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Oracle Enterprise Taxation and Policy Management Features and Functions Overview

Prepared by Tax Global Business Unit Product Management
Notice

The software described herein is subject to change. Where Oracle has suggested a system hardware configuration, such information is Oracle's suggestion only, based on its current understanding of the requirements. Where Oracle has described features or functionality that it anticipates will be included in future releases of its applications, the description and estimates of their availability are subject to change.

Definitions

Throughout this document the term “solution” refers to and is interchangeable with “approach” or “system.” The term "solution" is not intended to, and does not, express or imply that Oracle can or will contractually or otherwise agree to, “solve” any issues or problems. It is used to express the concept that an approach to your project has been determined and that it is expected that that approach will leverage Oracle's products, methods and experience.
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I. OVERVIEW: THE ORACLE® SOLUTION

The Oracle Enterprise Taxation and Policy Management solution offers a complete set of features and functions to address the needs of government authorities responsible for the administration of tax law and policy. The solution provides an easier and simpler method for capturing and implementing the ever-changing complex policy-related rules in the core tax administrative system. These capabilities are contained within a configurable software application that is maintainable and upgradeable. The solution is specifically designed and built to help government authorities achieve objectives such as maximizing tax compliance, improving taxpayer service, enhancing collection capabilities, and providing increased flexibility to respond to changes in tax law.

The Oracle Enterprise Taxation and Policy Management solution provides these key advantages:

- A true Commercial Off-The-Shelf (COTS) package – The solution is upgradeable and maintainable. Tax authorities are able to implement updates while preserving their site-specific configurations.

- Complete end-to-end tax and government authority business process functionality, including:
  - Registration
  - Forms Processing
  - Tax Billing and Tax Assessment
  - Overdue and Collections Processing
  - Accounting, including Penalty and Interest
  - Overpayments and Refunds
  - Policy Modeling

- The Power of Oracle Policy Automation - Rapidly transform complex policies from the source documents in MS Word and Excel, in multiple languages, into executable business rules. Ability to track policy changes, and trace back to source material, define test cases and compare results across policy versions.

- A single view of the taxpayer – Oracle Enterprise Taxation and Policy 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 authority business requirements. This single taxpayer data model avoids integration complexity that other multi data model applications may possess.

- Robust accounting capabilities – Oracle’s solution supports GAAP compliance through double-entry accounting. The solution offers easy integration into financial systems such as Oracle E-Business Suite and PeopleSoft, allowing tax authorities to complete full financial reporting from the authorities’ core financial system for taxpayer and for revenue / custodial accounting.

- Standards based - Commitment to standards and to widely available technology means lower cost of ownership.

- An open, Service-Oriented Architecture (SOA) – web services capabilities provide an SOA infrastructure for integration with existing tax authority systems, partner systems, and Oracle applications, such as Siebel, PeopleSoft, and Oracle e-Business Suite.
Oracle Enterprise Taxation and Policy Management Registration

The Oracle Enterprise Taxation and Policy Management Registration module provides registration capabilities to create and maintain individual and business profiles. The solution provides the flexibility to configure account and tax role structures that reflect the way the tax authority conducts business. Taxpayer information screens provide end users with a comprehensive view of all key taxpayer information.

Registration Profile

The Oracle Enterprise Taxation and Policy Management solution establishes and maintains registration profile information to comply with tax laws and filing requirements. Accounts may be established through direct user registration, batch interface with external registration systems, real-time web service interfaces, or through auto-registration using data on tax and registration forms.

The Oracle Enterprise Taxation and Policy Management solution supports common demographic capabilities, such as names, identifiers, relationships, addresses, and phone numbers. The solution is also extensible to allow additional authority specific information to be maintained through the definition of user-defined fields, called Characteristics, on all core entities. 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 and Policy Management solution establishes unique internal identification numbers and maintains external identifiers such as federal identification numbers, state/provincial identification numbers, geographic location coordinates, business license numbers, filing locations and other demographic information.

Account Model

The registration module supports the creation of a person for every individual or business with which the tax authority has contact. A person does not have to be a taxpayer, but can also be a related party, such as an accountant or corporate officer. A person can have multiple identifiers, for example SSN, taxpayer ID, driver’s license number, FEIN, etc.

The second component of the account model within Oracle Enterprise Taxation and Policy Management is the account. The account associated with the person, establishes the financial relationship the taxpayer has with the tax authority, including the types of taxes, obligations and financial transactions. One account can have multiple obligations for different tax types grouped into tax roles. Access to an account can be secured so that certain users who do not have access to that account are not able to view account details including the account’s financial transactions, payments and adjustments. Accounts can be related to persons. The relationship type defines the relationship between the person and the account. While an account can have unlimited persons associated with it, only one person can and must be designated as the primary taxpayer. The primary taxpayer is considered financially responsible for the account by default. Other persons can also be identified as financially responsible for the account.

The registration module also establishes tax roles for each specific tax type that is administered in an account. The tax role contains registration information about each tax type that a taxpayer needs to pay, such as how frequently they pay or file and the effective dates of the registration. Multiple tax roles may be assigned to a single account, or placed in separate accounts. For example, multiple tax roles for business tax types may be created in a single “business” account, while property taxes may be administered in a separate “property tax” account.
Tax roles control the filing calendars that are created for each tax type. The registration module establishes obligations for a taxpayer based on the filing calendar and effective date information maintained in each tax role. Each obligation represents a requirement to file and/or pay for a specific filing period established by the filing calendar in the tax role. For example, if a business has a tax role for Withholding tax with a Monthly filing calendar, then Obligation records are established for each month that the taxpayer must file and/or pay Withholding tax.

Oracle Enterprise Taxation and Policy Management Accounting

The backbone of the Oracle Enterprise Taxation and Policy Management solution is our industrial strength Accounting module. This includes the configuration of adjustments, penalties, interest, fees, and other tax related assessments. The accounting feature is capable of performing complex tax authority accounting calculations. The solution is built using Generally Accepted Accounting Principles (GAAP) and supporting double entry accounting, the Oracle Enterprise Taxation and Policy 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.

Taxpayer Accounting

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

Adjustments

Tax authorities use adjustments to increase or decrease the balance of obligations with distinct types of charges or credits. The Oracle Enterprise Taxation includes a number of portals to maintain specific types of adjustments including standard assessments, transfers and accounts payable requests. In addition, the system provides a number of portals that allow multiple adjustments to be added at one time. The adjustment portals in the solution include fields unique to the type of adjustment. Implementations may create custom adjustment maintenance portals as well if additional unique portals are required.

Financial Transactions

All 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 authority’s 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.

