CSV Result (Asynchronous)"/>						
Payload: <input type="text" value="CSV"/>						
Partner: <input type="text"/>						
 Update  Delete  Cancel						

Synchronous Model

The synchronous model enables remote HTTP posting of a request file for immediate processing. This section describes the setup in Highway for the synchronous model.

Synchronous Model



Payload Type

In Highway, select System Definition | Payload Types and add a new entry.

Payload Fields

Field	Value
Payload ID	CSV
Description	CSV text message
Format	TEXT
Extension	csv

Payload Entry

Servers	Endpoints	Monitor Patterns	Users	Partners	Payload Types	Message Ids	Program Params	Key Stores
-------------------------	---------------------------	----------------------------------	-----------------------	--------------------------	-------------------------------	-----------------------------	--------------------------------	----------------------------

Payload id:
 Description:
 Format:
 Extension:

Message ID

In Highway, select System Definition | Message IDs and add a new entry.

Message ID Fields

Field	Value
Message Id	COMPLY_CSV_ASYNCH

Field	Value
Description	Compliance CSV request (Synchronous)
Payload	CSV

Message ID Entry

Servers	Endpoints	Monitor Patterns	Users	Partners	Payload Types	Message Ids	Program Params	Key Stores
-------------------------	---------------------------	----------------------------------	-----------------------	--------------------------	-------------------------------	-----------------------------	--------------------------------	----------------------------

Message id:
 Description:
 Payload: ...
 Partner: ...

 [Create](#)
 [Cancel](#)

Endpoint

In Highway, select System Definition | Endpoints and add a new entry.

Endpoint Fields

Field	Value
Endpoint ID	COMPLY_CSV_SYNCH
Description	Process Compliance CSV messages (Synchronous)
Type	Output (Writer)
Storage	JMS Queue
Target name	OUT3
Server	JBOSSMQ
Program	a2a.ComplianceCsvHandler
Return message endpoint	REPLY

Message ID Entry

Servers	Endpoints	Monitor Patterns	Users	Partners	Payload Types	Message Ids	Program Params	Key Stores
-------------------------	---------------------------	----------------------------------	-----------------------	--------------------------	-------------------------------	-----------------------------	--------------------------------	----------------------------

Endpoint id:

Description:

Type:
☐ Input (Reader)

☒ Output (Writer)

☐ Reference (Writer)

☐ System

Storage:
☒ JMS Queue

☐ WebSphere MQ

☐ AS/400 DataQueue

☐ Folder

☐ FTP

☐ E-Mail

☐ SOAP

☐ HTTP

Target name:

Sub target name:

Server: ...

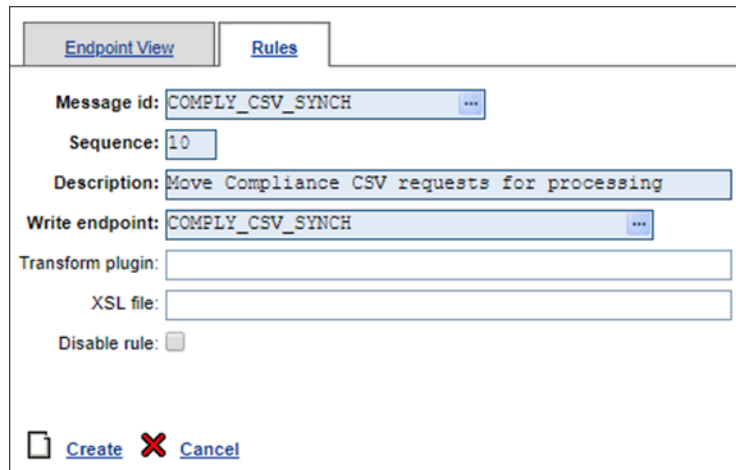
Rule

In Highway, select Message Center | Rules and add a new entry.

