Concur Invoice: Audit Rules

Setup Guide

Last Revised: March 23, 2024

Applies to these SAP Concur solutions:

- ☐ Concur Expense
  - ☐ Professional/Premium edition
  - ☐ Standard edition
- ☐ Concur Travel
  - ☐ Professional/Premium edition
  - ☐ Standard edition
- ☒ Concur Invoice
  - ☒ Professional/Premium edition
  - ☐ Standard edition
- ☐ Concur Request
  - ☐ Professional/Premium edition
  - ☐ Standard edition

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Revision History

Date	Notes/Comments/Changes
March 16, 2024	Added the *Vendor Tax ID* section in *Section 4: Additional Samples of Custom Audit Rules*.
September 20, 2022	Minor edits; cover date not updated
January 21, 2022	Updated the copyright year; no other changes; cover date not updated
February 17, 2021	Updated the copyright year; no other changes; cover date not updated
September 28, 2020	Updated information about the Is Duplicate audit rule.
July 30, 2020	Replaced an example that referenced the fax feature; cover date not updated.
April 17, 2020	Renamed the Authorization Request check box to Request on the guide's title page; cover date not updated
January 6, 2020	Updated the copyright; no other changes; cover date not updated
May 11, 2019	Added information about audit rule notifications by using Budget parameters.
April 13, 2019	Changed the term "payment request" to "invoice" as part of the new user experience for Concur Invoice.
March 16, 2019	Added information about the *Payment Request Budget Submit* event.
February 9, 2019	Changed the term "Concur" to "SAP Concur" and the term "payment request" to "invoice" where applicable; no other content changes.
January 29, 2019	Updated the copyright; no other changes; cover date not updated
December 8, 2018	Added Budget audit rules fields.
June 14, 2018	Changed copy-down to copydown; no other changes; cover date not updated
April 6, 2018	Changed the check boxes on the front cover; no other changes; cover date not updated
January 10, 2018	Updated the copyright; no other changes; cover date not updated
December 14, 2016	Changed copyright and cover; no other content changes.
December 5, 2016	Updated the *Permissions* section and guide content to new corporate style; no content changes.
June 17, 2016	Added information about more options for Is Duplicate rule.
April 15, 2016	Added VAT fields.
March 23, 2016	Added more information about the Is Duplicate rule.
February 19, 2016	Added the following: • Three-way matching audit rule • Account code for purchase requests

Date	Notes/Comments/Changes
January 15, 2016	Added information about attendee rules.
November 16, 2015	Added a note about best practice for random audit rules is to have only one for each group configuration
July 10, 2015	Added Tax Authority related fields.
March 13, 2015	Added information about VAT fields.
December 12, 2014	Added invoice status as an invoice duplication check
September 16, 2014	Added information about the two user interfaces; no other content changes
July 11, 2014	Added information about *Track processor changes* feature in the *Sample of Custom Audit Rules* section.
May 16, 2014	Addition of the Does not begin with Operator for use with the Detail Allocation Object
April 15, 2014	Changed copyright and cover; no other content changes
January 17, 2014	Addition of Custom 16 – 20 fields to both vendor object types (Vendor Ship From Address and Vendor Remittance Address)
December 28, 2012	Made rebranding and/or copyright changes; no content changes
November 16, 2012	Addition of the Additional Samples section to show how to build Custom audit rules.
May 18, 2012	Tool now available from within Invoice Admin user interface.
December 31, 2010	Updated the copyright and made rebranding changes; no content changes
December 11, 2009	Changed to stand-alone setup guide; no content change
October 16, 2009	Clarify that Is Duplicate field (Request fields) evaluates to Yes if Vendor Code and Invoice Number match an existing system record

Audit Rules

NOTE: Multiple SAP Concur product versions and UI themes are available, so this content might contain images or procedures that do not precisely match your implementation. For example, when SAP Fiori UI themes are implemented, home page navigation is consolidated under the SAP Concur Home menu.

Section 1: Permissions

A company administrator may or may not have the correct permissions to use this feature. The administrator may have limited permissions, for example, they can affect only certain groups and/or use only certain options (*view* but not *create* or *edit*).

If a company administrator needs to use this feature and does not have the proper permissions, they should contact the company's Concur administrator.

In addition, the administrator should be aware that some of the tasks described in this guide can be completed only by SAP Concur staff. In this case, the client must initiate a service request with SAP Concur support.

Section 2: Overview

The Audit Rules tool, which is part of Invoice Admin, uses two types of audit rules:

- A *custom* audit rule is used to monitor information entered by Invoice Users and is triggered by an event. The administrator tailors custom audit rules to the specific configuration and requirements of the client. For example, assume an administrator creates a rule that monitors for the use of certain preferred vendors and that the user triggers the rule when they save an invoice. Then, when the user saves an invoice that lists a vendor other than the preferred vendor, the system generates an exception.
- A *random* audit rule allows for auditing of selected invoices as either a percentage of invoices submitted (for example, 10% of all invoices submitted) or as a specific number of invoices (for example, every 10th invoice submitted).

Section 3: Custom Audit Rules

The administrator uses custom audit rules to monitor the activity of Invoice Users, for example, to monitor invoices for the following:

- The use of preferred vendors
- Limits for specific expense types
- Attachment of a receipt

General Concepts about Audit Rules

Custom audit rules are *if/then* statements. *If* the defined **conditions** are met, *then* an **exception** is created.

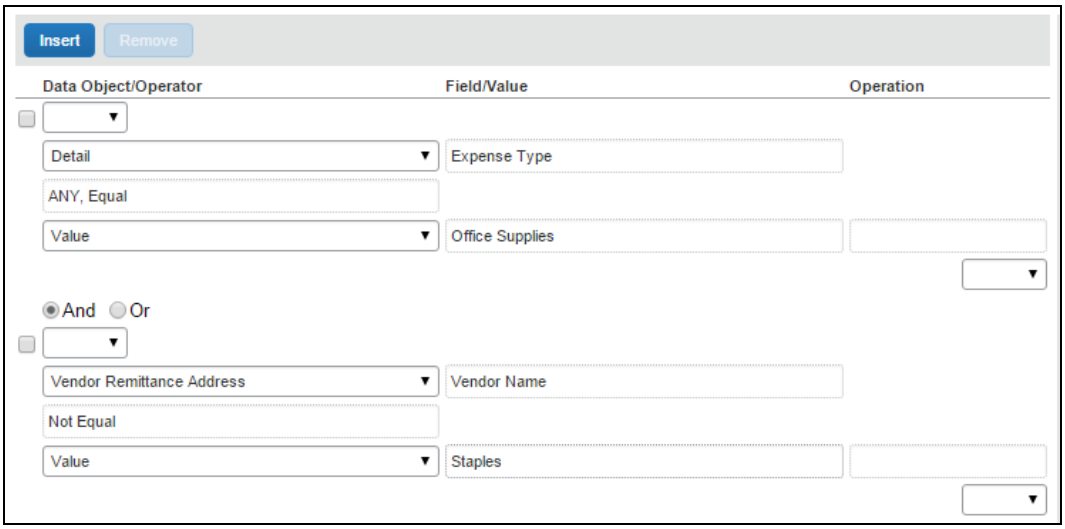
Conditions ("if" portion of the "if/then" statement)

When creating or editing a custom audit rule, the administrator defines the conditional expression(s)—the *if* portion of the rule. The expression can contain one or more conditions separated by *and* or *or*. For example:

- Assume the administrator wants to monitor all office supply purchases involving a vendor *other than* the company's preferred vendor, which is Staples. The condition for "office supply purchases from a vendor other than Staples" is:

  ```
  (Expense Type equals Office Supplies) and
  (Vendor is not equal to Staples)
  ```

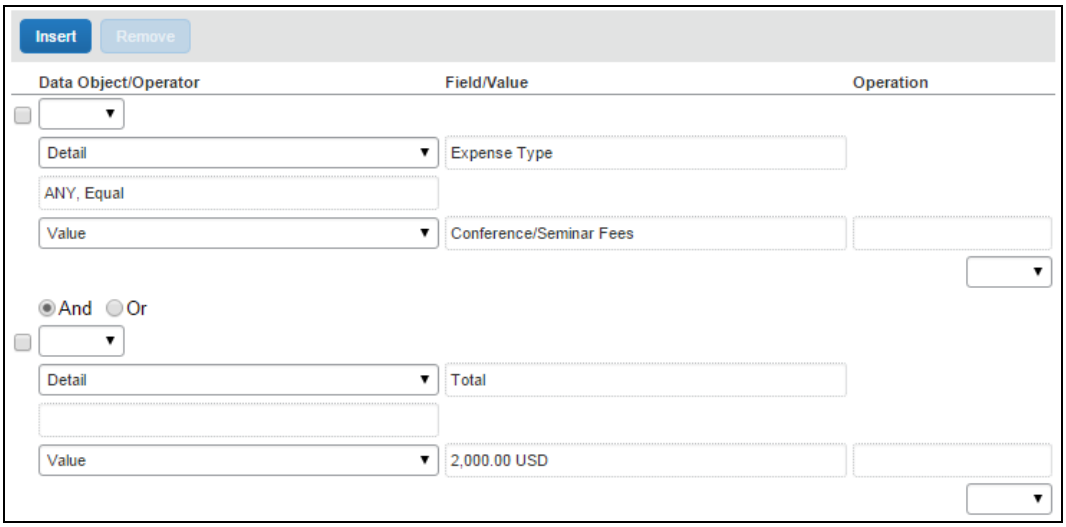
  In the Audit Rules tool, it displays as:

