globalDoc Solution®

Administration manual

Version 8.0

Fachverlag Moderne Wirtschaft GmbH

Contents

Legal matters

Release Notes

In the eighth generation of *globalDoc*, in addition to the integration of a virus scanner for file uploads, the integration of benchmarking studies, the development of a role concept according to the "RACI" concept[1] and the expansion of the possibilities for report configuration took place. Some visible changes are:

- Benchmarking studies can now be stored in the system and referenced as report variables;
- Introduction of additional user roles that optimize the editing, reviewing and completion of TP documentation: Accountable, Responsible, Reviewer and Delegated User;
- Attachments can now be assigned to a separate folder for each document type. The existing documentation attachments are thus output in a clear folder structure when the report is generated;
- Introduction of report templates per master file, local file and individual files, which greatly simplifies the use of different report formats. For certain companies or certain countries, reporting formats that deviate from the (OECD-) standard can now be used more easily than previously;
- Transaction volumes are not transferred when an existing reporting period is copied to create a new period;
- Improved e-mail function: now users are only informed once a day about tasks to be done in a bundle, instead of receiving one e-mail per action;
- Automatic allocation of modules[2] belonging to a certain transaction group as soon as transaction modules for the company concerned exceed a threshold value specified by the system administrator;
- Improvement of the import of transfer pricing documentation already existing in Word format, e.g. from reporting periods in which *globalDoc* was not used yet.

We thank you for your constructive feedback and suggestions, which enable us to continuously improve *globalDoc-Solution*®.

We look forward to a continuing successful cooperation.

Your *globalDoc-Solution*® team

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[1] RACI is a technique for the analysis and representation of responsibilities. The name is derived from the first letters of the terms Responsible, Accountable, Consulted and Informed.

[2] The term "modules" is used in *globalDoc* to describe placeholders for the individual text modules.

Preliminary remark

In addition to the explanations in the user manual, this *globalDoc Solution®* administration manual describes the program items of the main menu that are only relevant for users with administrator rights.

These are the program items "*Settings*" and "*Documentation setup*", which can only be accessed by users with the appropriate system and security administrator rights. These program items are not visible on the landing page of a local user. In some cases, this also applies to individual navigation items of the "*Tasks*" program item.

In addition to a general introduction to *globalDoc Solution®*, the separate *globalDoc Solution®* user manual contains a detailed description of the "*Reporting company*" and "*Tasks*" program items, including the respective sub-menus, which are relevant for both local users and administrators.

TIP: We recommend that administrators first familiarize themselves with the user manual and then read this supplementary administration manual.

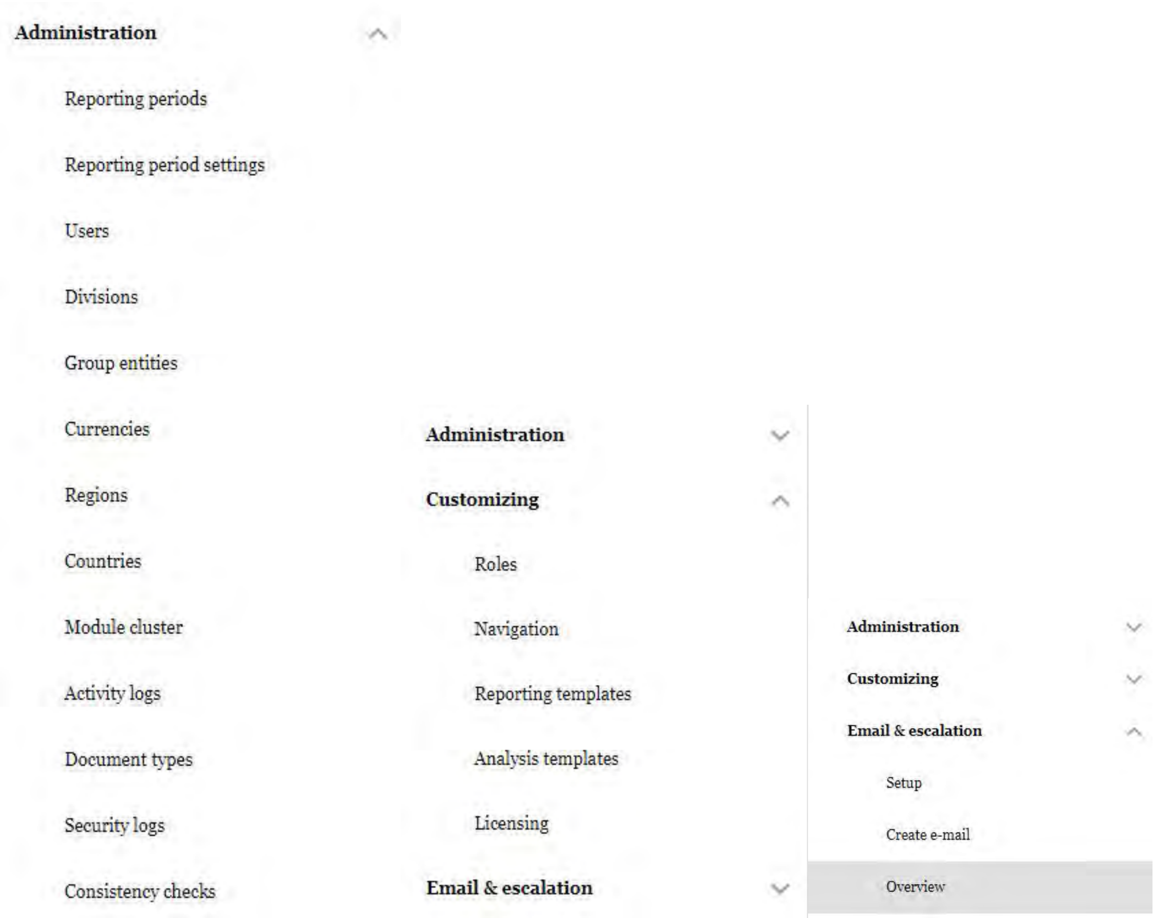
Screenshot 1: globalDoc Solution® program points

1. Program item Settings

The program item "Settings" offers a user, with the corresponding system and security administration rights, the possibility to centrally manage all settings of *globalDoc Solution*® via the following menu items:

- Menu item "Administration", in which the basic *globalDoc Solution*® settings can be made via various navigation items (see following illustration);
- Menu option "Customizing", in which you can make individual settings for roles, navigation, report templates and analysis templates and call up detailed information on licensing using various navigation options (see also following graphic);
- Menu item "Email & escalation", in which the e-mail function can be activated and the automated sending of e-mails can be set via various navigation points (see also following illustration).

For the individual navigation points of the menu items "Administration", "Customizing" and "Email & escalation" see the screenshot below.



Screenshot 2: Program point Settings incl. sub-menus

1.1 Brief overview

1.1.1 Menu item Administration

Navigation point	Brief description
Reporting periods	Reporting periods are managed in this navigation point. New reporting periods can be created, existing ones edited, copied or deleted. For further information please refer to chapter: „*Reporting periods*".
Reporting period settings	Under this navigation point, settings can be made for the individual existing reporting periods. For further information please refer to chapter: „*Reporting period settings*".
Users	This navigation point contains the user administration and role assignment. Users and their role assignments can be created, edited, or deleted. It is also possible to lock, unlock, change or reset the passwords of existing users. In addition, an import and export of users with user data as Excel files is possible. For further information please refer to chapter: „*Users*".
Divisions	Under "Divisions" new *globalDoc*-divisions can be created, existing ones edited or deleted. Each *globalDoc*-division contains modules that are only relevant for certain reporting companies and can only be edited by users who have the editor role for this *globalDoc*-division. Frequently, *globalDoc*-divisions are formed according to regional, functional, transactional or divisional criteria. For further information please refer to chapter: „*Divisions*".
Group entities	This navigation point contains the administration of the Group companies.

	Group companies can be created, defined as reporting companies, edited, or deleted. In addition, group companies with their master data can be exported or imported as Excel files. Furthermore, modules and module groupings can be assigned to the respective group company. For further information please refer to chapter: „*Group entities*“.
Currencies	"*Currencies*" shows all entered currencies. Currencies can be deleted, added and edited here. For further information please refer to chapter: „*Currencies*“.
Regions	Here it is possible to manage regions that can be used in the documentation. For further information please refer to chapter: „*Regions*“.
Countries	Here it is possible to manage countries that can be used in the documentation. For further information please refer to chapter: „*Countries*“.
Module cluster	In this navigation point, modules can be combined into defined clusters and distributed to reporting companies. For further information please refer to chapter: „*Module cluster*“.
Management entities	Under "*Management entities*", the individual business divisions of groups with a matrix organization can be managed. For further information please refer to chapter: „*Management entities*“.
Activity logs	The administrator can use the "*Activity logs*" function to track the activities of the users and export an overview as an Excel file. For further information please refer to

	chapter: „*Activity logs*“.
Document types	Under "*Document types*" you can define, edit or delete folders under which the uploaded attachments are to be stored when generating the report. For further information please refer to chapter: „*Document types*“.
Security logs	The administrator can use the "*Security logs*" function to track the activities of the security administrators in the user administration (navigation point: "*Users*") and export an overview as an Excel file. For further information please refer to chapter: „*Security logs*“.
Consistency checks	In the navigation point "*Consistency checks*" the administrator sees the consistency check of the databases and can thus recognize possible errors and problems at a glance. For further information please refer to chapter: „*Consistency checks*“.

1.1.2 Menu item Customizing

Navigation point	Brief description
Roles	Under the navigation point "Roles", roles that are assigned to users by the role assignment under the navigation point „*Users*“ are created, defined as standard roles, edited or deleted. For further information please refer to chapter: „*Roles*“.
Navigation	The system administrator can view the navigation structure and rename navigation points under "*Navigation*" For further information please refer to chapter: „*Navigation*“.
Reporting templates	In this navigation point, format templates for the reports, transaction matrix and analyses can be added and edited. For further information please refer to chapter: „*Reporting templates*“.
Analysis templates	"*Analysis templates*" allow the description of the applied method, description of the cost basis, transfer price analysis and appropriateness of the transfer prices to be pre-defined for various transfer pricing methods. For further information please refer to chapter: „*Analysis templates*“.
Licensing	Under the navigation point „*Licensing*“, licensing information as well as the license key of your *globalDoc Solution*® version are being displayed.

1.1.3 Menu item Email & escalation

Navigation point	Brief description
Setup	Under the navigation point „*Setup*“, it is possible to activate and configure the e-mail function. For further information please refer to chapter: „*Email & escalation / Setup*“.
Create e-mail	„Create e-mail“ enables you to send individual emails. For further information please refer to chapter: „*Email & escalation / Create e-mail*“.
Overview	The navigation point "*Overview*" lists all sent, waiting and faulty e-mails. For further information please refer to chapter: „*Email & escalation / Overview*“.

1.2 Menu item Overview

A click on the "*Settings*" program item takes you to an overview page that displays the status of the selected reporting period and the documentation process so that you can carry out certain actions directly from this view:

Screenshot 3: Settings Overview

On this overview page, you can first select a specific reporting period for which a summary of the group companies and users contained in the selected reporting period ("Overview current reporting period") and a status of the documentation process ("Documentation process workflow") are displayed.

With Copy it is possible to create a new reporting period based on the previous one. Read more in chapter „*Copy of an existing reporting period*".

In the area „Overview current reporting period" it is possible to switch directly to the navigation points „User" (read more in „*Users*"), „Divisions" (read more in „*Divisions*") or „Group entities" (read more in „*Group entities*") by clicking (in the column „Details").

Under „Documentation process workflow" it is possible to start a new documentation process by clicking (in the column „Details").

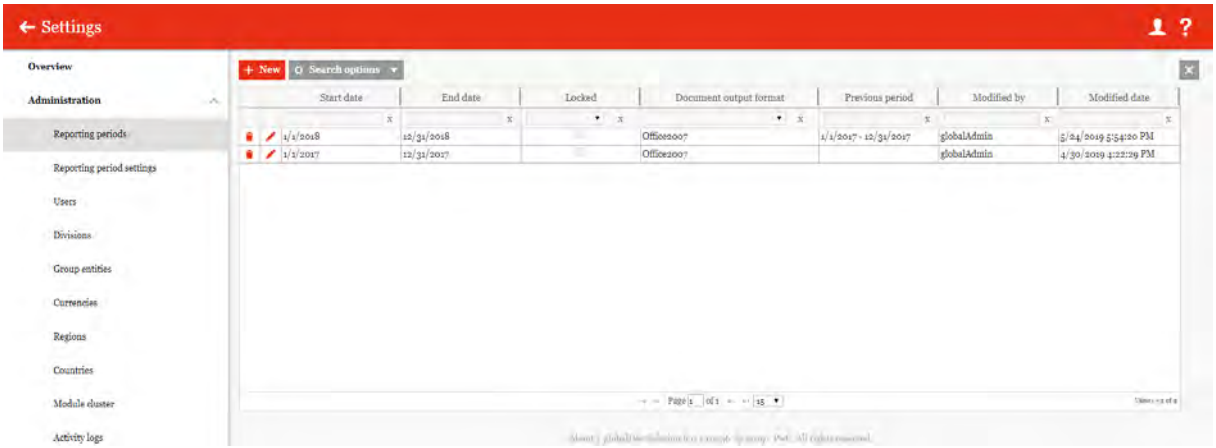
NOTE: Before starting a new documentation process, the reporting period for which a new documentation process is to be created must first be selected under "Reporting period" (in the upper part of the view).

Screenshot 4: Start documentation process

1.3 Menu item Administration

1.3.1 Reporting periods

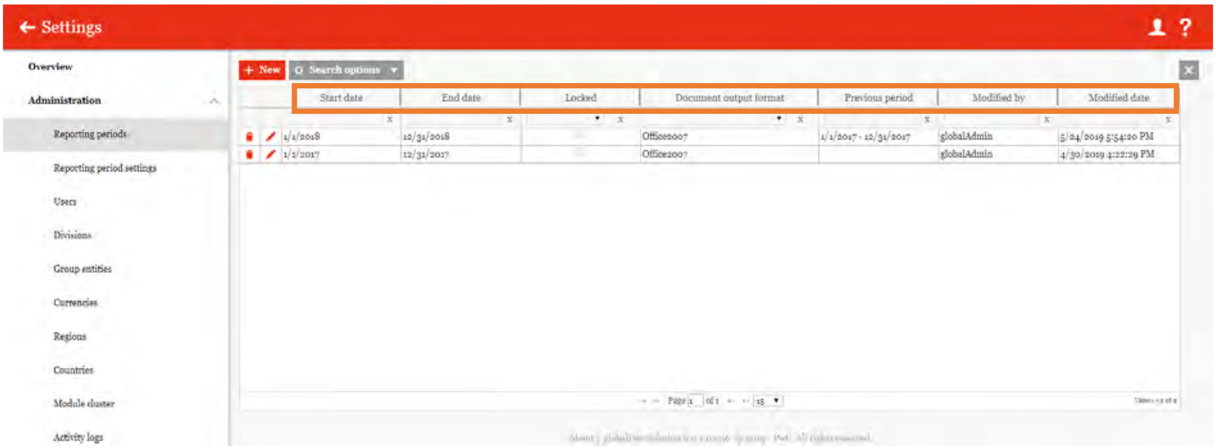
Under the navigation point "Reporting periods" the system administrator can manage existing reporting periods, create new reporting periods and remove existing periods if required:



Screenshot 5: Overview of the reporting periods

The reporting periods in the overview can be sorted according to the following values by clicking on the corresponding field:

- *Start date*
- *End date*
- *Locked*
- *Document output format*
- *Previous period*
- *Modified by*
- *Modified date*



Screenshot 6: Sorting of the reporting periods

Via the icon the selceted reporting period can be deleted directly or it can be edited via the icon.

The overview page provides various functions for managing reporting periods, which are described briefly below:

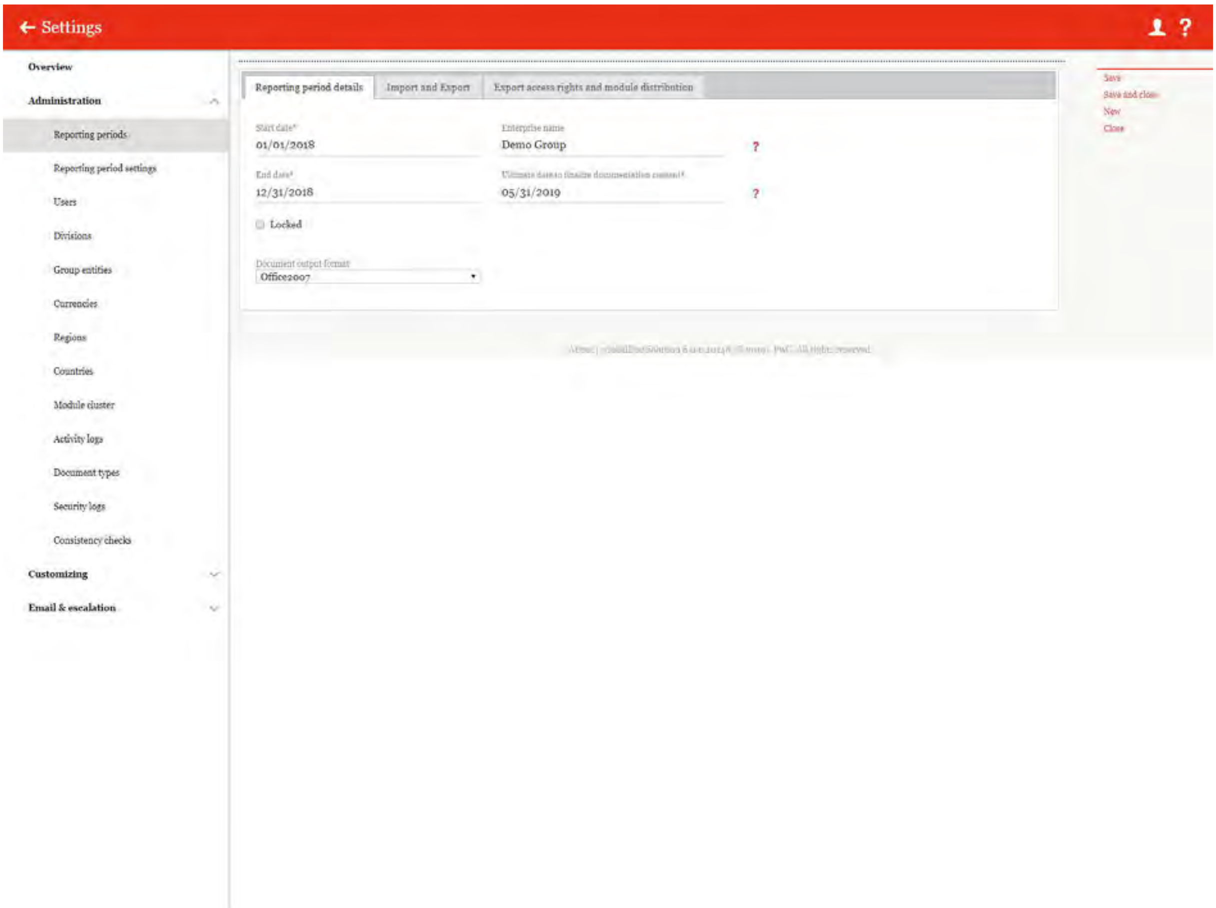
+ New	*Create new reporting period*
Search options	*Configure the search: „Simple search", „Extended search" or "Select columns". It is also possible to refresh the search.*
×	*Closes the administration view and forwards to the start page of globalDoc Solution®*

1.3.1.1 Creating a reporting period for the first time in globalDoc Solution®

Under *Settings / Administration / Reporting periods*, selecting the button + New opens the detailed view for creating a new reporting period.

The detailed view of a reporting period consists of the following tabs: „Reporting period details", „Import and Export" sowie „Export access rights and module distribution".

TIP: If files of an already created reporting period are to be used in the new reporting period (e.g. reporting companies, users, modules or module contents, etc.), the "Create copy" function must be used (please refer to chapter „*Create a copy of an exisiting reporting period*").



Screenshot 7: Create a new reporting period

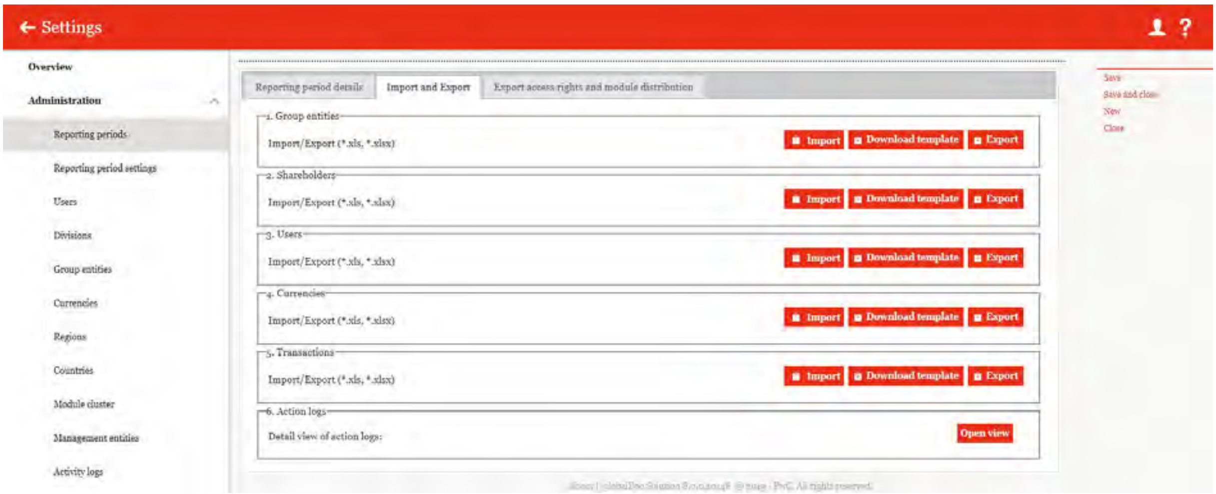
The creation of a new reporting period requires the entry of the following data in the "Reporting period details" tab:

NOTE: Only the fields marked with * must be filled in. However, it is recommended that you also enter the enterprise name, as this can later be used as a placeholder in the report.

- Start and end date*: Determination of the start and end date of the new reporting period.
- Enterprise name: Name des Konzerns zur Benutzung als Platzhalter (Variable) in Reports.
- Ultimate date to finalize the documentation content: Last due date for the documentation process workflow.
- Locked: Enabling the Lock function closes a reporting period and the data contained in that reporting period cannot be changed by local users. When creating a new reporting period, the locked function remains deactivated. An already locked reporting period can be unlocked by the system administrator for editing at any time.
- Document output format: Choice between "Office 2003" (.doc file extension) and "Office 2007" (.docx file extension) possible.

By selecting the "Save" or "Save and close" field in the right command column, the new reporting period is created.

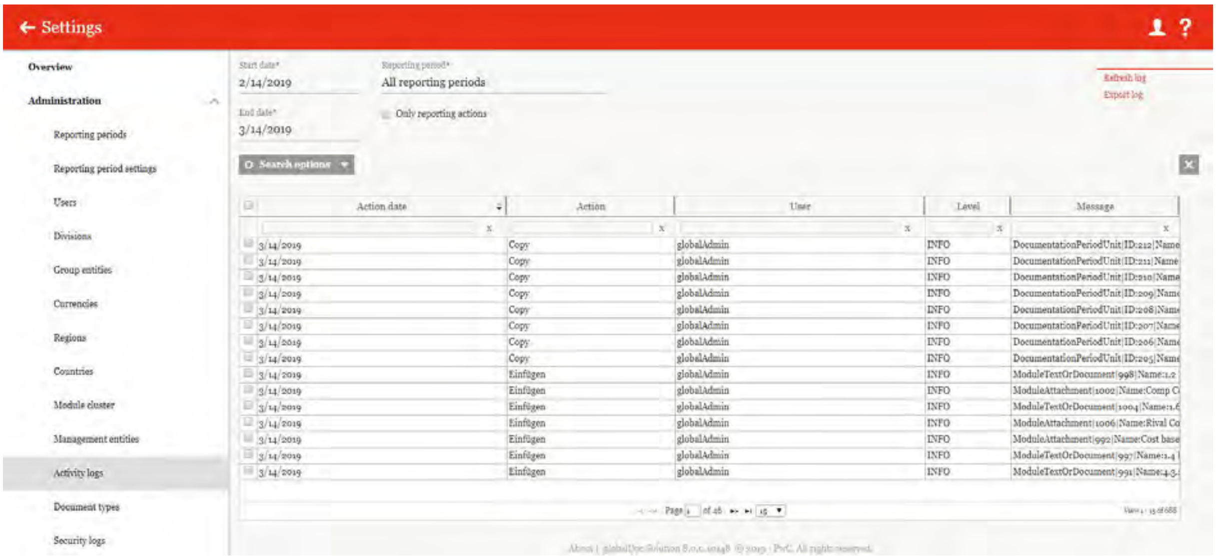
In the second tab "Import and Export" group companies, shareholders, users, currencies and transactions can be imported with the corresponding master data (please refere to following screenshot).



Screenshot 8: Create new reporting period - Import & Export

To import data into *globalDoc Solution*®, an Excel template can first be downloaded via the selection field **Download template** and saved locally. This template is filled with the corresponding data by the system administrator, saved locally and uploaded via the **Import** field again. The selection field **Export** can be used to download data already contained in *globalDoc Solution*® as Excel files.

In the line "5. Transactions" there is also the possibility to import data from external applications. This function requires an interface to the external application. This is not part of *globalDoc Solution*®.



Screenshot 9: Create new reporting period - Activity logs

Using the navigation item "Activity logs", the system administrator can trace which user performed which type of action on which object (module, reporting company, reporting period). Here it is possible to select the period to be displayed in the overview by entering "Start date" or "End date". The list field "Reporting period" makes it possible to filter the selection further over the created reporting periods. To view only entries that are directly related to report creation, select the option "Only reporting actions".

In the third tab "Export access rights and module distribution" Excel overviews of module distribution, user roles and access rights can be exported (please refer to following screenshot).

Screenshot 10: Create new reporting period - Export access rights and module distribution

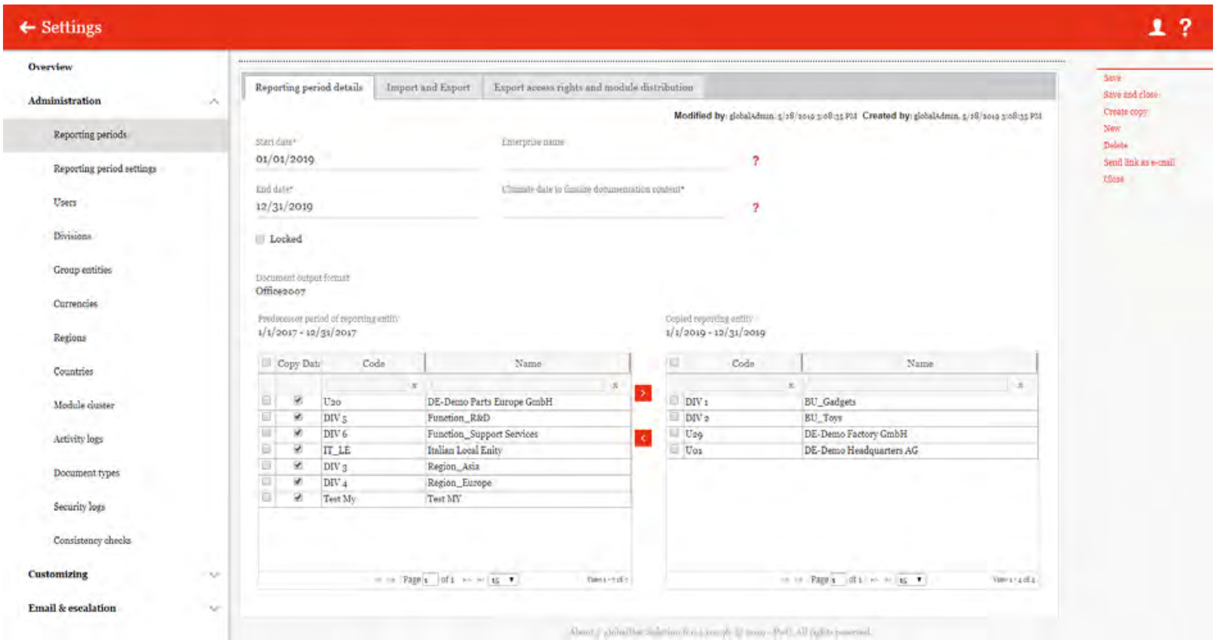
1.3.1.2 *Create a copy of an existing reporting period*

Under *Settings / Administration / Reporting periods /* and clicking on ✎ of the corresponding period, the detailed view of the selected reporting period is opened (see Screenshot 11). The system administrator can copy the selected reporting period using the "Create Copy" selection box in the right command column. Existing reporting companies and *globalDoc*-divisions can be partially or completely copied from the existing reporting period to the new reporting period and thus form the basis for the documentation of this new reporting period.

NOTE: If a reporting company and / or a globalDoc division has been copied into a new reporting period, the following changes in the previous reporting period have no effect on the new reporting period and vice versa.

In the lower area of the detail view that opens, the system administrator sees the reporting companies and globalDoc divisions of the previous period that have not yet been assigned to the new reporting period in the left table. With this function, the local modules of the selected reporting company and the divisional modules of the selected *globalDoc*-division can be selectively copied into the corresponding reporting period.

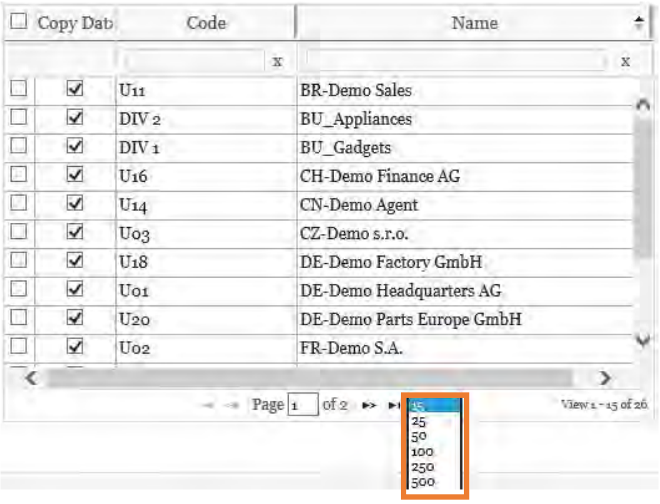
In contrast, the table on the right shows the reporting companies and *globalDoc*-divisions that are already assigned to the relevant reporting period.



Screenshot 11: Reporting period details – Create copy

In order to copy the corresponding reporting companies and „*globalDoc-Divisions*“ into the new reporting period, the corresponding companies / globalDoc-divisions are selected by setting a check mark.

HINWEIS: If you want to copy all reporting companies and divisions, you can check the box in the header of the table (see Screenshot below). It is important to make sure that all desired companies and *globalDoc*-divisions to be copied are selected. The table on the left shows by default only 15 companies/globalDoc divisions at a time, so the view in the lower part of the table may need to be set to a higher number..



Screenshot 12: Selection of the number of displayed companies and divisions

By clicking the icon, the selected companies and globalDoc divisions are copied into the new reporting period (right table). The modules at the "Global" level are automatically transferred to the new reporting period.

By selecting the "Save" or "Save and close" field in the right command column, the new reporting period is created.

NOTE: If, as an exception, no documentation content is to be transferred, but only unfilled modules in the new reporting period, the check mark in the "Copy data" column can be removed by clicking on it.

