



Trade Compliance API

Technical Reference

QAD GTTE



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QAD GTTE Trade Compliance API Change Summary

The following table summarizes significant differences between this document and previous versions.

| Date/Version | Description | Reference |
|--------------------|--|-----------|
| May 2024/18.0 | Rebranding and minor technical updates | -- |
| December 2019/18.0 | Initial version | -- |

Chapter 1: Introduction

This section describes the QAD GTTE Trade Compliance API features and how they are accessed by external applications.

Overview

Describes the purpose of the API.

SOAP API Endpoint

Explains how messages are called by external systems.

Trade Compliance API Functions

Lists the messages and message functionality.

XML Layout

Describes the structure of the XML messages.

Notation

Describes the data types and symbols that are used throughout the document.

Overview

The QAD GTTE API enables businesses to access QAD GTTE functionality through independent applications and platforms. QAD GTTE’s features can be used in many different ways to create customized solutions for your business’s shipping and labeling needs.

Trade Compliance API Functions

The QAD GTTE Trade Compliance API allows external systems to carry out the following functions:

| Message | Function |
|---------------------------|---|
| ProcessComplianceRequest | <p>This is the web service that is called to initiate compliance check. The payload is:</p> <ul style="list-style-type: none"> • The parties, items, and countries to be screened. • The specific compliance checks to be performed. • The people who should be notified of problems. |
| ShowShortComplianceResult | <p>This is the response received when the system is configured to send a short response. It contains the overall result of the screening, indicating a pass or fail, and a link to view the results in the QAD GTTE application.</p> |
| ShowComplianceResult | <p>This is the response received when the system is configured to send a full response. It contains the overall result of the screening (pass or fail), the result of the screening for each check performed (pass or fail), the details behind the results for each check, and a link to view the results in the QAD GTTE application.</p> |

XML Layout

Each XML request opens with the request type and establishes the corresponding schema (XSD) location. The following example shows the beginning of a ProcessComplianceRequest request:

```
<ProcessComplianceRequest
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" revision="1.00"
environment="Development" lang="en-US"
xsi:noNamespaceSchemaLocation="../../../xsd/compliance/ProcessComplianceReq
uest.xsd">
```

This is followed by the <ApplicationArea> and the <DataArea>. In the <ApplicationArea>, the user sending the request can include information that uniquely identifies themselves, their machine, and the request.

The following example shows the basic layout of the <ApplicationArea> in a ProcessComplianceRequest request:

```
<ApplicationArea>
  <Sender>
    <LogicalId />
    <ReferenceId />
    <UniqueMessageId />
  </Sender>
  <CreationDateTime />
</ApplicationArea>
```

The <ApplicationArea> elements are described in the table below:

| Element | Data Type | Description |
|------------------|-----------|---|
| Sender | Section | Indicates a set of data for uniquely identifying the request. |
| LogicalId | Char [20] | Identifies the system from which the request was made. |
| ReferenceID | Char [10] | Identifies the user making the request. |
| UniqueMessageID | Char [15] | Uniquely identifies the request for debugging purposes. |
| CreationDateTime | DateTime | Identifies the date and time of the request creation. |

The <DataArea> holds the attributes for the request, followed by the main body of the request. The attributes can determine, for example, whether labels should be printed in the event of a successful rating. The attributes are described in the request sections later in the document.

```

<DataArea>
  <Process confirm="Always" />
  <ComplianceRequest>
    [...]
  </ComplianceRequest>
</DataArea>
    
```

Notation

Data Types

The following acronyms are used in the Data Type column:

| Acronym | Description |
|----------|---|
| Char | Character |
| Section | Section |
| Int | Integer |
| Dec | Decimal |
| Log | Logical |
| Num | Numeric |
| Date | Format YYYY-MM-DD. This signifies the year, month, and day of the month. |
| Time | The time follows the 24 hour clock, in the format: hour, minute, second, and time zone. For example, 15:42:54Z corresponds to 3:42:54 pm, UTC time. |
| Boolean | <p>The possible values are:</p> <ul style="list-style-type: none"> • True • False <p>Other possible values are:</p> <ul style="list-style-type: none"> • 1 • 0 |
| DateTime | Format YYYY-MM-DDTHH:MM:SS-TZD. This signifies the date, followed by a T to indicate the beginning of the time element, as specified in ISO 8601. The time follows the 24 hour clock, in the format: hour, minute, and second. TZD indicates that the date/time uses a local time zone which is hh hours and mm minutes behind or ahead of UTC. For example, 2000-11-05T08:15:30-05:00 corresponds to November 5, 2000, 8:15:30 am, US Eastern Standard Time. |
| [a] | This number indicates the maximum length allowed for the input. This format is used for the Character (Char) and Logical (Log) data types. |
| [a-] | The maximum length allowed for the input. This format is used for the Integer (Int) data type. |
| [a(b)-] | Numeric of maximum length [a] digits with [b] decimal places. This format is used for the Decimal (Dec) data type. |

XML Element Occurrence

The following symbols are used in the Element column:

| Type | Description |
|---------|--|
| * | The element is mandatory. |
| ↺ | The element can be reused, or repeated, more than once. This only applies to section elements. |
| [0-999] | Number of times an element can be repeated |

Chapter 2: ProcessComplianceRequest Message

This section describes the ProcessComplianceRequest API request.

Overview

Describes how the ProcessComplianceRequest request is typically used.

Message Sample

Provides a sample of the XML request.

ProcessComplianceRequest Attributes

Describes the attributes associated with this request.

Request Sections

Lists the request sections and describes the element structure.

ProcessComplianceRequest

Overview

The ProcessComplianceRequest allows external systems to call the QAD GTTE Compliance screening engine; for example, to screen a name and address entered in a CRM system, or to screen an order created in an ERP system. The ProcessComplianceRequest request can contain:

- The parties, items, and countries to be screened.
- The compliance checks to be performed.
- The email addresses that should be notified of problems.
- Type of Response message required:
 - Short
 - Intermediate
 - Complete

Message Sample

```
<?xml version="1.0" encoding="UTF-8"?>

<ProcessComplianceRequest
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" revision="1.00"
environment="Development" lang="en-US"
xsi:noNamespaceSchemaLocation="../../../../xsd/compliance/ProcessComplianceReq
uest.xsd">

  <ApplicationArea>

    <Sender>

      <LogicalId>PRECISION</LogicalId>

      <ReferenceId>DEV</ReferenceId>

      <UniqueMessageId>123456S1</UniqueMessageId>

    </Sender>

  <CreationDateTime>2007-04-23T12:00:00-00:00</CreationDateTime>

  </ApplicationArea>

  <DataArea>

    <Process confirm="Always" />

  </DataArea>

</ProcessComplianceRequest>
```

```

    <ComplianceRequest>
        [...]
    </ComplianceRequest>

</DataArea>

</ProcessComplianceRequest>

```

ProcessComplianceRequest Attributes

The <DataArea> element can contain attributes that identify the processing that is required.

| Attribute | Description |
|-----------|---|
| confirm | Not in use at this time. Default value is 'Always'. |

ProcessComplianceRequest

The following table lists the elements in the <ProcessComplianceRequest> section:

| Element | Data Type | Description |
|---------------------|-----------|--|
| ComplianceRequest * | Section | Identifies the section containing data pertaining to the compliance request. |
| References * | Section | The references to associate with the request. There must be at least one reference provided and up to four can be provided. See the References section. |
| NotifyParties | Section | Allows QAD GTTE to pass additional parties that will not undergo compliance checks, but may be used to determine who to notify of compliance check failures. |
| Party | Section | See the Parties section. |
| NotifyParty | | Allows QAD GTTE to pass additional parties that will not undergo compliance checks, but may be used to determine who should be notified of compliance check failures. |

| | | | | |
|--|--|--------------------|----------|---|
| | | Party | Section | See the Parties section. |
| | | ComplianceChecks * | Section | Identifies the compliance checks to be performed against the Parties. |
| | | Type * | Char | The two possible values are: <ul style="list-style-type: none"> DeniedPartyList RedFlag |
| | | Transactions * | Section | Allows QAD GTTE to specify the transaction details for transactional compliance checks. See the Transactions section. |
| | | Parties | Section | This section is for the set of parties or addresses that are applicable to the request. See the Parties section. |
| | | Party | Section | |
| | | ComplianceChecks * | Section | Identifies the compliance checks to be performed. See the ComplianceChecks section. |
| | | Product | Section | See the Product section. |
| | | Countries | Section | See the Countries section. |
| | | Client | Char [3] | The QAD GTTE login client code. The client can be used to segregate the requests according to Business Unit. The client provided must match a client in QAD GTTE. The same client can be used for all transactions if segregation is not required. |
| | | ResultType | Char | This controls the amount of detail returned in the response. The options are: <ul style="list-style-type: none"> Short: Provides the overall status of the request and a link to view the results. Intermediate: Provides the same information as above, plus the results for each check. Complete: Provides the same information as the Intermediate request, plus the names and address matches from the denied party lists. |