- Assume the administrator wants to ensure that invoices for seminars of more than $2,000 include a comment for the approver. The condition for "include a comment for seminar fees of more than $2,000" is:

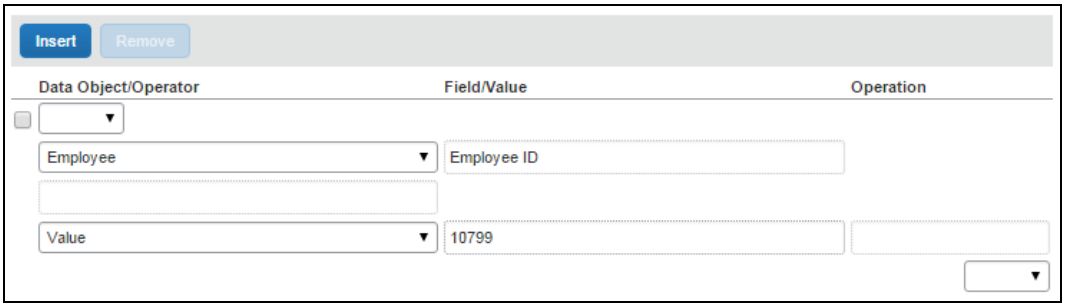
  ```
  (Expense Type equals Conference/Seminar Fees) and
  (Total is greater than 2,000.00 USD)
  ```

In the Audit Rules tool, it displays as:



- Assume the administrator wants to monitor all invoices submitted by one employee. The condition for "review all payment invoices by Chris Smith" (whose employee ID is 10799) is:
  `(Employee ID equals 10799)`

  In the Audit Rules tool, it displays as:



For more information about conditional expressions and the tool used to create and edit conditional expressions (the Condition Editor), refer to the *Understanding Conditional Expressions* section of this guide.

Events (Triggers)

When creating or editing a custom audit rule, the administrator specifies the event that triggers the rule, for example:

- **Payment Request Allocation Save:** This rule is triggered as each individual allocation "line item" is saved. (Though this type of rule is triggered when the allocation is saved, the exception icon and message appear within the invoice or on the processor list page. The message and icon do not appear on the **Allocation** page.)
- **Payment Request Attendee Submit:** This rule is triggered immediately after an invoice containing attendee information is submitted.

- **Payment Request Budget Submit:** The rule is triggered when an invoice or purchase request is associated with a submitted budget.
- **Payment Post Request Submit:** The rule is triggered immediately after an invoice enters the first step of workflow. Any exceptions generated will not prevent the invoice from being submitted.
- **Payment Request Manual Assign:** The rule is triggered immediately after an invoice is manually assigned to the Invoice Owner.
- **Payment Request Save:** The rule is triggered immediately after the invoice header information is saved whether by the employee, approver, or processor.
- **Payment Request Submit:** The rule is triggered when the invoice is submitted. If there are exceptions generated that are above the exception level limit (that is, prevents invoice submission; described in *Exceptions* in this guide), then the invoice will not be submitted and will not enter the first step of a workflow.
- **Payment Request Import Assign:** The rule is triggered immediately after an invoice is assigned by import to the Invoice Owner.
- **Payment Request Details Save:** The rule is triggered when the details are saved, whether by the user, approver, or processor. If a rule that is triggered at Payment Request Details Save contains a *request* field in its condition, then the rule is also triggered at Payment Request Save.
- **Payment Request Details Submit:** The rule is triggered when the details are submitted.
- **Purchase Order Line Item Save:** The rule is triggered when the line item details are saved.
- **Purchase Order Save:** The rule is triggered immediately after the purchase order header information is saved.
- **Purchase Order Transmit:** This rule is triggered when the purchase order is transmitted.
- **Purchase Request Distribution Save:** This rule is triggered when the purchase request distribution is saved.
- **Purchase Request Item Save:** The rule is triggered when the line item details are saved.
- **Purchase Request Save:** The rule is triggered immediately after the invoice header information is saved.
- **Purchase Request Submit:** The rule is triggered when the invoice is submitted.

Exceptions ("then" portion of the "if/then" statement)

When creating or editing a custom audit rule, the administrator assigns an exception—the *then* portion of the *if/then* statement. All exceptions contain the following:

- **Exception code:** This is the client-defined code for the exception, up to eight alphanumeric characters, all upper case.
- **Exception level:** The client decides how many exception levels (up to 99) to use. For example, assume the client decides to have six exception levels, with level 1 being a minor exception and level 6 being a severe exception.

  The client can also define the point at which the severity of the exception prevents the user from submitting an invoice. For example, assume the system does not allow the user to submit an invoice if it contains a level 6 exception.

  NOTE: The limit is set using the Invoice Admin, Workflows, and Settings.

- **Exception text:** This is the actual message that displays, such as "This is not the preferred vendor for this expense type. Please include a comment for your approver explaining why you used this vendor."

Visibility

When creating or editing a rule, the administrator defines who sees the exception text:

- **Invoice User, Invoice Approver, and Invoice Processor:** The exception text is visible to the user, approver, and processor.
- **Invoice Approver and Invoice Processor:** The user does not see the exception text and, hence, does not know that the system generated an exception.
- **Invoice Processor:** The user and approver do not see the exception text and, hence, do not know that the system generated an exception.

The exception message appears along with the following:

- A red icon for exceptions that prevent submission of the invoice or authorization request
- A yellow icon for exceptions that *do not* prevent submission of the invoice or authorization request
- A blue icon if the Concur Expense processor or authorization request administrator has cleared the exception.

Summary: The Basic Process of Creating Custom Audit Rules

To summarize, when completing the *if* portion of the custom audit rule, the administrator:

1. Names the rule
2. Identifies the event that triggers the rule
3. Identifies the administrator (group) that can edit the rule
4. Identifies the group to which the rule applies and whether or not the rule is inherited to the groups below it in the group's hierarchical structure
5. Defines the conditions using the Audit Rules condition editor

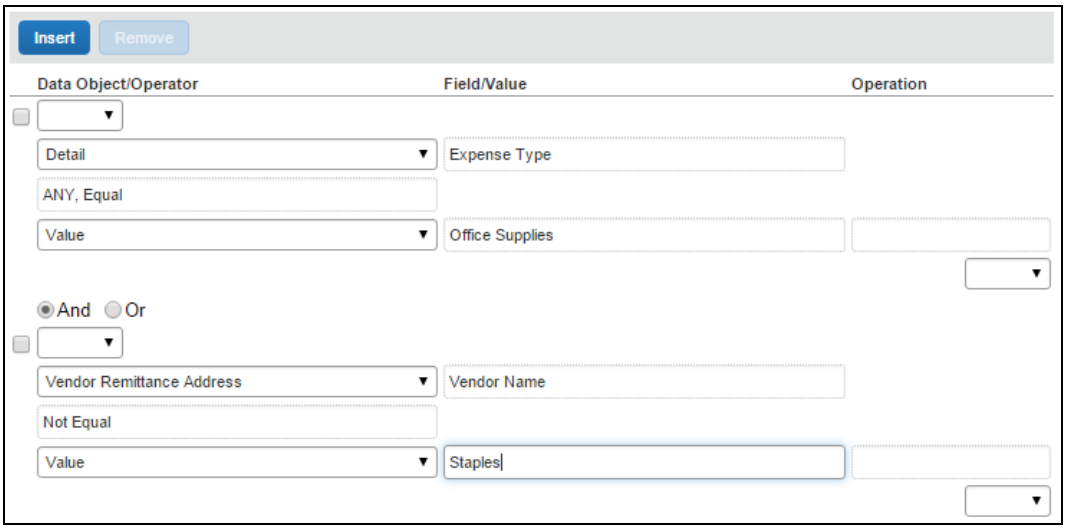
When completing the *then* portion of the custom audit rule, the administrator:

6. Defines who sees the exception text:
   - Invoice User, Invoice Approver, and Invoice Processor
   - Invoice Approver and Invoice Processor
   - Invoice Processor
7. Selects (or creates) the appropriate exception, which includes:
   - Exception code
   - Exception level
   - Exception text

Understand Conditional Expressions

When creating or editing conditional expressions, the administrator should consider the following.

- There is no limit to the number of conditions that comprise a total expression. The condition for "office supply purchases from a vendor other than Staples" is:



  It is comprised of two conditions, separated by the Boolean separator of *and*.