1.3.1.3 Edit existing reporting periods

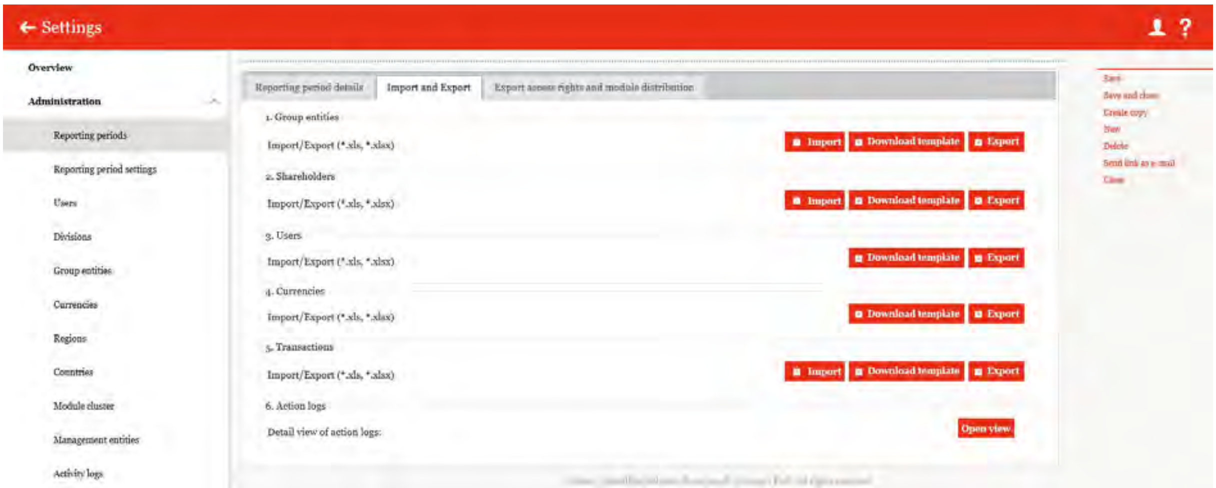
Under *Settings / Administration / Reporting periods*, and clicking on , the detailed view of the selected reporting period is opened. This detail view consists of the tabs "Reporting period details", "Import and Export" and "Export access rights and module distribution".

In the "Reporting period details" tab, those reporting companies and *globalDoc*-divisions that are already assigned to the reporting period in question are displayed in the lower right area of the detail view. In contrast, the table on the left shows the reporting companies and *globalDoc*-divisions that have not yet been included in the current reporting period.

NOTE: Please note that this is only done if the selected reporting period was created as a copy of an existing reporting period.

You can use the icon to copy selected reporting companies and globalDoc-divisions from the previous period to the new reporting period. Using the icon will remove the selection. The "Global" level modules are automatically transferred to the new reporting period.

In the second tab "Import and Export", data on group entities, their shareholders, users, currencies and transactions can be imported (see following screenshot).



Screenshot 13: Detail view of Reporting periods - Import and Export

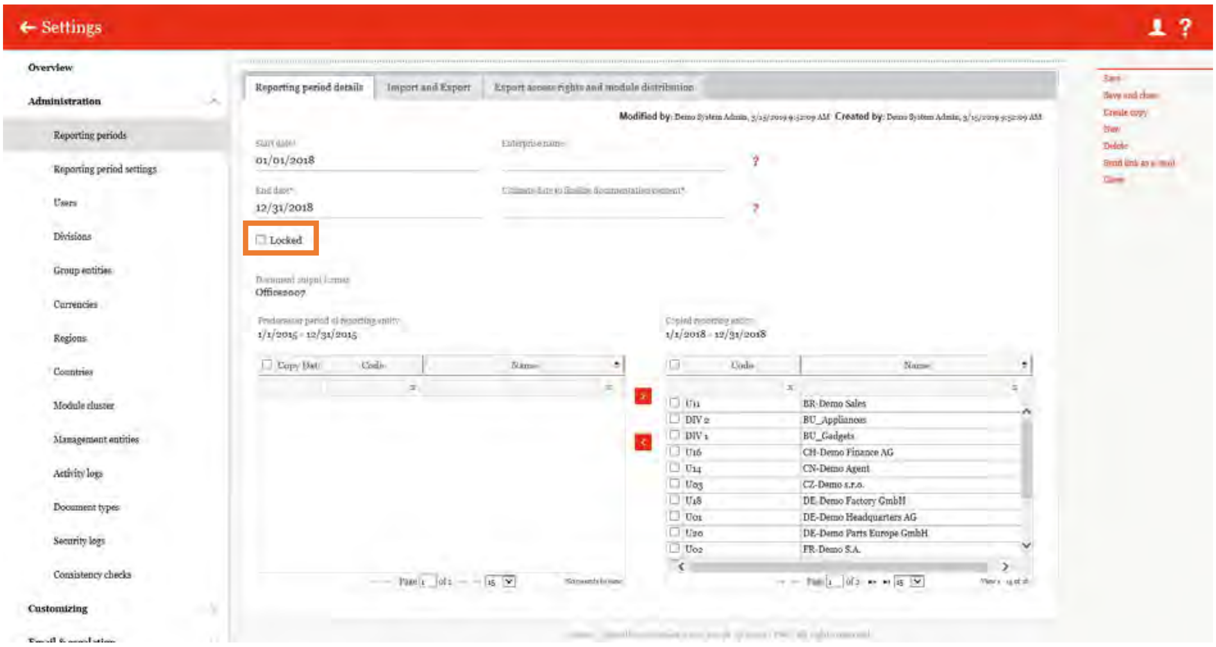
To import data into *globalDoc Solution*®, first, an Excel template should be downloaded via the selection field Download template and saved locally. Consequently, the System administrator may complement the template with the corresponding data, save it locally and finally upload it via the button Import. The selection box Export offers the possibility to download data that has already been imported into *globalDoc Solution*® as an Excel file.

In the third tab "Access rights", Excel overviews of module distribution, user roles and access rights can be exported (see following screenshot).

Screenshot 14: Detail view of Reporting periods – Access rights

1.3.1.4 Lock Reporting period

Under *Settings / Administration / Reporting periods*, selecting the icon .will open the detail view of the selected reporting period. By selecting the "Locked" option, the reporting period will close, i.e., the affected data can no longer be changed (see screenshot 3. The System administrator can reopen a locked reporting period for editing at any time by deactivating the "Locked" option.



Screenshot 15: Lock Reporting period

TIP 1: If only a single module is to be locked for editing by local users instead of the entire reporting period, the status of the module can be set to "Closed" by a user with the role "Approve Tasks" and by a user with the role "Reviewer". If a user with the role "Responsible" has delegated the editing of a module to another user (Delegated User), it is possible for that user to withdraw the delegation again, so that the module can no longer be edited by this other user.

TIP 2: Delegating module to another user only grants temporary editing rights for that module, unless that user also has the "Edit local content" role for the respective reporting company. In this case, the role "Edit local content" is retained beyond the delegation.

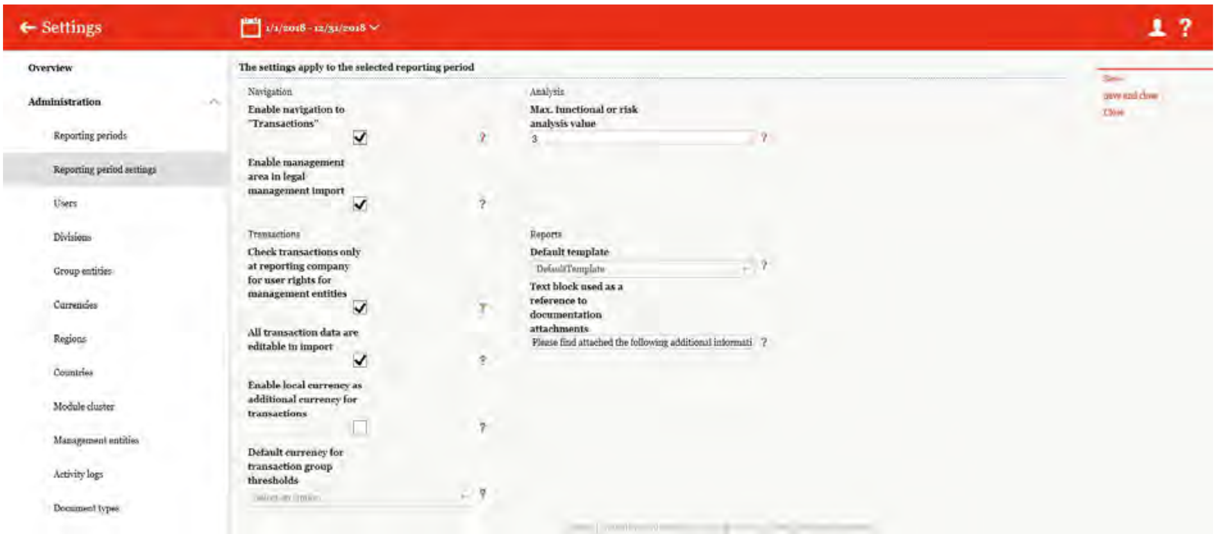
1.3.1.5 Delete Reporting period

The selected Reporting period will be deleted under *Settings / Administration / Reporting periods* by selecting the icon . A reporting period can also be removed under the detail view, which can be opened by selecting the icon and then selecting "Delete".

ATTENTION: All documentation contents of the reporting period will get lost by the deletion!

1.3.2 Reporting period settings

Under *Settings / Reporting period settings*, the following settings for the individual reporting periods may be made (see following screenshot):



Screenshot 16: Reporting period settings

- Enable navigation to "Transactions" function can be activated to record transaction-related data for the transaction matrix as well as for the functional, risk and transfer pricing analysis. For more information, see chapter "Settings / Customizing / Analysis templates" and the User Manual under the chapter "*Reporting company / Transactions*".

- „Enable management area in legal-management import“ is only relevant when the additional feature TP matrix is in use. For further information, see chapter "*Settings / Administration / Import of Legal Management*".

- The setting "Max. functional or risk analysis value" determines the maximum value (between 1 and 5) of a function to be assumed by the reporting company or of a risk to be borne by the reporting company in the functional and risk analysis. In order to use these functions with *globalDoc Solution*®, the option "Transactions" must be activated.

- Activating the option " Check transactions only at reporting company for user rights for management entities" causes the management unit for transaction partners to be ignored in the case of transactions for user rights. Transactions with unauthorized management units for transaction partners are still displayed in the transaction matrix.

  - The option " All transaction data are editable in import" allows or prevents the editing of imported transaction data uploaded to *globalDoc Solution*® under *Reporting Company/Transactions/ Transaction Matrix*.

  - "**Enable local currency as additional currency for transactions”** enables the amounts to be recorded in the respective group currency and additionally in local currency. If only one currency is activated, an automatic conversion with the (averaged) exchange rates will take place during the comparison. If this function is re-deactivated, only the local currency amounts translated into group currency will be retained.

  - Under "Default currency for transaction group thresholds " it is possible to define a currency for the standard currency of specific transaction groups. For these currencies, threshold values can then be defined under *Documentation setup / Transaction groups /* *The corresponding transaction group*, for which transactions are output to the matrix or transaction-related modules in the report. For details see *Transaction groups*.

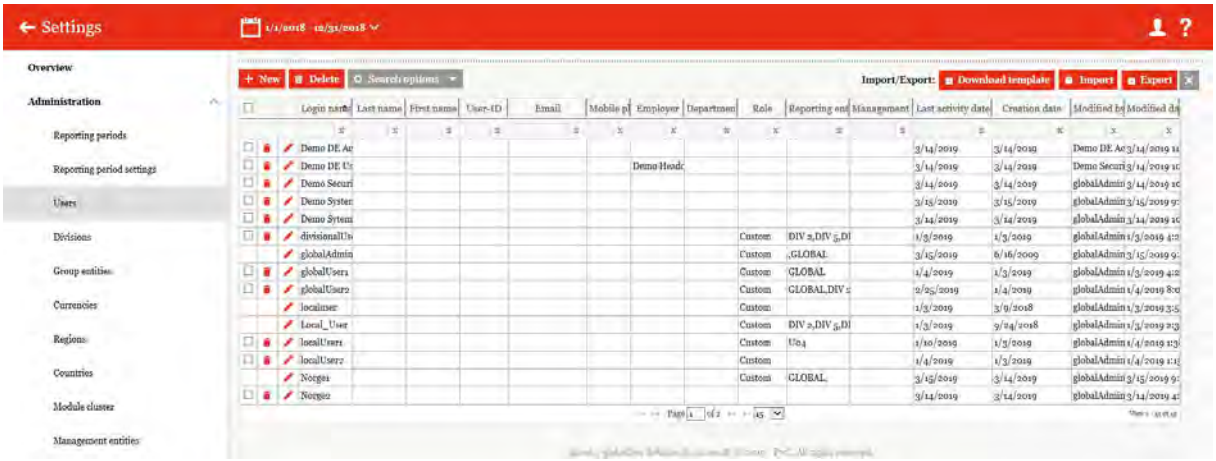
  - Under "Default template", a report template for the reporting period can be selected.

  - "Text block used as a reference to documentation attachments" offers the possibility to edit the text block, which refers to an attachment included in the the appendix of a report.

1.3.3 Users

In the "Users" section, the security administrator can manage and update existing users, create new users for a reporting period, and, if necessary, remove users that have already been created.

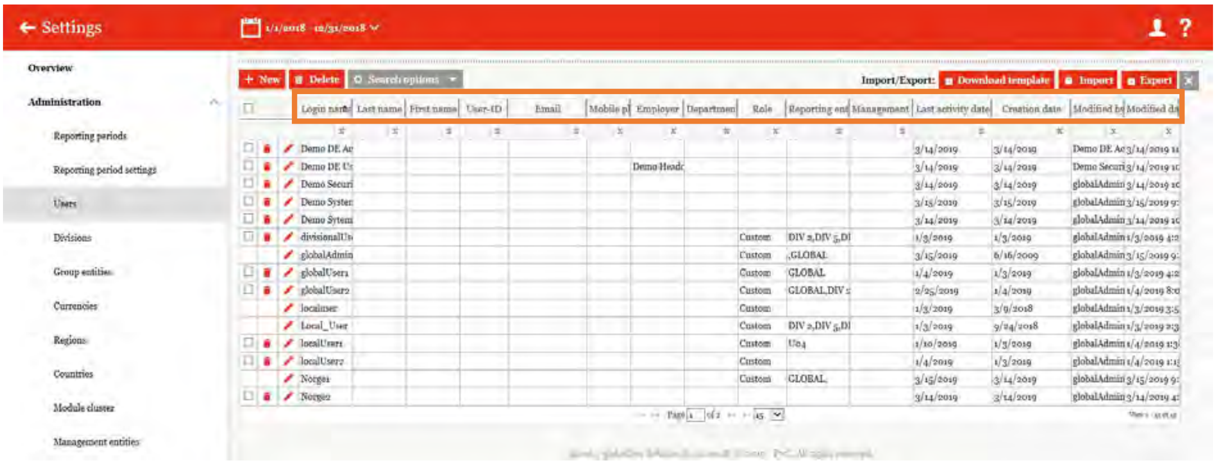
Via *Settings / Administration / Users*, an overview page of the already created users as well as the available functions for managing these users can be opened.



Screenshot 17: Overview of created Users

On this overview page, a specific reporting period has to be selected. Then, created users linked to that reporting period will be displayed. The view of all users created for the selected reporting period can be sorted by clicking on the following fields (see following screenshot):

- *Login name*
- *Last name*
- *First name*
- *User ID*
- *Email*
- *Mobile phone number*
- *Employer*
- *Department*
- *Role*
- *Reporting company code(s)*
- *Last activity date*
- *Creation date*
- *Modified by*
- *Modified date*



Screenshot 18: Sorting of Users

The selected user can be deleted by clicking the icon or edited by clicking the icon .

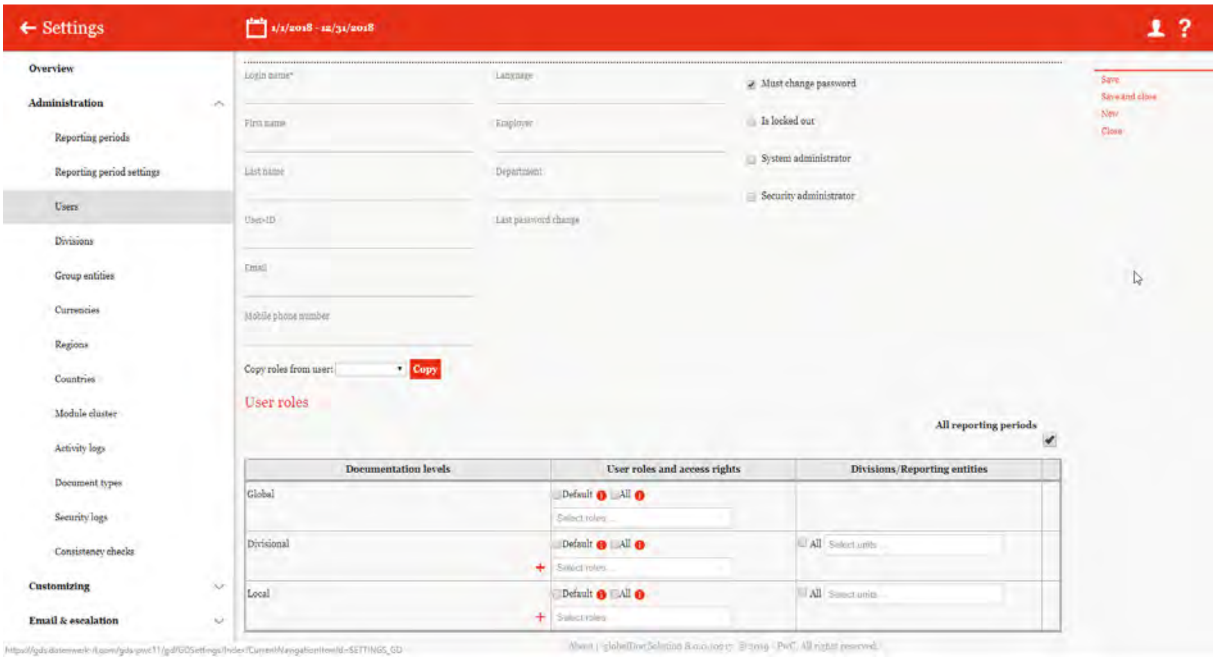
The overview page provides various functions for managing users. These functions are briefly described below:

+ New	Create new user

Delete	Delete selected user
Search options	Configure the search: Select Simple search, Advanced search or Columns. The search can also be updated here.
Download template	Download empty Excel template as template, e.g. for import
Import	Import selected user data via Excel
Export	Export all registered users
×	Close administration view and forwarding to globalDoc Solution® landing page

1.3.3.1 Create new User

Under *Settings / Administration / Users,* the detail view for creating a new user is opened by selecting the button **+ New**.



Screenshot 19: Create new user

When creating a new user, the following data can be entered (fields marked with (*) are mandatory):

- Login name*: This is the only mandatory field and required for a successful login.
- First name: optional specification of the user's first name
- Last name: optional specification of the user's last name
- User-ID: optional assignment of a unique user identification number
- Email: optional specification of the user's email address [3]

  TIP: Here it is recommended to add a user-specific e-mail address so the user can receive reminder e-mails for possible tasks.

- Mobile phone number: optional specification of the user's mobile phone number[4]

[3] The email address is mandatory if the email-function of *globalDoc Solution*® shall be used.

[4] The mobile phone number is mandatory if 2-factor-authentication via SMS-TAN is to be used.

- Language: optional specification of the user's preferred language. The navigation elements and help texts are displayed in the selected language.
- Employer: optional specification of the user's employer
- Department: optional specification of the department in which the user employed
- Last password change: Date of the last password change. After the creation of a new user, no date is recorded yet.

In addition, there are various ways to set the type of user access:

☑ Must change password	This selection requires the user to change the personal password after the first login.
☐ Is locked out	If this box is checked, the user is locked out and can no longer access *globalDoc Solution*®. This selection remains deactivated when a new user is created and must be set manually if necessary. NOTE: If the user has been locked out by entering an incorrect password several times, the administrator can unlock the user by removing the check mark.
☐ System-Administrator	By clicking this checkbox, the user is assigned the right to access the program item "*Settings*" Settings of *globalDoc Solution*®. This allows to manage all system-settings. It is recommended to limit the number of users with System-Administrator-rigths to a small group of users.
☑ Security administrator	The Security administrator has access to the navigation item "Users" and the right to add, manage and delete users.
Copy roles from user: [ ] Copy	Under this section, user rights can be copied to other users by one click so it is not necessary to edit user rights manually.

To import several users simultaneously into *globalDoc Solution*®, an Excel template can be downloaded via the selection field Download template and saved locally. The Security administrator complements the template with the corresponding data, saves it locally and reuploads it using the Import icon. Via the selection field Export, current data can be downloaded as an Excel file. The Excel file can be changed locally and re-uploaded by using the Import icon. The current data will be uploaded accordingly.

1.3.3.2 User Roles

The relevant reporting companies and roles are assigned to new users or edited for existing users. The following functions are available to the System administrator:

Screenshot 20: Create new User - Role distribution

- User roles and access rights: The Security administrator can assign a specific role to the user. Selecting the "Default" option assigns the defined standard roles to the user for the selected reporting company/companies. The default roles may be defined under *Settings / Customizing / Roles*, (for more details, please refer to section "View / edit existing roles"). Selecting the "All" option assigns all available roles to the user for the selected reporting company/companies.

- Divisions/Reporting companies: The Security administrator can select the units for which the roles shall be allocated. By selecting the option "All", the respective role is assumed for all reporting companies or *globalDoc*-divisions, including the reporting companies /divisions that will be created in the future.

TIP 1: Users who are not granted any roles or rights cannot log in to *globalDoc Solution*®. This can be the case, for example, if the Security-Administrator initially creates users who will later be delegated individual specific modules for processing (which then allows them to log in).

TIP 2: If the System-Administrator should also have access to corresponding master and local files in addition to his administrative tasks (under *Reporting entities / Documentation Content*), it is also necessary to grant the corresponding rights, as described in this chapter.

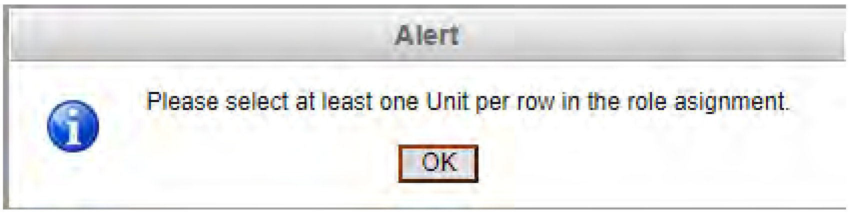
By clicking on Select roles ... a drop-down menu for selecting the user roles will open. These functions are briefly explained below:

Approve tasks	This role allows the user to approve tasks according to the workflow management.
Define content structure	This role allows the user to create local modules for the reporting company. This role can be allocated, for example, if local modules are not to be centrally maintained by the System administrators. Similarly, defined content structure can be assigned to a user for divisions and the area "GLOBAL" (status of a divisional or global System administrator).
Edit global / divisional / local content	These roles enable the user to read and edit the contents of global, divisional or local modules.
Manage attachments	The user has access to the program item "Reporting company / Attachments", can attach files to the respective modules and delete existing module attachments.
Read global / divisional / local content	This role enables the user to read (but not edit) contents of global, divisional or local modules.
Task administration	The user can access the program item "Assignments". In the role of task administrator, the user can create and assign tasks to other users and view the status of tasks at the local, divisional or global level.
Edit data collection and Read data collection	This role allows the user to edit or read the menu item "Reporting company / Transactions"[5] and "Reporting company / Master Data"
Print report	This role allows the user to print a report.

TIP: The roles "Read global content" and "Read divisional content" are also displayed in the "Local" area. For local users, it is sufficient to select this role only in the "Local" area.

NOTE: If roles at local or divisional level are assigned to a user, group companies or divisions must be assigned to the user in the "Units" column. Otherwise, the user will not be created correctly and the following warning will appear:

[5] This is only available if the function „**Enable navigation to transactions**" under *Settings / Administration / Reporting period settings* is activated.

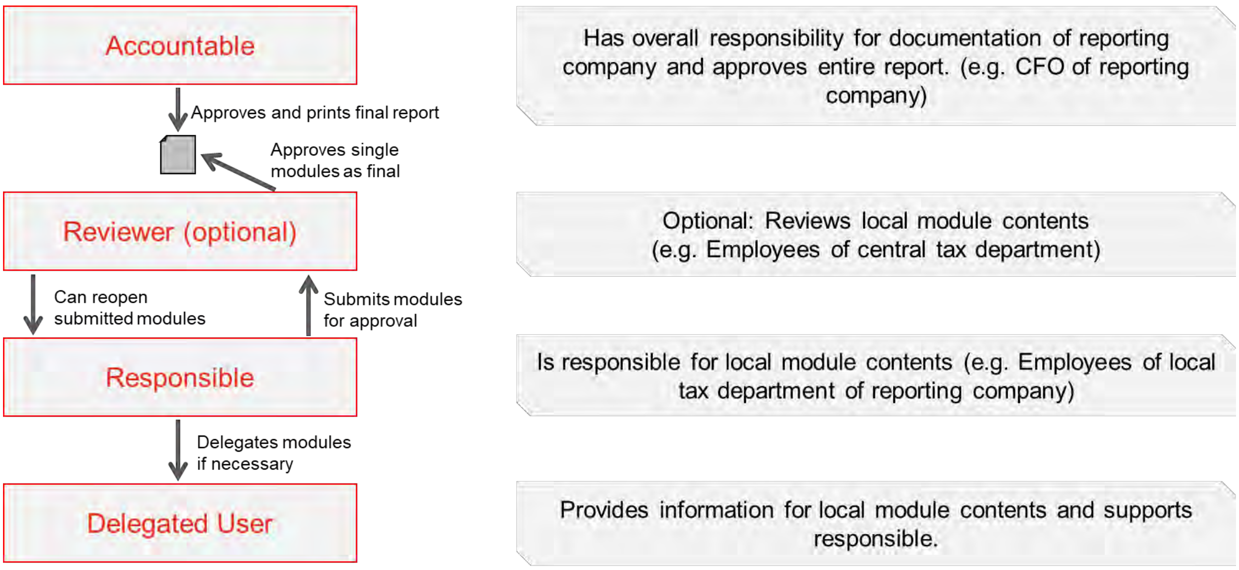


Screenshot 21: Create new user - Role distribution warning message

1.3.3.3 New roles in Version 8.0

In addition to the role distribution described above, four new types of user roles are available starting from version 8.0 of *globalDoc Solution*®.

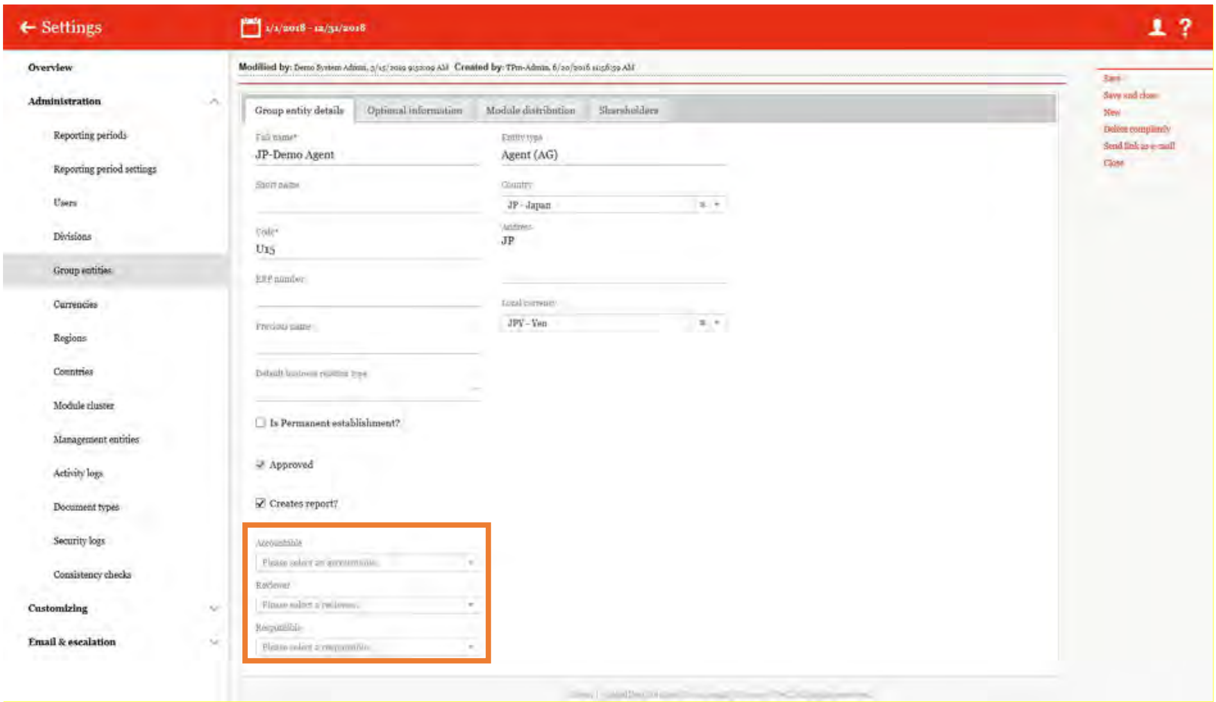
These four new roles are Accountable, Reviewer, Responsible and Delegated User (or delegate). The following figure outlines how these roles are related to each other and what their tasks are:



Creating and using these roles simplifies the documentation process and increases its efficiency.

The System-Administrator can assign each new role (Accountable, Reviewer, and Responsible) to all created users. Only the Accountable role is mandatory. A group entity cannot be a reporting company without an Accountable (i.e. each reporting company must have an accountable). If the role of Responsible is not assigned, the Accountable is automatically also the Responsible.

In order to assign these roles to users as a Security-Administrator, you must first click in the detail view of a group entity (Settings / Administration / Group entities / of the corresponding entity). Once there, you can assign the appropriate role to an existing user in the lower area of the "Group entity details" tab using a Dropdown-menu. Within this tab it is only possible to assign the three roles Accountable, Reviewer and Responsible. Delegated user can be selected in documentation content directly.



Screenshot 22: Selection of Accountable, Reviewer und Responsible

When a group entity prepares a report, it is mandatory that an Accountable has been assigned for this company.

TIP: If only an Accountable is assigned and no other user is selected as Responsible, the Accountable will automatically be assigned as Responsible.

