globalDoc Solution®

Administration manual

Version 8.2

Fachverlag Moderne Wirtschaft GmbH

Contents

Legal matters

Release Notes

In the eighth generation of *globalDoc Solution*®, 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 before;
- Transaction volumes are not transferred when an existing reporting period is copied to create a new period;
- Improved e-mail function: Users are now informed once a day about all tasks to be done, instead of receiving one e-mail per action;
- Automated allocation of predefined modules[2] belonging to a certain transaction group, as soon as transaction volumes 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 Solution*® was not used yet.
- With version 8.2, a deadline management system has been introduced. It allows to manage statutory or individual deadlines, for e.g. the preparation of a documenta-tion or the filing of the documentation, per country or company. Deadlines can be implemented manually or by using uploading data downloads from tools such as TP123.
- Improvement of the definition and usage of variables. For the request of infor-mation in questionnaires, i.e. via variables, the status of the information request can now be managed using a Task Management. Variables are filled by the local User once and then are implemented into the documentation.

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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 Solution*® to describe placeholders for the individual text modules.

- There now is the option to download and/or upload the field configuration of the individual settings made to the naming of user interface elements.

- Differentiation between the possibility to assign “print rights” to a user and the possibility that the right to print for a certain report must be requested by the user from the administrator.

- Modules can be set up on a “Local” level, but configured in such a way that they can only be edited centrally.

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

Preliminary remark

In addition to the explanations in the user manual, this *globalDoc Solution®* ("globalDoc") 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*, the separate *globalDoc* 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.

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

Figure 1: globalDoc program points

1. *Program item Settings*

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

- Menu item "**Administration**", in which the basic *globalDoc* 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 figure below.

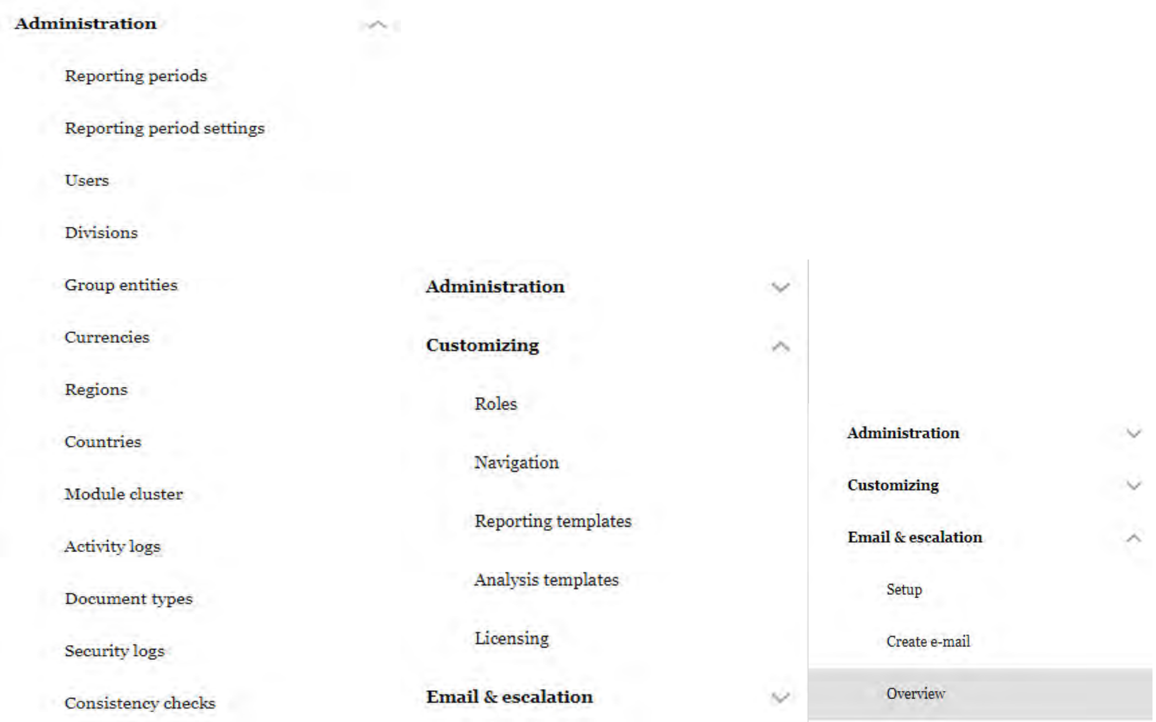


Figure 2: Program point Settings incl. sub-menus

1.1 Brief overview

1.1.1 Menu item Administration

Navigation point	Brief description
Reporting periods	Reporting periods are managed by this navigation point. New reporting periods can be created and existing ones can be 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 and existing ones can be 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, the master data of group companies 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 added, deleted, and edited here. For further information please refer to chapter: „*Currencies*“.

Navigation point	Brief description
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* 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:

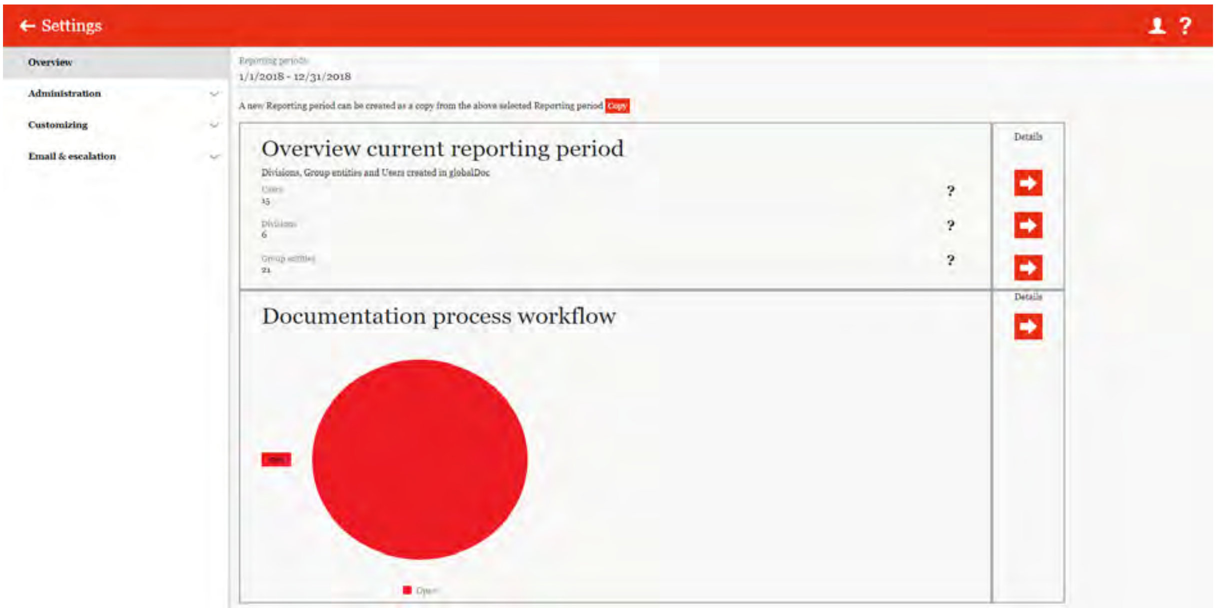


Figure 3: Settings Overview

On this overview page, you can 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 selected 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 „Users“ (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).

Figure 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:

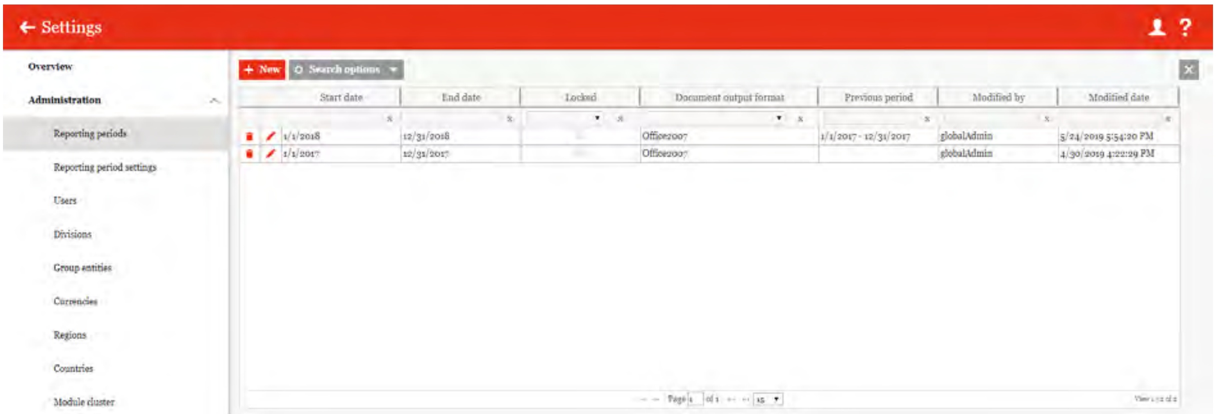


Figure 5: Overview of the reporting periods

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***

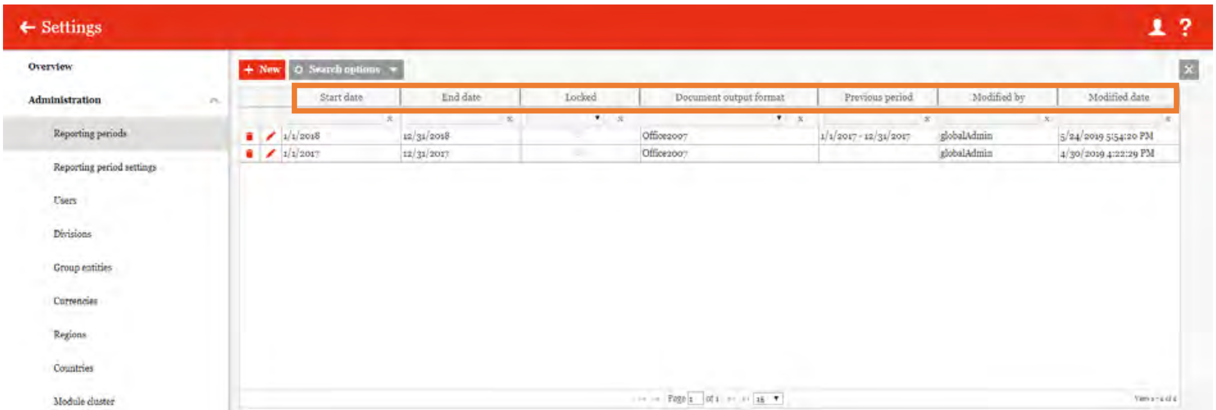


Figure 6: Sorting of the reporting periods

Via the icon, the selected 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	*Creates a new reporting period.*
Search options	*Configures the search: „Simple search“, „Extended search“ or “Select columns” are available. It is also possible to refresh the search here.*
×	*Closes the administration view and forwards the user to the landing page of globalDoc.*

1.3.1.1 *Creating a reporting period for the first time in globalDoc*

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**“ and „**Export access rights and module distribution**“.

NOTE: 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*“).