- Most conditions are comprised of a *field* then an *operator* then a *value*. For example:

Expense Type	equals	Office Supplies	*and*	Vendor	does not equal	Staples
⬇	⬇	⬇		⬇	⬇	⬇
field	**operator**	**value**		**field**	**operator**	**value**

  - A *field* consists of a data object (essentially a database table), and a field in that data object (essentially a database column). The field selected defines the data type of the condition (number, text, date, and so on).
  - An *operator* is one of several pre-defined comparison operators (equals, not equals, is greater than, and so on). The list of operators changes depending on the type of data that is compared.
  - A *value* is a constant, and like the field, can be of any data type. The data type of the value must match the data type of the field.
  - If you use a second field in the condition, you must ensure its data type matches that of the first field.

- When a conditional expression is composed of multiple conditions, each condition is separated by either *and* or *or*.
- Parentheses are optional and used to define the order of operation for the *and/or* operators. If the parentheses are omitted, the *and/or* operations are

carried out left to right. There is no precedence of *and* over *or*—the evaluation of the expression is simply left to right.

- If a conditional expression contains parentheses, the count of *left* parentheses must match the count of *right* parentheses. There can be up to three parentheses for both left and right sides.

  Example of correct placement of parentheses and total left/right count:
  (Condition 1) and (Condition 2)

  Examples of incorrect parentheses even though the total left/right count matches:
  Condition1) And (Condition2
  Condition1) And (Condition2) Or (Condition3
  (Condition1)) And (Condition2

The Condition Page

The **Condition** page in Audit Rules is similar to the **Condition** page used for Workflow and Processor.

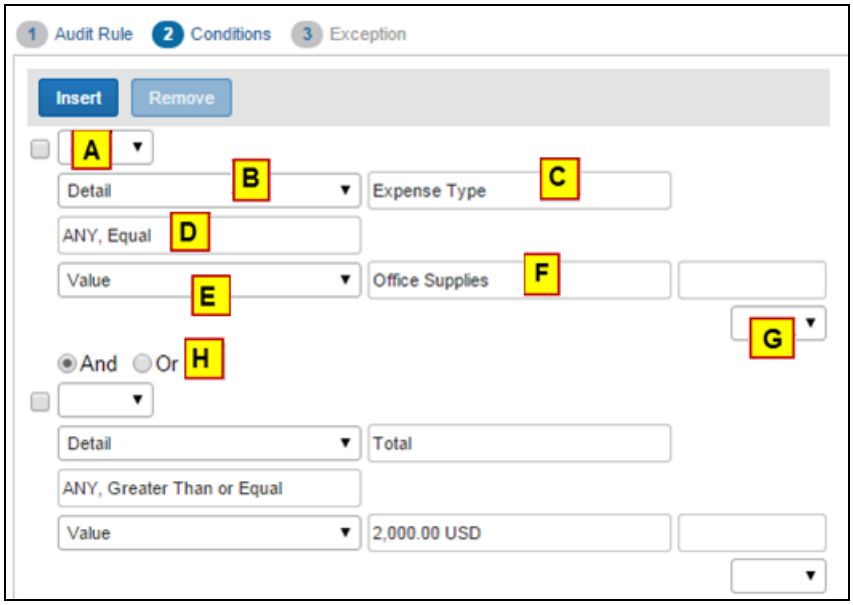


Table 1: *Description of the Condition page*

Field	Description
A: Left Parenthesis	Select zero to three parentheses, depending on the complexity of the condition.

Field	Description
B: Data Object	The choices that appear in this list are based on the event that triggers the rule. The administrator can create a condition based on: • **Attendee Totals:** An attendee audit rule based on the total amount spent on an attendee (by quarter or by year, for all employees or for the current employee) • **Budget:** Budgets associated with an invoice or purchase request • **Detail:** Detail-level fields • **Detail Allocation:** An allocation • **Employee:** Employee-level fields • **Line Item Attendee:** A condition based on attendee information • **Request:** Request-level fields • **Request Exception:** Request exceptions • **Vendor Remittance:** Vendor remittance fields • **Vendor Ship From:** Vendor ship from fields
C: Field/Value	Select an item from the helper pane that appears. The information that appears in this pane is based upon the selection the administrator made in the **Data Object** list. See Table 2.
D: Operator	Select an item from the helper pane that appears. The information that appears in this pane is based upon your previous choices. **NOTE:** If you use the **In** or **Not In** operators for expense types, you can select multiple check boxes to include as many expense types as are required.
E: Data Object	The system provides the option that best suits the previous choices. Change it if necessary.
F: Field/Value	Select an item from the helper pane that appears. The information that appears in this pane is based upon the selection the administrator made in the **Data Object** list. See Table 2.
G: Right Parenthesis	Select zero to three parentheses, depending on the complexity of the condition.
H: And/Or	Select either option to join the current condition to the next condition.

Table 2: *Data objects and associated choices*

Selection from the Data Object list	Choices Displayed for Field/Value
Attendee Totals	• Cost – Total for Quarter – All • Cost – Total for Quarter – Employee • Cost – Total for Year – All • Cost – Total for Year – Employee
Budget	• Actual Pending Consumption Percent • Actual Spent Consumption Percent • Alert Limit • Budget Amount • Budget Name • Budget Remaining Amount • Budget Type • Committed Pending Consumption Percent • Committed Spent Consumption Percent • Control Limit • HasBudget • Pending Consumption Percent • Period Type • Spent Consumption Percent • Total Consumption Percent
Detail	• Allocation State • Amount without VAT • Approved Amount • Calculated Tax Amount • Custom 01 - 20 • Description • Expense Type • Has Exceptions • Is Purchase Order line Associated • Is Receipt Associated • Item Code • Quantity • Request Line Item Key • Tax • Tax Rate • Total • Unit Price • Unit of Measure

Selection from the Data Object list	Choices Displayed for Field/Value
	• VAT Amount • VAT Rate • VAT Tax Code
Detail Allocation	• Account Code • Allocation Key • Custom 01 - 20 • Percentage • Request Line Item Key
Employee	• Active • Country • Custom 01 - 10 • Custom 14 - Phone Number • Custom 15 - CVAS User • Custom 16 - Audit Group • Custom 17 - Vendor ID • Custom 18 - Deduction Code • Custom 19 - Payroll ID • Custom 20 - Payroll Company Code • Custom 21 • Email Address • Employee First Name • Employee ID • Employee Last Name • Is a Test User? • Ledger • Locale • Logon ID • Middle Initial • Number of Requests Pending for Employee • Org Unit 1 - 6 • Password Changed Date • Reimbursement Currency • State/Province • Sum of Totals for Requests Pending for Employee **NOTE:** Employee data changes over time and may change between the time when an entry is created and when an entry is edited. Given that, consider *not* creating conditions against employee fields. Instead, SAP Concur strongly recommends that you use the copydown functionality to copy the employee data to the invoice or detail level and then write the condition against the copied down field to ensure consistent data.

Selection from the Data Object list	Choices Displayed for Field/Value
Line Item Attendee	• Attendee Entry Custom 1-5 • Attendee Title • Attendee Type • Company • Custom 01-25 • External ID • First Name • Instance Count • Last Name • Middle Initial • Project ID • Suffix • Transaction Amount
Purchase Request	• Amount without VAT • Approval Status • Currency • Custom 01-24 • Description • First Submit Date • Group • Has Unapproved Vendor Address • Image Available • Is Exception Approved • Is Limit Approved • Notes To Supplier • Org Unit 1-6 • Policy Name • Provincial Tax Identification Number • Shipping • Submit Date • Tax • Total • VAT Amount One • VAT Amount Two • VAT Rate One • VAT Rate Two • Vendor Tax Identification Number
Purchase Request Distribution	• Account Code • Custom 01-20

Selection from the Data Object list	Choices Displayed for Field/Value
	• Percentage
Purchase Request Item	• Amount without VAT • Currency • Custom 01-20 • Description • Discount Terms • Expense Type • Item Number • Needed By • Net Payment Terms • Policy • Purchase Type • Quantity • Shipping • Shipping Method • Shipping Terms • Tax • Total • Unit Price • Unit of Measure • VAT Amount • VAT Rate
Request	• Accounting Extract Date • Action Due Date • Amount Remaining • Amount without VAT • Approval Status • Approved Amount • Approved By Delegate • Assigned by Another User • Bank Account Name – Custom24 • Buyer Cost Center • Buyer ID • Calculated Tax Amount • Certificate Number • Check Number • Company Billing Address Code • Company Ship To Address Code • Country

Selection from the Data Object list	Choices Displayed for Field/Value
	• Create Date • Created By • Currency • Custom 01 – 21 • Description • Discount Percentage • Discount Terms • Exception Level Maximum • Exception Level Total • First Approval Date • First Submit Date • Group • Has CFDi Attachment • Has Cleared Exceptions • Has Comments • Has Exceptions • Has Tracked Change • Has Unapproved Vendor Address • Has the processor made a change to tracked items • International Bank Account Number – Custom23 • Invoice Amount • Invoice Container ID • Invoice Date • Invoice Image Available • Invoice Received • Invoice Received Date • Is Assigned • Is Duplicate • Is Emergency Check Run • Is Exception Approved • Is Fully Allocated? • Is Limit Approved • Last Assigned Date • Latest Submit Date • Ledger • Line Item VAT Amount • Net Payment Terms • Notes to Approvers • Notes to Vendor • Number of Line Items

Selection from the Data Object list	Choices Displayed for Field/Value
	• Org Unit 1-6 • Origin Source • PO Match Status • PO Number • Paid Date • Pay Method Type • Payment Amount • Payment Due Date • Payment Status • Payment Status Date • Pending Processor Since • Policy Name • Process Complete Date • Project – Custom19 • Provincial Tax Identification Number • Request ID • Request Key • Request Name • Request Total • SWIFT Code – Custom22 • Shipping • Submitted By Delegate • Tax • Tax Code 2 • Tax Code Four • Tax Code Three • Tax Rate • Transaction ID • VAT Amount Four • VAT Amount One • VAT Amount Three • VAT Amount Two • VAT Rate Four • VAT Rate One • VAT Rate Three • VAT Rate Two • VAT Tax Code • Vendor Invoice Number • Vendor Tax Identification Number • Workflow Was Modified?