1.3.3.4 Assign password

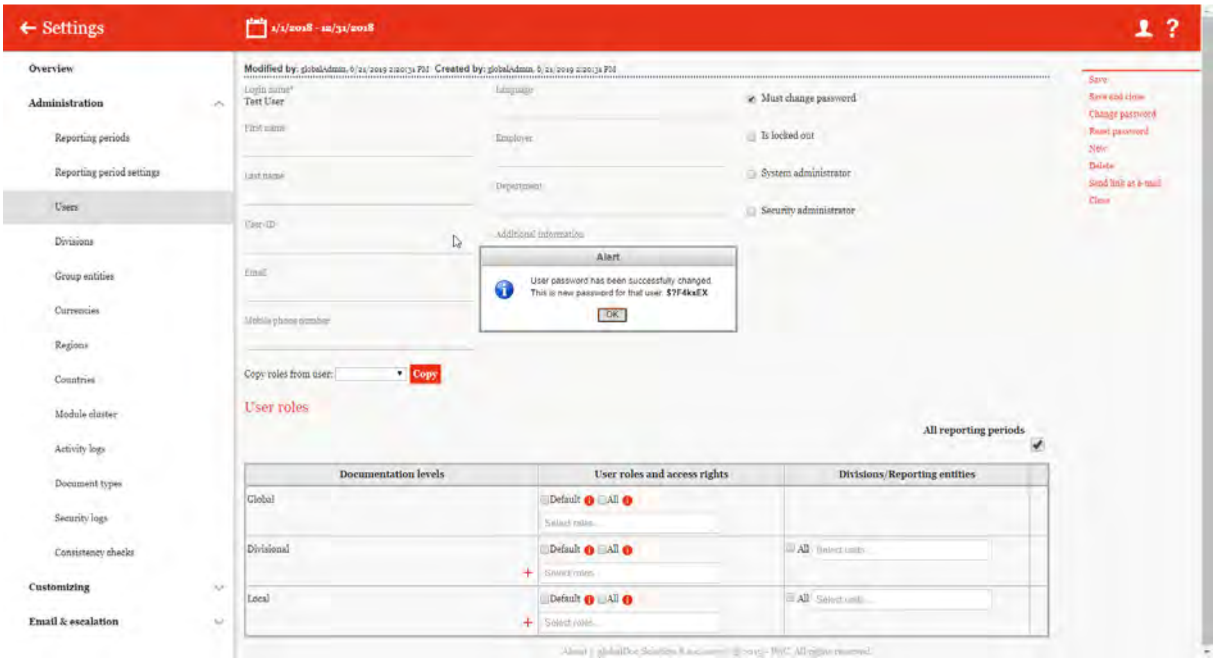
The assignment of a password for a new user depends on whether the email-function (Settings / Email & escalation / Setup) is activated or not.

Option 1: Assign new password (email-function activated)

After selecting the "Save" or "Save and close" command in the right-hand command column, the new user is created and will receive his or her personal password via email. With this password, the new user can log in to *globalDoc Solution*® for the first time. Please note that a valid email address must be added to the user account to use this function.

Option 2: Assign new password (email-function deactivated)

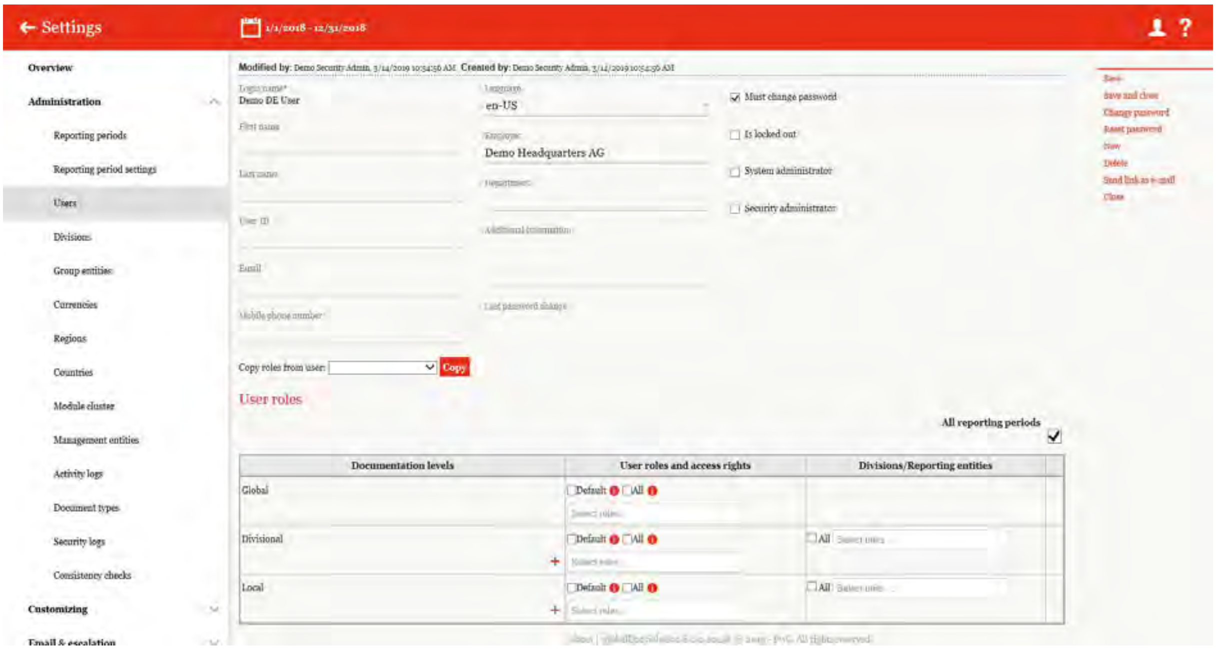
After selecting the "Save" or "Save and close" command in the right-hand command column, the new user is created. A message with the password of the new user appears on the screen. This password must be communicated to the new user before the first login. After closing the notification by selecting "Ok", the new user can log in to *globalDoc Solution®* for the first time using the new password.



Screenshot 23: Create new User - Password for new user

1.3.3.5 Edit existing Users

Under *Settings / Administration / Users,* a detailed view of the user account will be displayed by clicking on the icon .



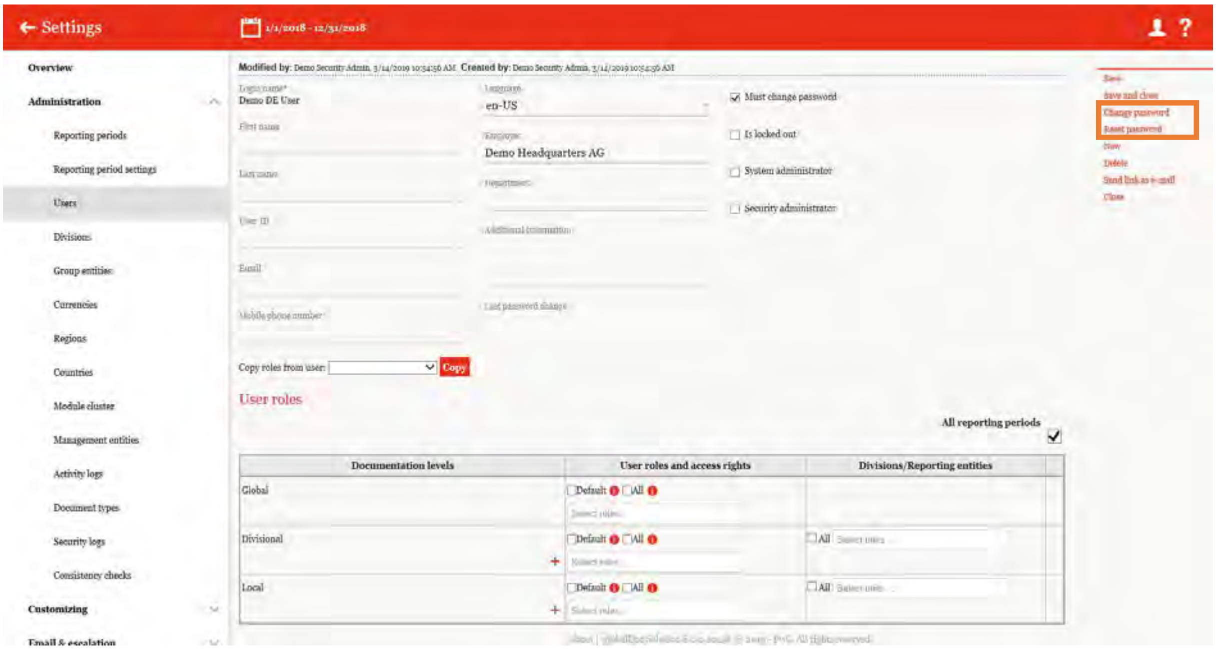
Screenshot 24: Edit existing user

In this view, the user's information and roles can be edited.

1.3.3.6 Reset password of an existing User

Under *Settings / Administration / Users,* the detail view of the selected user will be displayed by clicking on the icon .

Selecting the "Reset Password" command in the right command column assigns a new password to the user. The assignment of the password for the new user depends on whether the email-function is activated or not.



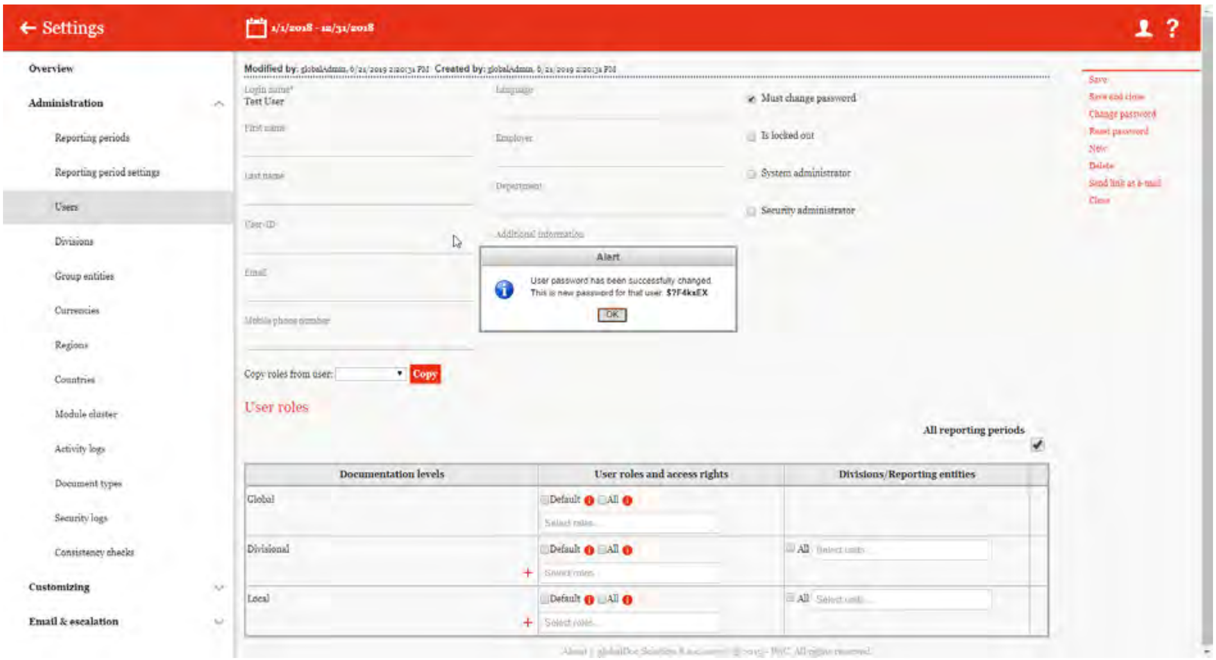
Screenshot 25: Edit existing User – Reset password

Option 1: Assign new password (email-function activated)

After selecting the "Save" or "Save and close" command in the right-hand command column, the user will receive his or her new personal password by email. Please note that a valid email address must be added to the user account to use this function.

Option 2: Assign new password (email-function deactivated)

After selecting the "Save" or "Save and close" button, a notification with the user's new password will appear (similar to creating a new user Assign password). This must be communicated to the corresponding user before the first login. After closing the notification by selecting "Ok", the user can log into *globalDoc Solution®* with the new password received.



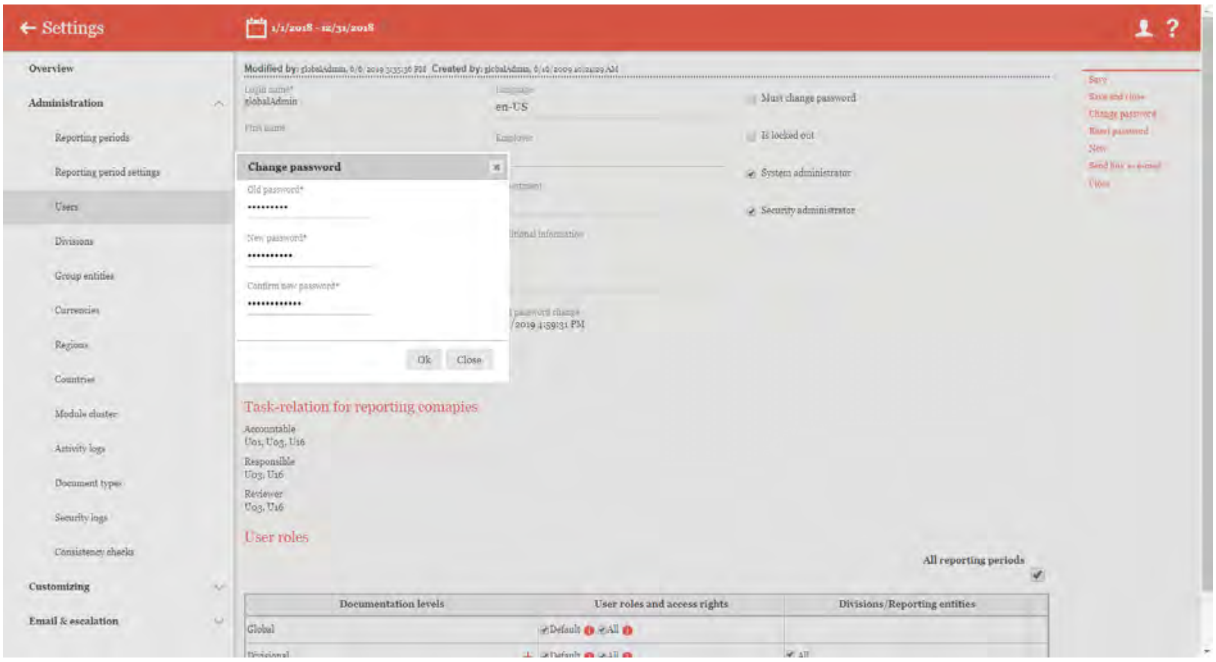
Screenshot 26: Create new User - Password reset of existing user

1.3.3.7 Change password of an existing user

Under *Settings / Administration / User,* the detail view of the selected user will be displayd by clicking on the icon .

When selecting the "Change password" command a pop-up will appear in order to change the user's existing password (see following). To change the password, the user's old password must be entered.

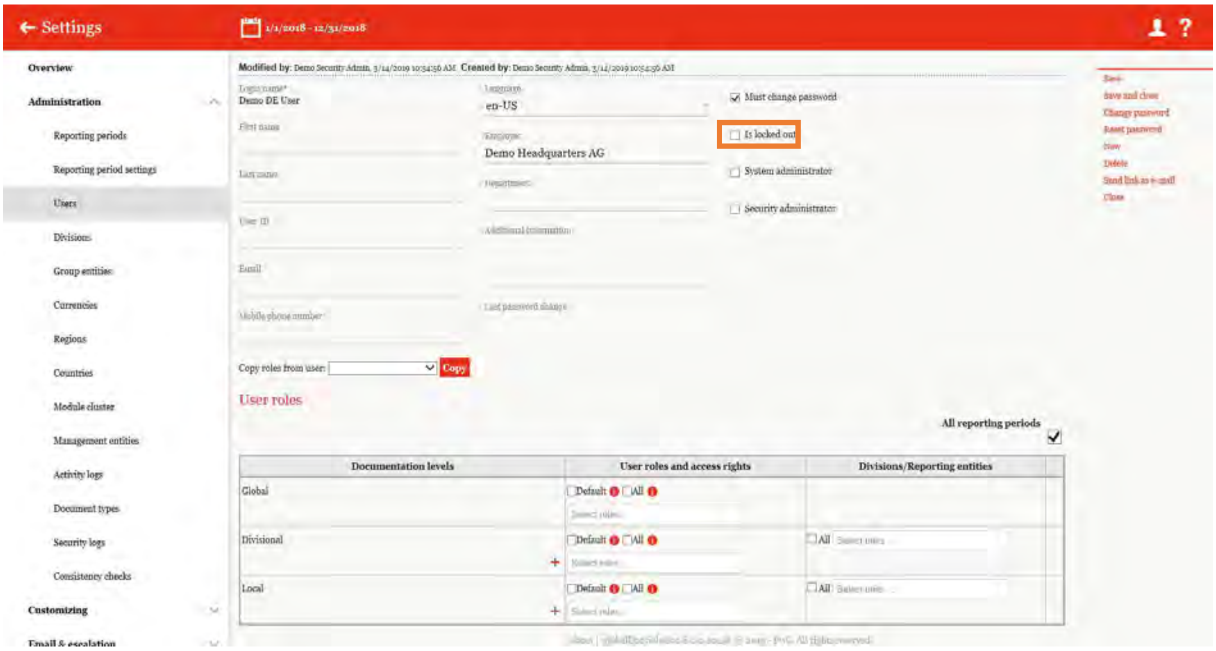
NOTE: The password characteristics (e.g., minimum length of the password, any necessary digits and special characters, duration until the password is required to change) can be determined individually for the group when the software is installed for the first time. The same applies to a possible "Single-Sign-On" without an additional password or a possible "2-factor-authentication". By default, the password must be at least eight characters long, including upper and lower case letters, digits and at least one special character.



Screenshot 27: Edit existing User - Change password

1.3.3.8 Lock out User

Under *Settings / Administration / User*, the detailed view of the selected user will be displayed by clicking on the icon .



Screenshot 28: Locking Users

Selecting the "is locked out" option denies the user the right to access *globalDoc Solution*®.

NOTE: If the user enters an incorrect password several times, the user will automatically be locked out by the system In this case, an administrator can unlock the user by removing the "Is locked out" checkmark.

1.3.3.9 Delete User

The selected user will be deleted under *Settings / Administration / Users* and by selecting the icon.

TIP: If the System administrator wants to delete more than one user, it is possible to select the respective users and remove them using the selection field Delete!

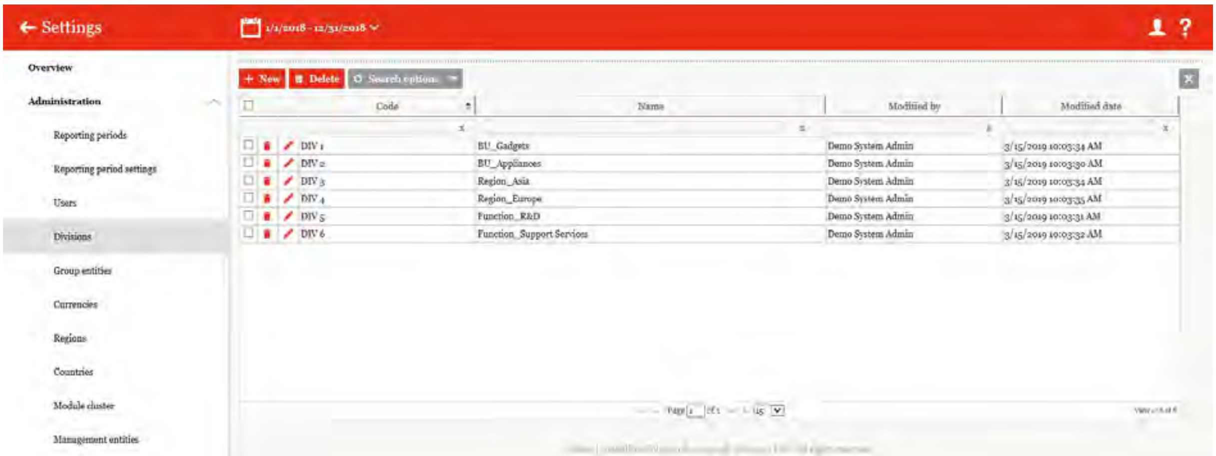
1.3.4 Divisions

Under the navigation item "Divisions" via *Settings / Administration / Divisions*, the System administrator can edit existing divisions, create new divisions or remove divisions that are no longer required. In *globalDoc Solution*® the term "divisions" does not only refer to divisions or business units of a group. Rather, a wide variety of categories can be defined as "divisions" for the classification of reporting companies. Divisions are often formed according to regional, functional, transactional or business-segment-related criteria. Divisions allow information to be assigned to specific categories of reporting companies and to control information processing in the modules of these categories (divisions) by flexible role assignment under "Users".

Each globalDoc-division thus contains modules that are only relevant for certain reporting companies <u>and</u> can only be edited by users who have the editor role for this globalDoc-division.

GlobalDoc-divisions are mandatory for the creation of divisional modules and they simplify the administration of access rights. This allows a user to be assigned editor rights for a specific division, automatically giving the user editor rights for all divisional modules assigned to that division.

TIP: Divisions must be created <u>before</u> creating divisional modules.



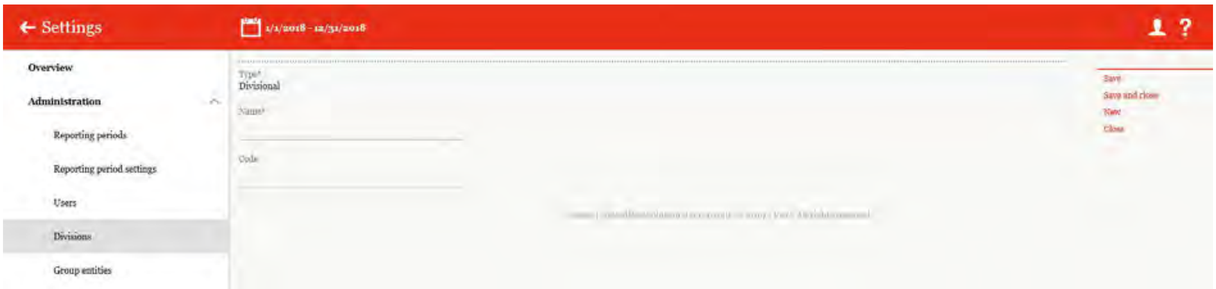
Screenshot 29: Overview of the globalDoc Solution® Divisions (Example)

In the overview page, the divisions can be sorted and filtered according to the following properties:

- Code
- Name
- Modified by
- Modified date

1.3.4.1 Create new Divisions

The detail view for creating new divisions can be accessed under *Settings / Administration / Divisions* by selecting the icon + New (see following screenshot).



Screenshot 30: Creation of new Divisions

To create a new division, the following data must be entered:

- Type: no input required, pre-filled with "Divisional"
- Name: division name
- Code: optional entry of a division code

The new division is created by selecting the "Save" or "Save and close" button. Modules can then be created and assigned to a division under Documentation structure / Documentation setup / Define Modules.

1.3.4.2 Edit existing Divisions

Under *Settings / Administration / Divisions*, the administrator can access the detail view of a selected division by clicking on the icon .

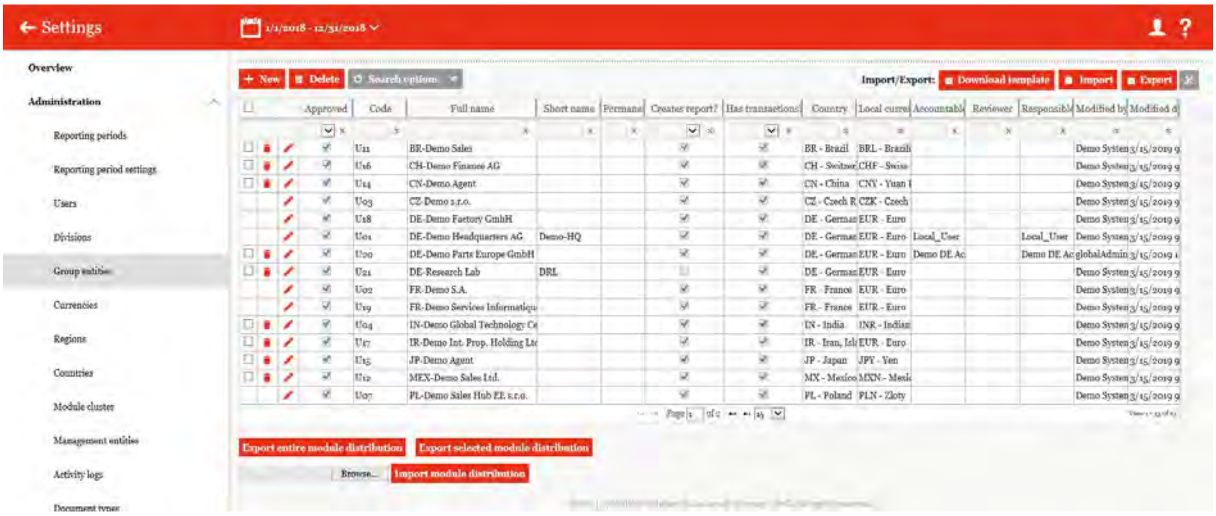
Screenshot 31: Detail view Divisions

As it is the case for any entry of new data, the fields "Name" and "Code" can be modified.

1.3.5 Group entities

Under the section "Group entities", the System administrator can edit and remove existing, or create new group entities.

The overview page shown below (see following screenshot) can be opened via *Settings / Administration / Group entities*, and shows all group entities that have already been created.



Screenshot 32: Overview of Group entities

The overview page of all existing group entities can be sorted according to the following values by clicking on the corresponding field:

- *Approved*
- *Code*
- *Full name*
- *Short name*
- *Permanent establishment of*
- *Creates report?*
- *Has transactions*
- *Country*
- *Local currency*
- *Accountable*
- *Reviewer*
- *Responsible*
- *Modified by*
- *Modified on*

The selected group entity can be deleted directly via the icon or edited via the icon .

Group entities that do not show the icon for deletion are reporting companies that constitute transaction partners, which are involved in business transactions. For these reporting entities, the icon is hidden to prevent accidental deletion.

The overview page provides various functions for managing the group entities, which are briefly described below:

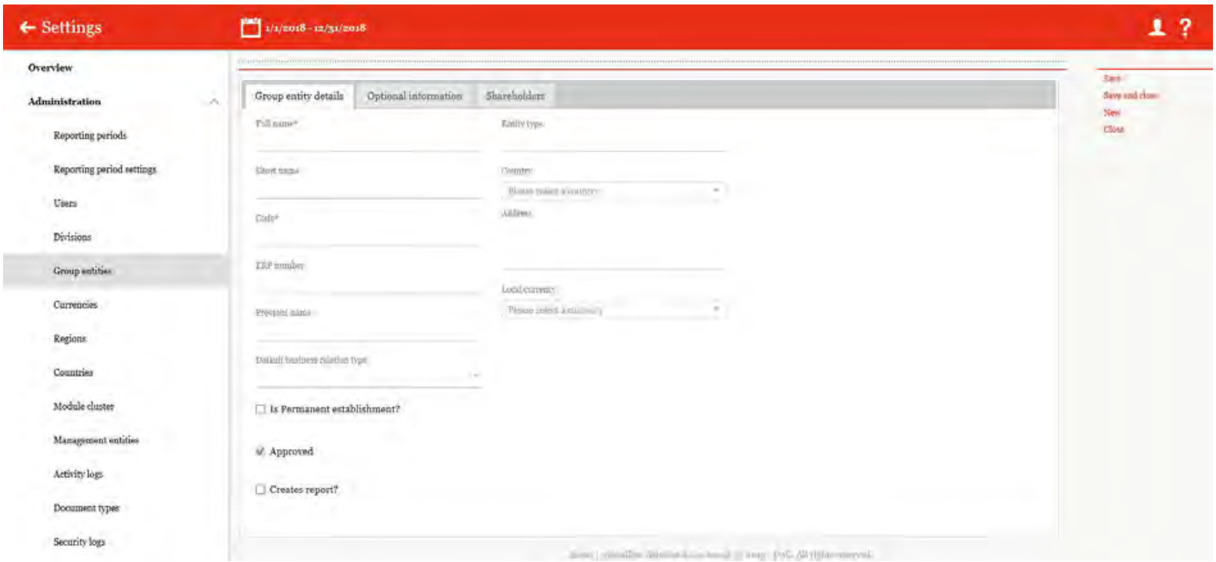
+ New	Create new group entity
Delete	Delete selected reporting company(ies)

Search options	Configure the search: Select Simple search, Advanced search or Columns. The search can also be updated here
Download template	Download an empty Excel template to fill with data for import
Import	Upload filled Excel template to globalDoc Solution®. The current data in the system will be updated automatically.
Export	Download current data as an Excel file. The Excel file can be edited and re-uploaded under “import”. The current data in the system will be updated automatically.
✕	Close "Administration view" and redirect to the globalDoc Solution® overview page
Export all module distribution	Download module distribution of all reporting entities as well as divisions and global modules in an Excel file
Export module distribution	Download module distribution of the selected group entity as an Excel file
Import module distribution	Upload module distribution for a preselected reporting company as an Excel file. The file to be imported can be chosen via the selection box "Choose File". NOTE: A module distribution can only be dropped manually. In comparison, additional modules may be imported via "Import module distribution"

1.3.5.1 Create new Group entity / Edit master data of Group entity

Under *Settings / Administration / Group entities,* the detail view for creating a new group entity and editing the master data of already created group entities can accessed by clicking both the + New or the button in the respective row of the grid.

The detail view consists of the tabs "Group entity details", "Optional information" and "Shareholders".

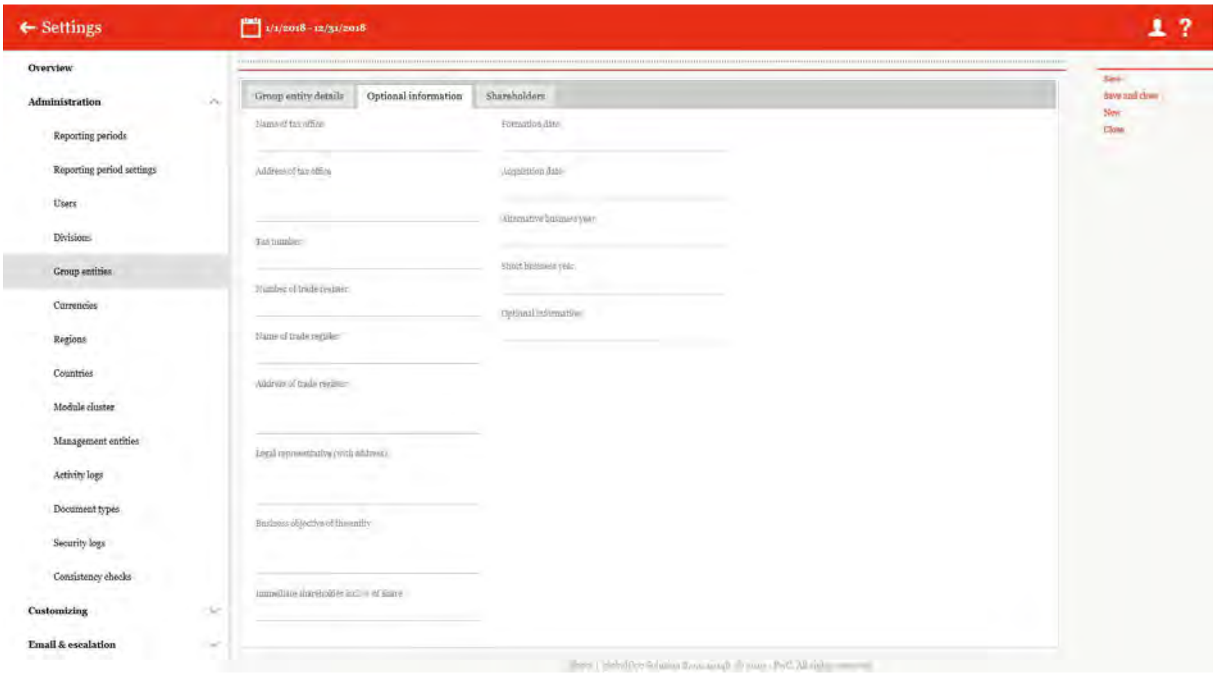


Screenshot 33: Create new Group entities - Group entity details

To create a new group entity, the following data (master data) can be enterd in the tab "Group entity details" (fields marked with * are mandatory):

- Full name*: full name of the group entity including legal form
- Short name: optional specification of a short group entity name
- Code*: specification of an entity code
- ERP number: optional specification of the ERP-number
- Previous name: optional indication of the full name of the entity before renaming, if relevant
- Default business relation type: Here you have the choice between different types of business relationship, such as "Direct shareholders" or "Other related parties".
- Is permanent establishment?: optional indication if the group entitity shall be marked as a permanent establishment

- Approved: Shows whether the group entity can be processed.
- Creates report?: This option should be selected if transfer pricing documentation is created in *globalDoc*® for the entity.
- Company type: optional indication to classify the type of group entity
- Country: country in which the group entity is located
- Address: address of the group entity
- Local currency: local currency of the country in which the group entity is located
- TIP: To simultaneously create several group entities, the Excel import function under Settings / Administration / Reporting periods can be used.
- If required, further information on the group entity can be added in the tab "Optional information".



