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Compliance Management System- Legal Management using SAP

Shaswati Silona Patra, SK. Althaf Rahaman, K. Vanitha

Abstract*: Compliance management system is known as comprehensive compliance program and in short it's called as CMS. CMS comprises the written documents, process, functions and controls. It aims to help organization in legal requirements and minimize harm to consumers due to violations of law. A CMS system works in functional area of an organization such as advertising, sales, operations and administrations. This brings the improvement in execution plan, communicating the program and monitoring.

Keywords: Compliance management, SAP (ABAP), S/4HANA

I. INTRODUCTION

Compliance management system comprises the written documents, processes, functions and controls. It helps an organization to handle the legal requirements and tries to reduce the harm to consumers due to violations of law [5, 6]. It targets every functional area in an organization, starting from sales to advertising to operations and administration. It brings the development in execution, communicating the program and monitoring. It makes sure that feedback gets tracked efficiently and act on it. A good Compliance Management System can identify the risks actively which is considered to an organization while Meeting multiple managerial requirements [7, 8].

The Specification is the basis for the developments on multiple managerial requirements and that development will be done by SAP. SAP custom development methodology, creates the link between the Business requirements and the technical design. It also helps to ease the transactions volume.

II. PROPOSED SYSTEM

Proposed system is the updated method of existing procedure. Fast retrieval and data accuracy will be the major benefits of the system and also errors can be minimized. It secures the password to protect the system from unauthorized access. The modern computerized systems are developed to get rid of the drawbacks of existing system. The proposed system has many advantages.

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***** Correspondence Author
Shaswati Silona Patra*, Computer science, GITAM deemed to be University, Visakhapatnam, India. Email: shaswatisilonapatra@gmail.com
SK. Althaf Rahaman, Computer Science, GITAM deemed to be University, Visakhapatnam, India. Email: rahmanalthaf@gmail.com
K. Vanitha, Computer Science, GITAM deemed to be University, Visakhapatnam, India. Email: vanithagitam@gmail.com

The updated system is more personalized and it is made in an easy referential manner. The advantages of proposed system are that security is maintained in the updated system.All the new users can understand all the options of it very easily.

III. REQUIREMENT ANALYSIS

Requirement specification

In initial screen, mentioned below the screen of Legal management system will be appeared to user. Fig. 1 shows the initial screen.

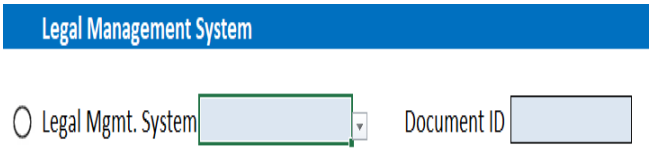

Fig. 1. Initial screen

In Legal mgmt. system 3 options will be available in dropdown list. User need to select option according to their requirements.

Sections Details:

A. Location Details

B. Location details

Fig. 2 shows the location details.

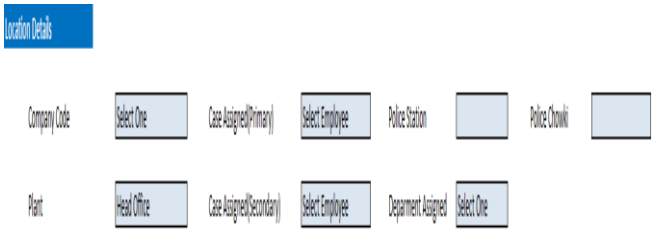

Fig. 2. Location details

If user selects 1000 company_code then user will get the only 1000 company _code related to plants. User needs to update this master table according to their needs.

F4 help option will be available in the location details. Police station and police chowki field will not be filled by user manually.Plant name also require to visible after selection of plant code. Fig. 3 and Fig. 4 shows company code and plant code respectively.