Selection from the Data Object list	Choices Displayed for Field/Value
Request Exception	• Exception Code • Exception Level
Vendor Remittance Address	• Account Number • Address 1 - 3 • Address Accounting Code • City • Contact Email • Contact First Name • Contact Last Name • Country • Currency • Custom 01 - 20 • Discount Percentage • Discount Terms • Image Avail • Image Received • Is Approved • Net Payment Terms • PO Contact Email • PO Contact First Name • PO Contact Last Name • Postal Code • Provincial Tax Identification Number • Shipping Method • Shipping Terms • State or Province • Tax ID • Tax Type • Telephone Number • Vendor Code • Vendor Name
Vendor Ship From Address	• Address 1 - 3 • Address Accounting Code • City • Contact Email • Contact First Name • Contact Last Name • Country • Currency

Selection from the Data Object list	Choices Displayed for Field/Value
	• Custom 01 - 20 • Image Avail • Image Received • Is Approved • Net Payment Terms • Postal Code • Provincial Tax Identification Number • State or Province • Tax Type • Telephone Number

Configure Custom Audit Rules

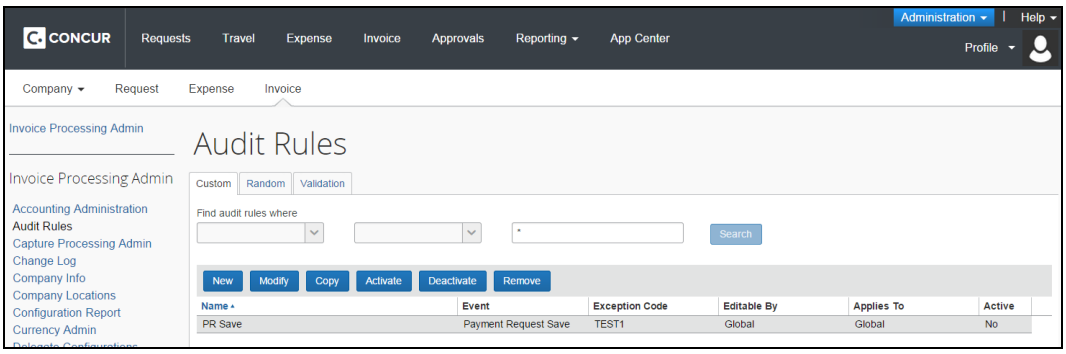
Access Custom Audit

To access Custom Audit:

1. Click **Administration** > **Invoice**.

NOTE: Depending on your permissions, the page may appear immediately after you click **Administration**.

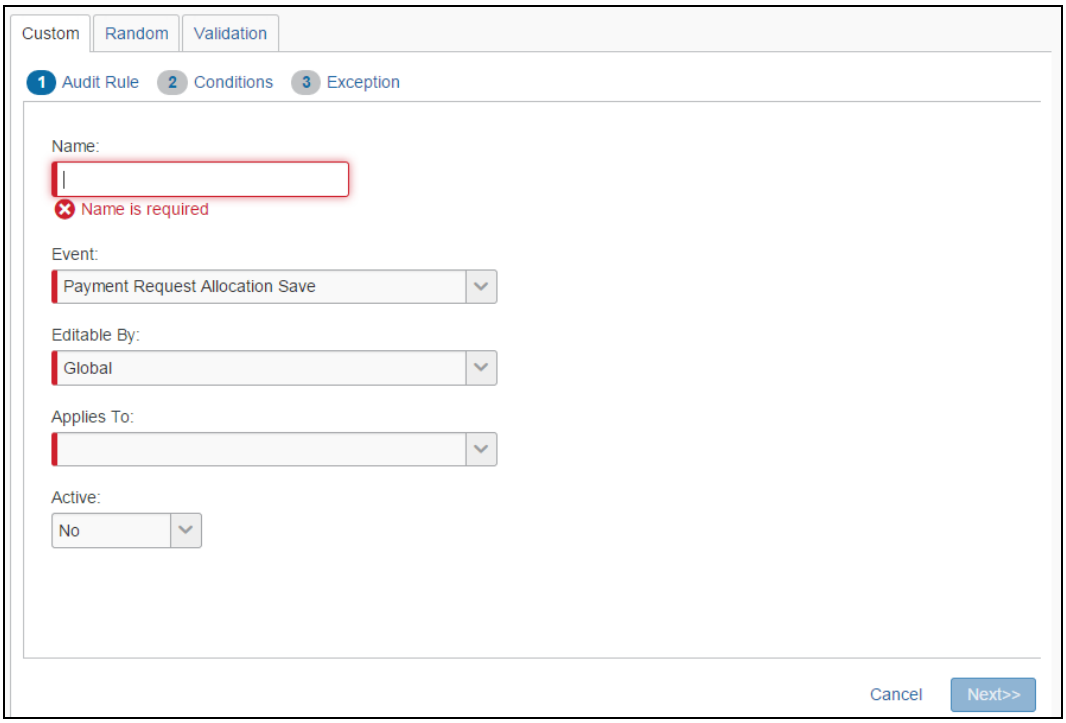
2. Click **Audit Rules** (left menu). The **Audit Rules** page appears.



Add a Custom Audit Rule

To add a custom audit rule:

1. On the **Custom** page, click **New**. The 1 **Audit Rule** step appears.

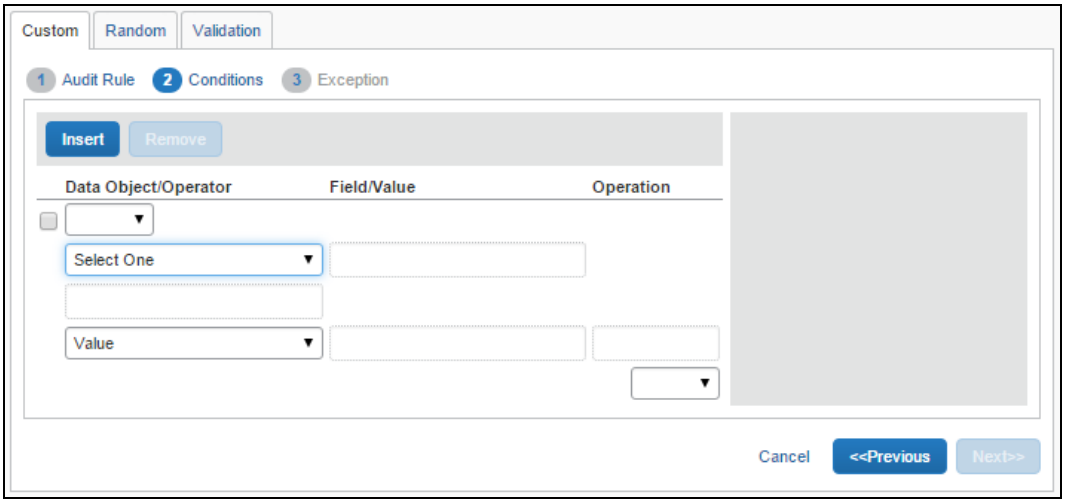


2. Complete the appropriate fields.

Field	Description
Name	Type a unique name.
Event	Select the event that triggers the rule: • Allocation Save: Though this type of rule is triggered when the allocation is saved, the exception icon and message appear on the **Processor List** page or within the invoice. The message and icon do not appear on the **Distribute Selected Items** page. • Payment Request Details Save • Payment Request Details Submit • Payment Request Save • Payment Request Submit • Payment Post Request Submit 📖 For a definition of each of the events, refer to the *Events (Triggers)* section in this guide.

Field	Description
Editable By	This field defaults to your access rights. Change it if necessary. Click the field; the associated helper pane appears. Select the appropriate group(s). For more information, refer to the *Editable By Groups and Applies To Groups* section in this guide.
Applies To	Click the field; the associated helper pane appears. Select the appropriate group(s). Toggle **Inherited/Not Inherited** to indicate whether this rule will apply to the group(s) below this one in the hierarchical structure. For more information, refer to the *Editable By Groups and Applies To Groups* section in this guide.
Active	Select *Yes* to activate the rule upon completion.