Screenshot 34: Create new Group entities – Optional information

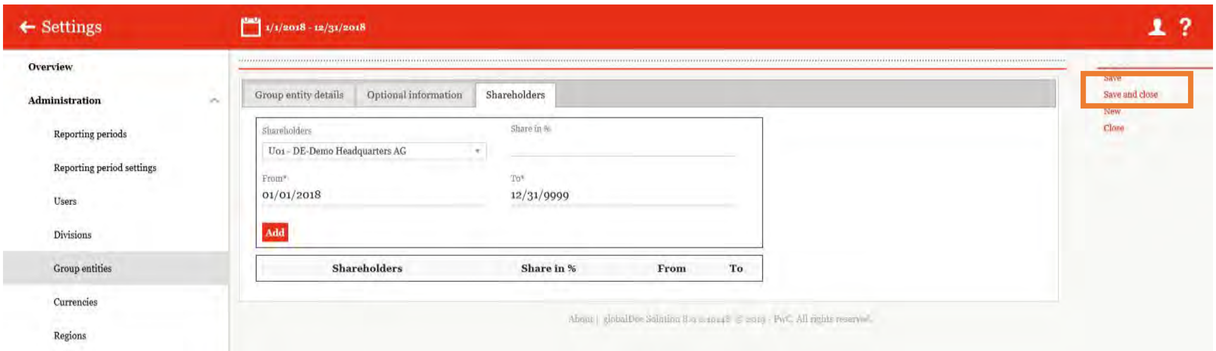
TIP: All fields of the tabs "Group entity details" and "Optional information" can be used as variables in the module contents.

If a transfer pricing documentation is to be created for the group entity in *globalDoc Solution*®, the "Creates report?" selection box under "Group entity details" tab must be activated. This transforms the group entity into a reporting company.

In the "Shareholders" tab, the shares held by the individual shareholders can be specified. The System administrator can select the desired shareholder in the selection box

"Shareholders" and enter the corresponding percentage share. In addition, the period for which the shareholder structure is valid is determined by specifying the start and end date.

Then press "Add" to display the new shareholder in the lower part of the window, in a table.

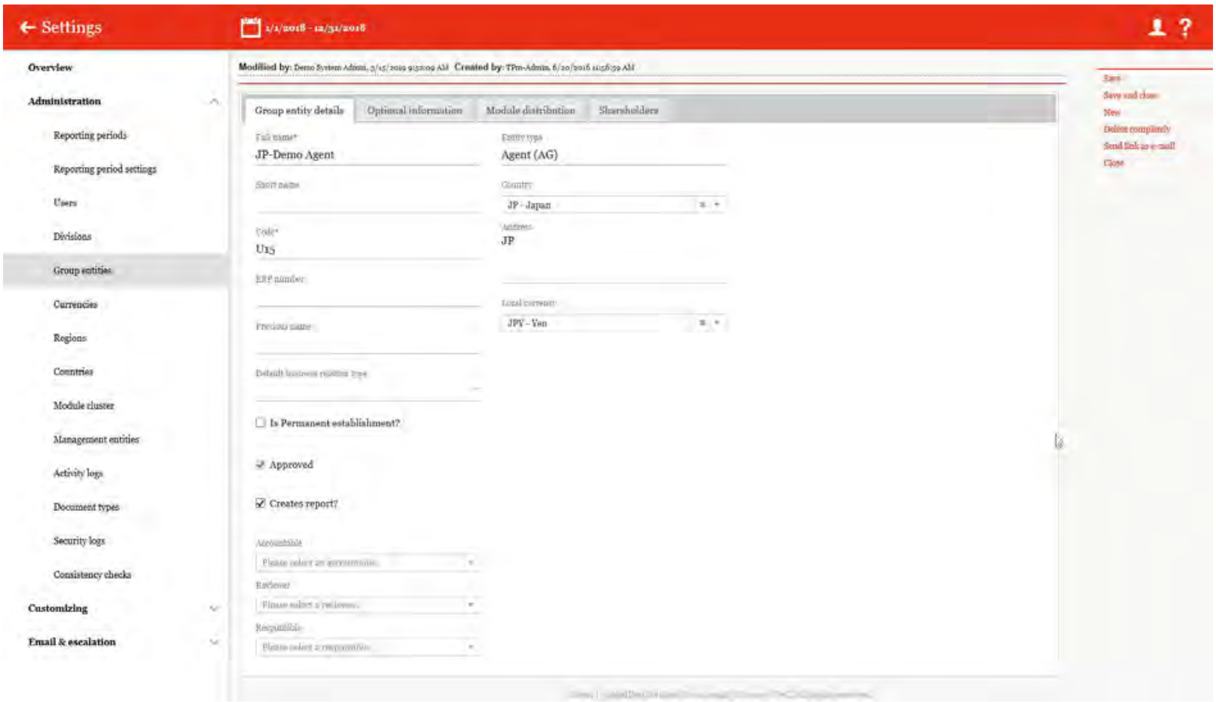


Screenshot 35: Create new Group entities – Shareholders

By selecting the "Save" or "Save and close" button, the group entity is created or the changed master data is saved. If the "Creates report?" selection box has been activated, the additional tab "Module distribution" will be available after clicking "Save.

1.3.5.2 Edit existing Group entity

Under *Settings / Administration / Group entities*, by clicking on the icon , the detailed view of a group entity appears. If the selected group entity is a reporting company, the tabs "Group entity details", "Optional information", "Module distribution" and "Shareholders" will be visible.



Screenshot 36: Edit existing group entity – Group entity details

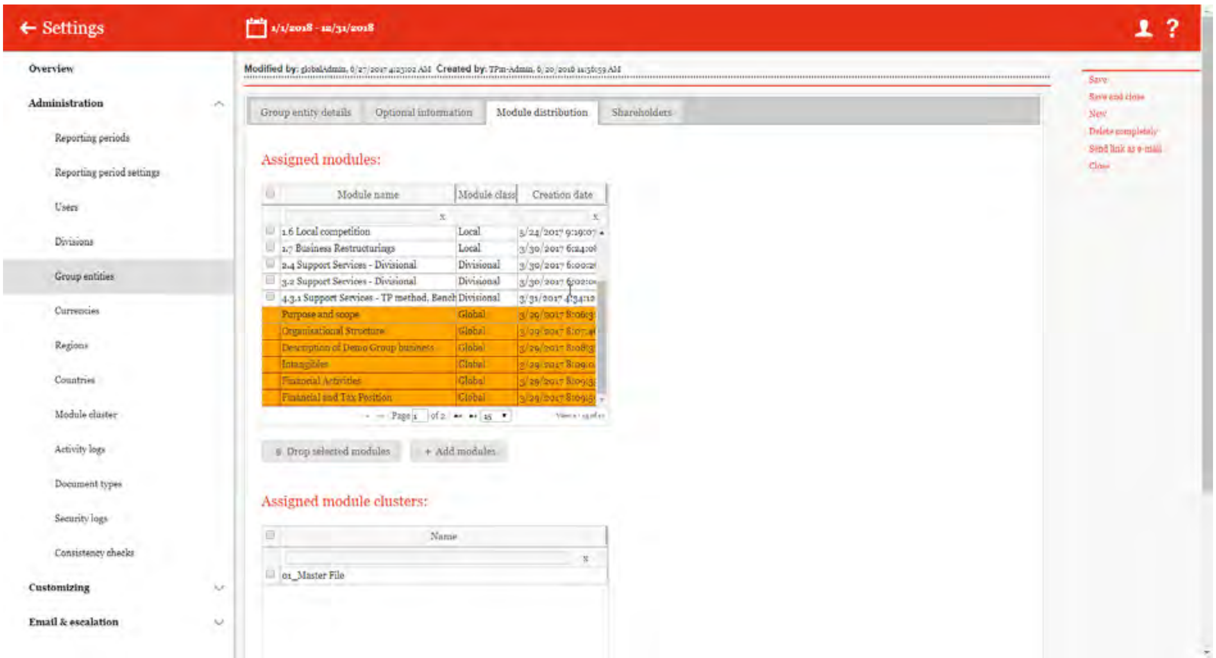
The information added unter creating a group entity can be edited in the tabs "Group entity details", "Optional information" and "Shareholders" (see chapter "Create new Group entity").

For group entities that are marked as reporting companies, the assignment of modules and module clusters can be made in the detail view of a group entity in the tab "Module distribution".

Previously created global, divisional and local modules or module clusters can be assigned to the selected reporting company via the + Add module clusters and + Add modules selection boxes. In addition, module distributions can be copied from other entities.

TIP: Modules can also be assigned to a Transaction group. If the option "Automatic Allocation?" is selected during module creation (see "*Define Modules*"), these modules cannot be assigned here because they are assigned automatically if the threshold value for a specific transaction group selected by a reporting company is exceeded.

If a module cluster has been assigned, the modules covered by the module cluster are also listed in the "Assigned Modules" table, but highlighted in yellow (see following screenshot).



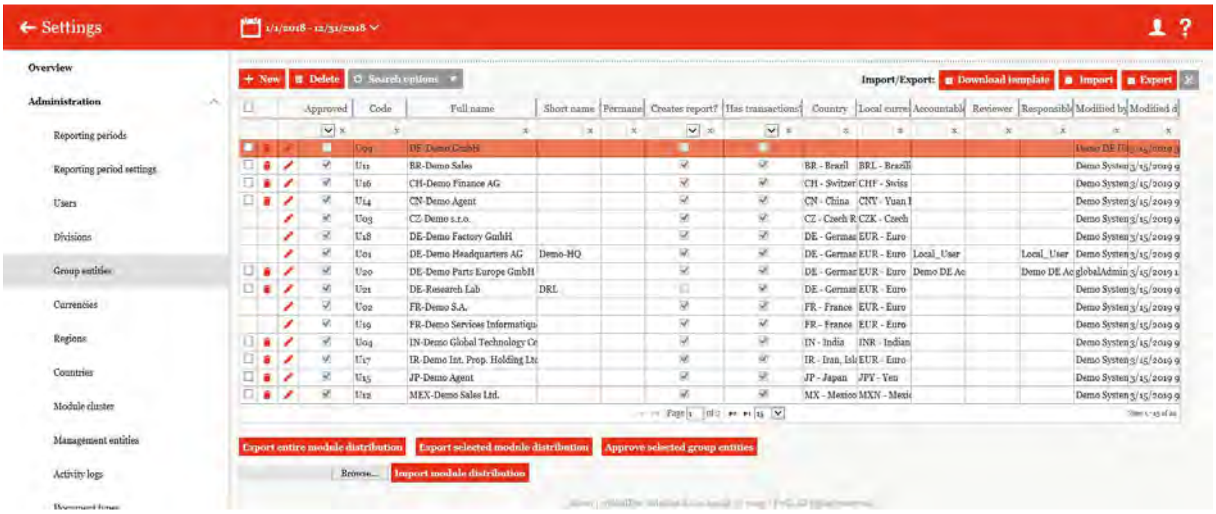
Screenshot 37: Edit existing Group entity – Module distribution

The individual modules or module clusters already assigned can be removed using the selection fields **Drop selected module clusters** and **Drop selected modules**.

NOTE: If a module that has been assigned to the reporting company via a module cluster is to be removed, the entire module cluster must be removed first. Then, the remaining modules of the module cluster must be re-added as individual modules.

1.3.5.3 Add proposed Group entities

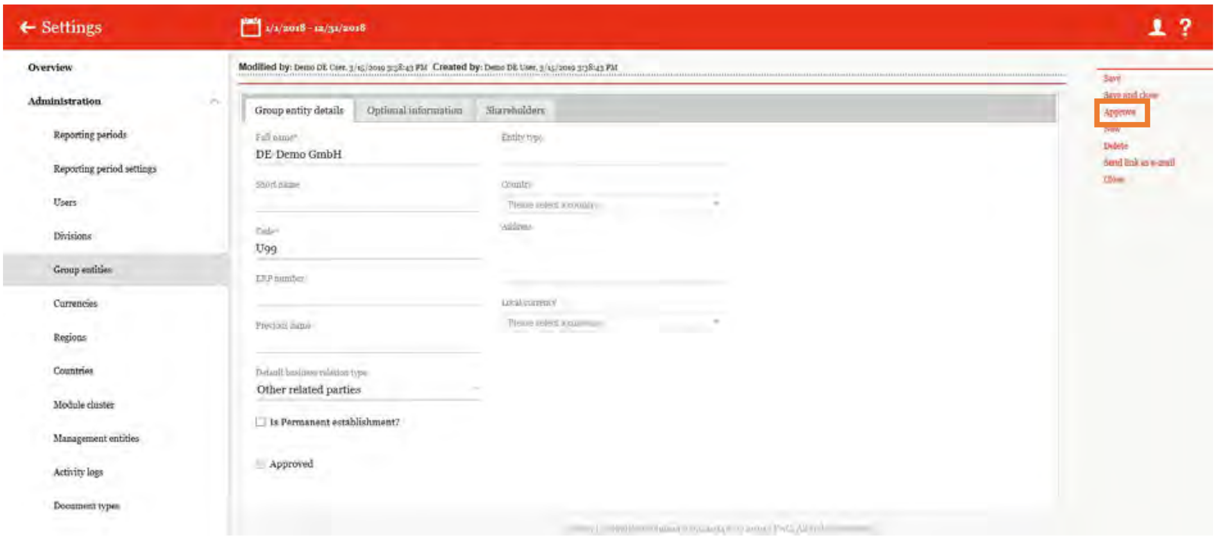
Local users have the possibility to suggest new transaction partners for acceptance in *globalDoc Solution®* (*Reporting company / Transactions / Transaction partners* via the selection field **Synchronize from group entities** and in the tab "Request new Group entity"). In the overview page under *Settings / Administration / Group entities,* the transaction partners proposed by the local users are highlighted in red until the System administrator approves them.



Screenshot 38: Overview of Group entities – Add proposed Group entity

To approve the group entity, the detail view of the group entity to be approved needs to be opened by clicking . Afterwards, the "Approve"-command in the right-hand command column must be selected (see following screenshot).

Before the approval, the System administrator can adjust or supplement the master data entered by the local user. Only after this approval by the System administrator does the locally requested transaction partner appear in the list of group entities for further use by local users without red highlighting.



Screenshot 39: Detail view of Group entity - Approve proposed Group entity

1.3.5.4 Delete Group entity

The selected group entity can be deleted under *Settings / Administration / Group entity* by clicking on the icon 🗑.

NOTE: To avoid unintentional deletion, all modules of a reporting company must first be dropped and transactions must first be deleted.

1.3.6 Currencies

In the section "Currencies" under *Settings / Administration / Currencies*, the System administrator can edit existing currencies, create new currencies or remove currencies that are no longer required.

Screenshot 40: Overview of globalDoc Solution® Currencies

The currencies can be sorted and filtered in the overview according to the following properties:

- Code
- Name
- Average actual value
- Group currency
- Modified by
- Modified date

1.3.6.1 Create new Currencies

The detail view for creating new currencies can be opened via *Settings / Administration / Currencies* by selecting the icon **+ New** (see following screenshot).

Screenshot 41: Create new Currency

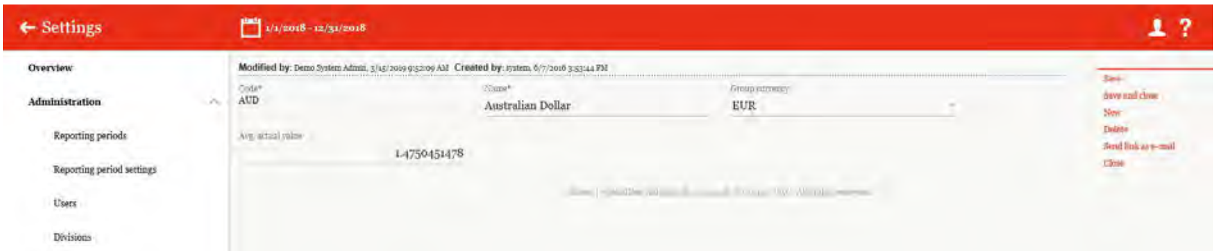
To create a new currency, the following data must be entered:

- Code*: mandatory entry of the currency code (ISO-Code)
- Name*: name of the currency
- Group currency: Standard currency used to translate intercompany transactions in other currencies.
- Average actual value: optional entry of the actual value of the currency (in units of the normed currency)

The new currency is created by selecting the "Save" or "Save and close" command in the right-hand command column.

1.3.6.2 Edit existing currencies

Under *Settings / Administration / Currencies,* the detail view of a selected currency will be opened by clicking on the icon .

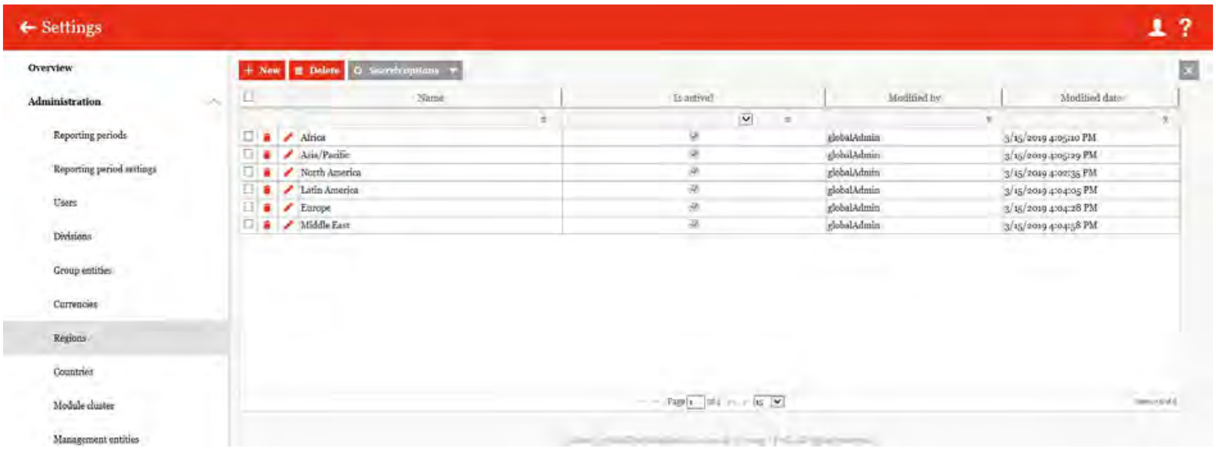


Screenshot 42: Detail view Currency

Here, the "Name" as well as the **"Group Currency"** and "Average actual value" can be edited.

1.3.7 Regions

In the section "Regions" under *Settings / Administration / Regions*, the Administrator has the possibility to create new, edit existing or delete regions.



Screenshot 43: Overview of regions

Regions can be sorted and filtered by the following variables:

- Name
- Is active?
- Modified by
- Modified date

1.3.7.1 Create new regions

Under *Settings / Administration / Regions* und and clicking the icon 

, a detail view for creating new regions appears.

Screenshot 44: Create new region

The creation of a new region requires the following information (fields marked with * are mandatory):

- Name*: Name of the region
- Is active?: Is this region used in documentations

By selecting the "Save" or "Save and close" button, the new region will be added.

1.3.7.2 *Edit existing region*

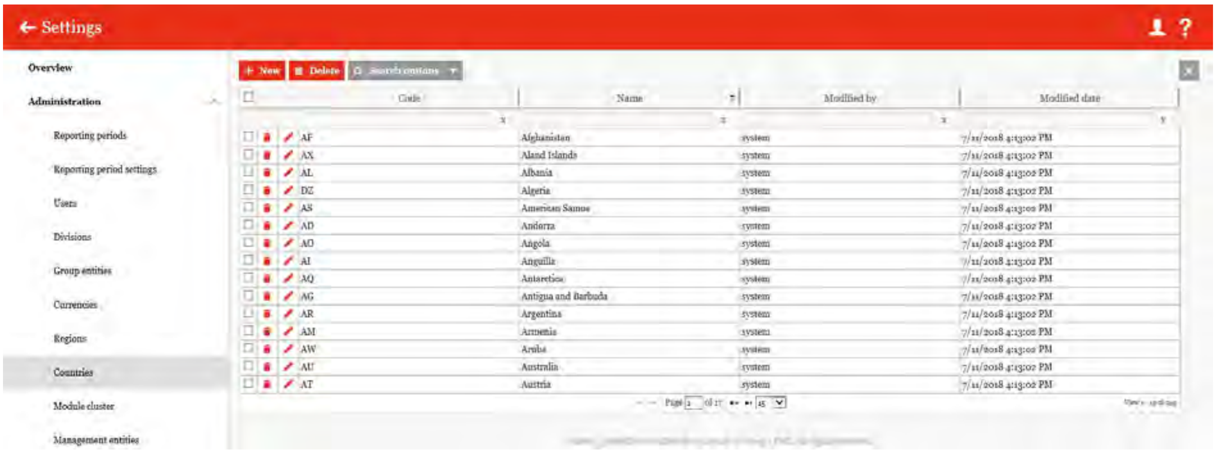
Under *Settings / Administration / Regions* and clicking the icon the detailed view of exisiting regions can be opened.

Screenshot 45: Detailed view regions

Here, „Name*“ and **„Is active?“** can be edited.

1.3.8 *Countries*

Under the section "Countries" via *Settings / Administration / Countries*, the System administrator can edit existing countries, create new countries or remove countries that are no longer required.



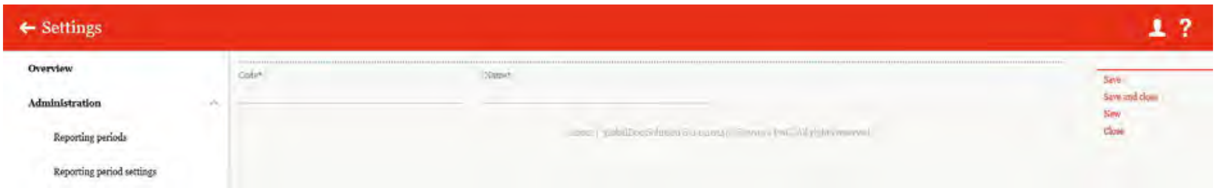
Screenshot 46: Overview of Countries

The countries can be sorted and filtered in the overview according to the following properties:

- Code
- Name
- Modified by
- Modified date

1.3.8.1 Create new Countries

The detail view for creating new countries can be accessed under *Settings / Administration / Countries* by selecting the icon + New.



Screenshot 47: Create new Countries

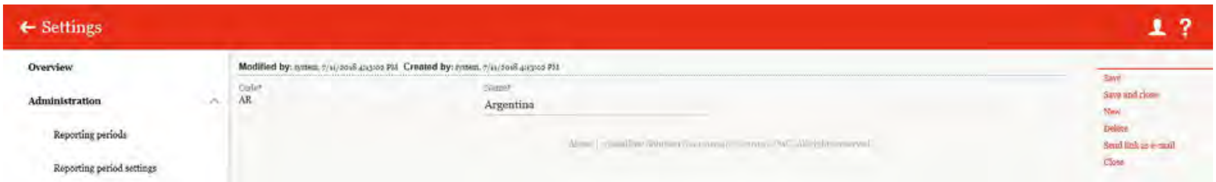
The creation of a new country requires the following information (fields marked with * are mandatory):

- Code*: specification of the country code (ISO-Code)
- Name*: country name

The new country is created by selecting the "Save" or "Save and close" command in the right-hand command column.

1.3.8.2 Edit existing Countries

Under *Settings / Administration / Countries* the detail view of a selected country will be displayed by clicking on the icon .



Screenshot 48: Detailed view countries

Again, the entered "Name" may be edited.

1.3.9 Module cluster

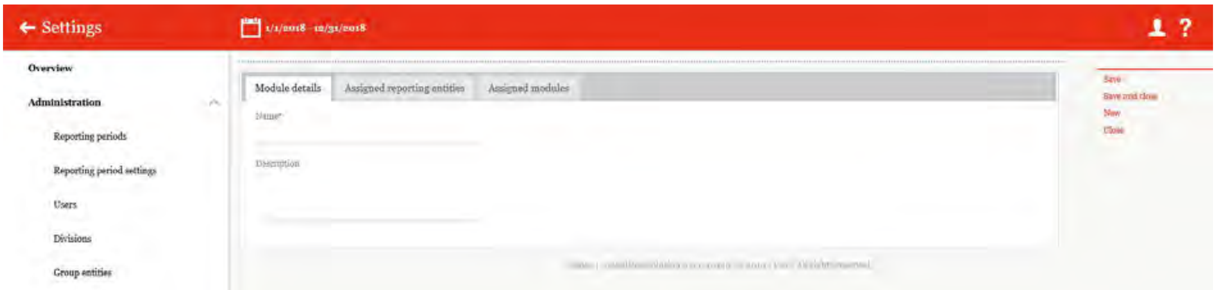
In the "Module cluster" section, the System administrator can edit existing module clusters, create new module clusters or delete module clusters that are no longer required.

To facilitate the module distribution in groups in which a large number of reporting companies have the same type of activity character (for example, contract manufacturers or commission agents), the navigation item "Module cluster" enables the System administrator to bundle modules and allocate them as a whole (that is, as a "Module cluster") to selected reporting companies. This function facilitates the assignment of modules that are always to be assigned to certain entity types. This means that all reporting companies with a similar type of activity characterization (for example, contract manufacturers or commission agents) can be assigned an identical bundle of standard modules (as "Module cluster") that has been uniquely created for these reporting companies by the System administrator.

Screenshot 49: Overview Module cluster

1.3.9.1 Create new Module cluster

The detail view for creating a new module cluster can be opened under *Settings /Administration /Module cluster* by selecting the icon + New. The detail view consists of the three tabs "Module details", "Assigned reporting entities" and "Assigned modules".



Screenshot 50: Create new Module cluster

To create a new module cluster, the following data must be entered in the "Module details" tab (fields marked with * are mandatory):

- Name*: name of the new module cluster
- Description: optional description of the new module cluster

In the "Assigned reporting entities" tab, the relevant reporting companies can be assigned to the new module cluster via the selection field + Assign reporting entity or removed by clicking Drop selected reporting entity.

In the "Assigned modules" tab, the relevant modules can be assigned to the module cluster by selecting + Assign module or removed by clicking on the icon Drop selected modules.

The new module cluster is created by clicking the "Save" or "Save and close" command in the right-hand command column.

1.3.9.2 Edit existing Module cluster

Under *Settings / Administration / Module cluster,* the detail view of a selected module cluster will be displayed by clicking on the icon .

In this view, the existing information of a module cluster can be edited (see section "*Create new Module cluster*").

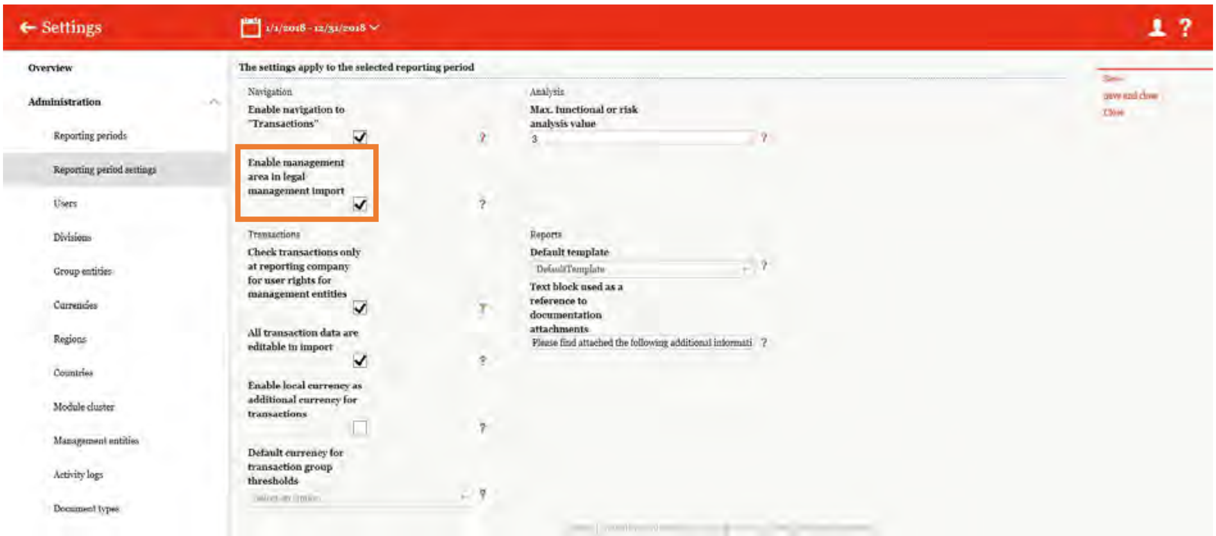
1.3.9.3 Remove Module cluster

By clicking on the icon under *Settings / Administration / Module cluster,* the selected module cluster will be deleted (the modules themselves will remain).

1.3.10 Management entities

This function is currently only relevant if the TP matrix add-on feature is in use.

In this case, it is possible under *Settings / Administration / Management entities* to create management entities, to export them or to import an already created management entity list. To enable the navigation item, it first must be activated under *Setting / Administration / Reporting period settings*.



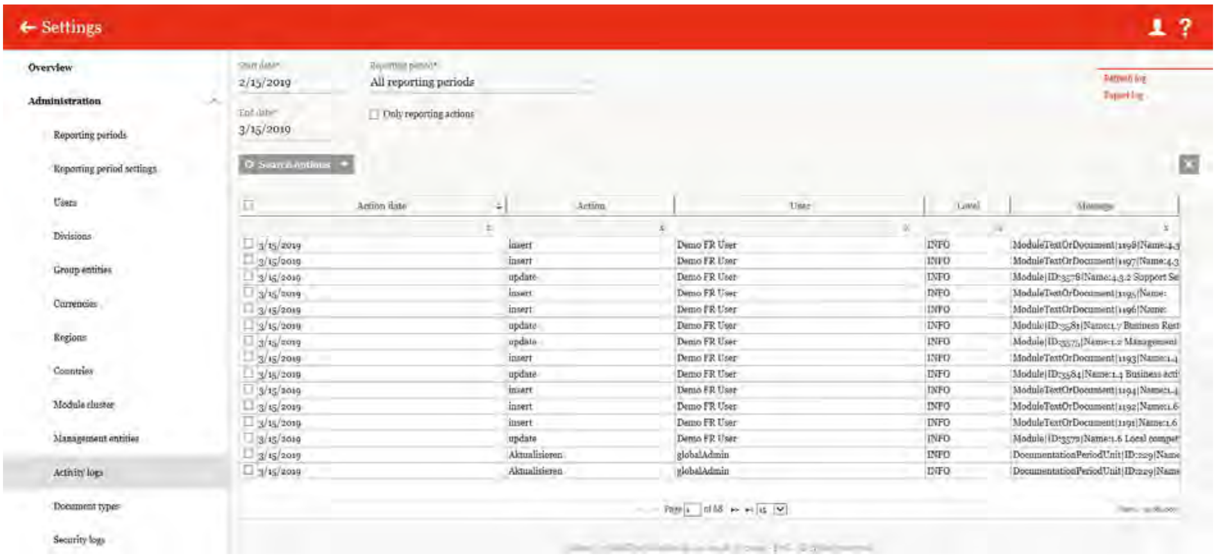
Screenshot 51: Activation of the presentation of management entities

1.3.11 Activity logs

Under the navigation item "Activity logs", the System administrator can track user activities within *globalDoc Solution*®.