Rule Entry Fields

Field	Value
Message ID	COMPLY_CSV_SYNC
Sequence	10
Description	Move Compliance CSV requests for processing
Write Endpoint	COMPLY_CSV_SYNC

Rule Entry



The Rule Entry dialog box has two tabs: "Endpoint View" and "Rules". The "Rules" tab is active. It contains the following fields:

- Message id:** A dropdown menu showing "COMPLY_CSV_SYNC" with a three-dot icon to its right.
- Sequence:** A text input field containing the value "10".
- Description:** A text input field containing the value "Move Compliance CSV requests for processing".
- Write endpoint:** A dropdown menu showing "COMPLY_CSV_SYNC" with a three-dot icon to its right.
- Transform plugin:** An empty text input field.
- XSL file:** An empty text input field.
- Disable rule:** An unchecked checkbox.

At the bottom left, there are two buttons: "Create" (with a document icon) and "Cancel" (with a red X icon).

Email Configuration

This section contains e-mail setup for synchronous and asynchronous models.

MAIL Server

In Highway, select System Definition | Servers. Find the MAIL server and update it.

Rule Entry Fields

Field	Value
Server ID	MAIL
Description	SMTP Server
Hostname	Server name or IP (customer)
Port	25 (default)

Mail Server



The Mail Server configuration dialog box has a tabbed interface with tabs: "Servers", "Endpoints", "Monitor Patterns", "Users", "Partners", "Payload Types", "Message Ids", and "Program Params". The "Servers" tab is active. It contains the following fields:

- Server id:** A text input field containing the value "MAIL".
- Description:** A text input field containing the value "SMTP Server".
- Hostname:** A text input field containing the value "smtp.qad.com".
- Port:** A text input field containing the value "25".

Highway MAIL Property

The Highway MAIL property defines the Highway endpoint used to send e-mails from the Web UI, including the e-mail notification when the CSV batch file is processed along with the From email address. The From e-mail address must have a valid domain for the SMTP server

to send e-mails. The mailbox part does not need to be a real address but you can use it to differentiate between environments; for example, precision-webui-prod@customer.com. Set the following properties in the precision.properties file:

Set in precision.properties

Property	Value
precision.highway.mail.server	http://localhost:8080 (default)
precision.highway.mail.port	8080 (default)
precision.highway.mail.queue	MAIL (default)
precision.highway.mail.from	precision-webui-do-not-reply@customer.com

You can create an input file in Excel and then save it as a CSV file before submitting for processing.

Sample Input File

	A	B	C	D	E	F	G	H	I
1	BatchReference	<Batch Reference Info>							
2	ReplyTo	<Reply Email Address>							
3	Keep History in TRAXi3	<yes/no>							
4	Warning % name	60							
5	Warning % address	50							
6	Fail % name	85							
7	Fail % address	75							
8	Result Type	<Complete / Brief>							
9									
10	Reference	Name	Street	City	State/Province	Zip/Postal Code	Country	Additional Reference 1	Additional Refer
11		1 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite SA, Tucson AZ 832354	Tucson	Arizona	832354	US		
12		2 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite SA						
13		4 John Doe	BITBOOST SYSTEMS, 1989 Kensington Church Street, Kensington, London W8 4DP	London		W8 4DP	UK		
14		5 John Doe	BITBOOST SYSTEMS, 1989 Kensington Church Street, Kensington						
15									
16									
17									
18									
19									
20									

The response file contains the results of the data scrub. The brief version is displayed in the image below.

Brief Response Results File

	A	B	C	D	E	F	G	H	I
1	BatchReference	Batch #1							
2	Keep History in TRAXi3	yes							
3	Warning % name	60							
4	Warning % address	50							
5	Fail % name	85							
6	Fail % address	75							
7	Result Type	Brief							
8									
9	Reference	Name	Street	City	State/Province	Zip/Postal Code	Country	Compliance Status	Results URL
10		1 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite SA, Tucson AZ 832354	Tucson	Arizona	832354	US	WARNING	http://hostname:8080/trax/serv
11		2 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite SA						
12		4 John Doe	BITBOOST SYSTEMS, 1989 Kensington Church Street, Kensington, London W8 4DP	London		W8 4DP	UK	PASS	http://hostname:8080/trax/serv
13		5 John Doe	BITBOOST SYSTEMS, 1989 Kensington Church Street, Kensington						
14									
15									
16									
17									

The complete version is displayed in the image below.