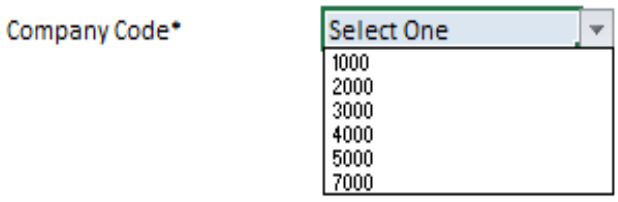

Fig. 3. Company code

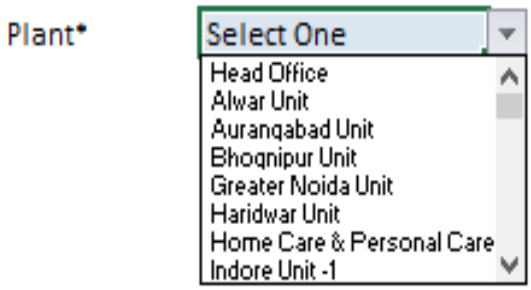

Fig. 4. Plant Code

Fig. 5 shows the court details

Fig. 5. Court Details

Fig.5 shows when user selects state UP, then the user will get the district, Court/Forum type, name of the court related to the selected state, address and authority field will be filled manually by user. In this case also, user needs to update this master table according to their needs.Fig. 6 shows the dropdown list of Court/Forum type that shared by the team if there is need to remove or add list then user have to share that.

COURT/FORM TYPE
District Court
High Court
Supreme court
Tribunal court
Lok Adalat
ADM
Registrar of companies
Labour Court
Administrative tribunal court
Others

Fig. 6. Type of courts

Fig. 7 displays the Case details of Legal management.

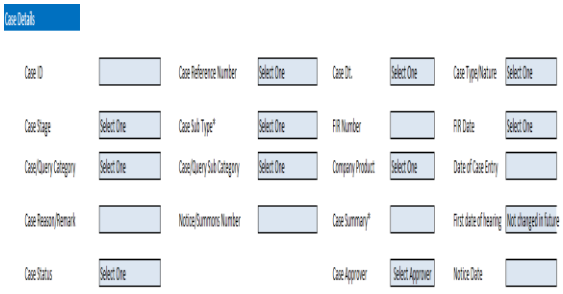

Fig. 7. Case details

In case details, once user enter first date of hearing, then this can't be changed in the future. Case ID, FIR number, Case reference number and notice/summons will be given by the court and filled manually by user.F4 help option will be available in the following fields those are Case Dt., FIR Date, Date of case, First hearing date, Case approver and Notice date.

IV. METHODOLOGIES

In some small organizations custom development projects are very small and involve one or two ABAP programmers implementing user exits or enhancements and in large organizations projects are very large and include custom development of complete, complex bolt-on subsystems by a large on site development teams [3].

It doesn't matter whether it is large, medium or small in size, it always pays off to approach in well-organized manner with potential of future expansion in mind [3]. When it's doing any software development, it is important to focus on source code reusability, testing and documentation of components.

Adding Component Documentation Step: Fig. 8 emphasizes the importance of the Development Components in building libraries of well documented and tested reusable programming objects:

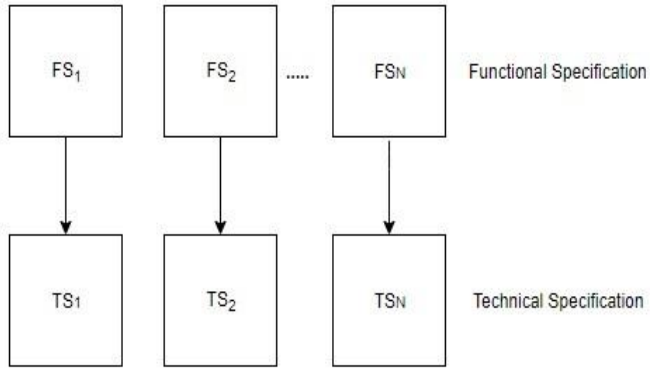

Fig. 8. Develop components of tested object.

SAP HANA helps in storing and retrieving the data whatever application demands. S/4 HANA is the successor of SAP ERP [2, 4]. S/4 HANA process huge amount of real time data in less time [2]. ERP system runs in database system which works as a simple tool design [4].

Architecture diagram:

This diagram represents the main concept of project which includes their principles, components and elements. Fig.9. gives an easy idea on overall concept of what selection screen contains and to which section it is directly connected and so on. It gives an overall idea about structure planning.

