SAP Tax Compliance
Content

1 SAP Tax Compliance .......................................................... 4
2 What's New in SAP Tax Compliance 1.3 SP02 ............................. 7
3 Setting Up SAP Tax Compliance ............................................ 10
   3.1 Language Settings .......................................................... 10
   3.2 Browser Settings ............................................................ 10
   3.3 Back-End Transactions for SAP Tax Compliance .................. 11
4 Home .............................................................................. 16
   4.1 Available Tiles in SAP Tax Compliance .............................. 16
   4.2 Saving Your List Settings and Filters ................................. 18
      Managing Views .............................................................. 20
5 Detection ........................................................................... 21
   5.1 Managing Compliance Checks .......................................... 22
       Prerequisites for Working with Compliance Checks .............. 24
       Example of How the System Determines the Task List Template ... 24
       Check Administration .................................................... 25
   5.2 Using Compliance Scenarios ........................................... 33
       Compliance Check Groups .............................................. 34
       Creating a Compliance Scenario ..................................... 36
       Setting Selection Conditions for Compliance Checks ............ 37
       Version Management of a Compliance Scenario ................. 38
       Run Compliance Scenarios ............................................. 39
       Adding Compliance Checks to a Compliance Scenario ........... 42
       Scenario Administration .................................................. 43
6 Investigation ....................................................................... 47
   6.1 Using Compliance Results Overview ................................. 48
   6.2 Processing My Compliance Check Results .......................... 49
       Functional Overview - My Compliance Check Results ........... 52
       Process Overview - Using Task List Templates ...................... 54
       Navigating to Further Hit Information ................................ 56
       Finding Identical Hits ...................................................... 59
       Managing the Status ....................................................... 60
       Working with Attachments .............................................. 65
       Tasks and Task List ....................................................... 67
The SAP Tax Compliance solution allows you to address various types of compliance- and risk-challenges and supports you in their resolution. With the right content, the solution can support you, for example, in ensuring the accurate declaration of value-added taxes or the correct declaration of customs duties.

The solution is part of SAP Assurance and Compliance Software for SAP S/4HANA and offers the following benefits:

- Gain transparency and insight into compliance or risk problems. You can find compliance issues and resolve them quickly.
- Automate detection of compliance issues. You can check your business data at the frequency that you wish.
- Document your activities in resolving compliance issues or hits and automate follow-up activities. You can accelerate hit processing through automation using, for example, machine learning. With status and task management, you always know the status of a compliance issue, and you can follow the processing of each finding every step of the way.

**Note**

The solution is deployed as an add-on on SAP S/4HANA and therefore shares the database schema with SAP S/4HANA. For more information, see the Deployment Scenarios section in the Installation and Configuration Guide.
This documentation includes the following sections:

- **Setting Up**
  In this section, you will find information about back-end transactions and enterprise services.
  See Setting Up SAP Tax Compliance [page 10]

- **Home**
  Home is the starting point of the application. It gives you an overview about the results of a compliance check and supports you in finding your next task.
  See Home [page 16]

- **Detection**
  You can regularly check your business data for violations. Therefore, you can define compliance checks across your entire company and execute a set of checks in order to identify these violations.
Investigation

Once violations have been found in your business data, you can start mitigation activities, and track the status of these activities using tasks.

See Investigation [page 47]

Business Content

The solution provides sample compliance checks that can be used as a starting point for an implementation project or as a prototype.

See Business Content for SAP Tax Compliance for SAP S/4HANA

Extensibility

The extensibility guide explains how to extend the application.

See SAP Tax Compliance for SAP S/4HANA Extensibility Guide

Data Protection

The system supports you to handle personal data as well as archiving and deleting data.

See Data Protection [page 115]

Terminology

For more information about the terminology used, see http://sapterm.com/.

Related Information

SAP Assurance and Compliance Software for SAP S/4HANA
What’s New in SAP Assurance and Compliance Software for SAP S/4HANA 1.3
SAP Business Integrity Screening
SAP Audit Management
SAP Business Partner Screening
Setting Up SAP Tax Compliance [page 10]
What's New in SAP Tax Compliance 1.3 SP02

Release 1.3 SP02 introduces the following new and changed features described below:

- **Integration Scenario** (New)
  An external application can call the *My Compliance Check Results* app to display a selection of compliance check results (hits).
  See Integration Scenarios [page 114]

- **My Compliance Check Results** (Changed)
  - **Attachments**
    You can now create or delete attachments for compliance scenario runs, executed compliance checks, and hits.
    These attachments can be files, notes, and links. The number of attachments is displayed in the new column *Attachments*.
    See Working with Attachments [page 65] and Processing My Compliance Check Results [page 49]
  - **Task List**
    You can also add or delete attachments for hits in the *Task List* screen, if the task list is not yet completed.
    In addition, the processing status is now displayed for hits in the *Task List* screen.
    See Functional Overview - My Compliance Check Results [page 52]
  - **Tasks**
    Comments and attachments for tasks that have been added by task processors in the *My Compliance Task* app can now be displayed on the *Task List* screen.
    The new *Work Item* column in the *Task List* shows the number of available work items.
  - **Export Data for Machine Evaluation**
    The *Export Data for Machine Evaluation* function has also been enhanced and now contains the notes, links, and file names. The files are not exported.
    There are new worksheets: COMPLIANCE_RUN_ATTACHMENTS, COMPLIANCE_CHECK_ATTACHMENTS, COMPLIANCE_HIT_ATTACHMENTS.
    The already existing worksheets now have fixed technical names: COMPLIANCE_SCENARIOS, COMPLIANCE_CHECKS, COMPLIANCE_TASKS, VALIDATION_INFORMATION.
    The conclusion details have been added to the worklist type worksheet.
    See Access for Auditors [page 112]
  - **Status Last Changed By**
    You can now display the name of the user who last changed the status of checks and hits. To do so, make your selection under *Settings* ().
  - **Conclusion Details**
    In addition to the conclusion, you can now choose a predefined conclusion detail (if customized) to document your reason for a conclusion in more detail.
    You can also define what conclusion details should be used if the system closes hits automatically.
    A new field *Conclusion Details* is available on the *Compliance Check Hits* screen when setting the conclusion or when you create a task list manually.
    See Effects On Customizing [page 8] and Setting the Processing Status for Hits [page 62]

- **Search** (Changed)
When you search for attachments that have been uploaded in the *My Compliance Check Results* app, the search results will include all documents, file names, and links containing any part of the searched term.

- **Archiving Compliance Scenario Runs** (Changed)
  When you archive compliance scenario runs using the archiving object `FRA_CSCEX`, attachments are also archived.

- **Delete Check Results** (Changed)
  When you delete the check results (hits) and the related runs using transaction *Delete Check Results* (`FRA_DEL_CHECK_RESULT`), the attachments for these hits and - if selected - the runs will also be deleted.

### Technical Details

<table>
<thead>
<tr>
<th>Product Version</th>
<th>SAP Assurance and Compliance Software for SAP S/4HANA 1.3 SP02</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application Component</td>
<td>GRC-TC (SAP Tax Compliance)</td>
</tr>
<tr>
<td>Country Dependency</td>
<td>Available in all countries/regions</td>
</tr>
<tr>
<td>Available as of</td>
<td>August 2019</td>
</tr>
</tbody>
</table>

### Effects on System Administration

If there are any issues with inactive generated objects while upgrading, you can delete these generated objects in the *Generation Monitor for Worklist Types for Compliance Checks* (`FRA_WLT_MONITOR_CC`).

To do so, choose: **List > Upgrade Mode > Delete Objects**

### Effects on Customizing

The following Customizing activities are new or changed:

- **Define Integration Scenario** (New)
  You can now define integration scenarios including the worklist type and the required field mapping.

- **Maintain Conclusion Details** (New)
  You can define the reason for a conclusion that can also be assigned when setting the conclusion for a hit.

- **Maintain Compliance Check Data Model** (Changed)
  You can now enable the conclusion details function for worklist types using the new field `Conclusion Details`.

  If defined in the Customizing activity *Maintain Conclusion Details* and enabled in the Customizing activity *Maintain Compliance Check Data Model*, the conclusion details are available on the *Compliance Check Hits* screen in the *My Compliance Check Results* app.

### Modified BC Set

The BC set `FRA_TC_BASIC_CONTENT` has been enhanced with conclusion details.
Related Information

What's New in SAP Assurance and Compliance Software for SAP S/4HANA 1.3 SP02
What's New in SAP Assurance and Compliance Software for SAP S/4HANA
SAP Tax Compliance [page 4]
3 Setting Up SAP Tax Compliance

In the following sections you will find information about transactions, language, and browser settings.

3.1 Language Settings

When you start the application, the language that is displayed depends on the following:

- If you select the language on the logon screen, your selection is transferred to the back end with the URL parameter.
- If you use single sign-on (SSO), the language of the browser settings is transferred to the back end.

**i Note**

The language settings defined in the User Maintenance (transaction SU01) in the back end has no influence on the application.

If a text is not available in the logon language, the corresponding text in a fallback language is displayed. Usually the fallback language is English, but in some functions, the “secondary language” defined in the application server is used. To achieve uniform behavior, SAP recommends using English as the secondary language.

3.2 Browser Settings

**Using a Logon Screen – Internet Explorer**

If you always want to use the logon screen in the browser, you have to choose the following setting for the Internet Options. On tab Security choose Custom level... and disable Don’t prompt for client certificate selection when only one certificate exists.
Follow Up Tasks After Importing a Transport – All Browsers (Optional)

The browser cache is deleted automatically and periodically. However, if you want, you can run the report `/UIS/APP_INDEX_CALCULATE` to perform an immediate refresh.

3.3 Back-End Transactions for SAP Tax Compliance

The transactions shown in the following tables are available in the menu.

Starting the Home Screen

Menu path: SAP Menu > Tax Compliance > Start SAP Tax Compliance

This transaction (`/UI2/FLP`) starts the user interface in a browser.

Compliance Scenario Runs

Menu path: SAP Menu > Tax Compliance > Compliance Scenario Runs

<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Run Compliance Scenario</td>
<td>FRA_COMPL_SCEN_EXEC</td>
<td>Use this transaction to execute compliance scenarios.</td>
</tr>
<tr>
<td>Display Compliance Scenario Run Log</td>
<td>FRA_COMPL_SCEN_EXLOG</td>
<td>Use this transaction to display the application log.</td>
</tr>
</tbody>
</table>

Tools - Environment

Menu path: SAP Menu > Tax Compliance > Tools > Environment
<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
</table>
| Check Technical Configuration    | FRA_TC_CHECK         | Use this transaction to check that the technical configuration is correct. The technical configuration is performed as part of the installation or upgrade of the solution. You can run the transaction at any time, for example:  
  - After installation, to see that the technical configuration worked correctly  
  - Before starting an upgrade, to see whether the solution needs to be repaired first  
  - After an upgrade, to see that the technical configuration worked correctly  
  - After making major changes in the system landscape, such as adding a source system for replication. For more information, see the Installation Guide. |
| Clear All Buffers                 | FRA_CLEAR_BUFFER     | Use this transaction to update Business Objects models after you have added fields to them.  
  i Note  
  The browser cache is deleted automatically and periodically. However, you can run the report /UIS/APP_INDEX_CALCULATE to perform an immediate refresh.  
  As the Extensibility Guide explains, you can use append structures to add fields to Business Objects. The Business Objects infrastructure keeps the models of Business Objects in a shared-memory buffer. You must therefore clear this buffer to have your new fields added to the runtime instances of Business Objects. |

### Tools - Workflow

Menu path: SAP Menu > Tax Compliance > Tools > Workflow

<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automatic Workflow Customizing</td>
<td>SWU3</td>
<td>The activities performed in this transaction must be executed so that workflows can be executed.</td>
</tr>
<tr>
<td>Transaction Name</td>
<td>Transaction Code</td>
<td>Description</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Selection Report for Workflows</td>
<td>SWI1</td>
<td>This report is intended primarily as a tool for workflow system administrators to analyze work items.</td>
</tr>
<tr>
<td>Diagnosis of Workflows with Errors</td>
<td>SWI2_DIAG</td>
<td>This function identifies all workflows with errors and groups them according to error cause. The evaluation results displayed are runtime information. To get more details, use transaction SLG1 for object FRA_WORKFLOW.</td>
</tr>
<tr>
<td>Application Log: Display Logs</td>
<td>SLG1</td>
<td>You can analyze the logs and their messages for workflow-specific errors by using object FRA_WORKFLOW.</td>
</tr>
<tr>
<td>Work Items Without Agents</td>
<td>SWI2_ADM1</td>
<td>You can use the work item analysis to find work items without agents. The work items to be analyzed can be limited according to time, type, and task.</td>
</tr>
<tr>
<td>Configuration Notifications</td>
<td>SWNCONFIG</td>
<td>This function is used for configuring notifications. Notifications are sent to the corresponding user in the form of mail messages. A mail message can contain one or more notifications for work items. All required settings can be made using the BC set FRA_TC_BASIC_CONTENT (transaction SCPR20).</td>
</tr>
<tr>
<td>Display/ Maintain Event Type Linkage</td>
<td>SWETYPV</td>
<td>For triggering events of workflows and tasks, the event type linkage is required. It is set up during the technical configuration of task list FRA_INITIAL_SETUP (transaction STC01). Only active type linkages are evaluated by the event manager at runtime.</td>
</tr>
</tbody>
</table>

## Tools - Generation

Menu path: [SAP Menu] > [Tax Compliance] > [Tools] > [Generation]

<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Generation Monitor for Worklist Types for Compliance Checks</td>
<td>FRA_WLT_MONITOR_CC</td>
<td>Use this transaction to verify that the SAP HANA views and other objects required by worklist types have been successfully generated in the database.</td>
</tr>
<tr>
<td>Generation Monitor for Compliance Checks</td>
<td>FRA_GM_CC</td>
<td>Use this transaction to verify that the SAP HANA views and other objects required by compliance checks have been successfully generated in the database.</td>
</tr>
</tbody>
</table>
### Tools - Monitoring

<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Generation Monitor for</strong></td>
<td>FRA_WLT_MONITOR</td>
<td>Use this transaction to verify that the SAP HANA views and other objects required by worklists have been successfully generated in the database.</td>
</tr>
<tr>
<td><strong>Worklist Type</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Tools - Deletion

<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Delete Compliance Scenarios</strong></td>
<td>FRA_DEL_COSCEN</td>
<td>Use this transaction to delete compliance scenarios.</td>
</tr>
<tr>
<td><strong>Delete Check Results</strong></td>
<td>FRA_DEL_CHECK_RESULT</td>
<td>Use this transaction to delete check results.</td>
</tr>
<tr>
<td><strong>Delete Personal Settings</strong></td>
<td>FRA_DEL_PERS_SETT</td>
<td>Use this transaction to clean up person-related data when users are removed from the system.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>For example, you can delete the recent actions history and the status of specific users, as well as their user photo.</td>
</tr>
</tbody>
</table>

### Access for Auditors

<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Data Protection

Menu path: SAP Menu > Tax Compliance > Data Protection

<table>
<thead>
<tr>
<th>Transaction Name</th>
<th>Transaction Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Remove User Names</td>
<td>ACS_DP_ANONYMIZATION</td>
<td>Use this transaction to remove user names for data that is not going to be archived.</td>
</tr>
<tr>
<td>Garbage Collector</td>
<td>ACS_DP_GCO</td>
<td>Use this transaction to delete unwanted data.</td>
</tr>
<tr>
<td>Display Data Protection Logs</td>
<td>ACS_DP_LOG</td>
<td>Use this transaction to display the application log for data protection activities.</td>
</tr>
<tr>
<td>Archive Administration</td>
<td>SARA</td>
<td>Use this transaction to archive data.</td>
</tr>
<tr>
<td>Data Destruction</td>
<td>ILM_DESTRUCTION</td>
<td>Use this transaction to delete archived data.</td>
</tr>
<tr>
<td>Read Access Logging Manager</td>
<td>SRALMANAGER</td>
<td>Use this transaction to monitor and log read access to sensitive data.</td>
</tr>
</tbody>
</table>
4 Home

The home page is the starting point of the application. It is based on the SAP Fiori launchpad and can be called using transaction /UI2/FLP.

The launchpad opens a home page that contains predefined content, divided into groups, defined by your administrator. Each group contains tiles that represent business applications. Clicking or tapping a tile launches the underlying application.

You can personalize the home page by managing groups and the tiles in each group. You can also create new groups.

You can rearrange tiles in a group by dragging tiles to a new location in a group, or move a tile to another group.

You can set a theme for the home page in the Settings.

Available Tiles
Available Tiles in SAP Tax Compliance [page 16]

More Information

For more information about using the SAP Fiori launchpad, enter the keyword Using the Launchpad in the documentation of User Interface Add-On for SAP NetWeaver under http://help.sap.com/.

4.1 Available Tiles in SAP Tax Compliance

The tiles you can use depend on your user role and authorizations.
## Detection

The following tiles on your home screen are grouped in the catalog for *Detection*:

<table>
<thead>
<tr>
<th>Tile</th>
<th>Navigates to...</th>
<th>Is used to...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage Compliance Checks</td>
<td>SAP Fiori app</td>
<td>Use this app to create and manage checks for compliance problems. Each compliance check looks for specific compliance problems in your business data.</td>
</tr>
<tr>
<td>Manage Compliance Scenarios</td>
<td>SAP Fiori app</td>
<td>Use this app to bundle compliance checks into runnable compliance scenarios.</td>
</tr>
</tbody>
</table>

## Investigation

The following tiles on your home screen are grouped in the catalog for *Investigation*:

<table>
<thead>
<tr>
<th>Tile</th>
<th>Navigates to...</th>
<th>Is used to...</th>
</tr>
</thead>
<tbody>
<tr>
<td>My Compliance Check Results</td>
<td>SAP Fiori app</td>
<td>Use this app to review the results of compliance scenario runs and managing individual compliance problems.</td>
</tr>
<tr>
<td>Compliance Results Overview</td>
<td>SAP Fiori app</td>
<td>Use this app to display information about hits and tasks that need following-up.</td>
</tr>
<tr>
<td>Run Compliance Scenario</td>
<td>Back-end transaction in the browser</td>
<td>Use this tile to start a run of a compliance scenario.</td>
</tr>
<tr>
<td>Monitor Compliance Scenario Runs</td>
<td>SAP Fiori app</td>
<td>Use this app to monitor scheduled and executed compliance scenario runs.</td>
</tr>
<tr>
<td>My Compliance Tasks</td>
<td>SAP Fiori app</td>
<td>Use this app to process compliance tasks.</td>
</tr>
<tr>
<td>Manage Worklist Variants</td>
<td>SAP Fiori app</td>
<td>Use this app to define ad hoc requests for use in navigating from hits in check results to source data.</td>
</tr>
<tr>
<td>Start Ad Hoc Requests</td>
<td>SAP Fiori app</td>
<td>Use this app to run ad hoc requests as an alternative to navigation from hits in check results.</td>
</tr>
</tbody>
</table>
### Settings

The following tile on your home screen is in the catalog for *Settings*:

<table>
<thead>
<tr>
<th>Tile</th>
<th>Navigates to...</th>
<th>Is used to...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage User Groups</td>
<td>SAP Fiori app</td>
<td>Use this app to create and edit groups of users who will have the necessary authorizations for different tasks.</td>
</tr>
</tbody>
</table>

### 4.2 Saving Your List Settings and Filters

You can create your own layout variants (views) for filters and lists.

#### Context

When changing the **filter**, to add additional fields, you can save your new filter options as view.

When changing the settings of a **list**, to display additional columns or to change the order of the columns, you can save your settings as view.

#### Procedure

1. The default view is **Standard**. Choose ☑️ *(Settings)* to adapt the list according to your needs. For example, select additional columns on the **View Settings** window and choose **OK**. (In the filter bar, choose **Filters** to adapt the filters on the **Filters** window.)

   After changing the settings, the view is displayed as **Standard *`. The * indicates that the user has changed the settings or the filter bar for the displayed view.
2. Choose (Select View). The My View window opens.