Complete Response Results File

	A	B	C	D	E	F	G	H
1	BatchReference	Batch #1						
2	Keep History in TRAXi3	yes						
3	Warning % name	60						
4	Warning % address	50						
5	Fail % name	85						
6	Fail % address	75						
7	Result Type	Complete						
8								
9	Reference	Name	Street	City	State/Province	Zip/Postal Code	Country	Compliance Status
10		1 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite 5A, Tucson AZ 832354				US	WARNING
11		1 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite 5A, Tucson AZ 832354				US	WARNING
12		1 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite 5A, Tucson AZ 832354				US	WARNING
13		2 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite 5A	Tucson	Arizona	832354	US	WARNING
14		2 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite 5A	Tucson	Arizona	832354	US	WARNING
15		2 John Doe	BITBOOST SYSTEMS, 412 Drachman Suite 5A	Tucson	Arizona	832354	US	WARNING
16		4 John Doe	BITBOOST SYSTEMS, 1989 Kensington Church Street, Kensington, London W8 4DP				UK	PASS
17		5 John Doe	BITBOOST SYSTEMS, 1989 Kensington Church Street, Kensington	London		W8 4DP	UK	PASS
18								

Appendix B: Compliance Email Notification Examples

Content of Compliance Notification Emails

Manual Override on Shipment Compliance

Subject Matter

The <CHECK> check has been manually overridden on shipment

number <CLIENT>,<CONSIGNOR>,<SHIPMENT NUMBER>,<DESPATCH NO>.

Body of Email

The following transaction's compliance details have now been manually overridden.

Client : <TRANSACTION CLIENT>

Consignor : <SHIPMENT CONSIGNOR>

Shipment : <SHIPMENT NUMBER>

Despatch : <DESPATCH NUMBER>

Run Number : <RUN NUMBER>

Manual Override Comment(s):

~~~~~

<CHECK>:<MANUAL PASS COMMENT>

The overall Compliance Status on the transaction is

<Compliance

Status>.

Click on the link below to see the compliance check results:

<http://<HOST>

[NAME>:<PORT>/precision/htm/compliance-history-searchxx.htm?run](http://<HOST>:<PORT>/precision/htm/compliance-history-searchxx.htm?run)

[Number=<RUN NUMBER>](http://<HOST>:<PORT>/precision/htm/compliance-history-searchxx.htm?run)

### **Manual Override on Shipment Example**

#### **Subject Matter**

The KEY check has been manually overridden on shipment

TGL,A9906,0000534,0

#### **Body of Email**

The following transaction's compliance details have now been manually overridden.

Client : TGL

Consignor : A9906

Shipment : 0000534

Despatch : 0

Run Number : 2177

Manual Override Comment(s):

~~~~~

(KEY) Principal:

The overall Compliance Status on the transaction is FAIL.

Click on the link below to see the compliance results:

[http://CONT613:8080/precision/htm/compliance-history-searchxx.](http://CONT613:8080/precision/htm/compliance-history-searchxx.htm?runNumber=2180)

[htm?runNumber=2180](http://CONT613:8080/precision/htm/compliance-history-searchxx.htm?runNumber=2180)

Manual Override on Non-Transaction Compliance

Subject Matter

The <CHECK> check has been manually overridden on transaction

<CLIENT>,<REF1<,<REF2,<REF3>,<REF4>

Body of Email

The following transaction's compliance details have now been manually overridden.

Client : <CLIENT>

Reference1 : <Reference1 on run no>

Reference2 : <Reference2 on run no>

Reference3 : <Reference3 on run no>

Reference4 : <Reference4 on run no>

Manual Override Comment(s):

~~~~~

<CHECK> : <MANUAL PASS COMMENT>

The overall Compliance Status on the transaction is

<COMPLIANCESTATUS>.

Click on the link below to see the compliance results:

http://<HOST

NAME>:<PORT>/precision/htm/compliance-history-searchxx.htm?run

Number=<RUN NUMBER>

### **Manual Override on Non-Transaction Compliance Example**

#### **Subject Matter**

The check has been manually overridden on transaction

TGL,TSREF1, TSREF2, TSREF3, TSREF4

### **Body of Email**

The following transaction's compliance details have now been manually overridden.

Client : TGL

Reference1 : TFSREF1

Reference2 : TFSREF2

Reference3 : TFSREF3

Reference4 : TFSREF4

Manual Override Comment(s):

~~~~~

(KEY) Principal : .