Penalty and Interest (P&I)

The Oracle Enterprise Taxation and Policy Management Accounting module supports complex penalty and interest assessments. The solution provides for configurable penalty and interest rules and controls by obligation type, allowing the tax authorities complete flexibility in applying specific penalty and interest policies. The penalty
and interest rate function breaks down penalty and interest rate structures into step-by-step calculations, and includes configuration options for fixed, minimum, maximum charges, or quantity-based charges. 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.

Penalties and interest are triggered through system events, such as when a tax form is processed, user generated by manually adding a penalty, or through a system generated process automatically based on business rules. The Detailed Penalty and Interest view shows how existing charges and calculation values were used to assess penalty and interest amounts for distinct periods of time. This view helps users understand how the system calculated penalty and interest charges, which will allow them to answer taxpayer questions more effectively. Penalty and interest can also be forecast to a future date allowing the user to view the P&I balance for a specific date.

**Penalty and Interest Waivers**

The Oracle Enterprise Taxation and Policy Management Accounting module provides users with the flexibility to perform full or partial cancellations of the amounts calculated through the waiver feature. Penalties and interest are normally automatically accrued and posted to the account when payments are applied to a taxpayer account. Oracle Enterprise Taxation and Policy Management can be configured to allow waivers to be used to exclude penalties and interest as a one-time occurrence, for an effective date range, or an on-going exclusion for a specific obligation charge.

**Dynamic Credit Allocation**

The dynamic credit allocation feature in the Oracle Enterprise Taxation and Policy Management Accounting module automatically assigns credit distributions against debits based on user defined configuration rules and allows a user to investigate the detail for how a balance was created. The tax authority user can quickly view the financial transactions and allocated amounts included within the specific penalty and interest debt categories for a specific taxpayer.

**Overpayment Processing – Refunds, Carryforwards, and Offsets**

The Oracle Enterprise Taxation and Policy Management Accounting module handles refunds, carry forwards, and offsets for obligations that are overpaid. An Account Monitor evaluates all overpaid obligations to determine if an Overpayment Process should be created to manage the treatment for each overpayment. Overpayment Processes can initiate the creation and issuance of paper or electronic refunds, carry a credit forward to the next obligation, offset the credit against unpaid obligations, or split the overpayment against each. For example, should the taxpayer requesting a refund have outstanding debts, they can automatically offset the overpayment to these liabilities and issue a check for the remaining balance, if one exists. The offset process is also configurable and includes identifying offsetable and non-offsetable refund interest. Business rules are used to determine if the overpayment needs to be reviewed, or if an Approval process is needed. Overpayments may be configured to interface with an external Accounts Payable system or bank. The refund and overpayment processing can be completely controlled.

The tax authority 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 authority can decide if offsets across all tax types will be permitted, or if offsets are to occur between obligations of the same tax type only. In addition, the module may be configured for performing external offsets to debts of other government authorities. In addition, the Accounting module supports minimum balance write-offs of small dollar overpayments, and the ability to process charitable contributions.
Revenue Accounting

Revenue accounting is the business process by which the tax authority 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 authority.

General Ledger Details

To properly account for the financial impacts of revenue assessment and collection, the Accounting module posts debit and credit transactions to the correct revenue accounts. To ensure the integrity of the accounting entries, the system verifies that none of the transactions fail, and recovers consistently where issues are detected. If a financial transaction is unable to be translated into a general ledger details, the transaction can be sent to an exception processing work list to be analyzed and resolved while maintaining the financial integrity of the general ledger. Financial Transactions are created at the time payment, form, adjustment, refund, offset and other financial actions are processed. The taxpayer accounts act as subsidiary ledger to the general ledger representation for revenue accounting.

Charts of Accounts

The Oracle Enterprise Taxation and Policy Management Accounting module 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 authority 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 and Policy Management Accounting module may be configured to create reports that tax authorities use to reconcile tax deposit transactions recorded in the system for fund distribution. Tax authority users can search use various search criteria, including deposit level, payment level, tax class, or tax type, to research any discrepancies and reconcile the deposit data with the bank reported amount. Users with appropriate system authority can make adjustments to resolve reconciliation issues. If an adjustment must be made, the tax authority may adjust the original transaction, record the reason for the adjustment as a note to the account and create the proper revenue accounting transactions.

Financial Integration

The Oracle Enterprise Taxation and Policy Management solution offers direct integration to Oracle E-Business Suite and PeopleSoft for General Ledger and Accounts Payable modules using Oracle’s Application Integration Architecture (AIA). These direct integration products provide a configurable integration for moving General Ledger and Accounts Payable details from the Accounting module into the core financial management system.
This approach provides the tax authority with the capability of integrating with the core financial system simply and easily, reducing costs, risks, and implementation time associated with integration.

Oracle Enterprise Taxation and Policy Management Forms

The Oracle Enterprise Taxation and Policy Management Forms module provides forms configuration features that allow authorities to quickly and easily configure tax forms and registration forms. The form definition feature provides configurable form validation and processing business rules and exception handling. After new form types are configured, the product automatically generates a sophisticated user interface for each form type that supports side-by-side display of current and as-reported values, form line change reasons, exception handling, amendments and adjustments, repeating groups and sections, and form transfers. The Forms module provides forms searching and display features, including detailed forms history and versions that show every adjustment to a form and every exception or issue detected. The Forms module also provides forms upload capabilities to load batches of tax and registration forms in bulk from multiple channels to be validated and processed according to the form definitions.

Form Type Configuration

The Oracle Enterprise Taxation and Policy Management Forms module provides features for form type, form section, and form line configuration for new tax form types. This includes standard processing features for each form type configured, including the ability to create, validate, correct, post, amend, and transfer forms.

The forms configuration process begins by creating a new Form Type, and configuring the Form Sections and Lines that are included on the form. Each form type may have an unlimited number of sections, including recurring sections, such as form schedules and attachments. The form lines are configured and added to each form section. The form lines may be configured as recurring form line groups where needed. Each form line has a wide range of configuration details, including the data type, length, descriptions, form line level help, display sequence, masking, and display and edit settings. Form lines may be configured to display the current and as-reported values side-by-side, and require individual form line level change reasons to be required.

Form Rules

Form Rules are configured to control how a form is processed from beginning to end. For example, Form Rules are configured to determine if form lines are required, to match forms to the Registration profiles on record, to validate math rules or calculated amounts, and to create new payment and tax assessment financial transactions. Form Rules are also configured to control what happens when forms are adjusted after they are posted. The Forms module includes a library of form rule types. For example, the Conditional Element Validation rule is used to check if the reported total of several lines on the form is correct, within a threshold, and how to handle any exceptions to the rule. Form rules are grouped together and sequenced into Form Rule Groups, and which are added to the Form Type configuration.