3. Choose Save As.

4. The Save View window opens, then:
   a. Enter a name for your view.
   b. Select one or more of the following options:
      ○ Set as Default: The view is used every time you start the app.
      ○ Public: The view can be used by all users of the app.
      ○ Apply Automatically: The view is applied and used directly when selected; you don’t need to choose Go. (This function is only available for the filters.)

5. Choose OK.

Example

The following example shows how to create a view in the Manage Compliance Checks app.
Managing Views

You can delete views, add a view as favorite, or set a view as default.

Procedure

1. Choose ⬇ (Select View). The My View window opens.
2. Choose Manage. The Manage Views window opens.
3. You have the following options:
   - Choose 🌟 (Add as Favorite) to add a view as favorite.
   - Choose ⚹ (Remove from Favorites) to remove a view from the favorites.
   - Choose ❌ (Delete View) to delete a view.
   - Choose Default to use a view as default.
4. Choose OK.
5 Detection

To ensure your compliance with corporate and legal requirements, you can regularly check your business data for violations.

You can define compliance checks across your entire company and execute a set of checks in order to identify these violations.

Compliance checks can be bundled to a compliance scenario, which you can then manage through status management.

The process is as follows:

1. **Create Compliance Checks**
   Create and group compliance checks with the app *Manage Compliance Check*.
   See *Managing Compliance Checks* [page 22]

2. **Create and Run Compliance Scenarios**
   Bundle compliance checks into a compliance scenario with the app *Manage Compliance Scenarios*.
   Run compliance scenarios with the app *Run Compliance Scenario*.
   See *Using Compliance Scenarios* [page 33]

**Administrative Tasks**

You can check the consistency of the compliance check hierarchies, delete compliance scenarios and check results, and generate the objects needed.

For more information, see *Check Administration* [page 25].

**Related Information**

- Monitoring Compliance Check Hierarchies [page 32]
- Deleting a Compliance Scenario [page 33]
- Deleting Check Results [page 32]
- Monitoring Objects Generated for Compliance Checks [page 26]
- Monitoring Objects Generated for Worklist Types Used for Compliance Checks [page 29]
5.1 Managing Compliance Checks

With the transactional app Manage Compliance Checks, you can define compliance checks across your entire company.

Compliance checks can be bundled to a compliance scenario and then are executed together when the scenario is executed.

Key Features

- Create and edit compliance checks
  You have the following options:
  - **Header**: Add a detailed documentation of the check logic
  - **Selection Fields**: Define selection conditions as default
    To restrict the data selected by the view, you can use further selection conditions.
  - **Tip**: You can assign a compliance check to multiple groups, for example, with different selection conditions in order to provide default selection conditions. In this case, you should create copies of your check.
  - **Field Control**: Define which fields are displayed in which order in the results
  - **Assignment of Task List Templates**: Assign task list templates
    See Managing Task List Templates and Task Templates [page 108]
  - **Identical Hits**: Enable finding identical hits in a defined check period
    See Finding Identical Hits [page 59]
  - **Automatic Hit Processing**: Accelerate hit processing, for example, by creating task lists automatically
    See Automatic Hit Processing [page 94]
  - **Predictive Model**: Create and train predictive models
    See Automatic Hit Processing Using Predictive Models [page 99]

- Create groups and assign compliance checks, in order to organize and structure compliance checks

  - **Note**: If you assign a check multiple times, changes apply to all assignments.

You can use drag and drop to move checks.
You can also create a copy of a check.

- Export checks into a spreadsheet application (.xlsx format)
- Delete compliance checks that are not used in any scenario
- Delete groups
- Test run of check
**General Remarks**

You can check the consistency of the compliance check hierarchies using transaction FRA_CC_HIER_MONITOR in the back-end system. You can also display orphaned relations to deleted compliance checks, and list compliance checks that are not assigned to the hierarchy.

→ **Tip**

Example for Grouping Compliance Checks

- Compliance Checks
  - Reporting
    - VAT Return
    - VAT Declaration
    - Intrastat
  - Objects with High VAT Amount
    - Output VAT
    - Input VAT
  - Country Specific Checks
    - EMEA
    - APJ
    - Americas
  - Basic Checks
    - Posting Documents
    - Master Data
      - Vendor

**Related Information**

- Using Compliance Scenarios [page 33]
- Processing My Compliance Check Results [page 49]
- Monitoring Compliance Check Hierarchies [page 32]
- Compliance Check Groups [page 34]
- Automatic Hit Processing [page 94]
- Saving Your List Settings and Filters [page 18]
5.1.1 Prerequisites for Working with Compliance Checks

Customizing

Before using compliance checks, you must provide an SAP HANA view for the worklist type and the compliance check, and define a worklist type in the Customizing activity Maintain Compliance Check Data Model.

This worklist type is needed in order to create a compliance check.

For more information about the worklist type, the worklist type view, and the check view, see the Extensibility Guide.

Authorization Objects

The following authorization objects are used to allow users to display, change, or delete scenarios, checks, hits, or statuses: FRA_COSCEN, FRA_WL_VAR, and FRA_WLIST.

If users should create tasks, the authorization object FRA_COTASK with activity 01 (Create or generate) is required.

For more information, see the Security Guide.

5.1.2 Example of How the System Determines the Task List Template

Example - Template Determination

In the Customizing you have defined the company code as the field that will be used for determining the relevant task list template.

Assigning Task List Templates

You assign task list templates to different company codes in the Manage Compliance Check app:

- You assign the task list template Correct Postings in Company Code 0001 to company code 0001.
- In addition, you assign a default task list template, which will be used for all other values: Correct Postings for all Company Codes.

Result

As a result, for hits with company code 0002 the system will determine the template Correct Postings in Company Code 0002.
For company code 0003, the default template Correct Postings for all Company Codes will be used as nothing was defined for company code 0003.

Prerequisites

1. Customizing
   In the Customizing activity Maintain Compliance Check Data Model, you define a field of the view that will be used for determining the task list template (field Templ. Determination), for example, the company code.

2. Compliance Check
   In the Manage Compliance Checks app, you have assigned task list templates to checks. If needed, you can assign a task list template to each value of the Templ. Determination field. You can also define a task list template that is to be used by default in the following cases:
   - No template is assigned for a value.
   - Only the default template is defined.
   If you do not assign a template to a check, or if no template is found by the system, you can only create task lists manually.

Result

When the hits are displayed in the My Compliance Check Results app, the system identifies the appropriate task list template. The template is determined based on the value in the template determination field and the template that is assigned to this value in the compliance check.

If a template has been determined by the system, it is displayed in the Task List Template column.

Related Information

Tasks and Task List [page 67]
Managing Task List Templates and Task Templates [page 108]
Prerequisites for Working with Compliance Tasks, Task Lists, and Templates [page 68]

5.1.3 Check Administration

Generate the Objects Needed

You can generate the objects needed using the following transactions Generation Monitor for Worklist Types for Compliance Checks (FRA_WLT_MONITOR_CC) and Generation Monitor for Compliance Checks (FRA_GM_CC).

Monitoring Compliance Check Hierarchies

You can check the consistency of the compliance check hierarchies using transaction Compliance Check Hierarchy Monitor (FRA_CC_HIER_MONITOR).
Delete Check Results

You can delete the check results using transaction *Delete Check Results* (FRA_DEL_CHECK_RESULT).

Delete Compliance Scenarios

You can delete compliance scenarios using transaction *Delete Compliance Scenarios* (FRA_DEL_COSCEN).

Related Information

- Monitoring Objects Generated for Compliance Checks [page 26]
- Monitoring Objects Generated for Worklist Types Used for Compliance Checks [page 29]
- Monitoring Compliance Check Hierarchies [page 32]
- Deleting Check Results [page 32]
- Deleting a Compliance Scenario [page 33]

5.1.3.1 Monitoring Objects Generated for Compliance Checks

When a compliance check is created, some objects are generated automatically in the back end.

To display and check objects that have been generated, call transaction *Generation Monitor for Compliance Checks* (FRA_GM_CC) in the back-end system or run report FRA_GM_COMPLIANCE_CHECK in transaction SA38.

Caution

Generated objects must not be edited manually. Instead, when errors are displayed in the monitor, these objects should be regenerated, or deleted and afterwards regenerated again.

Displaying the Status and the Error Log

With the *Generation Monitor for Compliance Checks*, you can do the following:

- **Display the Status**
  - If the compliance check status is *Error*, the objects have to be generated.
  - You can navigate to the log by clicking on the status. The log displays errors, for example, if the check is not compatible with the worklist type.

- **Navigate to the Generated Objects**
  - You can navigate to some of the objects that have been generated by clicking on the object in the results list.
**Troubleshooting**

If a compliance check is indicated with a red check status, check the error messages by clicking on the status. Afterwards regenerate the compliance check and check the log again.

If the status is still red, the error message in the log will provide more information about what went wrong during the regeneration.

In the *Generation Monitor for Compliance Checks*, you can do the following:

- **Regenerate Objects**
  To regenerate the objects needed for a compliance check, select a compliance check from the list and choose *(Regenerate Objects)*

  **i Note**
  To speed up the generation, you can use parallel processing (if at least two worklist types and their objects are generated). Choose *List ➤ Generation Mode ➤ Parallel*.

- **Delete Objects**
  If regeneration was not successful, deleting the objects and regenerating them again might solve the problem.
  Do the following:

  1. Select the compliance check from the list and choose *(Delete Generated Objects of Check)*.

     **i Note**
     Only delete the generated objects by selecting the compliance check and choosing the delete icon. Do not delete the database objects and the persisted data.

  2. Check that all objects have been deleted.

     **i Note**
     The names for the deleted objects will still be displayed in the results list, but as they are deleted, you cannot navigate to them.

  3. Regenerate the objects again.
Authorizations

Note

The authorization object FRA_GEN (Generate SAP HANA Objects) is checked whenever an SAP HANA object is generated in the generation monitor. It defines whether the user is allowed to generate SAP HANA objects in the SAP HANA DB repository.

To generate SAP HANA objects, you have to be authorized for activity 01 (Create).

More About Generated Objects

All generated objects are “created” by “SAP” in package $TMP. (The user “SAP” does not have to exist and will not be created, but the generated objects have a reference to it.) Generated objects will never be transported or written to a transport request.

Core Data Services (CDS)

CDS are used to access the database table, perform an authorization check, and to enrich the data with fields from other tables or calculated fields:

- CDS DDL (Data Definition Language) defines which fields and associations are available.
- The SQL view of the CDS DDL shows in a flat format which fields are directly available.
- The CDS DCL (Data Control Language) is used to describe which authority checks will be applied when the data is read.
  
  The worklist type Customizing allows to define a field of the worklist type as access group, which is then used in the DCL. The result is an authority check on the level of the compliance check hits.

For compliance checks, a CDS is generated, for example, for direct access, as well as an ABAP Managed Database Procedure (AMDP) class for writing the check results into the (generated) data table of the worklist type.

For more information about ABAP Core Data Services, see ABAP CDS in ABAP Dictionary.

Inspect Generated Objects

In rare cases, it might be helpful to inspect the generated objects, for example, if you want to have a preview of the hits.

For some generated objects that are displayed in the monitor, you can directly navigate from the ABAP List Viewer (results list) to the object.

The generated Core Data Services Data Definition Language (CDS DDL) is not available via GUI-based tools (and therefore you cannot directly navigate to them from the monitor). Instead, CDS DDL and their content can only be displayed using the Eclipse-based ABAP Development Tools (ADT).

Related Information

Monitoring Objects Generated for Worklist Types Used for Compliance Checks [page 29]
5.1.3.2 Monitoring Objects Generated for Worklist Types Used for Compliance Checks

When a worklist type is used to create a compliance check some objects are generated automatically in the back-end system.

To display and check objects that have been generated, call transaction *Generation Monitor for Worklist Types for Compliance Checks* (FRA_WLT_MONITOR_CC) in the back-end system.

⚠️ Caution
Generated objects must not be edited manually. Instead, when errors are displayed in the monitor, these objects should be regenerated, or deleted and afterwards regenerated again.

Displaying the Status and the Error Log

In the *Generation Monitor for Worklist Types*, you can do the following:

- **Display the Status**
  - If the status is *Error*, the objects have to be generated.
  - You can navigate to the log by clicking on the status. The log displays errors that occurred during the generation or lists generated objects that have been deleted successfully.

  ❖ **Note**
  - You can also display messages related to the generation monitor for worklists using transaction *Analyze Application Log* (SLG1) with object FRA_WL_TECH, subobject MONITOR, and program FRA_WLT_MONITOR.

- **Display the Error Log**
  - To display the messages that cannot be assigned to a single worklist type, choose *(Display Error Log).*

- **Navigate to the Generated Objects**
  - You can navigate to some of the objects that have been generated by clicking on the object in the results list.

  ❖ **Note**
  - The generated *Core Data Services Data Definition Language* (CDS DDL) is not available via GUI-based tools (and therefore you cannot directly navigate to them from the monitor). Instead, CDS DDL and their content can only be displayed using the Eclipse-based *ABAP Development Tools (ADT).*

Troubleshooting

If a worklist type is indicated with a red check status, check the error messages by clicking on the status. Afterwards regenerate the worklist type and check the log again.
If the status is still red, the error message in the log will provide more information about what went wrong during the regeneration.

In the *Generation Monitor for Worklist Types*, you can do the following:

- **Regenerate Objects**
  To regenerate the objects needed, for example, when errors occurred during the generation, select a worklist type and choose (Regenerate Objects).

  **Note**
  To speed up the generation, you can use parallel processing (if at least two worklist types and their objects are generated). Choose List > Generation Mode > Parallel.

- **Delete Objects**
  - Delete Generated Objects
    If regeneration was not successful, deleting the objects and regenerating them again might solve the problem.
    Do the following:
    1. Select the worklist type from the list and choose (Delete Generated Objects and Content).

      **Note**
      Only delete the generated objects by selecting the worklist type and choosing the delete icon. Do not delete the database objects and the persisted data.
    2. Check that all objects have been deleted (except the database table), so that the results list is empty for this worklist type.
    3. Regenerate the objects again.
  - Delete Orphaned Entries
    You can delete generated objects for worklist types that have been deleted in the Customizing.
    To delete objects that are no longer needed, choose (Delete Orphaned Entries).
    This function can be executed in the results list without selecting a specific entry and it can also be executed in a production system.

### Authorizations

**Note**

The authorization object FRA_GEN (Generate SAP HANA Objects) is checked whenever an SAP HANA object is generated in the generation monitor. It defines whether the user is allowed to generate SAP HANA objects in the SAP HANA DB repository.

To generate SAP HANA objects, you have to be authorized for activity 01 (Create).
More About Generated Objects

All generated objects are “created” by “SAP” in package $TMP. (The user “SAP” does not have to exist and will not be created, but the generated objects have a reference to it.) Generated objects will never be transported or written to a transport request.

Database Table for Hits

If the database table for storing the hits is not maintained in the Customizing for the worklist type this table is generated. The types of the fields are derived from the types the SAP HANA view provides. Information from the field catalog is not used.

The report FRA_WLT_CREATE_DATA_TABLE can be used to create predefined data tables.

For more information, see Data Table of a Worklist Type in the Extensibility Guide.

Core Data Services (CDS)

CDS are used to access the database table, perform an authorization check, and to enrich the data with fields from other tables or calculated fields:

- CDS DDL (Data Definition Language) defines which fields and associations are available.
- The SQL view of the CDS DDL shows in a flat format which fields are directly available.
- The CDS DCL (Data Control Language) is used to describe which authority checks will be applied when the data is read.

The worklist type Customizing allows to define a field of the worklist type as access group, which is then used in the DCL. The result is an authority check on the level of the compliance check hits.

CDS are generated, for example, for displaying the hits, for supporting the enterprise search, or for exporting the hits in a spreadsheet application.

For more information about ABAP Core Data Services, see ABAP CDS in ABAP Dictionary

Training View for Predictive

If predictive features are available in SAP HANA, two training views are generated: a SAP HANA calculation view and a CDS entity. This enables the later activation of the predictive capabilities of the compliance checks without further changes to the generated worklist type objects.

Inspect Generated Objects

In rare cases, it might be helpful to inspect the generated objects, for example, if you want to have a preview of the hits.

For some generated objects that are displayed in the monitor, you can directly navigate from the ABAP List Viewer (results list) to the object.

The generated Core Data Services Data Definition Language (CDS DDL) is not available via GUI-based tools (and therefore you cannot directly navigate to them from the monitor). Instead, CDS DDL and their content can only be displayed using the Eclipse-based ABAP Development Tools (ADT).
**5.1.3.3 Monitoring Compliance Check Hierarchies**

You can check the consistency of the compliance check hierarchies using transaction Compliance Check Hierarchy Monitor (FRA_CC_HIER_MONITOR).

You can also display orphaned relations to deleted compliance checks, and list compliance checks that are not assigned to the hierarchy.

You can do the following:

- Use Assign Unassigned Checks to assign checks to the top level group node of the hierarchy. Compliance checks are then displayed in the app Manage Compliance Checks.
- Use Clean Up to delete orphaned relations to deleted compliance checks and to recalculate the hierarchy level of the compliance check groups. This activity is only allowed if you are allowed to change compliance check hierarchies.

**Note**
The authorization object FRA_CCHIER allows you to control the modification of compliance check hierarchies.

For more information, see the Security Guide.

**5.1.3.4 Deleting Check Results**

You can delete the hits of a scenario using transaction Delete Check Results (FRA_DEL_CHECK_RESULT), for example, to delete personal data in hits.

You can select the scenarios and use a time selection.

As a result, the compliance scenario runs still will be displayed in the My Compliance Check Results app, only the results are deleted.

Optionally, you can also delete the runs.

**Note**
SAP recommends archiving your data instead of deleting it.

**Sequence for Deleting Objects**

You must proceed as follows:
1. Delete the check results (hits) created for a worklist type in transaction `Delete Check Results` (`FRA_DEL_CHECK_RESULT`).
2. Delete the worklist type in the Customizing activity `Maintain Compliance Check Data Model`.
3. Delete all generated objects for this worklist type in transaction `Generation Monitor for Worklist Types for Compliance Checks` (`FRA_WLT_MONITOR_CC`).

Related Information

- Deleting a Compliance Scenario [page 33]
- Processing My Compliance Check Results [page 49]
- Archiving Compliance Scenario Runs with FRA_CSCEX [page 118]

### 5.1.3.5 Deleting a Compliance Scenario

You can delete an inactive compliance scenario directly from the `Manage Compliance Scenarios` tile. Open the inactive version from the list in the first screen of the app. The `Delete` button is available on the edit screen.

You can delete active or disabled scenarios with transaction `Delete Compliance Scenarios` (`FRA_DEL_COSCEN`), but only if the scenario has not yet been run. Once a scenario has been run and produced check results, it can no longer be deleted.

**i Note**

Compliance scenarios can only be deleted in a test or development system. You cannot delete them in the productive system.

### 5.2 Using Compliance Scenarios

A **compliance scenario** is a collection of compliance checks that are to be run together.

Use the `Manage Compliance Scenarios` app to create, change, and manage compliance scenarios.

When you create a scenario, you can set selection conditions for compliance checks, such as a company code or country. You also specify the scheduling information for the run.

You can use this app to set the status of a scenario from **Inactive** (the maintenance version) to **Active** (the runnable version of a compliance scenario). Should a compliance scenario no longer be run, you can set the status to **Disabled**.

**To run a compliance scenario**, use the `Run Compliance Scenario` app or call transaction `Run Compliance Scenario` (`FRA_COMPL_SCEN_EXEC`) in the back end. To run a scenario, you need the scenario ID, which you can find on the `Manage Compliance Scenarios` screen. When you run a compliance scenario, you can also set the time frame for the business records that are to be examined by the compliance checks.
You can also simulate a scenario directly from Manage Compliance Scenarios. In simulation, no check results are saved and no resolution features are provided. Simulation is meant solely for the testing and evaluation of compliance checks and scenarios.

### 5.2.1 Compliance Check Groups

In the SAP Fiori apps, Manage Compliance Checks and Manage Compliance Scenarios, you can organize related compliance checks into groups for easier handling.