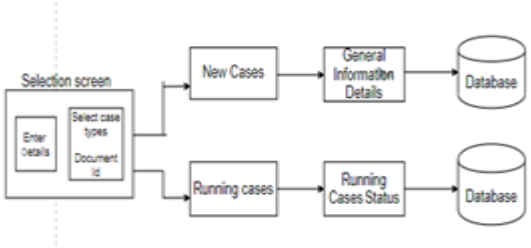

Fig.9. Integrated architecture for compliance management.

V. RESULT AND DISCUSSION

When user selects new cases and after clicking on 'Enter button' this screen will appear. Here user needs to fill up all the necessary details. On the above there are two buttons named 'Park' and 'Post'. When user clicks on 'Park' button then system will generate the document id and when it's clicked on 'Post' button, then user can post the document id that has been created and can able to see cases in running cases screen. In 'Park' button user can edit details multiple times but once user clicks on 'Post' button it will be not changed again.

Fig.10 shows the new case screen shot for all data entry.

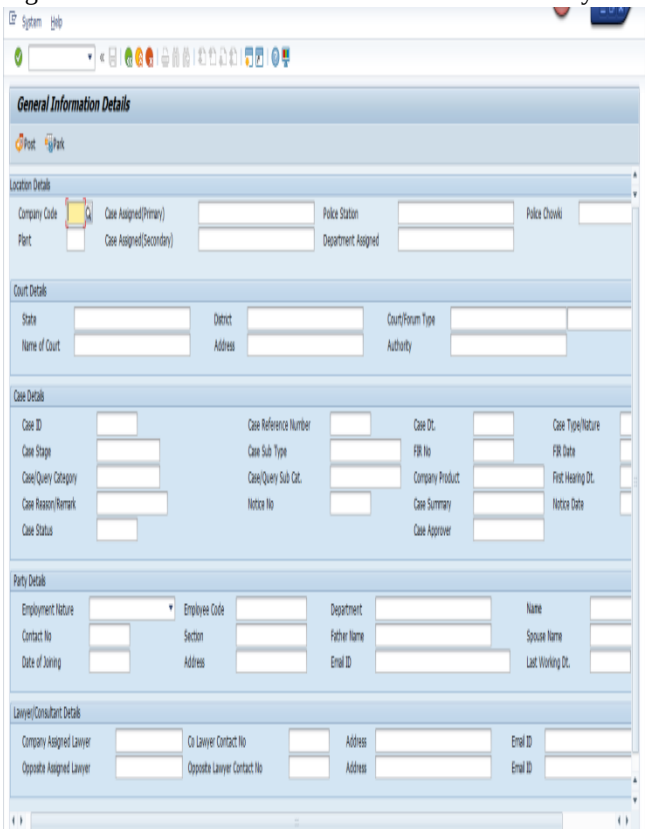

Fig.10. New case screen for all data entry

VI. CONCLUSION

For better traceability legal compliance management system is required. After this development, business can get this report in a single click in SAP. Within the SAP custom development methodology, the Specification is the link between the Business requirements and the technical requirements. It works on Reference to the business requirements especially on customer requirements which are given in the solution proposal, Show the mapping into standard SAP products, and describe the solution of users' external point of view.

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AUTHORS PROFILE

Shaswati Silona Patra is pursuing final year MCA from GITAM (Deemed to be University). She has done her graduation in BCA from GITAM (Deemed to be University). She has done her internship in Ghari Detergent, Kanpur, where she worked in IT department and involved in a real time SAP project. She has also done internship in Supreme NetSoft Pvt. Ltd, Hyderabad where she worked as a web developer. She is also an active volunteer of NSS. She has participated in many IT workshops like Cloud computing, Python, Data Science and other trending technologies. Her home town: is Visakhapatnam, Andhra Pradesh, India.

Sk. Althaf Rahaman is currently working as Assistant Professor in the department of computer science, GIS,
GITAM (Deemed to be university). His main areas of research are Big Data Analytics, Artificial Intelligence, and Computer Security.

K. Vanitha is currently working as Assistant Professor in the department of computer science, GIS, GITAM (Deemed to be university). Her main areas of research are Computer Networks, Big Data Analytics and Machine Learning.