Form Type User Interface

Oracle Enterprise Taxation and Policy Management will automatically generate a sophisticated user interface for each Form Type configured, based on the sections, groups, and lines configuration data. The user interface handles recurring sections and recurring line groups as configured. The user interface includes a navigation map to help users quickly move from one section of a form to another, and expand and collapse the sections of a form as needed. The user interface includes an Exceptions tab which shows in processing issues or exceptions that have been detected and need to be resolved to continue processing. The exceptions may be configured to jump to the
line on the form, when selected, which requires attention. The user interface includes a Form Versions tab that shows a list of every prior version history of the form. When a prior form version is selected, the prior historical version of the form is displayed, showing what the form looked like at an earlier point in time, including any exceptions that may have existed. The user interface also includes a form log that shows detailed processing log entries and user entered notes, along with the timestamp for when they were created.

**Tax and Registration Forms**

The Oracle Enterprise Taxation and Policy Management Forms module supports both Tax Forms and Registration Forms. Tax Forms are form types that are processed in association with a taxpayer obligation. For example, a sales and use monthly form is a Tax Form. Tax Forms may be processed as original assessments, amendments, or as informational. Registration Forms are form types that are processed in association with a registration profile. Registration forms usually register new taxpayers or new tax roles, or provide updates to registration profile details. For example, a Change of Address form, or a New Business Registration Form, is a Registration Form.

**Forms Processing**

Regardless of the form type, all form transactions created within Oracle Enterprise Taxation and Policy Management will have a lifecycle that controls how and when the form moves through the various business process steps. New forms are initially entered in a pending state and are sent for validation once all required fields have been entered. If a form passes the validation, it is set to a final Posted status and any updates, such as creating new taxpayers or tax roles, updates to addresses, or financial tax assessments or credits, as created. If a form fails validation it is stored in a suspended status, and a To Do is created. The system will create an Issues List any time a form fails configured business rules. The Issues List highlights the specific Form Lines that are in error to simplify correcting Exceptions. As suspended forms are corrected, the Forms module maintains a history of the form versions and removes any open To Do records.

For Tax Forms, the Posted forms may be Adjusted, which allows a user to change lines on the form and process the updates. If a Tax Form has posted to the wrong obligation, it may be Transferred to a Suspended status, or updated and processed to the correct obligation. Forms processed in error may be cancelled or reversed. In each case, the financial effects of the tax form are updated accordingly.

**Forms Upload**

Forms Upload is responsible for staging batches of forms of all types and from all channels into Oracle Enterprise Taxation and Policy Management for processing. Forms may be received in many different formats, from many different channels. Most commonly used channels are:

- **Batch Upload.** Most forms are usually captured by internal or 3rd party data capture solutions. Forms are usually received in batches; each batch contains one or more form submissions.
- **Mass data entry.** The form data is manually keyed directly into Oracle Enterprise Taxation and Policy Management by tax authority staff. Forms are grouped in batches, each batch has control information that is used to validate that there are no missing forms.
- **Electronic file submissions,** such as eFile or web self-service

Forms that are received from these and other channels are loaded first to form upload staging tables for validation and reconciliation. This validates that the data is readable, the form type can be identified, and that the forms and payments in the batch reconcile to the forms batch header. Forms Upload reads forms in raw format from the staging tables, transforms and validates the forms, and stages the forms for more advanced business validation and processing.
Oracle Enterprise Taxation and Policy Management Payments

The Oracle Enterprise Taxation and Policy Management Payments module provides tax authorities with an enhanced level of flexibility in receiving, tracking, applying and managing payments.

Taxpayer Payment Processing

Payment processing begins when a payment is received by the tax authority from an input source. The Oracle Enterprise Taxation and Policy Management solution provides the flexibility to configure payment distribution rules for posting payments based on a number of factors such as taxpayer type, tax year and age of liability.

The Oracle Enterprise Taxation and Policy Management solution can manage payments from a number of sources: mailed-in payments, walk-in payments, payment processors, wire transfers, and so on. Data is loaded into payment staging tables. The system then creates the payment using the configured distribution rules to identify and prioritize obligations and applies the payment amount and creates the applicable accounting entries.

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

- Ability to validate international bank account numbers for automatic payments
- Allocation of a single collection payment received to cover multiple taxpayer accounts.
- Allowing for multiple tenders to be used to pay multiple accounts. The system will track the source of the collection payments.
- Ability to manually distribute a payment when a taxpayer directs a payment to specific obligation(s), if necessary.
- The system can support suspense type accounts and allow for the posting of transactions to suspense type accounts, allowing the tax authority to account for unidentified payments prior to posting to a the correct accounts.
- Prohibit the posting of transactions as defined in the user-defined/entered business rules.
- Tracking the source of the collection payment. For example, trustee, taxpayer, third party.
- 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 be configured to 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 authority business rules.

In the case of a payment processing exception, a To Do work item can be configured with the relevant data to 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 system can be configured such that the payment is registered and posted to a suspended payment account and a To Do sent to the payment exception processing work queue for resolution.

The Oracle Enterprise Taxation and Policy Management solution provides tax authorities with a number of possible payment rules that can be constructed based upon authority requirements. Utilizing Oracle Policy
Automation it is possible to apply payments and other credits to multiple obligations, another use is offsetting rules to take available refundable credits and apply them to outstanding obligations and other debts.

**Batch Payments**

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

**Automatic Payments (Direct Debit)**

The Oracle Enterprise Taxation and Policy 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 configured to be created at the time of billing, or delayed until the date they are to be extracted.

Pay plans 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 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 be managed and balanced, providing a cash management solution. The system allows reconciliation to be performed against multiple banks and deposit controls at the same time.

The Oracle Enterprise Taxation and Policy 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 overdue processing can be halted.

**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.

Oracle Enterprise Taxation and Policy Management Billing Module
The Oracle Enterprise Taxation and Policy Management solution supports billing for tax authority based assessment. This is useful for tax types where the tax authority does not require tax forms or self-assessed information from the taxpayer to establish a tax assessment.

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

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

- **Event-based 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 and Policy Management solution provides the capability to bill taxpayers for individual periods, groups of periods, 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 address authority business requirements for each tax type. In addition, the Oracle Enterprise Taxation and Policy Management solution has the ability to manage multiple versions of bill formats, allowing tax authorities 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 and Policy Management solution provides a bill print extract, along with a sample bill print template to facilitate both standard bill printing and online bill presentation. The online image can be viewed through 3rd party software called from within Oracle Enterprise Taxation and Policy Management.

Using the Oracle Enterprise Taxation and Policy 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 authority.