The action log enables the System administrator to trace which user performed which type of action on which object (module, reporting company, reporting period).

The overview page opens under *Settings / Administration / Activity logs*.



Screenshot 52: Activity logs

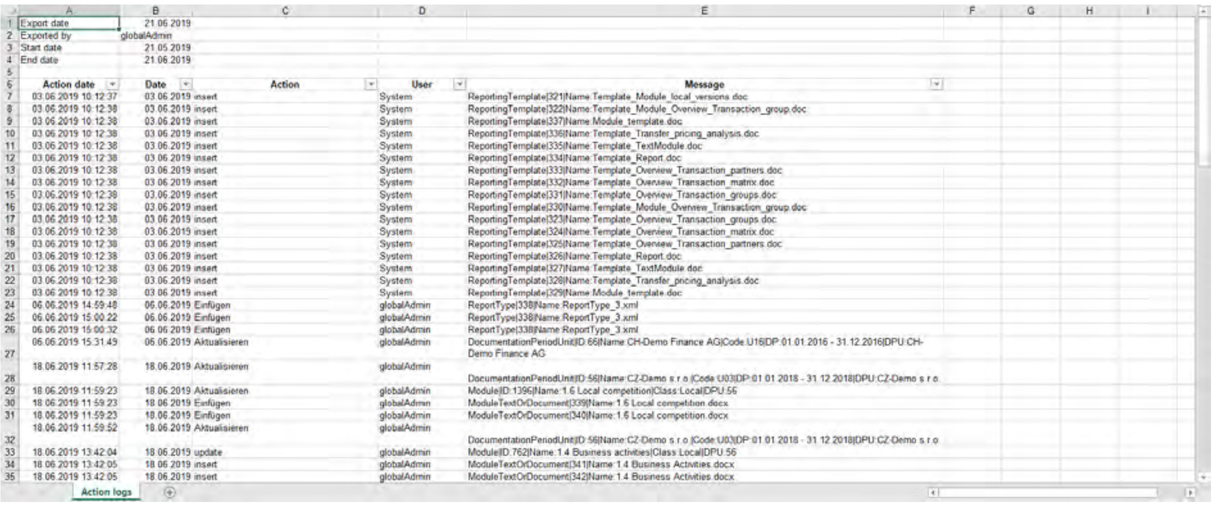
By entering the "Start date" or "End date", the period to be displayed in the overview can be selected. The reporting period list field allows to further filter the selection by the created reporting periods. To view only entries that are directly related to report creation, the option "Only reporting actions" must be selected.

1.3.11.1 Refresh Activity logs

Under the *Settings / Administration / Activity log,* by clicking the "Refresh log" command in the right command column, the activity log of the selected reporting period is updated to the latest status.

1.3.11.2 Export Activity log

Under the *Settings / Administration / Activity log,* by clicking on the "Export log" command in the right-hand command column, the action log is exported to an Excel file (see following screenshot).



Screenshot 53: Excel-export of Activity log

The following information will be contained in the exported Excel file:

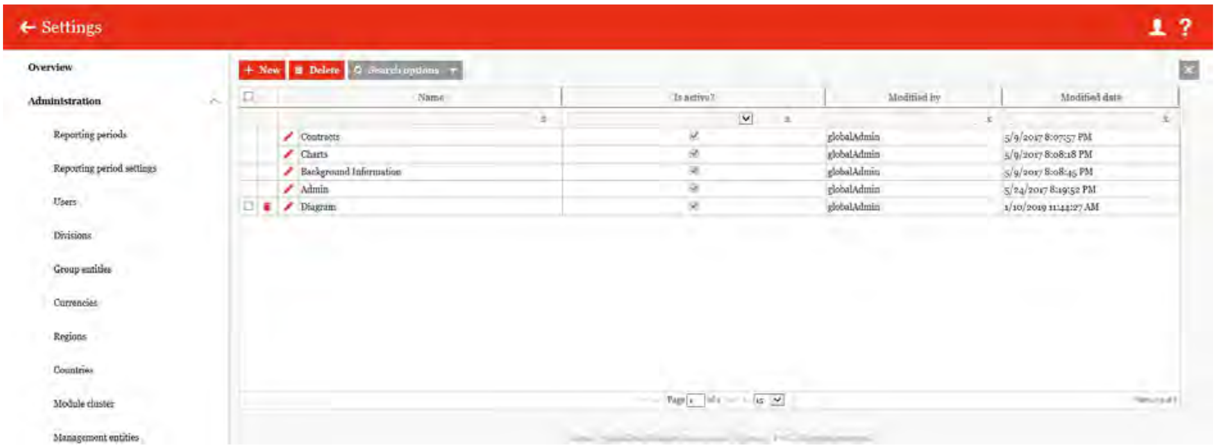
- Action date: indicates the exact time (date and time) of the respective action
- Action: allows the executed function to be viewed in detail and sorted according to it
- User: names the editing user
- Message: provides further information, for example, on the reporting company and the reporting period

1.3.11.3 *Empty Activity log*

Under the *Settings / Administration / Activity log*, by clicking on the command "Empty activity log" in the right command column, the complete recording of the performed activities will be deleted.

1.3.12 Document types

Under the navigation item "Document types", the System administrator can define folders under which uploaded attachments are stored when the report is generated.

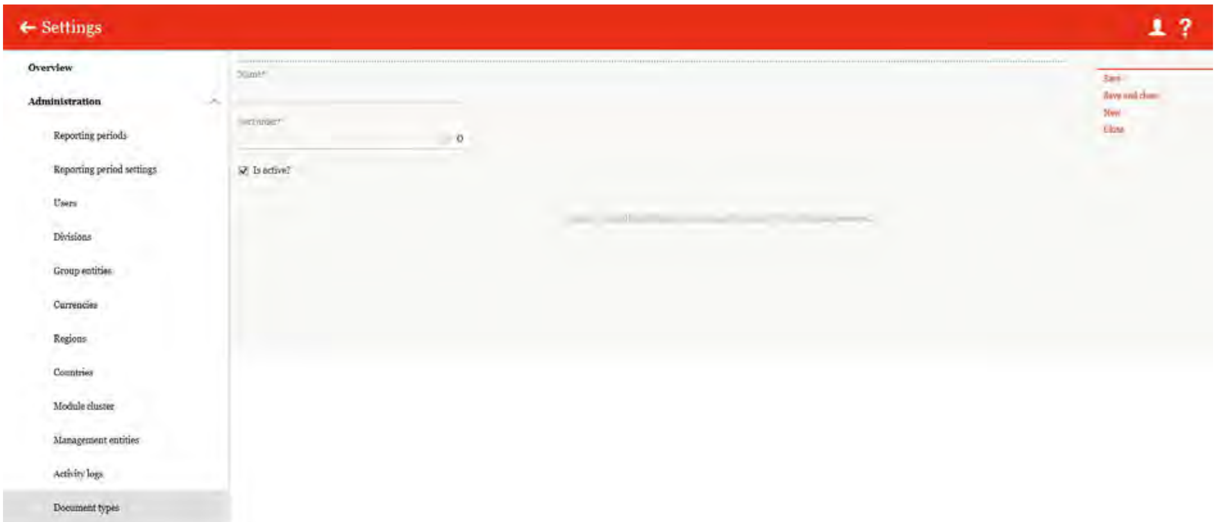


Screenshot 54: Overview Document types

The icon enables the editing of already existing document types. These can be deleted by clicking on the icon . Using the search options function Search options, existing document types can be searched for self-defined rules.

Note: Predefined document types cannot be deleted.

New document types can be created by clicking the icon + New.



Screenshot 55: Creation of Document types

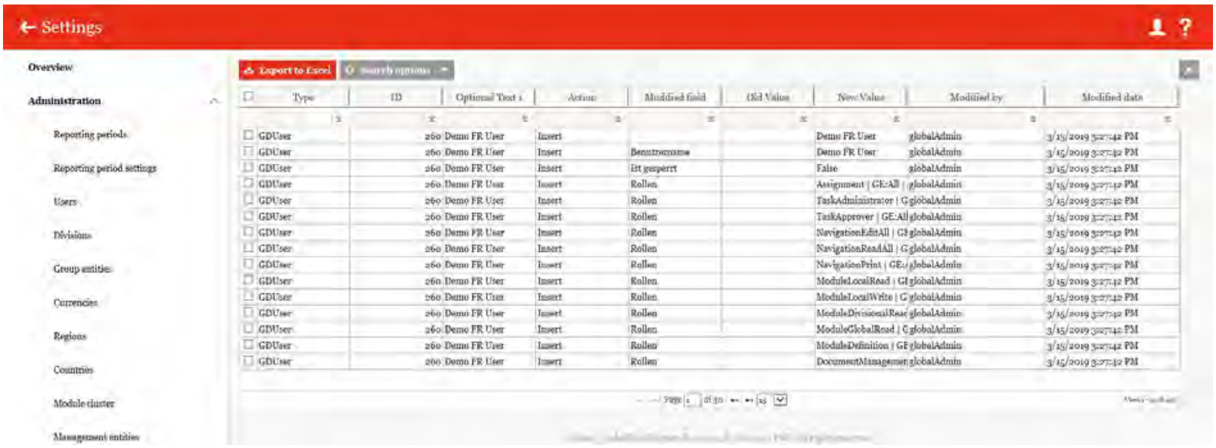
The creation or editing of a document requires the specification of a "Name" and the "Sort order". The checkbox ☑ must be ticked to activate or deactivate the selected document type.

1.3.13 Security logs

In the "Security logs" section, the System administrator can track activities from the Security administrator.

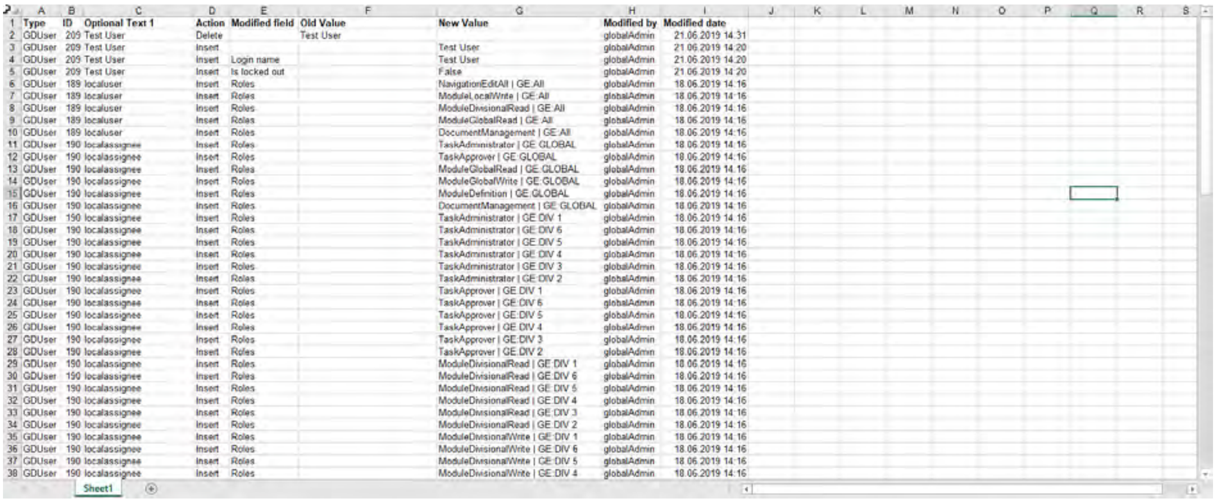
The security log enables the System administrator to see which administrator performed which type of action on which object.

The overview page opens under *Settings / Administration / Security logs*.



Screenshot 56: Security logs

Via the icon **Export to Excel**, the table can be exported to Excel. The search options function **Search options** allows to search the table according to self-created rules.



	Type	ID	Optional Text 1	Action	Modified field	Old Value	New Value	Modified by	Modified date
2	GDUser	209	Test User	Delete		Test User		globalAdmin	21.06.2019 14:31
3	GDUser	209	Test User	Insert			Test User	globalAdmin	21.06.2019 14:20
4	GDUser	209	Test User	Insert	Login name		Test User	globalAdmin	21.06.2019 14:20
5	GDUser	209	Test User	Insert	Is locked out		False	globalAdmin	21.06.2019 14:20
6	GDUser	189	localuser	Insert	Roles		NavigationEditAll | GE:All	globalAdmin	18.06.2019 14:16
7	GDUser	189	localuser	Insert	Roles		ModuleLocalWrite | GE:All	globalAdmin	18.06.2019 14:16
8	GDUser	189	localuser	Insert	Roles		ModuleDivisionalRead | GE:All	globalAdmin	18.06.2019 14:16
9	GDUser	189	localuser	Insert	Roles		ModuleGlobalRead | GE:All	globalAdmin	18.06.2019 14:16
10	GDUser	189	localuser	Insert	Roles		DocumentManagement | GE:All	globalAdmin	18.06.2019 14:16
11	GDUser	190	localassignee	Insert	Roles		TaskAdministrator | GE:GLOBAL	globalAdmin	18.06.2019 14:16
12	GDUser	190	localassignee	Insert	Roles		TaskApprover | GE:GLOBAL	globalAdmin	18.06.2019 14:16
13	GDUser	190	localassignee	Insert	Roles		ModuleGlobalRead | GE:GLOBAL	globalAdmin	18.06.2019 14:16
14	GDUser	190	localassignee	Insert	Roles		ModuleGlobalWrite | GE:GLOBAL	globalAdmin	18.06.2019 14:16
15	GDUser	190	localassignee	Insert	Roles		ModuleDefinition | GE:GLOBAL	globalAdmin	18.06.2019 14:16
16	GDUser	190	localassignee	Insert	Roles		DocumentManagement | GE:GLOBAL	globalAdmin	18.06.2019 14:16
17	GDUser	190	localassignee	Insert	Roles		TaskAdministrator | GE:DIV 1	globalAdmin	18.06.2019 14:16
18	GDUser	190	localassignee	Insert	Roles		TaskAdministrator | GE:DIV 6	globalAdmin	18.06.2019 14:16
19	GDUser	190	localassignee	Insert	Roles		TaskAdministrator | GE:DIV 5	globalAdmin	18.06.2019 14:16
20	GDUser	190	localassignee	Insert	Roles		TaskAdministrator | GE:DIV 4	globalAdmin	18.06.2019 14:16
21	GDUser	190	localassignee	Insert	Roles		TaskAdministrator | GE:DIV 3	globalAdmin	18.06.2019 14:16
22	GDUser	190	localassignee	Insert	Roles		TaskAdministrator | GE:DIV 2	globalAdmin	18.06.2019 14:16
23	GDUser	190	localassignee	Insert	Roles		TaskApprover | GE:DIV 1	globalAdmin	18.06.2019 14:16
24	GDUser	190	localassignee	Insert	Roles		TaskApprover | GE:DIV 6	globalAdmin	18.06.2019 14:16
25	GDUser	190	localassignee	Insert	Roles		TaskApprover | GE:DIV 5	globalAdmin	18.06.2019 14:16
26	GDUser	190	localassignee	Insert	Roles		TaskApprover | GE:DIV 4	globalAdmin	18.06.2019 14:16
27	GDUser	190	localassignee	Insert	Roles		TaskApprover | GE:DIV 3	globalAdmin	18.06.2019 14:16
28	GDUser	190	localassignee	Insert	Roles		TaskApprover | GE:DIV 2	globalAdmin	18.06.2019 14:16
29	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalRead | GE:DIV 1	globalAdmin	18.06.2019 14:16
30	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalRead | GE:DIV 6	globalAdmin	18.06.2019 14:16
31	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalRead | GE:DIV 5	globalAdmin	18.06.2019 14:16
32	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalRead | GE:DIV 4	globalAdmin	18.06.2019 14:16
33	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalRead | GE:DIV 3	globalAdmin	18.06.2019 14:16
34	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalRead | GE:DIV 2	globalAdmin	18.06.2019 14:16
35	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalWrite | GE:DIV 1	globalAdmin	18.06.2019 14:16
36	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalWrite | GE:DIV 6	globalAdmin	18.06.2019 14:16
37	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalWrite | GE:DIV 5	globalAdmin	18.06.2019 14:16
38	GDUser	190	localassignee	Insert	Roles		ModuleDivisionalWrite | GE:DIV 4	globalAdmin	18.06.2019 14:16

Screenshot 57: Excel-Export of Security logs

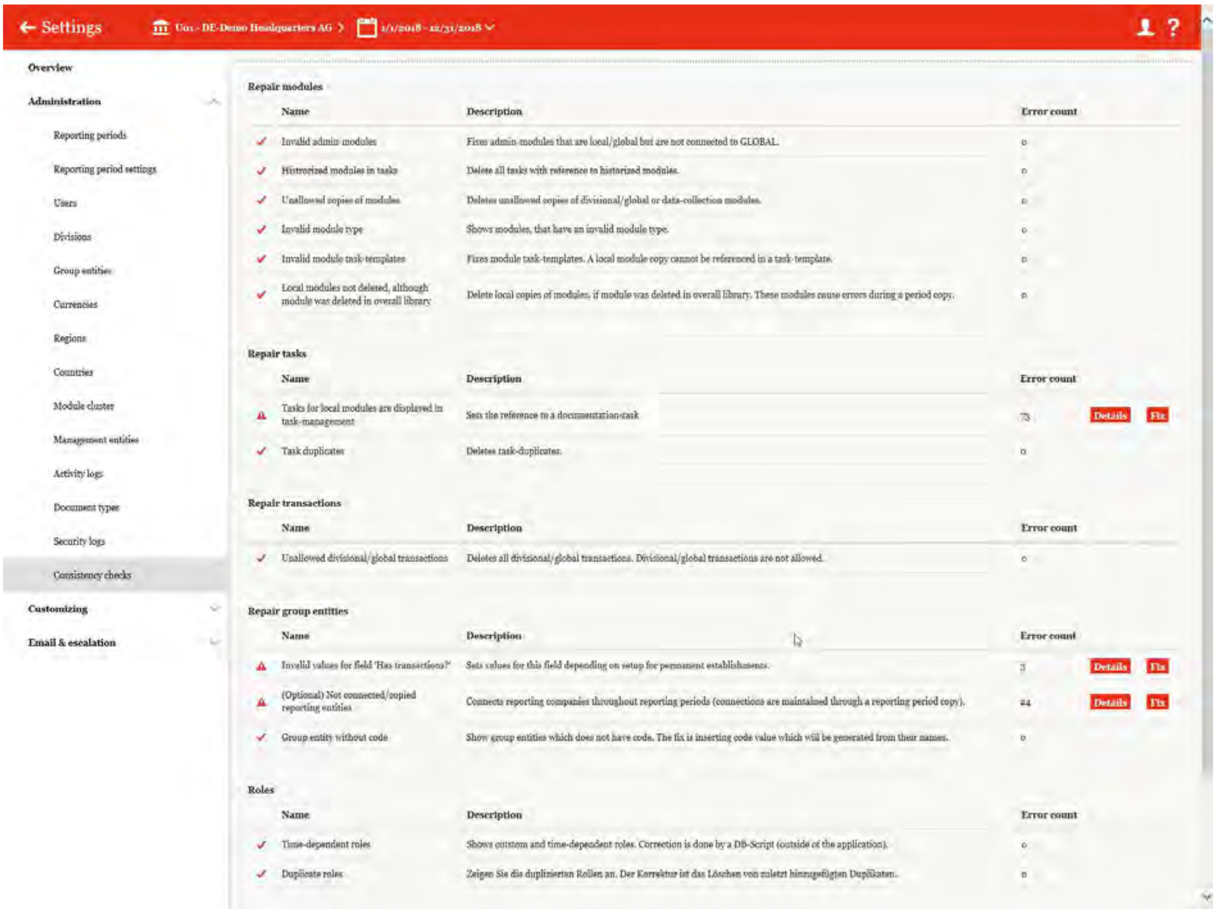
The exported Excel file will provide the following information:

- Type: specifies the type of entity
- ID: identification number of entity
- User: specifies the entity (e.g. name of the User)
- Action: specifies the nature of the performed action
- Modified field: indicates where something was changed
- Old value / New value: indicates the performed changes
- Modified by / Modified date: specifies the person who performed the changes and the respective date of modifications

1.3.14 Consistency checks

The navigation item "Consistency checks" has been created to provide access to the consistency checks of the databases. In doing so, potential defects and problems may be detected at a glance.

We strongly recommend performing this function jointly with our experienced *globalDoc*-support team.



Screenshot 58: Overview Consistency checks

1.4 Menu item Customizing

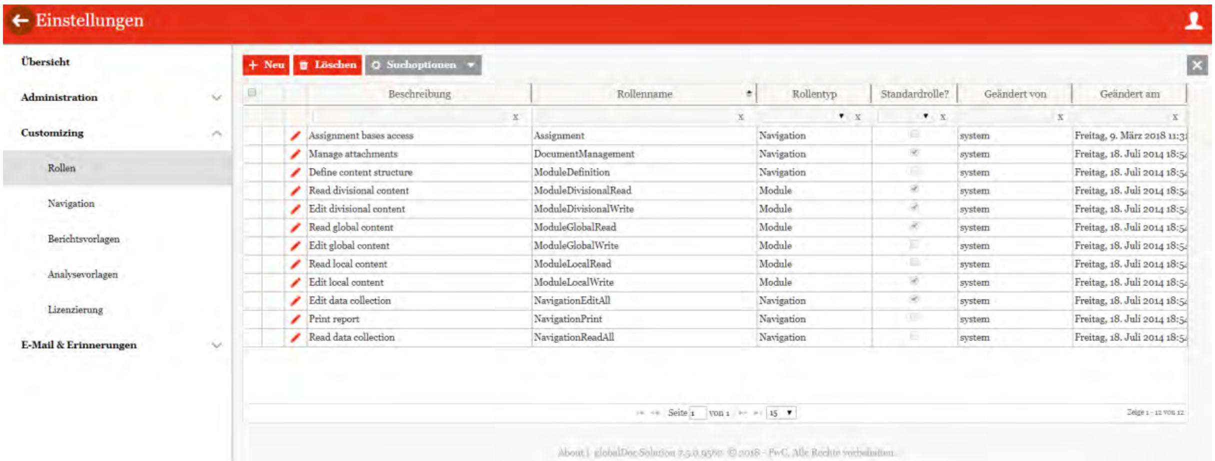
1.4.1 Roles

Under the section "Roles" via *Settings / Customizing / Roles*, the System administrator can manage existing roles, create new roles or remove roles that are no longer required.

Roles are listed under *Settings / Administration / Users* and describe self-defined system rights that can be assigned to a user.

1.4.1.1 Manage Roles

The administrator can access the role overview via *Settings / Customizing / Roles*. The overview contains all roles that have already been created.



Screenshot 59: Overview Roles

In a large number of cases, the roles pre-specified by the system are sufficient. However, if adjustments or additions are necessary in individual cases, "New roles" can be created in this navigation item and distributed to users via *Settings / Administration / Users.*

1.4.1.2 Create new Roles

By selecting the icon + New under *Settings / Customizing / Roles,* the detail view for creating new roles will be displayed.

In order to create a new role, the following data must be entered (fields marked with * are mandatory):

- Role name*: name of the role to be created
- Description: optional description of the created role
- Role type*: definition of whether the role is navigation-related or module-related
- Default permission*: selection of the permissions that can be assigned to the new role by default; currently exist the following permissions:
  - read
  - edit
  - edit and delete
  - create, edit and create

Screenshot 60: Create new Roles

1.4.1.3 View / edit existing Roles

Under *Settings / Customizing / Roles*, the detail view of a selected role can be opened by clicking on the icon . Roles preset by the system cannot be edited. However, the System administrator can determine whether these roles should be considered as standard roles or not.

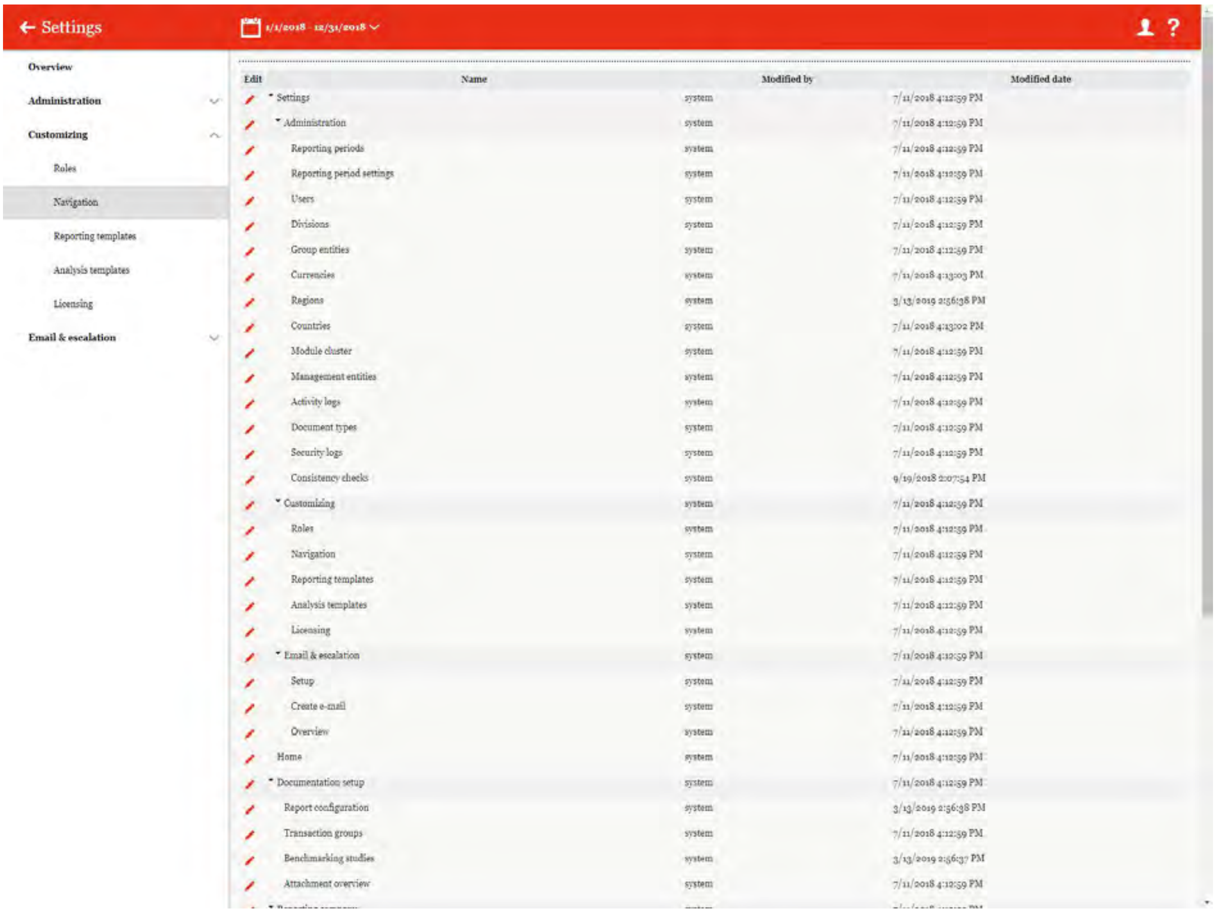
Screenshot 61: Edit roles

1.4.1.4 Delete Roles

A selected role can be deleted under *Settings / Administration / Roles* by clicking on icon . Roles created by the system cannot be deleted.

1.4.2 Navigation

Under *Settings / Customizing / Navigation,* the System administrator can view the navigation structure and rename certain navigation items. Furthermore, it is possible to assign certain roles to navigation items.

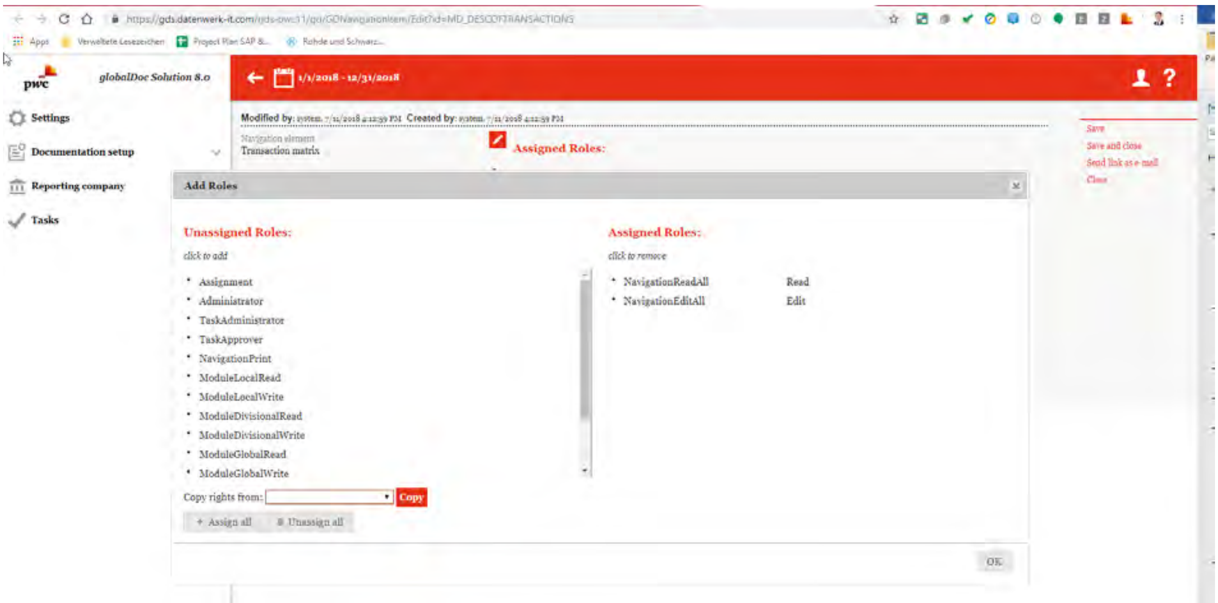


Screenshot 62: Overview Navigation

Under *Settings / Customizing / Navigation*, the detail view of a selected navigation item will be opened by clicking on . Navigation items created by the system cannot be edited.

Screenshot 63: Edit Navigation items

The name of the navigation element is always displayed in the available languages. For some navigation items, it is possible to change the names for the individual languages. In addition, some navigation items show already assigned roles and the respective rights. Using the icon , new roles can be added and old roles may be deleted.



Screenshot 64: Assign Roles to navigation item

Furthermore, it is also possible to copy the rights of other navigation items by selecting the function **Copy**.

1.4.3 Reporting templates

In the "Reporting templates" section, the System administrator can create and edit report templates. The navigation item "Reporting templates" can be accessed via *Settings / Customizing / Reporting templates*.

Report templates include formatting templates based on the corporate design that automatically determine the formatting of the generated reports. Any number of report templates can be created and individualized. The report templates are Word documents saved as Microsoft® Office file type ".doc". These are uploaded under *globalDoc Solution*®.

Under *Settings / Customizing / Report templates*, existing report templates may be copied, renamed or adjusted. A report template consists of at least seven Word templates that refer to the different components of the documentation report.

Screenshot 65: Reporting templates components

The report templates filed under "Reporting templates" provide the basis for the reports generated under "Report". The templates ensure a uniform application of the corporate design. The individualized report templates can be selected under *Reporting company / Report* via the drop-down list "Select report template".

To create an individual report template, an existing report template has to be copied using the function "Copy template" in the right command column (here: "DefaultTemplate"). This allows individual Word templates to be customized. Word templates that are not replaced are retained.

Note: The "DefaultTemplate" is stored in the system and cannot be deleted or edited.

Screenshot 66: Create template - Copy template

After creating a new template, the copied report template must be renamed under **“New template name”**.

The template is renamed by entering a new name in the line "New template name" and subsequently, must be saved by clicking the command "Save" in the right-hand command column.