Section: References

The following table lists the elements in the <References> section:

| Element | Data Type | Description | |
|--------------|-----------------------|---|---|
| References * | Section | <p>The references to associate with the request. Each reference can be identified with up to four reference keys. At least one of the reference keys must be added.</p> <p>These references can be used to find the results in the QAD GTTE application. When screening transactions, these typically contain the reference for the transaction in the external system; for example, Order Number, PO Number.</p> | |
| | SourceReference ↻ | Section | Identifies the beginning of the reference section. |
| | IsPrimaryReference * | Boolean | You can specify multiple sets of references in the SOA message, and at least one set of references must be indicated as the primary reference. The primary reference values are displayed in the Compliance History screen, but you can still search for the run number using the reference values from the non-primary references. |
| | SourceReferenceKey1 * | Char [20] | This is the main reference key used to identify the reference. |
| | SourceReferenceKey2 | Char [20] | Specify a second reference key, if required. |
| | SourceReferenceKey3 | Char [20] | Specify a third reference key, if required. |
| | SourceReferenceKey4 | Char [20] | Specify a fourth reference key, if required. |

The following example shows the <References> section for a request to screen order number 62452612 from an ERP system:

```
<References>
  <SourceReference>
    <IsPrimaryReference>true</IsPrimaryReference>
    <SourceReferenceKey1>ERP</SourceReferenceKey1>
    <SourceReferenceKey2>62452612</SourceReferenceKey2>
    <SourceReferenceKey3>P01624247</SourceReferenceKey3>
  </SourceReference>
  <SourceReference>
    <IsPrimaryReference>>false</IsPrimaryReference>
    <SourceReferenceKey1>ERP</SourceReferenceKey1>
    <SourceReferenceKey2>516846188</SourceReferenceKey2>
    <SourceReferenceKey3>P08736415</SourceReferenceKey3>
  </SourceReference>
</References>
```

The SourceReference fields in the ProcessComplianceRequest message are stored in the reference fields within the XMCKRX0 table.

- CKXREF is a colon-separated list of the 4 SourceReference nodes.
- CXKREF1 is mapped to the SourceReference1 node from the XML.
- CXKREF2 is mapped to the SourceReference2 node from the XML.
- CXKREF3 is mapped to the SourceReference3 node from the XML.
- CXKREF4 is mapped to the SourceReference4 node from the XML.

Section: Parties

The following table lists the elements in the <Parties> section:

| Element | Data Type | Description |
|-----------|-----------|--|
| Parties | Section | This section is for the set of parties or addresses that are applicable to the request. |
| Party ↻ | Section | This is the name and address to be screened. There can be multiple parties included. |
| PartyType | Char | This is the Role of the party; for example, Carrier. See Appendix A: Party Types for more information. |
| PartyId | Section | It is a unique identifier for the party; for example, customer number. |
| Id | Char [20] | <p>This is the Party Id code in the source system.</p> <p>If the partner Id does not exist in the partner table in the QAD GTTE database, then the system will create or update the party record. If you do not want the system to create the record, then the Source Node should be set to PRECISION (or TRAX).</p> <p><i>Note</i> There cannot be more than one party with a blank Id for the same party type. More than one blank Id indicates an address override.</p> |
| Source | Char | This identifies the system where the party is defined. If the source is QAD GTTE, then the party code should exist in the QAD GTTE database. |
| Contact | Char [40] | It is possible to specify a contact associated with the partner. The system will run the DPL check against the contact name if the system parameter COMPLIANCE/DPL_RUN_CONTACT_CHECK is set to "YES". |

| | | | |
|--|--------------|-----------|--|
| | Name | Char [40] | Specify the contact name if the party has a contact. This partner will also be screened if the DPL check runs. |
| | PartyAddress | Section | This section is for the party address details. |
| | AddressLine1 | Char [40] | Specifies an address line of the address. |
| | AddressLine2 | Char [40] | Specifies an address line of the address. |
| | AddressLine3 | Char [40] | Specifies an address line of the address. |
| | AddressLine4 | Char [40] | Specifies an address line of the address. |
| | AddressLine5 | Char [40] | Specifies an address line of the address. |
| | PostalCode | Char [10] | Specifies the postal code of the address. |
| | City | Char [30] | Specifies the city of the address. |
| | State | Char [3] | Specifies the state of the address. |
| | Country | Char [4] | This is the country code of the party's location. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| | EmailAddress | Char [50] | Email address of the party. |

The following example shows the <Parties> section:

```
<Parties>
  <Party>
    <PartyType>Principal</PartyType>
    <PartyId>
      <Id>004-ASTST</Id>
      <Source>JADE</Source>
    </PartyId>
    <Name>David Smith</Name>
    <PartyAddress>
      <AddressLine1>Champs elyeeese</AddressLine1>
      <AddressLine2 />
    </PartyAddress>
  </Party>
</Parties>
```

```

        <AddressLine3>Paris</AddressLine3>
        <AddressLine4 />
        <AddressLine5 />
        <PostalCode>60661</PostalCode>
        <City>Paris</City>
        <Country>IT</Country>
    </PartyAddress>
    <EmailAddress />
</Party>
<ComplianceChecks>
    [...]
</ComplianceChecks>
</Parties>

```

Section: Countries

The following table lists the elements in the <Countries> section:

| Element | Data Type | Description |
|------------------------------|-----------|---|
| Countries | Section | This section contains data pertaining to the countries associated with the transaction. |
| CountryOfOrigin | Char [2] | The country code for the country of origin. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| CountryOfDestination | Char [2] | The country code for the country of destination. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| CountryOfUltimateDestination | Char [2] | The country code for the country of destination, if it exists. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| OtherCountries ^U | Char [2] | For future use. |
| ComplianceChecks | Section | Identifies the compliance checks to be performed against the Transaction Countries. If UseDefaultChecks, then the |

| | | | |
|--|--|------------------|--|
| | | | Transaction Type is used to determine the compliance checks performed. |
| | | UseDefaultChecks | Boolean The Transaction Type is used to determine the compliance checks performed. |
| | | CountryCheckType | Section Identifies the start of the CountryCheckType section. |
| | | Type | Char This has two possible values: <ul style="list-style-type: none"> EmbargoedCountry: This is the embargoed country check for export transactions. ImportEmbargoedCountry: This is the embargoed country check for import transactions. |

The following example shows the <Countries> section:

```

<Countries>
  <CountryOfOrigin>US</CountryOfOrigin>
  <CountryOfDestination>FR</CountryOfDestination>
  <CountryOfUltimateDestination>DE</CountryOfUltimateDestination>
  <ComplianceChecks>
    <CountryCheckType>
      <Type>EmbargoedCountry</Type>
    </CountryCheckType>
  </ComplianceChecks>
</Countries>

```

Section: Transactions

The following table lists the elements in the <Transactions> section:

| Element | Data Type | Description |
|------------------|-----------|--|
| Transactions | Section | Specifies the transaction details for transactional compliance checks. |
| TransactionType | Char | Used to retrieve Rules for determining things such as the default compliance checks. |
| DespatchDate | Date | This is the despatch date on the transaction. |
| Parties | Section | See the Parties section. |
| Party ↻ | Section | |
| ComplianceChecks | Section | See the ComplianceChecks section. |
| Items | Section | See the Items section. |
| Item ↻ | Section | |
| ComplianceChecks | Section | Identifies the compliance checks to be performed. |
| UseDefaultChecks | Boolean | The Transaction Type is used to determine the compliance checks performed. |
| ECCNCheckType | Section | Section for specifying the ECCN check types. |
| Type ↻ | Char | Specify the ECCN checks you want to run. There are two possible values: <ul style="list-style-type: none"> EccnExportLicense: This is the ECLI check. EccnToCountry: This is the EXCT check. |
| PartyCheckType | Section | Identifies the section containing data pertaining to party checks. |
| Type | Char | Specify the Party checks you want to run . There are two possible values: <ul style="list-style-type: none"> DeniedPartyList RedFlag |

| | | | | | |
|--|--|--|--------------------|---------|---|
| | | | Source ↻ | Char | <p>Specifies where the SOA request originates from; The QAD GTTE application, or another system.</p> <p>If value is set to PRECISION (or TRAX), it will not create the partner in the system. if the partner already exists it will not update it.</p> <p>If the value is set to any other value, it will create the partner if it does not already exist, or it will update it if it does already exist in the system.</p> |
| | | | CountryCheckType | Section | Identifies the start of the CountryCheckType section. |
| | | | Type ↻ | Char | <p>There are two possible values:</p> <ul style="list-style-type: none"> EmbargoedCountry: This runs an embargoed country check on an export transaction. ImportEmbargoedCountry: This runs an embargoed country check on an import transaction <p><i>Note</i> The type (Export or Import) is determined by the transaction type specified in the node TransactionType.</p> |
| | | | CommodityCheckType | Section | Identifies the section containing data pertaining to commodity checks. |
| | | | Type ↻ | Char | <p>Specify the Commodity checks you want to run. There are three possible values:</p> <ul style="list-style-type: none"> CommodityFromCountryOfOriginEx: This is the C2fC check. CommodityToCountryOfDestination Ex: This is the C1TC check. CommodityToPartner: This is the C1TP check. |
| | | | ProductCheckType | Section | Identifies the section containing data pertaining to product checks. |
| | | | Type | Char | <p>Specify the Product checks you want to run. There are two possible values:</p> <ul style="list-style-type: none"> ProductPartner: This is the PRNR check. ProductToCountryExport: This is the PRCT check. |
| | | | LicenseCheckType | Section | Identifies the section containing data pertaining to license checks. |