Oracle Enterprise Taxation and Policy Management Case Management
The Oracle Enterprise Taxation and Policy Management solution includes features to support collection and compliance needs using flexible process configuration. Different activity treatment streams can be handled, with additional configuration to Oracle Enterprise Taxation and Policy Management’s overdue processing function, 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 initiates the appropriate activities based on the configuration of the overdue process. The system can be further customized to load debt information sourced from outside of Oracle Enterprise Taxation and Policy Management that can also be collected on through the overdue processing feature. Overdue debts may be transitioned into collection cases that follow an implementation's prescribed review and escalation process before marking the debts for transfer to an external collection agency.

The Oracle Enterprise Taxation and Policy 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. Another goal of this process area is to promote fairness by stabilizing traditional compliance activities in audit, collection, and enforcement.

An implementation may use the Oracle Enterprise Taxation and Policy Management Case Management module on its own to manage case processing for account balances that have been imported to ETM from other systems. An implementation will be able to transition overdue and collection cases either manually or automatically based on their unique requirements when the Case Management module is licensed. In addition, the tax authority will be able to initiate new audit and bankruptcy cases for debts or filings as required. The Case Management module also includes the ability to hold business processing for obligations suppressed by existing cases such as audit, appeal and bankruptcy cases. The system tracks cases through their entire life cycle. The following list highlights some of the features that can be configured to support compliance activities:

- Allows for implementation specific defined criteria in the identification of potential taxpayer audit candidates.
- Alert a potential audit candidate, forward the account to an auditors work queue, and open up a To Do activity for the auditor.
- Prioritize audit case activities based upon tax types, tax liability, etc.
- Monitor all case activities including but not limited to: cases under review, cases on alert, audit case progression, status, etc.
- Allows system users to enter details about the case to the taxpayer account.

The following features are supported by this module.

Collection

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

Flexibility of Collection Rules and Treatment Streams

Tax overdue processing is triggered systematically by an Account Monitor for taxpayer accounts and the automatic creation of collection cases based on tax authority rules. Rules can be configured and tailored to conform to
specific regulatory requirements and authority 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 and Policy Management solution monitors compliance automatically. Additionally the system allows for the manual creation and manual triggering of events for accounts.

**Encouraging Taxpayers to Pay**

The Oracle Enterprise Taxation and Policy Management solution regularly monitors how much taxpayers owe to validate they have not violated pay plan 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 authorities 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 and Policy Management solution are intended to encourage a taxpayer to pay the delinquent tax liability. These events include generation of collection 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 authority including: individual account periods, groups of account periods under a specific account, or groups of accounts.

**Pay Plans**

Oracle Enterprise Taxation and Policy Management provides a robust pay plan user interface. A pay plan is an agreement with specifically scheduled payments to meet tax obligations. System users can configure parameters that define the pay plan options, including: covered obligations, type of pay plan (fixed amount or fixed duration), interest rate and penalties to charge the taxpayer, and total number of installment payments. In addition, the system can be configured to issue regular reminder letters prompting the taxpayer for payment and regularly monitors the plan for default. If the taxpayer defaults, the automated process can be configured to trigger immediate follow-up actions as defined by the authority’s business practices.

**Champion/Challenger**

Champion/challenger functionality provides the ability for an authority 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 comparative analysis to improve the effectiveness of business practices through the use of alternate types of business process templates. Reports can be configured 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 and Policy Management solution can be configured to maintain 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. Configuration specialists can define both how long each event impacts a rating and how the rating impacts future collection actions. This allows tax authorities to vary compliance and collection actions based on a taxpayer’s filing and payment history.

Audits

Tax authorities rely on Audit organizations to review taxpayers’ filings and external data sources to ensure that the appropriate tax revenue is being claimed by the known taxpayer base. Audit case investigations may also identify citizens or businesses that should be filing and paying taxes but are not. Oracle Enterprise Taxation and Policy Management allows a tax authority to define one or more audit case processes as required to investigate, assess, review and approve audit assessments in the system. Audit assessments are proposed and finalized through the use of audit tax forms. These forms are held for review until an assigned supervisor has approved the proposed audit assessment to be posted. The review process allows users to record decisions made regarding the audit case and when that decision was made. If a decision is past due, the system will flag the audit case for follow up so that the review can be completed. If required, the proposed audit assessment may be updated before being completed. Audit case types can be defined to automatically suppress any obligations that are part of an active audit case.

Bankruptcy Cases

Bankruptcy cases can be managed in Oracle Enterprise Taxation and Policy Management through the use of configured bankruptcy case types. Maintenance of these cases would include identifying the obligations that should be part of the case, maintaining milestone dates, assigning the case to one or more users and identifying people who should be related to the case due to their distinct responsibility for some aspect of the taxpayer’s outstanding debts. Oracle Enterprise Taxation and Policy Management bankruptcy cases support a number of different actions that can be initiated as part of a bankruptcy case including the creation of proof of claim notices, initiating pay plans and the automatic suppression of obligations tied to a bankruptcy case.

Managing Taxpayer Appeals

Appeal cases can be used to document a taxpayer's dispute regarding some action that has taken place in their tax accounts. Appeals typically impact one or more obligations where the taxpayer takes grievances to different hearing boards or courts to attempt to resolve these grievances. The appeal case functionality in Oracle Enterprise Taxation and Policy Management supports a configurable set of reviews that can be conducted as part of an appeal case. Reviews are used by the system to record decisions made by either the tax authority or an external party such as an appeal court. Reviews are also used to record the taxpayer's response to those decisions. If a decision is past due, the system will flag the audit case for follow up so that the review can be completed. In addition, a processing option can be defined to evaluate whether an appeal is valid or not. A sample validation rule is provided through Oracle Policy Automation that determines if an appeal was received within a specific period of time. Appeal case types can be defined to automatically create suppression records for all obligations that are part of an open appeal case. Like audit and bankruptcy cases, appeal cases can be assigned to one or more responsible users and may have one or more related persons that can be contacted regarding an open appeal case.

Suppression

Suppression functionality provides the ability to hold system processing for objects that are tied to an open suppression record. Oracle Enterprise Taxation and Policy Management currently supports suppression of penalty
and interest calculations, overdue processing and overpayment processing. Suppression records may be created manually or automatically by other processes. Appeal, audit and bankruptcy case types can be configured to create suppressions against one or more of the processes above. Suppression records created by these processes are also automatically closed when these cases are resolved.

Oracle Enterprise Taxation and Policy Management Foundation Module

The Oracle Enterprise Taxation and Policy Management Foundation module provides the base platform upon which functional modules are built. With a strong focus on performance, usability, and internationalization, all features and functions in Foundation are generic in nature and may be extended and customized as needed by other functional modules.

Policy Modeling and Automation

Oracle Policy Modeling provides a complete natural-language, rule-authoring environment fully integrated with Microsoft Office to transform policy documents into executable rule models. It includes debugging, regression testing, and what-if analysis for policy changes.

