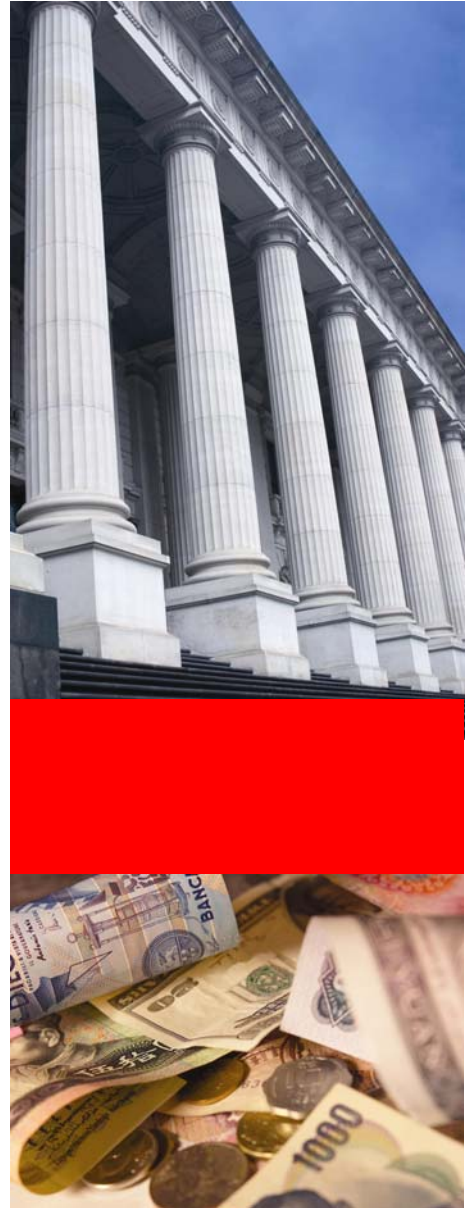


# Oracle Enterprise Taxation Management Features & Functions Overview

*Prepared by Oracle Product Management  
March 2008*



**Tax & Utilities Global Business Unit**

**ORACLE®**

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## I. OVERVIEW: THE ORACLE® TAX AGENCY SOLUTION

The Oracle Enterprise Taxation Management solution offers a complete set of features and functions to meet the needs of government agencies<sup>1</sup> responsible for the administration of tax laws and policies. These capabilities are contained within configurable software modules, and are fully customizable and upgradeable. The modules are configured to achieve tax agency objectives such as maximizing tax compliance, improving taxpayer service, identifying revenue at risk, improving audit and collection capabilities, and providing increased flexibility to respond to changes in tax law.

The Oracle Enterprise Taxation Management solution provides these key advantages:

- A true Commercial Off-The-Shelf (COTS) package – The solution is fully upgradeable and maintainable. Tax agencies are able to implement updates while preserving their site-specific configurations.
- A single view of the taxpayer – Oracle Enterprise Taxation Management is built on top of an integrated view of taxpayer information. This integrated view of taxpayer information provides a powerful taxpayer service and compliance framework to address many tax agency business requirements.
- Robust accounting capabilities – Allows tax agencies to meet most of their financial reporting requirements out-of-the-box, for taxpayer and for revenue / custodial accounting. Oracle’s solution supports GAAP compliance through double-entry accounting and robust reporting capabilities.
- An open, Service-Oriented Architecture (SOA) – Out of the box web services capabilities provide a true SOA implementation for standards-based integration with existing agency systems and with partner systems and processes. SOA-based integrations with other Oracle solutions, including Siebel, PeopleSoft and Oracle e-Business Suite, are also streamlined and optimized.
- An enterprise Java-based solution, with standards-based features for integrated taxpayer web self-service application functionality.

The Oracle Enterprise Taxation Management solution is configurable, easy to use, easy to deploy, easy to integrate, and easy to maintain. The software can be configured and enhanced without sacrificing upgradeability.

The power of the Oracle solution is its adaptability and responsiveness to ever changing tax administration conditions. Site-specific implementations use Oracle’s easy to use configuration tools to adapt the solution to their own requirements. The need for sophisticated programming tools and resources is minimized. This approach provides tax agencies with an unprecedented

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<sup>1</sup> For the purposes of this document, the terms “government tax agency”, “government tax authority” and “government tax department” should be considered equivalent.

ability to build and adapt tax systems as business needs or tax laws dictate while reducing constraints related to IT budgets and resources.

The Oracle Enterprise Taxation Management solution, along with the companion Oracle Enterprise Taxation Management Business Intelligence solution, provides a robust software offering for addressing business requirements across the tax agency. Flexible and efficient rules-based configuration provides the basis for process improvement across many agency functions including collections, case management, workload management and taxpayer service.

The Oracle Enterprise Taxation Management solution offers the first true Commercial-Off-The-Shelf enterprise level tax administration software offering that is configurable, fully upgradeable, extensible and flexible, allowing tax agencies to benefit from their investment for many years to come.

## Overview of the Oracle Enterprise Taxation Management Modules

Software licensing for the Oracle Enterprise Taxation Management solution is simple. The product is sold as a single system to satisfy integrated tax administration requirements. The modules in the system are deployed into a single software-operating environment. The architectural flexibility of the Oracle solution allows agencies to activate only those modules that they require. An Oracle Enterprise Taxation Management Enterprise Edition license enables a tax agency to deploy an unlimited number of tax types.

The Oracle Enterprise Taxation Management application modules address requirements across tax agency functional areas, including:

### **Taxpayer Registration and Management**

The Oracle Enterprise Taxation Management solution provides a set of functions that create new taxpayer registration information automatically. This module also allows end users to add new taxpayers quickly and easily and to manage taxpayers in the system. Taxpayer information screens provide end users with a comprehensive view of all key taxpayer demographic and financial information.

### **Returns Processing**

The Oracle Enterprise Taxation Management solution allows agencies to define tax forms, including the definition of validation and processing business rules associated with the forms. The form definition feature allows business users maximum control over the processing rules, exception handling, and tax implications of each form that is processed regardless of how the form was submitted.

## Remittance Processing

The remittance processing module provides tax agencies with an unprecedented level of flexibility in receiving, tracking, applying and managing taxpayer payments.

## Taxpayer Accounting

The Oracle Enterprise Taxation Management solution taxpayer accounting module is the foundation of the integrated taxpayer account system. This module includes the configuration of penalty, interest, fees and other tax related assessments. The module is capable of performing complex tax agency accounting calculations.

## Revenue Accounting

Built using Generally Accepted Accounting Principals (GAAP) and supporting double entry accounting, the Oracle Enterprise Taxation Management solution provides a user configurable chart of accounts, reconciliation capabilities, fund accounting, and support for both accrual based and modified-accrual (“cash”) accounting basis.

## Collections and Compliance Enforcement

The Oracle Enterprise Taxation Management solution overdue processing module includes configuration capabilities to support collection processes and activity treatment streams. Different treatment streams are configured to apply to various compliance processes, such as under-reporters, stop filers, non-filers, under-paid assessments and any associated delinquencies.

The system consolidates taxpayer account positions across any number of tax type obligations, simplifying the collections and taxpayer support process areas. The system regularly monitors how much taxpayers owe to check that they have not violated debt tolerances. When a violation is detected, the system has triggering mechanisms to guide users in resolving delinquent debt.

## Taxpayer Audits

The Oracle Enterprise Taxation Management solution audit capabilities are used to validate that taxpayers report their income accurately and are in full compliance with the law. Tax filing reporting issues can be detected by the system in order to produce work reports for compliance officers. Audit treatment streams can then be created, tracked and reported upon to validate that the selection, status and case management audit results are consistent with agency policies and objectives.

## II. ORACLE® ENTERPRISE TAXATION MANAGEMENT - BUSINESS FUNCTIONALITY

The Oracle Enterprise Taxation Management solution addresses business needs and requirements across the tax agency. Capabilities such as the integrated taxpayer account views, and rules-based tax form and tax process configuration provide immediate productivity gains for tax agency enforcement and taxpayer service personnel.

At the same time, the integrated taxpayer database provides a powerful basis for business analytics and decision support in areas ranging from tax policy to workload management and compliance effectiveness.

Figure 1 provides a typical organization structure for a tax agency. In this section, we will provide an overview of the features and functions of the Oracle Enterprise Taxation Management solution, based on the typical needs of each organizational area in a tax agency. The Oracle Enterprise Taxation Management solution provides a flexible and robust framework for working with taxpayers through the entire tax lifecycle.

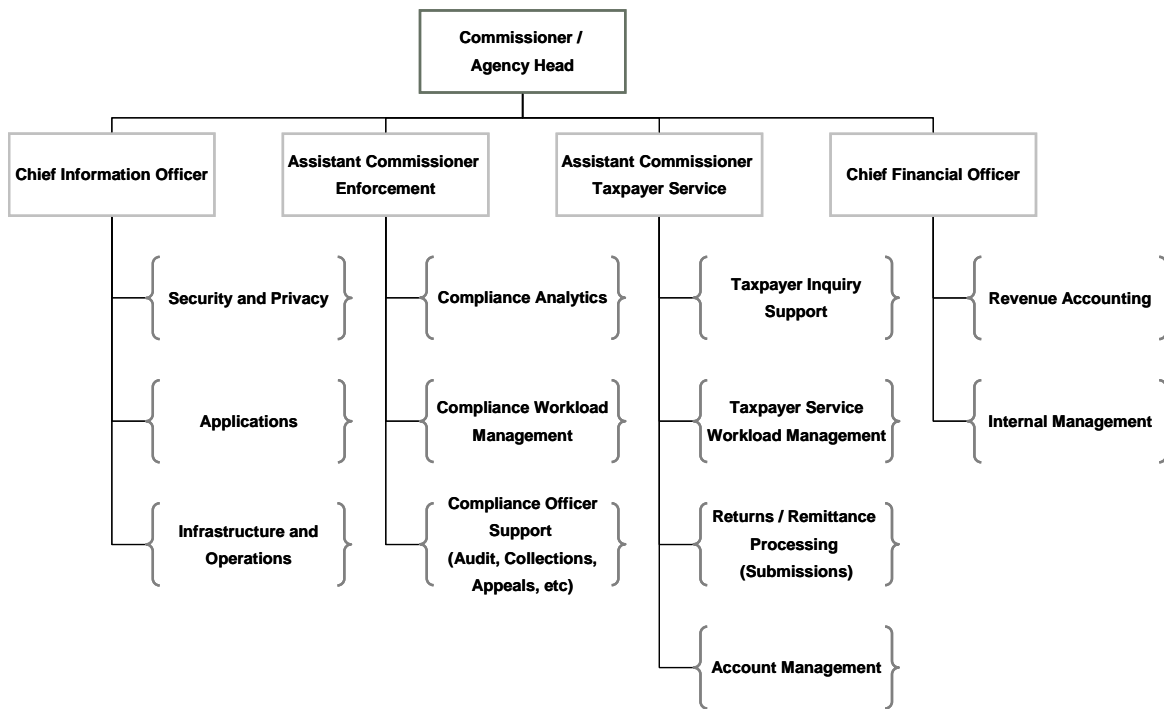


Figure 1 - Typical Tax Agency Organization Structure

## For the Commissioner / Agency Head

For the Commissioner or head of the tax agency, the Oracle Enterprise Taxation Management solution offers the ability to enhance the productivity of key business units and processes across the agency, using an IT solution that is based on industry standards, easy to configure, maintain and upgrade, while offering an affordable total cost of ownership.