| | | | | | |
|--|--|--|--------------------------|-------------|---|
| | | | Type ↻ | Char | There are two possible values: <ul style="list-style-type: none"> • ExportLicense: Runs the EXLI (permits/guarantees) check. • ImportLicense: For future use. |
| | | | Countries | Section | See the Countries section. |
| | | | Texts | Section | This section contains data pertaining to texts associated with the transaction. |
| | | | Text ↻ | Section | The beginning of a Text section. |
| | | | TextId | Char [4] | Specify the TextId associated with the Text. |
| | | | Description | Char [2000] | Specify the Text description. |
| | | | ComplianceChecks | Section | Identifies the compliance checks to be performed against the Transaction Texts. |
| | | | UseDefaultChecks | Boolean | The Transaction Type is used to determine the compliance checks performed. |
| | | | TextCheckType | Section | Contains information related to the text check. |
| | | | Type ↻ | Char | There are two possible values: <ul style="list-style-type: none"> • Keyword: This is the KEY check. • DPL-TEXTS: This is the DPL-TEXTS check. |
| | | | CustomerDefinedFields | Section | Used with customized data integrity checks. The main purpose of the customer defined fields is to allow additional data elements to be passed that are required, and that are not part of the current XSD. For example, they may be needed for a customized data-integrity check that requires more data. |
| | | | CustomerDefinedField * ↻ | Section | The beginning of the customer defined field section. |
| | | | Name | Char [20] | The name of the customer defined field as decided by the user. |
| | | | Value | Char [2000] | The value of the customer defined field as decided by the user. |
| | | | ComplianceChecks | Section | Identifies the compliance checks to be performed. |
| | | | DataIntegrityCheckType | Section | Identifies the section containing data pertaining to the data integrity check. |

| | | | | |
|--|--|-------------------|---------|--|
| | | Type | Char | There are eight possible data integrity checks. The values are: <ul style="list-style-type: none"> • PartnerValidIso • ProductValidCoo • ProductValidEccnExp • ProductValidEccnUs • ProductValidHts • ProductValidHtsGroup |
| | | QuestionCheckType | Section | Identifies the section containing data pertaining to the question check. |
| | | Level | Char | Indicates if the questionnaire applies to the transaction, product, commodity, or partner. Valid values are TRANS, PR, CM, NR. |
| | | Type | Char | This is the Questionnaire code from the QE option. |
| | | ElementCode1 | Char | Contains: <ul style="list-style-type: none"> • The transaction type when Level=TRANS • The product code when Level=PR • The commodity group when Level = CM • The partner role when Level = NR |
| | | ElementCode2 | Char | Contains: <ul style="list-style-type: none"> • The commodity code when Level = CM • The partner code when Level = NR |

The following example shows the <Transactions> section:

```

<Transactions>
  <TransactionType>C7</TransactionType>
  <DespatchDate>2015-05-03</DespatchDate>
  <Parties>
    <Party>
      [...]
    </Party>
  <ComplianceChecks>

```

```
        [...]
    </ComplianceChecks>
</Parties>
<Items>
    [...]
</Items>
<Countries>
    [...]
</Countries>
<Texts>
    <Text>
        <TextId>002</TextId>
        <Description>Ship on Pallets</Description>
    </Text>
    <Text>
        <TextId>033</TextId>
        <Description>John Smith
        17 street
        kadari place</Description>
    </Text>
    <ComplianceChecks />
</Texts>
</Transactions>
```

Section: Items

The following table lists the elements in the <Items> section:

| Element | Data Type | Description |
|----------------------|--------------|--|
| Items | Section | This section is for product information that may be required to be interfaced for the purposes of invoicing, packing lists, or carrier requirements for the breakdown of package contents. |
| Item ↻ | Section | This section is for a particular product line on the shipment. |
| ItemLine | Int [10] | The order/sequence of the item lines on the transaction. For example, 10, 20, 30, 40, 50, and so on. |
| Quantity | Dec [14(6)-] | The quantity to be shipped. |
| QuantityUOM | Char [3] | The unit of measure of goods being shipped. |
| Price | Dec [16(6)-] | The selling price of the item. |
| Currency | Char [3] | The currency associated with the price. |
| GrossWeight | Dec [15(6)-] | The gross weight of the item. |
| WeightUOM | Char [3] | The UOM for the gross weight; for example, KG or LBS. |
| Volume | Dec [13(7)-] | The cubic volume per unit of the product. |
| VolumeUOM | Char [3] | The volume UOM for the item. |
| Product | Section | See the Product section. |
| Party ↻ | Section | See the Parties section. |
| CountryOfOrigin | Char [2] | The country code for the country of origin. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| CountryOfDestination | Char [2] | The country code for the country of destination. The codes supported by QAD GTTE are ISO standard 3166 codes. |

| | | | | |
|--|--|------------------------------|-------------|---|
| | | CountryOfUltimateDestination | Char [2] | The country code for the country of ultimate destination. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| | | CustomerDefinedFields | Section | Used with customized data integrity checks. The main purpose of the customer defined fields is to allow additional data elements to be passed that are required, and that are not part of the current XSD. For example, they may be needed for a customized data-integrity check that requires more data. |
| | | CustomerDefinedField * ↻ | Section | The beginning of the customer defined field section. |
| | | Name | Char [20] | The name of the customer defined field as decided by the user. |
| | | Value | Char [2000] | The value of the customer defined field as decided by the user. |

The following example shows the <Items> section:

```

<Items>
  <Item>
    <ItemLine>20</ItemLine>
    <Quantity>1</Quantity>
    <QuantityUOM>EA</QuantityUOM>
    <Price>1</Price>
    <Currency>USD</Currency>
    <GrossWeight>1</GrossWeight>
    <WeightUOM>KG</WeightUOM>
    <Volume>0.2</Volume>
    <VolumeUOM>M3</VolumeUOM>
    <Product>
      [...]
    </Product>
  </Item>
</Items>

```

```


    <CountryOfOrigin />
    <CountryOfDestination />
    <CountryOfUltimateDestination />
  </Item>
  <ComplianceChecks>
    <ECCNCheckType>
      <Type>EccnExportLicense</Type>
    </ECCNCheckType>
    <LicenseCheckType>
      <Type>ExportLicense</Type>
    </LicenseCheckType>
  </ComplianceChecks>
</Items>

```

Section: Product

The following table lists the elements in the <Product> section:

| Element | Data Type | Description |
|-----------------|-----------|--|
| Product | Section | This section is for the identifier of the product. |
| ProductCode | Section | This section specifies the product code and source of the item line. |
| Code | Char [25] | The Product Code in the Source system. |
| Source | Char | This identifies the system where the party is defined. If the source is QAD GTTE, then the party code should exist in the QAD GTTE database. |
| CustomerProduct | Char [30] | This specifies the customer product code of the item line. |
| Commodity ↻ | Section | Allows for multiple commodity codes for a product. Usually one per country. |

| | | |
|--|-------------|---|
| Type | Char [5] | Signifies the commodity table used. Examples: HTS for US Imports, SCHB for US Exports (subset of HTS). TARIC for EU. |
| CommodityCode | Char [22] | This is the code of the commodity, in accordance with the commodity table type/group specified. For example, HS, HTS, or Schedule B codes. |
| Description | Char [2000] | Description of the product indicated in the item line. |
| ECCNClassification  | Section | Identifies the section containing ECCN data related to this product. |
| ECCNGroup | Char [5] | QAD GTTE currently supports US and EU ECCN codes. The ECCNGroup indicates whether this is a US ECCN or a EU ECCN. |
| ECCNNumber | Char [20] | This is the ECCN classification code - associated with the ECCNGroup - that is used to classify the product. This is standard content provided by QAD GTTE. |

The following example shows the <Product> section:

```

<Product>
  <ProductCode>
    <Code>Z_ECCN_1</Code>
    <Source>PRECISION</Source>
  </ProductCode>
  <Commodity>
    <Type>SCHB</Type>
    <CommodityCode>0101300000</CommodityCode>
  </Commodity>
  <Commodity>
    <Type>HS</Type>
    <CommodityCode />
  </Commodity>

```


```

<Description>US 0E018 | EU 1E101</Description>
<ECCNClassification>
  <ECCNGroup>EU</ECCNGroup>
  <ECCNNumber>1E101</ECCNNumber>
</ECCNClassification>
<ECCNClassification>
  <ECCNGroup>US</ECCNGroup>
  <ECCNNumber>0E018</ECCNNumber>
</ECCNClassification>
</Product>