Oracle's Policy Automation solution is designed to bridge the gap between the policy owner and the end user by providing out-of-the-box tools for designing, testing, and deploying policies. Customers can use the features of Oracle Enterprise Taxation and Policy Management to implement model and deploy business rules and policies tailored to their own policies and laws. By providing visibility into complex system logic that is natural and uses easy-to-understand language, the software empowers individual policy managers to make policy changes as required, which results in an increase in organizational agility and a reduction in overall IT project costs.

For end users, deployment of specific policies directly into the applications they interact with provides accuracy, consistency, and easy audit-tracking in the decision-making process.

Policy Modeling with Microsoft Word and Excel

Oracle Policy Modeling’s unique natural-language authoring capabilities allow government subject matter experts to develop rules directly from complex legislative text, policy documents, and regulations using Microsoft Word and Microsoft Excel. This reduces both the amount of training required and reliance on technical staff because no scripting or programming is needed, and rules are written and maintained using familiar business software.

Assess Impact of Policy Changes

Oracle Policy Automation makes it possible to easily manage changes in both personal circumstances and policy rules that occur over time.

Comprehensive testing and policy simulation capabilities within Oracle Policy Modeling allow you to pinpoint the impact of proposed legislation, regulations, and policy changes. By enabling what-if analysis of proposed amendments, you can analyze the impact of change. Being prepared results in more consistent service delivery, as well as ensuring that policies are optimally targeted to achieve government aims.

Oracle Policy Automation Connector

Oracle Enterprise Taxation and Policy Management includes a facility that simplifies the steps required to integrate an Oracle Policy Automation rule into existing business processes in Oracle Enterprise Taxation Management. This takes message layouts defined by a completed Oracle Policy Automation rule and generates the services required to use that rule in Oracle Enterprise Taxation Management processing.
Decision Reports
Detailed reports are automatically generated that allow viewing, document, and justifying each step of the decision process. This results in greater trust between government and its citizens significantly reducing complaints and appeals.

Web Determinations
Oracle Policy Automation features Web-based, interactive questionnaires that allow your organization to quickly and transparently deal with eligibility determination, offer consistently high call center performance.

Determinations Server
Oracle Determinations Server allows multiple rules to be passed in a single request, and the results for each rule are then all handled within that one request. This prevents the need for multiple web service round-trips to Determinations Server, eliminating the latency caused from making multiple calls.

Processing Efficiency
The engine embedded within Oracle Policy Automation implements an algorithm called Linear Inferencing. This algorithm has been specifically designed to take advantage of the large on-chip cache found in modern CPUs. Linear Inferencing works by keeping in memory a single read-only dependency graph for the policy model, which is shared by all active sessions. Since this graph is almost always smaller than the available on-chip cache, this helps ensure that processing policy models is extremely fast.

Impact of Policy Model Size
Oracle Policy Automation enforces a modeling style that ensures every policy model can be quickly and consistently processed, regardless of what data is used. In this approach, there is no iteration or “rule-firing” cycle that takes place – a single pass through the rules is always sufficient to know what decisions can be reached. This ensures that the impact is minimized of increases in policy model size and complexity, and eliminates the need to go through a policy modeling optimization process prior to deployment. Because the rules are effectively always optimized, the result is faster processing, for every model size and complexity.

Data Handling Approach
Oracle Policy Automation’s Determinations Server operates completely independently from Oracle Enterprise Taxation Management database. That is, each web service call to Oracle Determinations Server passes all the data needed to make each decision (or decisions), and the application never retrieves additional data from a database. This encourages good architectural practice since only the application that “owns” the database should access the data directly. But it also maximizes the performance of the Determinations Server by reducing resource contention for database connections, and eliminates the need for both inbound and outbound network connections from the application server.

Scalability
Oracle Web Determinations provides an interactive web application for user guidance that uses deployed policy models. Standard scalability techniques are supported, such as clustering servers behind a load-balancing router, or employing an application server’s native software load-balancing capabilities. Scaling up on a single server is also very efficient.

Oracle Determinations Server provides a coarse-grained web service that also fully supports standard scalability approaches. Furthermore, because Oracle Determinations Server is completely stateless, no server affinity is
required, and every request can be dynamically routed as needed to whichever server is currently experiencing the least load. The processing capabilities of multi-core and multi-processor are also efficiently utilized as available.

**End-User Features**

End users work with Oracle Enterprise Taxation and Policy 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, 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 and contact-related information in order to provide a taxpayer-centric view. The portal provides access to the most commonly requested information as well as search zones for taxpayer details. Content zones within the taxpayer portal can be configured to 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 and can be customized to add new zones.

**Always-Available Dashboard**

The “Dashboard” is a common area of the screen populated 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 and Policy Management solution. Examples of information the Dashboard can display include:

- 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. The Dashboard can be extended and customized to add new zones to meet a tax authority’s needs.

**Taxpayer Contacts**

The Oracle Enterprise Taxation and Policy Management Foundation module provides the ability to track taxpayer contact records, including letter generation. Correspondence can be automatically sent to taxpayers based on business rules defined for the business processes where communication is needed. Correspondence can also be triggered manually.
Taxpayer contact notes are maintained as customer contact records. These records are used to keep details of contacts initiated by both the taxpayer and the authority. All taxpayer contacts (telephone conversations, letters, emails, etc.) can be logged and categorized. In addition, the Oracle Enterprise Taxation and Policy 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 customer contact (usually a letter or notice) when a specified user-defined characteristic nears its expiration date. Oracle Enterprise Taxation and Policy Management can be configured, 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 can be configured within Oracle Enterprise Taxation and Policy Management to be attached at all levels of the taxpayer record.

**Documentation and Online Help**

The Oracle Enterprise Taxation and Policy 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.

For customer specific help, Oracle Enterprise Taxation and Policy Management provides a zone tip feature that allows user configured URL’s to be used that can link an end user to a customer specific help document. In addition, field level help can be configured to enhance the existing product help.

**Searchable Index in Online Help**

The Oracle Enterprise Taxation and Policy 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 location. Users can employ multiple search criteria including; 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 and Policy 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.

Trees, Graphs, and Sortable Searches
The Oracle Enterprise Taxation and Policy Management solution provides many graphical tree structures that provide users with a representation of key data relationships (e.g., the taxpayer and tax type linked to an account). When a taxpayer has many associated accounts, the tree view automatically limits the amount of data shown to the user and provides account balances with drill-downs where appropriate. 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.

Application Security

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

Transaction security - limits the ability to perform system functions based on configured 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 to 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 and Policy Management solution can restrict access to specific zones, adding an extra level of granularity to transaction-based security. Each zone within a portal can be secured separately, allowing different users to access different zones within the same portal. In other words, restricted users can still access a particular function, but are restricted from accessing certain data within that function.