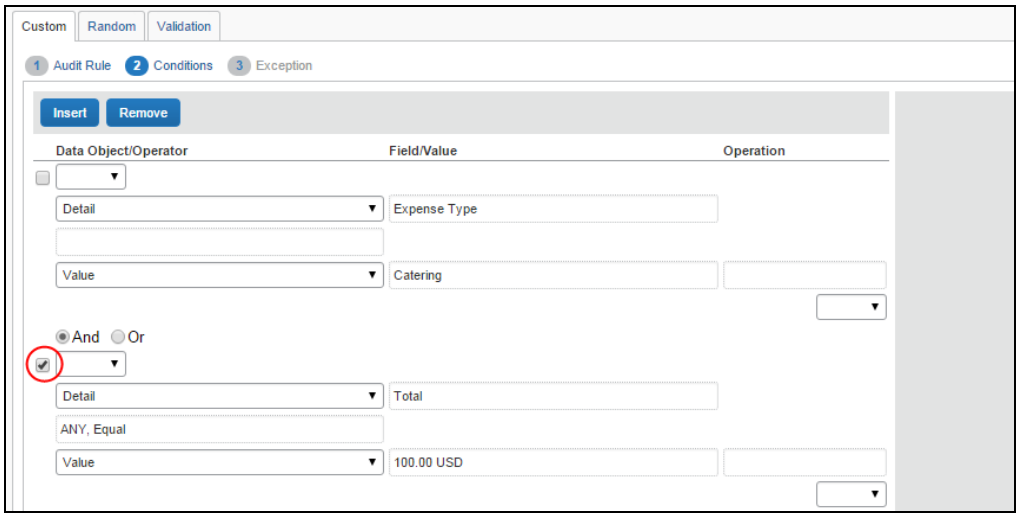
3. Click **Next**. The 2 **Conditions** step appears.



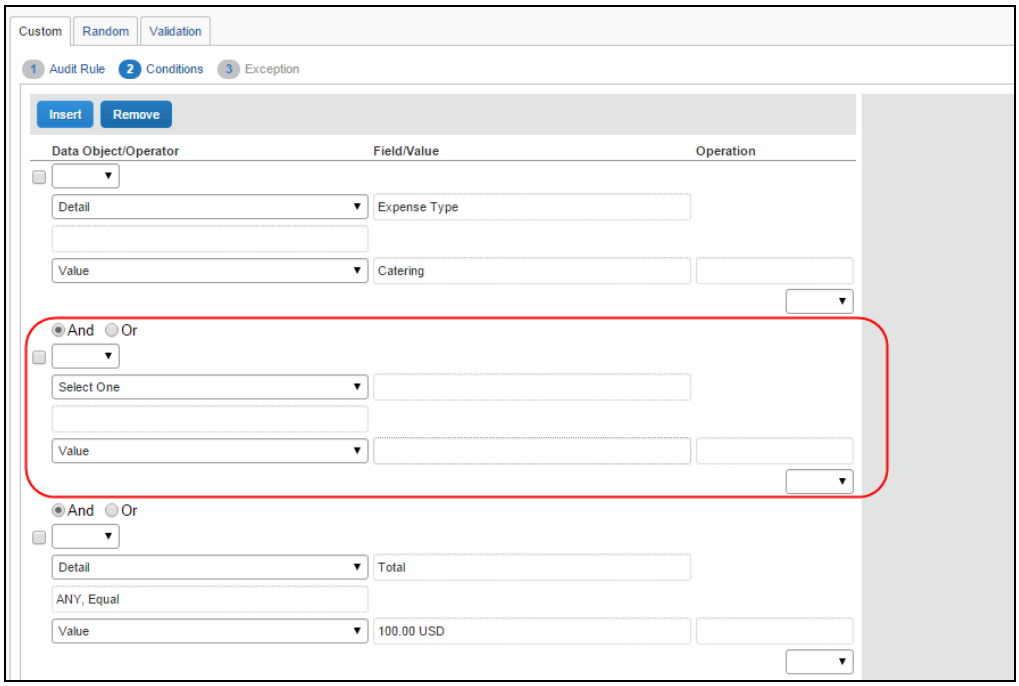
4. Complete the appropriate fields, making selections from the helper pane.

For more information about a description of this page, refer to the *Understanding Conditional Expressions* section in this guide.

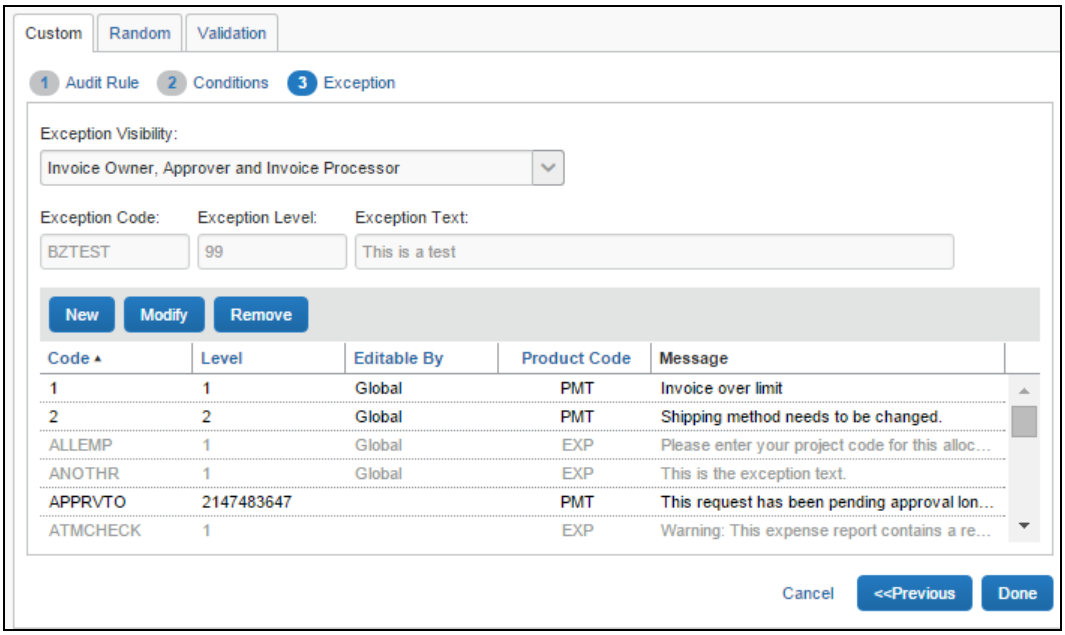
5. Complete all conditions using these same steps, using **Insert** to add conditions and **Remove** to delete conditions.
   - If you simply click **Insert**, a new condition appears at the bottom.
   - To insert the new condition between existing conditions, select the condition that will be *below* the new condition.



6. Click **Insert**. The new blank row appears.



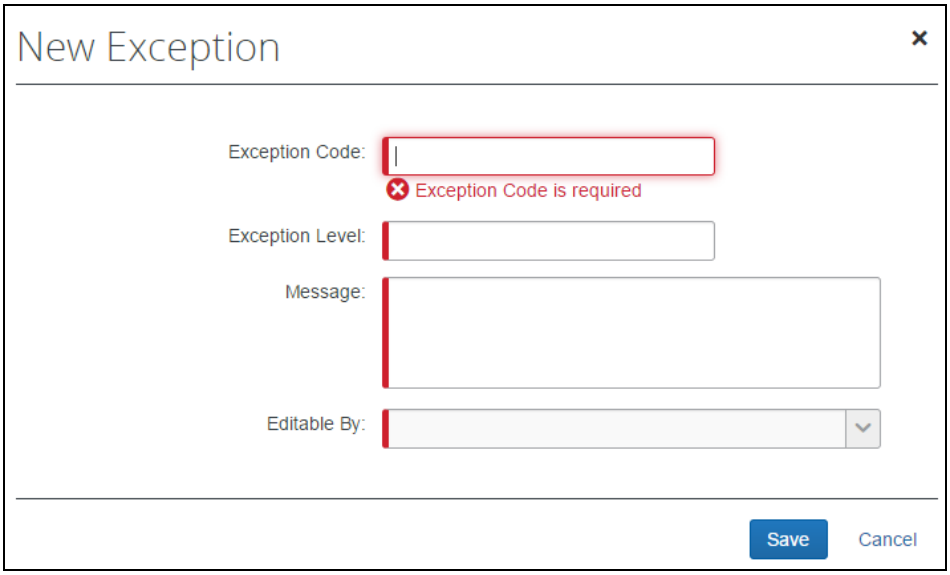
7. When all conditions have been added, click **Next**. The 3 **Exception** step appears.



8. From the **Exception Visibility** list, select the users who are able to see the exception message by selecting:
   - For expense-related rules:
     - Invoice Owner, Approver, and Invoice Processor
     - Approver and Invoice Processor
     - Invoice Processor

9. For the exception, you can:
   - Use an existing exception. To use an existing exception, click the desired exception. It appears in the **Exception Code**, **Exception Level**, and **Exception Text** fields at the top of the page.

- Create a new exception.
  - Click **New**. The **New Exception** window appears.



  - Complete the fields. (For audit rule notifications for Budget, refer to the *Shared: Budget Setup Guide*.)
  - Click **Save**.