```

Section: ComplianceChecks

The following table lists the elements in the <ComplianceChecks> section:

| Element | Data Type | Description |
|--|-----------|---|
| ComplianceChecks | Section | Identifies the compliance checks to be performed. |
| UseDefaultChecks | Boolean | The Transaction Type is used to determine the compliance checks performed. |
| PartyCheckType | Section | DeniedPartyList screens the name and address against denied party lists. |
| Type | Char | This defines the type of PartyCheck that was run. There are two possible values: <ul style="list-style-type: none"> DeniedPartyList: This indicates the DPL check. RedFlag: This indicates the RedFlag check. |
| Source  | Char | Specifies where the SOA request originates from; The QAD GTTE application, or another system. |

| | | | |
|--|------------------|---------|---|
| | | | <p>If value is set to PRECISION OR TRAX, it will not create the partner in the system. if the partner already exists it will not update it.</p> <p>If the value is set to any other value, it will create the partner if it does not already exist, or it will update it if it does already exist in the system.</p> |
| | CountryCheckType | Section | Identifies the start of the CountryCheckType section. |
| | Type ↻ | Char | <p>There are two possible values:</p> <ul style="list-style-type: none"> • EmbargoedCountry: This runs an embargoed country check on an export transaction. • ImportEmbargoedCountry: This runs an embargoed country check on an import transaction <p><i>Note</i> The type (Export or Import) is determined by the transaction type specified in the node TransactionType.</p> |

The following example shows the <ComplianceChecks> section:

```

<ComplianceChecks>
  <PartyCheckType>
    <Type>DeniedPartyList</Type>
    <Type>Keyword</Type>
    <Source>*ALL</Source>
  </PartyCheckType>
  <CountryCheckType>
    <Type>EmbargoedCountry</Type>
  </CountryCheckType>
</ComplianceChecks>

```

Chapter 3: ShowShortComplianceResult Message

This section describes the ShowShortComplianceResult API response message.

Overview

Describes how the ShowShortComplianceResult response is typically used.

Message Sample

Provides a sample of the XML request.

ShowShortComplianceResult Attributes

Describes the attributes associated with this response.

Message Sections

Lists the message sections and describes the element structure.

ShowShortComplianceResult

Overview

This is the SOA Compliance short response message. It contains the overall compliance result and includes a URL link to view the results. It does not contain any further details on the checks that are run on a transaction.

Message Sample

```
<?xml version="1.0" encoding="UTF-8"?>
<ShowShortComplianceResult
xsi:noNamespaceSchemaLocation="ShowShortComplianceResult.xsd"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" revision="1.00">
  <ApplicationArea>
    <Sender>
      <LogicalId>PRECISION</LogicalId>
      <ReferenceId>DEV</ReferenceId>
      <UniqueMessageId>123456S1</UniqueMessageId>
    </Sender>
    <CreationDateTime>2015-08-18T12:04:28Z</CreationDateTime>
  </ApplicationArea>
  <DataArea>
    <Show confirm="Always"/>
    <ShortComplianceResult>
      <RunNumber>1395794</RunNumber>
      <References>
        <SourceReference>
          <IsPrimaryReference>true</IsPrimaryReference>
          <SourceReferenceKey1>SHORT-SAMPLE</SourceReferenceKey1>
        </SourceReference>
      </References>
      <ComplianceStatus>FAIL</ComplianceStatus>
      <ResultsURL>
```

```
http://QOCOQADWIN505:8080/precision/htm/compliance-history-search.htm?runNumber=1395794
```

```
</ResultsURL>
<TestedDateTime>2015-08-18T12:04:28Z</TestedDateTime>
<ExecutionTime>00:00:00.187</ExecutionTime>
</ShortComplianceResult>
</DataArea>
</ShowShortComplianceResult>
```

ShowShortComplianceResult Attributes

The <DataArea> element can contain attributes that identify the processing that is required.

| Attribute | Description |
|-----------|---|
| confirm | Not in use at this time. Default value is 'Always'. |

ShowShortComplianceResult

The following table lists the top elements in the ShowShortComplianceResult response message, beginning at root element <ShortComplianceResult>. Click an element in the table below to view its child elements:

| Element | Data Type | Description |
|-----------------------|-----------|---|
| ShortComplianceResult | Section | Identifies the section containing data pertaining to the compliance result. |
| RunNumber | Int | The unique identifier for the compliance screening in QAD GTTE. |
| References | Section | See the References section. |
| ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| ResultsURL | Char | A link to the QAD GTTE application to view the results. |

| | | | |
|--|------------------|----------|---|
| | TestedDateTime | DateTime | The date and time that the screening occurred. |
| | ExecutionTime | Time | The duration of the compliance checks. |
| | Items | Section | This section specifies the item details and the item level checks to be run. |
| | ItemResult * ↻ | Section | This section contains details of the item level checks in the SOA response message. |
| | ItemLine | Int [10] | The item sequence number. These values match the original sequence numbers in the corresponding request XML. |
| | ComplianceStatus | Char | This is the compliance result (Pass or Fail) for a check at each individual line level. |
| | Errors | Section | Identifies the section containing error details. |
| | Error ↻ | Section | This section contains the details of an error. |
| | Code | Char | Possible values are: <ul style="list-style-type: none"> • VALIDATION • RUNTIME |
| | Message | Char | If the Code value is VALIDATION, then the message describes an XSD validation error. If RUNTIME is the Code value, then the contents of the message describe anything else that caused the processing of the request to fail. |

Chapter 4: ShowComplianceResult Message

This section describes the ShowComplianceResult API message.

Overview

Describes how the ShowComplianceResult message is typically used.

Message Sample

Provides a sample of the XML message.

ShowComplianceResult Attributes

Describes the attributes associated with this message.

Message Sections

Lists the message sections and describes the element structure.

ShowComplianceResult

Overview

This is the standard SOA Compliance response message. In addition to the overall compliance result and a URL link to view the results, it also contains details of the individual checks that are run on the transaction.

Message Sample

```
<ShowComplianceResult
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" revision="1.00"
xsi:noNamespaceSchemaLocation="ShowComplianceResult.xsd">

  <ApplicationArea>

    <Sender>

      <LogicalId>PRECISION</LogicalId>

      <ReferenceId>DEV</ReferenceId>

      <UniqueMessageId>123456S1</UniqueMessageId>

    </Sender>

  <CreationDateTime>2007-04-23T12:00:00-00:00</CreationDateTime>

</ApplicationArea>

<DataArea>

  <Show confirm="Always"/>

  <ComplianceResult>

    [...]

  </ComplianceResult>

</DataArea>

</ProcessComplianceRequest>
```

ShowComplianceResult Attributes

The <DataArea> element can contain attributes that identify the processing that is required.

| Attribute | Description |
|-----------|---|
| confirm | Not in use at this time. Default value is 'Always'. |

ShowComplianceResult

The following table lists the top elements in the ShowComplianceResult message, beginning at root element <ComplianceResult>. Click an element in the table below to view its child elements:

| Element | Data Type | Description |
|-------------------|-----------|--|
| ComplianceResult | Section | See ShowShortComplianceResult, plus the additions described below. |
| RunNumber | Int [10] | The compliance run number as stored in QAD GTTE. |
| References | Section | See the References section. |
| ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| ResultsURL | Char | The URL of the compliance run results in QAD GTTE. |
| TestedDate | Date | Compliance check date. |
| TestedTime | Time | Compliance check time. |
| ExecutionTime | Time | The duration of the compliance checks. |
| Parties | Section | This section is for the set of parties or addresses that are applicable to the result. See the Parties section. |
| Countries | Section | This section contains data about the countries that are applicable to the result. |
| CountryResult * ↻ | Section | The start of the country result section. |
| CountryCheck | Section | One node for each country to be checked. The countries are taken from the party addresses. |
| Country | Char [2] | The ISO country code that is checked. This contains the same value as sent in the ProcessComplianceRequest message. |
| CountryCheckType | Char | The type of check that was performed on the country. This contains the same value as sent in the ProcessComplianceRequest message. |
| AddressLine4 | Char [40] | Address line 4. |

| | | | | | |
|--|--|--|------------------------|-----------|---|
| | | | PostalCode | Char [10] | The postal code. |
| | | | EmbargoedCountryResult | Section | See the EmbargoedCountryResult section. |
| | | | ECCNs | Section | The start of the Export Control Classification Numbers (ECCN) section. See the ECCNs section. |
| | | | Products | Section | See the Products section. |
| | | | DataIntegrityResults | Section | See DataIntegrityResults section. |
| | | | QuestionResults | Section | See QuestionResults section. |
| | | | Items | Section | This section is for product information that is applicable to the result. |
| | | | ItemResult * ↻ | Section | This section contains details of the item level checks. |
| | | | ItemLine | Int [10] | The item sequence number. These values match the original sequence numbers in the corresponding request XML. |
| | | | Parties | Section | This section is for the set of parties or addresses that are applicable to the result. |
| | | | PartyResult * ↻ | Section | One occurrence for each party screened. |
| | | | PartyCheck | Section | Identifies the start of the PartyCheckType section. |
| | | | Party | Section | See the Parties section. |
| | | | PartyCheckType | Section | Identifies the section containing data pertaining to party checks. |
| | | | Type | Char | Specify the Party checks you want to run . There are two possible values: <ul style="list-style-type: none"> • DeniedPartyList • RedFlag |
| | | | Source ↻ | Char | Specifies where the SOA request originates from; The QAD GTTE application, or another system. If value is set to PRECISION (or TRAX), it will not create the partner in the system. if the partner already exists it will not update it. |

| | | | |
|--|---------|---------|---|
| | Errors | Section | Identifies the section containing error details. |
| | Error ↻ | Section | This section contains the details of an error. |
| | Code | Char | Possible values are: <ul style="list-style-type: none"> • VALIDATION • RUNTIME |
| | Message | Char | If the Code value is VALIDATION, then the message describes an XSD validation error. If RUNTIME is the Code value, then the contents of the message describe anything else that caused the processing of the request to fail. |