Field-level security – field-level security logic is added with some programming, examples of coding are provided within the product documentation, required by a configuration specialist and gives the greatest amount of flexibility and detail for application security since it allows tax authorities to restrict access to any individual data object (or field) within the system. For example, an authority can configure field-level security that only allows collection supervisors to change the status field of a payment agreement. Furthermore, the Oracle Enterprise Taxation and Policy 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 and Policy 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 and specifying the audit table and program that will populate the audit detail.

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.

Audit on Inquiry
In addition to auditing when data values in the system are updated, Oracle Enterprise Taxation and Policy Management can also be configured to capture details when specific records are searched for and displayed. The system provides a page to review captured inquiry audit records to allow users to investigate how specific records have been accessed or how specific users have been reviewing taxpayer details. These features allow an implementation to know what users have viewed specific records which helps with freedom of information act and internal audit reviews.

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 and Policy Management user and group functions are available. This integration includes group level security and updates for new users and groups.

Security Product Integration
The security capabilities of the Oracle Enterprise Taxation and Policy Management solution include the optional use of other security products to enhance the overall capabilities of an implementation. Oracle Identity Manager
can be used to provision new users and user groups for use in the system. The system allows implementations to manage settings in Oracle Enterprise Taxation Management to enable use of Oracle Identity Manager and Oracle Access Manager features. In addition, an Oracle database option called Database Vault can optionally be used to restrict access to application data for system and DBA users.

Data Masking
The Oracle Enterprise Taxation and Policy Management solution provides tax authorities with the ability to mask certain data fields within the system allowing only specified users to view sensitive information such as personal identification numbers. This feature is controlled at a user level and provides flexible configuration to mask the entire data record or some portion of the data field.

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

Process Flow
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 processes of a longer duration. In the Oracle Enterprise Taxation and Policy Management solution, Process Flow provides the features needed for tracking and managing these issues, capturing data as the process is worked to track service levels and create resolution statistics.

Process Flows are established on the basis of taxpayer inquiries, problems or issues that require follow-up to resolve. The system solution can be configured to provide support for the following:

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

Process Flow 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 process flow that can be configured for include:

- Taxpayer requests for information.
- Tracking liens and levies.
- Tracking of taxpayer exempt status permit processing.

Tax Authority-defined Process Flow Types
Process flow 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 process flow maintenance transaction.

Automatic state transitions monitor the process flow 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 process flow type - there are several methods for specifying the rules for the process flow. A process flow can have an unlimited number of data attributes, stored as characteristics. Characteristic types can be set as optional or required for the process flow, and default values can be defined on the process flow type to speed entry. If a user attempts to save a process flow without all the required characteristics, a system error will be generated.

**Process Flow Logs**

Each process flow has a log file, which consists of a combination of automatic system entries and manually entered comments. Each time the state of the process flow 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 process flow providing a full history of the lifecycle of the process flow.

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

**Quick Creation of Process Flows**

Users can create a new process flow that is linked to the current taxpayer. Scripts can be configured and can then be used to speed the entry of additional data onto the process flow, particularly for common scenarios.

**Escalation**

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

**To Do's and Alerts**

The Oracle Enterprise Taxation and Policy 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 forms, or aged process flows 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 and Policy 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 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.

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 and Policy Management solution with other systems, using SOA principles and standards. The XAI functionality exposes any Oracle Enterprise Taxation and Policy Management business object as a web services-based message service. This allows for tremendous flexibility and adaptability for tax authorities as they integrate both internal processes and with business partners and other government organizations.

The XAI feature includes a schema editor that provides a graphical environment that allowing organizations to create, import, and maintain site specific 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 and Policy 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 and Policy 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 and Policy 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.

**Application Extendability**

**Portal and Zone Architecture**

The user interface of the Oracle Enterprise Taxation and Policy Management solution is created with “portals” and “zones” built using Ajax programming to optimize performance. Portals are gateways or specific views of the business. Portals can be configured to group various data views that display 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 and Policy 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 and Policy 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 and Policy Management solution, tax and revenue authorities can take full advantage of user centered design principles.

UI Maps (HTML)
A UI map is a meta-data object that holds the HTML that appears in map zones to provide a more aesthetically pleasing user experience. The Oracle Enterprise Taxation and Policy Management solution provides UI map features with easy to use configuration tools to personalize the user interfaces specific to implementing organizations. These features include map zones for display only information and information zones to hold grids of information related to the object being displayed in a portal. HTML is used to define the structure of the page, CSS is used to define the look of the page and JavaScript is used to enable actions against HTML elements or data on the page.

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 and Policy 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 authorities 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 and Policy Management solution provides sample BPA templates and scripts to allow authorities to get a fast start with this powerful user productivity tool.

Plug-ins
Every tax authority 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 facilitate these requirements, the Oracle Enterprise Taxation and Policy Management solution offers a “plug-in” architecture that allows custom logic to be plugged into key processing points. Plug-ins are a powerful, modular approach to address core tax authority 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 and Policy 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.

Business Objects (BO’s)

Oracle Enterprise Taxation and Policy Management has added base business objects, allowing for faster implementations for tax authorities. A Business Object is a logical domain specific object that has a configurable lifecycle, plug-in spots, and allows for extensions and overrides to suit tax authority requirements. These base BO’s can be used as-is, or can be used as foundational objects by a tax authority to create implementation specific BO’s. Utilizing an inheritance feature, new implementation BO’s can be created by inheriting the base BO’s functionality and sharing the same lifecycle.

Implementation specific BO’s can reference existing pre-defined table structures within Oracle Enterprise Taxation and Policy Management called maintenance objects, a configurable Fact maintenance object, or a custom, implementation created maintenance object. The Fact maintenance object is a generic entity that can be configured to represent custom entities and support automated workflows for a variety of applications. The Fact object utilizes the power of a business object to quickly adapt the system to a tax authority specific business process without the need to create additional custom objects within the database.

Configuration through Metadata Changes

Access is provided to 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 and Policy 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 and Policy 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 and Policy 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 and Policy 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.

Revision Control

Oracle Enterprise Taxation and Policy Management provides a revision control feature to allow tax authorities the ability to control changes to system objects. The revision control feature can be turned on during installation and when active, developers must check out a development object before being able to make any programming changes. This feature allows developers to check in the changed object and/or revert back to the original, reinstate
an older version of a development object and recover deleted objects allowing for greater control over the integrity of configuration objects.