The Oracle Enterprise Taxation Management solution is built on an integrated data architecture with a focus on the taxpayer and taxpayer service and financial interactions with the agency. This integrated view across tax obligations and filing requirements provides a powerful framework for understanding taxpayer interactions and behaviors. It also provides a high quality of service to taxpayers in supporting their service inquiries and educational needs.

The ease of configurability of the system means that business users in the different business areas have greater control over the workings of the solution to meet their requirements. And since these configurations are architected into the solution in a pluggable fashion, the upgradeability and maintainability of the solution is supported. This means that as new features and functions are developed in the core product, agencies can benefit through a managed upgrade path without sacrificing their own site-specific configurations.

In short, the configurability of the Oracle Enterprise Taxation Management solution means lower costs, greater flexibility and agility to anticipate and respond to changes in the tax administration environment.

In addition, the Oracle Enterprise Taxation Management solution is built using industry standard Service-Oriented Architecture (SOA) principles and methods. This means that integration with existing tax agency IT assets is simplified and optimized. This SOA foundation also means that standards-based integration with key third party organizations and business processes is enabled.

Finally, through the integration of Oracle Enterprise Taxation Management with the Oracle Enterprise Taxation Management Business Intelligence solution, a complete and integrated view of the performance of the tax agency is provided in a single, easy to use agency dashboard, highlighting the performance of key business processes throughout the agency.

## For the Head of Taxpayer Service

### Returns and Remittance Processing (Submissions)

#### Taxpayer Returns Processing

The Oracle Enterprise Taxation Management solution returns processing engine supports the processing of returns and other tax forms. Validations and business rules are applied to all applicable transactions. Transactions that fail business rule validation are sent to exception management suspense queues for user review and correction.

For returns, both the as-captured and system calculated values are stored for later retrieval. If auto-registration is enabled, registration data is sent to the registration process module to establish the account and register the taxpayer and appropriate obligations. If a return passes the transaction validation, it is set to a final status and any financial transactions derived from the return post to the taxpayer's account.

As suspended returns and tax forms are worked, the Oracle Enterprise Taxation Management solution keeps statistics on the inventory based on suspense reason and the assigned user. This provides management with a powerful tool for tracking the effectiveness of its processing unit while providing data to recommend future process configuration changes to increase efficiency.

#### Configurable Tax Forms Engine

The following list highlights the capabilities of the tax form rule configuration facility in the Oracle Enterprise Management solution.

- Taxpayer existence - Taxpayer existence rules take the demographic data entered on a tax return, and check against the database to find a match for the taxpayer, account, and/or tax role. Some tax form processing rules perform a positive search to find a match, and can only continue processing if a match is found (i.e. a Sales Tax return). Other processing rules perform a negative search to validate that the taxpayer does not already exist (i.e. a new business registration form).
- Pre-population - These rules select data for pre-population on a form during data entry. For example, taxpayer forms on the agency taxpayer portal can be pre-populated with taxpayer demographic data to simplify filing.
- Validation rules - Traditional validation rules on a form are used to determine if a form is formatted correctly and can be processed successfully. For example, these rules validate that all required fields are present and in the correct format.
- Math rules - Math rules are configured and executed to check that the data for the tax form has been submitted and captured correctly.

- Data matching rules - Data matching rules define a dependency on data that resides in other tax forms, schedules, or in the taxpayer's account. For example, if a taxpayer claims they made \$10,000 in estimated payments, the system verifies the existence of at least \$10,000 in estimated payments is in the account.
- Compliance rules - Compliance rules check for anomalous issues on the return, items that indicate an unusual situation or a potential problem. These are not necessarily errors, but they stop the processing of the form and require user review. For example, a rule could review all business income tax returns where total deductions are more than 45% of the adjusted gross income.
- Risk based thresholds and overrides - Risk based rules use pre-calculated values from a business intelligence process as processing thresholds. For example, a business function may pre-calculate the expected minimum gross receipts amounts for every sales tax taxpayer. This value can be stored against each sales tax role as a characteristic, and used as a compliance rule to flag returns under the threshold. An additional characteristic may be used to indicate an override value for the pre-calculated threshold.
- Update rules - Update rules are rules that are executed upon successfully passing all validation, as part of posting the form to a taxpayer. These rules may update demographic information, create filing periods, or post financial transactions.
- Correspondence triggers - It is common for the processing of a tax form to trigger a letter or notice to be sent to a taxpayer. Rules are configured to automatically trigger correspondence upon failing validation. For example, if a return fails validation because it requires a schedule, the tax office can automatically send a notice to the taxpayer requesting the missing schedule. Other correspondence triggers can easily be established. For example, a change of address letter may trigger a confirmation notice.
- Interface triggers - In addition to correspondence, some forms will trigger a message to an external application. For example, if a taxpayer claims a credit on their return for a contribution made to a certain fund, the system can immediately execute a message to an external application to verify its legitimacy. If the contribution is not verified, the Oracle Enterprise Taxation Management solution can either flag the return for manual review or disallow the credit and recalculate tax liability accordingly.

Lastly, tax returns and forms are configurable without extensive use of custom programming so that tax form versions and changes are made quickly and easily in response to changes in policy. Authorized users can define individual line items on the form and the validation rules associated with them. With the forms engine, the application shifts the power of forms development from a few select programmers to administrative users. While you can easily configure rules with scripting, the Oracle Enterprise Taxation Management solution also supports Java development for implementation of complex custom rules.

## Taxpayer Remittance Processing

Remittance processing begins when a payment is received by the tax agency from any of the supported input sources. The Oracle Enterprise Taxation Management solution provides the flexibility to configure business rules for posting payments based on any number of factors such as taxpayer type, tax year, age of liability, and so on.

The Oracle Enterprise Taxation Management solution can manage payments from any number of sources: mailed-in payments, walk-in payments, remittance processors, wire transfers, and so on. Data is loaded into payment staging tables. The system then creates the payment, applies the amount to the account's debt, and creates the applicable accounting entries.

The following list details features that are configured to support remittance processing:

- Allocation of a single collection remittance received to cover multiple taxpayer accounts.
- Prohibit the posting of transactions to prior year estimated tax transactions as defined in the user-defined/entered business rules.
- Allowing for multiple tenders to be used to pay multiple accounts. The system will track the source of the collection remittances.
- Ability to override application rules manually if necessary. This is most common if the amount of liability is in dispute (pending return adjustment, audit appeal, or penalty and interest abatement) or if an external entity has a claim to the payment (as in a bankruptcy).
- The system can support suspense type accounts and allow for the posting of transactions to suspense type accounts.
- Tracking the source of the collection remittance. For example, trustee, taxpayer, third party.
- If the tax due amount is not the same as the amount posted, the user may flag the account and enter the amount of the check.
- If a voucher is not attached to the tender, the user may look-up the taxpayer voucher information, update the system, and associate it to the tendered amount. The system also provides the ability to identify each payment transaction by form of payment – tender type.

In situations where a taxpayer sends in a single payment to cover multiple liabilities, or the taxpayer does not specify which liability to cover with which payment, the system can enact a pre-defined script to walk an end-user through the process of correctly applying the payment. The user only needs to specify the business conditions and the system can automatically enforce the tax agency business rules.

In the case of a payment processing exception, a To-Do work item with the relevant data can be sent to the appropriate work queue for resolution. For example, in the case when the taxpayer and/or the tax-period, tax type cannot be identified, the payment is registered and posted to a suspended payment account and a To-Do may be sent to the payment exception processing work queue for resolution.

The Oracle Enterprise Taxation Management solution provides tax agencies with a virtually unlimited number of possible payment rules that can be constructed based upon agency requirements.

### **Batch Payments**

The Oracle Enterprise Taxation Management solution supports batch processing of payments through staging tables, permitting the creation of payments in the system from any source. Batch payments that fail validation are stored for user correction online.

### **Automatic Payments (Direct Debit)**

The Oracle Enterprise Taxation Management solution supports standard automatic payments, including Electronic Funds Transfers (EFT), direct debits, and credit card payments. Batch processing functions manage all notifications and ongoing direct debit requests. Auto-payments can be created at the time of billing or delayed until the date they are to be extracted.

Payment alternatives (budget plans, installment payment plans, and payment arrangements) can be set up under automatic payment provisions. A maximum amount for withdrawal can be specified, to provide extra security for the taxpayer.

### **Cashiering**

Cashiering permits support for payment center operations. This includes adding and viewing payments online, scanning bill stubs, endorsing checks, printing receipts, and managing and balancing individual cash drawers. The system supports multiple types of payments all linked to a single payment event. Payments can be reconciled based upon type, source, and date. Online transfer of payments between accounts is also supported, to facilitate error correction.

The system automatically produces summary totals for day processing, type processing, and batch processing. Where a discrepancy is identified, the user is able to use the online tools to list all transactions belonging to a particular source, type or batch.