In Manage Compliance Checks, you use the group feature to collect checks and assign them to a unique set, that is, hierarchical group, defined by discretionary attributes.

In Manage Compliance Scenarios, you use the groups feature to build your own hierarchical groups by adding compliance checks copied over from the Manage Compliance Checks app.

Building your own hierarchical groups in the Manage Compliance Scenarios app is separate from and has no impact to the hierarchical structure of compliance checks in the Manage Compliance Checks app. The Manage Compliance Checks app is a repository of all compliance checks grouped into a root node. By keeping the grouping activities between these two apps separate, you gain more flexibility and control over how you manage a specific compliance scenario without impacting the integrity of activated compliance checks.

**Note**

The hierarchical structure of your compliance scenario set of checks has no influence on the order in which compliance checks are run.

The following table offers an overview of the action buttons for working with the group feature in the SAP Fiori apps, Manage Compliance Checks and Manage Compliance Scenarios, for SAP Tax Compliance for SAP S/4HANA.

#### Functions for Grouping Compliance Checks

<table>
<thead>
<tr>
<th>SAP Fiori App</th>
<th>Action Button</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage Compliance</td>
<td>Add</td>
<td>View, select and add (copies of) existing compliance checks, compliance check groups and/or entire sub-groups thereof, to your compliance scenario set of checks at any level.</td>
</tr>
<tr>
<td>Scenarios</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Both</td>
<td>Edit Group</td>
<td>Change group attributes for title and description.</td>
</tr>
<tr>
<td>Both</td>
<td>Create and choose Create Group</td>
<td>Mark the line at the level in your structured set of checks when you create your group.</td>
</tr>
</tbody>
</table>
## SAP Fiori App

<table>
<thead>
<tr>
<th>Action Button</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Both</strong></td>
<td><strong>Remove Checks</strong> ([Manage Compliance Checks]) / <strong>Remove</strong> ([Manage Compliance Scenarios])**</td>
</tr>
<tr>
<td><strong>Manage Compliance Checks</strong></td>
<td><strong>Assign Checks</strong></td>
</tr>
<tr>
<td><strong>Both</strong></td>
<td><strong>Cut</strong></td>
</tr>
<tr>
<td><strong>Both</strong></td>
<td><strong>Copy</strong></td>
</tr>
<tr>
<td><strong>Both</strong></td>
<td><strong>Paste</strong></td>
</tr>
</tbody>
</table>

### Note

The group feature also supports the drag and drop function; however, we recommend that you use the **Cut** and **Paste** buttons. Using these action buttons ensures precise placement in your hierarchical set of compliance checks.

When using the **Search** function to find a compliance check, all hits are shown highlighted within the automatically expanded hierarchy of either app.

You can find the apps, **Manage Compliance Checks** and **Manage Compliance Scenarios**, represented as tiles on the home page of the SAP Fiori launchpad, under the category group, **Detection**.

---

**Shared Selection Conditions Among Compliance Checks**

Compliance checks in a hierarchical group can share selection conditions.

Under the **Selection Conditions** column of your compliance scenario, you can see where and what is shared in your hierarchical structure. By clicking on the description of shared selection conditions in the **Selection Conditions** column, you can display in detail, the selection fields and their pre-filled value entries.

To adjust the selection field values of shared selection conditions, select the compliance check or group and click on the **Edit Selection Conditions** button. The shared selection fields are 'emptied' and you can either reset with other values or leave empty and save. In both instances, all former values are overwritten. Should you save without entering a value into the empty field, the system automatically overwrites emptied former values with an asterisk.

### Note

The shared selection conditions of compliance checks in a hierarchy that are shown in the **Selection Conditions** column are based on two underlying rules, both of which must be fulfilled: a set of selection conditions are shared by all compliance checks in a group; and second, all shared selection conditions have an assigned value.
For more information about changing selection conditions, see Setting Selection Conditions for Compliance Checks [page 37].

5.2.2 Creating a Compliance Scenario

From the Manage Compliance Scenarios screen, you can create a compliance scenario by choosing the Create button at the top of the table. Provide the information shown in the table below.

**i Note**

You can also create a scenario by copying an existing one.

<table>
<thead>
<tr>
<th>Field</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name</strong></td>
<td>Enter a unique name for the compliance scenario.</td>
</tr>
<tr>
<td><strong>Description</strong></td>
<td>Enter a description of the compliance scenario.</td>
</tr>
<tr>
<td></td>
<td>You can use the description to completely document a check. The <em>Description</em> field does not offer full formatting capabilities, but there is no limit on how long the text can be.</td>
</tr>
<tr>
<td><strong>Authorization Group</strong></td>
<td>Select an authorization group for the scenario. (Optional)</td>
</tr>
<tr>
<td></td>
<td>The authorization group controls access to the compliance scenario. The authorization group is also inherited by check results generated by the compliance scenario.</td>
</tr>
<tr>
<td></td>
<td>A user must be authorized for the authorization group to access a scenario and the items in the check results that come from running the scenario. (See authorization object FRA_COSCEN Tax Compliance Scenario.)</td>
</tr>
<tr>
<td></td>
<td>The authorization groups are defined in Customizing activity Define Authorization Groups.</td>
</tr>
<tr>
<td><strong>Checks</strong></td>
<td>Choose Add to add checks to your compliance scenario. In the window displayed, select one or more compliance checks from the list and choose OK. All checks in the scenario are run when you run the scenario.</td>
</tr>
<tr>
<td></td>
<td>The <em>Checks</em> table shows the name and description of each check you have added. The <em>Selection Conditions</em> column shows the default settings of any selection parameters.</td>
</tr>
<tr>
<td></td>
<td>You can enable or disable the settings for automatic hit processing and for displaying the classification made in the check.</td>
</tr>
<tr>
<td></td>
<td>Click on the description to display the full description of a compliance check. Click on the selection conditions to display the complete default values of the selection conditions of the check.</td>
</tr>
<tr>
<td></td>
<td>You can add to or change the values of the selection conditions. To set the selection conditions, see Setting Selection Conditions for Compliance Checks [page 37].</td>
</tr>
</tbody>
</table>
5.2.3 Setting Selection Conditions for Compliance Checks

The definition of a compliance check sets default values for selection conditions. Selection conditions tell the check which business records to select and inspect. A compliance check is defined in the Manage Compliance Checks app.

You can run the compliance check with the defined selection parameters or you can change the values of selection conditions. To do this, proceed as follows:

1. From the list of scenarios on the Manage Compliance Scenarios screen, open the Inactive version of your scenario.
   The version of the scenario is shown in the Status column. You can change the values of selection conditions only in the inactive version. See also Version Management of a Compliance Scenario [page 38].
2. Select a check from the Checks table, then choose Edit Selection Conditions to open the Edit Selection Conditions dialog.
   The Edit Selection Conditions shows the current values of the selection conditions.
   If the compliance checks are organized in groups, then you can set the values of some selection conditions at the group level. For more information, see Compliance Check Groups [page 34].
3. Change the selection condition values in the following ways:
   - To delete the value from the selection condition, click the “X” icon next to a value in the first dialog box.
   - To add another value to the selection condition, click the value help button. You can even define a logical operator, such as “equals to” or “starts with”.
     Each selection condition has its own value help, which in turn opens a further dialog box.
4. Choose OK to save your selection conditions. They are now part of the compliance scenario. They will be used by the compliance check when you run the scenario. Your changes do not, however, overwrite the default values in the definition of the compliance check.

Here are sample operators and selection conditions for Company Code, as they are shown in the Edit Selection Conditions dialog.

<table>
<thead>
<tr>
<th>Selection Condition</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>=0001</td>
<td>Equal to “0001”</td>
</tr>
<tr>
<td>!=0001</td>
<td>Not equal to “0001”</td>
</tr>
<tr>
<td><em>0001</em></td>
<td>Contains “0001”</td>
</tr>
<tr>
<td>0001...1000</td>
<td>Between “0001” and “1000”, including both the starting and ending values</td>
</tr>
<tr>
<td>&gt;=1000</td>
<td>Less than or equal to “0001”</td>
</tr>
<tr>
<td>&lt;=1000</td>
<td>Greater than or equal to “0001”</td>
</tr>
</tbody>
</table>
5.2.4 Version Management of a Compliance Scenario

The version management supports the traceability of changes made to your compliance scenarios. The Manage Compliance Scenarios app tracks the versions of your compliance scenario with a version number. You can see the version number when you open a scenario. The highest version number is the newest version of your compliance scenario. The version number is set to 1 when you create a scenario or copy a scenario to a new one. Every time you create an inactive version of a scenario, the version number is incremented by 1.

A compliance scenario can have three different statuses:

- **Inactive**
  - You can edit the inactive version of a compliance scenario.
  - You can test an inactive compliance scenario by running it in simulation mode.
  
  **i Note**
  Complete your simulation testing before you activate a scenario. If you activate the inactive version of a scenario, then the existing active version is disabled.

  - You can delete an inactive compliance scenario directly from the edit screen.

- **Active**
  - You can run the active version of a compliance scenario and produce check results.
  - You cannot edit the active compliance scenario.
  
  **i Note**
  If you want to make changes to an active scenario, you have to create an inactive version of it (the existing inactive version is overwritten). Make your changes and activate the scenario again.

  - You cannot run an active scenario in simulation mode.

- **Disabled**
  This is the archived version of a compliance scenario.
  - You cannot run, simulate, or edit a disabled scenario.
You can copy a disabled scenario to reuse it. This creates a new inactive version of the scenario.

**Note**
There can be only one **inactive** version of a compliance scenario at any one time. There can be only one **active** version of a compliance scenario at any one time. You can have multiple **disabled** scenarios.

---

**Related Information**

- Using Compliance Scenarios [page 33]
- Running Compliance Scenarios in Simulation Mode [page 40]
- Deleting a Compliance Scenario [page 33]

---

### 5.2.5 Run Compliance Scenarios

You have the following options to run a compliance scenario:

- **Running Compliance Scenarios in Simulation Mode** [page 40]
  You can run inactive compliance scenarios in simulation mode directly from the Manage Compliance Scenarios app.

- **Compliance Scenario Runs: Scheduling** [page 40]
  You can schedule regular execution of compliance checks at any frequency in the background.

- **Running a Compliance Scenario in Ad Hoc Mode** [page 41]
  You can run a compliance scenario in ad hoc mode using the Run Compliance Scenario tile or the Run Compliance Scenario transaction in the back-end system.

---

**Monitor Runs**

With the Monitor Compliance Scenario Runs app, you can monitor scheduled and executed compliance scenario runs.

---

**Application Log**

To display the application log, call transaction Display Compliance Scenario Run Log (*FRA_COMPL_SCEN_EXLOG*) in the back-end system or use the Monitor Compliance Scenario Runs app.
5.2.5.1  Running Compliance Scenarios in Simulation Mode

You can run compliance scenarios in simulation mode. You start simulations directly from the Manage Compliance Scenarios app. Only scenarios that are in status Inactive can be run in simulation mode.

Simulation mode lets you review the performance and the number of hits produced by a compliance scenario. You can also see the potential problems that a scenario finds. No features for resolving problems are provided in simulation mode. It is purely for testing purposes.

To run a compliance scenario in simulation mode, do the following:

1. Start the Manage Compliance Scenarios app.
2. In the list of scenarios, open a scenario that has the Status Inactive.
3. Click Simulate to run the compliance scenario in simulation mode. Enter the start and end dates for the simulation and click Go.

   **i Note**
   Simulation mode supports parallel execution. You can change the default settings for parallel execution.

4. At completion, the Simulate Scenario scene lists the hits per compliance check. Click on the Hits column to display details of the hits of a particular compliance check. This display is strictly for testing and evaluation. No features for aiding in the resolution of compliance problems are offered. To resolve compliance problems, set the compliance scenario to status Active and schedule it for background execution or run it in ad hoc mode in the Compliance Scenario Run app.

5.2.5.2  Compliance Scenario Runs: Scheduling

When you create a compliance scenario in the SAP Fiori tile, Manage Compliance Scenario, you can also schedule regular execution of compliance checks at any frequency in the background. This feature in SAP Tax Compliance for SAP S/4HANA supports: prompt identification and remediation of compliance anomalies.

Use Scheduling Options and Time Selection in the Scheduling Information section of your scenario to define run frequency over a certain length of time. The scheduled frequency of scenario runs can be based on one or more date and time options along with time frame, as follows:

- Start date (which can also be set to immediately)
- Recurrence
- Non-working days (exclude, include, before and after)
- Factory calendar (which is based on selected ID defined in Customizing, transaction code SCAL.)
In combination with the above options for scheduling, the time frame within which the compliance scenario should run is determined by what you choose from the drop-down menu of the Date field (and enter in the Days field, accordingly) in the Time Selection area. In other words, the time frame, such as, Year to Date or, Last X Days specifies the processing period in relation to the year of start under Basic Data in the above Scheduling Options area.

**Note**

Once created and saved, you can run execution of your compliance scenarios as a single job or as scheduled in the background only after it has been activated and is in status Active. Should you later disable your compliance scenario, then any background job run in process or scheduled is stopped.

For more information about compliance scenario status, see Version Management of a Compliance Scenario [page 38].

### 5.2.5.3 Running a Compliance Scenario in Ad Hoc Mode

Use the Run Compliance Scenario tile or the Run Compliance Scenario transaction in the back-end system to start a compliance scenario. A compliance scenario run executes all of the compliance checks in the scenario. They examine your business record and report on any errors or compliance problems that they find.

With these run possibilities, you are running a compliance scenario in ad hoc mode. That is, you are running the compliance scenario once. You can also schedule a compliance scenario to run regularly, in the SAP NetWeaver background processing system. For more information, see Compliance Scenario Runs: Scheduling [page 40].

When you start a compliance scenario, it asks for Temporal Selection Fields. The start and end date specifications that you make set the time frame for the compliance checks in the scenario. If you specify the dates November 1 to November 30, 2016, then the compliance checks will examine business records in that date range, including the starting and ending dates. For more information on making time specifications, see Setting the Date When You Run a Scenario [page 42].

Any other selection conditions used by the compliance checks come from the definition of the compliance scenario.

You can see the results of a scenario run and any business problems or errors found by the run in the My Compliance Check Results app. You can see the technical log produced by the scenario run in the Monitor Compliance Scenario Runs tile.
5.2.5.3.1 Setting the Date When You Run a Scenario

Overview

You set the date selection condition when you run a compliance scenario. The date selection condition specifies the time frame within which compliance checks examine records. For example, you might want to have the checks in a compliance scenario look at business records dated with the year 2016.

The date time frame is linked to the other selection conditions with AND logic. That is, you might tell the checks in a scenario to examine business records of company code “0001” and document type “W” for the dates “1.1.2016” to “31.12.2016”.

Entering the Date Selection Condition

When you start a compliance scenario, it automatically displays start date and end date selection fields. You can enter a single date or range of dates. A range of dates includes the starting and ending dates.

In the SAP sample content, the date is the calendar posting date of a financial document. For more information, see Business Content for SAP Tax Compliance for SAP S/4HANA.

The dates that you enter are shared by the compliance checks in a scenario. All of the checks use the same start and end dates.

5.2.6 Adding Compliance Checks to a Compliance Scenario

To edit a compliance scenario, start from the list of scenarios in the first screen of the Manage Compliance Scenarios app.

You can edit only an inactive compliance scenario - one with Inactive in the Status column. There isn’t any inactive version of your scenario? You can create an inactive version from an active version or a disabled version. For more information, see Version Management of a Compliance Scenario [page 38].

Click the Header tab to change the name or description of a compliance scenario. Note that activating a scenario locks the authorization group. Once the authorization group has been locked, you can no longer change or delete the Authorization Group setting. The authorization group remains locked against change or deletion even if you create a new inactive version of the scenario.

Click the Checks tab to add or delete compliance checks or change the selection conditions of a compliance check.

You can add compliance checks singly or in groups. Use the Add button in both cases.

When you add a group of compliance checks, then the system copies the group or hierarchy of groups from Manage Compliance Checks. From this point on, the groups are independent of one another. A change to a
A group of compliance checks in Manage Compliance Checks has no effect on the group that you copied to Manage Compliance Scenarios. Likewise, a change to a group in Manage Compliance Scenarios has no effect on the group in Manage Compliance Checks.

Also note that groups in Manage Compliance Scenarios exist only within the context of the compliance scenario to which they belong. A group called “MyGroup” in “Scenario_A” has no relation to group “MyGroup” in “Scenario_B”. Changes in one “MyGroup” do not affect the other, even though the groups have the same name.

You can set values for selection conditions shared by the compliance checks in a group at the group level. For more information, see Compliance Check Groups [page 34].

5.2.7 Scenario Administration

Display Scenario Run Log
You can check the application log for executed runs using the tile Display Scenario Run Log (or in the back end using transaction FRA_COMPL_SCEN_EXLOG).

Monitor Compliance Scenario Runs
You can monitor scheduled and executed compliance scenario runs using the Monitor Compliance Scenario Runs app.

Delete Compliance Scenarios
You can delete compliance scenarios using transaction Delete Compliance Scenarios (FRA_DEL_COSCEN).

Related Information

Monitoring Compliance Scenario Runs [page 44]
Deleting a Compliance Scenario [page 33]
### 5.2.7.1 Monitoring Compliance Scenario Runs

With the *Monitor Compliance Scenario Runs* app, you can monitor scheduled and executed compliance scenario runs.

**Key Features**

You can do the following:

- Navigate to the compliance scenario displayed in the *Manage Compliance Scenario* app.
- Navigate to the compliance scenario run and the hits displayed in the *My Compliance Check Results* app (for runs with status *Completed*).
  
  Choose *Display Check Results* in context menu.
- Navigate to the *Application Log*.
  
  Choose *Display Log* in the context menu to display the log in the *Application Logs* app.
- Restart runs with status *Completed with Errors*.
  
  This status indicates that errors occurred during automatic hit processing, for example, when sending tasks.
  
  Choose *Restart Run* in the context menu.

  **Note**

  You can also restart these runs in the back-end system in transaction *Run Compliance Scenario* (*FRA_COMPL_SCEN_EXEC*) using the value help for selecting the external ID.

- Delete runs with status *Failed*.
  
  Choose *Delete Run* in the context menu.

### Related Information

- Using Compliance Scenarios [page 33]
- Processing My Compliance Check Results [page 49]
- Displaying the Compliance Scenario Run Log [page 44]
- Saving Your List Settings and Filters [page 18]

### 5.2.7.2 Displaying the Compliance Scenario Run Log

You can display the log using the *Monitor Compliance Scenario Runs* app or using transaction *Display Scenario Run Log* in the back-end system.

To display the application log in the back-end system, call transaction *Display Compliance Scenario Run Log* (*FRA_COMPL_SCEN_EXLOG*).
Selection Parameters

You can filter the logs, for example, by the following criteria:

- **Object and subobject**
  - The object **FRA_CSCEX** (Log for Compliance Scenario Runs) is already set as the default.
  - The subobject **APPL** (Check Execution) reports messages for compliance scenario runs.
  - The subobject **AUTO** (Automatic Hit Processing) reports messages for automatic hit processing, for example, for issues when sending tasks.

- **External ID**
  This ID was assigned by the application program. It is a combination of the report name, time stamp, and user name, or the user has assigned an ID when running the compliance scenario.

- **Program**
  Enter the name of the program that caused the logged event: **FRA_COMPL_SCENARIO_EXEC_PP** (Run Compliance Scenario).

- **Time restriction, user, or log class**

Results

Here are some examples for general log messages:

- Hit Creation: Start processing package 1...
- Duration of compliance check run: 0 hours, 0 minutes, 1 seconds.

Here are some examples for log messages for automatic hit processing:

- Hits that were identified for manual processing: 2.
- Hits for which a task list has been automatically created: 5.
- Automatically created tasks: 10.
- Automatically sent tasks: 5.
- An error occurred during the automatic processing of hits.

If errors occur during the automatic hit processing, the following happens:

- The log for the run (with subobject **Check Execution**) also reports an error: **Done, but some errors occurred during automatic hit processing**.
- The status for the run is **Completed with Errors**. You can restart these runs in the back-end system in transaction **FRA_COMPL_SCEN_EXEC** using the value help for selecting the external ID or in the **Monitor Compliance Scenario Runs** app.

