




ATC Compliance Screening

How you can be better,
 faster, safer thanks to
automatic sanctions list checks of all of your
business partner addresses in your SAP® system.

Your Compliance Solution in SAP® at a Glance:

Anti-terrorism legislation governing foreign trade poses new challenges for global enterprises. The measures required to comply with the regulations go far beyond



traditional export control. Companies themselves are responsible for ensuring their own compliance with these rules and restrictions. Violations can carry extremely stiff penalties. It is critical that the necessary controls be implemented reliably without slowing down your business processes. This makes it essential for such checks to be highly automated and in real time.

This requires adaptation of your central computer systems, often involving multiple modules and systems. AEB develops integrated solutions that allow global

players to reach these goals with security: advanced global trade solutions. The ATC :: Series meet this demand for all enterprises running an SAP® system. ATC solutions are not merely traditional add-on solutions but are based instead on open standards such as the Web service design. Customized plug-ins integrate ATC solutions seamlessly into the standard SAP® processes and user dialogs.

— Design. Features. Benefits of ATC :: Compliance Screening.

Secure sales and distribution processes in SAP®

One benefit of ATC :: Compliance Screening is that it secures the sales and distribution process directly in your SAP® system. If you are using an SAP® CRM system, this security begins as soon as you enter an “opportunity” or “prospect” – otherwise, from the “customer inquiry” or “customer quotation” phase in ERP. All the partner functions in sales and distribution documents – whether they originate in SAP® ERP or SAP® CRM – are checked against the relevant restricted party lists. (“Restricted party lists” refers here to all official sanctions lists and a company’s in-house lists such as Bad Guy lists.) This is performed in real time whenever an address is created or modified.

SAP® master data checks

All customer, vendor, personnel and bank master data from SAP® ERP is also checked whenever data is input, modified or auto-checked. In SAP® CRM, these checks extend as well to all business partner addresses: organizations (prospects, sold-to parties) persons (contact persons) and groups.

Autonomous and unobtrusive

ATC :: Compliance Screening works invisibly in the background as a pro-active security tool. You only become aware of its monitoring activities when there is a conflict: If one of the addresses is found on a sanctions list, ATC :: Compliance Screening locks the relevant document or master data entry and initiates a pre-defined workflow. The persons responsible for export control are notified via SAP® work item and e-mail.

Cutting-edge technology

ATC :: Compliance Screening represents the intelligent fusion of an SAP® system with the AEB Compliance Engine. This server-based application centrally manages all restricted party lists, handles logging and triggers a predefined workflow if anything appears suspicious. This guarantees consistent testing and centralized data consistency.

— Compliance Screening: What exactly is checked? What exactly is monitored?

Distribution processes monitored

ATC :: Compliance Screening monitors the complete flow of documents in the order management process, from order creation to delivery, transport and invoicing. All the addresses of the various partner roles – consignee, bill-to party, forwarder, payer, bank, customs declarant – are scrutinized as they are created and whenever any address field is subsequently modified.

Integrated master data checks

Every master data record, whether it's being created or modified, is checked online. Existing addresses of all vendors, customers and personnel master data are continually checked through reports. Typically, a job is initiated once per day. This job can be customized by varying the frequency or starting time, applying a vendor filter, etc. If a match is found, the record is locked.

Search strategies and test algorithms

The image of a fishing net illustrates the point: A net that is too fine catches everything and overburdens you; a net that is too loose lets your entire catch get away, including the dangerous elements. And your profit escapes as well. What's needed is a flexible net that

can adapt to the situation. ATC :: Compliance Screening features just such a net by combining various search strategies, test algorithms and screening technologies:

- Fuzzy logic: similarity search using a fuzzy logic algorithm
- Sensitivity control: configurable sensitivity (threshold)
- Phonetic agent: looks for spelling errors or variants (Meyer, Meier, Mayer, Mair)
- Typo analyzer: typographic variants (ALL CAPS, all lower-case)
- Abbreviation profiler: abbreviations and transpositions

Good Guy list

The various search strategies yield particularly reliable screening. In some instances, however, certain addresses are identified as “suspicious” even though they are known to be free of any links to terrorism. ATC :: Compliance Screening includes the option of defining “Good Guys” in your own in-house list. Such addresses are then exempted from checks.