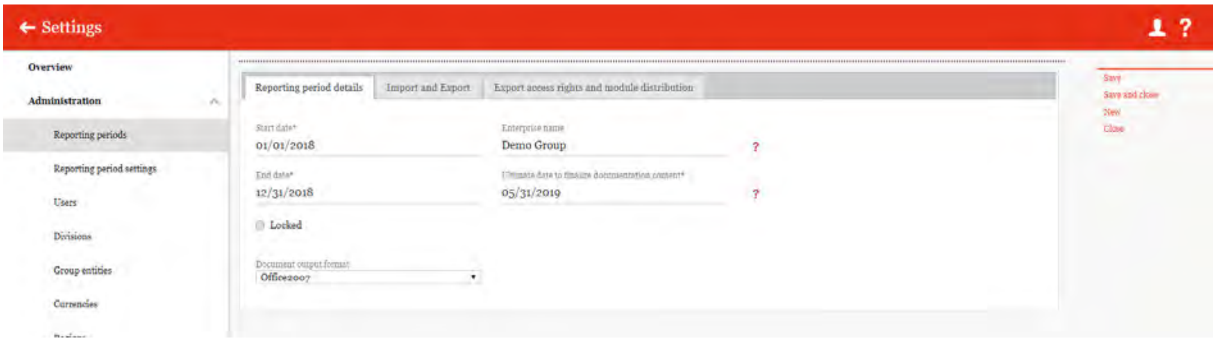


Figure 7: Create a new reporting period

The creation of a new reporting period gives the option to enter 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 of the enterprise to possibly be used as variable within 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 refer to following figure).

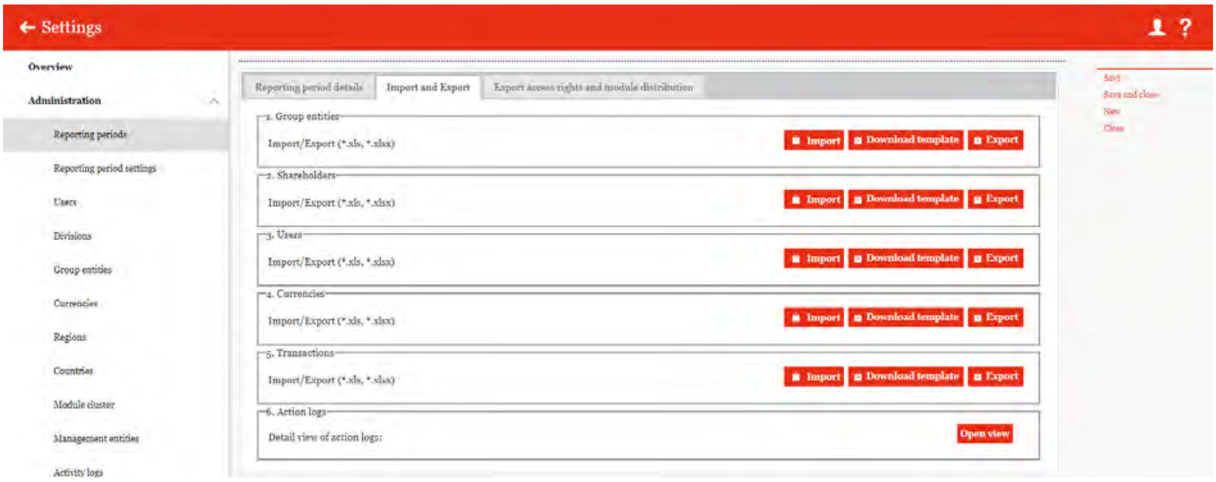


Figure 8: Create new reporting period - Import & Export

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

NOTE: Using the navigation item "**Activity logs**", the system administrator can trace any changes made in *globalDoc*. It can be seen, which user performed which type of action on which object (module, reporting company, reporting period). Please refer to to the chapter *Activity logs*.

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 figure).

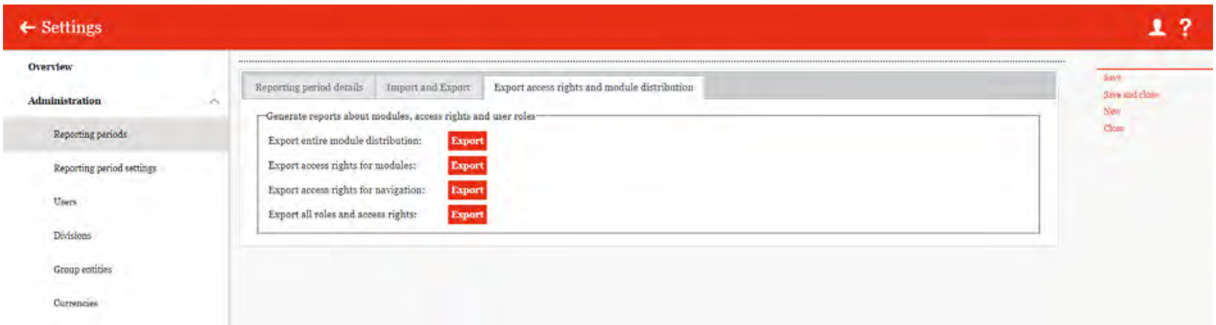


Figure 9: Create new reporting period - Export access rights and module distribution

1.3.1.2 *Create a copy of an existing reporting period*

Under "*Settings/Administration/Reporting periods*" and by clicking on of the corresponding period, the detailed view of the selected reporting period is opened (see following figure). The system administrator can copy the selected reporting period using the "**Create Copy**" selection box in the command column on the right side. 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 left table of the lower area of the 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. 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 side shows the reporting companies and *globalDoc*-divisions that are already assigned to the newly created reporting period.

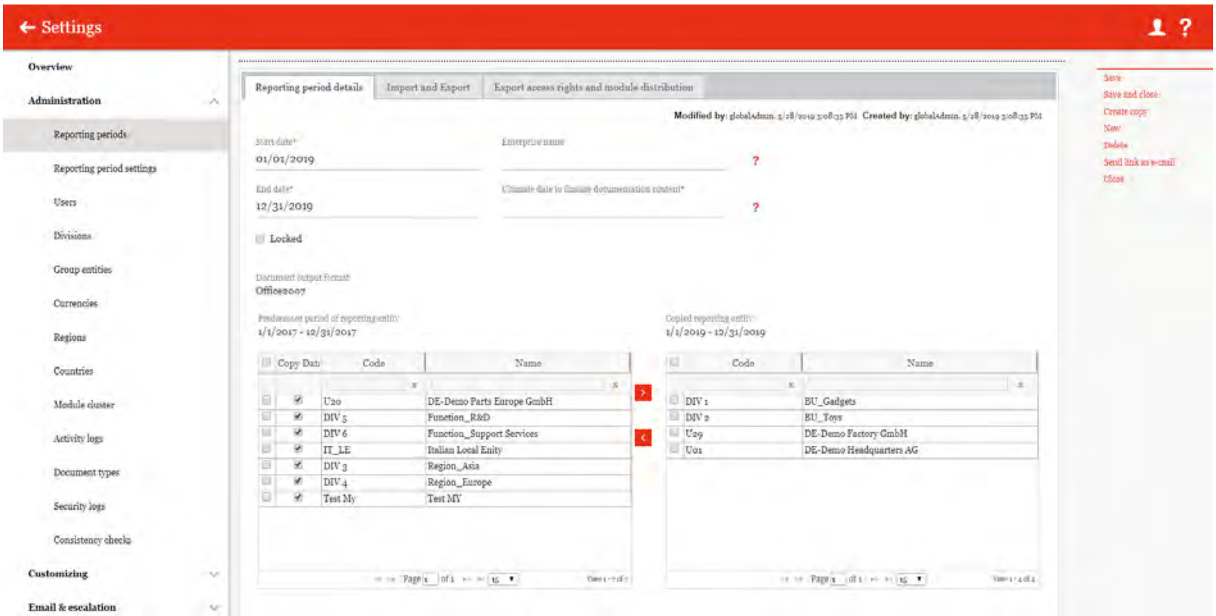


Figure 10: Reporting period details – Create copy

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

NOTE: If you want to copy all reporting companies and divisions, you can check the box in the header of the table (see figure below). It is important to make sure that all desired companies and *globalDoc*-divisions to be copied are selected. The table on the left side by default only shows 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.

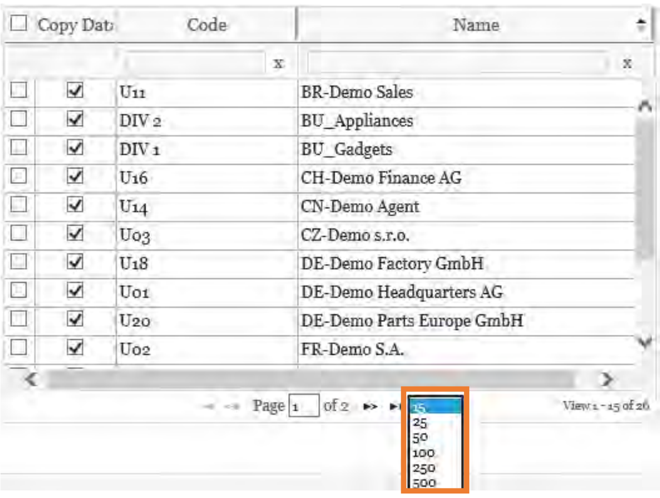


Figure 11: Selection of the number of displayed companies and divisions

By clicking the icon, the selected companies and *globalDoc*-divisions are copied into the new reporting period (right table). The modules set as "*Global*" 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 (localized) documentation content is to be transferred, but only unfilled modules shall be available 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 modules set as "*Global*" 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 figure).

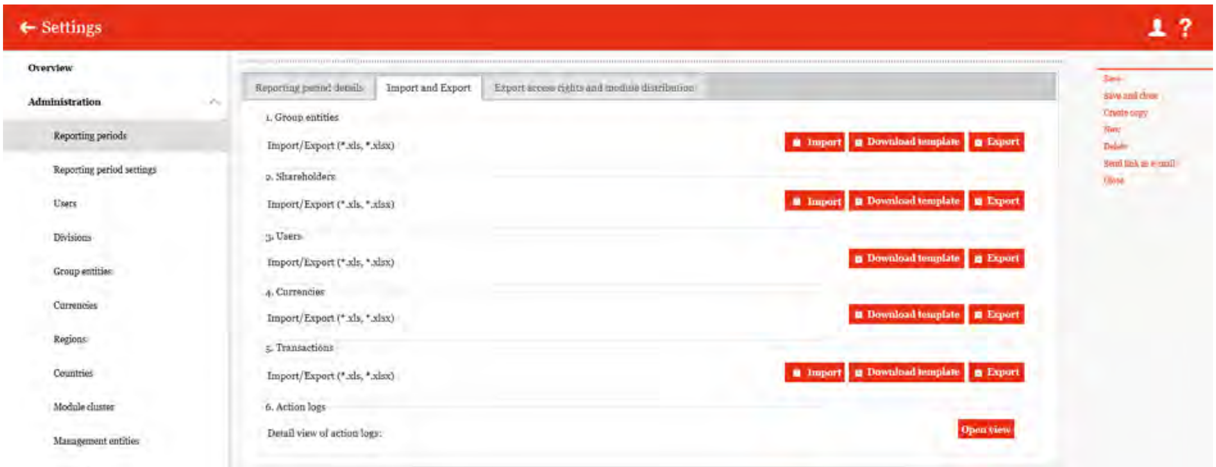


Figure 12: Detail view of Reporting periods - Import and Export

To import data into *globalDoc*, first, an Excel template should be downloaded via the selection field **Download template**. 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* 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 figure).