Related Information

Monitoring Compliance Scenario Runs [page 44]
5.2.7.3 Deleting a Compliance Scenario

You can delete an inactive compliance scenario directly from the Manage Compliance Scenarios tile. Open the inactive version from the list in the first screen of the app. The Delete button is available on the edit screen.

You can delete active or disabled scenarios with transaction Delete Compliance Scenarios (FRA_DEL_COSCEN), but only if the scenario has not yet been run. Once a scenario has been run and produced check results, it can no longer be deleted.

ℹ️ Note

Compliance scenarios can only be deleted in a test or development system. You cannot delete them in the productive system.
6 Investigation

To ensure your compliance with corporate and legal requirements, you can regularly check your business data for violations.

You can run a set of compliance checks (called a compliance scenario) in order to identify violations, start mitigation activities, and track the status of these activities using tasks.

To investigate compliance issues, task processors can also navigate to documents in the underlying business system.

The investigation process is as follows:

1. **Run Compliance Scenario**
   You can run a compliance scenario using the tile *Run Compliance Scenario* (or in the back end using transaction FRA_COMPL_SCEN_EXEC).
   See *Using Compliance Scenarios* [page 33]

2. **Check the Results**
   You can check the results of the compliance scenario run with the app *My Compliance Check Results*.
   In this app, you can see the runs and the results found. The status management functions support you when working with the results.
   You can also create task lists and tasks (manually or based on templates) for documenting and tracking your activities on a compliance issue and send tasks for further processing.
   See *Processing My Compliance Check Results* [page 49] and *Tasks and Task List* [page 67]

3. **Process Tasks**
   You can process the tasks that were created in the check results step with the app *My Compliance Task*.
   As an alternative, you can use an external ticket management system for processing tasks.
   See *Using My Compliance Tasks* [page 82] and *Using an External Ticket Management System* [page 89]

4. **Confirm Tasks**
   As the final step, you can confirm tasks in the task list using the app *My Compliance Check Results*.
   See *Processing My Compliance Check Results* [page 49]

**Compliance Results Overview**

Tax managers can use the *Compliance Results Overview* app to display information about hits and tasks that need following-up.

See *Using Compliance Results Overview* [page 48]

**Access for Auditors**

Auditors can display and download the check results for a specific period of time using the app *My Compliance Check Results*.

They can download the relevant data of a compliance scenario for machine evaluation using the *Export Data for Machine Evaluation* function.

See *Access for Auditors* [page 112]
Administrative Tasks

Delete Check Results
You can delete the check results using transaction Delete Check Results (FRA_DEL_CHECK_RESULT).

See Deleting Check Results [page 32]

You can also check the application log for executed runs, monitor scheduled and executed compliance scenario runs, and delete compliance scenarios.

For more information, see Scenario Administration [page 43].

6.1 Using Compliance Results Overview

A tax manager can use the Compliance Results Overview app to display information about hits and tasks that need following-up.

Key Features

The cards on the screen inform you where to take action and provide navigation to tasks, hits, and checks.

The following cards are available:

- **Clarification Requested**
  Displays the number of tasks for which a processor requested clarification

- **Confirmation Needed**
  Displays completed tasks that have to be confirmed

- **Open Scenario Runs**
  Displays open runs sorted by the run date
  The following KPIs are displayed for a run:
  - The number of checks
  - The number of hits
  - The percentage of the hits that already have been completed

- **Checks with Hits Needing My Follow-Up**
  Displays checks with hits that have no conclusion, are open, or do not have a task list assigned.
  The following KPIs are displayed for a check:
  - The total number of hits
  - The number of hits needing your follow-up
  - The percentage of the hits that already have been completed

- **Checks with Hits Classified Not Confirmed**
  Displays checks with hits that have been classified as Not Confirmed. These hits have been closed automatically by automatic hit processing using predictive models.

- **All Open Tasks**
  Displays the number of all tasks that are not yet confirmed
Displays the percentage of unconfirmed tasks by their status in a doughnut chart. The status can be the following: New, Sent, In Process, Clarification Requested, Rejected, Completed.

- **Due Period of Open Tasks**
  Displays open tasks and their due period in a column chart. You can also filter open tasks by their status. The due period can be the following:
  - Due Today: Due date is today.
  - Due Shortly: Due date is within the next 7 days.
  - Overdue: Due date was within the last 7 days.
  - Greatly Overdue: Due date is more than 7 days in the past.

- **Rejected Tasks**
  Displays all rejected tasks

- **Overdue Tasks**
  Displays open tasks that are overdue

- **Task Processors**
  Displays some processors of open tasks

- **Quick Links**
  Navigate to the following apps:
  - Manage Compliance Checks
  - Manage Compliance Scenarios
  - My Compliance Check Results
  - Monitor Compliance Scenario Runs

### 6.2 Processing My Compliance Check Results

With the *My Compliance Check Results* app, you can process the hits found when executing a compliance scenario.

You can also visualize the status of the compliance scenario runs and the compliance checks used in the scenario.

This app has the following screens: Compliance Scenario Runs, Checks of Scenario, Compliance Check Hits, and Task List.

### Key Features

- Display compliance check runs, compliance checks of a run, and the hits found
- **Status management for runs, checks, and hits**
  - Setting the Run Status [page 60]
  - Setting the Check Status [page 61]
  - Setting the Processing Status for Hits [page 62]
  - Setting the Status (Basic Concept) [page 63]
SAP recommends that users who are allowed to manage the status of checks and runs should also have the authorization to display all results of a check. Otherwise users may not see that there are other open hits, and accidentally set the status of the check and run to Completed when it is not.

Runs without results are also displayed with status Completed.

- **Hits [page 50]**
  Display hits and document the results of your investigation

- **Task Lists and Tasks [page 50]**
  Create tasks and task lists for documenting and tracking your work on a compliance issue (hit)

- **Navigation**
  - To an external system or a worklist (Navigating to Further Hit Information [page 56])
  - To the compliance scenario, the compliance check, or the task list

- **Export**
  Export the list of compliance scenario runs, compliance checks, hits, or tasks into a spreadsheet application (.xlsx format)

- **Saving Your List Settings and Filters [page 18]**
  For example, for the hit list (results). The hits that are displayed depend on your authorizations.

- **Working with Attachments [page 65]**

- **Export Data for Machine Evaluation**
  See Access for Auditors [page 112]

See Functional Overview - My Compliance Check Results [page 52]

### Hits

On the **Compliance Check Hits** screen, you can do the following:

- Document the results of your investigation. That is, you can set the conclusion, the conclusion details (if enabled in the Customizing), and the processing status for a hit in one step.
- See the processing status, which is the percentage of hits completed from all hits (depending on your authorizations)
- Create SAP Business Integrity Screening alerts manually for the hits identified by compliance checks.
  See Using SAP Business Integrity Screening Alerts [page 80]

### Task Lists and Tasks

You can create tasks and task lists for documenting and tracking your work on a compliance issue.

- On the **Compliance Check Hits** screen, you can create a **task list** based on a template that is determined by the system, or manually if no template is found.
  You can also use automatic hit processing to accelerate hit processing by increasing the level of automation.
  See Automatic Hit Processing [page 94]

- On the **Task List** screen, you can create **tasks** manually or based on a template.
  See Tasks and Task List [page 67] and Setting the Task Status [page 63]

- On the **Task List** screen, you can sent a task for further processing, cancel sent tasks, delete tasks, reopen tasks, and so on.
  Processing of tasks can be done using one of the following options:
    - The **My Compliance Tasks** [page 82] app using the SAP Business Workflow.
Work items were created, for example, when sending task. When you cancel the sending of a task, the work item will be closed. When you send the same task again, another work item is created. You can display the number of work items in the Task List and you can also display the work item comments and attachments. Once the workflow has been archived, the work items are no longer available. For more information, see SAP Business Workflow and Status of a Dialog Work Item.

- An External Ticket Management System [page 89] based on Web services.
  An external ticket is created, when sending a task. You can display the external ticket ID and the ticket processor in the Task List.

**Display Further Details**

You can display the following:

- The scenario description in a separate popup from which you can navigate to the scenario (on the Checks of Scenario screen)
- The selection period that has been defined when running compliance scenario (on the Compliance Scenario Runs screen)
- The check description and the selection condition in a separate popup from which you can navigate to the check (on the Compliance Check Hits screen)
- The column Classification indicates the probability of a hit being a compliance issue and the hit classification (on the Compliance Check Hits screen)
- Information about the compliance check, such as, the selection conditions and the selection period (on the Task List screen)

**Task Templates**

Templates are created with the Manage Task List Templates app, and they are assigned to a compliance check in the Manage Compliance Checks app.

See Process Overview - Using Task List Templates [page 54]

**Related Apps**

- Managing Compliance Checks [page 22]
- Using My Compliance Tasks [page 82]
- Managing Task List Templates and Task Templates [page 108]
- Updating Template Translations [page 110]

**Related Information**

- Functional Overview - My Compliance Check Results [page 52]
### 6.2.1 Functional Overview - My Compliance Check Results

The following table provides an overview of the functions that are available on the different screens of the *My Compliance Check Results* app.

<table>
<thead>
<tr>
<th>Function / Screen</th>
<th>Compliance Scenario Runs Screen</th>
<th>Checks of Scenario Screen</th>
<th>Compliance Check Hits Screen</th>
<th>Task List Screen</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Display</strong></td>
<td>• Display a list of compliance scenario runs, the run status, the checks in the scenario, and the number of hits found per run</td>
<td>• Display compliance checks of a scenario, and the number of hits found per check</td>
<td>• Display hits of a check and the selection period that has been set for the compliance scenario run</td>
<td>• Create tasks manually or based on a template</td>
</tr>
<tr>
<td></td>
<td><em>Processing My Compliance Check Results [page 49]</em></td>
<td><em>Processing My Compliance Check Results [page 49]</em></td>
<td><em>Processing My Compliance Check Results [page 49]</em></td>
<td><em>Send tasks for further processing, cancel sent tasks, delete tasks, re-open tasks, and so on</em></td>
</tr>
<tr>
<td></td>
<td><em>Setting the Date When You Run a Scenario [page 42]</em></td>
<td><em>Setting Selection Conditions for Compliance Checks [page 37]</em></td>
<td><em>Finding Identical Hits [page 59]</em></td>
<td><em>As a task list owner you can assign the task list to a different task list owner</em></td>
</tr>
<tr>
<td></td>
<td><em>Finding Identical Hits [page 59]</em></td>
<td><em>Displaying Hit Probability and Classification [page 107]</em></td>
<td><em>Displaying Hit Probability and Classification [page 107]</em></td>
<td><em>Delete task list</em></td>
</tr>
<tr>
<td></td>
<td><em>Display the number of identical hits as well as the corresponding task list</em></td>
<td><em>The column Classification indicates the probability of a hit being a compliance issue and the hit classification, thus supporting you in verifying your conclusion.</em></td>
<td><em>Display the task processors’ comments and attachments</em></td>
<td><em>Processing My Compliance Check Results [page 49]</em></td>
</tr>
</tbody>
</table>

*PUBLIC*
<table>
<thead>
<tr>
<th>Function / Screen</th>
<th>Compliance Scenario Runs Screen</th>
<th>Checks of Scenario Screen</th>
<th>Compliance Check Hits Screen</th>
<th>Task List Screen</th>
</tr>
</thead>
<tbody>
<tr>
<td>Navigation</td>
<td>• Navigate to compliance scenario using Compliance Scenarios [page 33]</td>
<td>• Navigate to compliance scenario and compliance checks using Compliance Scenarios [page 33] Managing Compliance Checks [page 22]</td>
<td>• Navigate to the task list Creating Tasks [page 73]</td>
<td>• Navigate to an external system or a worklist Navigating to Further Hit Information [page 56]</td>
</tr>
<tr>
<td>Status</td>
<td>• Setting the Run Status [page 60]</td>
<td>• Setting the Check Status [page 61]</td>
<td>• Setting the Processing Status for Hits [page 62]</td>
<td>• Setting the Task Status [page 63]</td>
</tr>
<tr>
<td>Export</td>
<td>• Export the list of compliance scenario runs into a spreadsheet application (.xlsx format)</td>
<td>• Export the list of compliance checks into a spreadsheet application (.xlsx format)</td>
<td>• Export the list of hits into a spreadsheet application (.xlsx format)</td>
<td>• Export the tasks that are assigned to a task list into a spreadsheet application (.xlsx format)</td>
</tr>
<tr>
<td>Additional Features</td>
<td>• Working with Attachments [page 65]</td>
<td>• Working with Attachments [page 65]</td>
<td>• Automatic Hit Processing [page 94]</td>
<td>• Working with Attachments [page 65]</td>
</tr>
<tr>
<td></td>
<td>• Access for Auditors [page 112]</td>
<td>• Saving Your List Settings and Filters [page 18]</td>
<td>• Working with Attachments [page 65]</td>
<td>• Saving Your List Settings for the Tasks [page 18]</td>
</tr>
<tr>
<td></td>
<td>• Saving Your List Settings and Filters [page 18]</td>
<td></td>
<td>• Saving Your List Settings and Filters [page 18]</td>
<td>• Using an External Ticket Management System [page 89]</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Using SAP Business Integrity Screening Alerts [page 80]</td>
<td></td>
</tr>
<tr>
<td>Related Apps</td>
<td>• Manage Compliance Scenarios [page 39]</td>
<td>• Manage Compliance Checks [page 22]</td>
<td>• Compliance Results Overview [page 48]</td>
<td>• My Compliance Tasks [page 82]</td>
</tr>
<tr>
<td></td>
<td>• Monitor Compliance Scenario Runs [page 44]</td>
<td></td>
<td></td>
<td>• Manage Task List Templates [page 108]</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Update Template Translations [page 110]</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Managing User Groups - Tasks [page 84]</td>
</tr>
</tbody>
</table>
6.2.2 Process Overview - Using Task List Templates

The process is as follows:

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>App Used</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Create a task list template. See Managing Task List Templates and Task Templates [page 108].</td>
<td>Manage Task List Templates</td>
</tr>
<tr>
<td>2</td>
<td>Create a task template and assign it to the task list template. See Managing Task List Templates and Task Templates [page 108].</td>
<td>Manage Task List Templates</td>
</tr>
<tr>
<td>3</td>
<td>Create a compliance check and assign a task list template to the compliance check. See Managing Compliance Checks [page 22].</td>
<td>Manage Compliance Checks</td>
</tr>
<tr>
<td>4</td>
<td>Create a compliance scenario and assign compliance checks. See Using Compliance Scenarios [page 33] and Adding Compliance Checks to a Compliance Scenario [page 42].</td>
<td>Manage Compliance Scenarios</td>
</tr>
<tr>
<td>5</td>
<td>Run a compliance scenario. See Run Compliance Scenarios [page 39].</td>
<td>Manage Compliance Scenarios (or use the Run Compliance Scenario tile)</td>
</tr>
<tr>
<td>6</td>
<td>Display the check results (hits) of the run. See Processing My Compliance Check Results [page 49].</td>
<td>My Compliance Check Results</td>
</tr>
<tr>
<td>7</td>
<td>Create a task list based on the task list template that has been determined by the system. The system creates suitable tasks and finds the relevant processors. See Creating Task Lists [page 70] and Creating Tasks [page 73].</td>
<td>My Compliance Check Results</td>
</tr>
<tr>
<td>8</td>
<td>Process tasks (either using the My Compliance Tasks app or an external ticket management system). See Processing Compliance Tasks [page 81].</td>
<td>My Compliance Tasks</td>
</tr>
</tbody>
</table>

The following figure displays a high-level overview.
Template Determination

When the hits are displayed in the My Compliance Check Results app, the system identifies the appropriate task list template.

This template can be a default task list template or it can be a specific template.

Task List Creation

You can only create a task list for several hits, if the following applies:

- Hits must have the same access group.
- No task list template has been determined for these hits.
- They must have the same task list template.
Task Creation

If the organizational field is defined in the Customizing activity *Maintain Compliance Check Data Model*, the value of this field determines if hits can be assigned to the same task:

- If hits have the **same** value for this field, hits with the same value are grouped and the system assigns these hits to the same tasks.
- If hits have **different** values for this field, the system creates separate tasks for each value.

Groups of Processors

The organizational field defined in the Customizing is used to find different groups of processors for different tasks.

The group of processors will be determined based on the value for organization and the task template maintained in the *Manage User Groups (Tasks)* app.

Related Information

- Example of How the System Determines the Task List Template [page 24]
- Example of How the System Creates Tasks [page 78]
- Example of How the System Finds Groups of Processors [page 85]

6.2.3 Navigating to Further Hit Information

There are several options to get more information and details about individual hits.

- **Navigating to Source Business Records [page 57]**
  You can navigate from hits in compliance check results to external systems, for example, to display business partner data (for data that is not replicated).

- **Navigating to Ad Hoc Requests [page 57]**
  You can navigate from hits in compliance check results, for example, to a list of business transactions for a business partner (for data that has been replicated).

**Note**

You can also use the *Finding Identical Hits* function, to display the number of identical hits found in the check period as well as the corresponding task list, compliance scenario, run, and run date.
6.2.3.1 Navigating to Source Business Records

You can navigate from individual hits in compliance check results to external systems.
For example, you can navigate from a hit that warns of a compliance problem to the source business records in which the problem can be corrected.

Navigation is also supported from tasks in the My Compliance Tasks app.

To navigate to source business records, do the following:
1. From the list of Compliance Scenario Runs in the My Compliance Check Results app, drill down to the hits.
2. Mark a hit and choose Go To. The Go to External Destination dialog lists links to navigation targets such as source business systems or ad hoc requests.

Note

Your system must be customized to make navigation possible. For more information, see the Extensibility Guide at http://help.sap.com/tax_s4.

6.2.3.2 Navigating to Ad Hoc Requests

With the transactional app Start Ad Hoc Requests, you can display worklist data based on a specific worklist variant and on selection conditions.

The selection conditions defined in the worklist variant will be displayed when choosing a worklist variant from the list.

Key Features

- Export the worklist into a spreadsheet application (.xlsx format)
• Navigate to an external destination (if Customized)
• Use *Save as tile* to create a new tile on the *Home* screen, so you can directly navigate to the details for the selected worklist variant
  See *Saving an SAP Fiori App as a Tile*  
• Sort and filter in the results list
• Hide and unhide columns

### General Remarks

You can only use worklist variants with a worklist type that can be used for ad hoc requests.  
You can only navigate to a transaction in an external system if a navigation group has been assigned to a worklist type in the Customizing under *Maintain Worklist Data Model*.

### Related Apps

*Managing Worklist Variants [page 58]*

### 6.2.3.2.1 Managing Worklist Variants

With the transactional app *Manage Worklist Variants*, you define the selection conditions to be used for creating worklists.

### Key Features

• Create, display, edit, and delete worklist variants
• Define and change the selection conditions  
  When you apply the selection conditions, the system immediately previews the data found for your selection.  
  
  **i Note**  
  When adding the selection conditions on the *Add Selection Conditions* screen, you can apply conditions and choose *Go* to use the *preview* function. By default, all available data will be displayed.

• Define field visibility  
  You can define which fields are displayed in which order.  
  The selected fields and their order is used when displaying the worklist items for a worklist or the results for an ad hoc request.
General Remarks

If an Investigation Object Type is maintained in the worklist type Customizing, you must enter an Investigation Reason to support creating and identifying SAP Business Integrity Screening alerts.

Using the Authorization Group allows you to restrict access to worklist variants and to worklists created with this variant.

For more information, see the Security Guide at http://help.sap.com/tax_S4

6.2.4 Finding Identical Hits

In the hit list of the My Compliance Check Results app, you can see the number of identical hits found in the check period as well as the corresponding task list, compliance scenario, run, and run date.

Identical hits are hits that have the exact same values in the fields, which you have specified in Customizing. If you choose several fields, the values of all fields have to match.

Once the fields have been defined in the Customizing, you can activate this function in the Manage Compliance Checks app.

The hit list of the My Compliance Check Results app displays identical hits that have been found.