10. Click **Done**.

Copy a Custom Audit Rule

Instead of creating all rules, you can save time by copying a custom audit rule and then editing the copy. For example, assume you want three rules for preferred vendors for three different expense types. You can create the first one (for example, using the expense type of Office Supplies and the vendor name of Staples) and then copy it. Edit the copy by changing the expense type and vendor name. Repeat the same process for the third rule.

For detailed information about all of the fields on this page, refer to *Adding a Custom Audit Rule* in this guide.

To copy a custom audit rule:

1. On the **Custom** page, select the rule you want to copy
2. Click **Copy**. The 1 **Audit Rule** step appears.
3. Make any desired changes.
4. Click **Next**. The 2 **Conditions** step appears.
5. Edit the condition(s) as required.

6. Click **Next**. The ③ **Exception** step appears.
7. Make the desired changes.
8. Click **Done**.

Edit a Custom Audit Rule

For detailed information about all of the fields on this page, refer to the *Adding a Custom Audit Rule* section in this guide.

To edit a custom audit rule:

1. On the **Custom** page, select the rule you want to edit.
2. Click **Modify**. The ① **Audit Rule** step appears.
3. Make any desired changes.
4. Click **Next**. The ② **Conditions** step appears.
5. Edit the condition(s) as required.
6. Click **Next**. The ③ **Exception** step appears.
7. Make the desired changes.
8. Click **Done**.

Deactivate/Activate a Custom Audit Rule

Activate a rule when you are ready to use it.

NOTE: Instead of deleting a rule, you can deactivate it. This way, the rule is still available if you want to use it in the future.

To deactivate/activate a custom audit rule:

1. On the **Custom** tab, select the rule you want to affect.
2. Click **Deactivate** or **Activate**, whichever applies.

Delete a Custom Audit Rule

To delete a custom audit rule:

1. On the **Custom Audit Rule List** page, select the check box associated with the desired rule.
2. Click **Delete Selected Rows**.

View a Custom Audit Rule

To view a custom audit rule:

1. On the **Custom Audit Rule List** page, click the name (link) of the rule you want to view.
   The **Create New Custom Audit Rule** page appears.
2. Click **Next** to move through the pages.
3. Click **Finish** when done.

Section 4: Additional Samples of Custom Audit Rules

Here are some other examples of custom audits.

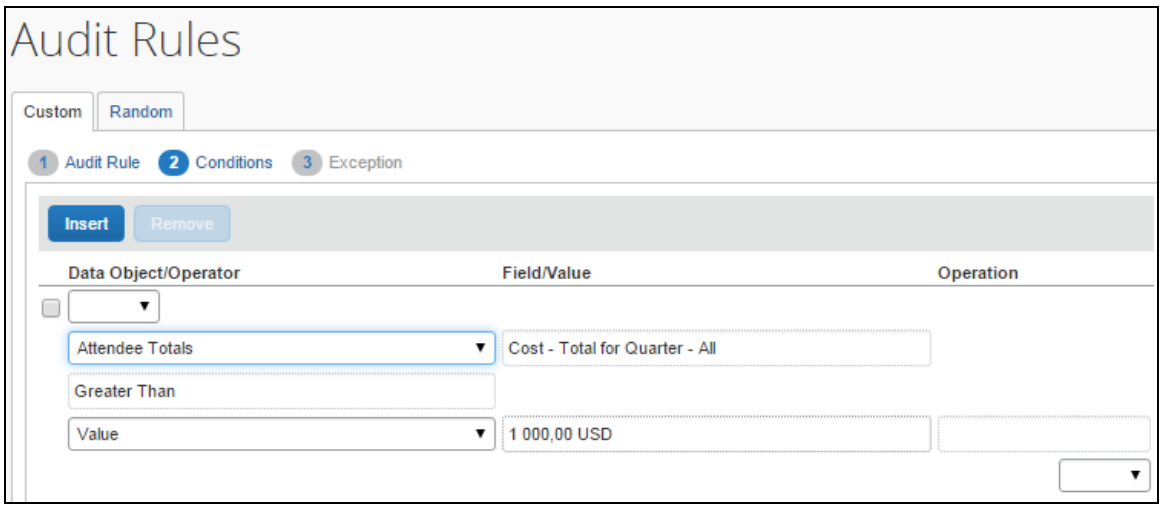
Attendee Totals

You can create audit rules that allow you to flag attendees, for example, for the total amount spent, per expense type, on any attendee, totaled either solution-wide or by the current employee.

Amount totals that apply to the current employee are stored with the line entry. Amount totals that apply to the entire company are stored with the line entry and the attendee record.

NOTE: Audit Rules totals can be configured per solution (Concur Expense or Concur Invoice), but a single audit rule total cannot be configured across both Concur Expense and Concur Invoice.

The following image shows an audit rule that will trigger if the total cost per quarter of all employees within a company is higher than $1,000.00.



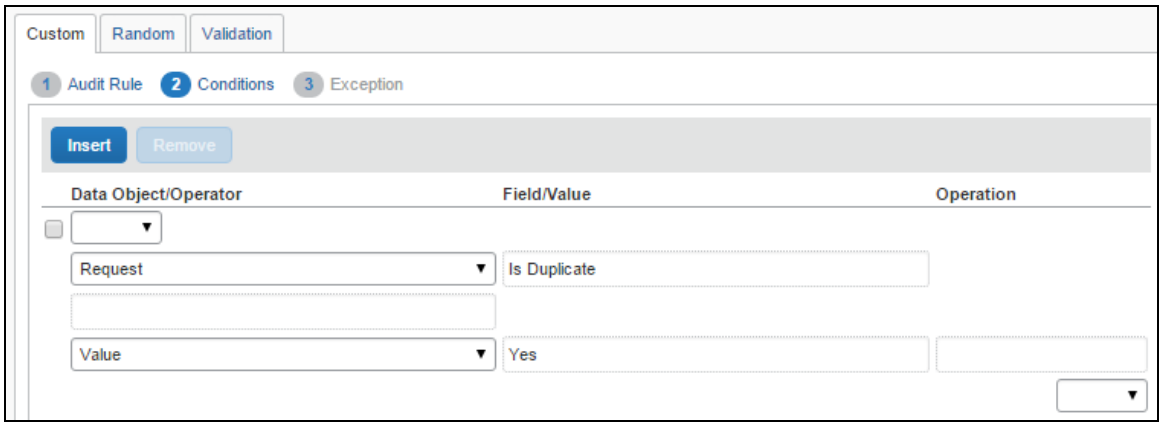
Is Duplicate

Use the *Is Duplicate* check option to create audit rules that allow the system to alert you when two or more invoices may be identical. The check performs three tasks:

- Is the vendor the same for the invoices (Concur Invoice checks this by comparing the parent vendor record)
- Are the invoice number, invoice date, or invoice amount identical for the invoices (these options can be added or removed as desired provided they have been configured in Invoice Settings)

NOTE: All the selected options included in the rule will need to match for the audit rule to trigger.

- Are the original invoice statuses (invoices previously *Canceled*, *Deleted*, or *Voided*) the same prior to the event



If the result of these checks is *True*, an exception is generated and appears in both the payment header and on the Processor's page.

NOTE: If there are two invoices and the second one fires first (by create date), then this invoice will not be removed even if the invoice number is changed on that second invoice. However, if the second invoice is deleted and the invoice number is changed on the first invoice, then the audit rule will fire on both invoices, but the flag will be removed.

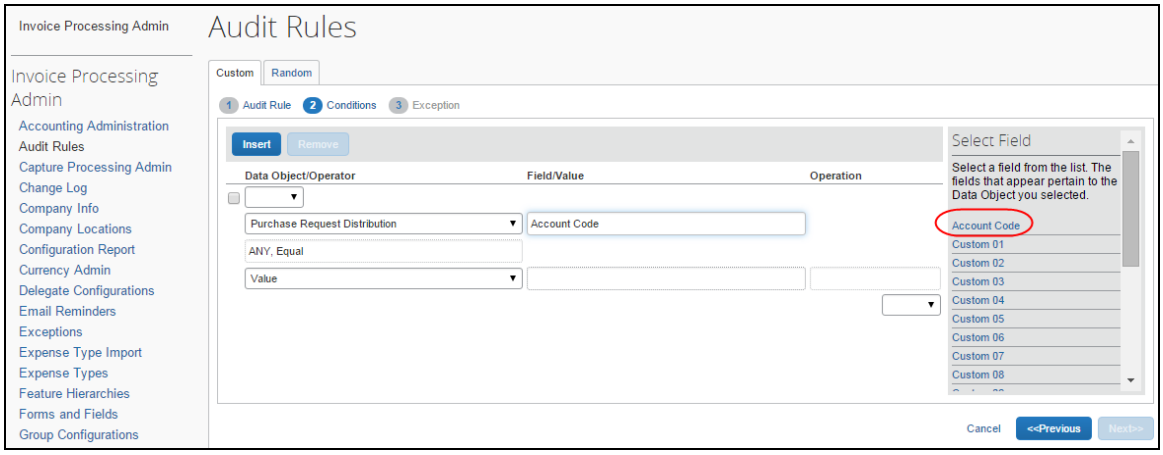
The Is Duplicate audit rule can fire on the following events:

- Manual assign
- Import assign
- Invoice submit
- Invoice creation from Capture

However, each of these events do not fire for all instances of duplicate, so clients should check with their administrator about which option is most suitable for them and their environment.