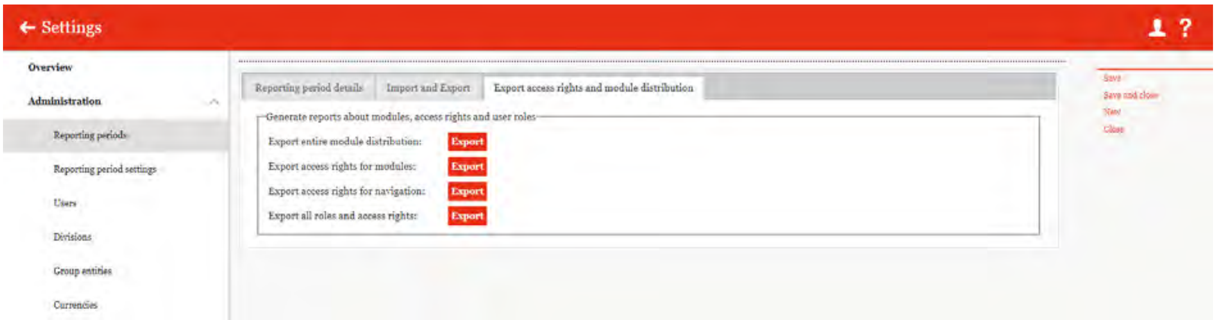


Figure 13: Detail view of Reporting periods – Access rights

1.3.1.4 *Lock Reporting period*

Under "*Settings/Administration/Reporting periods*", selecting the icon will open the detailed view of the selected reporting period. By selecting the "**Locked**" option, the reporting period will be closed, i.e., the affected data can no longer be changed (see the following figure). The System administrator can reopen a locked reporting period for editing at any time by unchecking the "**Locked**" check box.

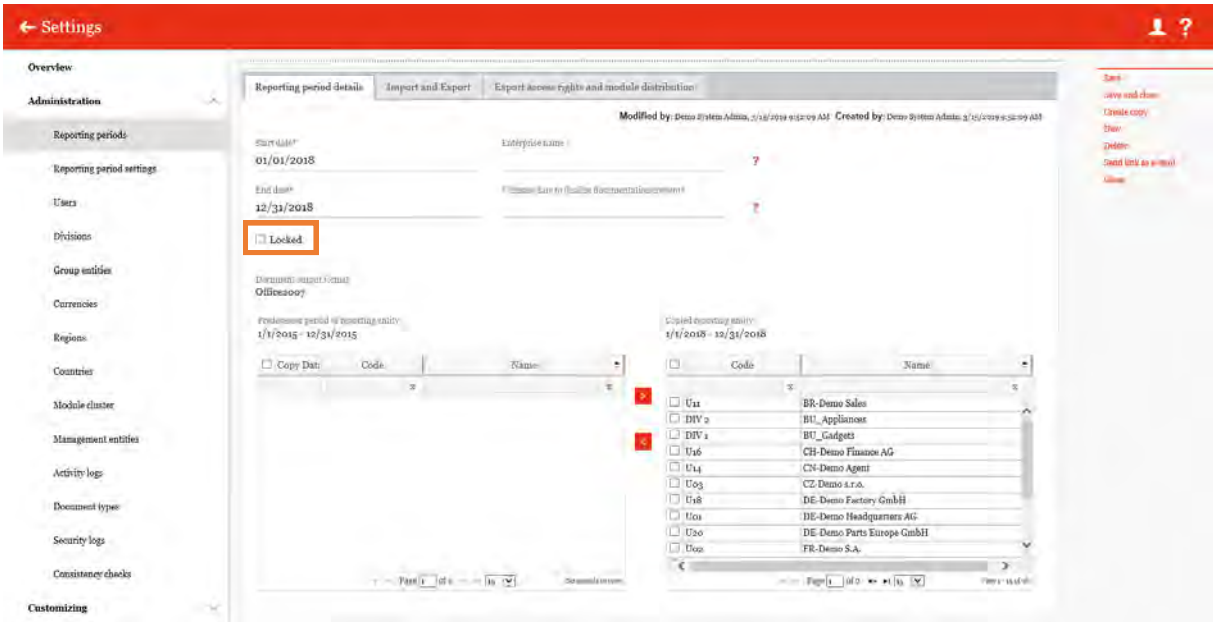


Figure 14: Lock reporting period

NOTE: 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.

NOTE: Delegating a 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"**.

NOTE: 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 figure):

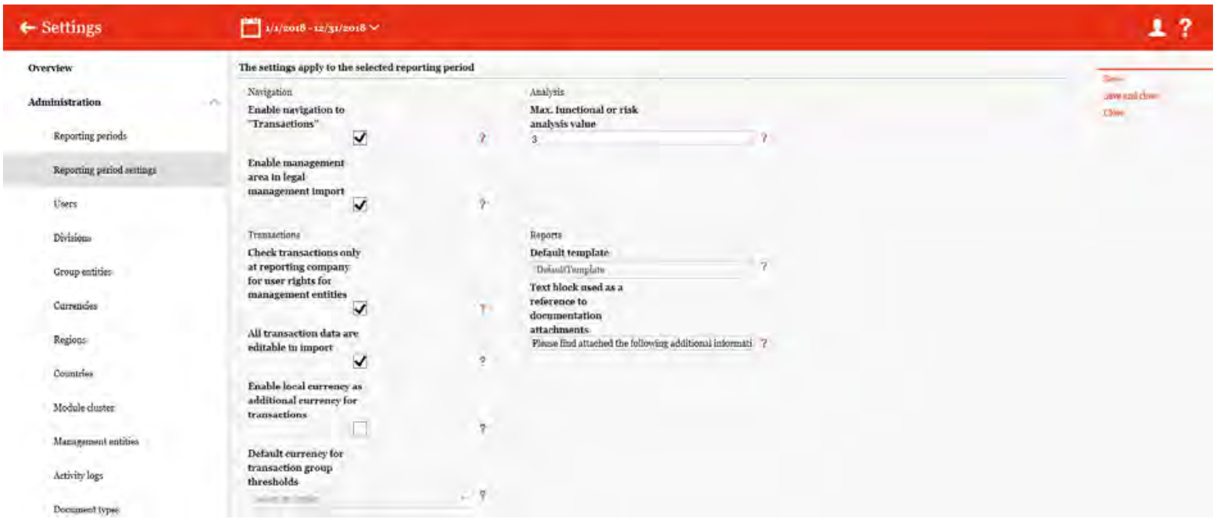


Figure 15: Reporting period settings

- **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*, 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* 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" by clicking on the button/ of 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 appendix of a report.

1.3.3 Users

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

Via "*Settings/Administration/Users*" it is possible to access an overview page of the already created users:

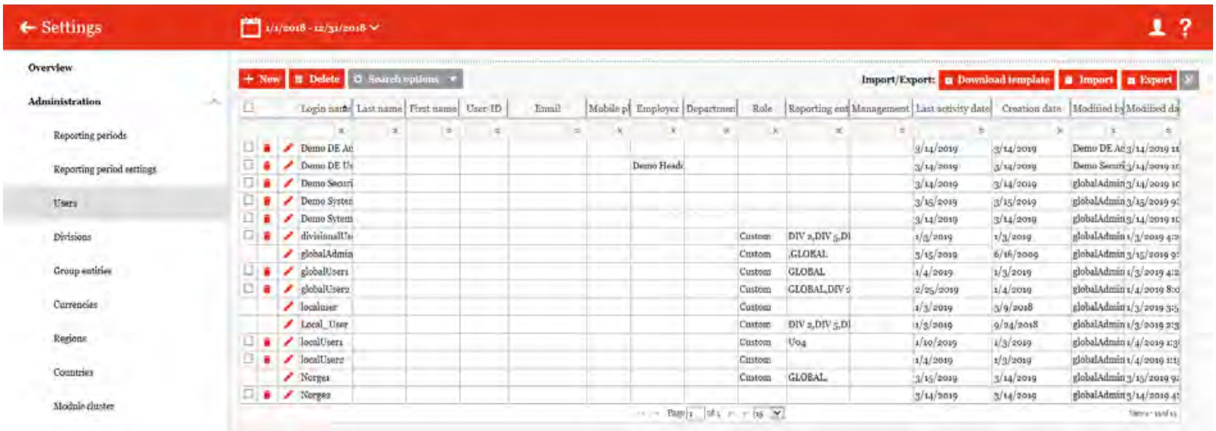


Figure 16: Overview of created Users

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 figure):

- ***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***

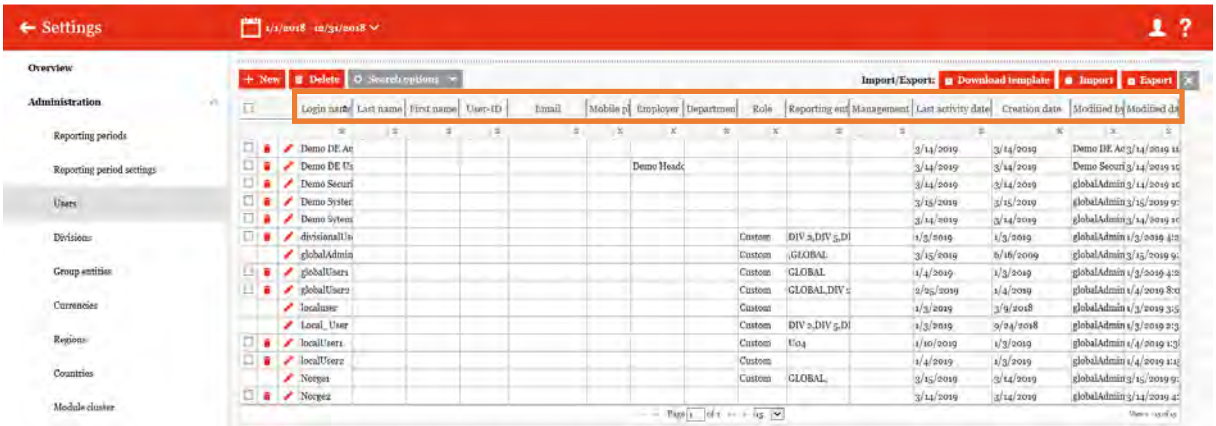


Figure 17: Sorting of Users

NOTE: The search can be narrowed by defining search terms in the table headers market above. The entry of a value (and the search) is processed upon pressing ENTER.

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* 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.