To use this function, do the following:

1. Define one or several fields for identifying identical hits in the Customizing activity Maintain Compliance Check Data Model.

   Note
   The following is required:
   1. The fields to be used must be part of the worklist view and the check view.
   2. The fields have to be defined in the Customizing for the worklist type.
   3. The fields must set to visible in the compliance check (Manage Compliance Checks app).

2. Activate this function in the Manage Compliance Checks app and enter a check period.

   Note
   The system checks an interval in the past (starting with the run date).
   For example, if you enter 1 as a check period, the system checks all runs of the worklist type that have been executed on the same day.

3. Run compliance scenario (for example, using the Run Compliance Scenario tile or the Run Compliance Scenario transaction (FRA_COMPL_SCEN_EXEC) in the back-end system).
Result

In the hit list of the My Compliance Check Results app, you can display identical hits that have been found for all runs and checks of the worklist type in the check period. The number of identical hits is displayed as well as the corresponding task list, compliance scenario, run, and run date. Users only see identical hits if they are authorized to see the hits that were found.

6.2.5 Managing the Status

There is a status management for runs, checks, hits, and tasks available:

- Setting the Run Status [page 60]
- Setting the Check Status [page 61]
- Setting the Processing Status for Hits [page 62]
- Setting the Task Status [page 63]

Related Information

Setting the Status (Basic Concept) [page 63]

6.2.5.1 Setting the Run Status

The Compliance Scenario Run screen provides an overview of compliance scenario runs with their run date, the number of hits found, number of checks in the scenario, the number of checks with hits, and the percentage of hits in a run that have been already completed.

The system displays the share of completed hits from the number of all hits found by the compliance scenario run: Completed Hits / Hits Found by Compliance Scenario Run.

On this screen, you can do the following:

- Set the status of the compliance scenario run to Completed or Open.
  
  The status can either be set manually or is determined by the system:
  
  - You can manually set the status of the run to Completed even if there are compliance checks within the run that are still open.
  - If you manually set the status of the run to Completed, the statuses of all checks within the run are not changed. That is, open checks will not be set to Completed.
  - When all of the individual checks of a run have been set to Completed (either by you or the system), the system sets the status of the run to Completed.
  - If you manually set the status of the run from Completed to Open, the system does not set the status of the individual checks within the run to Open.
When all of the checks are completed and the run has status **Completed**, and you open an individual check again, the status of the run will be changed to **Open**.

**Note**

Once you have set the status of a run or a check manually, the system does not override this status.

- Export the list of compliance scenario runs into a spreadsheet application (.xlsx format).

**Related Information**

[Setting the Status (Basic Concept)](page 63)

### 6.2.5.2 Setting the Check Status

The **Check of <name of scenario>** screen provides the details of all the individual checks of a run, this includes the name of each check, the number of hits found per check, as well as the percentage of hits in a check that were completed.

On this screen, you can do the following:

- Set the status of the individual checks to **Completed** or **Open**.
  - The status can either be set manually or is determined by the system:
    - You can manually set the status of the compliance check to **Completed** even if there are hits that are still open.
    - If you manually set the status of the check to **Completed**, the system does not change the status of the hits.
    - When all hits of a run have been set to **Completed** (either by you or the system), the system sets the status of the check to **Completed**.
    - If you manually change the status of a check from **Completed** to **Open**, the system does not change the status of the hits to **Open**.

**Note**

Once you have set the status of a run or check manually, the system does not override this status.

- Export the list of compliance checks into a spreadsheet application (.xlsx format).

**General Remarks**

If a check has 0 hits, the status is **Completed**.

If you manually change the status of all compliance checks to **Completed**, the system sets the status of the run to **Completed**. (If you have manually changed the run status before, the system will not override the status you have already set manually.)
If you manually change the status of all hits to Completed, the system sets the status of the check to Completed. (If you have manually changed the compliance check status before, the system will not override the status you have already set manually.)

**Related Information**

Setting the Status (Basic Concept) [page 63]

### 6.2.5.3 Setting the Processing Status for Hits

The Compliance Checks Hits screen provides an overview of the hits found and their status.

You can set the processing status, conclusion, and - if enabled - the conclusion details to document the result of your investigation.

**i Note**

If defined in the Customizing activity Maintain Conclusion Details and enabled in the Customizing activity Maintain Compliance Check Data Model, the conclusion details are available on the Compliance Check Hits screen in the My Compliance Check Results app.

#### Setting the Processing Status

You can set the status of the hits to New, In Process, and Completed. If you set all hits of a compliance check to Completed, then the system sets the status of the check to Completed.

When all hits are completed and the check has status Completed, and you set the status of a hit to In Process or New, the status of the check will be changed to Open.

**i Note**

Once the status of the task list is Completed, the system sets the status of the related hits to Completed.

See Setting the Status (Basic Concept) [page 63]

#### Setting the Conclusion

The status of the conclusion is Pending unless a user manually changes the status to Omitted, Not Confirmed, or Confirmed.
Setting the Conclusion Details

You can select a reason for the conclusion if this has been enabled in Customizing.

**Note**
Conclusion details can only be set for several hits, if they have the same conclusion.

Related Information

Creating Task Lists [page 70]
Creating Tasks Manually [page 73]
Using My Compliance Tasks [page 82]

6.2.5.4 Setting the Task Status

In the Task List, you can confirm tasks.
When you confirm all tasks of a task list, the system sets the status of the task list and the related hits to Completed.
If you already have set the status of a hit manually, the system does not override this status.

**Note**
When you change the status of a hit, the status of the task list will not be changed. For example, when you change the status of an already completed hit to In Process, the status of the task list remains Completed.

The task list can be accessed using the My Compliance Check Results app.

Related Information

Setting the Status (Basic Concept) [page 63]

6.2.5.5 Setting the Status (Basic Concept)

When processing hits with the My Compliance Check Results app, the status of the compliance scenario run, the compliance checks, and the hits can either be set manually or determined by the system.
In general, the system sets the statuses as follows:

- When all tasks of a task list are confirmed, the system sets the status of the task list and the status of the associated hits to **Completed**.
- When all hits of a compliance check are set to **Completed**, the system sets the status of the check to **Completed**.
- When all checks of a run are **Completed**, the system sets the status of the run to **Completed**.

**i Note**

Once you have set the status of a hit, check, or run manually, the system does not override this status.

**Example**

The two compliance checks in a scenario run have found 200 hits.

After completing 24 hits, the percentage of the hits that are completed in the run is 12 % (24 from 200).

Run with 2 Checks

<table>
<thead>
<tr>
<th>Check</th>
<th>Status</th>
<th>Hits Completed</th>
<th>Number of Hits (Hits Completed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check 1</td>
<td>Open</td>
<td>11 %</td>
<td>196 (22 Completed)</td>
</tr>
<tr>
<td>Check 2</td>
<td>Open</td>
<td>50 %</td>
<td>4 (2 Completed)</td>
</tr>
</tbody>
</table>

You complete another 2 hits (from 4) in Check 2.

The system will do the following:

- The system will set the status of Check 2 to **Completed** and the number of hits completed to 4.
- The status of the run will remain **Open**. The percentage of hits completed is now 13 % (26 from 200).

**Related Information**

[Setting the Run Status](#)
[Setting the Check Status](#)
[Setting the Processing Status for Hits](#)
[Setting the Task Status](#)
6.2.6 Working with Attachments

In the My Compliance Check Results app, you can add attachments to runs, checks, and hits, or delete attachments.

Attachments, such as files, notes, and links, are extremely helpful in documenting your activities in resolving compliance issues or hits.

Notes, for example, are helpful for explaining your conclusions. Links can be used to refer to internal or external policies.

For detailed information on the types of attachments that are supported, see section Attachments [page 65] below.

⚠️ Caution
Do not use attachments to upload personal data. The only “personal data” associated to attachments are the user names in the Created By field.

Attachments

What kind of attachments are supported?

File
You can upload different file types, such as DOC, TXT, MSG, JPEG, PDF, PNG, and ZIP.

The maximum allowed file size is 10 MB.

To manage the file types that are checked or blocked, you must define the virus scan profiles in Customizing.

For more information, see the Security Guide.

Note
Notes cannot be formatted.

Text lengths in characters:

- Subject 255
- Note text 16,000

Link
The maximum length is 16,000 characters.

Incomplete URLs will be enhanced.

For example, help.sap.com/tax will be enhanced to http://help.sap.com/tax.

Add Attachments

Who can add attachments?

Attachments can be added by all users that are allowed to change specific runs, checks, and hits.
How can you add attachments?
You can add attachments on the following screens: Compliance Scenario Runs, Checks of Scenario, Compliance Check Hits, and Task List.

1. Select one or several items in the list.
2. Choose Attach and then File, Note, or Link.

Display Attachments

Who can display attachments?
All users who are allowed to display specific runs, checks, and hits can display attachments as long as they are not already completed.

Where can you display attachments?
The attachments you can display vary, depending on which screen you are on:
- On the Runs screen: Only attachments for runs can be displayed.
- On the Checks screen: Attachments for the checks and their related runs can be displayed
- On the Hits screen: Attachments for the hits and their related checks and runs can be displayed

Delete Attachments

Who can delete attachments?
All users who can change specific runs, checks, and hits can delete attachments.

Where can you delete attachments?
You can delete attachments on the screens where they were created or uploaded for a run, check, or hit.

For example, on the Checks screen you can delete attachments that have been uploaded for checks. You cannot delete attachments that were uploaded for runs or hits.

How can you delete attachments?
You can delete attachments on the following screens: Compliance Scenario Runs, Checks of Scenario, Compliance Check Hits, and Task List.

1. Open the Manage Attachments screen, from the screen where you have uploaded an attachment.
2. Choose the link in the Attachments column, to open the Manage Attachments screen.
3. Choose to delete an attachment.

Example

The figure below illustrates how only the attachments for hits can be deleted when you open the Manage Attachments screen from the Hits or the Task List screen.

You also see that there are other attachments available for the check and the run, which cannot be deleted here.
6.2.7 Tasks and Task List

A task represents a single activity that has to be done. A task list is a collection of tasks that have to be processed in order to solve a compliance issue (hit).

Task Lists

You can create task lists manually or use predefined templates:

- If a template has been determined by the system, the task list is created using this template.
- If no task list template is found, you can create a task list manually.
Tasks

You can create **tasks** manually or use predefined templates:

- If the task list has been created **manually**, you can create tasks manually or use a template.
- If the task list has been created using a **template**, the suitable tasks will be created (same worklist type).
- If the task list has been created using a **template**, you can delete tasks and add further tasks. Further tasks can be created manually or using suitable task templates (with the same worklist type).

Further tasks that you add to a task list can have an optional reference to a hit.

For more information, see Example of How the System Creates Tasks [page 78].

Task Templates and Task List Templates

Templates are created with the **Manage Task List Templates** app.

See Managing Task List Templates and Task Templates [page 108]

The template that is determined by the system depends on your Customizing settings and the assignments you have made for the compliance check in the **Manage Compliance Checks** app.

For more information, see Example of How the System Determines the Task List Template [page 24].

Related Information

Creating Task Lists [page 70]
Creating Tasks Manually [page 73]
Creating Tasks Using Task Templates [page 76]
Using Default Task List Templates [page 72]
Updating Template Translations [page 110]
Example of How the System Determines the Task List Template [page 24]
Example of How the System Creates Tasks [page 78]
Example of How the System Finds Groups of Processors [page 85]

6.2.7.1 Prerequisites for Working with Compliance Tasks, Task Lists, and Templates

The processing of tasks is based on a workflow. In this section, you will find the essential information.

For more information about the technical requirements, see the **Installation, Upgrade** as well as the **Extensibility Guide**.
**Authorizations**

- If users should create tasks and task lists, the authorization object `FRA_COTASK (Task and Task List)` is required.
- The workflow user who runs the background jobs (`WF-BATCH`) also needs the authorization `FRA_COTASK` to change tasks.
- The authorization object `FRA_CTASKT (Task Template and Task List Template)` allows you to control access to task templates and task list templates.
- You need the authorization object `FRA_GROUP (Group)` to allow, for example, administrators to maintain groups of users for task processing in the `Manage User Groups (Tasks)` app.

For more information about roles and authorizations, see the Security Guide.

**Customizing**

- In the Customizing activity `Maintain Compliance Check Data Model`, you can define the following:
  - **Access Group**
    - You can define a field in the view to control access to certain hits of a check or to task lists.
  - **Template Determination**
    - You can define a field of the view that is used to determine which task list template should be used.
  - **Organization**
    - You can use this organizational field to find different groups of processors for different tasks.
    - The value of the organizational field determines if hits can be assigned to the same tasks.
  - **Navigation Group**
    - You can navigate from hits and tasks to an external system. The navigation group is a set of navigation targets.
    - In the Customizing activity `Assign Navigation Targets to Navigation Groups`, you can assign navigation targets to navigation groups.
    - See Navigating to Source Business Records [page 57]
    - For more information, see the Extensibility Guide.
- In the Customizing activity `User Roles for Task List Processing`, you can define which of the PFCG roles are used for processing task lists. Only users who have one of the maintained roles are allowed to be assigned to task lists.

**Manage User Groups**

You must create user groups for task processing in the `Manage User Groups (Tasks)` app.

Processors will be determined based on the `Organization` and the `Task Template`:

- The task template can be an actual task template or a manual task. For manually created tasks, you have to choose the task template `<MANUAL> (Manually Created Task)`.
- The `Organization` maintained in the Customizing activity `Maintain Compliance Check Data Model` is used by the `Organization` in the `Manage User Groups (Tasks)` app.
Setup

For more information, see the *Installation Guide* and the *Upgrade Guide*.

Related Information

- Example of How the System Determines the Task List Template [page 24]
- Example of How the System Creates Tasks [page 78]
- Example of How the System Finds Groups of Processors [page 85]
- Managing User Groups - Tasks [page 84]

6.2.7.2 Creating Task Lists

Task lists can be created from the *Compliance Check Hits* screen in the *My Compliance Check Results* app. The applicable task list template determined by the system is displayed in the *Task List Template* column.

ℹ️ Note

If no task list template has been determined by the system, you can create a task list manually.

Create Task Lists

1. To create task lists, select one or several hits on the *Compliance Check Hits* screen and choose *Create Task List*.

On the *Create Task List* screen, you can also set the conclusion to *Confirmed* and you can select *Conclusion Details* (if enabled in the Customizing).

ℹ️ Note

Conclusion details can only be set for several hits, if they have the same conclusion.

ความสามารถ

The system creates one task list for several hits if the following applies. Otherwise the system will create several task lists:

- The hits must have the same access group.
- No task list template has been determined for these hits.
- The hits must have the same task list template.

See Example of How the System Determines the Task List Template [page 24]

This changes the status of the hit from *New* to *In Process* (manually adapted statuses will not be changed).
2. Navigate to the task list using the task list details. The Task List screen opens in a new window.

3. On the Task List screen, the system displays the selected hits.
   - For a manually created task list: There are no tasks yet, you have to create them manually.
   - For a task list created with a template: The system will create tasks according to the template for each selected hit. You can also create tasks manually.
   See Example of How the System Creates Tasks [page 78]

**Result**

Once all the tasks of a task list are confirmed, the system sets the status of the task list to **Completed**.

**i Note**
The system then sets the processing status of the hit on the Compliance Check Hits screen to **Completed**.

**Assign Task List Owner**

A task list owner can assign the task list to a different task list owner. Choose Assign Task List.

**i Note**
You can only assign a task list to users that have the required user role for processing task lists.

**Delete Task List**

A task list can only be deleted as long as no tasks have been created.

**i Note**
Deleting the task list sets the status of the hit to **New** (for hits with a status set by the system). Manually set statuses will not be changed.

**Related Information**

Tasks and Task List [page 67]
Using Default Task List Templates [page 72]
Creating Tasks Manually [page 73]
Creating Tasks Using Task Templates [page 76]
Setting the Task Status [page 63]
6.2.7.3  Using Default Task List Templates

In the Manage Compliance Checks app, you can assign a task list template to a check that is to be used by default.

The default task list template is used in the following cases:

- Only the default template is defined.
- No template is assigned for a value.

Note

In the Customizing activity Maintain Compliance Check Data Model, you can define a field of the view that will be used for determining the task list template; that is the Template Determination field. In the Manage Compliance Checks app, you can assign a task list template to each value of this field (that has been customized for template determination).

Example - Only the Default Task List Template is Defined

Customizing

In Customizing of the worklist type, you have not defined a template determination field.

Assigning a Default Task List Template

You assign the default task list template Correct Postings for all Company Codes in the Manage Compliance Check app.

As you have not defined a template determination field in the Customizing, you cannot assign any other template.

Result

As a result, for all hits the system will determine the task list template Correct Postings for all Company Codes.

Example - Default Task List Template and Templates for Different Values of the Template Determination Field Exist

Customizing

In Customizing, you have defined the company code as the field that will be used for determining the relevant task list template.

Assigning Task List Templates

You assign task list templates to different company codes in the Manage Compliance Check app:

- You assign the task list template Correct Postings in Company Code 0001 to company code 0001.
You assign the task list template *Correct Postings in Company Code 0002* to company code 0002.

In addition, you assign a default task list template, which will be used for all other values: *Correct Postings for all Company Codes*.

**Result**

As a result, for hits with company code 0002 the system will determine the template *Correct Postings in Company Code 0002*.

For company code 0003, the default template *Correct Postings for all Company Codes* will be used as nothing was defined for company code 0003.

**Related Information**

- [Tasks and Task List](#)[page 67]
- [Example of How the System Determines the Task List Template](#)[page 24]

### 6.2.7.4 Creating Tasks

Tasks can be created and accessed from task lists using the *My Compliance Check Results* app.

You can create tasks manually or use predefined templates:

- [Creating Tasks Manually](#)[page 73]
- [Creating Tasks Using Task Templates](#)[page 76]

**Related Information**

- [Example of How the System Creates Tasks](#)[page 78]

#### 6.2.7.4.1 Creating Tasks Manually

Tasks can be created and accessed from task lists using the *My Compliance Check Results* app.

When you create a task you can either create it with a reference to one or more hits or you can create a generic task without a reference to a hit.

When using tasks with a reference to a hit, you have two additional options:

- You can assign fields of the hit to the task.
- You can choose a navigation target, if customized.
Create Task for Referenced Hits

1. To create a task with a reference, select one or several hits and choose Create Task on the Task List.
2. To create a task manually, choose Manual as task creation mode on the Create Task screen.
3. Choose Step 2 and enter the following:
   1. Choose a Due Date (calendar days) and the Priority for the task.
   2. Select the fields that the processor needs for processing the task, for example, the company code and document number in order to reverse a posting.
   3. Select the Navigation Target, to enable the task processor to navigate, for example, to a business system.
4. To verify your task, choose Step 3.
5. Save the task.
   The task is created with status New.

When working with tasks, you have the following options:

Send Tasks
You can send a new task for further processing. The task has no processor unless a task processor claims this task using the My Compliance Tasks app.

Cancel Task
You can cancel a task that has been sent to a processor.

Delete Task
You can delete a new task.

Confirm Task
This option is only available if the task is New, Sent, Rejected, or Completed.

Reopen Task
You can reopen tasks that have already been completed by a task processor using the My Compliance Tasks app.

This sets the status In Process.

Reply Task
You can reply if a processor has requested clarification using the My Compliance Tasks app.
**Show Timeline**

The timeline logs all activities of a task, for example, task creation, sent, or confirmation.

**Export**

You can also export the task overview into a spreadsheet application (.xlsx format).