Bank deposits can likewise be managed and balanced, providing a complete cash management solution. The system allows reconciliation to be performed against multiple banks and deposit controls at the same time.

The Oracle Enterprise Taxation Management solution provides pop-up messages alerting users to excess cash in a drawer while permitting them to continue to accept transactions if necessary. This functionality improves taxpayer service during busy periods. Back office cash-drawer monitoring can increase security.

## Payment Can Stop Collections

If a payment is received for a delinquent account and it meets the payoff criteria, ongoing collection activity can be halted. For example, a payment may automatically stop credit and collection activity or add a one-time message to the next bill.

## Payment Cancellation

While payments may not be deleted, they can be cancelled. Online (real-time) payment cancellation is available, which causes reinstatement of relieved arrearage. In addition, automatic fees can be levied with an adjustment for transactions backed by insufficient funds (bounced checks).

## Advanced Payment Search

An advanced payment search function allows users to specify a variety of criteria in order to find a particular payment. The full set of search criteria includes: account (by name or ID), amount (with a range allowed), payer account (by name or ID), taxpayer ID, payment tender amount, tender source and payment date range. Different sets of criteria are made available depending on the type of search being performed. Drill down is available from the search results to the detailed payment or tender record.

## Taxpayer Account Management

### Taxpayer Registration – Establishing New Accounts

The Oracle Enterprise Taxation Management solution establishes and maintains taxpayer registration information to comply with tax laws and filing requirements. Registration information is created and maintained through the capturing and processing of tax agency specific registration information.

Taxpayer accounts may be established through direct user registration, batch interface with external registration systems (such as an internet registration site), or through auto-registration using data on taxpayer filings. Auto-registration is tax agency specific and configurable based upon agency requirements.

The Oracle Enterprise Taxation Management solution is delivered with a number of commonly used demographic information fields (such as taxpayer name, address, phone number), but is also highly extensible to allow additional fields for capture. The system allows for the definition of user-defined fields (the Oracle Enterprise Taxation Management term is “characteristics”) to all core entities, including Taxpayer and Account. This feature allows the data model to expand without database changes, facilitating data conversion efforts and easing the transition from legacy systems.

The Oracle Enterprise Taxation Management solution establishes unique internal taxpayer identification numbers and also records other identifiers and characteristics such as federal

identification numbers, state/provincial identification numbers, geographic premise coordinates, proof of identity, business license numbers, filing locations and other demographic information.

The registration module also establishes tax obligations by tax type and maintains filing frequencies and account details relevant to the type of taxpayer.

If issues are detected with the registration process, a To-Do list can be created and sent to the exception handling processing work queue. This may include the triggering of correspondence to the taxpayer regarding such events as: incomplete registrations, security concerns, registration renewal and registration deactivation.

The Oracle Enterprise Taxation Management solution supports registration deactivation at the taxpayer level, taxpayer account level, authorization level, and taxable location level as required. Deactivated registrations may also be subsequently reactivated. Reactivation is based on effective date, reactivation target level (account level, authorization level, obligation level, and taxable location level), source and reason.

### **Taxpayer Contacts and Communications**

Taxpayer contact notes are maintained as taxpayer contact records. These records are used to keep details of contacts initiated by both the taxpayer and the agency. All taxpayer contacts (telephone conversations, letters, emails, etc.) can be logged and categorized. In addition, The Oracle Enterprise Taxation Management solution can automatically generate correspondence when users create an outbound contact request. The system also provides:

- Use of shorthand code to provide quick entry of taxpayer contact information; add multiple, threaded notes to a contact to facilitate discussions; attach ticklers to provide follow-up reminders in the form of a To-Do work item entry.
- Automatic generation of a taxpayer contact (usually a letter or notice) when a specified user-defined characteristic nears its expiration date. This can be used, for example, to notify taxpayers that some term or condition related to their tax registration status is about to expire.
- The ability to create/maintain free text note records about the taxpayer. These notes may be attached at all levels of the taxpayer record.
- Plug-in scripts and algorithms to facilitate automation of common order tasks such as adding a taxpayer contact or creating a workflow process for taxpayer notices and correspondence.

## Taxpayer Accounting

The Oracle Enterprise Taxation Management solution taxpayer accounting module provides an accurate and up-to-date reflection of each taxpayer's financial position with the tax agency. Financial transactions derived from assessments, payments and other sources are posted to appropriate taxpayer accounts and form the basis for further tax administration processes.

## Taxpayer Payments and Credits

The following list highlights typical functions of the taxpayer accounting module:

- Allow a payment to be applied to multiple tax periods or tax accounts.
- Posting of penalties and interest that are accrued when payments are applied.
- Current balance stored on the account to include the payment and any penalty and interest calculated to the payment date.
- Detailed taxpayer account transactions are created for the payment type, tax type and tax period.
- In the event that a payment cannot be identified (either the tax type or the taxpayer ID or both are indiscernible), payments can be posted to a suspense account and a To-Do (work item) is assigned to someone to identify the proper revenue and/or taxpayer.
- Allocation of a single collection remittance received to cover multiple taxpayer accounts.
- Apply rules to offset credit balances to other taxpayer obligations.

## Transfers and Adjustments

Taxpayer account adjustments may be made manually by an authorized user or systematically created through user-defined rules as a result of other actions taken on the account.

Based on a pre-defined threshold, transfer requests may either be automatically approved or forwarded to an approver for approval or denial.

Adjustments are posted to the taxpayer account. The system will reevaluate the account and the current balance recalculated based on the impact of the transfer or adjustment; for example penalty and interest recalculation. Correspondence can be generated to inform the taxpayer of the action taken and the current status of the account; for example, paid in full or requires a billing notice and/or notice of transfer correspondence. If the adjustment is denied, a notification may be sent to the taxpayer explaining the reason for the denial.

In addition the system:

- Can automatically reinstate written off bills after the posting of new activity such as a bill payment or new assessment.
- Allow for the full transfer of payment transactions between tax periods, tax types, and taxpayers.
- Support partial transfer of payment transactions between tax periods, tax types and taxpayers.
- Provides automated adjustment functionality as identified by the user - Mandatory Payments defined/entered automated adjustment rule(s).
- Includes automated comment functionality in support of system-generated adjustments as identified in the user-defined/entered automated adjustment rule(s).
- Can create another transaction when monetary values are updated - monetary values will not be directly modified in the transaction previously posted.

### Penalty and Interest

The Oracle Enterprise Taxation Management solution supports penalty and interest assessments with its powerful rate calculation engine. The penalty and interest rate function breaks down tax rate structures into step-by-step calculations (or rate components). Each rate component can be set up as a flat charge, minimum or maximum charge, or a quantity-based charge. In addition, each component can have its own general ledger (GL) distribution rules as well as a series of user-defined criteria that define the situations in which the component is not applicable and will not be calculated. Once amounts are calculated, the system itemizes and displays the calculated amounts for each rate component so users can understand how the calculation was performed. In addition, the Oracle Enterprise Taxation Management solution provides users with the flexibility to perform full or partial cancellations of the amounts calculated (reversals and abatements).

Penalties and interest are automatically accrued and posted to the account when payments are applied to a taxpayer account.

### Billing Notification

The Oracle Enterprise Taxation Management solution was designed to be a comprehensive revenue management solution for all tax types. As such, billing notification processes are flexible to meet the needs of potential tax liabilities, including:

- Bill-based taxes - taxes assessed by the state without a tax return being filed. Assessments are calculated by standard rates that are based on asset valuations and locations (e.g. real property tax).

- Self-assessed taxes - assessed by the taxpayer upon filing of a tax return. Taxpayers traditionally have to register with the revenue agency prior to doing business, allowing the agency to pursue non-filer action if the taxpayer does not file returns (examples include business income tax, corporate income tax, fuel gross receipts tax).
- Transaction taxes - tax liability created as a result of a specific transaction event, for example, the sale of a good or asset, property transfer tax and individual use tax.

The Oracle Enterprise Taxation Management solution provides the capability to bill taxpayers for individual filings or periods, groups of periods (an entire tax year), an entire account, or entire groups of accounts. A taxpayer can have many associated tax types that can be presented in a summary bill. Billing can also be run on demand for a single taxpayer or in batch for groups of taxpayers. All of these billing attributes are configurable to meet agency business requirements for each tax type. In addition, the Oracle Enterprise Taxation Management solution has the ability to manage multiple versions of bill formats, allowing tax agencies to review and regenerate historical bills if necessary.

Online bill viewing is supported and can be used to highlight tax liability, any previous handling performed against the taxpayer account, the details of the account, any journal entries/notes and the actual bill lines that appear on the taxpayer's printed bill.

The Oracle Enterprise Taxation Management solution provides a bill print extract, along with a sample bill print template that works with Oracle Business Intelligence (BI) Publisher to facilitate both standard bill printing and online bill presentation. The online image of the bill is created in portable document format (PDF) format that is exactly the same as the taxpayer's printed bill, making taxpayer questions about their bill easier to handle.

Using the Oracle Enterprise Taxation Management solution, presentation of separate billing lines from multiple tax liabilities on a single bill to the taxpayer is possible, providing a single statement of account and reducing taxpayer burden while also reducing mailing costs for the tax agency.

### **Refunds and Offsets**

Refunds are an important function of most tax agencies. The Oracle Enterprise Taxation Management solution handles refunds with a specific adjustment type that can initiate the creation and issuance of a check to a taxpayer. This adjustment type can also be configured to interface with an external Accounts Payable system or bank should the tax agency require. Manual or audit-based refunds can also be created, although this is usually restricted to a very few, high-level administrators.

Should the taxpayer requesting a refund have outstanding debts the system can also automatically offset the overpayment to these liabilities and issue a check for the remaining balance, if one exists. The offset process is also fully configurable. The tax agency can dictate how often the process runs (regular intervals throughout the day, overnight, only prior to refund issuance, etc.) as well as the rules that govern when offsets are permitted. For example, a tax

agency can decide if offsets across all tax types will be permitted, or if offsets are to occur between periods of the same tax type only. In addition, the system is fully capable of performing external offsets should an interface with other government agencies exist.