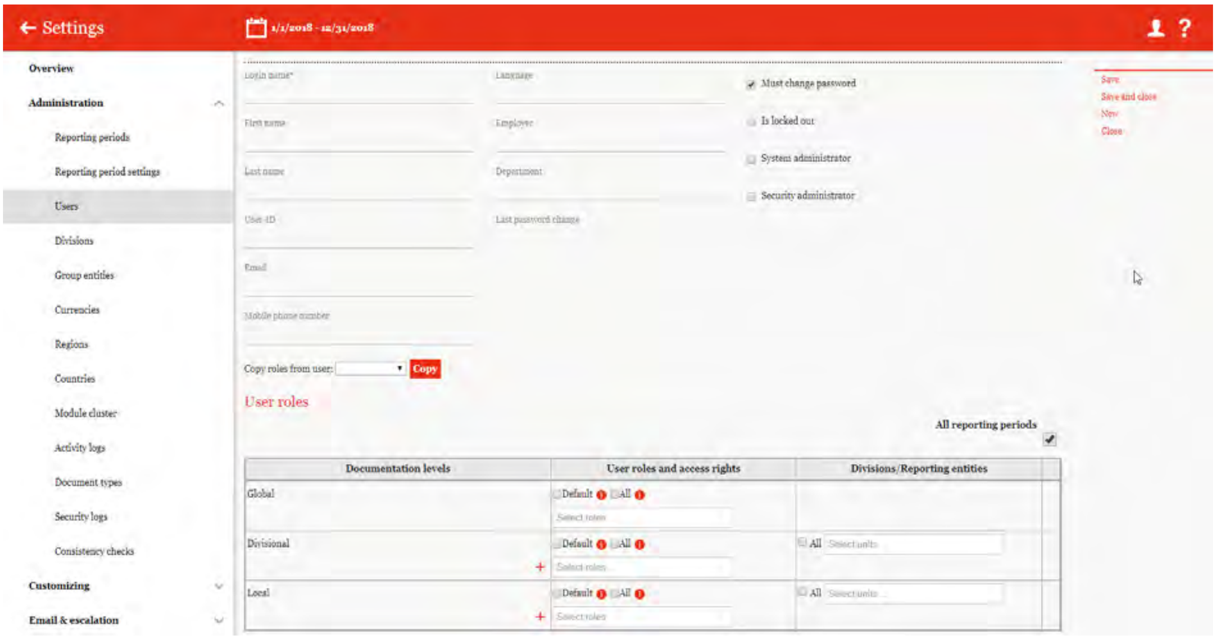


Figure 18: Create new user

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]

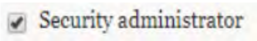
  NOTE: Here it is recommended to add a user-specific e-mail address so the user can receive reminder e-mails for possible tasks.
- **Mobile phone number:** optional specification of the user's mobile phone number[4]
- **Language:** optional specification of the user's preferred language. The navigation 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*. 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.

[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.



The Security administrator has access to the navigation item "Users" and the right to add, manage and delete users.

Under this section, user rights can be copied to other users by selecting the user user of which the user rights shall be copied, which allows not necessary to edit user rights manually.

To import several users simultaneously into *globalDoc*, 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 re-uploads 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:

Figure 19: 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.

NOTE: Users who are not granted any roles or rights cannot log in to *globalDoc*. 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).

NOTE: 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 ...] or [Select units ...], 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 modules on a Global, Divisional or Local level.
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 on a Global, Divisional or Local level.
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 on a Global, Divisional and Local 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.

NOTE: 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.

If set accordingly under „*Request for print*“, the user cannot print a final report himself, but can request the report output from the administrator administrator ("Request for Print"), if the option "Standard" is selected.

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

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:

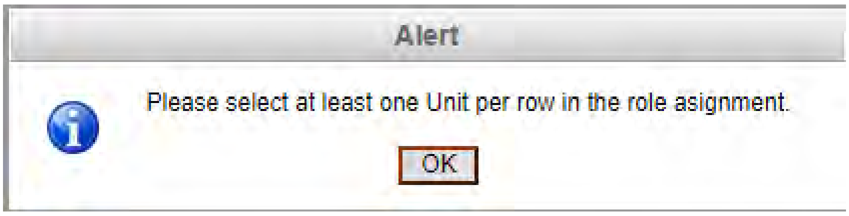


Figure 20: Create new user - Role distribution warning message

1.3.3.3 New roles introduced 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*.

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:

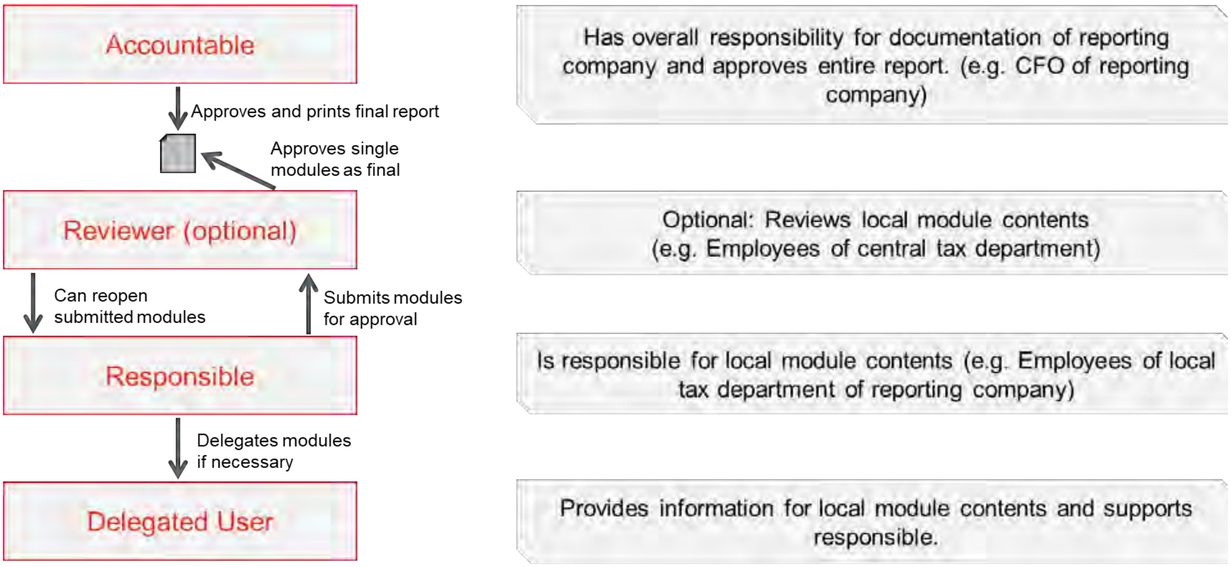


Figure 21: New roles introduced in version 8.0

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 (access via “*Settings/Administration/Group entities*” and then clicking the button 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.

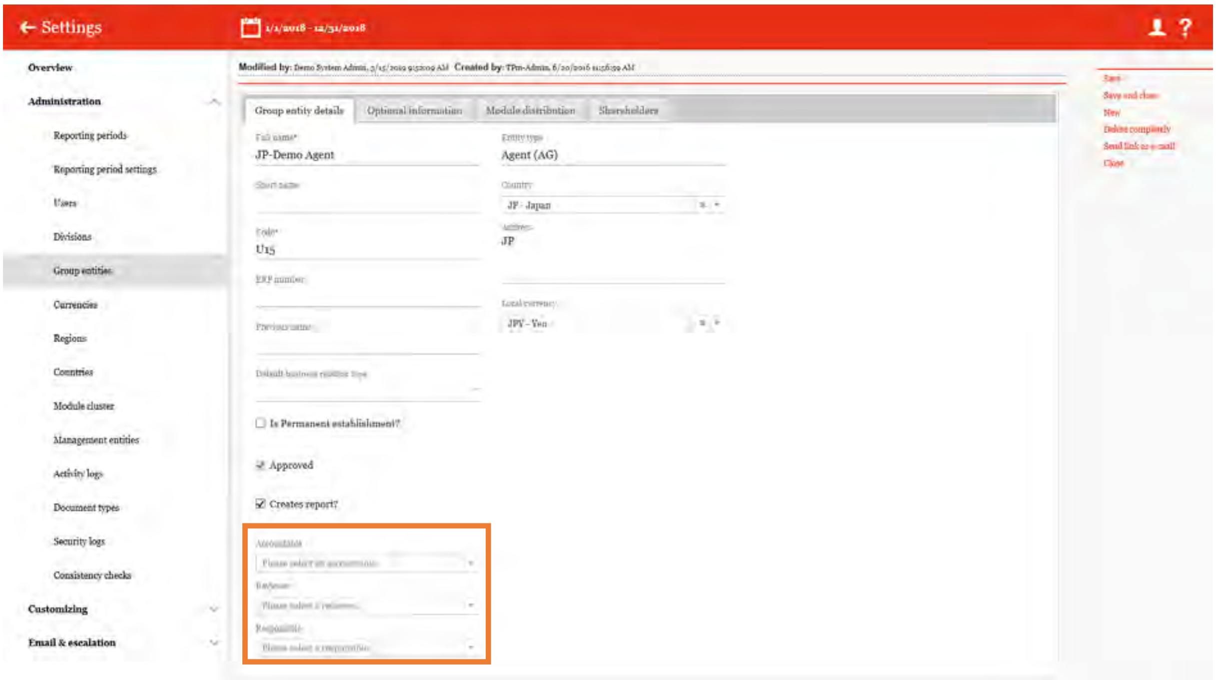


Figure 22: Selection of Accountable, Reviewer und Responsible

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

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

A Delegated-user (Delegate) can be assigned later by any user having at least the Responsible user role.

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* 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 (see figure below). 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* for the first time using the new password.

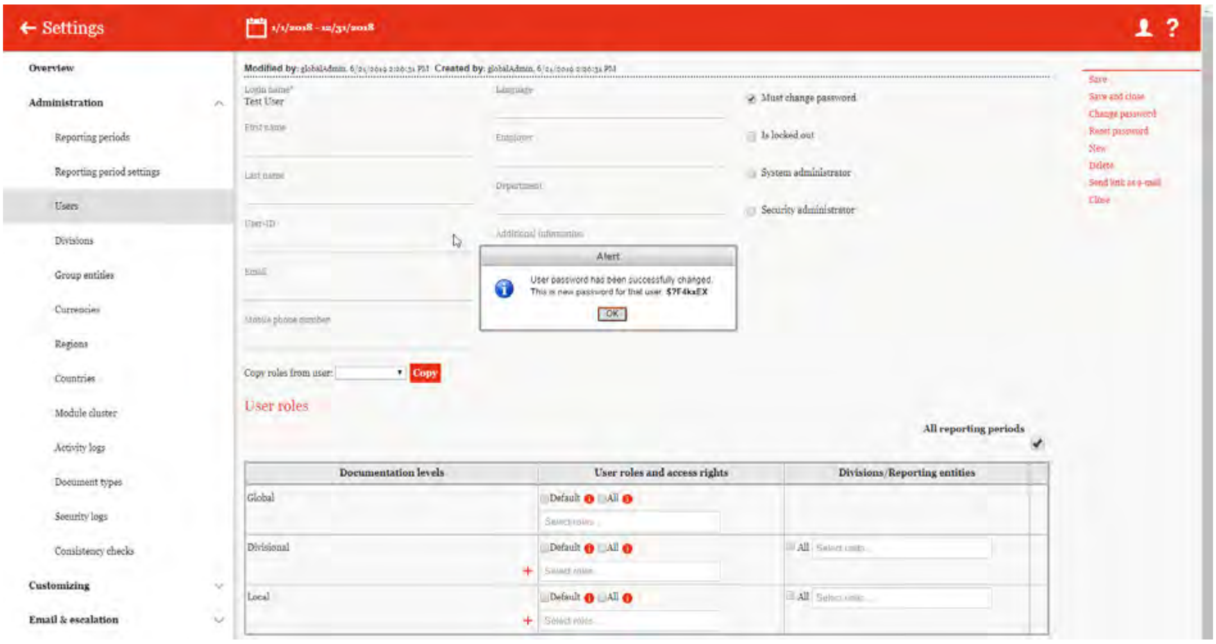


Figure 23: Create new User - Password for new user

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 button .