---

**Task Lifecycle: Task List (My Compliance Check Results App)**

Activities and Their Effect on the Status

<table>
<thead>
<tr>
<th>Task Status</th>
<th>Activity in the Task List</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>Send task</td>
<td>The task is sent for further processing and the status of the task is set from New to Sent.</td>
</tr>
<tr>
<td>New</td>
<td>Delete task</td>
<td>The task will be deleted.</td>
</tr>
<tr>
<td>Sent</td>
<td>Cancel task</td>
<td>The status of the task is set from Sent to New.</td>
</tr>
<tr>
<td>Sent</td>
<td>Confirm task</td>
<td>The status of the task is set from Sent to Confirmed.</td>
</tr>
<tr>
<td>In Process</td>
<td>Cancel task</td>
<td>The status of the task is set from In Process to New.</td>
</tr>
<tr>
<td>Completed</td>
<td>Reopen task</td>
<td>The status of the task is set from Completed to Sent.</td>
</tr>
<tr>
<td>New, Sent, Rejected, Completed</td>
<td>Confirm task</td>
<td>The status of the task is set to Confirmed.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Reopen task</td>
<td>The status of the task is set to Sent.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Confirm task</td>
<td>The status of the task is set to Confirmed.</td>
</tr>
<tr>
<td>Clarification Requested</td>
<td>Reply</td>
<td>The status of the task is set from Clarification Requested to In Process.</td>
</tr>
</tbody>
</table>

Once all tasks of a task list are confirmed, the task list and the related hits are set to **Completed**.

---

**Related Information**

- Processing Compliance Tasks [page 81]
- Tasks and Task List [page 67]
6.2.7.4.2 Creating Tasks Using Task Templates

A task template is a type of template that you can create for an individual activity, which can be assigned to different task list templates.

Tasks can be created and accessed from task lists using the My Compliance Check Results app.

When you create a task you can either create it with a reference to one or more hits or you can create a generic task without a reference to a hit.

Create Task for Referenced Hits

1. To create a task, select one or several hits and choose Create Task on the Task List.
2. To create a task based on a task template, choose Template as task creation mode on the Create Task screen.
3. Choose Step 2 and select a suitable template.
   The selection fields and the navigation target will be derived from the task template and cannot be changed.
   Task processors will see these selection fields and, for example, they can navigate to a business system.
4. To verify your task, choose Step 3.
5. Save the task.
   The task is created with status New.

When working with tasks, you have the following options:

Send Tasks
You can send a new task for further processing. The task has no processor unless a task processor claims this task using the My Compliance Tasks app.

Cancel Task
You can cancel a task that has been sent to a processor.

Delete Task
You can delete a new task.

Confirm Task
This option is only available if the task is New, Sent, Rejected, or Completed.

Note
Once all tasks of a task list are confirmed, the system sets the status of the task list to Completed. The system then sets the processing status of the hit on the Hits screen to Completed.

Reopen Task
You can reopen tasks that have already been completed by a task processor using the My Compliance Tasks app.
This sets the status \textit{In Process}.

\textbf{Reply Task}

You can reply if a processor has requested clarification using the \textit{My Compliance Tasks} app.

\textbf{Show Timeline}

The timeline logs all activities of a task, for example, task creation, sent, or confirmation.

\textbf{Export}

You can also export the task overview into a spreadsheet application (.xlsx format).

\textbf{Task Lifecycle: Task List (My Compliance Check Results App)}

<table>
<thead>
<tr>
<th>Task Status</th>
<th>Activity in the Task List</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>Send task</td>
<td>The task is sent for further processing and the status of the task is set from \textit{New} to \textit{Sent}.</td>
</tr>
<tr>
<td>New</td>
<td>Delete task</td>
<td>The task will be deleted.</td>
</tr>
<tr>
<td>Sent</td>
<td>Cancel task</td>
<td>The status of the task is set from \textit{Sent} to \textit{New}.</td>
</tr>
<tr>
<td>Sent</td>
<td>Confirm task</td>
<td>The status of the task is set from \textit{Sent} to \textit{Confirmed}.</td>
</tr>
<tr>
<td>\textit{In Process}</td>
<td>Cancel task</td>
<td>The status of the task is set from \textit{In Process} to \textit{New}.</td>
</tr>
<tr>
<td>Completed</td>
<td>Reopen task</td>
<td>The status of the task is set from \textit{Completed} to \textit{Sent}.</td>
</tr>
<tr>
<td>\textit{New, Sent, Rejected, Completed}</td>
<td>Confirm task</td>
<td>The status of the task is set to \textit{Confirmed}.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Reopen task</td>
<td>The status of the task is set to \textit{Sent}.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Confirm task</td>
<td>The status of the task is set to \textit{Confirmed}.</td>
</tr>
<tr>
<td>\textit{Clarification Requested}</td>
<td>Reply</td>
<td>The status of the task is set from \textit{Clarification Requested} to \textit{In Process}.</td>
</tr>
</tbody>
</table>

Once all tasks of a task list are confirmed, the task list and the related hits are set to \textit{Completed}. 
Related Information

Processing Compliance Tasks [page 81]
Tasks and Task List [page 67]
Setting the Task Status [page 63]
Example of How the System Creates Tasks [page 78]

6.2.7.4.3 Example of How the System Creates Tasks

Example - Task Creation

On the task list, you have several hits with different countries (values for field Organization of the worklist type).
You want to create a new task and you select four hits.
The four hits to be processed have three different countries (DE, UK, ES).

<table>
<thead>
<tr>
<th>Hits</th>
<th>Organizational Field: Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hit 1</td>
<td>DE</td>
</tr>
<tr>
<td>Hit 2</td>
<td>UK</td>
</tr>
<tr>
<td>Hit 3</td>
<td>ES</td>
</tr>
<tr>
<td>Hit 4</td>
<td>UK</td>
</tr>
</tbody>
</table>

Result
As a result, the system creates three tasks.
For each country the system creates a task in order to find the appropriate group of processors.

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Related Hits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reverse FI Posting - DE</td>
<td>Hit 1</td>
</tr>
<tr>
<td>Reverse FI Posting - UK</td>
<td>Hit 2</td>
</tr>
<tr>
<td></td>
<td>and Hit 4</td>
</tr>
<tr>
<td>Reverse FI Posting - ES</td>
<td>Hit 3</td>
</tr>
</tbody>
</table>
**Prerequisites**

1. **Check Results**
   A task list with four hits and three different countries exists.

2. **Customizing**
   In the Customizing activity *Maintain Compliance Check Data Model*, you define an organizational field that is used to find different groups of processors for different tasks, for example, country.
   If this field is defined in the Customizing, the value of this organizational field determines if hits can be assigned to the same tasks:
   - If hits have the same value for this field, hits with the same value are grouped and the system assigns these hits to the same tasks.
   - If hits have different values for this field, the system will create separate tasks for each value.

**6.2.7.5 Example of How the System Determines the Task List Template**

**Example - Template Determination**

In the Customizing you have defined the company code as the field that will be used for determining the relevant task list template.

**Assigning Task List Templates**

You assign task list templates to different company codes in the *Manage Compliance Check* app:

- You assign the task list template *Correct Postings in Company Code 0001* to company code 0001.
- You assign the task list template *Correct Postings in Company Code 0002* to company code 0002.
- In addition, you assign a default task list template, which will be used for all other values: *Correct Postings for all Company Codes*.

**Result**

As a result, for hits with company code 0002 the system will determine the template *Correct Postings in Company Code 0002*.

For company code 0003, the default template *Correct Postings for all Company Codes* will be used as nothing was defined for company code 0003.
Prerequisites

1. Customizing

In the Customizing activity Maintain Compliance Check Data Model, you define a field of the view that will be used for determining the task list template (field Templ. Determination), for example, the company code.

2. Compliance Check

In the Manage Compliance Checks app, you have assigned task list templates to checks. If needed, you can assign a task list template to each value of the Templ. Determination field. You can also define a task list template that is to be used by default in the following cases:

- No template is assigned for a value.
- Only the default template is defined.

If you do not assign a template to a check, or if no template is found by the system, you can only create task lists manually.

Result

When the hits are displayed in the My Compliance Check Results app, the system identifies the appropriate task list template. The template is determined based on the value in the template determination field and the template that is assigned to this value in the compliance check.

If a template has been determined by the system, it is displayed in the Task List Template column.

Related Information

Tasks and Task List [page 67]
Managing Task List Templates and Task Templates [page 108]
Prerequisites for Working with Compliance Tasks, Task Lists, and Templates [page 68]

6.2.8 Using SAP Business Integrity Screening Alerts

You can create alerts manually for the hits identified by compliance checks.

Alerts can be optional used to inform, for example, the audit department about irregularities.

i Note

Note that separate licensing requirements apply to SAP Business Integrity Screening.
Create Alerts Manually

You can create alerts manually for a hit in the My Compliance Check Results app:

- Select a hit on the Compliance Check Hits view.
- Choose Create Alert.
  The system opens the Create Alert dialog.
- Check or change the data provided by the system, such as Detection Summary.
- Choose Save to create the alert.
  Then, the number of the alert that has been created is displayed for the hit. You can also navigate to the alert directly.

Related Information

Integration with SAP Business Integrity Screening Alerts
Using Manage Alerts
Using the Documentation Section
Displaying the Activity Section
Setting the Decision

6.3 Processing Compliance Tasks

Once a task is sent to a task processor, it can either be processed using the My Compliance Tasks app, or using an external ticket management system.

Using the My Compliance Tasks App

The processing of tasks using the My Compliance Tasks app is based on a workflow.

This process is as follows:

1. **Process Tasks**
   - In the My Compliance Tasks app, you can process and complete tasks, as well as reject, claim, forward, or suspend tasks.
   - See Using My Compliance Tasks [page 82]

2. **Confirm Tasks**
   - In the Task List, you can confirm tasks. Once all tasks of a task list are confirmed, the task list and the related hits are set to Completed.
   - See Setting the Task Status [page 63]

How will processors be determined?

When using the workflow, the group of processors will be determined based on the value for organization and the task template maintained in the Manage User Groups (Tasks) app.
The organization in the Manage User Group app is filled with the value of the field (attribute) Organization that has been defined in the worklist type Customizing.

See Managing User Groups - Tasks [page 84] and Example of How the System Finds Groups of Processors [page 85]

**Using an External Ticket Management System**

The processing of tasks using an external ticket management system is based on services.

This process is as follows:

1. **Process Tickets**
   In the external ticket management system, you can process tickets that have been created for a compliance task.
   See Using an External Ticket Management System [page 89]

2. **Confirm Tasks**
   Once all tasks of a task list are confirmed, the task list and the related hits are set to Completed.

For more information, see Enterprise Services in SAP Tax Compliance.

**6.3.1 Using My Compliance Tasks**

With the My Compliance Tasks app, you can, for example, process, claim, and complete tasks.

When a business user (task list owner) sends a task for further processing, the task is visible in the inbox of all processors that have been determined by the system.

Once a task has been claimed, it is no longer visible for other processors.

In the inbox, you can also sort, filter, and group tasks.

**Key Features**

- **Complete**
  You can complete tasks. The task list owner is then notified via e-mail.

- **Reject**
  You can reject a task. The task list owner is then notified via e-mail.

- **Clarification needed**
  You can request clarification. The task list owner is then notified via e-mail.

- **Claim**
  You can claim tasks for processing, add comments, and upload attachments.
  When a task is claimed by a task processor, the task processor is set in the task list.

- **Forward**
  You can forward a task to a delegate or another processor.
• Suspend
  The task disappears from the inbox and it is displayed again at the date you have chosen.

  **i Note**
  You can use an “Outbox” tile to display completed and suspended tasks. This tile has to be configured
  by your system administrator. For more information, search in the SAP Community for *SAP Fiori My

• Open
  You can open a task and display all data that is available. For a task with reference to a hit, the fields
  and the navigation target (chosen to be visible by the business user who created the task) will be displayed.

• Share
  You can send e-mails to share a task.

**Task Lifecycle: My Compliance Tasks App**

A task is visible for all processors that have been identified. Once a task has been claimed, it is no longer visible
for other processors.

Activities and Their Effect on the Status

<table>
<thead>
<tr>
<th>Activity in the My Compliance Tasks App</th>
<th>Task Status in the Task List</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete</td>
<td>The status of the task is set to <em>Completed.</em></td>
</tr>
<tr>
<td>Reject</td>
<td>The status of the task is set to <em>Rejected.</em></td>
</tr>
<tr>
<td>Clarification Needed</td>
<td>The status of the task is set to <em>Clarification Requested.</em></td>
</tr>
</tbody>
</table>
| Claim                                  | The status of the task is set to *In Process.*
  Once a task has been claimed, it is no longer visible for other processors.
  The task processor is set in the task list. |

**Who is notified?**

• When a task processor rejects or completes a task, or requests clarification in the *My Compliance Tasks*
  app, the task list owner is informed via e-mail.
  The workflow user who runs the background jobs (*WF-BATCH*) is displayed as sender of the e-mail.

• Workflow administrators are informed about erroneous workflows.
  See *Handling Errors in Task Processing* [page 87]
6.3.1.1 Managing User Groups - Tasks

You can use the Manage User Groups - Tasks app to create and edit groups of users who will be assigned to various compliance tasks.

The app shows you a range of information about the various user groups, including which users are in which groups and what roles they have.

The two tabs, Groups and People, offer similar information and functionality, but from different perspectives. Choose Groups when your focus is on maintaining a specific group, and People when your focus is on an individual and which groups they are in.

The Groups Tab

The Groups tab shows a list of all the available groups. You can edit any fields on the main screen by entering new values manually, or by using the dropdown menus. By selecting an entry you can go to a list of the members of that group. From the membership list, use Display Roles to see what business roles an individual has.

- To make a new group, click Create Group on the main screen, and then enter the necessary information on the Group Details screen. Use the dropdown menu to choose multiple entries from the available values where applicable.

  In addition, you can create the following user groups for specific cases:

  - **Fallback User Group**
    You can create a fallback user group that will be used if no user group for a combination of task template and organization can be found by the system.
    To do so, you must choose the fallback value for the organization (<FALLBACK>) and the fallback value for the task template (<FALLBACK>) when creating a new group. Neither the organization nor the task template have to be created or defined by you beforehand.

  ➤ Tip

  Once you have created a fallback user group, tasks will be sent to this group of users if the system doesn’t find a user group.
  
  Using a fallback user group ensures that a compliance scenario run can be executed successfully, for example, when no users are assigned to the user group found by the system. In this case, the fallback user group comes into play.
User Group for Manually Created Tasks
You can create a user group that will be used for manually created tasks. To do so, choose <MANUAL> (Manually Created Task) as task template.

User Group For All Organizations/Task Templates
You can create a user group that will be used for all organizations or for all task templates. To do so, choose * (All Values) either for the organization or for the task template.

Note
When you create a group, the Authorization Group field is optional.
You can use this field to separate groups by organizational or legal entity. Authorization groups can be maintained using transaction SU21 in the authorization object FRA_GROUP.

To add new members to a group, go to the list of members, use Add Users and follow the on-screen prompts. To remove members, first select the relevant checkboxes on the left and then use Remove Users.

The People Tab
The People tab shows all the available users, and by clicking anywhere on an entry you can see a list of the groups that the selected individual is a member of. You can then edit which groups the user is in using Add Groups and Remove Groups.

Customizing and Set Up
User roles need to be maintained with the User Roles for Task List Processing Customizing activity.

6.3.1.2 Example of How the System Finds Groups of Processors

Example - Finding Groups of Processors

Task List
Your task list has four hits with three different countries (DE, UK, ES). (Country is used as Organization field in the worklist type.)

The task list template Postings in Company Code 0001 contains the task template Reverse FI Posting.

<table>
<thead>
<tr>
<th>Hits</th>
<th>Organizational Field:</th>
<th>Task List Template</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hit 1</td>
<td>DE</td>
<td>Postings in Company Code 0001</td>
</tr>
<tr>
<td>Hit 2</td>
<td>UK</td>
<td>Postings in Company Code 0001</td>
</tr>
</tbody>
</table>
Organizational Field:

<table>
<thead>
<tr>
<th>Hits</th>
<th>Country</th>
<th>Task List Template</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hit 3</td>
<td>ES</td>
<td>Postings in Company Code 0001</td>
</tr>
<tr>
<td>Hit 4</td>
<td>UK</td>
<td>Postings in Company Code 0001</td>
</tr>
</tbody>
</table>

For each country the system has created a task in order to find the appropriate group of processors.

**Manage User Groups**

You have defined the following user groups for task processing.

**Groups of Processors**

<table>
<thead>
<tr>
<th>Groups</th>
<th>Organization*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group 1</td>
<td>(Value of Organizational Field Country)</td>
</tr>
<tr>
<td></td>
<td>DE, Reverse FI Posting, &lt;MANUAL&gt; (Manually Created Task)</td>
</tr>
<tr>
<td></td>
<td>Sabine Mayer</td>
</tr>
<tr>
<td>Group 2</td>
<td>UK, Reverse FI Posting, &lt;MANUAL&gt; (Manually Created Task)</td>
</tr>
<tr>
<td></td>
<td>Donna Moore</td>
</tr>
<tr>
<td>Group 3</td>
<td>ES, Reverse FI Posting, &lt;MANUAL&gt; (Manually Created Task)</td>
</tr>
<tr>
<td></td>
<td>Carmen Fernandez</td>
</tr>
</tbody>
</table>

* The value help provides all values of all organizational fields that have been defined in the Customizing, for example, all available company codes (such as 0001, 0002, 0003, ...), and all countries (such as FR, US, DE, JA, RU, ZH, ...).

** The value help provides all task templates and one entry for manually created tasks (<MANUAL>).

**Result**

As a result the system determines the following groups of processors.
## Prerequisites

In the Customizing activity *Maintain Compliance Check Data Model*, define an organizational field that is used to find different groups of processors for different tasks, for example, country.

### i Note

If this field is defined in the Customizing, the value of this organizational field determines if hits can be assigned to the same tasks:

- If hits have the same value for this field, hits with the same value are grouped and the system assigns these hits to the same tasks.
- If hits have different values for this field, the system will create separate tasks for each value.

### 6.3.1.3 Handling Errors in Task Processing

Errors may occur if, for example, the task is locked when the system tries to update the task.

#### Task Locked

When the processor completes or rejects a task, the system will update the task. A temporary error may occur if the task is already locked. The system will try to update the task three times. (The *Repeat Counter* that is used in report RSWERERIN is fixed.)

If the task cannot be updated, the workflow is erroneous and can be displayed in transaction SWI2_DIAG (*Diagnosis of Workflows with Errors*).
Workflow administrators will also be informed about erroneous workflows, as set up in the Automatic Workflow Customizing (transaction SWU3) in step Schedule Background Job for Work Items with Errors (the corresponding transaction is SWWD - Configure and Schedule Work Item Error Monitoring).

**i Note**

The report RSWWERIN (transaction SWWD - Configure and Schedule Work Item Error Monitoring) is executed during the Automatic Workflow Customizing in the Customizing for SAP NetWeaver under Maintain Standard Settings.

You can find the workflow-related transactions in the menu under Tools > Workflow.

Display Application Log

In case of an error further messages are available in the application log.

You can display the application log in transaction SLG1. You can analyze the logs and their messages for workflow-specific errors by using object FRA_WORKFLOW.

Workflow Items Without Processors

You can use the work item analysis (transaction SW12_ADM1 - Work Items Without Agents) to find work items without processors. You can limit the work items to be analyzed by time, type, and task.

6.3.1.4 Task Lifecycle - Using My Compliance Tasks

The following tables provide an overview about activities and their effect on the status.

**Task Lifecycle: Task List (My Compliance Check Results App)**

<table>
<thead>
<tr>
<th>Task Status</th>
<th>Activity in the Task List</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>Send task</td>
<td>The task is sent for further processing and the status of the task is set from New to Sent.</td>
</tr>
<tr>
<td>New</td>
<td>Delete task</td>
<td>The task will be deleted.</td>
</tr>
<tr>
<td>Sent</td>
<td>Cancel task</td>
<td>The status of the task is set from Sent to New.</td>
</tr>
<tr>
<td>Sent</td>
<td>Confirm task</td>
<td>The status of the task is set from Sent to Confirmed.</td>
</tr>
<tr>
<td>In Process</td>
<td>Cancel task</td>
<td>The status of the task is set from In Process to New.</td>
</tr>
</tbody>
</table>
### Task Status

<table>
<thead>
<tr>
<th>Task Status</th>
<th>Activity in the Task List</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed</td>
<td>Reopen task</td>
<td>The status of the task is set from <em>Completed</em> to <em>Sent</em>.</td>
</tr>
<tr>
<td>New, Sent, Rejected, Completed</td>
<td>Confirm task</td>
<td>The status of the task is set to <em>Confirmed</em>.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Reopen task</td>
<td>The status of the task is set to <em>Sent</em>.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Confirm task</td>
<td>The status of the task is set to <em>Confirmed</em>.</td>
</tr>
<tr>
<td>Clarification Requested</td>
<td>Reply</td>
<td>The status of the task is set from <em>Clarification Requested</em> to <em>In Process</em>.</td>
</tr>
</tbody>
</table>

Once all tasks of a task list are confirmed, the task list and the related hits are set to *Completed*.