Section: Parties

The following table lists the elements in the <Parties> section:

| Element | Data Type | Description |
|-----------------|-----------|--|
| Parties | Section | This section is for the set of parties or addresses that are applicable to the result. |
| PartyResult * ↻ | Section | One occurrence for each party screened. |
| PartyCheck | Section | Contains details of the check. |
| Party | Section | The party to be checked, as provided in the request. |
| PartyType | Char | This is the Role of the party; for example, Carrier. See Appendix A: Party Types for more information. |
| PartyId | Section | A unique identifier for the party; for example, customer number. |
| Id | Char [20] | This is the Party Id code in the source system. If the partner Id does not exist in the partner table in the QAD GTTE database, then the system will create the party record. If you do not want the system to create the record, |

| | | | | | | |
|--|--|--|--|-------------------|---------|---|
| | | | | Source | Char | <p>Specifies where the SOA request originates from; The QAD GTTE application, or another system.</p> <p>If value is set to PRECISION OR TRAX, it will not create the partner in the system. if the partner already exists it will not update it.</p> <p>If the value is set to any other value, it will create the partner if it does not already exist, or it will update it if it does already exist in the system.</p> |
| | | | | DeniedPartyResult | Section | <p>The parameter settings in the application.</p> <p>See the DeniedPartyResult section.</p> |
| | | | | RedFlagResult | Section | See the RedFlagResult section. |
| | | | | KeywordResult | Section | See the KeywordResult section. |
| | | | | ComplianceStatus | Char | <p>The result of the Denied Party screening check. Possible results are Pass or Fail. An additional result of 'Pass with Warning' may also apply for the DPL check.</p> |

The following example shows the <Parties> section:

```

<Parties>
  <PartyResult>
    <PartyCheck>
      <Party>
        <PartyType>Consignee</PartyType>
        <PartyId>
          <Id>JS12345678</Id>
          <Source>IFS</Source>
        </PartyId>
        <Contact/>
        <Name>John Smith</Name>
        <PartyAddress>

```

```

        <AddressLine1>Somewhere in
USA</AddressLine1>

        <AddressLine2>Line 2</AddressLine2>

        <Country>US</Country>

    </PartyAddress>

</Party>

<PartyCheckType>

    <Type>DeniedPartyList</Type>

    <Source>*ALL</Source>

</PartyCheckType>

</PartyCheck>

    <DeniedPartyResult NameWarningThreshold="81.0"
NameFailureThreshold="89.0" AddressWarningThreshold="75.0"
AddressFailureThreshold="93.0">

        <ComplianceStatus>PASS</ComplianceStatus>

        <TestedDate>2019-02-20</TestedDate>

        <TestedTime>14:36:44Z</TestedTime>

        <RunDate>2019-02-20</RunDate>

        <RunTime>14:48:22Z</RunTime>

    </DeniedPartyResult>

</PartyResult>

</Parties>

```

Section: EmbargoedCountryResult

The following table lists the elements in the <EmbargoedCountryResult> section:

| Element | Data Type | Description |
|----------------------------------|-------------|---|
| EmbargoedCountryResult | Section | Section for the results of the Embargoed Countries check. |
| EmbargoedCountryMatch ↻ | Section | This section contains the details of the match. |
| Source | Section | Source details of the Embargoed Countries check. |
| Code | Char [10] | Source of the EBC entry, such as the government agency. |
| Version | Char [10] | For future use. |
| LoadDate | Date | For future use. |
| Remarks | Section | This section contains user remarks. |
| Text | Char [2000] | Data from the EBC record matched against. |
| User | Char [20] | The user who processed the request. |
| Date | Date | Compliance check date. |
| Time | Time | Compliance check time. |
| EmbargoedCountryResultOverride ↻ | Section | <u>See the ResultOverride section.</u> |
| ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| TestedDate | Date | The date on which the screening occurred. |
| TestedTime | Time | The time that the screening occurred. |


The following example shows the <EmbargoedCountryResult> section:

```
<EmbargoedCountryResult>
  <EmbargoedCountryMatch>
    <Source>
      <Code/>
    </Source>
    <Remarks>
      <Text>    The country 'US' (UNITED STATES) is not an
embargoed country.</Text>
      <User>QCONFIG</User>
      <Date>2019-02-20</Date>
      <Time>14:48:23Z</Time>
    </Remarks>
  </EmbargoedCountryMatch>
  <ComplianceStatus>PASS</ComplianceStatus>
  <TestedDate>2019-02-20</TestedDate>
  <TestedTime>14:48:23Z</TestedTime>
</EmbargoedCountryResult>
```

Section: ResultOverride

| Element | Data Type | Description |
|-------------------|-----------|---|
| OverriddenStatus | Char | The new status after the manual override action was performed. |
| OverriddenBy | | The user that performed the manual override action. |
| OverriddenDate | Date | The date on which the manual override action occurred. |
| OverriddenTime | Time | The time at which the manual override action occurred. |
| OverriddenComment | Char | This is the override comment entered by the user when they manually pass or fail a check, or whitelist a DPL failure. |

Section: DeniedPartyResult

| Element | Data Type | Description |
|--|-------------|---|
| DeniedPartyResult | Section | The parameter settings in the application. |
| DeniedPartyMatch  | Section | One node for each entry from the denied party list that was matched. |
| CheckType | | Whether the match is against the name or the address. |
| Text | Char [2000] | This is the name and address of the Denied Party entry that the match was found against. |
| Score | Dec | The likelihood of a real match. The score is a percentage between 0 and 100. The higher the percentage, the closer the match. |
| CRC32 | Char | Code of the entry in the Denied Party content. The unique identifier for an entry on the DPL list. |
| Source | Section | Source details of the DPL check. |

| | | | | |
|--|--|----------|-------------|--|
| | | Code | Char [10] | The name of the DPL list that the match was found against; for example, BIS, OFAC, EUS, UKF. |
| | | Version | Char [10] | For future use. |
| | | LoadDate | Date | For future use. |
| | | Remarks | Section | This section contains user remarks. |
| | | Text | Char [2000] | Provides additional information. |
| | | User | Char [20] | The user who processed the request. |
| | | Date | Date | Compliance check date. |
| | | Time | Time | Compliance check time. |

The following example shows the <DeniedPartyResult> section:

```
<DeniedPartyResult NameWarningThreshold="81.0"
NameFailureThreshold="89.0" AddressWarningThreshold="75.0"
AddressFailureThreshold="93.0">

  <ComplianceStatus>PASS</ComplianceStatus>

  <TestedDate>2019-02-20</TestedDate>

  <TestedTime>14:36:44Z</TestedTime>

  <RunDate>2019-02-20</RunDate>

  <RunTime>14:48:22Z</RunTime>

</DeniedPartyResult>
```

Section: RedFlagResult

| Element | Data Type | Description |
|-----------------------|-------------|--|
| RedFlagResult | Section | This section contains red flag data that is applicable to the transaction. |
| RedFlagMatch | Section | One node for each entry that was matched. |
| Text | Char [2000] | Provides additional information on the match. |
| Status | Char | Result of the compliance screening; PASS or FAIL. |
| RedFlagResultOverride | Section | <u>See the ResultOverride section.</u> |
| ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| TestedDate | Date | The date on which the screening occurred. |
| TestedTime | Time | The time that the screening occurred. |

The following example shows the <RedFlagResult> section:

```

<RedFlagResult>
  <RedFlagMatch>
    <Text>Manual intervention is required to pass this check.
    This is to ensure 'due diligence' when shipping goods involving a
    partner JS12345678 (John Smith). Things to look for: 1. The customer or
    its address is similar to one of the parties found on the Commerce
    Department's [BXA's] list of denied persons. 2. The customer or
    purchasing agent is reluctant to offer information about the end-use of
    the item. 3. The product's capabilities do not fit the buyer's line of
    business, such as an order for sophisticated computers for a small
    bakery. 4. The item ordered is incompatible with the technical level of
    the country to which it is being shipped, such as semiconductor
    manufacturing equipment being shipped to a country that has no
    electronics industry. 5. The customer is willing to pay cash for a very
    expensive item when the terms of sale would normally call for financing.
    6. The
    customer has little or no business background." 7. The customer is
    unfamiliar with the product's performance characteristics but still
    wants the product. 8. Routine installation, training, or maintenance
    services are declined by the customer. 9. Delivery dates are vague, or
    deliveries are planned for out of the way destinations. 10. A freight
    forwarding firm is listed as the product's final destination. 11. The
    shipping route is abnormal for the product and destination. 12.
    Packaging is inconsistent with the stated method of shipment or
    destination. 13. When questioned, the buyer is evasive and especially
    unclear about whether the purchased product is for domestic use, for
    export, or for reexport.
    </Text>
    <Status>FAIL<Status>
  </RedFlagMatch>
  <ComplianceStatus>FAIL</ComplianceStatus>
  <TestedDate>2019-08-28</TestedDate>
  <TestedTime>12:59:55Z</TestedTime>
</RedFlagResult>