## **Taxpayer Inquiry Support**

### **Taxpayer Information Portal – Maintaining Taxpayer Profiles and Relationships**

Within the Oracle Enterprise Taxation Management solution, the taxpayer information portal is a configurable screen of taxpayer information designed to show the most relevant information to agency end-users. The portal provides access to the most commonly requested information as well as search zones for complete taxpayer details. Content zones within the taxpayer portal include a timeline of taxpayer events, alerts, financial balances, and other taxpayer details. The portal framework is compatible with industry open standards, allowing implementers to create zones that access additional services.

### **Taxpayer Self-Service**

The Oracle Enterprise Taxation Management solution architecture allows a tax agency to deploy web-services to integrate with external applications, including taxpayer web self-service applications. Included is a starter web self-service (WSS) application, along with documentation on its architecture and use of the XML Application Integration (XAI) toolset, which provides the ability to call existing services. The self-service starter application can serve as a model for integration into a tax agency's taxpayer-facing web site.

### **Taxpayer Service Case Management**

While many taxpayer issues can be resolved through web self-service or through a short taxpayer service phone call, there are other situations that call for cases of a longer duration. In the Oracle Enterprise Taxation Management solution, case management provides the features needed for tracking and managing these issues, capturing data as the case is worked to track service levels and create resolution statistics.

Cases are established on the basis of taxpayer inquiries, problems or issues that require follow-up to resolve. The system solution provides support for the following:

- One or more tasks that need to be performed.
- Multiple possible outcomes.
- Capture of information related to the case.
- Links to associated documents and objects.
- Checkpoints to validate regular progress.
- Escalation and service level targets.

Case management is a general-purpose tool that can provide value and become a productivity enhancer for the enterprise.

Just a few of the possible uses of case management include:

- High tax bill notification inquiries that require research.
- Taxpayer appeals or complaints.
- Tracking liens and bankruptcies.
- Tracking of taxpayer exempt status permit processing.

### **Quick Creation of Cases**

Users can easily create a new case that is linked to the current taxpayer. Scripts are used to speed the entry of additional data onto the case, particularly for common scenarios.

### **Tracking Cases with To-Do Entries**

By utilizing standard To-Do work item functionality with cases, users responsible for open cases can manage their workload. A tracking entry can be assigned to the responsible user for the life of the case. In addition, actionable To-Do's can be created at specific points in the case lifecycle, when other employees are responsible for completing a task that contributes to the eventual resolution of the case.

### **User-defined Case Types**

Case types can be created for each typical case pattern and can reflect virtually any business process flow using the following techniques:

- Flexible state transition rules are limited only in requiring an initial state and one or more final states. Possible transition values appear to users as separate action buttons on the case maintenance transaction.
- Automatic state transitions monitor the case on a regular basis to determine whether the status should be changed because certain criteria have been met. A common example is to monitor for the passage of a given number of hours.
- Configurable business rules on the case type - there are several methods for specifying the rules for the case. A case can have an unlimited number of data attributes, stored as characteristics. Characteristic types can be set as optional or required for the case, and default values can be defined on the case type to speed entry. If a user attempts to save a case without all the required characteristics, a system error will be generated.

## Case Logs

Each case has a log file, which consists of a combination of automatic system entries and manually entered comments. Each time the state of the case is changed, a log entry will indicate the date and time of the change and the user who made it. Manual log entries can contain user comments on the case providing a full history of the lifecycle of the case.

The logs are an important feature for a user who is new to the case and who needs to understand the case history to date.

## Escalation

Using the automatic state transition rules the case can be escalated to a supervisory user. The case type can define a state that creates a To-Do entry addressed to supervisors, notifying them that the case has been escalated. This function may be particularly useful when the case is being used to handle a mandated service level agreement that assesses penalties if resolutions are not timely.

## Taxpayer Services Workload Management

Integration of the Oracle Enterprise Taxation Management solution with Oracle Enterprise Taxation Management Business Intelligence provides powerful workload management functions and capabilities.

Summary views of taxpayer service activities can be provided in a variety of process management dashboard views, making it easier to monitor the business activity levels across the taxpayer service areas and adjust workload resource allocations to handle peaks in service levels.

Taxpayer service case loads can be monitored and cases falling outside of service level tolerances can be highlighted and alerted for escalation and resolution.

## For the Head of Compliance Enforcement

### Compliance Officer Support (Audit, Collections, Appeals and others)

The Oracle Enterprise Taxation Management solution provides robust support for taxpayer compliance case management.

Taxpayer and third party filing obligations are fundamental to achieving the goal of voluntary compliance. The taxpayer audit process is used to establish correct liabilities for under-reporters, fraud and evasion candidates, non-filers, and non-registrants and to support maximum compliance with the laws that govern the different tax types. Another goal of this process area is to promote fairness by stabilizing traditional compliance activities in audit, collection, and enforcement.

The system can help track an audit case through the entire life cycle. The following list highlights some of the features available to support compliance activities:

- Allows for ad-hoc, user-defined criteria in the identification of potential taxpayer audit candidates.
- Execute pre-defined algorithms and search for potential taxpayer audit candidates based on tax agency criteria/business rules.
- Compare state (or other local) return information to IRS (or other federal) tax return information by taxpayer for a specific tax period, as identified by entered criteria.
- Alert a potential audit candidate, forward the account to an auditors work queue, and open up a To-Do activity for the auditor.
- Display charts and graphs of audit activities, auditor workload, and effectiveness (a dashboard for management review).
- Prioritize audit activities based upon tax types, tax liability, etc.
- Monitor all audit activities including but not limited to: cases under review, cases on alert, audit progression, status, etc.
- Allows system users to enter details about the audit to the taxpayer account.

### Collection

The Oracle Enterprise Taxation Management solution periodically monitors how much taxpayers owe to check that they have not violated payment obligations and agreements. Users can create an unlimited number of taxpayer profiles for establishing tolerances and overrides for special cases, such as taxpayers working in combat or life-support roles.

## Flexibility of Collection Rules and Treatment Streams

Tax overdue processing is triggered systematically by monitoring taxpayer accounts. Rules can be configured and tailored to conform to specific regulatory requirements and agency needs. User-defined time periods may be calculated as workdays or as calendar days, and late payment penalties can be automatically generated and applied to the account balance.

The Oracle Enterprise Taxation Management solution monitors compliance automatically. Additionally the system allows for user assigned compliance treatment streams, providing flexibility for accounts depending upon account status and agency business rules.

## Encouraging Taxpayers to Pay

The Oracle Enterprise Taxation Management solution regularly monitors how much taxpayers owe to validate they have not violated payment agreement tolerances. These tolerances are configured by administrative users and can be organized into an unlimited number of taxpayer profiles based on tax type, tax year, etc. In addition, tolerance overrides are included to account for special cases like natural disaster relief where filing deadlines are extended and/or penalties are waived.

When a filing or payment obligation violation is detected the system triggers a series of ordered tasks to guide users in resolving the underlying issues. Tasks are processed via background monitors and/or manually executed based on the agencies business needs. In addition, the system provides the flexibility to allow debts to be cancelled on receipt of either full or partial payment.

Initial collection events in the Oracle Enterprise Taxation Management solution are intended to encourage a taxpayer to pay the delinquent tax liability. These events include generation of bill notices, letters, or To-Do's, all on user-defined schedules. Each collection process is linked to a specific tax account or a set of related tax accounts that contributed to the delinquent debt. The system can collect on debt by any level of granularity defined by the agency including: individual account periods, groups of account periods under a specific account, or groups of accounts.

## Payment Plans

A payment plan is an agreement with specifically scheduled payments to meet tax obligations. System users can configure parameters that define the payment plan options, including: amount of installment payment, frequency of installment payment, interest rate and penalties to charge the taxpayer, and total number of installment payments. In addition, the system can issue regular reminder letters prompting the taxpayer for payment and regularly monitors the plan for default. If the taxpayer defaults, the automated workflow can trigger immediate follow-up actions as defined by the agency's business practices.

## Lien/Levy

If the initial collection activities do not result in payment, the Oracle Enterprise Taxation Management solution can, as permitted by jurisdictional rules and regulations, initiate lien and

levy processing. This includes the generation and tracking of all mandatory correspondence both to and from the courts as well as storing the inventory of all the assets and/or bank accounts included in the process.

## **Compliance Analytics**

### **Champion/Challenger**

Champion/challenger functionality provides the ability for an agency to identify the current approach to a business problem or process as a “champion” – documenting the business rules and analytic models that together represent your best approach to a given decision. “Challenger” approaches are then developed. A “challenger” collection or overdue process template can be configured and used instead of a “champion” process template. This allows for experimentation to improve the effectiveness of business practices through the use of alternate types of business process templates. Reports can be generated to compare the effectiveness of each template in terms of duration and amount of outstanding debt that is collected.

### **Taxpayer Compliance Ratings**

The Oracle Enterprise Taxation Management solution maintains an internal compliance risk rating on each account that is configured to adjust based on specified financial events. For example, if a taxpayer makes a late payment or if a payment is returned for insufficient funds, a “risk-rating event” is created and linked to the account. A taxpayer’s risk rating represents a user-configured compilation of these events. Users define both how long each event impacts a rating and how the rating impacts future collection actions. This allows tax agencies to vary compliance and collection actions based on a taxpayer’s filing and payment history.

## **Compliance Workload Management**

Compliance workload management has similar characteristics to taxpayer service workload management. The integration of the Oracle Enterprise Taxation Management solution with Oracle Enterprise Taxation Management Business Intelligence provides powerful workload management functions and capabilities.

Summary views of compliance activities are provided in a variety of process management dashboard views, making it easier to monitor the business activity levels across the taxpayer compliance areas and adjust workload resource allocations to handle peaks in service levels.

Compliance case loads can be monitored and cases falling outside of service level tolerances can be highlighted and alerted for escalation and resolution.

## For the Chief Financial Officer

### Revenue Accounting

Revenue accounting is the business process by which the tax agency accounts for taxes assessed and collected and provides reports on revenue distribution as required. Data generated in the revenue accounting process provides the basis for making managerial decisions, for evaluating the relative performance of branch offices, for determining revenue available for distribution, and measuring the operational performance of the agency.

### Financial Transaction Accounting

All taxpayer financial transactions are stand-alone financial entities within the system, so each has a corresponding balanced set of debits and credits. These entities are the basis for supporting both the tax agencies internal accounting procedures and its external financial reporting requirements.