Screenshot 67: Create template - Copy template

Note: The name of the report template must not contain any special characters.

The new template is now selectable and the seven associated Word files can be customized. To do this, the report template to be changed must be selected in the "Reporting templates" selection box. With a click on the icon , the system adminitrator can download, save and edit the Word templates associated with the chosen report.

Screenshot 68: Create template - Rename template

After editing in Microsoft® Word and local saving, the individually modified Word templates can be uploaded via Choose File and with the same name (e.g.: Template_Overview_Transaction_partners.doc). The modified report template (here: Manual template) is then available in *globalDoc Solution*® and can be selected under "Report" and used for the report.

Note: The name and document type of the Word document to be uploaded must exactly match the name of the Word template to be replaced (e.g. "Template_Report.doc").

1.4.4 Analysis templates

The functions contained in the navigation item "Analysis templates" offer the possibility to enter text modules for documenting the appropriateness of transfer prices.

Via *Settings / Customizing / Analysis templates*, an overview page can be opened (see following screenshot) that shows the analysis templates already created:

Screenshot 69: Overview of Analysis templates

The list of all existing analysis templates can be sorted by the following values by clicking on the corresponding field:

- *Type of analysis*
- *Option name*
- *Internal comment on text selection*
- *Modified by*
- *Modified date*

TIP: The result can be refined by entering the searched word in the desired column and is confirmed by pressing ENTER.

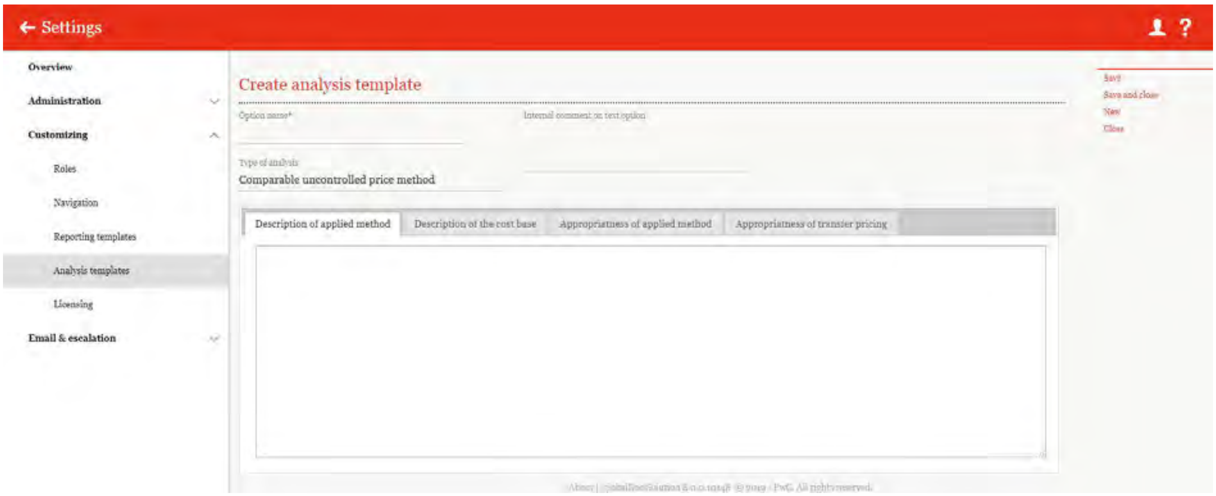
The selected analysis template can be directly deleted by using the icon or edited using the icon .

The overview page provides various functions for managing the analysis templates. These functions are briefly described below.

+ New	Create a new analysis template
Delete	Delete selected analysis template
Search options ▼	Configure the search: Select Simple search, Advanced search or Columns. The search can also be updated here.
×	Close the administration view and redirect to the globalDoc Solution® overview page

1.4.4.1 Create Analysis templates

Under *Settings / Customizing / Analysis templates*, the detail view for creating a new analysis template will be displayed by selecting the icon + New. Fields marked with (*) are mandatory. The description of the method, the description of the cost basis, the appropriateness of the applied method and the appropriateness of the transfer price can be documented in various tabs. The documented information is then available to the local users under the program item *Reporting Companies / Transactions / Analyses / Transfer pricing*.



Screenshot 70: Create a new Analysis template

When creating an analysis template, the following additional information can be entered in a free text field:

- description of applied method
- description of the cost base
- appropriateness of applied method
- appropriateness of transfer pricing

1.4.4.2 Editing existing Analysis templates

By clicking on the icon under *Settings / Customizing / Analysis templates,* the detail view of the respective analysis template will be opened. Here, information added when creating a new analysis template can be edited (see "Create Analysis templates").

1.4.5 Licensing

License information and the license key of the used *globalDoc Solution*® version are displayed under the navigation item "Licensing".

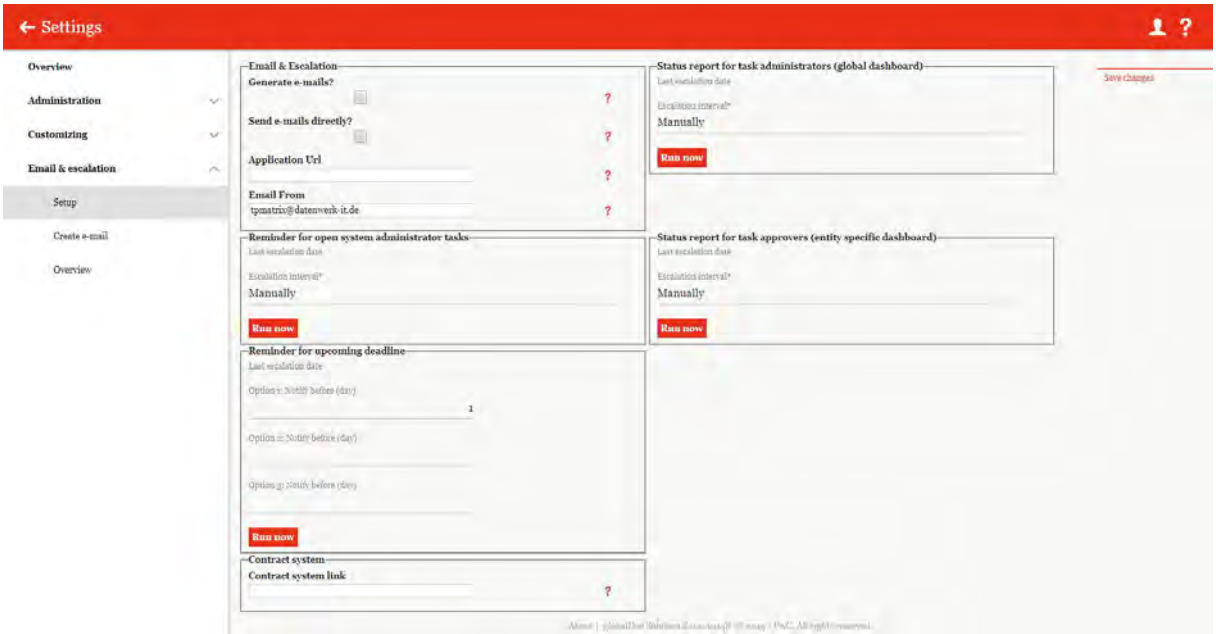
Screenshot 71: Licensing information

The System administrator has the possibility to modify the license key by selecting the function "Edit" on the right-hand command column. Any changes to the license key should be made in accordance with PwC / Datenwerk: The previous version of the license key will be deleted and *globalDoc Solution*® will not be accessible until a valid license key is re-assigned. However, the deletion of the license key will have to be confirmed first.

1.5 Menu item Email & escalation

1.5.1 Setup

Under "Setup", the email-function in *globalDoc Solution®* can be activated, email addresses can be edited and the escalation intervals (or reminder-intervals) of the respective emails can be set.



Screenshot 72: Email setup

Selecting the checkbox for "Send emails directly" activates the direct sending of the generated emails and sends all unsent emails. The deactivated status allows the System administrator to check unsent emails and, if necessary, delete them under the "Overview" menu item.

By specifying the initial address, direct access via the emails is enabled. The sender address can be changed here.

In this section, the times of the last escalations are shown, escalation intervals can be set and via the icon **Run now**, emails can be sent manually.

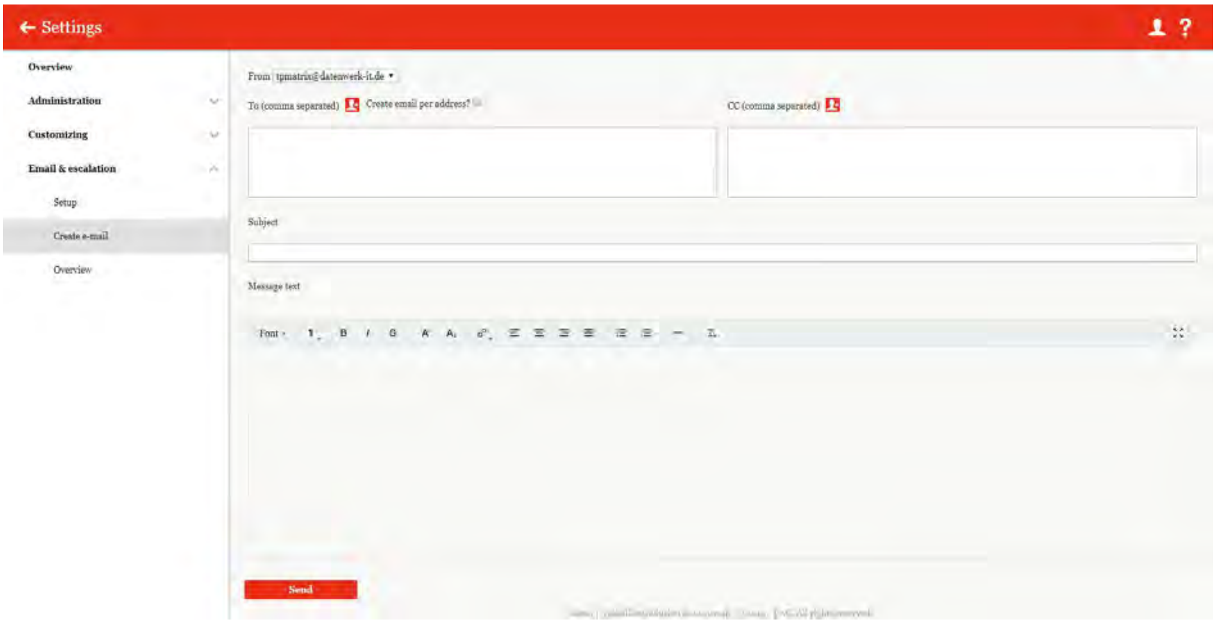
- An Excel overview of the status of the tasks can be sent directly to the administrator via "Status report for the task administrators".
- "Reminder for open system administrator tasks" sends a reminder email with an Excel overview to the System administrator.
- The "Status report for task approvers" function triggers a process where users with the role of a task approver receives an Excel overview of the status of a company at pre-selected times.

The function "Reminder for upcoming deadline" offers the possibility to configure up to three email reminders before the deadline expires. A direct reminder email can be set up manually by clicking the button **Run now**,

Under "Contract system", the part of the link to the contract system without the contract number should be inserted.

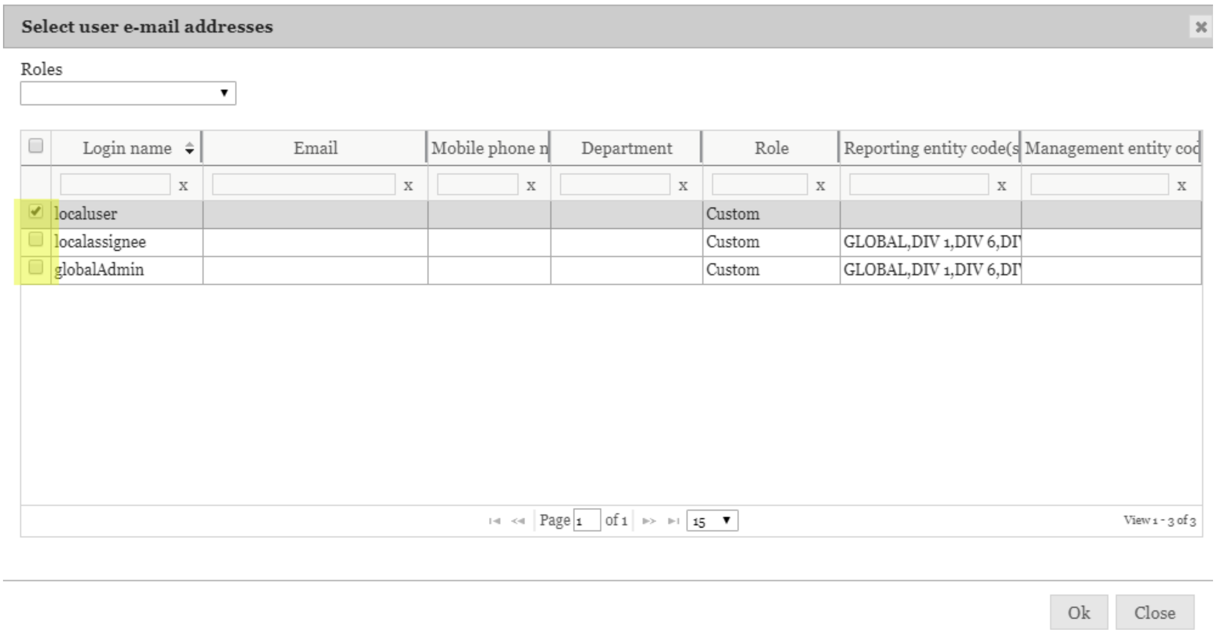
1.5.2 Create Email

The function "Create email" allows for sending of self-created emails.



Screenshot 73: Input mask for email creation

Clicking the icon opens a pop-up that displays all users. Users to whom the email or a copy of the email should be sent can be selected with a mouse click.



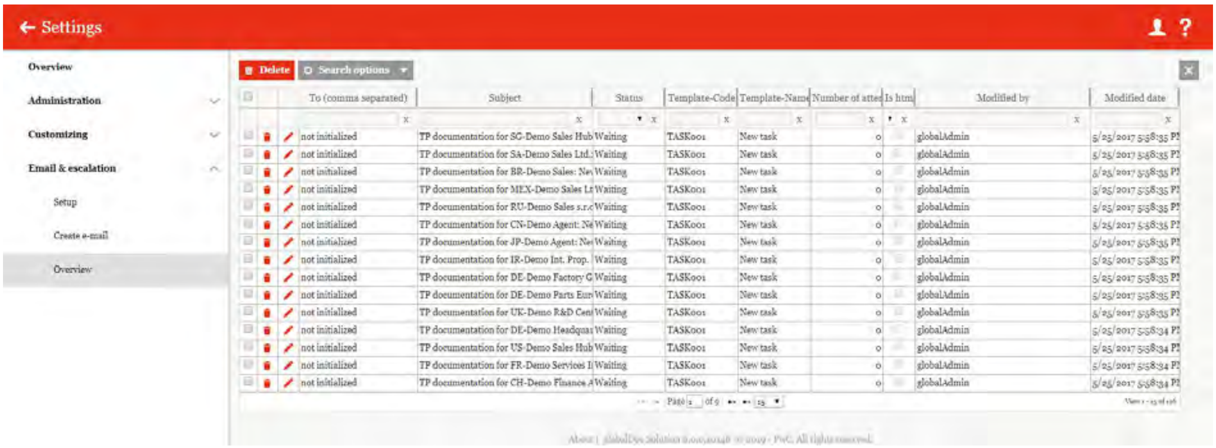
Screenshot 74: Email recipient selection

Instead of sending an email to all selected addresses, a single email can be sent to each individual address as desired using the option "Create email per email address?".

Additionally, an option to send the email in "html" format is available.

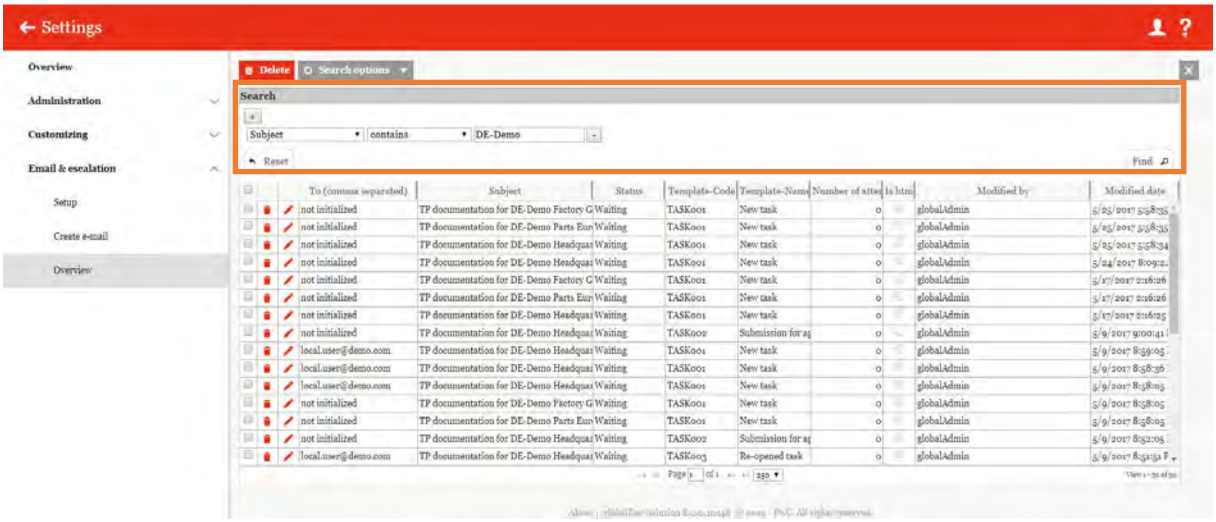
1.5.3 Overview

Under "Overview", all unsent and erroneous emails are displayed.



Screenshot 75: Overview of all unsent emails

Displayed emails can be deleted or opened, if necessary. For a better overview, emails can be sorted according to the values of each column. The search option allows to select certain columns or to search for specific rules via the "Extended search" function.



Screenshot 76: Extended search

By clicking the icon +, new rules for a search can be defined. Similarly, clicking on the icon - will remove rules. The created rules can then be applied to search emails by using the function Find.

2. *Program item Documentation setup*

2.1 *Menu item Report configuration*

The program item "*Documentation setup"* allows the System-administrator to edit the structure of the documentation. Under "*Report configuration*" existing report types can be edited. A new configuration can be created by clicking on + New (see Create a new Report type).

If you click on of an already existing report, you can edit its configuration. under the menu item "Report configuration". The working steps are the same as in case of a new report creation.

2.1.1 Create a new Report type

You can choose between two options in the upper screen area: Import chapter structure Define modules. The first option "Import chapter structure" can be used to either upload an already existing documentation including its chapter structure to *globalDoc* or add a chapter structure manually.

With "Create modules" the System-administrator can create new modules for the respective chapters (see Define Modules).

To create a new Report type, you can make the following entries (fields marked * are mandatory):

- Name*: Specifies the name of the report type.
- Type*: Here you can describe the type of report (e.g. Local File or Master File).
- Template: Here you can use a template that may have been created previously (reference to Report templates).
- Scope*: Here you can specify whether the report to be created will be more general or whether it refers to a specific country or reporting company.

  - If the report relates to a country or reporting company, a corresponding Country* or Reporting company* must be selected.
- Is active: Here you can specify whether the report type should be active.

In the lower section, you can import the structure of an existing report (see Import chapter structure for more details)

Further, the administrator can add a chapter structure manually. The symbol is used to create new chapters or new subchapters. It is necessary to insert a meaningful chapter title. The chapter structure will be saved using the command "Save".

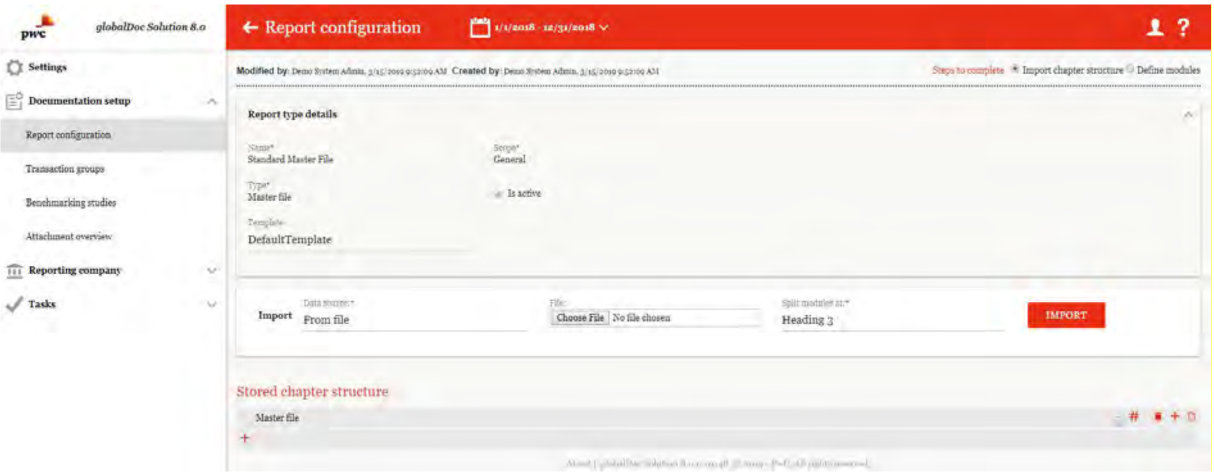
Screenshot 77: Create new chapter

Chapters can be moved via drag & drop by selecting the respective chapter and holding the left mouse button. Selecting the symbol # will activate the automatic numbering of the individual chapters. Empty chapters can be deleted using the -icon. Too keep the changes, it is necessary to click the -button.

NOTE: Chapter headings of chapters without automatic numbering are disregarded for the purpose of report generation. However, they can be used to structure the documentation architecture (e.g. separation between Master File and Local File). If modules are assigned to such chapters, these modules form part of the report but will remain without chapter headings.

2.1.2 Import chapter structure

Choosing the option Import chapter structure, the following screen be displayed:

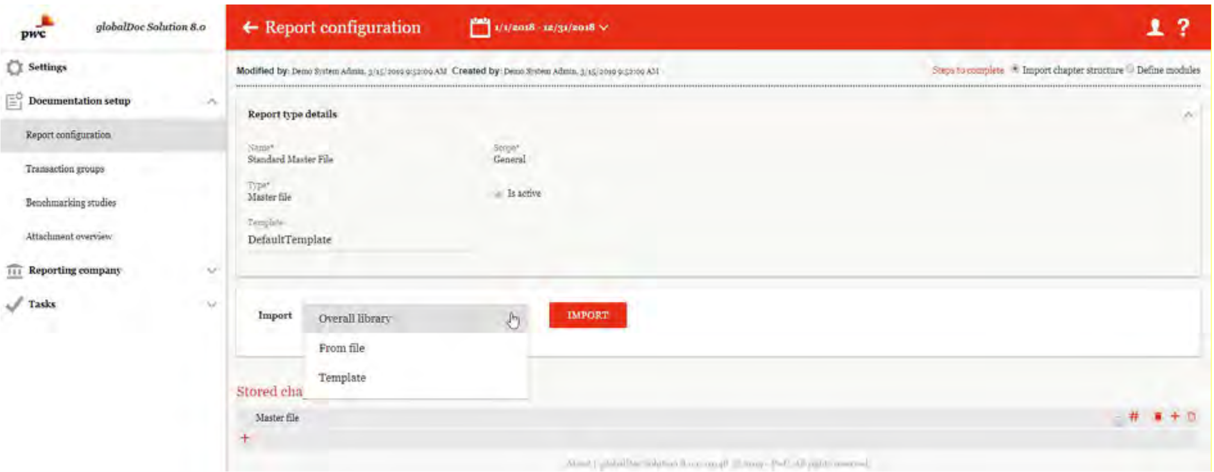


Screenshot 78: Define chapters

The page is divided into several sections: “Report Type Details", which provides more detailed information regarding the report. The "Import"-button to upload a chapter structure based on an existing documentation. Further, the "Stored chapter structure" can be edited manually as described in the chapter above. How to import and save a chapter structure is explained in the following sections.

2.1.2.1 *Overall library*

The first of the three possible data sources explained above is "overall library".



Screenshot 79: Import chapter structure from overall library

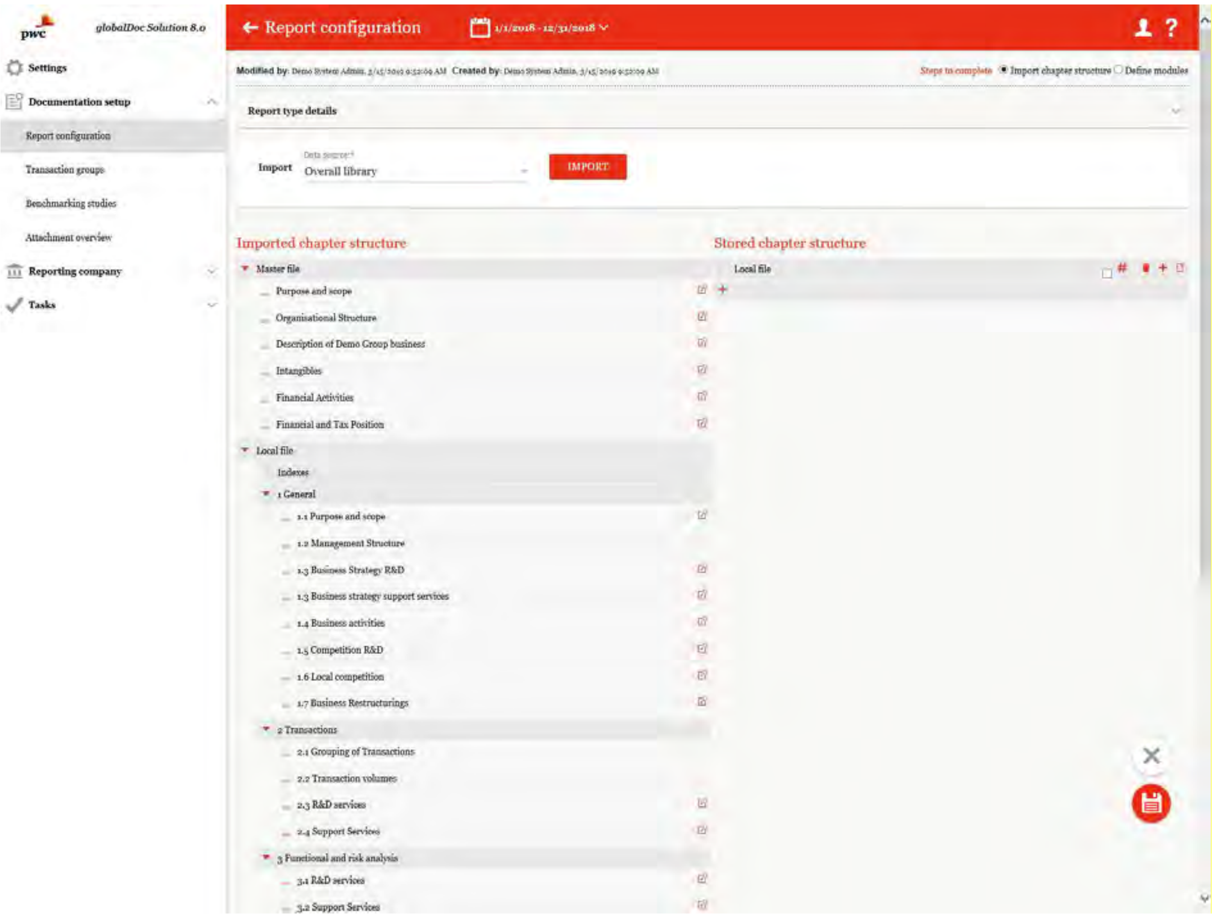
<u>STEP 1</u>

By selecting "Overall library" as data source, the existing structure of the corresponding reporting period will be imported. This can be done by clicking on IMPORT.

<u>STEP 2</u>

When "Overall library" is chosen by clicking on IMPORT, the "Imported Chapter Structure" can be viewed in the second step. In the appeared table, the imported chapter structure and the stored chapter structure are compared and the administrator has the possibility to define new chapters.

TIP: When importing a structure for the first time, the stored chapter structure is empty.

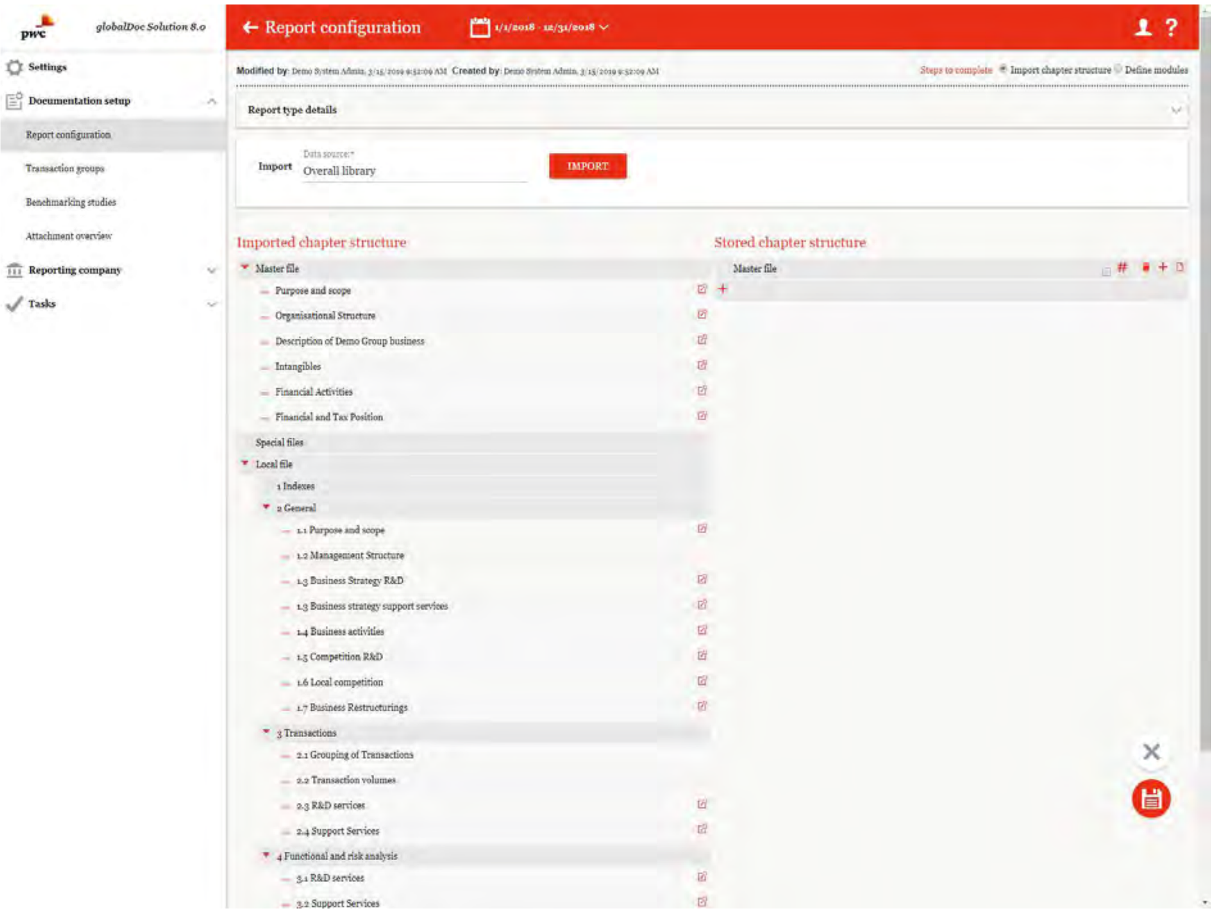


Screenshot 80: Selection of the chapters to be imported

As soon as the decision about which chapters to import has been made, these chapters can be moved via drag & drop towards the "Stored chapter structure" via Drag & Drop by using the icon on the left side next to the chapter titles. It is also possible to move whole blocks (in the screenshot above e.g. "Master file" or "Local file") into the saved chapter structure by drag & drop using the icon .