```

Section: ECCNs

The following table lists the elements in the <ECCNs> section:

| Element | Data Type | Description |
|------------------------------|-----------|--|
| ECCNs | Section | The start of the Export Control Classification Numbers (ECCN) section. |
| ECCNResult * ↻ | Section | This section contains ECCN data that is applicable to the transaction. |
| ECCNCheck | Section | This section contains the details of the check. |
| ECCNClassification | Section | This section contains ECCN classification details. |
| ECCNGroup | Char [5] | QAD GTTE currently supports US and EU ECCN codes. ECCNGroup indicates whether this is a US ECCN or a EU ECCN. |
| ECCNNumber | Char [20] | The Export Control Classification alphanumeric code used to identify dual-use items for export control purposes; for example: (US,5a001.c), (EU,0A001.a) |
| Country | Char [2] | The country code. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| CountryOfDestination | Char [2] | The country code for the country of destination. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| CountryOfUltimateDestination | Char [2] | The country code for the country of ultimate destination. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| ECCNCheckType | Section | Section for specifying the ECCN check type. |
| Type ↻ | Char | The ECCN checks. There are two possible values: <ul style="list-style-type: none"> EccnExportLicense: This is the ECLI check. EccnToCountry: This is the EXCT check. |
| ECCNExportLicenseResult | Section | Identifies the beginning of the ECCN Export License result details. |

| | | | | | |
|--|--|--|--|-------------|--|
| | | | ECCNExportLicenseMatch ^U | Section | This section contains details of the result of the ECCN check. |
| | | | Text | Char [2000] | A description of the result of the ECCN check; for example: The ECCN (US, 0A001) is invalid. |
| | | | Status | Char | The result of the ECCN check, PASS or FAIL. |
| | | | CountryGroup ^U | Section | This section contains details of the country group. |
| | | | Code | Char [5] | The country group code that was checked against; for example: ALL, AT1, CB1 |
| | | | Description | Char [80] | A description of the Country group that was checked. For example : <ul style="list-style-type: none"> • "All Countries", • "Anti Terrorism - Column 1" |
| | | | ExportLicenseRequired | Boolean | Specifies whether the ECCN check passes or fails. <ul style="list-style-type: none"> • If it passes value = TRUE • If it fails value = FALSE |
| | | | ECCNExportLicenseResultOverride ^U | Section | See the ResultOverride section. |
| | | | ECCNExportLicenseInfo ^U | Section | See the Licenses section. |
| | | | ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| | | | TestedDate | Date | The date on which the screening occurred. |
| | | | TestedTime | Time | The time that the screening occurred. |
| | | | ECCNCountryResult | Section | Identifies the start of the ECCNCountryResult section. |
| | | | ECCNCountryMatch | Section | Contains information about the result of the ECCCountry Check; for example, 'The ECCN classification ('US', '0A001') is invalid.' |
| | | | Text | Char [2000] | Provides additional information on the match. |
| | | | Status | Char | Result of the compliance screening; PASS or FAIL. |
| | | | ECCNCountryResultOverride ^U | Section | See the ResultOverride section. |

| | | | | |
|--|--|------------------|------|---|
| | | ComplianceStatus | Char | Compliance result of this check. |
| | | TestedDate | Date | The date on which the screening occurred. |
| | | TestedTime | Time | The time that the screening occurred. |

The following example shows the <ECCNs> section:

```

<ECCNs>
  <ECCNResult>
    <ECCNCheck>
      <ECCNClassification>
        <ECCNGroup>EU</ECCNGroup>
        <ECCNNumber>1E101</ECCNNumber>
      </ECCNClassification>
      <Country>PK</Country>
      <ECCNCheckType>
        <Type>EccnToCountry</Type>
      </ECCNCheckType>
    </ECCNCheck>
    <ECCNCountryResult>
      <ECCNCountryMatch>
        <Text>The ECCN classification ('EU', '1E101')
can be
(PAKISTAN) .</Text>
        <Status>PASS</Status>
      </ECCNCountryMatch>
      <ComplianceStatus>PASS</ComplianceStatus>
      <TestedDate>2015-03-04</TestedDate>
      <TestedTime>15:31:48Z</TestedTime>
    </ECCNCountryResult>
  </ECCNResult>

```

```

<ECCNResult>
  <ECCNCheck>
    <ECCNClassification>
      <ECCNGroup>US</ECCNGroup>
      <ECCNNumber>0E018</ECCNNumber>
    </ECCNClassification>
    <Country>CH</Country>
    <ECCNCheckType>
      <Type>EccnToCountry</Type>
    </ECCNCheckType>
  </ECCNCheck>
  <ECCNCountryResult>
    <ECCNCountryMatch>
      <Text>The ECCN classification ('US', '0E018')
can be
(SWITZERLAND) .</Text>
      <Status>PASS</Status>
    </ECCNCountryMatch>
    <ComplianceStatus>PASS</ComplianceStatus>
    <TestedDate>2015-03-04</TestedDate>
    <TestedTime>15:31:48Z</TestedTime>
  </ECCNCountryResult>
</ECCNResult>
</ECCNs>

```

Section: Products

The following table lists the elements in the <Products> section:

| Element | Data Type | Description |
|--------------------------------|-------------|--|
| ProductResult * ↻ | Section | Identifies the start of the ProductResult section. |
| ProductCheck | Section | Contains details of the product check. |
| Product | Section | See the Product section. |
| Country | Char [2] | The country code. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| Party | Section | See the Parties section. |
| ProductCheckType | Section | Identifies the start of the ProductCheckType section. |
| Type | Char | Specifies the Product checks that ran against this transaction. |
| ProductCountryResult | Section | Section for the results of the Product to Country of Destination check. |
| ProductCountryMatch | Section | Section for the results of the Product to Country of Destination check. |
| Text | Char [2000] | Provides further information on the check. |
| Status | Char | Result of the compliance screening; PASS or FAIL. |
| ProductCountryResultOverride ↻ | Section | See the ResultOverride section. |
| ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| TestedDate | Date | The date on which the screening occurred. |
| TestedTime | Time | The time that the screening occurred. |
| ProductPartnerResult | Section | Section for the results of the Product to Partner check. |
| ProductPartnerMatch | Section | This section contains the details of the match. |

| | | | | |
|--|--|--|-------------|---|
| | | Text | Char [2000] | Provides further information on the check. |
| | | Status | Char | Result of the compliance screening; PASS or FAIL. |
| | | ProductPartnerResultOverride | Char [2000] | See the ResultOverride section. |
| | | ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| | | TestedDate | Date | The date on which the screening occurred. |
| | | TestedTime | Time | The time that the screening occurred. |
| | | PermittedProductCountryResult | Section | Section for the results of the Permitted Products to Country check. |
| | | PermittedProductCountryMatch | Section | This section contains the details of the match. |
| | | Text | Char [2000] | Provides further information on the check. |
| | | Status | Char | Result of the compliance screening; PASS or FAIL. |
| | | PermittedProductCountryResult Override | Char [2000] | See the ResultOverride section. |
| | | ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| | | TestedDate | Date | The date on which the screening occurred. |
| | | TestedTime | Time | The time that the screening occurred. |
| | | KeywordResult | Section | Section for the results of the Keyword check. |
| | | KeywordMatch | Section | This section contains the details of the match. |
| | | Text | Char [2000] | Provides further information on the check. |
| | | Status | Char | Result of the compliance screening; PASS or FAIL. |
| | | KeywordResultOverride | Char [2000] | See the ResultOverride section. |
| | | ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| | | TestedDate | Date | The date on which the screening occurred. |
| | | TestedTime | Time | The time that the screening occurred. |

The following example shows the <Products> section:

```
<Products>
  <ProductResult>
    <ProductCheck>
      <Product>
        <ProductCode>
          <Code>Z_ECCN_2</Code>
          <Source/>
        </ProductCode>
        <Description>US 1B002 | EU 1C101</Description>
      </Product>
      <ProductCheckType>
        <Type>Keyword</Type>
      </ProductCheckType>
    </ProductCheck>
    <KeywordResult>
      <KeywordMatch>
        <Text>
          At least one of the keywords was found for the
          product:
          Keywords:
          1B00
          Product desc:
          US 1B002 | EU 1C101
        </Text>
        <Status>FAIL</Status>
      </KeywordMatch>
      <ComplianceStatus>FAIL</ComplianceStatus>
    </KeywordResult>
  </ProductResult>
</Products>
```

```

        <TestedDate>2014-12-18</TestedDate>
        <TestedTime>12:44:15Z</TestedTime>

    </KeywordResult>

</ProductResult>

</Products>