Account Code Rule for a Specific Invoice and Purchase Request

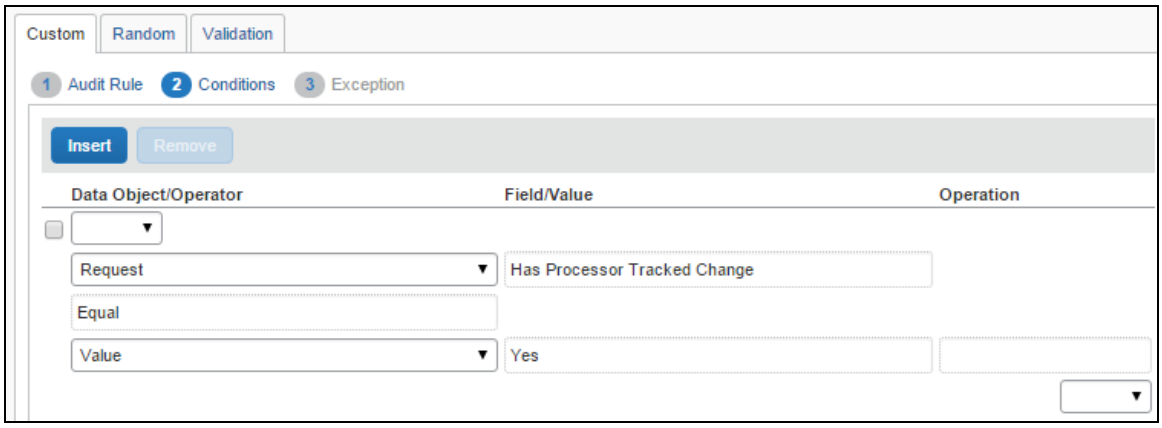
Administrators may create audit rules for purchase request line items based on account code, so that they can use the same audit rules for the purchase request and invoice. The account code for a purchase request is applicable for the item, but displayed and available at the distribution level. As the account code is derived from the expense type selected for an item, the same account code will be applied across all distributions for that item.



Track Processor Changes to an Invoice

Use the *Has the processor made a change to tracked items* check option to create audit rules that allow the system to alert you when a processor makes a change in any of the following fields on the payment request form:

- Changes an expense type
- Changes the total amount of a line item
- Adds or removes a line item
- Changes an allocation code
- Adds or removes an allocation line item
- Changes the invoice date
- Changes the invoice number
- Changes the vendor remittance address



If the result of this check is *True*, the **Has the processor made a change to tracked items** check box on the **Payment Request** page becomes selected (enabled) automatically and the system notifies the client that the processor has made a change in one of the fields listed above.

For more information, refer to the *Track Processor Changes to Request Fields and Line Items* section in the *Concur Invoice: Forms and Fields Setup Guide*, and the *Tracking Front-Office Invoice Changes* section in the *Concur Invoice: Invoice AP User Guide*.

Vendor Tax ID

For invoice entries where the country is specified as Japan or a city within Japan, an audit rule can be created to validate the value of the **Vendor Tax ID** with the Japan National Tax Agency (NTA). You can create a rule to determine whether the Vendor Tax ID is valid, invalid, or whether the Vendor Tax ID could not be verified with the Japan NTA (unverified). The system will then allow the invoice to be saved, will show an exception as invalid and prevent saving the invoice, or generate a system exception requiring a resave of the entry respectively.

NOTE: At this time, the validation of the Vendor Tax ID will only be performed for invoice entries where the country is set to Japan or a city within Japan – a future release will create support for other countries.

The audit rule checks for both invoice header and vendor information to read **Vendor Tax ID** value. So, the below conditions are valid:

- If the TaxID is in both the vendor information and the invoice header, then the audit rule checks TaxID in the invoice header. (It doesn't check vendor information.)
- If the TaxID is only in vendor information, then the audit rule checks TaxID in vendor information.
- If the TaxID is only in invoice header, then the audit rule checks the TaxID in invoice header.

Initial Setup of the Invoice Entry Form

To use the Vendor Tax ID audit rule feature, the invoice entry form must include the following:

- The Vendor Tax ID form field

  - AND-

- The country for the expense (that is, Japan)

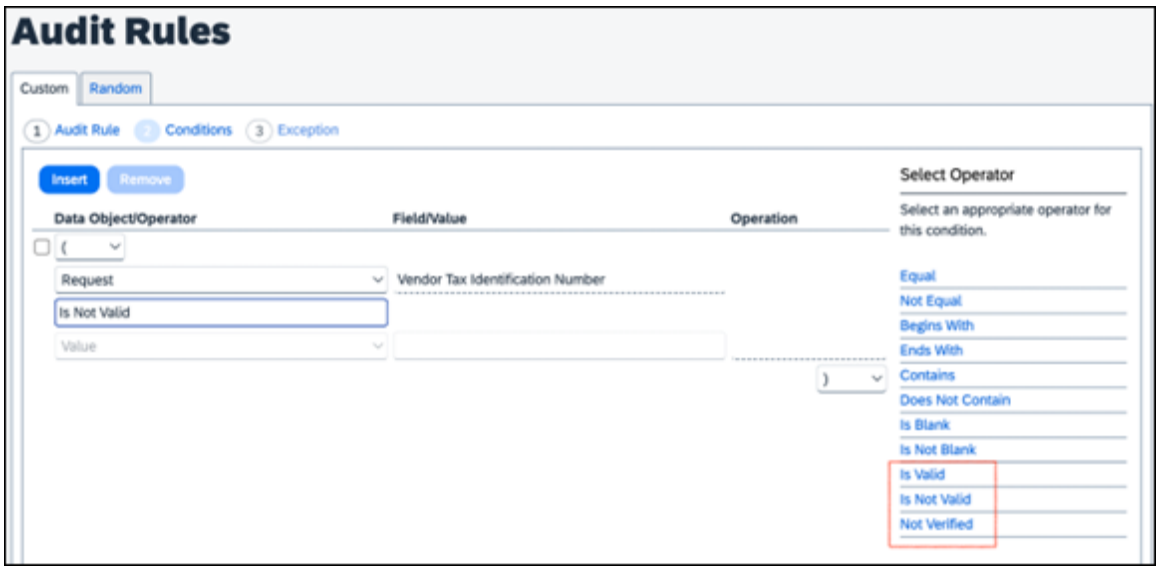
NOTE: The invoice entry form must have the **Country/Region** field or the **City (Location)** field so that the user can enter the country value, required for validation.

Rule Setup

An audit rule is configured to test the Vendor Tax ID value in the entry in three ways:

- **Is Valid** – The Vendor Tax ID is registered with the Japan government.
- **Is Not Valid** – The Vendor Tax ID is not registered with the Japan government.
- **Not Verified** – The Vendor Tax ID verification is not completed due to a temporary system issue. Users may need to re-run the audit rule if they want to verify the values.

The following image shows the configuration of the conditions for an audit rule to determine if the Vendor Tax ID is not valid.



Per this rule, if the Vendor Tax ID is not valid, then an exception will be raised. The exception can be specified on the **Exception** pane. Depending on the level of the exception specified, the user may be blocked from submitting the invoice. The user can change the Vendor Tax ID and save the invoice again – this will execute the

audit rule again, and validation of the revised Vendor Tax ID will again be performed with the Japan NTA.

If the Japan NTA API is unavailable, then a system exception will be attached to the invoice entry. In this case, the user will be directed to open and save the invoice to retry the validation.

In the event the internal service is unavailable or returns an error, the invoice returns as "Not Verified". A message may display if the client has configured it for the audit rule. SAP Concur recommends clients use the following message, *"The Vendor Tax ID could not be validated against an external service. Please try again after some time to retry validation. If the error persists, please contact SAP Concur support or your Concur Administrator".*

DISCLAIMER

NOTE: This function is based on information fetched from Invoice-kohyo system Web API by Japan National Tax Agency (NTA-API). Japan NTA does not give any guarantee to the results of this function. Since NTA-API is provided by Japan NTA, SAP Concur cannot assure its service time. Users must know that system errors of NTA-API affect the function results.

Section 5: Random Audit Rules

The random audit rule allows for the auditing of selected submitted invoices either by:

- **Sequential:** The sequential audit is based on some number of invoices that users submit (for example, 10 invoices). Then, every 10th invoice submitted by the selected group or groups is audited. (The maximum is 999,999.)
- **Percentage:** The percentage audit is based on a percent of invoices submitted (for example 10%). Then, approximately 10% of the invoices submitted by the selected group or groups are selected randomly and audited. (The maximum is 100 %.)

  NOTE: The percentage-based random audit rule is based on averages. In the long term, the desired percentage of the invoices will be audited. In the short term, the exact percentage may be slightly more or less.