**Import and Export Bundles**

Another feature within the Oracle Enterprise Taxation and Policy Management solution is a system object bundling feature that will allow implementations to group system entities together and export and import these bundles between environments. This feature reduces the effort required in moving tax authority specific configurations from development environments into QA, Testing and Production environments. Bundles are created by an authorized administrative user searching for and selecting desired system objects to be moved. Once selected the objects are stored within an XML file that can then easily be exported from one instance and imported into another instance.

**Software Development Kit**

The Oracle Enterprise Taxation and Policy Management solution is supplied with the Oracle Enterprise Taxation and Policy 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 and naming standards. The guidelines are used to maintain the compatibility of site-specific extensions and customizations with future system upgrades.

**Operations Support**

**Process to Populate Language Tables**

A 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 forms 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), Adjustment Upload, and XML Staging.

**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 and Policy 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 needed for integration that executes 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 and Policy 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 and Policy 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 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 and Policy 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 and Policy Management solution provides batch-process submission tools that are best suited for ad-hoc batch runs. Tax authorities should use an external batch-scheduling tool for regular and scheduled requests that include multi-threaded job dependencies.

The Oracle Enterprise Taxation and Policy 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 and Policy Management solution batch processes are re-startable. For example, if a batch process is interrupted unexpectedly, the database is not 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.

Upgrade Tools
With the Oracle Enterprise Taxation and Policy 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.

Currency and Language Support

Multi-Language
The Oracle Enterprise Taxation and Policy 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 and Policy 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.
SUPPORTED LANGUAGES

Oracle Enterprise Taxation and Policy Management is currently available in English, Arabic and Latin American Spanish. 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 and Policy Management solution to additional language packages.

Refer to Oracle Policy Automation documentation for the list of languages supported by Oracle Policy Automation and Oracle Policy Modeling.

TRAINING

Oracle offers an extensive curriculum of training courses for Oracle Enterprise Taxation and Policy Management. The training courses available include: Fundamentals, Configuration Tools, Software Development Kit, Web Services, Batch Processing, and ConfigLab. For more information on training, please contact your Oracle Enterprise Taxation and Policy Management representative.

Oracle offers classroom workshops for Oracle Enterprise Taxation and Policy Management (ETPM), which may be conducted at client facilities. The outlines for the available Oracle Enterprise Taxation and Policy Management workshops are included below:

<table>
<thead>
<tr>
<th>Training Workshop</th>
<th>Duration</th>
<th>Audience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oracle ETPM Fundamentals</td>
<td>5-day</td>
<td>Architects, Designers, Developers, Project Managers, and Project Directors</td>
</tr>
<tr>
<td>OUAF 4.x Configuration Tools - Foundation</td>
<td>5-day</td>
<td>Technical Staff (e.g., Architects, Designers, Developers) and Support Staff</td>
</tr>
<tr>
<td>OUAF 4.x Configuration Tools - GUI</td>
<td>5-day</td>
<td>Architects, Designers, Developers and Support Staff</td>
</tr>
<tr>
<td>Technical Training</td>
<td>13-days</td>
<td>Technical Staff</td>
</tr>
</tbody>
</table>

Oracle Enterprise Taxation and Policy Management Functional Courses:

**Oracle ETPM Functional Workshop – Oracle ETPM Fundamentals for Implementers**

<table>
<thead>
<tr>
<th>Description</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Oracle ETPM Fundamentals for Implementers provides an overview of the core functionality of the Oracle ETPM application. Attendees will use many of the basic elements of the Oracle ETPM infrastructure to set up users, bill customers, perform financial transactions, set up process flows, and to understand interfaces and extending the applications.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Format</th>
<th>Prerequisites</th>
<th>Duration</th>
<th>Audience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instructor-led</td>
<td>None</td>
<td>5-days (40 hours)</td>
<td>Architects, Designers, Developers, Project Managers, and Project Directors</td>
</tr>
</tbody>
</table>

| Materials Provided |   |   |   |
| Workshop presentation materials, a workbook, which includes review questions, and guided walkthroughs with examples |   |   |   |

| Audience |   |   |
| Architects, Designers, Developers, Project Managers, and Project Directors |   |   |
Oracle ETPM Functional Workshop – Oracle ETPM Fundamentals for Implementers

Topics
- Navigation and UI
- Security and System Concepts
- Oracle Policy Modeling and Automation
- Taxpayer Information and Registration
- Forms Processing
- Rates
- Financial Transactions
- Penalty and Interest
- Payments
- Overpayments
- Collections
- Suppression
- Appeals
- Audit
- Bankruptcy
- Process Flow
- Correspondence
- To Do’s

Oracle Utilities Application Framework Configuration Tools Courses:

Oracle Utilities Application Framework Configuration Workshop – OUAF 4.x Configuration Tools - Foundation

Description
The Oracle Utilities Application Framework 4.x Configuration Tools – Foundation workshop introduces the configuration tools that enable more upgradeable and extendable applications using the provided framework features.

Format
Instructor-led with practical hands-on exercises

Duration
5-days (40 hours)

Prerequisites
Oracle ETPM Fundamentals for implementers

Materials provided
Workshop presentation materials, a workbook, which includes workshop content, review questions, and comprehensive case studies

Audience
Technical Staff (e.g., Architects, Designers, Developers) and Support Staff

Topics
Business Objects:
- Elements
- Business Rules
- Inheritance
- Lifecycle
- Options
- Access Rights
- Algorithm Parameters vs. Business Object Option vs. Admin Business Objects

Scripts:
- Plug-in Scripts
- Service Scripts
- Business Services
- Other:
- Anticipating Site Specific Enhancements
- Advanced Techniques
- Technology Overview
- Requirement Walk Thru

Oracle Utilities Application Framework Configuration Workshop – OUAF 4.x Configuration Tools - GUI

Description
The Oracle Utilities Application Framework 4.x Configuration Tools – GUI workshop introduces the configuration tools that enable more upgradeable and extendable applications using the provided framework features.
### Oracle Utilities Application Framework Configuration Workshop – OUAF 4.x Configuration Tools - GUI

<table>
<thead>
<tr>
<th>Format</th>
<th>Instructor-led with practical hands-on exercises</th>
<th>Duration</th>
<th>5-days (40 hours)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prerequisites</td>
<td>Oracle ETPM Fundamentals for implementers</td>
<td>Audience</td>
<td>Technical Staff (e.g., Architects, Designers, Developers) and Support Staff</td>
</tr>
<tr>
<td>Materials provided</td>
<td>Workshop presentation materials, a workbook, which includes workshop content, review questions, and comprehensive case studies.</td>
<td>Technical Staff</td>
<td></td>
</tr>
<tr>
<td>Topics</td>
<td>UI Components:</td>
<td>Scripts:</td>
<td>Other:</td>
</tr>
<tr>
<td></td>
<td>- UI Maps</td>
<td>- BPA Scripts</td>
<td>- Maintenance Patterns</td>
</tr>
<tr>
<td></td>
<td>- Info Zones</td>
<td></td>
<td>- Revision Control</td>
</tr>
<tr>
<td></td>
<td>- Query Zones</td>
<td></td>
<td>- Bundling</td>
</tr>
<tr>
<td></td>
<td>- Map Zones</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Other UI Features and Tools</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Oracle Enterprise Taxation and Policy Management Technical Workshops:

#### Technical Workshops

**Description**
This series of workshops is intended for Technical Staff and Technical Support Staff. The workshops contain hands-on practice with the tools and techniques necessary to operate Oracle ETPM. These workshop components can be taken individually as needed provided the prerequisites are honored.