### Task Lifecycle: My Compliance Tasks App

A task is visible for all processors that have been identified. Once a task has been claimed, it is no longer visible for other processors.

#### Activities and Their Effect on the Status

<table>
<thead>
<tr>
<th>Activity in the My Compliance Tasks App</th>
<th>Task Status in the Task List</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete</td>
<td>The status of the task is set to <em>Completed</em>.</td>
</tr>
<tr>
<td>Reject</td>
<td>The status of the task is set to <em>Rejected</em>.</td>
</tr>
<tr>
<td>Clarification Needed</td>
<td>The status of the task is set to <em>Clarification Requested</em>.</td>
</tr>
<tr>
<td>Claim</td>
<td>The status of the task is set to <em>In Process</em>.</td>
</tr>
</tbody>
</table>

When a task processor rejects or completes a task, or requests clarification in the *My Compliance Tasks* app, the task list owner is informed via e-mail.

### 6.3.2 Using an External Ticket Management System

The processing of tasks using an external ticket management system is based on services.

In the *Task List*, you can create tasks and send them for further processing. The task list can be accessed using the *My Compliance Check Results* app.
The process is as follows:

1. **SAP Tax Compliance: A task is created and send for further processing.**
   - The `ComplianceTaskProcessingTicketCreateRequest_Sync_Out` service sends the data of the task to the external system (this also includes the language dependent texts and a unique identifier).
   - In the external ticket management system a ticket has to be created.
   - The external ticket management system returns a confirmation including the unique ticket ID that belongs to the compliance task.
   - In SAP Tax Compliance you can display the external ticket ID and the ticket processor in the Task List by changing the view settings.

2. **External ticket management system: A ticket is changed.**
   - That is, the processor, the comment, or the status has been changed. For example, a ticket has been claimed and processed, completed, rejected, or clarification is requested.
   - The `ComplianceTaskProcessingTicketUpdateNotification_Sync_In` service sends the updated data to SAP Tax Compliance.

3. **SAP Tax Compliance: A task is changed.**
   - The `ComplianceTaskProcessingComplianceTaskUpdateNotification_Sync_Out` service notifies the external system that the status, or the comment has been changed.
   - For example, if a task is canceled in SAP Tax Compliance, the task is set to status New and the ticket ID is deleted.
   - Hence, the corresponding ticket is no longer referenced.

Throughout the task processing lifecycle, changes in the status of the task with reference to the ticket ID are communicated via configured enterprise services.

See Task Lifecycle - Using an External Ticket Management System [page 92]

**Related Information**

Prerequisites for Working with an External Ticket Management System [page 90]
Enterprise Services in SAP Tax Compliance
Creating Tasks [page 73]

### 6.3.2.1 Prerequisites for Working with an External Ticket Management System

The processing of tasks is based on services. In this section, you will find the essential information.
Customizing

Activate Integration with an External Ticket Management System

This Customizing activity has the following fields:

- **Source Application**
  Indicates your internal SAP Tax Compliance system

- **Active**
  The checkbox in this field is selected if an external ticket management system shall be used in an integration scenario for processing compliance tasks.

- **Port for Ticket Creation Request**
  Provides the communication link between the SAP Tax Compliance system and an external ticket management system; used for sending a copy of the compliance task data to an activated external ticket management system for creation of a ticket.
  The logical port is created in the SOA Manager, using transaction SOAMANAGER.

- **Port for Notification of Task Update**
  Provides the communication link between the SAP Tax Compliance system and an external task management system; used for sending compliance task changes in the tax compliance system to an activated external ticket management system.

Define Navigation to External Ticket Management System

In this Customizing activity you define the Semantic Object. You define the forward navigation from tasks in SAP Tax Compliance to a source business system, for example, an external ticket management system.

Enterprise Services

You have set up the required enterprise services.

- **ComplianceTaskProcessingTicketCreateRequest_Sync_Out** (Outbound)
  See Service for Ticket Create Request

- **ComplianceTaskProcessingTicketUpdateNotification_Sync_In** (Inbound)
  See Service for Changed Ticket

- **ComplianceTaskProcessingComplianceTaskUpdateNotification_Sync_Out** (Outbound)
  See Service for Changed Task

For more information, see Enterprise Services in SAP Tax Compliance.

Additional Information

6.3.2.2 Task Lifecycle - Using an External Ticket Management System

The following figures provide an overview about the possible activities in SAP Tax Compliance and in the external ticket management system.

Task is Created and Sent

A task has been created in SAP Tax Compliance and it has been sent to the external ticket management system.

Once the ticket has been created in the external system, the unique ticket ID is sent back to SAP Tax Compliance.

When a task is canceled the external ticket ID is deleted in SAP Tax Compliance.

From Processing of Tickets to Confirming Tasks

The following figure shows the processing of tickets in the external ticket management system. For example, requesting clarification, rejecting, and completing the ticket.

Once the ticket has been completed, the corresponding task can be completed and confirmed in SAP Tax Compliance.
Changing the Processor of the Ticket

Once the processor of the task is assigned, changed, or removed, SAP Tax Compliance is informed.

---

External Ticket Management System | SAP Tax Compliance
---|---
Claim Ticket | Update Task
Change, Remove, or Assign Processor of Ticket | Changed By
Complete Ticket | Update Status
| Task Confirmed
Start
| Process Ticket
| Send Clarification Request
| Send Status
| Clarification Requested
Reject Ticket | Task Rejected
| Task Completed
Complete Ticket | Send Status
End
Task Lifecycle: Task List (My Compliance Check Results App)

Activities and Their Effect on the Status

<table>
<thead>
<tr>
<th>Task Status</th>
<th>Activity in the Task List</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>Send task</td>
<td>The task is sent for further processing and the status of the task is set from New to Sent.</td>
</tr>
<tr>
<td>New</td>
<td>Delete task</td>
<td>The task will be deleted.</td>
</tr>
<tr>
<td>Sent</td>
<td>Cancel task</td>
<td>The status of the task is set from Sent to New.</td>
</tr>
<tr>
<td>Sent</td>
<td>Confirm task</td>
<td>The status of the task is set from Sent to Confirmed.</td>
</tr>
<tr>
<td>In Process</td>
<td>Cancel task</td>
<td>The status of the task is set from In Process to New.</td>
</tr>
<tr>
<td>Completed</td>
<td>Reopen task</td>
<td>The status of the task is set from Completed to Sent.</td>
</tr>
<tr>
<td>New, Sent, Rejected, Completed</td>
<td>Confirm task</td>
<td>The status of the task is set to Confirmed.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Reopen task</td>
<td>The status of the task is set to Sent.</td>
</tr>
<tr>
<td>Rejected</td>
<td>Confirm task</td>
<td>The status of the task is set to Confirmed.</td>
</tr>
<tr>
<td>Clarification Requested</td>
<td>Reply</td>
<td>The status of the task is set from Clarification Requested to In Process.</td>
</tr>
</tbody>
</table>

Once all tasks of a task list are confirmed, the task list and the related hits are set to Completed.

6.4 Automatic Hit Processing

Automatic hit processing, including machine learning, accelerates hit processing by increasing the level of automation.

Business Benefits

When you use automatic hit processing, you can:

- Increase the productivity by using automation features
- Focus on hits that are real compliance issues
- Fine-tune the level of automation according to your requirements, for example, from no automation to simple automation to intelligent automation using machine learning

**Features**

With automatic hit processing, you have the following options:

- **Automatic Hit Processing for All Hits [page 96]**
  Automatic hit processing for all hits assumes that each hit is considered to be a confirmed compliance issue. The processing of these hits can be automated, for example, by creating task lists and tasks automatically.
  You can choose which of the following functions are automatically done by the system: creating task lists, sending tasks, and confirming tasks that have been completed. These functions are all optional and can be used separately.

- **Automatic Hit Processing Using Predictive Models [page 99]**
  Automatic hit processing in combination with predictive models is based on hit classification. You can fine-tune the classification to determine follow-up activities for hits. Depending on the classification, the hits are processed differently.
  Furthermore, the key influencers and their contribution to the predictive model are displayed in a chart.
  In addition, the following steps can also be automated: sending tasks and confirming tasks that have been completed.

- **Displaying Hit Probability and Classification [page 107]**
  The probability for a hit being a compliance issue can be displayed as an additional indicator for verifying your conclusion.
  This option can be used in combination with automatic hit processing.

These features can be switched on or off in the compliance check and they can be deactivated in the compliance scenario.

For more information about hit classification, see **Fine-Tune Hit Classification [page 105]**.

**Related Information**

- Automatic Hit Processing for All Hits [page 96]
- Automatic Hit Processing Using Predictive Models [page 99]
- Displaying Hit Probability and Classification [page 107]
6.4.1 Automatic Hit Processing for All Hits

You can speed up hit processing by using automatic hit processing, which includes, for example, creating task lists automatically.

You can choose which of the following functions the system does automatically:

- Create Task List
- Send Task
- Confirm Completed Task

The automation is optional and each feature can be separately switched on or off in the compliance check. These features can also be ignored in the compliance scenario.

Create Task List

A task list and the corresponding tasks with status **New** will automatically be created for each hit.

The status of the hits is set **In Process** and the conclusion is set to **Confirmed**.

→ Tip

You can display new and sent tasks using the **All Open Tasks** card in the **Compliance Results Overview** app.

Send Task

The newly created task will be automatically sent for further processing. The status of the task is set to **Sent**.

i Note

Tasks that have been created manually will not be sent automatically.

Tasks can either be processed using the **My Compliance Tasks** app, or using an external ticket management system.

Confirm Completed Task

Tasks that have been completed by the processor in the **My Compliance Tasks** app (or in the external ticket management system), will be automatically set to **Confirmed** (in the task list in the **My Compliance Check Results** app).

Example

In this example, in your company each of the purchase invoices with the highest VAT amount have to be checked in order to eliminate financial risks.

In this case, you would use the following settings:

- **Create Task List** On
- **Send Task** On
- **Confirm Completed Task** Off

As a result, for each purchase invoice a task list and tasks are created and the tasks are sent automatically for further processing.

To finally check these invoices and minimize the financial risk, these invoices are confirmed by the VAT manager.
Process in Detail

The process of automatic hit processing is displayed in the following figure.

In this example, automatic hit processing includes creating the task list, sending tasks, and confirming completed tasks automatically. These settings are also enabled in the compliance scenario.

### Activities

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>App Used</th>
</tr>
</thead>
</table>
| 1    | Set up automatic hit processing in the compliance check.  
      See Setting Up Automatic Hit Processing for All Hits [page 98] | Manage Compliance Checks |
| 2    | Enable automatic hit processing in the compliance scenario. | Manage Compliance Scenarios |
| 3    | Run compliance scenario. | Run Compliance Scenario |

**i Note**

Check the application log for messages while running a compliance scenario with automatic hit processing, for example, for issues when sending tasks.

See Displaying the Compliance Scenario Run Log [page 44]
<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>App Used</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Task list and tasks will be created automatically. Tasks will be automatically sent for further processing.</td>
<td><em>My Compliance Check Results</em></td>
</tr>
<tr>
<td></td>
<td><strong>Note</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>When a processing step has been done automatically, you can find this information in the Task Timeline.</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Tip</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>You can display new and sent tasks using the All Open Tasks card in the Compliance Results Overview app.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Claim and complete task. If set up, you can also use an external ticket management system.</td>
<td><em>My Compliance Tasks</em></td>
</tr>
<tr>
<td>6</td>
<td>Tasks that have been completed, will automatically be confirmed in the task list. Once all tasks have been confirmed, the status of the task list is Completed. Once the task list is completed, all assigned hits will be completed.</td>
<td><em>My Compliance Check Results</em></td>
</tr>
</tbody>
</table>

### Related Information

- Setting Up Automatic Hit Processing for All Hits [page 98]
- Managing Compliance Checks [page 22]
- Using Compliance Scenarios [page 33]
- Run Compliance Scenarios [page 39]
- Processing My Compliance Check Results [page 49]
- Using My Compliance Tasks [page 82]
- Using an External Ticket Management System [page 89]

### 6.4.1.1 Setting Up Automatic Hit Processing for All Hits

In the *Manage Compliance Checks* app you can enable the following features:

- Enable Create Task List. The system automatically creates a task list and tasks for each hit.

**Note**

Task lists that have been created automatically do not have a task list owner. As a result, no task list owner can be informed via e-mail, when a task processor rejects or completes a task, or requests clarification in the *My Compliance Tasks* app.
You also must assign a default task list template in the Assignment of Task List Templates section that is used by the system for creating the task list.

- Enable Send Task.
  The system sends the tasks that have been created for further processing.

  **Note**
  Tasks that have been created manually will not be sent automatically.

- Enable Confirm Completed Task.
  The system automatically confirms tasks that have been completed by the processor.

All features are optional and can be separately switched on or off in the compliance check. These settings can be ignored in the compliance scenario.

**Related Information**

Automatic Hit Processing for All Hits [page 96]

### 6.4.2 Automatic Hit Processing Using Predictive Models

Automatic hit processing in combination with predictive models is based on hit classification. Depending on the classification the hits are processed differently.

**Process in Detail**

The process of automatic hit processing using predictive models is displayed in the following figure.

In this example, automatic hit processing, a predictive model, and hit processing by classification are used. Creating the task list and sending tasks are enabled in the check. Confirming completed tasks is not enabled in the check. These settings will be used by the scenario.
### Activities

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>App Used</th>
</tr>
</thead>
</table>
| 1    | Set up automatic hit processing using the predictive model, which includes creating and training a model:  
- Setting Up Automatic Hit Processing Using Predictive Models [page 102]  
- Train the Predictive Model [page 103]  
- Validate and Activate Model Version [page 104]  
- Fine-Tune Hit Classification [page 105] | Manage Compliance Checks |
| 2    | Enable hit processing and displaying the classification in the compliance scenario. | Manage Compliance Scenarios |
| 3    | Run compliance scenario. | Run Compliance Scenario |

**Note**

Check the application log for messages while running a compliance scenario with automatic hit processing, for example, for issues when sending tasks. See Displaying the Compliance Scenario Run Log [page 44]
<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>App Used</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>• Process hits that have been classified for <em>Manual processing</em> and create a task list manually.</td>
<td><em>My Compliance Check Results</em></td>
</tr>
<tr>
<td></td>
<td>• For hits classified for remediation processing a task list and tasks will be created automatically.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• If set up in the compliance check and scenario, tasks will be automatically send for further processing. Otherwise tasks have to be send manually.</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>i Note</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>When a processing step has been done automatically, you can find this information in the <em>Task Timeline</em>.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>After claiming and processing tasks, set the status to <em>Completed</em>.</td>
<td><em>My Compliance Tasks</em></td>
</tr>
<tr>
<td></td>
<td>If set up in the Customizing, tasks can alternatively be processed using an external ticket management system.</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>If set up in the compliance check and scenario, tasks that have been completed by a processor, will automatically be confirmed in the task list.</td>
<td><em>My Compliance Check Results</em></td>
</tr>
<tr>
<td></td>
<td>Otherwise confirm tasks that have been completed.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Once all tasks have been confirmed, the status of the task list is <em>Completed</em>.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Once the task list is completed, all assigned hits will be completed.</td>
<td></td>
</tr>
</tbody>
</table>

**Related Information**

- Setting Up Automatic Hit Processing for All Hits [page 98]
- Managing Compliance Checks [page 22]
- Using Compliance Scenarios [page 33]
- Run Compliance Scenarios [page 39]
- Monitoring Compliance Scenario Runs [page 44]
- Processing My Compliance Check Results [page 49]
- Using My Compliance Tasks [page 82]
- Using an External Ticket Management System [page 89]
6.4.2.1 Setting Up Automatic Hit Processing Using Predictive Models

The prerequisites for using automatic hit processing in combination with predictive models are as follows:

1. The SAP HANA Automated Predictive Library (APL) and the SAP BusinessObjects Predictive Analytics integrator must be installed in your SAP HANA database system. Note that separate licensing requirements apply to these predictive analytics components.
   For more information, see the Installation Guide and Upgrade Guide.
2. Ensure that your historical data is meaningful and ensure enough hits of the check exist, which have been classified.
   When training the model, hits that have been automatically classified as Set to not confirmed and close will not be considered.

   Note
   The system cannot create a model if less than 50 classified hits exist or the data is not meaningful enough (for example, the fields of the hit do not allow a proper classification). To improve the significance of your data, you can change the training period or enhance the number of relevant attributes in your worklist type.

3. Enable automatic hit processing with predictive models in the compliance check.
   In the Manage Compliance Checks app do the following:
   
   - **Assignment of Task List Templates**
     Assign at least a default task list template that is used by the system for creating the task list. You can also assign additional task list templates.
   
   - **Automatic Hit Processing and Hit Classification Processing**
     Enable Create Task List in automatic hit processing. The system automatically creates a task list for hits that are classified for Start remediation processing.
     Enable Hit Processing by Classification. To display the classification in the hit list, enable Display Classification (optional).

   Example
   For example, in your company you have invoices for domestic trades without VAT. Some of them are nevertheless correct and have been classified as Set to not confirmed and close according to your hit classification.
   In this case, you would at least use the following settings:
   
   - Create Task List On
   - Send Task Off
   - Confirm Completed Task Off
   - Display Classification Off
   - Hit Processing by Classification On

   Note
   Send Task, Confirm Completed Tasks, and Display Classification are optional.

   - Maintain Predictive Model
     Train, validate, and activate the predictive model so that the probability can be determined.
See Train the Predictive Model [page 103] and Validate and Activate Model Version [page 104]

- Calibrate Classification
  If needed, fine-tune the classification. See Fine-Tune Hit Classification [page 105]

4. Enable automatic hit processing with predictive models in the compliance scenario.
   In the Manage Compliance Scenario app, define if these settings should be used for the check when running the scenario.

Result

The hits of a compliance scenario run will be classified and the system will set the conclusion and the status for these hits.

For example, for hits classified as Start remediation processing the system will create a task list and tasks.

The probability and the classification will be displayed in the preview of the check and in the hit list in the My Compliance Check Results app.

Related Information

Train the Predictive Model [page 103]
Validate and Activate Model Version [page 104]
Fine-Tune Hit Classification [page 105]
Managing Task List Templates and Task Templates [page 108]

6.4.2.2 Train the Predictive Model

The predictive model makes use of historical data to predict if a hit is a compliance issue. It can be created and trained by business users in the Manage Compliance Checks app, once sufficient data is available.

When you create a predictive model, the system applies a machine learning algorithm, which is called HANA auto-classification. The algorithm is in the SAP HANA Automated Predictive Library (APL).

Training of the Model

1. Choose Train in the Maintain Predictive Model section in the Manage Compliance Checks app.
   This determines the probability of a hit, the quality indicators of the model, and creates an inactive version of the model.

2. You can train several model versions based on different training periods.

3. Validate and Activate Model Version [page 104]
Related Information

Setting Up Automatic Hit Processing Using Predictive Models [page 102]

6.4.2.3 Validate and Activate Model Version

Once a model has been trained, the business user has to validate the quality of the model.

1. **Check the KPIs of the model.**
   
   You can display the KPIs in the Manage Compliance Checks app in the Maintain Predictive Model section. The quality of the specific model is measured by two key figures:
   
   - **Prediction confidence** is the robustness indicator of the models generated using the application. It indicates the capacity of the model to predict based on the training data set (historical data).
   - **Predictive power** is the quality indicator of the models generated using the application. It indicates the capacity of the model to predict based on a new data set.