NOTE: Your company should have *only one* active random audit rule for each group configuration. The system may let you activate more than one random rule but the results will be unreliable. Best practice is to have *only one* active random audit rule for each group configuration.

General Concepts

Groups and the Random Audit Rule

Assume a sequential random audit rule applies only to Group 1, and then every 10th invoice submitted from members of Group 1 will be audited. Assume the rule applies to Group 1, 2, and 3, then for auditing purposes the groups are combined so every 10th invoice submitted from members of Group 1, 2, or 3 will be audited. That is, it is **not** the 10th invoice from Group 1, the 10th invoice from Group 2, and the 10th invoice from Group 3; it is the 10th invoice from the collective group.

A percentage-based random audit rule works essentially the same way.

Events (Triggers)

When creating or editing a random audit rule, the administrator specifies the event that triggers the rule, for example:

- **Payment Request Submit:** The rule is triggered when the invoice is submitted but before it enters any other workflow steps.
- **Payment Post Request Submit:** The rule is triggered when the invoice has gone through all the approval and processor workflow steps but before the pre-payment validation occurs.

Visibility

When creating or editing a random audit rule, the administrator defines who sees the exception text:

- **Invoice User, Invoice Approver, and Invoice Processor:** The user, approver, and processor see the exception text.
- **Invoice Approver and Invoice Processor:** The user does not see the exception text and, hence, does not know the invoice will be audited.
- **Invoice Processor:** The user and approver do not see the exception text and, hence, do not know that the invoice will be audited.

The exception text appears along with following:

- A yellow icon since the exception does not prevent submission of the invoice
- A blue icon if the Concur Expense processor has cleared the exception

Exceptions

When creating or editing a random audit rule, the administrator assigns an exception. All exceptions contain the following:

- **Exception code:** This is the client-defined code for the exception, up to eight alphanumeric characters, all upper case.
- **Exception level:** The client decides how many exception levels (up to 99) to use. For example, assume the company decides to have six exception levels, with level 1 being a minor exception and level 6 being a severe exception. The company also defines the point at which the severity of the exception prevents the user from submitting the invoice (using Invoice Admin, Workflows, and Settings). For example, assume the system does not allow the user to submit an invoice if it contains a level 6 exception.

  NOTE: Though the administrator can define custom audit rules to prevent submission, the administrator cannot define random audit rules for this effect. The administrator selects an exception with an exception level that does not prevent submission.

- **Exception text:** This is the actual message that displays, such as "This payment request has been selected for random audit."

Summary: The Basic Process of Creating Random Audit Rules

To summarize, when creating a random audit rule, the administrator:

1. Names the rule
2. Defines who sees the exception text:
   - Invoice User, Invoice Approver, and Invoice Processor
   - Invoice Approver and Invoice Processor
   - Invoice Processor
3. Selects (or creates) the appropriate exception, which includes:
   - Exception code
   - Exception level
   - Exception text
4. Identifies the administrator (group) that can edit the rule
5. Identifies the group to which the rule applies and whether or not the rule is inherited to the groups below it in the group's hierarchical structure
6. Identifies the event that triggers the rule:
   - Payment Request Submit
   - Payment Post Request Submit

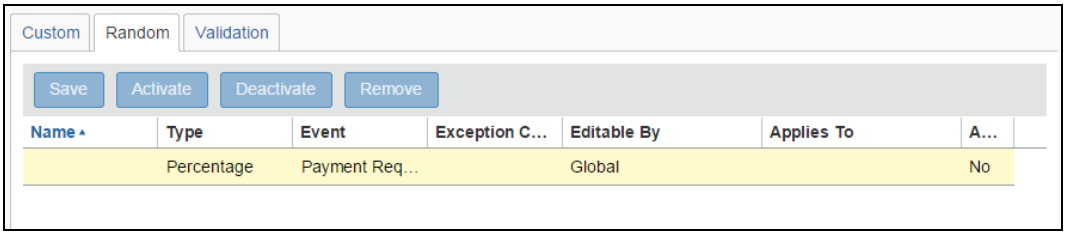
7. Selects and defines the type of audit:
   - Percentage
   - Sequential

Configure Random Audit Rules

Access Random Audit

To access Random Audit:

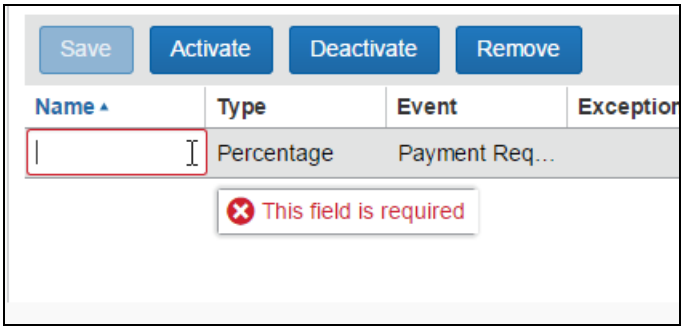
1. Click **Administration** > **Invoice**.
2. Click **Audit Rules** (left menu). The **Audit Rules** page appears.
3. Click the **Random** tab.



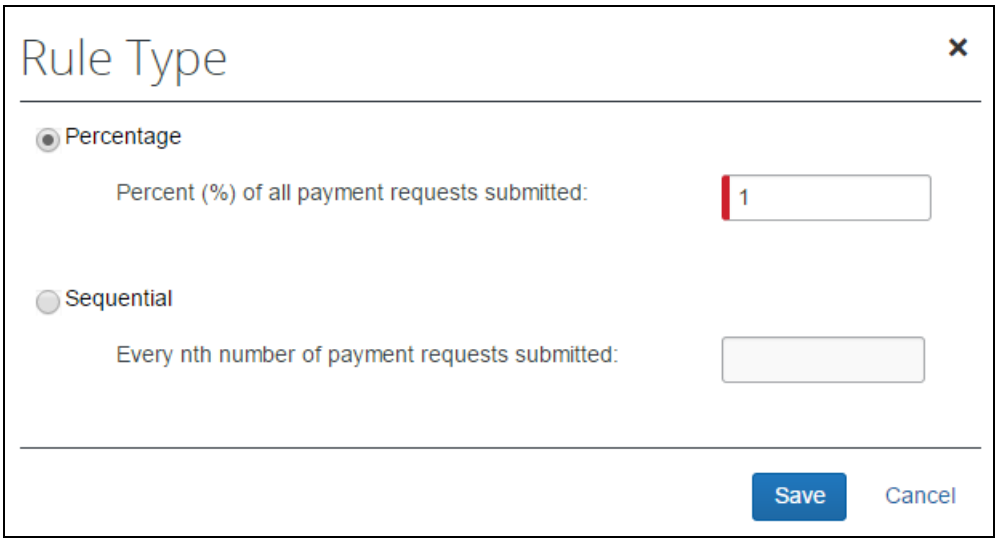
Add a Random Audit Rule

To add a random audit rule:

1. Use the first line (yellow background) in the grid to add a new rule. Click in the **Name** field, and then enter the rule name.



2. Click the **Type** field. The **Rule Type** window appears.



3. Select either:
   - **Percentage** and then enter the appropriate percentage
   - **Sequential** and then enter the appropriate number
4. Click **Save**.
5. In the **Event** field, select either:
   - Payment Request Submit
   - Payment Post Request Submit
6. Click the **Exception Code** field. The **Exceptions** window appears.

7. From the **Exception Visibility** list, select the users who are able to see the exception message by selecting:
   - Invoice Owner, Approver, and Invoice Processor
   - Approver and Invoice Processor
   - Invoice Processor

- Using the exceptions list, you can:
  - Use an existing exception.
  - Create a new exception.

  For more information, refer to the *Adding a Custom Audit Rule* section in this guide.

8. In the **Editable By** field, select the group configuration(s) that can edit this rule.
9. In the **Applies To** field, select the appropriate group configuration(s) to which this rule applies.
10. Click **Save**.
11. With the rule selected, click **Activate**.

NOTE: Your company should have *only one* active random audit rule for each group configuration. The system may let you activate more than one random rule, but the results will be unreliable. Best practice is to have *only one* active random audit rule for each group configuration.

Edit a Random Audit Rule

For detailed information about all the fields on this page, refer to *Adding a Random Audit Rule* in this guide.

To edit a random audit rule:

1. In the **Name** field, change the name as desired.
2. Click the **Type** field. The **Rule Type** window appears.
3. Make the desired changes.
4. Click **Save**.
5. For the remaining fields, make the desired changes.
6. Click **Save**.

Deactivate/Activate a Random Audit Rule

Activate a rule when you are ready to use it.

Instead of *removing* a rule, you can *deactivate* it. This way, the rule is still available if you want to use it in the future.

To deactivate/activate a random audit rule:

1. On the **Random** tab, select the desired rule.
2. Click **Deactivate** or **Activate**, whichever applies.

Remove a Random Audit Rule

Once you have removed a rule, the system will permanently delete it. If you think you might want to use it again, *deactivate* it instead of removing it.

To remove a random audit rule:

1. On the **Random** tab, select the rule you want to remove.
2. Click **Remove**.