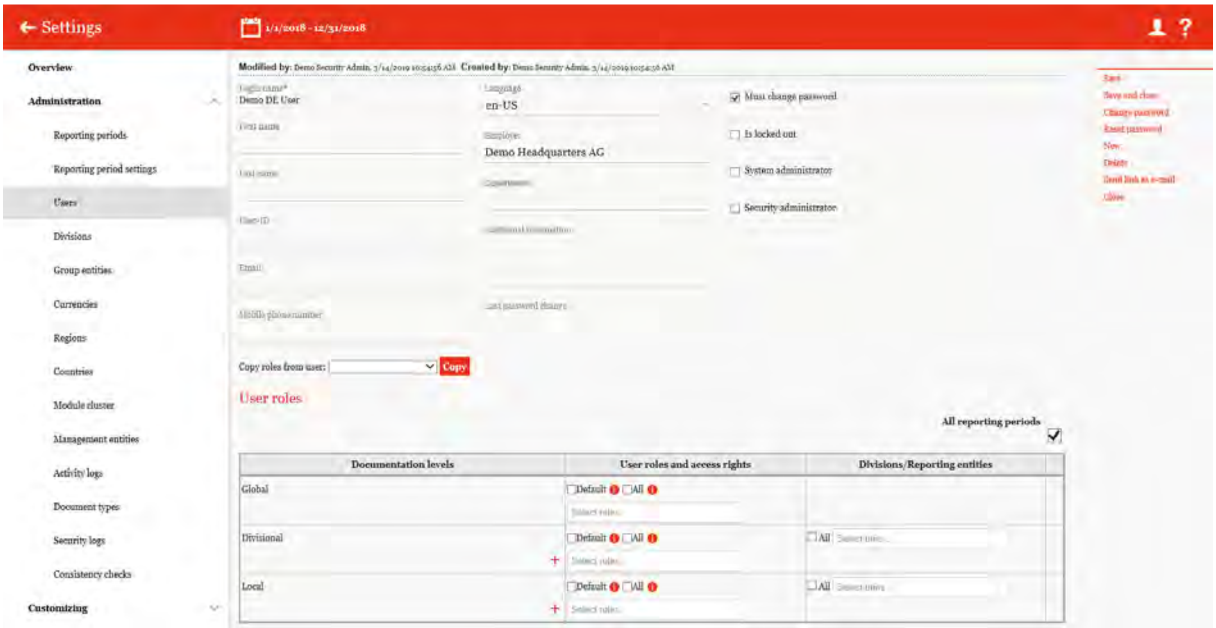


Figure 24: Edit existing user

In this view, the user’s information entered when creating the user and assigned user roles can be edited (see “*Create new User*”).

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 the button .

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 (Settings/Email & escalation/Settings) is activated or not.

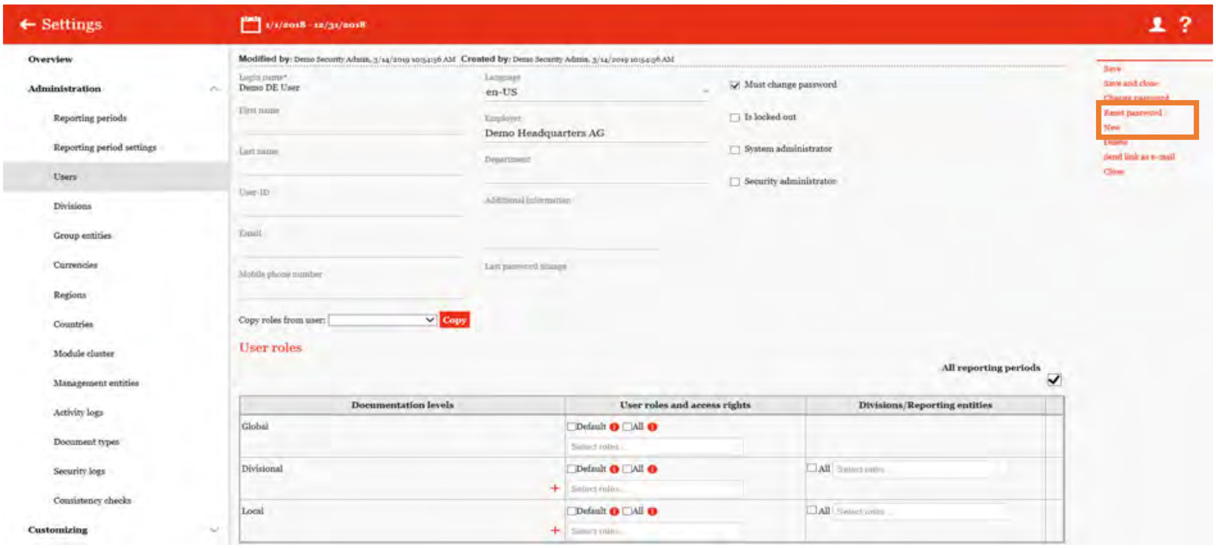


Figure 25: Edit existing User – Reset password

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* with the new password received.

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 the button .

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 current 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 the option to use the "Single-Sign-On"-mechanism without an additional password or a "2-factor-authentication"-mechanism. By (*globalDoc*) default, the chosen password must be at least eight characters long, including upper and lower case letters, digits and at least one special character.

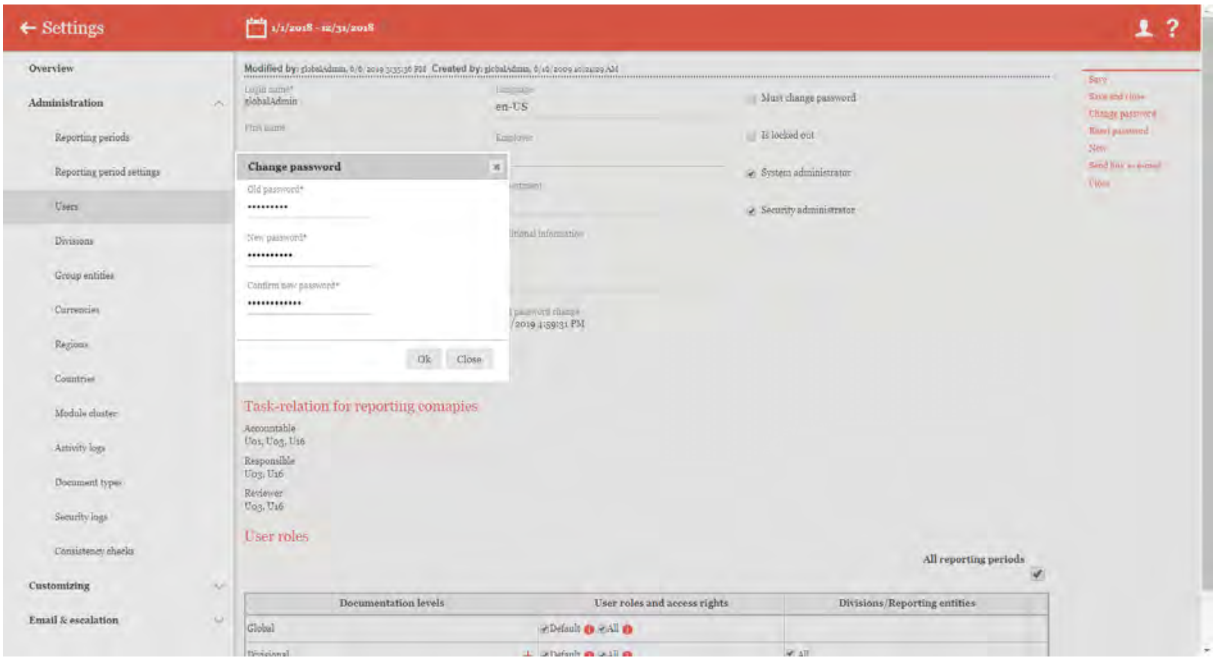


Figure 26: Edit existing User - Change password

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 .

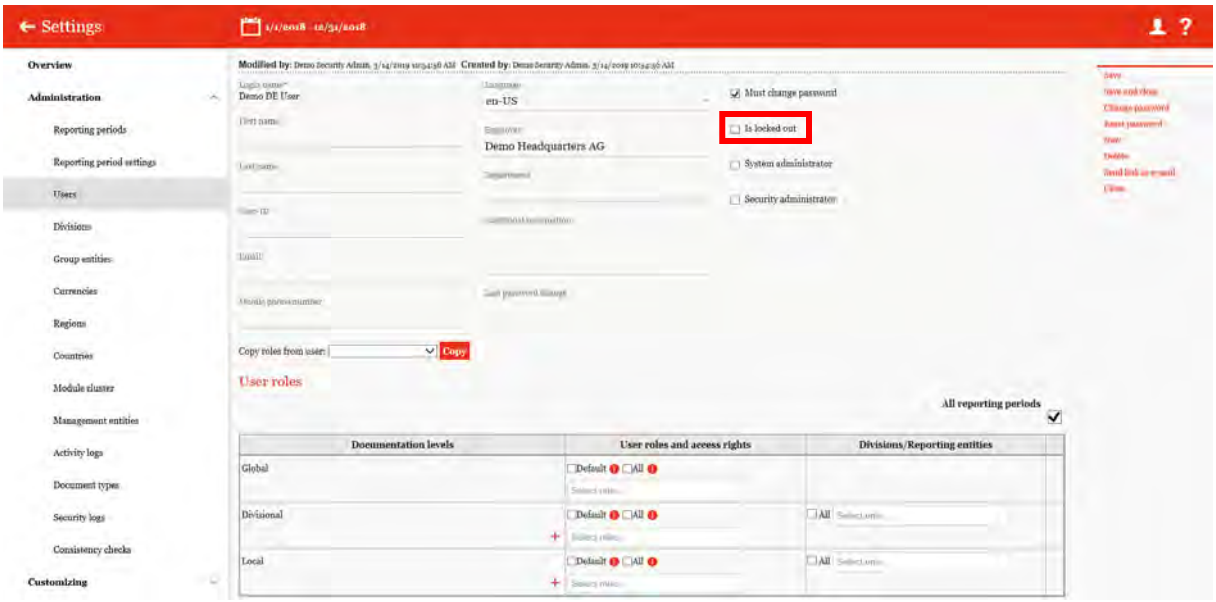


Figure 27: Locking Users

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

NOTE: If the user enters an incorrect password several times, the user will automatically be locked out by the system In this case, a security-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 clicking the button .