Individual transactions cannot be deleted or modified within the system. Instead, offsetting transactions are used to capture modifications or reversals. Each financial transaction has a corresponding audit trail record with user and timestamp designation.

Each transaction has balancing debits/credits and general ledger (GL) distribution rules that provide precision accounting.

### Create Revenue Accounting Transactions

To properly account for the financial impacts of revenue assessment and collection, the system posts debit and credit transactions to the correct revenue accounts. To support the integrity of the accounting entries, the system verifies that none of the transactions fail in the posting process, and recovers consistently in case of a failure.

The Oracle Enterprise Taxation Management solution provides two distinct views of information derived from taxpayer data. The first view represents the taxpayer perspective and provides the detailed record of the payments, returns, adjustments, refunds and offsets in each taxpayer's account or accounts. The second view matches to the revenue perspective and provides the aggregate financial information used to distribute revenue to other agencies and municipalities based on statutorily defined allocation rules.

Taxpayer accounting transactions are created at the time payment, return, adjustment, refund, offset and other financial transactions are processed. To create the revenue accounting view the system translates taxpayer account data to revenue accounting data using the accounting rules and chart of accounts defined by the tax agency. The revenue accounting entries are summarized and can be traced back to the detailed transactions maintained in the taxpayer's account. The taxpayer accounts act as subsidiary ledger to the general ledger representation for revenue accounting.

Revenue control tables are configured to support daily, monthly and fiscal year cycles simultaneously. The revenue control account does not contain any taxpayer specific information, but does contain tax type, accounting period and revenue account summary details.

### **Charts of Accounts**

The Oracle Enterprise Taxation Management solution provides a user configurable chart of accounts that is tied to the financial events and transactions appearing in the taxpayer accounts.

There is no practical limit to the number and type of financial accounts that can be defined and supported by the system. Therefore, tax agency accounting requirements can be automatically supported once the system is configured. Authorized users have the flexibility to define the chart fields in the application. The system:

- Supports and applies a single, user-defined chart of accounts.
- Creates a corresponding GL entry, as defined within the user-defined chart of accounts, for applicable intercept transactions.
- Creates a corresponding GL entry, as defined within the user-defined chart of accounts, for applicable offset transactions.

### **Bank Reconciliation**

The Oracle Enterprise Taxation Management solution and the Oracle Enterprise Taxation Management Business Intelligence solution are used to create reports, charts and graphs that tax agencies use to reconcile tax deposit transactions recorded in the system for fund distribution.

Tax agency users can search the data using various search criteria (deposit level, payment level, tax class or tax type) to research any discrepancies and reconcile the deposit data with the bank's reported amount.

Tax agency users with appropriate security clearance can adjust payment amounts to resolve any reconciliation issues through an adjusting entry. If the adjustment must be made at the taxpayer level, the tax agency may adjust the original transaction, record the reason for the adjustment as a note to the account and create the proper revenue accounting transactions.

### **Accounting Period Close**

Based on agency requirements, the tax agency can produce a summary of all financial activities performed. The Oracle Enterprise Taxation Management solution provides a snapshot of activity, known as a "trial balance report" which shows a balance of all revenue accounts at the time of request.

Example capabilities of the account period closing feature include:

- Produces a preliminary trial balance report which sums the revenue account summary balances to assure that the total debits equal total credits and that the accounting system is in balance.
- The system user can create any adjusting journal entries as required to adjust revenue across funds, record prior period adjustments, and request an adjusted trial balance.
- Allocate the distribution of tax monies to entities based upon tax agency business rules.
- Provides the ability to adjust distribution transactions online through the creation of reverse distribution transactions.
- Allows users to define accounting period begin and end dates.
- Supports multiple open accounting periods, limits distributions to net cash received and automates the generation of balance sheets.
- Allows accounting periods to apply to all tax types or vary by each tax type.
- Provides the ability for the closeout disbursement process to be run in batch mode or manually in update mode as defined by the user.

### Revenue Accounting Exceptions

If a taxpayer accounting transaction is unable to be translated into a revenue accounting transaction, the transaction can be sent to an exception processing work list to be analyzed and addressed by an Oracle Enterprise Taxation Management user.

## Internal Management

### Management Reports

To effectively account for revenues, the tax agency uses management reports to reflect the tax agencies business processes and activities. The Oracle Enterprise Taxation Management solution in conjunction with Oracle Business Intelligence Publisher support both automated reporting as well as ad hoc reports.

The revenue accounting reports that can be generated automatically or requested on demand with defined parameters include:

- Daily control reports
- Summary reports
- Transmittals
- Collections

- Aging Reports for delinquent accounts
- Report to entities on sales and use tax collections
- Distribution reports by such parameters as: revenue account, accounting period, etc.

## For the Chief Information Officer

### Security and Privacy

#### Application Security

The Oracle Enterprise Taxation Management solution contains four layers of security, each one providing the tax agency with the tools needed to secure its data within the application.

Transaction security - limits the ability to perform system functions based on pre-defined user roles and groups. Every transaction web page (portal with corresponding zones) has a matching security service. When you link a user group to a security service, you are granting all users in the group access to the matching portal page. Special granted permissions allow you define actions the users can take on a page (add, change, etc.).

Zone security - a zone represents the grouping of business data in a portal, and there can be one or more zones that comprise a portal. The Oracle Enterprise Taxation Management solution can restrict access to specific zones, adding an extra level of granularity to transaction-based security. Each zone is associated with an application service, allowing users to retain access to an application service while not having access to every zone in that service. In other words, restricted users can still access a particular function, but are restricted from accessing certain data within that function.

Field-level security - this gives greatest amount of flexibility and detail for application security since it allows tax agencies to restrict access to any individual data object (or field) within the system. For example, an agency can configure field-level security that only allows collection supervisors to change the status field of a payment agreement. Furthermore, the Oracle Enterprise Taxation Management solution provides the flexibility to allow field-level security to be defined based on business logic or a range of values in the field. This could be reflected by a rule such as, "user group A can authorize refunds less than \$500, user group B can authorize refunds less than \$10,000 and user group C can authorize any refund."

Account security - restricts access to specific taxpayers or taxpayer accounts. This is helpful in managing high profile or sensitive taxpayers, defining security based on geographic region (for example, users only work accounts in certain zip codes), or limiting access to more complicated taxpayers based on user experience level or area of expertise. Account security is set up using data access groups and data access roles. A data access group defines a group of accounts that have the same type of security restrictions. A data access role defines a group of users that

have the same access rights of account access. So when a role is granted access to a group, all the users in the role have rights to all accounts in the group. And once this account security is established, restricted accounts are effectively invisible to roles that do not have authority to the group.

### **Audit Trails**

The Oracle Enterprise Taxation Management solution supports the auditing of data changes by users on particular fields, characteristics, or transactions. When a change is made to an audited field, the system captures the user, the date/time, the primary key of the row, the before/after images of the field value, and the database action performed. Audit trails are also user configurable. Authorized system administrators have the ability to dictate which fields will be included in the audit trail log by simply clicking a checkbox.

The system also supports audit queries based on users or tables, fields, and keys. Depending on specification, users may view audited changes to:

- A table.
- A row in a table (for instance, an account).
- A field in a table (for instance, all taxpayers' rates).
- A given field on a specific row (for instance, a specific taxpayers bill cycle).

Auditing for a field can be activated purely with changes to the metadata; no code compilation is required.

### **Authentication and Authorization**

The Oracle Enterprise Taxation Management solution assigns users to roles and groups with specific levels of access to the system. Users may be assigned to multiple roles, and they automatically receive the highest level of access that any of the roles provide to a particular service.

The application maintains security at the following levels:

- Action level - which permits security administrators to define which actions user groups may execute for each transaction.
- Field level - which uses system security tables to define and enter field level security privileges to specific user groups and transactions. Users are assigned codes that are tracked when users exit a transaction. The system automatically rejects invalid updates to the specified fields.
- Account level - which restricts access to specific accounts. This is useful in protecting important accounts from accidental update by unauthorized users and in convergent billing applications.

## LDAP Integration

Many organizations utilize Lightweight Directory Access Protocol (LDAP) for defining user security. This integration feature allows an import of existing LDAP users and groups to the system. Once imported, all Oracle Enterprise Taxation Management user and group functions are available. This integration includes group level security and updates for new users and groups.

## Application Development and End User Support

### Service Oriented Architecture Ready

#### *XML-based Application Integration (XAI)*

Oracle has developed an XML-based Application Integration (XAI) tool that facilitates the integration of the Oracle Enterprise Taxation Management solution with other systems, using SOA principles and standards. The XAI module exposes any Oracle Enterprise Taxation Management business object as a web services-based message service. This allows for tremendous flexibility and adaptability for tax agencies as they integrate both internal processes and with business partners and other government organizations.

The XAI module includes a schema editor that provides a graphical environment for creating, importing, and maintaining XML data mappings and web service description documents. The schema editor also includes wizards to assist in imports from other sources, including Enterprise Java Bean (EJB) services and Open Database Connectivity (ODBC) data services.

XML Application Integration (XAI) assists in integrating the system with other applications, between businesses and business processes, and across organizational boundaries regardless of the platforms or operating systems used. XAI provides an integration platform to:

- Integrate Oracle Enterprise Taxation Management with other taxpayer relationship management systems.
- Provide information feeds for web-based taxpayer portals.
- Fit seamlessly with web based applications.
- Facilitate fast implementation of batch interfaces.
- Integrate with other XML compliant enterprise applications, including other Oracle solutions such as Siebel, Oracle e-Business Suite, PeopleSoft and others.

XAI exposes the Oracle Enterprise Taxation Management business logic and data as a set of web services. These services can be invoked by different transport methods, e.g., Hypertext Transfer Protocol (HTTP) or Java Message Service (JMS). An application or tool that can send and receive XML documents can access the rich set of Oracle Enterprise Taxation Management business objects. With XAI, Business-to-Business (B2B) or Business-to-Citizen (B2C) integration

with other enterprise applications as well as the setup of web portals is simple and straightforward.