The overall Compliance Status on the transaction is FAIL.

Click on the link below to recall your transaction:

[http://CONT613:8080/precision/htm/compliance-history-searchxx.](http://CONT613:8080/precision/htm/compliance-history-searchxx.htm?runNumber=2180)

htm?runNumber=2180

Rerunning Compliance on a Shipment

Subject Matter

The Compliance check has <COMPLIANCE STATUS> for shipment

number <CLIENT>,<CONSIGNOR>,<SHIPMENT NUMBER>,<DESPATCH
NO>

Body of Email

The compliance check has <COMPLIANCE STATUS> for:

Client : <TRANSACTION CLIENT>

Consignor : <SHIPMENT CONSIGNOR>

Shipment : <SHIPMENT NUMBER>

Despatch : <DESPATCH NUMBER>

Run Number : <RUN NUMBER>

Failed:

<LIST OF CHECKS THAT FAILED>

Passed:

<LIST OF CHECKS THAT PASSED>

Passed with warnings:

<LIST OF CHECKS THAT PASSED WITH WARNING>

Click on the link below to see the compliance results:

<http://<HOST NAME>:<PORT>/precision/htm/compliance-history-searchxx.htm?run>

Number=<RUN NUMBER>

Rerunning Compliance on a Shipment Example

Subject Matter

The Compliance check has failed for shipment number

TGL,A9906,0000534,0

Body of Email

The compliance check has failed for:

Client : TGL

Consignor : A9906

Compliance Email Notification Examples 81

Comments? Go to goo.gl/MfwKHm

Shipment : 0000534

Despatch : 0

Run Number : 2177

Failed:

~~~~~

(DPL) Consignee, Z-DPL-FAILURE

(ECLI) 10, EU, 1C001, FR

Click on the link below to see the compliance results:

<http://CONT613:8080/precision/htm/compliance-history-searchxx>.

htm?runNumber=2180

## **Rerunning Compliance When No Shipment Exists**

### **Subject Matter**

The Compliance check has <COMPLIANCE STATUS> for transaction

<CLIENT>,<REF1<,<REF2,<REF3>,<REF4>

### **Body of Email**

The compliance check has <COMPLIANCE STATUS> for:

Client : <CLIENT>

Reference1 : <Reference1 on run no>

Reference2 : <Reference2 on run no>

Reference3 : <Reference3 on run no>

Reference4 : <Reference4 on run no>

Failed:

<LIST OF CHECKS THAT FAILED>

Passed:

<LIST OF CHECKS THAT PASSED>

Passed with warnings:

<LIST OF CHECKS THAT PASSED WITH WARNING>

Click on the link below to see the compliance check results:

http://<HOST

NAME>:<PORT>/precision/htm/compliance-history-searchxx.htm?run

Number=<RUN NUMBER>

## **Rerunning Compliance When No Shipment Exists Example**

### **Subject Matter**

The Compliance check has failed for transaction

TGL,TFSREF1,TFSREF2,TFSREF3,TFSREF4

**Body of Email**

The compliance check has failed for:

Client : TGL

Reference1 : TFSREF1

Reference2 : TFSREF2

Reference3 : TFSREF3

Reference4 : TFSREF4

Failed:

(DPL) Consignee, Z-DPL-FAILURE

(ECLI) 10, EU, 1C001, FR

Click on the link below to see the compliance check results:

[http://CONT613:8080/precision/htm/compliance-history-searchxx.](http://CONT613:8080/precision/htm/compliance-history-searchxx.htm?runNumber=2180)

htm?runNumber=2180

**Appendix C: Partner Types****Partner Types**

| Party Role     | Party ID |
|----------------|----------|
| Consignee      | 01       |
| Carrier        | 02       |
| ShipmentBank   | 03       |
| BillTo         | 04       |
| Haulier        | 05       |
| Principal      | 06       |
| Declarant      | 07       |
| InsuranceAgent | 08       |
| AlsoNotify     | 09       |
| Customs        | 10       |
| SalesRep       | 11       |

| Party Role           | Party ID |
|----------------------|----------|
| Responsible          | 12       |
| Financial            | 13       |
| Consignor            | 14       |
| CorporateCustomer    | 15       |
| ShippingOfficer      | 16       |
| DeliverFrom          | 17       |
| DeliverTo            | 18       |
| ConsignorsBank       | 19       |
| InspectedBy          | 20       |
| InternationalCarrier | 22       |
| CreditInsuranceAgent | 27       |
| ForwardingAgent      | 32       |
| InsuredParty         | 38       |
| CopyFromConsignor    | 39       |
| SettlingAgent        | 44       |
| Supplier             | 46       |
| UltimateConsignee    | UC       |
| Vendor               | 28       |
| Agent                | 29       |
| Broker               | 31       |
| AlsoNotify           | 36       |
| CoLoadedWith         | 40       |

## Appendix D: DPL Errors

If you upload a custom DPL as a CSV file—as described in [Uploading a Custom DPL File on page 1056](#)—use the following table to help you troubleshoot possible upload errors.

| Error           | Error Messages                                                                       | Solutions                                                                           |
|-----------------|--------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| validateDPLList | <ul style="list-style-type: none"> <li>"DPLList", "DPL list is mandatory"</li> </ul> | <ul style="list-style-type: none"> <li>If there are no DPLList fields in</li> </ul> |

| Error                 | Error Messages                                                                                                                                                                                                                                     | Solutions                                                                                                                                                                                                                                                                 |
|-----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                       | <ul style="list-style-type: none"> <li>"DPLList_format", "You can only create entries in CUSTOM Lists, e.g. CUSTOM1, CUSTOM2, CUSTOMxxx, etc."); It must start with CUSTOM keyword</li> <li>"DPLList_size", "DPL list name is too long"</li> </ul> | <p>the file, add these fields.</p> <ul style="list-style-type: none"> <li>For custom lists, ensure that the value starts with the keyword CUSTOM.</li> <li>The maximum value of the DPLList field is 10 characters. If there are more characters, remove them.</li> </ul> |
| validatePartyId       | <ul style="list-style-type: none"> <li>"party_id", "Party id is mandatory"</li> <li>"Party_id_size", "Party id is too long"</li> </ul>                                                                                                             | <ul style="list-style-type: none"> <li>If there are no PartyId fields in the file, add these fields.</li> <li>The maximum value of the PartyId field is 10 characters. If there are more characters, remove them.</li> </ul>                                              |
| validateAddressId     | <ul style="list-style-type: none"> <li>"Address_id", "Address id is mandatory"</li> <li>"Address_id_size", "Address id is too long"</li> </ul>                                                                                                     | <ul style="list-style-type: none"> <li>If there are no AddressId fields in the file, add these fields.</li> <li>The maximum value of the AddressId field is 10 characters. If there are more characters, remove them.</li> </ul>                                          |
| validateContentFormat | <ul style="list-style-type: none"> <li>"EffectiveFrom_format", "Effective from date format is not matching (dd/MM/yyyy)"</li> </ul>                                                                                                                | <p>There is a problem with the date format for at least one of the following fields:</p> <ul style="list-style-type: none"> <li>Check that the Effective From date</li> </ul>                                                                                             |

| Error | Error Messages                                                                                                                                                                                                            | Solutions                                                                                                                                                                                                                         |
|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|       | <ul style="list-style-type: none"> <li>• "EffectiveUntil_format", "Effective until date format is not matching (dd/MM/yyyy)"</li> <li>• "LoadedDate_format", "Loaded date format is not matching (dd/MM/yyyy)"</li> </ul> | <ul style="list-style-type: none"> <li>• is formatted as DD/MM/YYYY.</li> <li>• Check that the Effective Until date is formatted as DD/MM/YYYY.</li> <li>• Check that the Loaded Date date is formatted as DD/MM/YYYY.</li> </ul> |