An autonumbering of the chapters can be activated by ticking #. The corresponding chapter can be deleted by clicking the icon . The icon + can be used to create a new subchapter. In addition, the name of a corresponding chapter or subchapter can be changed by clicking on the title.

The import will be finalized after clicking the button "Save" in the right command column (lower right corner). The button ✕ will cancel the action.



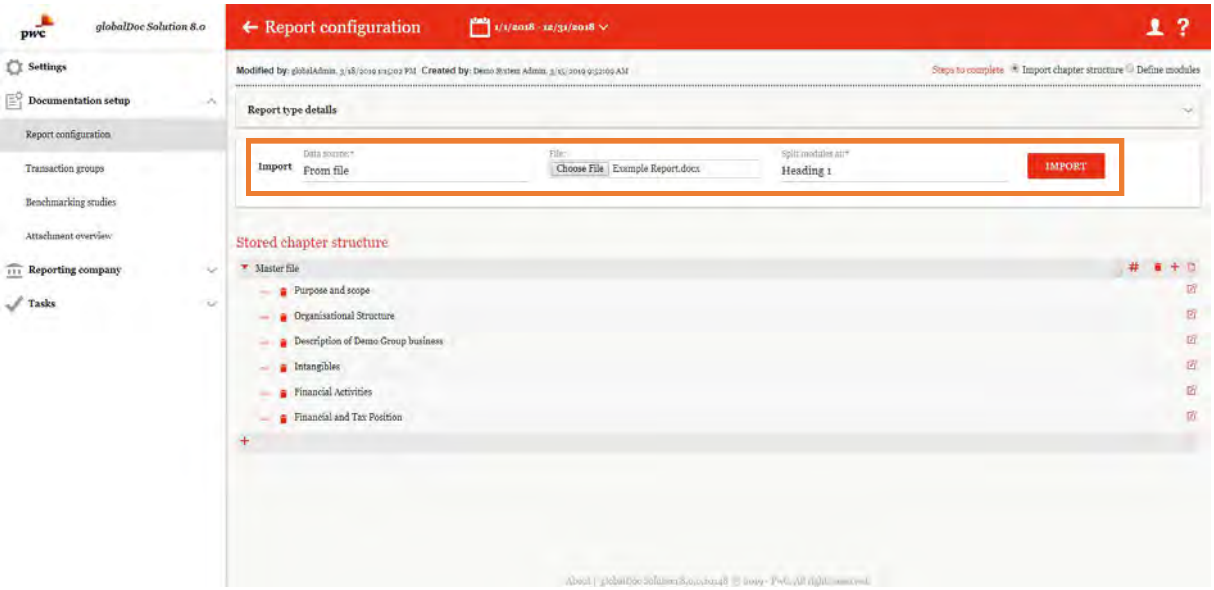
Screenshot 81: Import chapter structure - overview

After saving, the view can be restricted to the saved chapter structure by clicking on  in the lower right corner of the screen. The modules can then be moved further within the chapter structure if required.

2.1.2.2 From file

STEP 1

If the chosen source of data is a file, "From file" should be selected from the dropdown list. A specific file can be selected by using the function "Choose File". Additionally, the function "Split modules at" enables the System administrator to choose the heading level at which the chapters should be added. Any heading level between 1 and 6 can be chosen.



Screenshot 82: Import chapter structure - From file

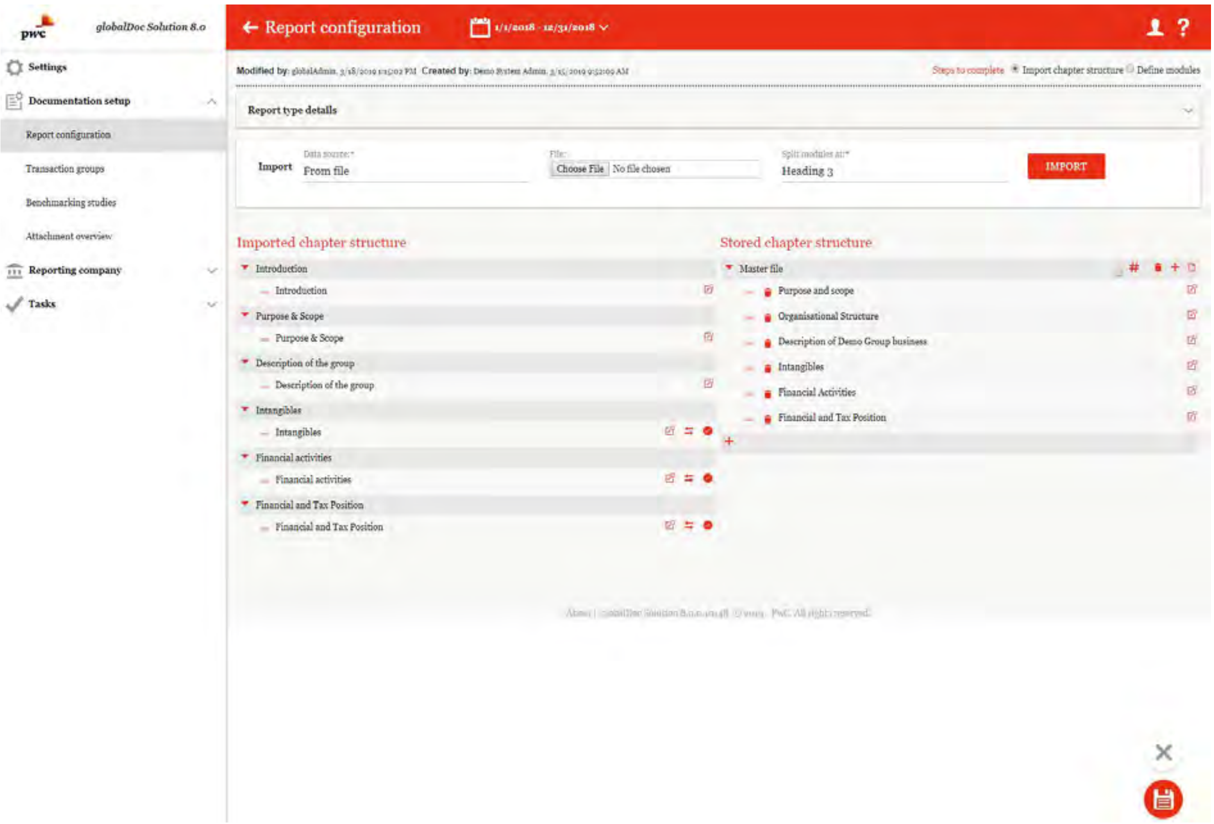
STEP 2

When “From file” is chosen by clicking on IMPORT, the selected file will be shown in form of its chapter strucutre. Chapter headings can be edited manually at this point.

Screenshot 83: View of imported file

Clicking the disk saves the imported structure. In case of an already existing structure, a comparison between the imported and already saved structure is possible by clicking the icon . "Stored chapter structure" refers to the chapter structure already existing in globaDoc®.

In the case of an already saved chapter structure, clicking on offers the possibility to connect the imported structure with the already saved structure, or to completely revise the saved structure.



Screenshot 84: Import chapter structure - from file

TIP: The selection does not automatically take over the chapters. The view only shows a comparison of the two chapter structures. The desired chapters must be moved manually using the Drag & Drop function.

As soon as the administrator has decided which chapters are to be included in the "Stored Chapter Structure", the respective chapters must be moved manually using the icon (left from chapter name) by drag & drop to the target level.

As described in the previous chapter, the displayed icons, such as the icon for creating new (sub-)chapters, can be used for chapter structuring. For further information see "Create a new Report type ".

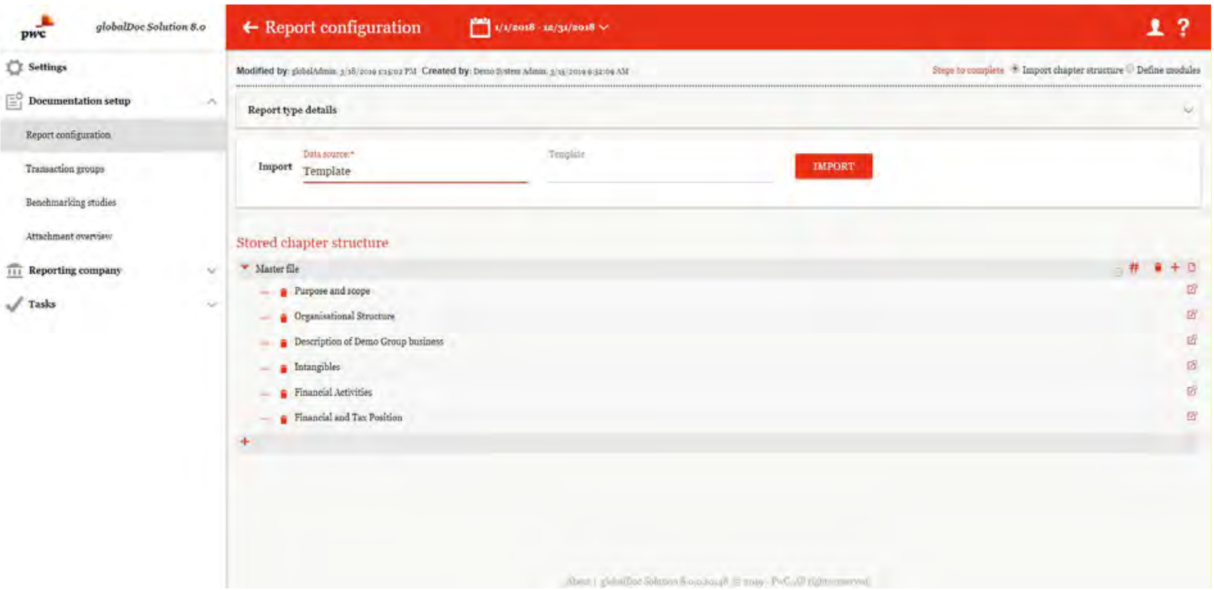
By clicking "Save" in the lower right corner the import can be completed or executed. The "Exit" button cancels the action.

2.1.2.3 *Template*

The third data source that can be used to import a chapter structure is a "Template".

<u>STEP 1</u>

The import of a chapter structure can be based on a template, which can be provided upon request during the implementation of globalDoc.



Screenshot 85: Import chapter structure - Template

STEP 2

When “Template” is chosen by clicking on Import, a view appears in which the "Imported Chapter Structure" and the "Saved Chapter Structure" are displayed next to each other in comparison. This allows to recognize missing chapters better or to move chapters with drag & drop.

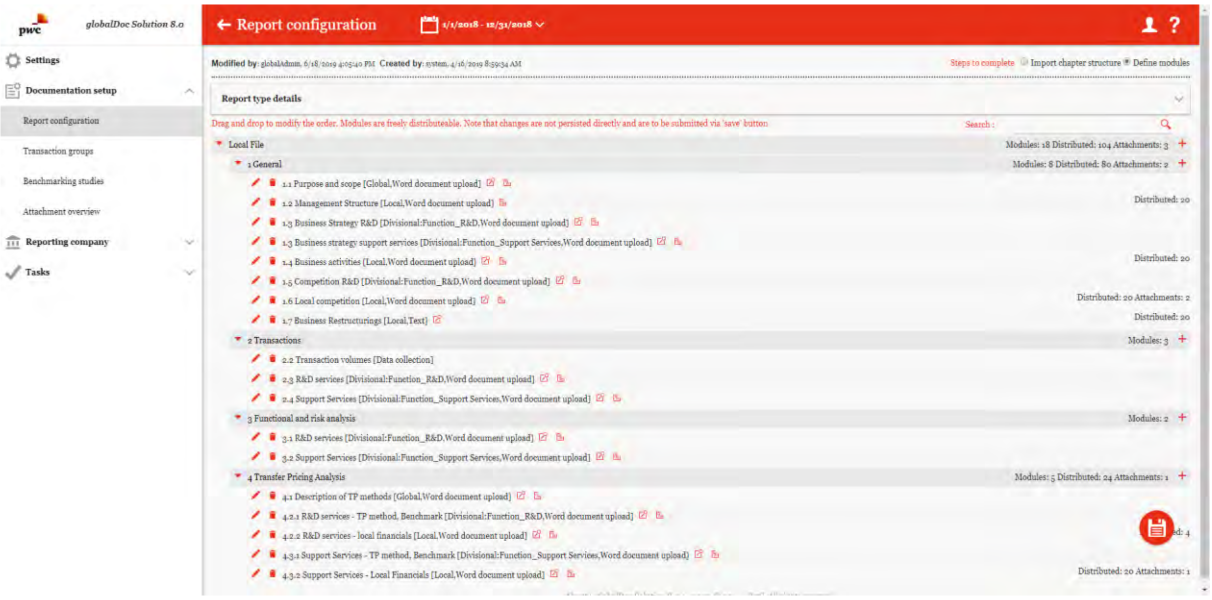
As soon as the administrator have decided which chapters are to be included in the "Saved Chapter Structure", these chapters must be moved individually using the icon (to the left of the chapter name) by drag & drop to the desired position.

As described in the previous chapter, the displayed icons, such as the icon + for creating new (sub-)chapters, can be used for chapter structuring. For further information see "Create a new Report type ".

By clicking "Save" in the lower right corner the import can be completed. The "Exit" button cancels the action.

2.1.3 Define Modules

After selecting the checkbox ◉ Define modules (at the upper right edge of the screen), the following view (contents are presented exemplary) will be displayed:



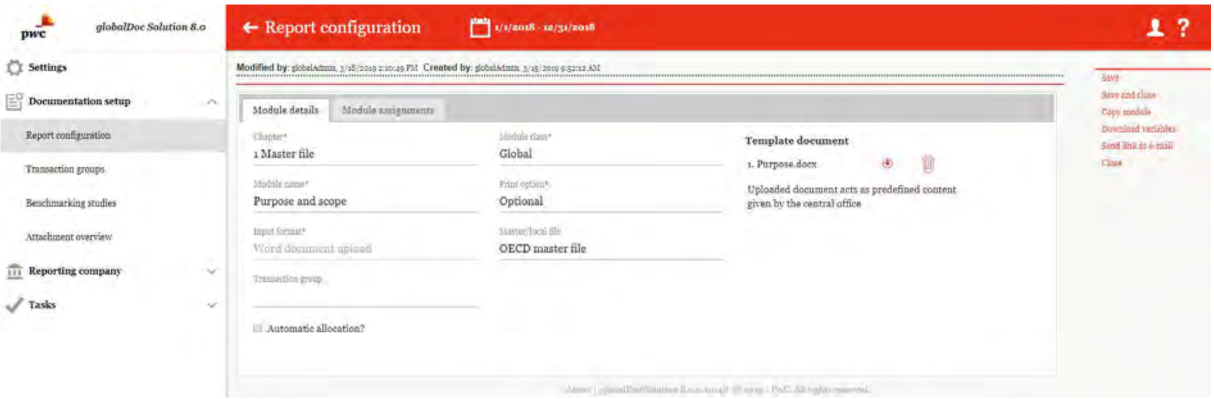
Screenshot 86: Define Modules

All chapters and the corresponding modules are listed here. "Modules" displays the number of modules assigned to the chapter, "Distributed:" refers to the reporting companies using the current module and "Attachments" displays the number of attachments added to the module.

Given that content has already been uploaded to a certain module, a click on the icon will open the module content of global and divisional modules. In case of local modules, a content preview will be displayed. Via the icon , module content or content preview, respectively, can be replaced.

The icon allows the editing of already created modules, and new modules can be created using the icon +. By pressing the icon , the corresponding module is deleted.

NOTE: Only modules without already uploaded documents can be deleted. For this reason, the module contents must be deleted before the module itself can be deleted.

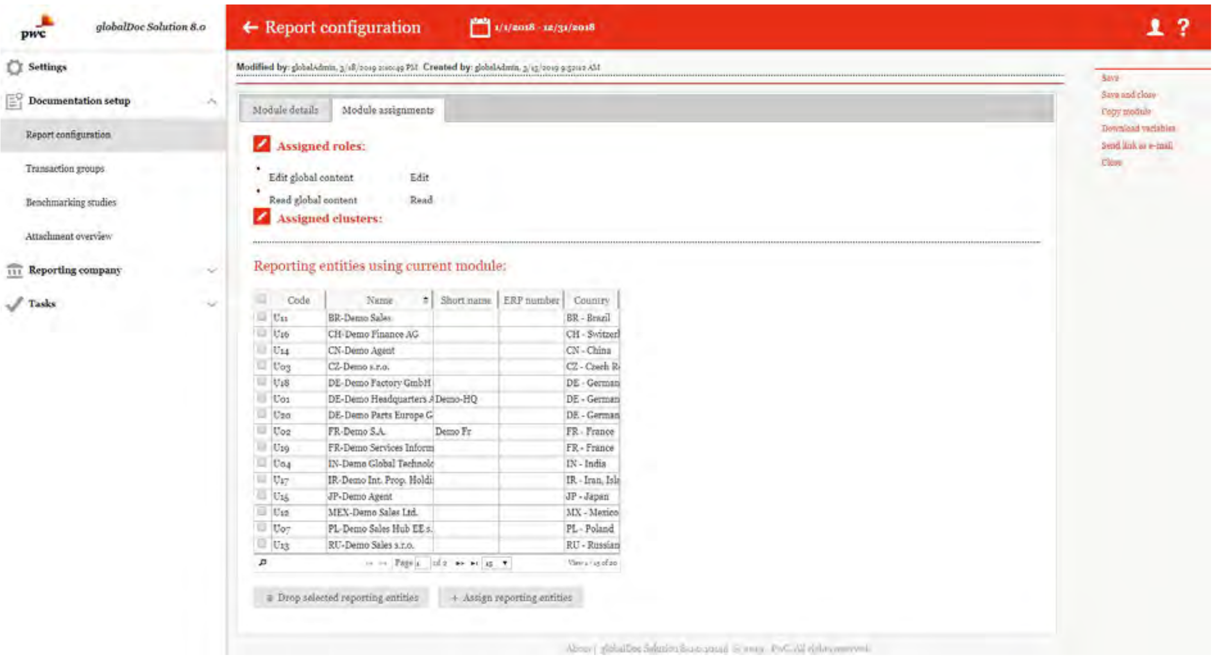


Screenshot 87: Module details

- By clicking the icon in the cell of a module, the "Module details" are displayed. The following aspects of the module can be processed here (fields marked with * are mandatory):
- Chapter*: In which chapter of the created report will the module appear
- Module name*: Name of the module (not equal to the heading in the report)
- Input format*: Choice between different input formats
- Transaction group: If automatic allocation to a specific transaction group is applied, the respective transaction group can be chooses here.
- Module class*: global, divisional or local module
- Print option*: Always (Module is always printed when report is created), optional (user can choose whether the module shall be printed when creating the report), never (Module is never printed when report is created, e.g. in case of internal or back-up information)
- Master/local file: Master File or Local File module
- Template document (in the above example a template document is already uploaded, so the input format is grayed out)
- Automatic Allocation?: Automatic allocation according to a transaction Group

If a template document is uploaded to a global or divisional module, the module content will be automatically uploaded, too. If a template document is uploaded to a local module, the local user can use this template document as a starting point for creating documentation under *Reporting Company / Documentation content*.

NOTE: Only after saving the module, the option to upload a template document will be available.



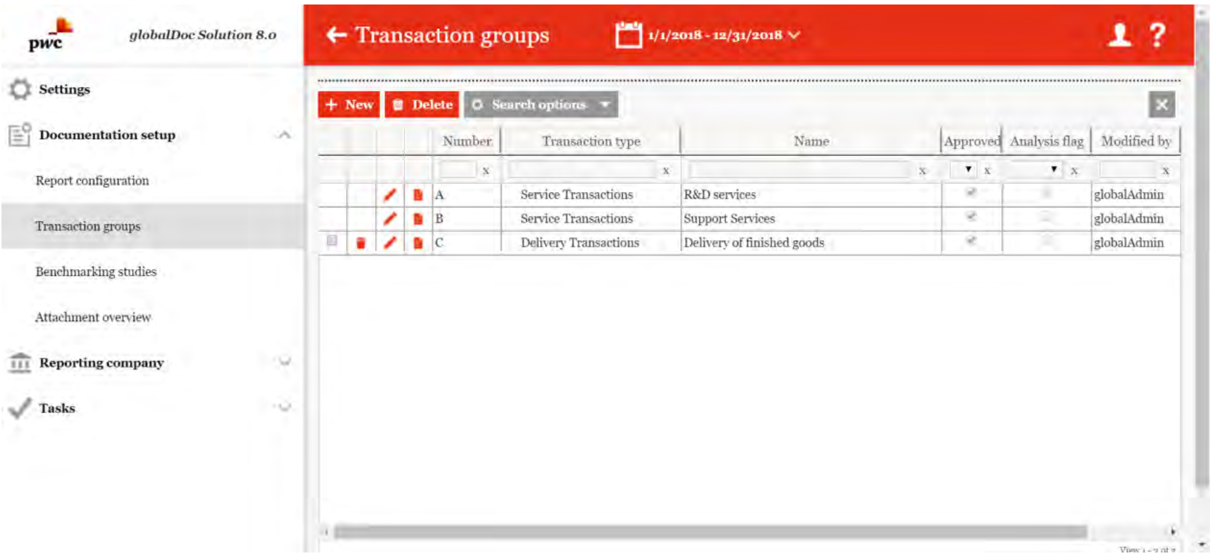
Screenshot 88: Module assignments

In the tab "Module assignments", the "Assigned roles" ("Edit" and "Read") can be allocated. In addition, module clusters ("Assigned clusters") can be viewed, added and removed if necessary. Both are possible by clicking the respective icon.

The section further lists which reporting companies use the current module. Reporting companies to which the module is to be allocated can be assigned the modules via + Assign reporting entities. Reporting companies can be removed via Drop selected reporting entities.

2.2 Menu item Transaction groups

Under the menu item "Transaction Groups", which is also a sub-item of "Documentation setup", existing transaction groups can be viewed and edited and new transaction groups can be created.



Screenshot 89: Transaction groups

Here, it is possible to delete or edit list entries using the icons , or to create a sub-group for this transaction using the icon . Via the icon + New it is possible to create a new transaction group.

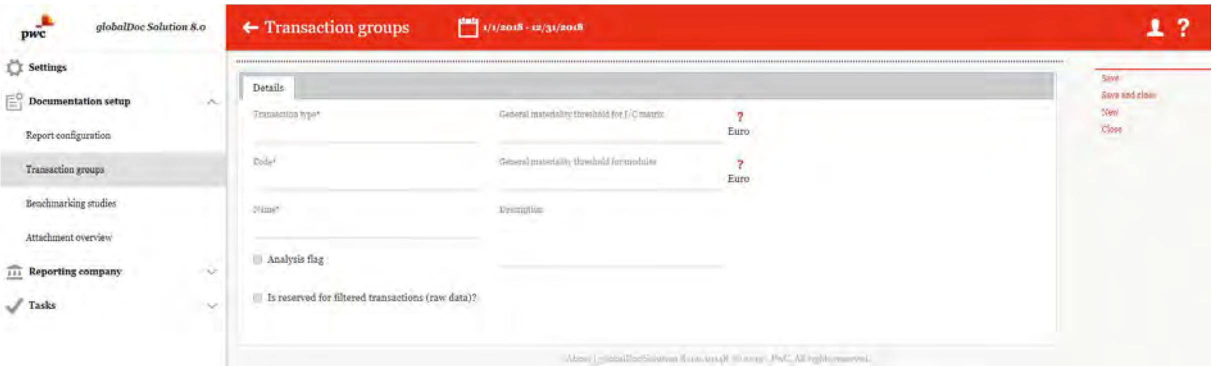
On the start page of this menu item, already existing transaction groups are displayed, which can be sorted according to the following items:

- Number: here each transaction can be given an individual numbering
- Transaction type: for example *distribution* or *manufacturing*
- Name: name of the transaction group
- Enable: indicates whether the transaction group can be used
- Analysis flag?[6]
- Modified by: specifies the user who last made changes to the transaction group
- Modified on: specifies the time and date of the last change

2.2.1 Create new Transaction group

By clicking the icon + New you get to the detailed view of the transaction group to be created.

[6] Only relevant if the corresponding *globalDoc Solution*® function is used for analysis of appropriateness. In this case, activate the checkbox if you want the proof of appropriateness to be uniform for the entire transaction group and not for each individual transaction.



Screenshot 90: Transaction group - detail view

Here you can define the transaction group more exactly via the following points (fields marked with * are mandatory):

- Transaction type *: the overall type of transaction is indicated here
- Code*: a specific individual code can be assigned to the transaction
- Name*: the transaction group should be given a name in addition to its type
- General essentiality threshold for I/C Matrix: If a transaction value is above this threshold, the transaction will be displayed in an Excel file attached to the report. If the value is below this threshold, the transaction will not be displayed.
- General essentiality threshold for modules: If a transaction value is above this threshold, a module which is automatically allocated according to a transaction group, will be printed when generating a report. If the value is below this threshold, the module will not appear in the report.
- Description: the transaction can be described in more detail here
- Group analysis?: Should the transaction group be part of a group analysis?
- Is reserved for filter transactions (raw data)?[7]

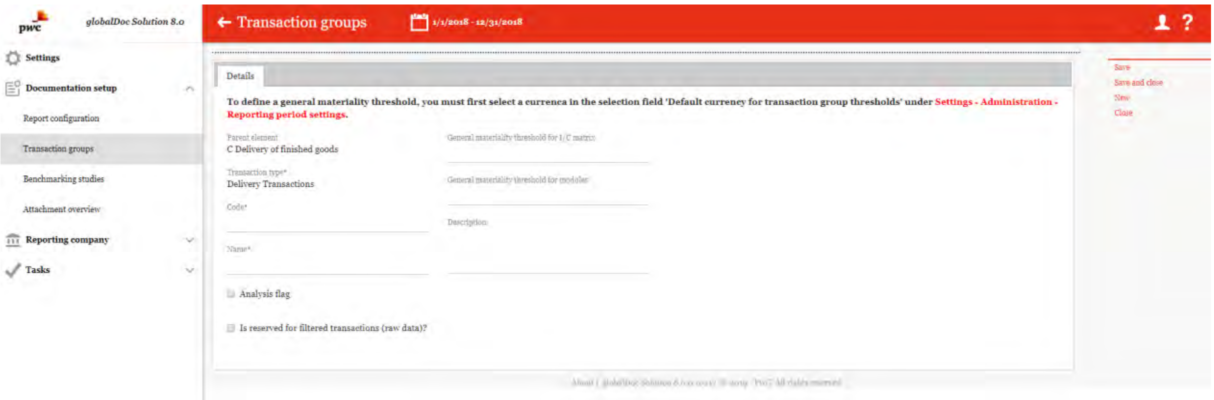
TIP: The General essential threshold for I/C Matrix or for Modules can only be defined if a Default currency for transaction group thresholds has been selected under *Settings / Administration / Reporting period settings*. This currency is then displayed next to the corresponding essentiality threshold ("Euro" in the screenshot above).

Once the mandatory fields have been filled in, it is possible to save the transaction by clicking on "Save" or "Save and close".

[7] Only relevant in conjunction with TP Matrix - defines whether the transaction data for the corresponding transaction group is to be obtained via a manual import or via the TP Matrix. The TP Matrix generates the raw data via an ERP interface (e.g. an SAP interface), prepares them according to predefined rules to transaction data (also filter transactions) and consolidates them to a transaction group. If this option is selected, transaction data for this transaction group cannot be uploaded to *globalDoc*, but is obtained via the TP matrix.

2.2.2 Create Sub-Transaction group

Creating a subgroup of an existing transaction group is possible via *Documentation Setup / Transaction groups* and clicking the icon .



Screenshot 91: Create Sub-Transaction group

The detailed view of the subgroup is very similar to the view just presented in "Create new Transaction group". The only difference between the two views is that two fields, "Parent element" and "Transaction type*", are already defined by the parent transaction group.

2.2.3 Edit Transaction groups

You can edit transaction groups by choosing *Documentation Setup / Transaction groups* and clicking the icon . The transaction group detail view that then appears is identical to the view that appears when you create a new transaction group. The operation of this window is also identical (see "Create new Transaction group" for a detailed description).

2.3 Menu item Benchmarking studies

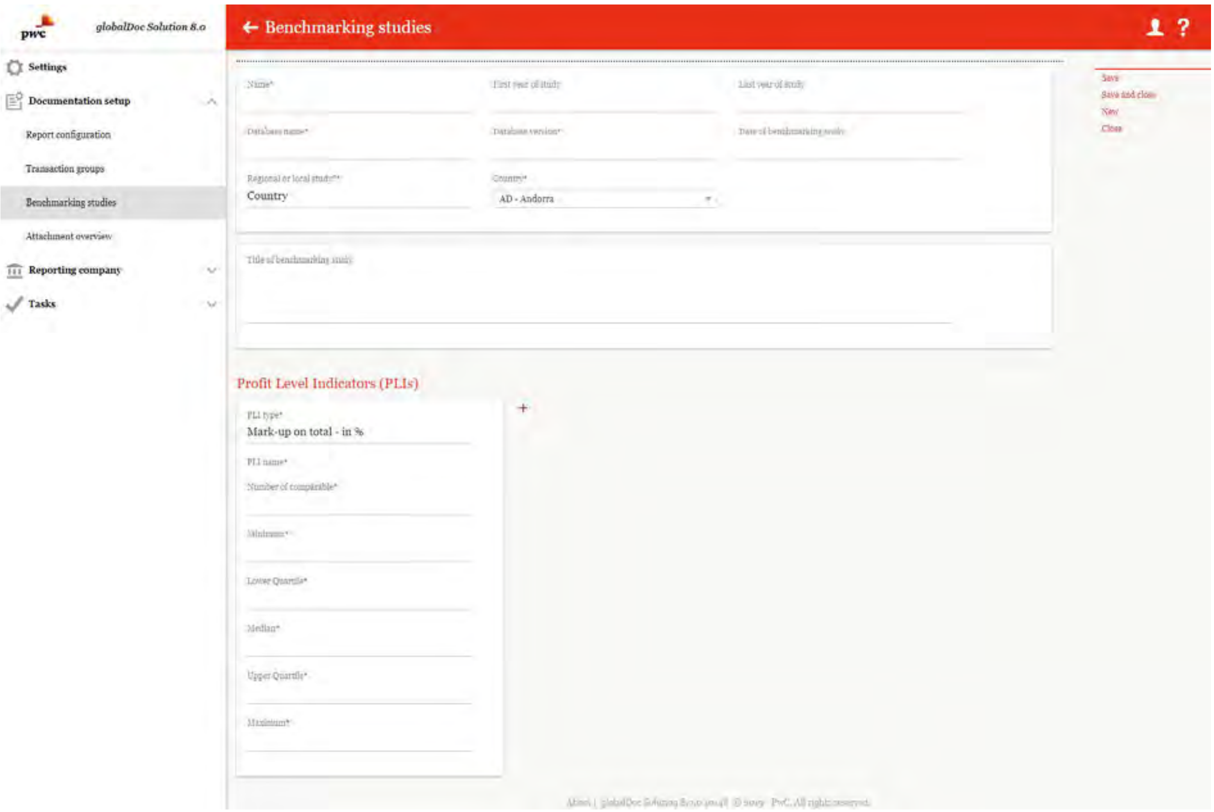
Under *Documentation setup / Benchmarking* studies, all benchmark studies already created in *global-Doc* are presented in tabular form. The following icons can be used to delete, edit or update a benchmarking study. In addition, a new benchmarking study can be recorded in *globalDoc* via + New. In addition, the benchmarking studies can be sorted by the following items in the table

- Name
- First year of study
- Region: specifies the region covered by the study

- Country: specifies the country covered by the study
- Update of financial data?: indicates whether the document is a complete benchmarking study or just a financial update
- Modified by: indicates the user who last made changes to the benchmarking study
- Modified on: specifies the time and date of the last change

2.3.1 Create new Benchmarking study

As already mentioned, a new benchmarking study can be entered under *Documentation set-up / Benchmarking studies* and **+ New**. The view that then opens looks like this:



Screenshot 92: Create new Benchmarking study

In this view, the following relevant information about the new study can be provided (fields marked with * are mandatory):

- Name*
- Database name*: On which database are the data used for the benchmarking study based?