### **End-User Features**

End users work with Oracle Enterprise Taxation Management via a standard web browser. This makes the system easy to use and reduces the training time that would be necessary to learn a new type of user interface. Many familiar browser concepts such as favorites, drill-down hyperlinks, back/forward, and history buttons are supported.

#### ***Control Central – The Oracle Enterprise Taxation Management User’s Starting Point***

The taxpayer data management search engine, “Control Central,” supports searches of taxpayer data by various taxpayer data elements, including name, address, taxpayer identification number, social security number, phone number, geographic information or other unique identifier. When Control Central locates a specific taxpayer record it immediately displays it on the taxpayer information portal. The “portal” is a web page that presents a comprehensive and customizable view of taxpayer information. The system populates multiple zones within the portal with data about the taxpayer including financial, contact, and asset related information in order to provide a taxpayer-centric view.

The system also populates the common portal area called “The Dashboard” with basic taxpayer information. This dashboard remains visible in order to assist the user when navigating through related pages, providing context and a consistent user experience throughout the Oracle Enterprise Taxation Management solution.

#### ***Always-Available Dashboard***

The dashboard is a common area of the screen populated with basic taxpayer information. It remains visible while the user is navigating through related pages and can display:

- Current context - the basic account information (name, account, address) for the tax account currently being viewed.
- Alerts - messages that highlight items requiring special attention.
- A financial summary for the current account.
- Contact area that facilitates note taking and storage.
- A summary of To Do’s and work items assigned to the current user.
- User-defined favorites (navigation links).

The dashboard allows users to navigate through the system while keeping a reference point on the current taxpayer.

#### ***Documentation and Online Help***

The Oracle Enterprise Taxation Management solution provides business processes documentation that describes every application window in the system and provides tips and techniques on how an end user may use the system.

End-users are the primary audience for this manual, so it is written with business-focused language. In addition, the help is context sensitive, so clicking on the Help button in the toolbar while in a certain window takes a user directly to the help for that particular screen.

### ***Searchable Index in Online Help***

The Oracle Enterprise Taxation Management solution includes context sensitive online help with a searchable index. Most user queries about the meaning or importance of a particular field can be answered very quickly with supporting result topics.

### ***Search Capabilities***

The “Control Central” portal is where you enter the criteria used to find a person, account or property. Users can employ multiple search criteria including combinations of name, address, city, postal code, phone number, or other taxpayer data characteristics. When multiple fields are populated, the system searches for customers that match all such criteria. The system searches against the specified criteria and supports wild card searching.

### ***User Display Preferences***

The user interface displays standard data types in the operator’s preferred format based on locale, including:

- Dates
- Financial Amounts
- Phone numbers
- Address

### ***Context Menus & Drilldowns***

The Oracle Enterprise Taxation Management solution context menus allow the user to move quickly to transactions related to the selected object while keeping the current person/account/context. This function provides fast-access buttons and hyperlinks that drill down to take users quickly to the appropriate information.

### ***Toolbar Buttons***

An Oracle Enterprise Taxation Management solution toolbar within the browser application window provides shortcuts to frequently used transactions, such as returning to the primary homepage, Control Central or saving the current record. Other toolbar buttons provide convenient account and application context aides.

### ***Portal and Zone Architecture***

The user interface of the Oracle Enterprise Taxation Management solution is created with “portals” and “zones”. Portals are gateways or specific views of the business. Portals can be configured to group various data views that display billing graphs, financial summaries, activity histories, a timeline of all taxpayer activity, etc. Portals can also be created to help manage and administer the system itself.

Zones are displays and contain information in support of a portal. Every portal will have one or many zones. Each zone can present information in a format that best suits the business process or portal objective. Portals give extra configurability in the data presentation, so that users can see the most useful information possible in the order that is easiest to use. The Oracle Enterprise Taxation Management solution provides the flexibility to restrict portal configuration to system administrators that can configure portals based on user groups. This method provides consistency of the interface among users performing similar job functions.

Configuration of portals is managed by choosing which zones appear in each portal and the order in which those zones appear. Zones can also be comprised of grids. Sortable data grids are used to display rows of user-defined characteristics. Both the characteristics that comprise the grids and the grids themselves are fully configurable. This means that a user can specify not only what taxpayer information is saved, but also how that data is displayed. Additionally, users can download data into Excel from within a zone in order to view and analyze the data offline. The Oracle Enterprise Taxation Management solution supports both broadcasting and hyperlinks from within zones. Broadcasting allows users to expand upon data by broadcasting information into other zones. This allows for easy drill-down into underlying data elements. Hyperlinks can provide users with additional information by navigating to other portals or zones.

The strength of this model is that it supports configuration and design with information architecture best practices. The goal of information architecture is to build the user interface around the needs and capabilities of the systems intended audience. With the Oracle Enterprise Taxation Management solution, tax and revenue agencies can take full advantage of user centered design principles.

### ***Trees, Graphs, and Sortable Searches***

The Oracle Enterprise Taxation Management solution offers data zones that provide graphical tree structures. This tree view provides users with a representation of key data relationships (e.g. the taxpayer and tax type linked to an account). These structures also allow for drill-down into underlying information by opening specific zones and subsequently facilitate context driven navigation.

Graphs help taxpayer service representatives visualize and compare financial information over time. Useful graph features include hover text that displays summary graph information and hyperlinks to supporting data views.

Columns in a result table in search windows can be sorted by clicking on the sort column, facilitating location of a particular record.

### ***Summary Handling for Large Accounts***

When a taxpayer has many associated accounts, the Oracle Enterprise Taxation Management solution automatically limits the amount of data shown to the user and provides summary totals with drill-downs where appropriate.

### **Business Process Management Features**

The Oracle Enterprise Taxation Management solution provides a number of tools to define tax administration business processes and help users execute these processes in an efficient and effective manner.

#### ***Business Process Assistant (BPA)***

The Business Process Assistant (BPA) is an interactive tool that both documents business processes and navigates users through the process steps. Each BPA “script” covers a single specific process, such as “Establish New Obligation” or “Correct Tax Form”, and is configurable by business analysts.

A Business Process Assistant (BPA) script validates the correct and efficient completion of business processes by presenting the user with predefined steps that can expand and branch depending upon user input. The BPA allows the Oracle Enterprise Taxation Management user experience to be tailored around the business processes, rather than system functions. The BPA has many capabilities including automatic navigation to the appropriate transaction point. With this capability, tax agencies can maximize policy and procedure standardization and the effectiveness of end-user training.

The individual steps that comprise BPA scripts can also vary greatly in complexity and depth, prompting for simple yes or no questions, making conditional decisions, and executing business functions that perform multiple automated tasks.

The Oracle Enterprise Taxation Management solution provides sample BPA templates and scripts to allow agencies to get a fast start with this powerful user productivity tool.

### ***Business Process Assistant Step Types***

BPA step types include the following:

- Display text – a text string displayed to the system user. This step type provides the user with guidance when manual actions are necessary. In addition, they can be used to confirm the completion of tasks.
- Prompt user - present the user with a drop-down or button-based menu of options. Prompt steps can also pause a script while the user performs a manual function, permitting the user to continue with the script by clicking a prompt button.
- Input data - prompt the user to populate an input field in the script area. The input value can be saved in a field on a page or in temporary storage. Users continue with the script by clicking a continue button adjacent to the input field.
- Press a button - simulate the click of a button in the screen's object display area or button bar, in order to automate a button action. For example, a step might click on the "add new row" button in the grid that contains a person's characteristics so that the script could subsequently use a move data step to populate the newly added row with a given characteristic type and value.
- Navigate to a page - causes a new page (or tab within the existing page) to be displayed in the object display area. This step type is a precursor to doing anything on a specific page.
- Set focus to a field - place the cursor in a specific field on a page. In addition, a continue button appears in the script area. The user clicks the continue button to continue the script.
- Conditional branch - conditionally jump to a different step based on logical criteria. For example, the script will go to different steps in a script for the registration of residential and commercial taxpayers.
- Mathematical operation - execute simple math functions on numbers and dates. For example, a step of this type can calculate a date 7 days in the future and then use this value as the taxpayer's next review date.
- Subscripts can be created for steps that are common and used frequently across many Business Process Assistant scripts (such as finding a taxpayer). A single maintenance update would then update the processing for every script using that subscript.
- Control can be transferred from one script to another script. Control returns to the calling script once the invoked script has completed.

### ***Workflow Tools***

The Oracle Enterprise Taxation Management solution automates many back office processes, including those of long duration, with built in workflow tools. These tools are completely configurable, allowing you to design the individual steps and ordering for each workflow process.

### ***Automated Workflow Processing***

A variety of system events can trigger the creation of a workflow process instance. These process instances contain workflow activities, which are a particular tasks performed by the system or by people to complete the workflow.

The Oracle Enterprise Taxation Management solution activates tasks in a process based on specific event conditions such as trigger dates, receipt of inbound correspondence, or other user-defined business events. When event related workflow tasks are completed, the Oracle Enterprise Taxation Management solution automatically sets the next task in the workflow process, setting the trigger date according to configured workflow rules.

The Oracle Enterprise Taxation Management solution automated workflow processing can be leveraged by a variety of tax administration business groups, such as return exceptions (suspense), collections/audit/bankruptcy (case management), and taxpayer service (taxpayer inquiries, complaints, and appeals).

### ***Dependent-Event Monitoring***

The system sets the trigger date on workflow tasks when it detects that all of its dependent tasks are complete and task event criteria are met. The trigger date is set to the current date plus X days, where X is the number of days defined on the workflow response associated with the workflow event. If this date is not a workday for the organization, the trigger date will be set to the next workday.

### ***Waiting Events***

Some workflow tasks are set to wait until a specific event occurs before they can be completed. Every type of task that waits for something else to happen before it completes must have a corresponding background process that monitors the thing on which the task is waiting. For example, one task may need to wait until a previous field activity is completed before it can be triggered. The background processes that perform this monitoring are referred to as "Waiting Processes". The system is supplied with sample waiting process algorithms. Custom waiting processes may be created based on these samples depending on site implementation requirements.

## ***To Do's and Alerts***

The Oracle Enterprise Taxation Management solution provides To Do's and alerts to help users and administrators manage both taxpayer and system oriented tasks that require human intervention. These tools are readily available in The Dashboard for quick reference.