<table>
<thead>
<tr>
<th>Format</th>
<th>Instructor-led with practical hands-on exercises</th>
<th>Duration</th>
<th>13-days (104 hours)</th>
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</thead>
<tbody>
<tr>
<td>Prerequisites</td>
<td>See below, differs per component.</td>
<td>Audience</td>
<td>Technical Staff</td>
</tr>
<tr>
<td>Materials provided</td>
<td>Workshop presentation materials, a workbook, which includes workshop content, review questions, and comprehensive case studies.</td>
<td></td>
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</tr>
</tbody>
</table>

**Background Processing (1 day/8 hours)**
This workshop introduces the concepts of background processing and how to submit background processes within Oracle's Enterprise Taxation and Policy Management. The submission types introduced in this workshop includes Interactive, Online, External Scheduler and Batch Scheduler submissions. The workshop provides an overview of the Oracle ETPM's Batch Schedule and demonstrates how background processing works. Other components of batch processing presented include the standard parameters, batch controls, and the batch run tree.  
(Prerequisite: Oracle ETPM Fundamentals)

**Web Services Integration (Foundation) (1 day/8 hours)**
This workshop provides an overview of integration concepts using the XAI (XML Application Integration) tool in Oracle ETPM. This includes exposing and managing Web services and working with XAI senders, receivers, and transformations.  
(Prerequisite: Oracle ETPM Fundamentals)
Web Services Integration (Advanced) (1 days/8 hours)

This workshop provides an overview of integration concepts using the XAI (XML Application Integration) tool in Oracle ETPM. This includes hand-on experience with design and implementation of Oracle ETPM XAI service and external component interface with Oracle ETPM application. This also includes exploring MPL (Multi Purpose Listener) and how it integrates with different third-party components (e-mail, JMS, MQ).

(Prerequisite: Web Services Integration – Foundation)

Configuration Lab and Archiving (1 day/8 hours)

This workshop provides participants with an understanding of Data Migrations in Oracle ETPM. The participants will go through the process of setting up migration references, the promotion model, creating data comparison processes, the data approval and rejection method, and applying changes to target environments.

(Prerequisite: Oracle ETPM Fundamentals)

Technical Foundation (1 day/8 hours)

The Technical Framework workshop is an overview of how to maintain Oracle ETPM. This includes starting and stopping Oracle ETPM and general architecture. Participants will also be introduced to multiple configuration types including Client Configuration, Hibernate Configuration, Security Configuration and Web Application Server Configuration. In addition, the concepts of system monitoring and system troubleshooting are introduced.

SDK – Developer Training (8 days/64 hours)

This workshop provides an overview the Oracle ETPM framework architecture. It provides participants with a better understanding of customization and creating pieces within various layers of the application. Also an introduction is provided for using a development IDE (Eclipse) to create various tools for Oracle ETPM (e.g., batch, algorithms, business entities).

(Prerequisites: Oracle ETPM Fundamentals, Oracle ETPM Configuration Tools)

SUPPORTED PLATFORMS

Oracle Enterprise Taxation Management

The Oracle Enterprise Taxation Management version 2.3.0 availability release will update the following supported platform components. Certification of platform components not mentioned here are unchanged in version 2.3.0.

Note: Please check the Oracle.com Support web site for the latest supported platforms as this information can change periodically.

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 3rd party software components may also be changing based on requirements for Java 5.

Web Browser Requirements

The following Operating System / Web Browser software is supported:

- Windows XP SP3 or higher:
  - Internet Explorer 7.x or 8.x
  - Mozilla Firefox 3.5 or higher
- Windows 7:
  - Internet Explorer 7.x or 8.x
  - Mozilla Firefox 3.5 or higher
Operating Systems and Application Servers

The following table details the operating system and application server combinations on which Oracle Enterprise Taxation and Policy Management version 2.3.0 has been tested and certified.

<table>
<thead>
<tr>
<th>Browser</th>
<th>Operating System (Client)</th>
<th>Operating System (Server)</th>
<th>Chipset</th>
<th>Application Server</th>
<th>Database</th>
</tr>
</thead>
<tbody>
<tr>
<td>IE 7.x</td>
<td></td>
<td>AIX 6.1 (64-bit)</td>
<td>Power 64-bit</td>
<td>WebLogic 10.3.3</td>
<td>Oracle 11.2.0.1</td>
</tr>
<tr>
<td>IE 8.x</td>
<td>Windows XP SP3</td>
<td></td>
<td></td>
<td>WebSphere Basic</td>
<td></td>
</tr>
<tr>
<td>Mozilla Firefox 3.5 or higher</td>
<td>Windows 7</td>
<td>Oracle Linux 5.5 (64-bit)</td>
<td>x86_64</td>
<td>WebLogic 10.3.3</td>
<td>Oracle 11.2.0.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Red Hat Enterprise Linux 5.5 (64-bit)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sun Solaris 10 Update 8 (64-bit)</td>
<td>SPARC</td>
<td>WebLogic 10.3.3</td>
<td>Oracle 11.2.0.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Windows 2008 Server SP2</td>
<td>x86_64</td>
<td>WebLogic 10.3.3</td>
<td>Oracle 11.2.0.1</td>
</tr>
</tbody>
</table>

Oracle Database Servers

Oracle Enterprise Taxation and Policy Management version 2.3.0 is supported with Oracle Database Server 11.2.0.1 on all of the operating systems listed above.

The Oracle 11.2.0.1 client is required for this version of the database server.

The following Oracle Database Server Editions are supported:

- Oracle Database Server Standard Edition
- Oracle Database Server Enterprise Edition

Oracle Policy Automation

Refer to Oracle Policy Automation documentation for the platforms supported by Oracle Policy Automation and Oracle Policy Modeling.

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This Oracle Enterprise Taxation and Policy Management Features and Functionality Overview and any additional detail subsequently supplied does not constitute a definition of the Oracle Enterprise Taxation and Policy Management "product" for purposes of contract, warranty or support; such "product" definition is the task of the documentation shipped with physical "product."

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