   **Note**
   
   Both measures take values between 0 and 1. Trained models with both values close to 1 can be trusted to a high degree.

2. **Validate the key influencers in the chart.**
   
   You can display the key influencers in the Manage Compliance Checks app in the Key Influencers section. Key influencers are identified by their contribution. The contribution indicates the relative importance of each variable in the model.
   
   - The bars indicate the contribution of each key influencer.
   - The curve of the graph shows the cumulative contribution.

3. **Activate model version.**
   
   Select an appropriate inactive version and choose Activate to activate the model version in the Maintain Predictive Model section. This version can now be used for the data preview of the check. Choose Calibrate Classification, to open the data preview for the active version.

4. **Compare with existing model version.**
   
   You can compare existing versions by using the KPIs of the model and by validating the key influencers.

More Information

<table>
<thead>
<tr>
<th>Topic</th>
<th>Short Description</th>
<th>Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automated Analytics</td>
<td>Automated Analytics provides a data mining solution for modeling your data as easily and rapidly as possible, while maintaining relevant and readily interpretable results.</td>
<td><a href="https://help.sap.com/viewer/c36bc49d7cce4d35a2099aecd0a81e2c/latest/en-US">https://help.sap.com/viewer/c36bc49d7cce4d35a2099aecd0a81e2c/latest/en-US</a></td>
</tr>
</tbody>
</table>
Automated (Auto) Classification

The HANA Automated Classification algorithm is used for binary/categorical classification. This algorithm detects the model type and algorithm used for best fit based on the target variable you select. It also decides whether the input should be continuous or categorical and determines the most appropriate binning for variables. As a result, you can reduce the data preparation and model testing activities that you perform when building a predictive model. In addition, it also creates train and validate data sets for model evaluation.


Contributions by Variables

The variable contribution indicates the relative importance of each variable in the built model:

- The X-axis displays the variables.
- The Y-axis represents the contribution of the variables.


SAP Automated Predictive Library

SAP Predictive Analytics is a statistical analysis and data mining solution that enables you to build predictive models to discover hidden insights and relationships in your data, from which you can make predictions about future events.


Related Information

Fine-Tune Hit Classification [page 105]

Train the Predictive Model [page 103]

6.4.2.4 Fine-Tune Hit Classification

The classification of a hit determines the follow-up activities and is based on the probability of a hit being a compliance issue.

The probability is determined by the predictive model, and is the basis for fine-tuning the hit classification.
i Note
The probability is a numeric value between 0 and 100 and indicates whether the identified issue (hit) is a compliance violation. The higher the number, the higher the probability that the hit is a compliance violation that must be resolved.

Based on the probability, hits can be classified as follows:

- Set to not confirmed and close
  The conclusion is set to Not Confirmed and the hit is closed (Completed).

  → Tip
  Since these hits have been closed without manual verification, you can easily monitor them by using the Checks with Hits Classified Not Confirmed card in the Compliance Results Overview app.

- For manual processing
  The conclusion remains Pending and the status of the hit remains New. These hits have to be evaluated manually.

- Start remediation processing
  The conclusion is Confirmed and the status of the hit is In Process. For these hits a task list and tasks are created. If set up, the following steps can also be automated: sending tasks and confirming tasks that have been completed.

i Note
By default, all hits are classified For manual processing, unless you fine-tune the classification. For example, the lower threshold is 25 and upper threshold is 75. A hit with a probability of 80 will be classified Start remediation processing.

Fine-Tune the Classification

Once the predictive model has been trained and activated, you can fine-tune the classification.

In the Manage Compliance Checks app, do the following:

1. Choose Calibrate Classification in the Hit Classification Processing section.
2. On the screen that is displayed, fine-tune the classification using the slider in the Calibrate Classification for Automatic Hit Processing section.
   The system immediately displays the percentage of hits in each class as well as the number of hits.
3. Choose Apply Changes.
How to Calibrate the Classification

Related Information

Automatic Hit Processing [page 94]
Automatic Hit Processing Using Predictive Models [page 99]
Displaying Hit Probability and Classification [page 107]
Using Compliance Results Overview [page 48]

6.4.3 Displaying Hit Probability and Classification

The probability provided by the predictive model can be used as additional indicator if a hit is a compliance issue, thus supporting you in verifying your conclusion.

You can display the probability and the classification in the hit list (check results).

The probability is a numeric value between 0 and 100 to quantify the probability that a hit is a compliance violation. The higher the number, the higher the probability that the hit is a compliance violation that must be resolved.

Prerequisites

In the Manage Compliance Checks app do the following:

- Maintain Predictive Model
  You must create and activate a predictive model.
• **Hit Classification Processing**
  Enable Display Classification to display the classification in the hit list. This feature must not be ignored in the compliance scenario.

**Fine-Tuning the Classification**

Based on the probability you define an upper and lower threshold in order to classify hits as follows:

- Set to not confirmed and close for all hits with a probability less than the lower threshold
- For manual processing
- Start remediation processing for all hits with a probability greater than the upper threshold

**Note**

The default for the lower threshold is 0 and for the upper threshold is 100. All hits are classified for manual processing, unless you fine-tune the classification.

For example, a lower threshold of 25 and upper threshold is 75. A hit with a probability of 80 will be classified Start remediation processing.

For more information, see Fine-Tune Hit Classification [page 105]

**Result**

The probability and the classification are displayed in the preview of the check, in the simulation view of the scenario, and in the hit list (check results).

**Related Information**

Train the Predictive Model [page 103]
Validate and Activate Model Version [page 104]

### 6.5 Managing Task List Templates and Task Templates

With the Manage Task List Templates app, you can create, change, and delete templates for tasks and task lists.

**Key Features**

- Create task list templates and task templates
  Choose Create Task List Template or Task Template.
When creating a template, you must enter the original language for this template. This language will be used when the name and description of the template are not available in your logon language, and it is the source language for translating templates.

- **Assign task templates to task lists**
  Select a task list and choose *Assign Task Template*. On the next screen, you can assign task templates. You can also enter the *Due Period* and the *Priority*, which applies to all task templates that will be assigned.

- **Change the priority and the due period for tasks**

- **Display the compliance checks in which a task list template could be used**
  The system also displays the tasks that will be created. (The task templates have to have the same worklist type as check.) Choose *Show Applicable Checks*.

- **Display the where-used list**
  You can display the where-used list for all task list templates and for all checks. You can filter by compliance check, task list template, and the object type (worklist type). For a combination of a task list template and a check, the system also displays the tasks that will be created. (The task templates have to have the same worklist type as check.) Choose *Where-Used List*.

- **Remove task templates from lists**

- **Delete task templates and task list templates**
  A task template can only be deleted if it is not used in task list template. A task list template can only be deleted if no task templates are assigned.

- **Export tasks**
  You can export the tasks that are assigned to a task list into a spreadsheet application (.xlsx format) Display the tasks and choose *Export to Spreadsheet*.

**General Remarks**

Unassigned task templates have to be assigned to a "dummy" task list in order to delete them.

They can be found using the *Assign Task Templates* function. In the list of task templates, the status in the *Where-Used* column is *Not Assigned*.

**Related Apps**

*Updating Template Translations [page 110]*

**Related Information**

*Tasks and Task List [page 67]*
*Saving Your List Settings and Filters [page 18]*
6.5.1 Updating Template Translations

With the transactional app *Update Template Translations*, you can download and upload the file containing the translations of the names and descriptions used in task templates and task list templates. Once you have downloaded the file, you can modify it, and then you can upload the file again. During the upload, the changes to the file are verified.

**Key Features**

- Download the file containing the translations of the names and descriptions used in task templates and task list templates.
- Upload the new file containing the translations, including all your modifications.
- Verify your file and immediately see any errors in the *Message Log* table directly on the screen.
- Display the application error log in the back end.

**What is the recommended process?**

1. When you update your template translations, you should first download the file containing them.

   ![Note]
   
   The templates are created in the system using the *Manage Task List Templates* app. The templates are then extracted from the system in .xlsx format when you choose *Download File* from the *Update Template Translations* app.

2. Once you have downloaded the file, you can modify it locally. That is, you can add and remove languages, change the name, change the description, and change the indicator for the original language. The file you download has the exact format that the upload requires, therefore you should use it as your guideline.

3. After you modify your file, you can upload it using the *Browse* button. This is the beginning of the verification process. That is, the system will check the file you upload for errors:

   - If there are errors, the file will not be uploaded and you can see the cause of the error in the *Message Log* table on the screen.
   - If there are no errors, the *Save File* button is active and you can upload the file.

   ![Note]
   
   Every upload overwrites all existing text translations in the system that were uploaded before. There is no form of version management. Any translations that are missing from the translation file you are uploading will be deleted from the system.
6.6  Analytics

6.6.1  Reporting Views

In SAP Tax Compliance, risk managers can use CDS views to analyze the number of hits over time for various checks and scenarios in their different statuses, and relate the number of hits with the underlying VAT amount so you can take the necessary actions.

The following CDS query-type views can be used as templates for creating your own reports:

- **Completed Runs with Open Hits**
  Displays closed runs still having open hits.

- **Number of Hits over Time**
  Displays compliance scenario hits over months.

- **Hits per Scenario Run**
  Displays number of hits that are new, completed, or in process per compliance scenario run.

- **Running Total of Open Hits**
  Displays number of open hits on compliance checks.

- **Scenario Run Conclusion**
  Displays outcome of scenario run according to compliance checks where there is a decision still pending, not confirmed, or omitted.

- **Checks without Hits**
  Displays both compliance scenarios and checks without hits.

- **VAT Amount Over Time**
  Displays aggregated VAT amounts of all hits over time.

More Information

For technical information, see Analytics in SAP Tax Compliance in the Extensibility Guide for SAP Tax Compliance for SAP S/4HANA.
6.7 Access for Auditors

Auditors can display and download the check results for a specific period of time using the My Compliance Check Results app.

They can download the relevant data of a compliance scenario for machine evaluation, including runs, checks, hits, task lists, tasks, as well as information about attached files, notes, and links.

To download the check results, choose the Export Data for Machine Evaluation on the Compliance Scenario Runs screen.

**i Note**

For technical reasons, due to the URL length restrictions, a maximum of 50 scenario runs can be exported at one time.

Prerequisites

The access for auditors can be restricted to the results in a specific period of time.

To do so, define the user groups and the periods using the following transactions in the back-end system:

- **User for Authorization Check (transaction TPC2)**
  Users (auditors) have to be assigned to a group. Otherwise they will see all data, according to their authorizations.

- **Periods for Authorization Check (transaction TPC6)**
  You define for which period of time a user group can display data. Enter **GRC-TC** as application indicator. Do not enter a **Org. Unit**.

**i Note**

The period of time is based on the time selection field that has been defined in the customizing of the worklist type.

For external auditors, the role **SAP_TC_AUDITOR (SAP Tax Compliance: External Auditor)** is available.
Example

In this example, an auditor is only allowed to display data for the company code 0001 (according to their authorizations and roles).

When running the scenario the period for selecting data is June 1\textsuperscript{st} until June 30\textsuperscript{th}.

The auditors access to data has been restricted in transaction TPC6 to the following period: June 1\textsuperscript{st} to June 15\textsuperscript{th}.

As a result, the auditor can only display the results found for June 1\textsuperscript{st} to June 15\textsuperscript{th}. The system checks the time selection field according to the worklist type.
7 Integration Scenarios

SAP offers end-to-end scenarios that integrate SAP Tax Compliance with other SAP applications.

Please note, you might need a separate license.

- **Using SAP Business Integrity Screening Alerts [page 80]**
  SAP Tax Compliance can be integrated with SAP Business Integrity Screening in order to create SAP Business Integrity Screening alerts from compliance check results (hits).
  See [Integration with SAP Business Integrity Screening Alerts](Extensibility Guide) in the Extensibility Guide

- **Integrating the My Compliance Check Results app**
  An external application can call the My Compliance Check Results app to display a selection of compliance check results (hits).
  You enable this scenario in the Customizing activity Define Integration Scenario.
  See [Integration of My Compliance Check Results App](Extensibility Guide) in the Extensibility Guide
8  Data Protection

The following functions support you in handling personal data as well as archiving and deleting data.

- Display Personal Data
- Logging Changes to Personal Data
- **Remove User Names** (transaction ACS_DP_ANONYMIZATION)
  Removes user names for data that is not going to be archived.
- **Garbage Collector** (transaction ACS_DP_GCO)
  Deletes unwanted data.
- **Display Data Protection Logs** (transaction ACS_DP_LOG)
  Displays the application log for data protection activities.
- **Archive Administration** (transaction SARA)
  Archives data based on the Archival Development Kit (ADK).
- **Data Destruction** (transaction ILM_DESTRUCTION)
  SAP Information Lifecycle Management (ILM) can be used to delete the archived data based on retention rules on a defined point in time.
- **Read Access Logging Manager** (transaction SRALMANAGER)
  Read Access Logging is used to monitor and log read access to sensitive data. This data may be categorized as sensitive by law, by external company policy, or by internal company policy.

**Note**
For more information, see the Security Guide.

**Related Information**

Removing User Names [page 115]
Garbage Collector [page 116]
Displaying the Data Protection Logs [page 119]
Data Archiving in SAP Tax Compliance for SAP S/4HANA [page 117]

8.1  Removing User Names

You can use this function to remove the user names from the system once the residence period has been reached.

To remove the user names from business objects, call transaction **Remove User Names** (ACS_DP_ANONYMIZATION) in the back-end system.

You can also run this function in test mode.
Prerequisites

You have defined the residence period for each business object in Customizing activity *Define Residence Period*.

Example

Depending on the structure of the business object, you can use this function to remove the *Created By* user names, *Last Changed By* user names, or *Executed By* user names.

Note

For more information, see the detailed documentation in the back-end system.

8.2 Garbage Collector

You can use this function to delete unwanted data.

To delete objects that are no longer referenced or no longer needed, call transaction *Garbage Collector* (ACS_DP_GCO) in the back-end system

You can also run this function in test mode.

Prerequisites

You have defined the residence period for the simulated alert input data in Customizing activity *Define Residence Period*.

Results

This function deletes the following data:

- Alert input data for mass detection
- Simulated alert input data
  - Mass detection simulation results
  - Results of the calibration
  - Intermediate results of the delta address screening
- Assignments to user groups
- Personal settings
Application Log

You can display the application log for the Garbage Collector using transaction Display Data Protection Logs (ACS_DP_LOG).

Choose the log object ACS_DATAPROTECTION and the subobject DELETION.

Related Information

Displaying the Data Protection Logs [page 119]

8.3 Data Archiving in SAP Tax Compliance for SAP S/4HANA

Data archiving is used to remove mass data from the database that is no longer required in the system but must be kept in a format that can be analyzed.

The following table shows the available archiving objects and their ILM objects:

<table>
<thead>
<tr>
<th>Object</th>
<th>Archiving Object</th>
<th>ILM Object</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance Scenario Run</td>
<td>FRA_CSCEX</td>
<td>FRA_CSCEX</td>
</tr>
</tbody>
</table>

Dependencies

Before archiving, the system checks if the preconditions for archiving data are met. Then, the write program writes the data in an archive file. The delete program deletes the archived data from the database. It is still possible to display this data in the archive file.

The SAP data archiving concept is based on the Archive Development Kit (ADK) using the Archive Administration function (transaction SARA).

For more information, see the Data Archiving documentation on the SAP Help Portal at http://help.sap.com/nw.

For more information, see the SAP Information Lifecycle Management (ILM) documentation on the SAP Help Portal at http://help.sap.com.
8.3.1 Archiving Compliance Scenario Runs with FRA_CSCEX

You can use the archiving object FRA_CSCEX for archiving compliance scenario runs.

Defining Variants for the Archiving Run

When you schedule the archiving run (Preprocessing, Write, Delete), you need to enter an existing variant or create a new one.

The variant contains the processing options for the archiving run:

You have the following options:

- Test mode or production mode
- Detail log:
  - No detail log
  - Without success messages
  - Complete
- Log output:
  - List
  - Application log
  - List and application log

Preprocessing Archiving Object FRA_CSCEX

In the preprocessing step, the system checks that:

- The overall processing status is Completed.
- The dependent worklist data of the compliance scenario run is no longer relevant.
- The last changed date has reached the residence period.
  - For the business object Compliance Scenario Run, the system checks that the last change date of the ROOT and EXECUTED_CHECKS nodes exceed the residence period.
  - For the business object Worklist, the system checks that the last change date of the ROOT and ITEM nodes exceed the residence period.

ILM-Based Information for the Archiving Object

You can use this archiving object with the ILM object FRA_CSCEX.

The following fields for FRA_CSCEX are defined:

- Available Time Bases
  - Created On (CREATION_DATE)
8.4 Displaying the Data Protection Logs

You can use this function to display the data protection logs.

To display the application log, call transaction `Display Data Protection Logs (ACS_DP_LOG)` in the back-end system.

Selection Parameters

You can filter the logs, for example, by the following criteria:

- **Object and subobject**
  The object `ACS_DPPROTECTION (Log for Data Protection)` is already set as the default.
  The subobjects could be the following:
  - `ANONYMOUS` for user names that have been removed from system administration data
  - `ARCHIVING` for archiving preparation

  **i Note**
  To display the log for data archiving, choose the **object** `ARCHIVING`.

- **External ID**
  This ID was assigned by the application program. (It is a combination of the report name, time stamp, and user name.)

- **Program**
  Enter the name of the program that caused the logged event: `ACS_DP_GARBAGE_COLLECTOR (Garbage Collector)`, `ACS_BO_ANONYMOUS (Remove User Names)`, `BPCM_BO_ORG_END_BUS_REL (End of Business Relation for Organization)`, `BPCM_BO_PERSON_END_BUS_REL (End of Business Relation: Person)`

- **Time restriction, user, or log class**
Results

Examples for log messages that have been created for the subobject DELETION are:

- *Processing simulation results*
  <120> records deleted
- *Processing invalid user assignments*
  <10> user assignments deleted from groups
Important Disclaimers and Legal Information

Hyperlinks

Some links are classified by an icon and/or a mouseover text. These links provide additional information.

About the icons:

- **Links with the icon 🌐**: You are entering a Web site that is not hosted by SAP. By using such links, you agree (unless expressly stated otherwise in your agreements with SAP) to this:
  - The content of the linked-to site is not SAP documentation. You may not infer any product claims against SAP based on this information.
  - SAP does not agree or disagree with the content on the linked-to site, nor does SAP warrant the availability and correctness. SAP shall not be liable for any damages caused by the use of such content unless damages have been caused by SAP’s gross negligence or willful misconduct.

- **Links with the icon 🚧**: You are leaving the documentation for that particular SAP product or service and are entering a SAP-hosted Web site. By using such links, you agree that (unless expressly stated otherwise in your agreements with SAP) you may not infer any product claims against SAP based on this information.

Videos Hosted on External Platforms

Some videos may point to third-party video hosting platforms. SAP cannot guarantee the future availability of videos stored on these platforms. Furthermore, any advertisements or other content hosted on these platforms (for example, suggested videos or by navigating to other videos hosted on the same site), are not within the control or responsibility of SAP.

Beta and Other Experimental Features

Experimental features are not part of the officially delivered scope that SAP guarantees for future releases. This means that experimental features may be changed by SAP at any time for any reason without notice. Experimental features are not for productive use. You may not demonstrate, test, examine, evaluate or otherwise use the experimental features in a live operating environment or with data that has not been sufficiently backed up.

The purpose of experimental features is to get feedback early on, allowing customers and partners to influence the future product accordingly. By providing your feedback (e.g., in the SAP Community), you accept that intellectual property rights of the contributions or derivative works shall remain the exclusive property of SAP.

Example Code

Any software coding and/or code snippets are examples. They are not for productive use. The example code is only intended to better explain and visualize the syntax and phrasing rules. SAP does not warrant the correctness and completeness of the example code. SAP shall not be liable for errors or damages caused by the use of example code unless damages have been caused by SAP’s gross negligence or willful misconduct.

Gender-Related Language

We try not to use gender-specific word forms and formulations. As appropriate for context and readability, SAP may use masculine word forms to refer to all genders.