NOTE: If the System administrator wants to delete more than one user, it is possible to select the respective users and remove them by clicking the button 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* 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 and 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.

NOTE: Divisions must be created before creating divisional modules.

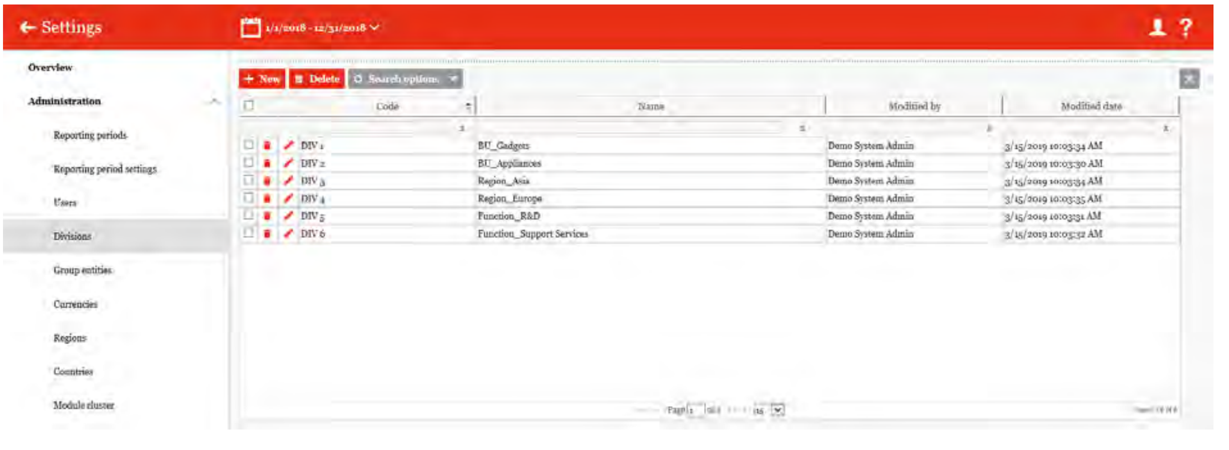


Figure 28: Overview of the globalDoc Solution® Divisions (Example)

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 clicking the button + New (see following figure).

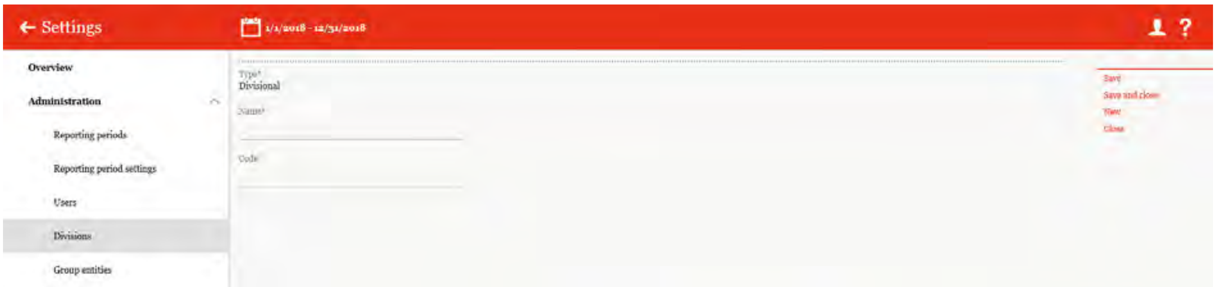


Figure 29: Creation of new Divisions

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 the button .

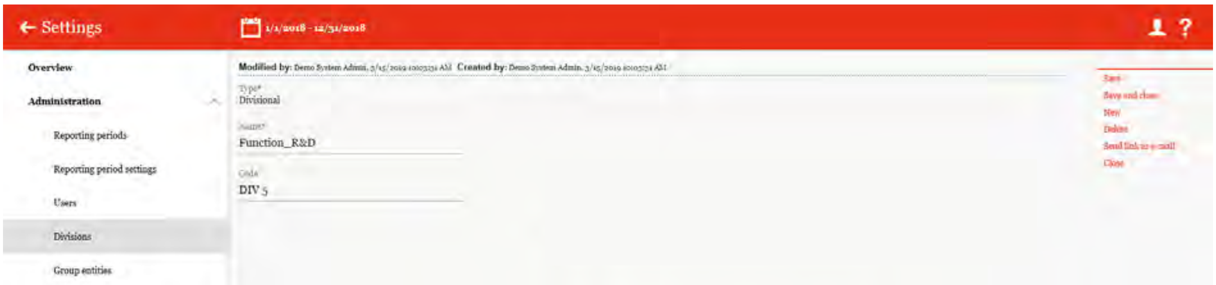


Figure 30: Detail view Divisions

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 figure below) can be opened via *“Settings/Administration/Group entities”*, and shows all group entities that have already been created.

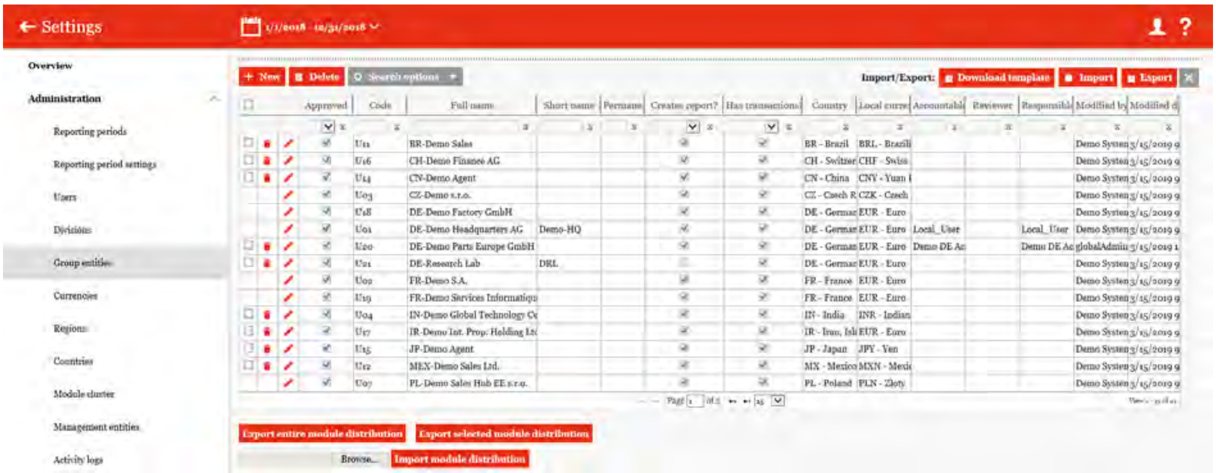


Figure 31: Overview group entities

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*. 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* 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**".

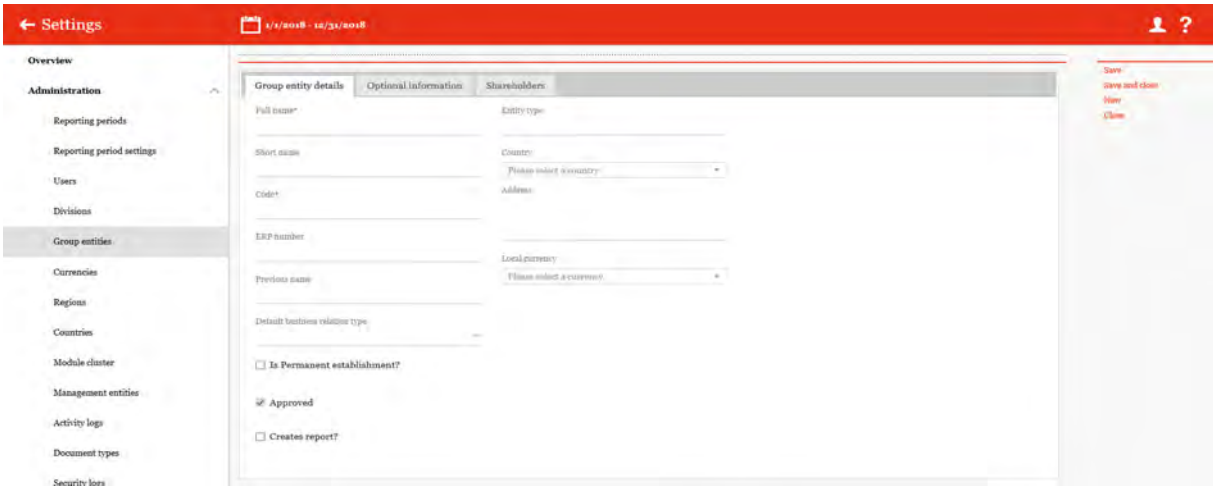


Figure 32: Create new Group entities - Group entity details

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

NOTE: 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**".

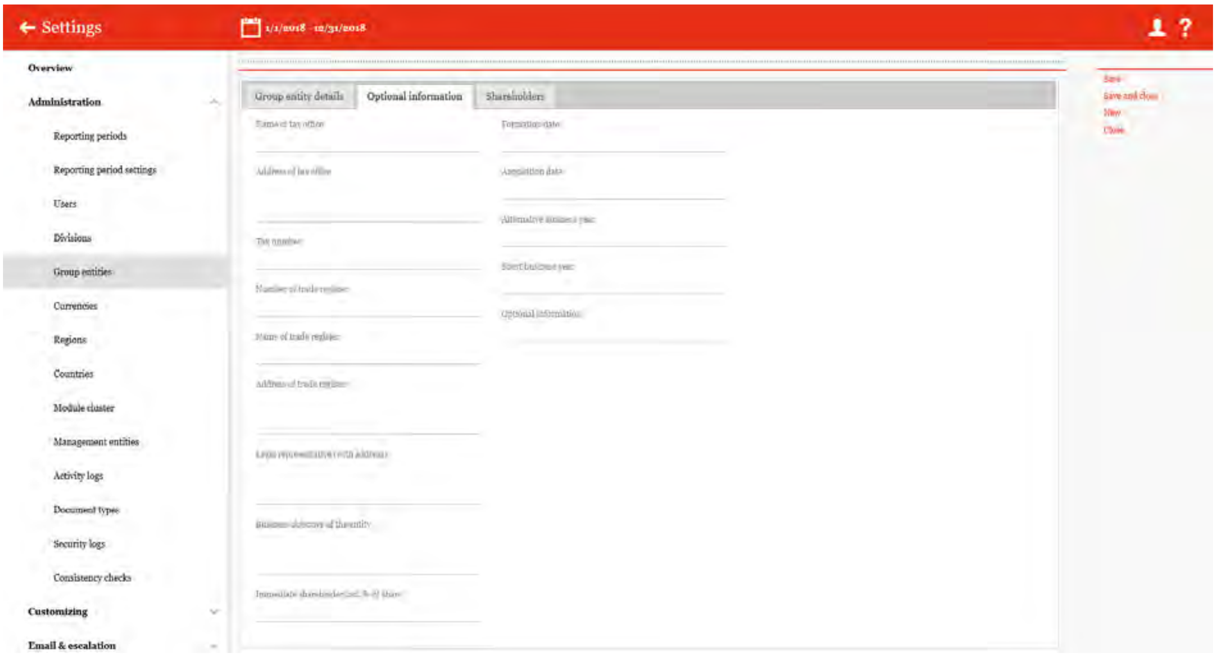


Figure 33: Create new Group entities – Optional information

NOTE: 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*, the "**Creates report?**" selection box under "**Group entity details**" tab must be activated. This transforms the group entity into a reporting company. There has to be an Accountable-user assigned to each 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.