```

Section: Commodities

The following table lists the elements in the <Commodities> section:

| Element | Data Type | Description |
|-----------------|-----------|--|
| Commodities | Section | Section for the commodities result set. |
| CommodityResult | Section | Section containing details of the commodity check result. |
| CommodityCheck | Section | Section containing details of the commodity check. |
| Commodity | Section | Section for the commodity. |
| Type | Char [5] | Signifies the commodity table used. For example: <ul style="list-style-type: none"> HTS for US Imports SCHB for US Exports (subset of HTS) TARIC for EU |
| Code | Char [22] | The commodity code. |
| Country | Char [4] | This is the country code of the party's location. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| Party | Section | The party to be checked, as provided in the request. |
| PartyType | Char | This is the Role of the party; for example, Carrier. See Appendix A: Party Types for more information. |
| PartyId | Section | A unique identifier for the party; for example, customer number. |

| | | | | | | | |
|--|--|--|--|--|--------------------|-----------|---|
| | | | | | Id | Char [20] | <p>This is the Party Id code in the source system.</p> <p>If the partner Id does not exist in the partner table in the QAD GTTE database, then the system will create the party record. If you do not want the system to create the record, then the Source Node should be set to TRAX or PRECISION</p> |
| | | | | | Source | Char | <p>Identifies the system where the party is defined. If the source is QAD GTTE, then the party code should exist in the QAD GTTE database.</p> |
| | | | | | Contact | Char | <p>Specify a contact associated with the partner. The system will run the DPL check against the contact name if the system parameter COMPLIANCE/DPL_RUN_CONTACT_CHECK is set to "YES".</p> |
| | | | | | Name | Char [40] | <p>Specify the contact name if the party has a contact. This partner will also be screened if the DPL check runs.</p> |
| | | | | | PartyAddress | Section | <p>This section is for the party address details.</p> |
| | | | | | AddressLine1 | Char [40] | <p>Specifies an address line of the address.</p> |
| | | | | | AddressLine2 | Char [40] | <p>Specifies an address line of the address.</p> |
| | | | | | AddressLine3 | Char [40] | <p>Specifies an address line of the address.</p> |
| | | | | | AddressLine4 | Char [40] | <p>Specifies an address line of the address.</p> |
| | | | | | AddressLine5 | Char [40] | <p>Specifies an address line of the address.</p> |
| | | | | | PostalCode | Char [10] | <p>Specifies the postal code of the address.</p> |
| | | | | | City | Char [30] | <p>Specifies the city of the address.</p> |
| | | | | | State | Char [3] | <p>Specifies the state of the address.</p> |
| | | | | | Country | Char [2] | <p>This is the country code of the party's location. The codes supported by QAD GTTE are ISO standard 3166 codes.</p> |
| | | | | | EmailAddress | Char | <p>Email address of the party.</p> |
| | | | | | CommodityCheckType | Char | <p>Specifies the check type.</p> |

| | | | | |
|--|--|--------------------------------|-------------|---|
| | | CommodityCountryResult | Section | This section contains the results of the Commodity to Country of Destination Check. |
| | | CommodityCountryMatch | Section | One node for each entry that was matched. |
| | | Text | Char [2000] | Contains details of the match. |
| | | Status | Char | Result of the compliance screening; PASS or FAIL. |
| | | CommodityCountryResultOverride | Section | <u>See the ResultOverride section.</u> |
| | | ComplianceStatus | Char | Result of the check; PASS or FAIL. |
| | | TestedDate | Date | Compliance check date. |
| | | TestedTime | Time | Compliance check time. |
| | | CommodityPartnerResult | Section | This section contains the results of the Commodity to Partner Check. |
| | | CommodityPartnerMatch | Section | One node for each entry that was matched. |
| | | Text | Char [2000] | Text related to the match. |
| | | Status | Char | Result of the check; PASS or FAIL. |
| | | CommodityPartnerResultOverride | Section | <u>See the ResultOverride section.</u> |
| | | ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| | | TestedDate | Date | Compliance check date. |
| | | TestedTime | Time | Compliance check time. |

The following example shows the <Commodities> section:

```

<Commodities>
  <CommodityResult>
    <CommodityCheck>
      <Commodity>
        <Type>HS</Type>
        <Code />
      </Commodity>
      <Country>US</Country>
      <CommodityCheckType>CommodityFromCountryOfOriginEx
    </CommodityCheckType>
    </CommodityCheck>
    <CommodityCountryResult>
      <CommodityCountryMatch>
        <Text>There is no commodity code specified for
the commodity group 'HS'.</Text>
        <Status>FAIL</Status>
      </CommodityCountryMatch>
      <ComplianceStatus>FAIL</ComplianceStatus>
      <TestedDate>2015-03-04</TestedDate>
      <TestedTime>14:48:11Z</TestedTime>
    </CommodityCountryResult>
  </CommodityResult>
</Commodities>

```

Section: Licenses

The following table lists the elements in the <Licenses> section:

| Element | | | Data Type | Description |
|----------|---------------------|-----------------------------|-----------|---|
| Licenses | | | Section | The section contains data pertaining to license information. |
| | LicenseResult | | Section | The beginning of the section that details the results of the license check. |
| | | LicenseCheck | Section | The license check section. |
| | | Product | Section | <u>See the Product section.</u> |
| | | CountryOfOrigin | Char [2] | The country code for the country of origin. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| | | CountryOfDestination | Char [2] | The country code for the country of destination. The codes supported by QAD GTTE are ISO standard 3166 codes. |
| | | LicenseCheckType | Section | Identifies the section containing data pertaining to license checks. |
| | | Type | | There are two possible values: <ul style="list-style-type: none"> • ExportLicense: Runs the EXLI (permits/guarantees) check. • ImportLicense: For future use. |
| | ExportLicenseResult | | Section | The beginning of the export license result section. |
| | | ExportLicenseMatch | Section | This section contains the details of the match. |
| | | Text | Char | Provides further information on the match. |
| | | Status | Char | Result of the compliance screening; PASS or FAIL. |
| | | ExportLicenseResultOverride | Section | <u>See the ResultOverride section.</u> |
| | | ExportLicenseInfo | Section | The beginning of the export license information section. |
| | | License | Char [26] | The code associated with the license. |

| | | | | | | |
|--|--|--|--|---------------------|-----------|---|
| | | | | LicenseLine | Int | When a customer is granted a license, it may cover multiple products and/or multiple ECCN codes. There must be a separate license line (10,20,30,40, and so on) set up for each of these product and ECCN codes. This is the license line behind the Master License that was attached to the shipment item line to cover the value/quantity on it. |
| | | | | Description | Char [40] | Description of the export license information. |
| | | | | ItemQuantity | Dec | Item quantity. |
| | | | | ItemQuantityUOM | Char [3] | The unit of measure. |
| | | | | LicensedValue | Dec | Licensed value. |
| | | | | LicensedCurrency | Char [3] | Licensed currency. |
| | | | | LicensedQuantity | Dec | Licensed quantity. |
| | | | | LicensedDimension | Char [6] | Licensed dimension. |
| | | | | LicensedQuantityUOM | Char [3] | The unit of measure of goods being shipped. |
| | | | | ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| | | | | TestedDate | Date | The date on which the screening occurred. |
| | | | | TestedTime | Time | The time at which the screening occurred. |
| | | | | ImportLicenseResult | Section | For future use. |
| | | | | ImportLicenseMatch | Section | For future use. |
| | | | | Text | Char | For future use. |
| | | | | Status | Char | For future use. |
| | | | | ComplianceStatus | Char | For future use. |
| | | | | TestedDate | Date | For future use. |
| | | | | TestedTime | Time | For future use. |

The following example shows the <Licenses> section:

```

<Licenses>
  <LicenseResult>
    <LicenseCheck>
      <Product>
        <ProductCode>
          <Code>.</Code>
          <Source>PRECISION</Source>
        </ProductCode>
        <Description>Cabinets</Description>
      </Product>
      <CountryOfOrigin>GB</CountryOfOrigin>
      <CountryOfDestination>GB</CountryOfDestination>
      <LicenseCheckType>
        <Type>ExportLicense</Type>
      </LicenseCheckType>
    </LicenseCheck>
    <ExportLicenseResult>
      <ExportLicenseMatch>
        <Text>Product . (Cabinets) does not require a
license to export to GB (UNITED KINGDOM).</Text>
        <Status>PASS</Status>
      </ExportLicenseMatch>
      <ComplianceStatus>PASS</ComplianceStatus>
      <TestedDate>2019-07-03</TestedDate>
      <TestedTime>08:07:47Z</TestedTime>
    </ExportLicenseResult>
  </LicenseResult>
</Licenses>

```

Section: DataIntegrityResults

The following table lists the elements in the <DataIntegrityResults> section:

| Element | Data Type | Description |
|-------------------------------|-------------|--|
| DataIntegrityResults | Section | This section details the Data Integrity check results. The Data Integrity check validates the data on the transaction. |
| DataIntegrityResult * ↻ | Section | Contains the details of the Data Integrity check. |
| DataIntegrityCheck | Section | Section for the Data Integrity Check. |
| DataIntegrityCheckType ↻ | Section | Section for the check type. |
| Type | Char | Specifies the check type. |
| DataIntegrityResult ↻ | Section | Contains the result details. |
| DataIntegrityMatch | Section | One node for each entry that was matched. |
| Text | Char [2000] | Contains further details of the match. |
| Status | Char | Result of the compliance screening; PASS or FAIL. |
| DataIntegrityResultOverride ↻ | Section | <u>See the ResultOverride section.</u> |
| ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| TestedDate | Date | The date on which the screening occurred. |
| TestedTime | Time | The time that the screening occurred. |