To Do's represent the work list for a user or user group. Certain system events that require user resolution, such as tax bills created in error, unapplied payments, suspended returns, or aged cases can be configured to trigger the creation of a To Do. All outstanding To Do's are displayed in the assigned user/user group's dashboard for quick reference along with a color-coded aging scheme (for example, red equals significantly aged and require immediate attention, yellow equals moderately aged, and green equals recently created).

Alerts are intended to flag critical or special items that require more urgent attention. Like To-Do's, alerts can be configured to trigger based on an almost unlimited number of system events and conditions. The Oracle Enterprise Taxation Management solution maintains alert information containing information on events or conditions requiring special attention. Alerts can speed taxpayer interactions, since they often pinpoint the reason for a call, and they offer the ability to drill-down to the details of the alert situation. User-defined alerts can easily be added to the standard list.

### ***To-Do Lists***

To-Do lists are reminder messages that describe workflow tasks requiring human intervention. Numerous events, such as tax bills created in error or unapplied payments can trigger the creation of To-Do lists. Each type of message appears in a unique To-Do list, to be worked by assigned users.

Individual messages that appear in a To-Do list are called To-Do entries, and each entry is assigned a specific To-Do role. The role defines the users who may look at and work on the entry. Entries include features that assist drill-down to the appropriate transactions. Users who activate these drill-down functions are assigned as the person working on the entry.

To-Do entries are assigned a status, such as open, being worked on, or completed. Completed entries do not appear on the To-Do list, but they are retained on the database for audit purposes.

Important taxpayer accounts can be assigned to an account management group, in which case To-Do entries for the account will be redirected to users dedicated to servicing that taxpayer.

### ***To-Do Log***

Each To-Do entry has an associated To-Do log, which tracks assignment changes to the To-Do and allows for the entry of comments. The log notes the user who made the change, the date and time of the change, and the assignee of the To-Do. Log entries are created automatically at the creation and completion of the To-Do. A user can create a new log entry at any time to add comments to the To-Do. Note that these comments cannot be changed or deleted once saved.

### ***To-Do Forwarding***

Users can forward a To-Do to either another user or to a role. A popup window captures both the new assignee and details about why the entry is being forwarded, and an automatic log entry captures this information. If a To-Do has been forwarded to a user, that user can return the To-Do after reviewing it and adding information to help resolve the issue. The return action also creates an automatic log entry.

### ***To-Do Search***

A To-Do search provides enhanced search and display options for To-Do entries. To-Do's can be listed for a particular characteristic type and value, thus providing a view of all To-Do's related to an account. Other criteria can be used to further filter the displayed To-Do entries, such as the To-Do entry status, the assigned user, and a date range.

### ***To-Do Summary Email***

An e-mail attribute enables background processing to create and send an e-mail to a user. This feature supports the creation of To-Do summaries that remind users of incomplete To-Do's and alert them to new entries.

### ***Quick Data Entry Functions***

The Oracle Enterprise Taxation Management solution provides data replication and merge functions that help to minimize repetitive data entry and reduce typographical errors.

### **Plug-in Architecture**

The Oracle Enterprise Taxation Management solution addresses many tax agency requirements through user defined algorithms, or "plug-ins". The application provides at least one plug-in "spot" or exit point for every function to support commonly needed business logic, and new plug-ins can be written to introduce implementation specific logic as necessary. The Oracle Enterprise Taxation Management developer tool suite provides standards and instructions for developing new plug-ins.

### ***Plug-ins***

Every tax agency has business rules and needs that are unique to their jurisdiction. Inevitably, each implementation will have some rules that are difficult to express through normal configuration. To meet these requirements, the Oracle Enterprise Taxation Management solution offers a "plug-in" architecture that allows custom modules to be plugged into key processing points. Plug-ins are a powerful, modular approach to satisfy core tax agency business rule requirements. The product ships with plug-in business rules for every system processing point. These rules include a number of "soft" parameters that can be changed via configuration. A business rule expressed within a plug-in can be swapped out for a more complex or unique rule where required.

There are two methods of creating plug-ins. Plug-ins may be configured as scripts, with no specialized programming environment required. In addition, plug-ins may be programmed with site-specific code, using either Java or COBOL. Plug-ins via business scripts can utilize existing back-end services. This allows leveraging of multiple back-end services from a single plug-in point, allowing multiple base package functions to be orchestrated without multiple database commits.

A key benefit of the plug-in architecture model is that customizations are created without risking the upgradeability of the core solution.

### ***Extensible Data Model***

The Oracle Enterprise Taxation Management solution can link user-defined fields (“Characteristics”) to all core entities, including Taxpayer, Account, and Tax Type. This feature allows the data model to expand without base system changes, and it also permits fields that are unique to the business. These characteristic fields can be validated by the system using a list of pre-defined values, a validation algorithm, or a list of valid values in another existing table (e.g. Person). Characteristics can provide site-specific data that can be used in tax processing functions. For example, file location characteristics can be used to specify the URL of a taxpayer related document or site, allowing users to simply launch a browser window to view the related content.

### ***Configuration through Metadata Changes***

End-users may access certain portions of the metadata that define system properties and behaviors through a browser based user interface that helps them configure and modify the system, including configuration of the following:

- Menu setup.
- Lookup table data.
- Table/field data for audit trails and multi-language attributes.
- System message category and system messages.
- Audit-table queries.
- Portal zones

### ***Browser User Interface Exits***

Browser user interface exits override or extend the base user interface behavior. These exits can be used, for example, to perform the following:

- Hide or disable fields based on implementation specific criteria.
- Extend validation of fields.

- Default values into fields.
- Provide other field manipulations.

### ***Third-Party System-Screen Initiation***

The Oracle Enterprise Taxation Management solution application web pages can be launched from external applications. Implementers can define the location to be accessed (e.g., Account Maintenance) and provide relevant key data so that the application opens with the desired context (e.g., Account Number).

A hyperlink can embed scripts and variables to increase functionality and productivity.

### ***Server Side User Exits or Change Handlers***

Change Handlers are provided with the Java services to add event driven logic to entities and user exits are provided for COBOL row and page maintenance programs. Server side logic generally is used to perform additional validation or custom business logic from within the delivered application services.

### ***Java™ Framework for Real-time Calls***

The Oracle Enterprise Taxation Management solution runs on a web application server framework that provides user exit points where Java™ extensions can be introduced.

### ***Portal Zone Development Tools***

Portal zones are dynamically customizable on portal pages, providing extra usability and advanced customization of the Oracle Enterprise Taxation Management solution. The system is delivered with several application interfaces for developers to maintain the metadata related to portal zones. A sample extensible style sheet language (XSL) file is provided that can be further customized for new zones.

### ***Custom Searches***

The Oracle Enterprise Taxation Management solution can direct users to a specified search page. The flexible search framework permits implementers to create their own searches or to augment searches without sacrificing future upgrade flexibility.

### ***Implementation Application Launch Buttons***

The system can launch external web applications via navigation keys located within the system menu. The application launcher allows data definitions to be passed to the external applications. Typically, this would be context specific information available on the current transaction that might be applicable to the external application, such as an account number.

### ***Software Development Kit***

The Oracle Enterprise Taxation Management solution is supplied with the Oracle Enterprise Taxation Management Software Development Kit (SDK), a set of tools, guidelines, standards,

and checklists to assist implementers to develop new system functionality, such as new batch jobs, reports, plug-ins, and user interfaces. Developer guides include Java standards, SQL and database design standards, a common routine API, naming standards, and COBOL standards. The guidelines are used to maintain the compatibility of site-specific extensions and customizations with future system upgrades.

## Infrastructure and Operations

### Operations Support

#### *Automatic Process to Populate Language Tables*

An automatic batch process copies language sensitive tables from one language code to another. While this does not provide a complete translation, it does take care of the tedious task of creating the new language records, and it provides default information from which translators can work.

#### *High-Volume Interfaces Using Staging Tables*

For common high volume interfaces, such as returns and payment processing, the system supplies staging tables, where data can be validated, flagged, corrected, or restaged prior to updating actual production tables. This approach speeds interface development for the most common interfaces, regardless of the third party system that is being used.

The standard inbound and outbound interfaces that provide staging tables are General Ledger, Payment Upload, Accounts Payable (for refunds), Notification Upload, Notification Download, and XML Staging.

#### *Conversion Tools*

In many cases, existing legacy tax administration applications require migration and conversion into the Oracle Enterprise Taxation Management solution. The Oracle Enterprise Taxation Management solution provides a conversion tool to support the conversion of legacy data in a safe, easy-to-use, scalable, and repeatable manner.

Legacy data is loaded into a staging layer that serves as a work area for assembling and validating everything required by the system. Once data is fully composed and determined to be valid, it can be moved to the production environment. Data can be moved incrementally leaving behind those accounts that require additional work.

The conversion tool uses separate indexing tables for each entity it supports. These tables are used to provide a linkage between the new primary key of the entity and the existing system identifier.

### ***Application Viewer***

The Application Viewer is an online, interactive tool that shows the details of the system application algorithms and object architecture. It is used primarily to support on-site configuration designers and development teams.

### ***Data Dictionary***

The Oracle Enterprise Taxation Management solution provides an interactive data dictionary that describes the database schema and graphically illustrates relationships among tables. The data dictionary lists every table in the system. For each table, the fields are shown, along with a visual representation of the foreign key relationships for the table being displayed. A user may follow a foreign key link by clicking on a child or parent table. Clicking on a field will display the field level attributes, including description, data type and size. Each table's maintenance program is shown as a hyperlink, which, if selected, transfers the user to the source code viewer. The data dictionary is also linked to the online help documentation, allowing for dynamic reference of a field to the online transaction description of how it is used in the system.

### ***Source-Code Viewer***

The source-code viewer is an online tool that lets users browse the source code of modules that execute on the application server. This feature is particularly useful when creating new plug-in algorithms or batch processes. The source code viewer supports hyperlinks to other programs and copybooks called from the starting-point program.

The left frame shows the displayed program, facilitating quick navigation within the program. There is also detailed documentation available on each of the standard plug-in algorithms that are provided with the base package software.