Bad Guy list

A “Bad Guy” list works the other way around: There are many reasons why business relationships are broken off and certain

individuals or companies are blocked from all deliveries. Now you can simply add such persons to the Bad Guy list. Such in-house lists mean maximum flexibility and full compliance.

Update service

The alpha and omega of any compliance check is how up to date the lists are. Individual lists are updated with new or modified entries at irregular intervals, often several times a month. Such conditions can only be accommodated by an automated data service – an integral component of ATC :: Compliance Screening. Lists are made available from various data providers, including the consolidated EU list, Consolidated List of Financial Sanctions Targets, Germany's Bundesanzeiger Verlag list and the various US lists: SDN, DPL, Debarred Parties list, Unverified list and Entity list.

Logging and monitoring

Comprehensive logging of all checks is a hallmark feature of ATC :: Compliance Screening. All inquiries and check results are exhaustively recorded. Depending on the results of a check, electronic notification is sent to the person responsible for export control or the system administrator. This guarantees a high degree of protection and transparency.

— A Secure Workflow When Things Get Serious

Flexible response strategy

A compliance solution is only as good as the workflow design for compliance conflicts. It isn't enough that checks are comprehensive, reliable and unobtrusive. You also need sophisticated tools and response strategies for when a check actually yields a match with a sanctions list. Here, too, ATC :: Compliance Screening works autonomously, taking a multifaceted approach.

Notification of persons in charge

If a compliance conflict is detected, not only are e-mails automatically sent to a pre-defined list of persons, an SAP® work item is also generated in each instance and sent to the user in charge of the SAP® system. This means that ATC :: Compliance Screening triggers direct problem management right in SAP®. The measures to be

taken depend on the circumstances of the conflict: in the case of a positive match, review all current documents that generated the match and report the situation to the authorities; in the case of a “false alarm,” create a new Good Guy list entry, unlock the address and continue working.

Lock entry in SAP® master data

If an address in the SAP® master data is identified as matching an entry in a restricted party list, this address is marked with a lock entry. All documents that refer to this address are flagged in a follow-up check.

Monitoring

Each check that is run is stored in a separate SAP® log table. This and other monitoring features provide the information you need to

make the right decisions. They also serve as a means of verifying to authorities that you are following the proper procedures to ensure compliance.

Customizing/system configuration

A specially enhanced IMG activity in your SAP® Customizing lets you customize who should be notified if a terrorist address is identified. Only those with the proper authorization should be enabled to release a locked address so that it is again available for business activity. You can define and assign these access rights.

ATC Compliance Screening – Range of Features

ATC Compliance Screening works completely invisibly in the background, checking and synchronizing the addresses in all your SAP processes against all relevant restricted parties lists. These features and services make you better, faster, safer.

Professional consultation

Depending on your industry and the business contacts you maintain, you are obligated to ensure compliance with certain sanctions lists. We support you here with professional consultation.

Organizational consultation

Your workflow design must be taken into account. That's why the checks must be customized to your needs. Show us how you work and we'll show you where to integrate Compliance Screening.

Integration – including SAP CRM

Compliance Screening is seamlessly integrated into the SAP ERP system. With optional integration into SAP CRM. Fully automated and integrated into all relevant sales and distribution processes.

Background check with lock entry

ATC Compliance Screening checks the addresses of your business partners, working reliably in the background without interfering with your business processes. Matches generate lock entries in the SAP system – both in the master data and in all relevant documents.

Documentation of check processes

Checks are logged and analyzed using integrated SAP log tables showing the number of addresses scanned and displaying any matches identified. Locked documents are also displayed with an option for their release.

Data service

The required sanctions lists are always kept up to date and called automatically.

Extendibility

The ATC Series is designed to accommodate the rapidly changing and constantly growing demands of mandatory control measures. It is scalable and extendible.

Security

Whenever a match with one of the restricted party lists is identified, all associated documents are locked immediately and a predefined set of persons is notified.

With ATC Compliance Screening, you can rest assured that you're always in compliance with regulations.