- Regional or local study?*: Here you can choose between "Country" and "Region". This affects whether regions or countries can be selected in another field.
- First year of study
- Database version *
- Country*/Region*: Here you can select from all countries or regions created in *globalDoc* (see "*Countries*", if further countries are needed).
- Last year of study
- Status of the benchmarking study: For example, is the study still in draft?
- Title of Benchmarking study

  In addition to the provided details, further information can also be provided by using this field.

Profit Level Indicators (PLIs)

The icon + can be used to create new Profit Level Indicators for the study and the icon can be used to delete existing indicators. If Profit Level Indicators are provided, the following fields must be submitted (fields marked with * are mandatory):

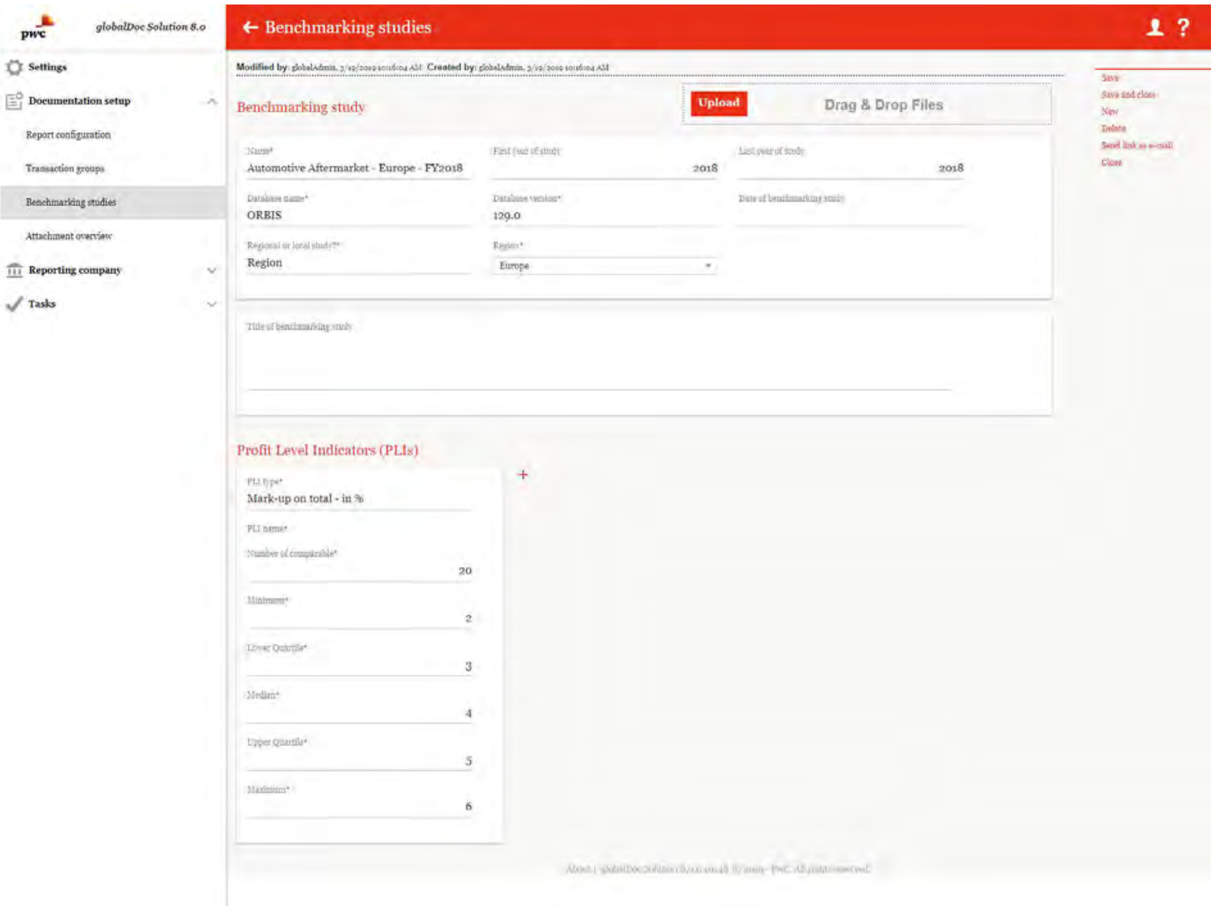
- PLI type*: Indication of the Profit Level Indicator used in the benchmarking study.
- Number of comparables*:
- Minimum*: The minimum range for the PLI determined in the study.
- Lower Quartile*: The lower quartile of the range for the PLI, which was determined in the study.
- Median*: The median range for the PLI determined in the study.
- Upper Quartile*: The upper quartile of the range for the PLI, which was determined in the study.
- Maximum*: The maximum range for the PLI that was determined in the study.

If all mandatory fields are filled in, the new benchmarking study can then be saved on the right-hand side via "Save" or "Save and close".

After saving, it is possible to upload benchmarking studies (e.g. in pdf format). These can either be dragged into the framed area using Drag & Drop, or selected from the local memory by clicking Upload.

2.3.2 Edit Benchmarking study

Under *Documentation setup / Benchmarking studies* and then clicking the icon ✏ of the corresponding study, it can be edited. The view appears is almost identical to the view that opens when a new benchmarking study is created (see *Create new Benchmarking study*).

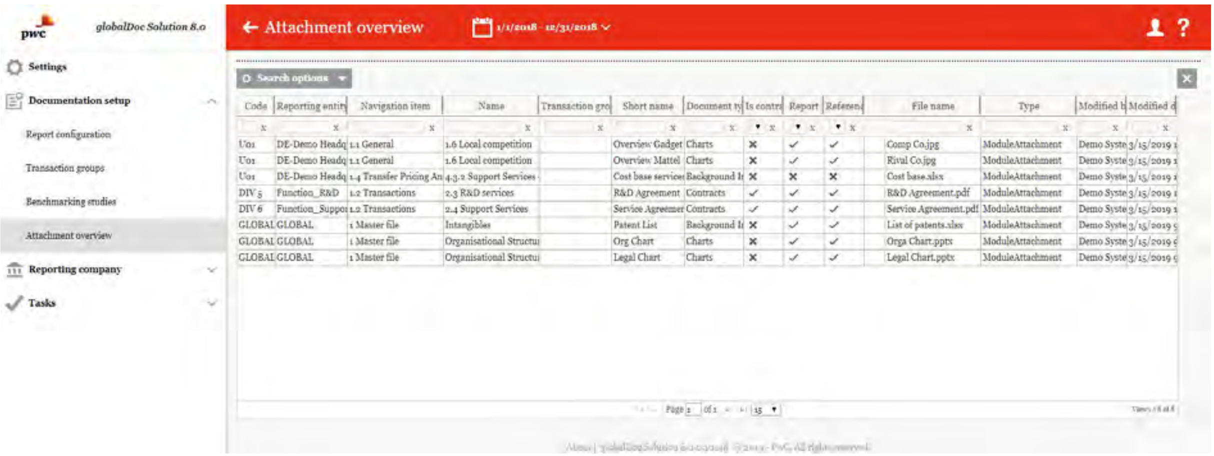


Screenshot 93: Edit Benchmarking study

The only difference is that in the editing view

2.4 Menu item Attachment overview

The menu item "Attachment overview" under *Settings / Documentation structure / Attachments overview* shows a table containing all attachments that have been received during the documentation.



Screenshot 94: Documentation setup - Attachment overview

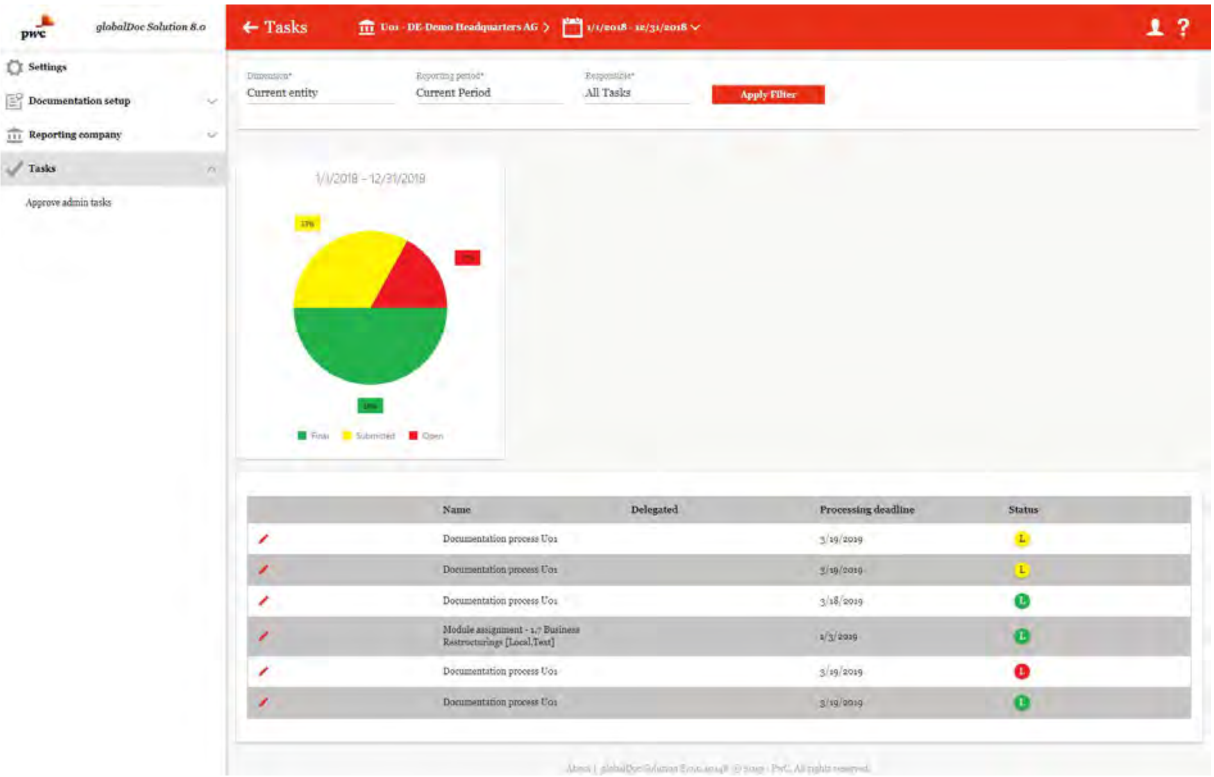
The button Search options can be used to search the attachments for self-created rules.

- Code: code for the entity
- Reporting company: displays the reporting company to which the attachment belongs
- Navigation item: shows the path of attachment location
- Name: Name of the specific navigation item (e.g. module)
- Transaction group: displays the corresponding transaction group if an attachment is uploaded to a transaction
- Short name: optional short name of the attachment
- Document type: type of attachment (e.g. contract, chart, invoice, etc.). This type can be defined under Settings/Administration/Document types.
- Contract / Report / Reference: Indicates whether it is a contract and/or a reference, and whether this appendix can be seen in the report. The icon ✕ indicates that the point does not apply, whereas the icon ✓ indicates that it does.
- File name: name of attachment, the file can be downloaded by clicking on the file name
- Type: shows the type of element (module or transaction) to which the attachment has been uploaded
- Modified by / Modified on: specifies by whom and when an attachment was edited

3. Program item Tasks

3.1 Overview

By clicking on the program item "*Tasks*", an overview of all completed tasks and tasks to be completed will be displayed.



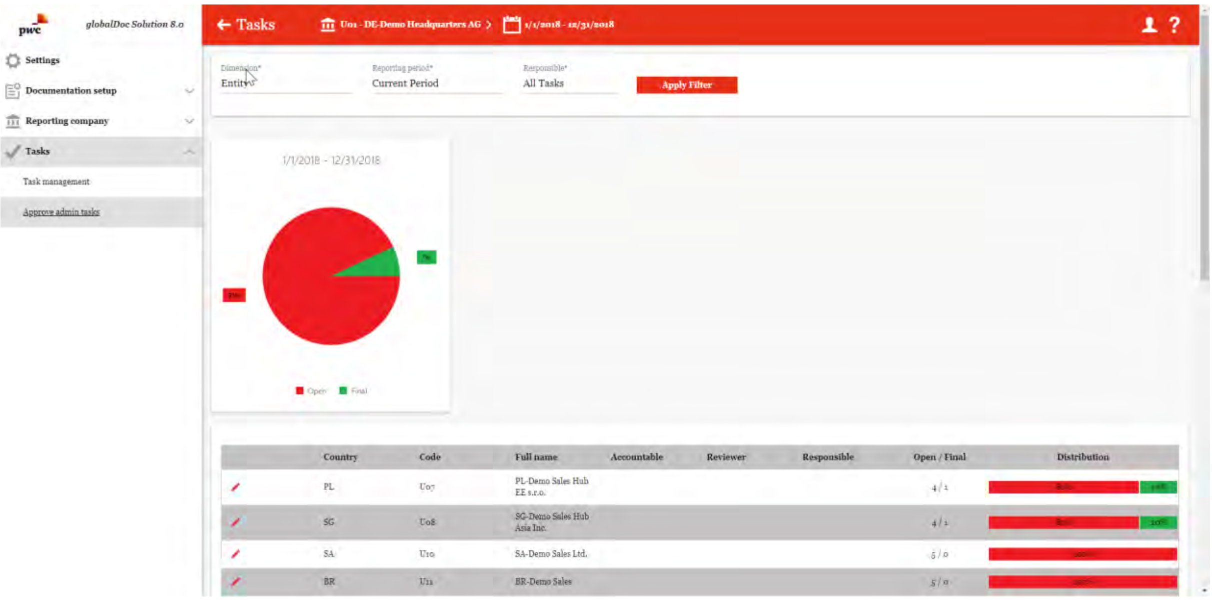
Screenshot 95: Overview Tasks current entity

The filters provided in the upper part of the section can be used to sort the displayed tasks. The selection field "Dimension" allows for filtering tasks based on either the currently selected company ("Current company"), individual countries ("Country") or the whole MNE ("Company"). Similarly, the filter "Reporting Period*", offers the possibility to choose between tasks for the current period or for all periods. Under "Responsible*", it is possible to filter for tasks that are assigned to oneself or whether all tasks should be shown. A click on the icon Apply Filter will trigger the application of the selected filters.

After the required filter is selected, all tasks are shown in tabular format under the pie chart. Depending on the chosen dimension, all tasks are listed according to different criteria (such as the reporting period, the country abbreviation, the code or the respective Accountable, Review und Responsible).

In the screenshot above, "Current entity" was selected as dimension, "current period" was selected as the reporting period and "All tasks" was selected under Responsible. The right column indicates the status of the task using colors: Open (red), in progress (yellow) and final (green). Depending on whether the selected company or all companies have been chosen as dimension, the presentation of the task status varies. When only one company is selected, the letters in the right column ("Status") refer to the type of module to be finalized. A distinction is made between local (L), divisional (D) and global (G) modules.

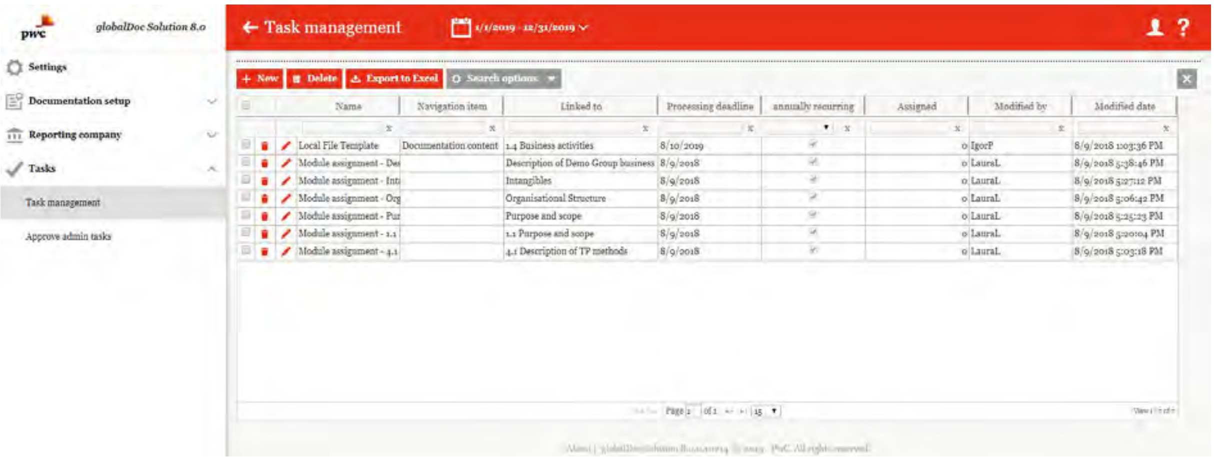
If more than one company has been selected (i.e. "Company" or "Country") as displayed in the following screenshot, the current status of processing (e.g. how many tasks are still unprocessed or in progress) is displayed in the "Distribution" column. In the column next to it ("Open / In progress / Final") you can also see exactly how many tasks are still open, in progress or final.



Screenshot 96: Overview Tasks current entity

3.2 Menu item Task management

Via the menu item "Task management" the following overview table is available:

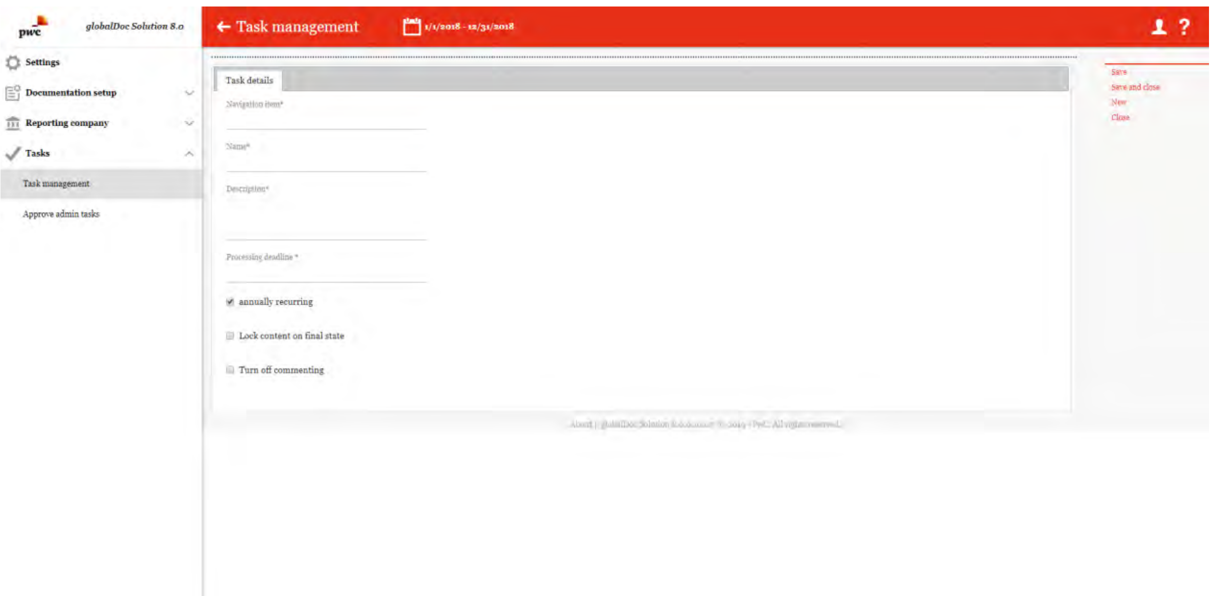


Screenshot 97: Task management overview table

TIP: The administrator is only shown the subitem "Task management" if he has local, divisional or global access rights in addition to his administrator-rights.

New tasks can be created using the icon **+ New**.

In the opening window, the tab "Task detail be displayed (see following screenshot).

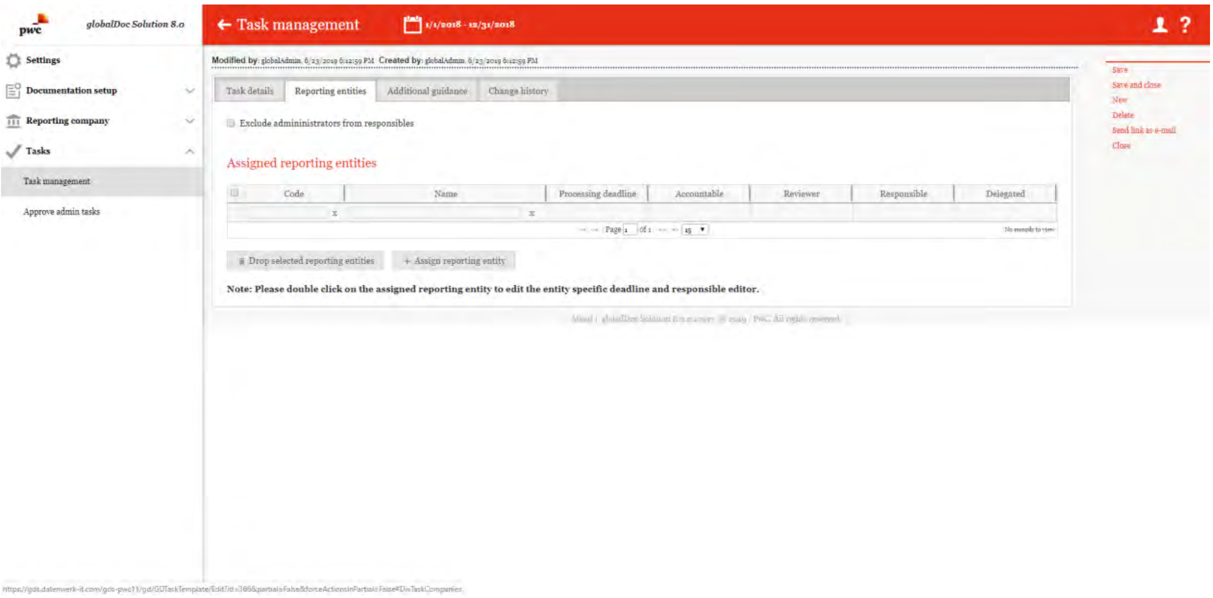


Screenshot 98: Create a new Task

At this point, the navigation element, the name, a task description as well as the processing deadline can be defined.

After saving, three new tabs are displayed: ”Reporting entities”, "Additional guidance" and "Change history".

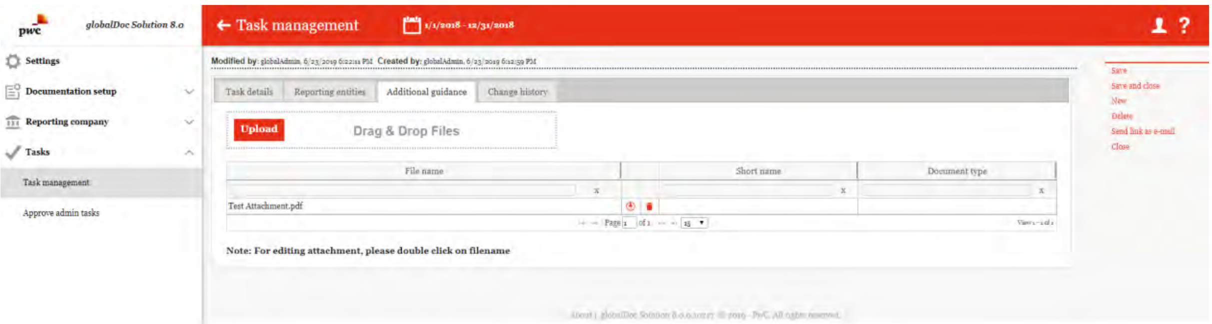
The tab "Reporting entities" shows in tabular form, to which reporting entities the task has been assigned. Via the buttons "Drop selected reporting entities" and "Assign reporting entity" it is possible to remove already assigned reporting entities or to assign the task to new reporting entities.



Screenshot 99: Reporting entities

The tab "Additional guidance" allows to upload files. All uploaded files are listed in a table and can be downloaded or deleted if necessary.

TIP: Under "Additional guidance", documents such as presentations or guidelines can be uploaded to support the assignee working on the task by conveying what exactly should be done. These files are <u>not</u> attached to a report.

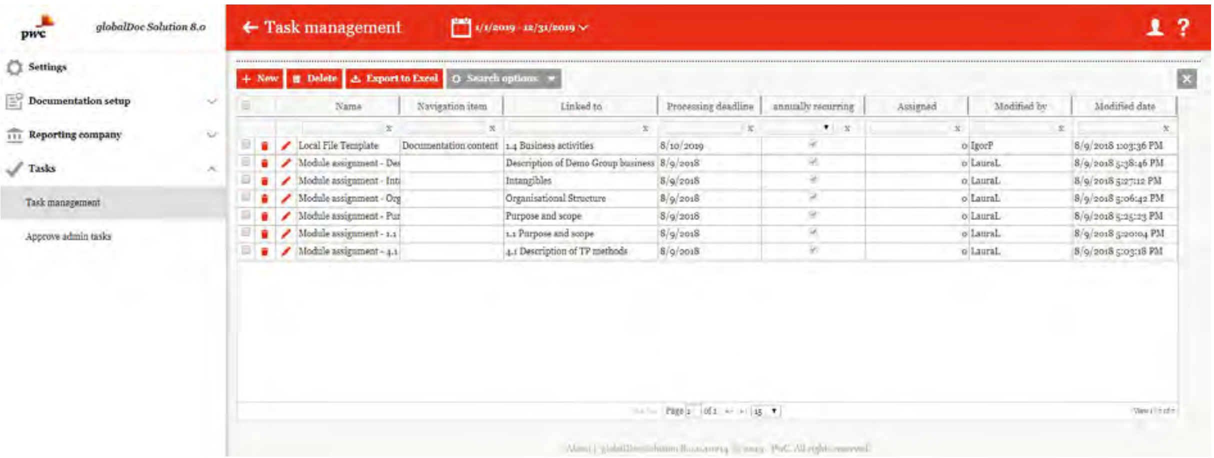


Screenshot 100: Additional guidance

The tab "Change logs" allows the administrator to track changes (e.g. new status, changed deadline, assignment of new reporting entities, etc.) of the task.

Screenshot 101: Change logs

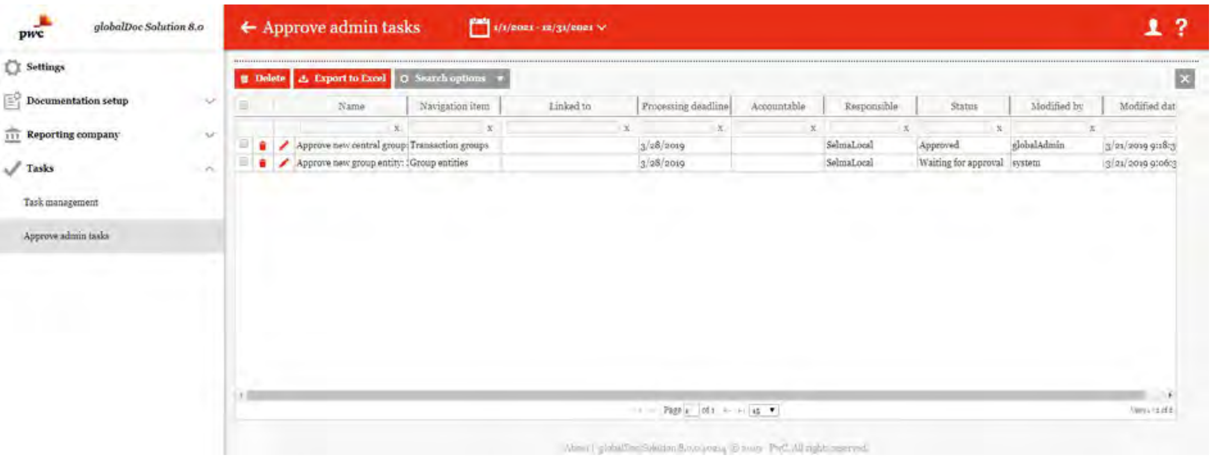
The created tasks are listed under the navigation item "Task management" and can be modified by clicking on the icon or may be deleted by clicking on the -icon. The search function Search options enables the user to search for tasks according to self-created rules. Finally, the resulting list of tasks can then be exported as an Excel table by clicking on the icon Export to Excel.



Screenshot 102: Overview Tasks

3.3 Menu item Approve Admin Tasks

The menu item" Approve Admin Tasks" provides a list of system-generated tasks for a selected reporting period. Transaction groups and group entities (e.g. transaction partners) that have been requested by the user but are not yet created in *globalDoc Solution*® are displayed. In addition, uploaded reports that have been corrected outside of *globalDoc Solution*® are listed. Only the System administrator has the right to access this menu item and to approve or reject the listed queries or uploaded reports.



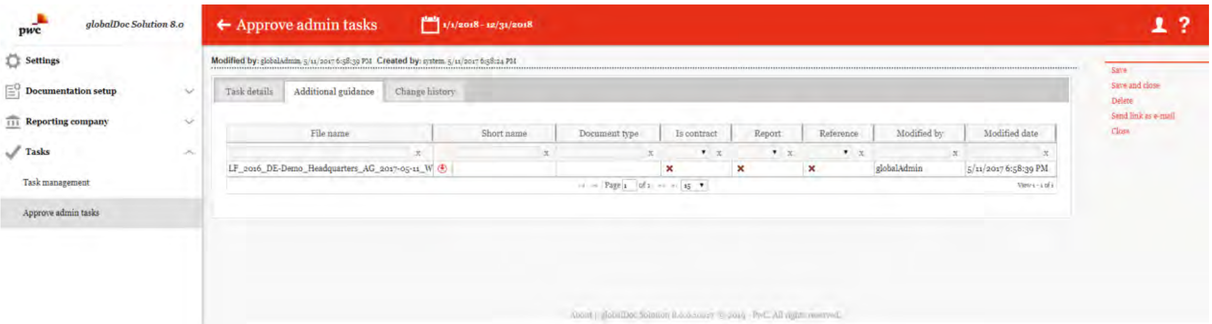
Screenshot 103: Overview of "Approve Admin Tasks"

The System administrator gains access to further detailed information on the selected task by clicking on the icon .

The name, the description, the processing deadline and the navigation item are generated by the system and do not require any further input.

Depending on the task status, the options "Approve" and "Reopen" are shown in the command column on the right side. The Admin can select the respective option according to his or her personal assessment.

If a document is linked to the selected task or the task has been generated by the system, the tab "Additional guidance" will be displayed. Under this tab, any information specific to the subject, if present, is stored in the system.



Screenshot 104: Detail view of "Additional guidance"

The "Change logs" tab is generated by the system and is used to better track the task and change history by listing the individual intermediate steps of task processing.

Screenshot 105: Detail view of "Change logs"

Tasks are deleted in the same way as it is done in other sections in *globalDoc Solution*®. By selecting the icon, the selected task will be deleted. By clicking on the -fields, several tasks can be selected and deleted by clicking the **Delete** button.

Table of Screenshots

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