### ***Configuration Lab***

The Configuration Lab tool in the Oracle Enterprise Taxation Management solution allows the definition of groups of data (both configuration changes and business data) that can be moved from one environment to another. This is a very effective tool for configuration and change management control.

The Configuration Lab provides the functionality to safely move data between various Oracle Enterprise Taxation Management solution environments (e.g. between development, test and production environments). One valuable use of the lab is to experiment with changes to control tables. Users can add and update values in control tables, verify that the system behaves appropriately, and then move the new values into a test or production environment.

An important benefit of this feature is the ability to synchronize an entire set of configuration-table values between two environments, thus facilitating configuration in a test environment and then moving the new values over to a production environment. The Configuration Lab makes use of a set of metadata control tables that define the relationships and rules for moving data. These same structures are also used in archiving.

### ***Archiving***

The system's metadata allows for the definition of families of data that can be archived and removed from a production system. The system's archive engine is fully configurable and allows for the creation of an archived instance where the data can be viewed through an interface. Views and reports can easily be generated to track and manage archive instances.

A typical data family includes a parent object, and all related child objects. Records older than a given date can be migrated and stored in an archive database, with certain exceptions that must be retained in the production database to retain full referential integrity.

The Oracle Enterprise Taxation Management solution provides sample metadata to define the most common data objects that would be archived. These samples are a starting point, and further refinement can be done to define the criteria under which the object will be chosen for archive.

### ***Batch Controls and Multi-Threaded Processing***

The Oracle Enterprise Taxation Management solution provides batch-process submission tools that are best suited for ad-hoc batch runs. Tax agencies may also use an external batch-scheduling tool for regular and scheduled requests that include multi-threaded job dependencies.

The Oracle Enterprise Taxation Management solution batch processes can run concurrently with any other process or real-time update request. When the system deals with batch processes that have high volumes of data, it runs them in parallel – using multi-threading techniques - to reduce processing time.

The online batch submission page enables running a request for a specific background process. When submitting a background process online, standard system parameters may be overridden and additional parameters may be specified for the selected background process. After submitting the background process, this page displays the status of the submission.

The batch process pages show the execution status of each batch process. For a specified batch control ID and run ID, the tree shows each thread, the run-instances of each thread, and any messages (informational, warnings, and errors) that occurred during the run.

The Oracle Enterprise Taxation Management solution batch processes are re-startable. For example, if a batch process is interrupted unexpectedly, the database will not be corrupted, and the job restarts itself at the right point when it is re-executed. These batch processes are also reproducible. Even when data is exported from the system, it is possible to reproduce the interface data so that it can be sent again or used for audit purposes.

### ***Batch Scheduler***

For organizations that do not wish to utilize another third party tool to manage the periodic execution of batch jobs, Oracle provides a batch scheduler that is incorporated into the product and built on top of the solution framework workflow functionality.

To assist with implementations, the configuration lab can be utilized to copy sample batch job streams from the demonstration database.

### ***Upgrade Tools***

With the Oracle Enterprise Taxation Management solution, each new release is delivered with the necessary scripts and upgrade instructions. This allows the system to continue to operate seamlessly with the same business logic through the upgrade, minimizing testing time and avoiding disruptions to daily business processes.

### ***Notification Message Queues***

Notification message queues are used to manage communications between the Oracle Enterprise Taxation Management solution and external applications and systems. For example, when a specific business event occurs, the Oracle Enterprise Taxation Management solution can create an outgoing notification to one or more service providers. The solution also provides message queues to receive messages related to business events managed by external systems. For example, if a new file of payment transactions is received from a bank, the Oracle Enterprise Taxation Management solution can send a reply message to the bank confirming the receipt and distribute an e-mail to system users.

## **Currency and Language Support**

### ***Multi-Language***

The Oracle Enterprise Taxation Management solution is a true multi-language solution. The solution allows system configuration teams to design user interfaces that display information in the language of the operator's choice, including languages that display text from right to left.

For taxpayers, the Oracle Enterprise Taxation Management solution can generate taxpayer bills and letters in the language of the taxpayer's choice. Information such as line-item bill descriptions, bill messages, and other taxpayer specific labels can be entered in multiple languages.

### ***Multi-Currency***

A currency table captures all currency and price display choices associated with a valid system currency. The user interface displays the currency symbol, code, and/or description in the operator's preferred format, as defined on the currency control table.

### III. ORACLE® ENTERPRISE TAXATION MANAGEMENT BUSINESS INTELLIGENCE

#### Business Intelligence Analytics and Reporting

The Oracle Enterprise Taxation Management application can be integrated with Oracle Enterprise Taxation Management Business Intelligence for enhanced analytics and reporting capabilities.

Oracle Enterprise Taxation Management Business Intelligence (BI) extracts valuable information from production data and is intended for tax agencies with major reporting or data analysis needs. Its uses range from standard reporting to identifying trends to creating statistical models of taxpayer behavior.

Oracle Enterprise Taxation Management Business Intelligence includes a set of configuration scripts to create a reporting and data analysis environment.

There are three primary components to Oracle Enterprise Taxation Management Business Intelligence:

- A data mart - which is a database designed to simplify reporting and analysis. This database is separate from the production database. Oracle® 10g Enterprise Edition is supported for the data mart.
- Extract, transformation, and load (ETL) processes to extract information from the production system and populate the data mart.
- Information presentation. Presentation can be in several forms, including:
  - Dashboards showing graphs and other summary information such as key performance indicators (KPIs)
  - Data exploration tools allow users to examine data to look for trends.
  - Reports.

The Oracle Enterprise Taxation Management Business Intelligence product provides the star schema, extractor packages and load processes for Oracle Enterprise Taxation Management sources. Dashboards and reports can be configured via browser-based design tools.

#### Outbound Correspondence Management

The Oracle Business Intelligence (BI) Publisher is the outbound taxpayer correspondence component of the Oracle Enterprise Taxation Management solution. The user interface for this component provides a single portal for managing correspondence. It allows users to easily manage multiple versions of correspondence templates and incorporates the ability of the

Oracle Enterprise Taxation Management solution to generate current and historical views of taxpayer bills and notices.

Correspondence template folders are typically organized by functional area (taxpayer identification, returns processing, etc.).

In the Oracle Business Intelligence Publisher portal, configurable security rights and access privileges dictate which templates users can see and use. These rights can be restricted based on folder or specific report.

Users access the various elements required to build and maintain correspondence such as:

- The Data Model – Mapping the data source utilized to provide the information used in the correspondence. Typical data sources are static data templates, Structured Query Language (SQL) queries, and eXtensible Markup Language (XML).
- List of Values – Defining the data elements within the data source that will be used to populate correspondence data.
- Parameters – Defining how data from the list of values will display on the correspondence.
- Layouts – Define the correspondence template type such as Rich Text Format (RTF) and output types such as Portable Document Format (PDF) and Hyper-Text Markup Language (HTML) used to generate the correspondence.
- Add/Modify Correspondence – Users can define new versions of existing templates or add new correspondence templates.
- Schedule, Issue and View Correspondence – While most tax correspondence requests will originate in the Oracle Enterprise Taxation Management solution, the Oracle Business Intelligence (BI) Publisher provides the flexibility to allow batch or on-demand correspondence requests.

## SUPPORTED LANGUAGES

Language packages of the system metadata for the user interface and the online help documentation for the business processes can be translated as needed. Please contact Oracle Corporation for further details on translating the Oracle Enterprise Taxation Management solution to additional language packages.

## TRAINING

Oracle offers an extensive curriculum of training courses. For more information on training, please contact your Oracle Enterprise Taxation Management representative.

## SUPPORTED PLATFORMS

The Oracle Enterprise Taxation Management Solution Version 2.1.5 availability release will update the following supported platform components. Certification of platform components not mentioned here are unchanged in Version 2.1.5.

### Java Runtime Environment

The Java™ 2 Runtime Environment will be updated to Standard Edition 5.0 for all Web Servers except for Oracle Application Server on Itanium2. Versions for other 3<sup>rd</sup> party software components may also be changing based on requirements for Java 5.

### Internet Explorer

Microsoft Internet Explorer version 7 will be supported in addition to Internet Explorer version 6 SP 2.

## Summary Table

Operating Systems	OS Server Architecture	Database Server and Web Servers – Certified Combinations
Sun Solaris 10	SPARC 64-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with BEA WebLogic Server 9.2 SP1</li> <li>Oracle 10.2.0.3 with Oracle Application Server 10.1.3.1</li> </ul>
IBM AIX 5.3 ML5	POWER 64-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with BEA WebLogic Server 9.2 SP</li> </ul>
IBM AIX 5.3 TL6	POWER 64-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with IBM WebSphere Application Server 6.1</li> <li>IBM DB2 8.1.5 for z/OS 1.6 with BEA WebLogic Server 9.2 SP1</li> </ul>
Red Hat Enterprise Linux 4, Update 4	x86 32-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with BEA WebLogic Server 9.2 SP1</li> <li>Oracle 10.2.0.3 with Oracle Application Server 10.1.3.1</li> </ul>
Red Hat Enterprise Linux 4, Update 4 AS	AMD64 EM64T 64-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with BEA WebLogic Server 9.2 SP1</li> <li>Oracle 10.2.0.3 with Oracle Application Server 10.1.3.1</li> </ul>
HP-UX 11.23	PA-RISC 64-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with BEA WebLogic Server 9.2 SP1</li> <li>Oracle 10.2.0.3 with Oracle Application Server 10.1.3.1</li> </ul>
HP-UX 11.23	Itanium 64-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.2 with BEA WebLogic Server 9.2 SP1</li> <li>Oracle 10.2.0.2 with Oracle Application Server 10.1.3.1</li> </ul>
Windows 2003 Server R2	X86_64 64-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with BEA WebLogic Server 9.2 SP1</li> <li>Oracle 10.2.0.3 with Oracle Application Server 10.1.3.1</li> </ul>
Windows 2003 Server R2	X86 32-bit	<ul style="list-style-type: none"> <li>Oracle 10.2.0.3 with Tomcat 5.5.20</li> <li>MS-SQL Server 2005 SP1 with BEA WebLogic Server 9.2 SP1</li> <li>MS-SQL Server 2005 SP1 with Tomcat 5.5.20</li> </ul>

## TRADEMARKS

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