The following example shows the <DataIntegrityResults> section:

```
<DataIntegrityResults>
  <DataIntegrityResult>
    <DataIntegrityCheck>
      <DataIntegrityCheckType>
        <Type>PartnerValidIso</Type>
      </DataIntegrityCheckType>
    </DataIntegrityCheck>
  <DataIntegrityResult>
    <DataIntegrityMatch>
      <Text>Consignor 'Precision UK, Sales' has a valid
ISO      country code (GB) associated with it.</Text>
      <Status>PASS</Status>
    </DataIntegrityMatch>
    <ComplianceStatus>PASS</ComplianceStatus>
    <TestedDate>2019-07-03</TestedDate>
    <TestedTime>08:07:47Z</TestedTime>
  </DataIntegrityResult>
</DataIntegrityResult>
</DataIntegrityResults>
```

Section: Texts

The following table lists the elements in the <Texts> section:

| Element | | | | Data Type | Description |
|---------|-------------------|---------------|-------------|-------------|---|
| Texts | | | | Section | This section contains data pertaining to texts associated with the transaction. |
| | TextResult | | | Section | Section for the results of the check. |
| | | TextCheck | | Section | Identifies the beginning of the text check details. |
| | | | Text | Section | The beginning of a Text section. |
| | | | TextId | Char [4] | Specifies the TextId associated with the text |
| | | | Description | Char [2000] | Specifies the text description. |
| | | TextCheckType | | Section | Contains information related to the Text check. |
| | | | Type | Char | There are two possible values: <ul style="list-style-type: none"> • Keyword: This is the KEY check. • DPL-TEXTS: This is the DPL-TEXTS check. |
| | KeywordResult | | | Section | <u>See the KeywordResult section.</u> |
| | DeniedPartyResult | | | Section | <u>See the DeniedPartyResult section.</u> |

The following example shows the <Texts> section:

```
<Texts>
  <TextResult>
    <TextCheck>
      <Text>
        <TextId>002</TextId>
        <Description>Ship on Pallets
        Order Number &gt;obama
        check Number &gt;bref</Description>
      </Text>
      <TextCheckType>
        <Type>DPL-TEXTS</Type>
      </TextCheckType>
    </TextCheck>
    <DeniedPartyResult NameWarningThreshold="75.0"
    NameFailureThreshold="85.0" AddressWarningThreshold="75.0"
    AddressFailureThreshold="85.0">
      <ComplianceStatus>PASS</ComplianceStatus>
      <TestedDate>2015-03-04</TestedDate>
      <TestedTime>15:53:14Z</TestedTime>
    </DeniedPartyResult>
  </TextResult>
</Texts>
```

Section: QuestionResults

The following table lists the elements in the <QuestionResults> section:

| Element | | | | Data Type | Description |
|-----------------|--------------------|---------------------|--------------|-------------|---|
| QuestionResults | | | | Section | This section details whether the questions on a transaction were answered correctly, and therefore, whether the passes |
| | QuestionResult * ↻ | | | Section | Section for the results of the questionnaire. |
| | | QuestionCheck | | Section | The beginning of the question check section. |
| | | QuestionCheckType ↻ | | Section | Section for the check type. |
| | | | Level | Char | Possible values: <ul style="list-style-type: none"> • TRANS • PR • CM • NR Where: <ul style="list-style-type: none"> • TRANS = Transaction • PR = Product • NR = Partner • CM = Commodity |
| | | | Type ↻ | Char | Specifies the check type. |
| | | | ElementCode1 | Char | Contains: <ul style="list-style-type: none"> • The transaction type when Level=TRANS • The product code when Level = PR • The commodity group when Level = CM • The partner role when Level = NR |
| | | | ElementCode2 | Char | Contains: <ul style="list-style-type: none"> • The commodity code when Level = CM • The partner code when Level = NR |
| | QuestionResult ↻ | | | Section | This section contains details of a question on a transaction. |
| | | QuestionMatch ↻ | | Section | One node for each entry that was matched. |
| | | | Text | Char [2000] | Provides additional information on the match. |

| | | | | | |
|--|--|--|------------------|-----------|--|
| | | | Status | Char | Result of the check; PASS or FAIL. |
| | | | Type | Char | The data type associated with the question. Possible values: <ul style="list-style-type: none"> • INT • LOG • CHAR • DEC • DATE |
| | | | Operator | Char | It is possible to create a question with an expected answer, or an expected range of answers in order for this check to pass. There is a set of operators that vary depending on the data type. For example, the Logical data type has two possible answers ("Yes" and "NO"), and the operator is "=". <p>This field contains the value of the operator used in the question. Some examples are:</p> <ul style="list-style-type: none"> • = • > • < • <= • >= |
| | | | Level | Char | This specifies whether the question was set up at a Master or Transactions level. Possible values: <ul style="list-style-type: none"> • M • T |
| | | | QuestionId | Char | Each Question has its own code or ID. This is the code associated with the question. |
| | | | Question | Char | The question text. |
| | | | UserAnswer | Char | The user's answer to the question. |
| | | | SelectionList | Char | For the character data type, it is possible to define the correct answer as a set of different values (i.e. selection). This node is a list of these values defined in the original question. |
| | | | LastModifiedUser | Char [20] | Last modified user. |
| | | | LastModifiedDate | DateTime | Last modified date |
| | | | ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |

| | | | | |
|--|--|------------|------|---|
| | | TestedDate | Date | The date on which the screening occurred. |
| | | TestedTime | Time | The time that the screening occurred. |

The following example shows the <QuestionResults> section:

```

<QuestionResults>
  <QuestionResult>
    <QuestionCheck>
      <QuestionCheckType>
        <Level />
        <Type>ENTRY-QUE</Type>
        <ElementCode1>Q2</ElementCode1>
      </QuestionCheckType>
    </QuestionCheck>
    <QuestionResult>
      <QuestionMatch>
        <Text>The question hasn't been answered
yet</Text>
        <Status>FAIL</Status>
        <Type>LOG</Type>
        <Operator>=</Operator>
        <Level>T</Level>
        <QuestionId>ENTRY-2</QuestionId>
        <Question>Did you double-check the commodity
classification for the items?</Question>
        <UserAnswer />
        <SelectionList />
        <LastModifiedUser>R9A</LastModifiedUser>
        <LastModifiedDate>03/07/2019
01:10:46</LastModifiedDate>

```

```

        </QuestionMatch>
        <ComplianceStatus>FAIL</ComplianceStatus>
        <TestedDate>2019-07-03</TestedDate>
        <TestedTime>08:10:46Z</TestedTime>
    </QuestionResult>
</QuestionResult>
</QuestionResults>

```

Section: KeywordResult

The following table lists the elements in the <KeywordResult> section:

| Element | Data Type | Description |
|------------------------------------|-------------|---|
| KeywordResult | Section | Section for the results of the Keyword check. |
| KeywordMatch | Section | This section contains the details of the match. |
| Text | Char [2000] | Provides further information on the check. |
| Status | Char | Result of the compliance screening; PASS or FAIL. |
| KeywordResultOverride [↻] | Section | See the ResultOverride section. |
| ComplianceStatus | Char | Result of the compliance screening; PASS or FAIL. |
| TestedDate | Date | The date on which the screening occurred. |
| TestedTime | Time | The time that the screening occurred. |

The following example shows the <KeywordResult> section:

```
<KeywordResult>
  <KeywordMatch>
    <Text>None of the keywords were found for the partner:
    Name:
    Precision Software - Chicago
    Address:
    Washington Blvd abc
    </Text>
    <Status>PASS</Status>
    <ComplianceStatus>PASS</ComplianceStatus>
    <TestedDate>2014-12-18</TestedDate>
    <TestedTime>12:44:15Z</TestedTime>
  </KeywordMatch>
</KeywordResult>
```

Appendix A: Party Types

This section lists some commonly-used party types applicable to the <PartyType> node.

PartyTypes

Provides a list of supported party types.

Table A.1

Supported Party Types

| Type | Partner ID |
|-----------------------|------------|
| Consignee | 01 |
| Carrier | 02 |
| ShipmentBank | 03 |
| BillTo | 04 |
| Haulier | 05 |
| Principal | 06 |
| Declarant | 07 |
| InsuranceAgent | 08 |
| Notify | 09 |
| IntermediateConsignee | 09 |
| Customs | 10 |
| SalesRep | 11 |
| Responsible | 12 |
| Financial | 13 |
| Shipper | 14 |
| Consignor | 14 |
| CorporateCustomer | 15 |
| ShippingOfficer | 16 |
| DeliverFrom | 17 |
| DeliverTo | 18 |
| ConsignorsBank | 19 |
| InspectedBy | 20 |
| InternationalCarrier | 22 |
| CreditInsuranceAgent | 27 |

| | |
|-------------------|----|
| Vendor | 28 |
| Agent | 29 |
| Broker | 31 |
| ForwardingAgent | 32 |
| AlsoNotify | 36 |
| InsuredParty | 38 |
| CopyFromConsignor | 39 |
| CoLoadedWith | 40 |
| SettlingAgent | 44 |
| Supplier | 46 |