After pressing "Add", the new shareholder will be displayed in a table in the lower part of the window.

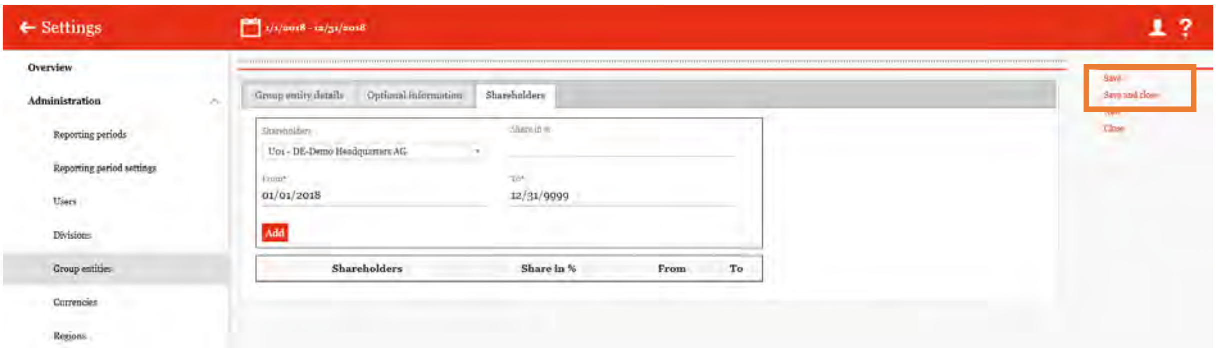


Figure 34: Create new Group entities – Shareholders

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 the button , 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.

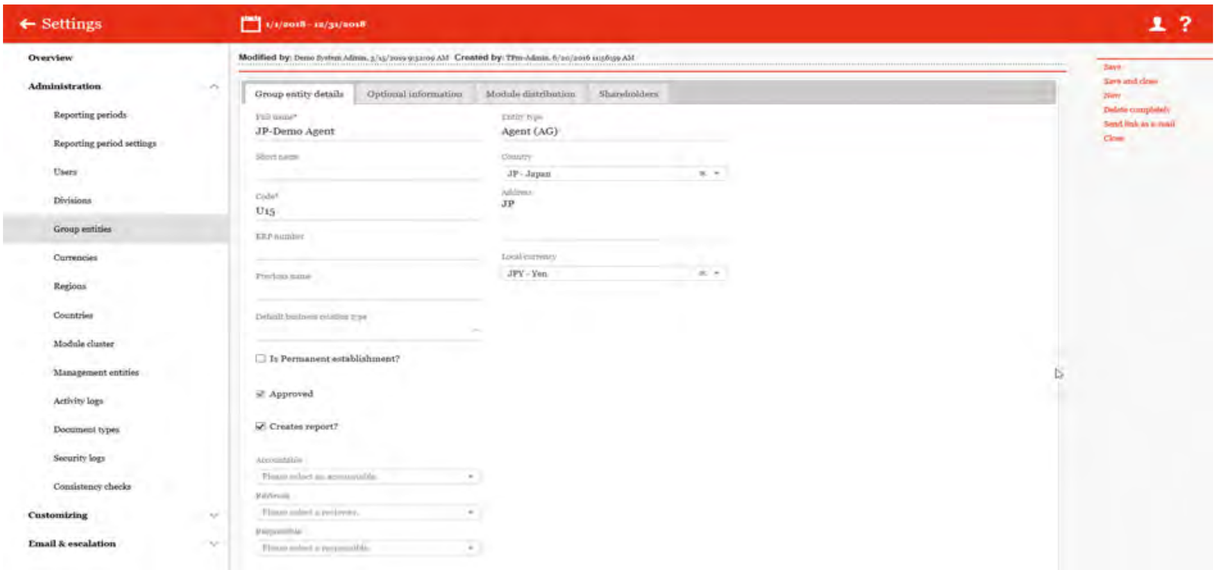


Figure 35: Edit existing group entity – Group entity details

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 modules on a Global, Divisional, or Local level 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.

NOTE: 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 Sceenshot below).

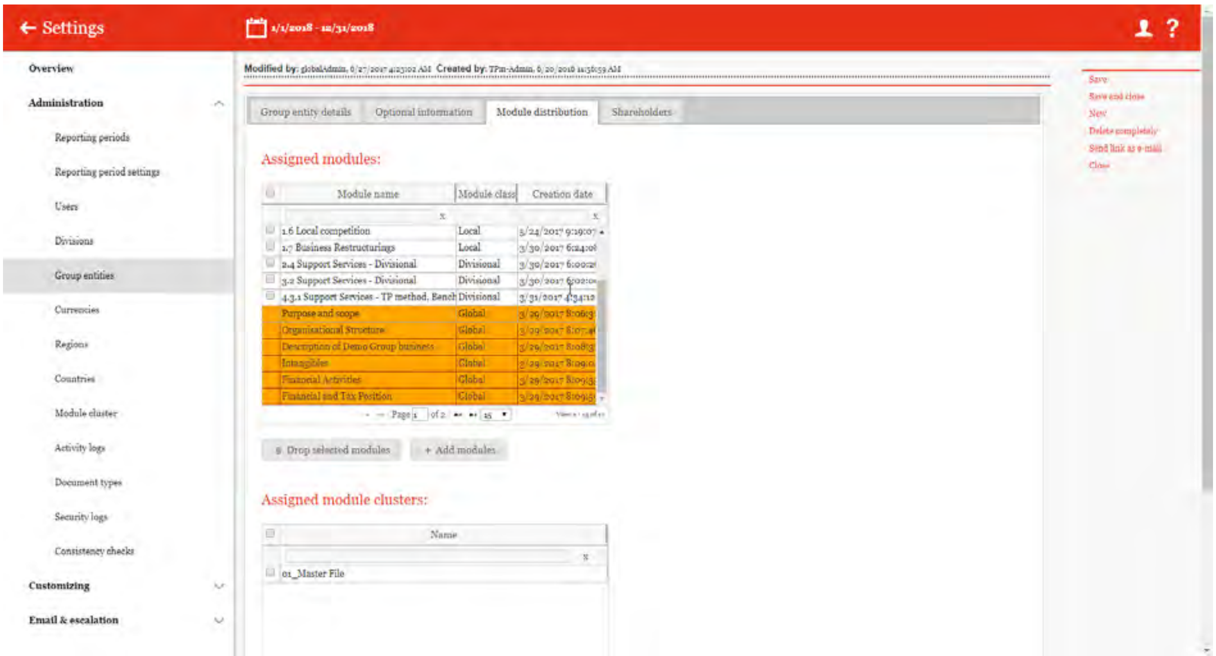


Figure 36: Edit existing Group entity – Module distribution

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* (“*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.

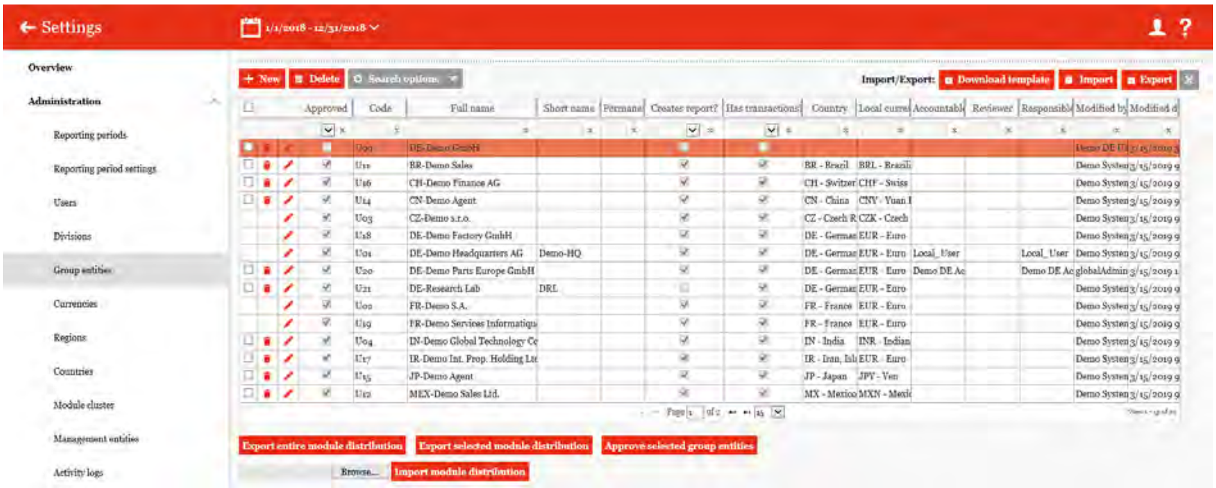


Figure 37: Overview of Group entities – Add proposed Group entity

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 figure below).

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.

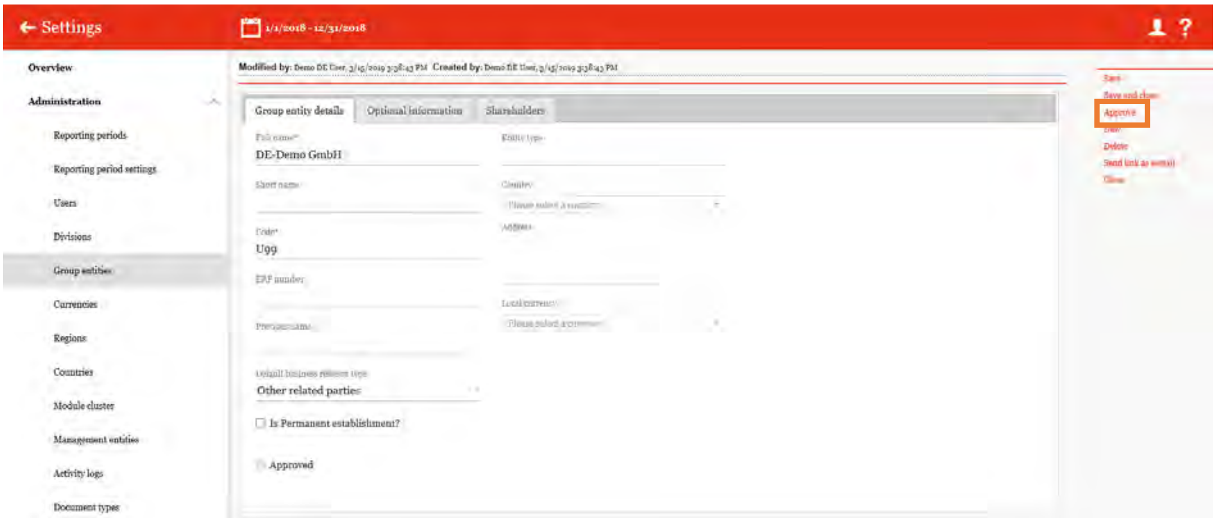


Figure 38: Detail view of Group entity - Approve proposed Group entity

1.3.5.4 *Delete Group entity*

The selected group entity can be deleted under "*Settings/Administration/Group entity*" by clicking the button .

NOTE: To avoid unintentional deletion, all assigned modules of a reporting company must first be dropped and transactions must be deleted before the group entity can 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.

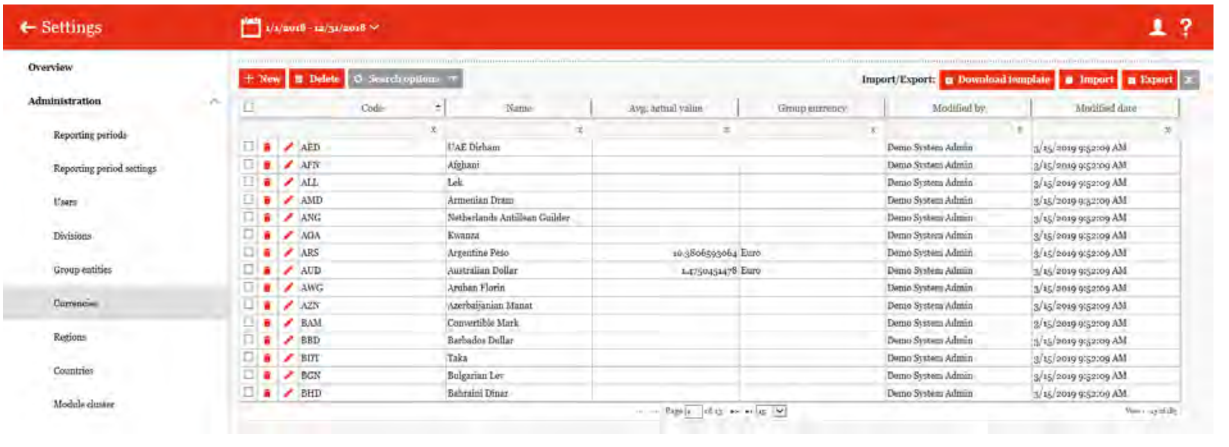


Figure 39: Overview of standard globalDoc currencies

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 clicking the button **+ New** (see figure below).

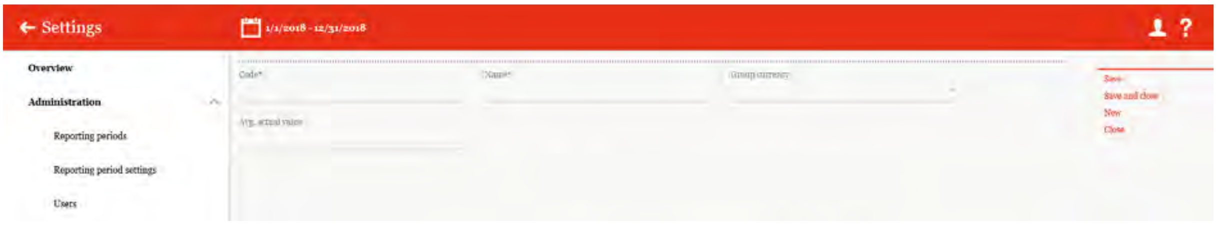


Figure 40: Create new Currency

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 .

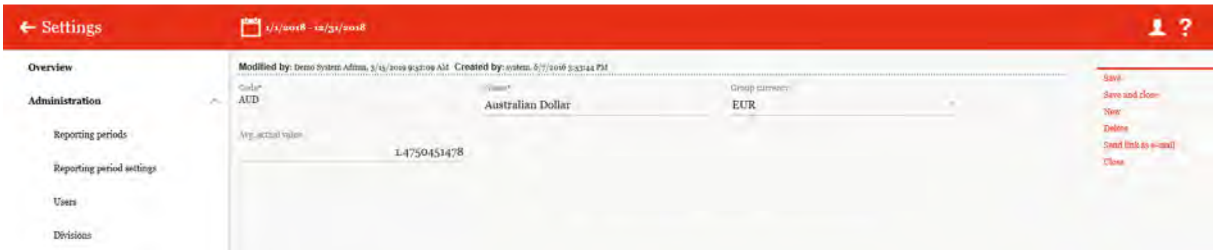


Figure 41: Detail view Currency

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.

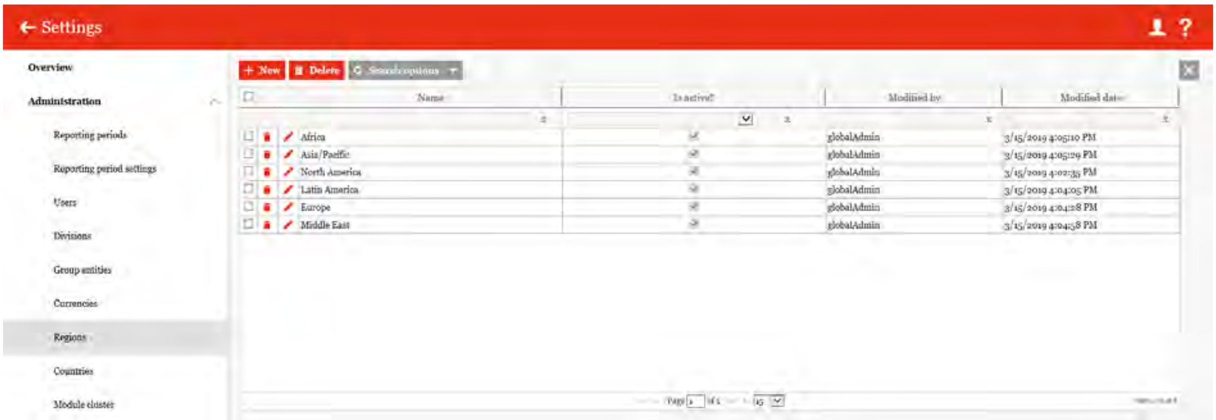


Figure 42: Overview of regions

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 button **+ New**, a detailed view for creating new regions appears.

Figure 43: 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 button the detailed view of exisiting regions can be opened.

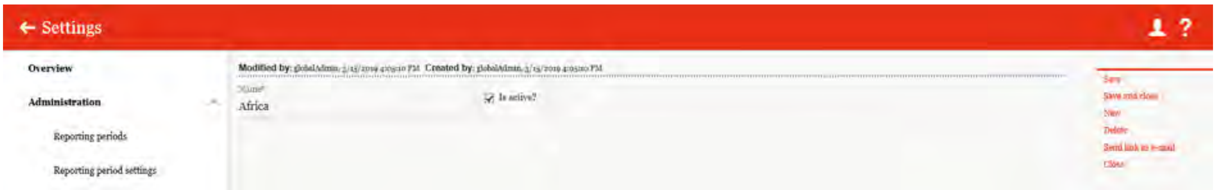


Figure 44: Detailed view regions

Here, the name and the activity status of the company can be changed.

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.

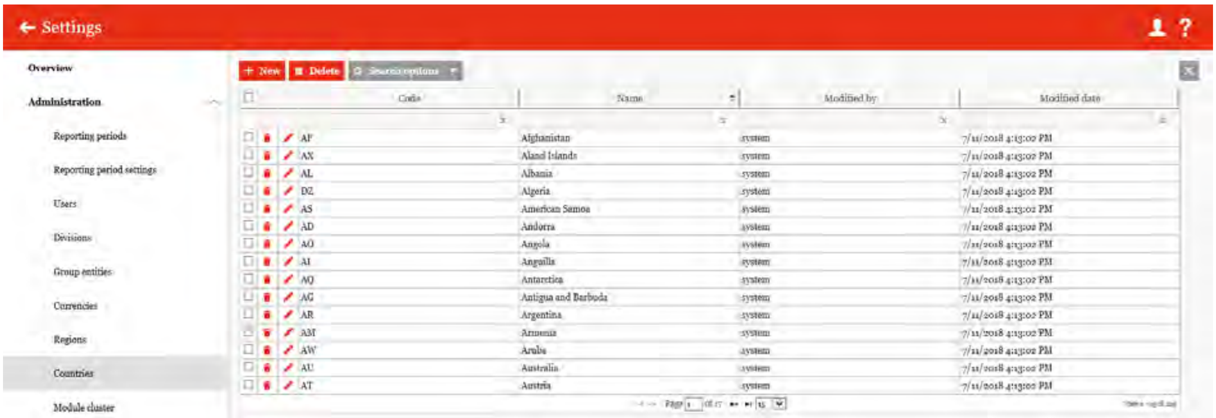


Figure 45: Overview of Countries

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 clicking the button **+ New**.

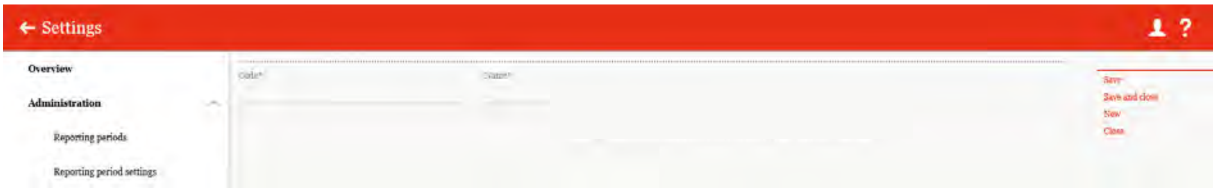


Figure 46: Create new Countries

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 .

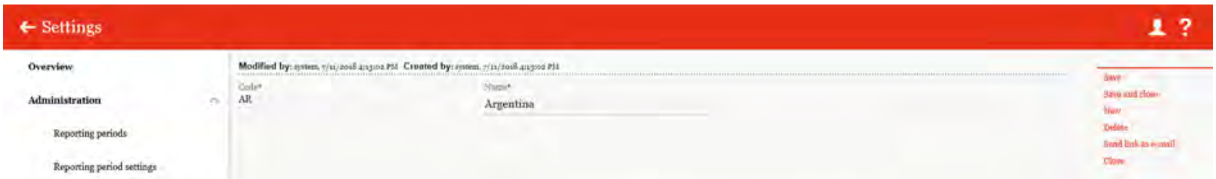


Figure 47: Detailed view countries

Again, the entered "**Name**" may be edited.

1.3.8.3 *Preparation and filing deadlines*

For the countries stored in globalDoc, the specific creation and submission deadlines as well as extended comments can be stored. There are two ways to do this. First, the data can be entered manually by editing the respective country (see previous subchapter). In addition, it is possible to upload additional information as an attachment.

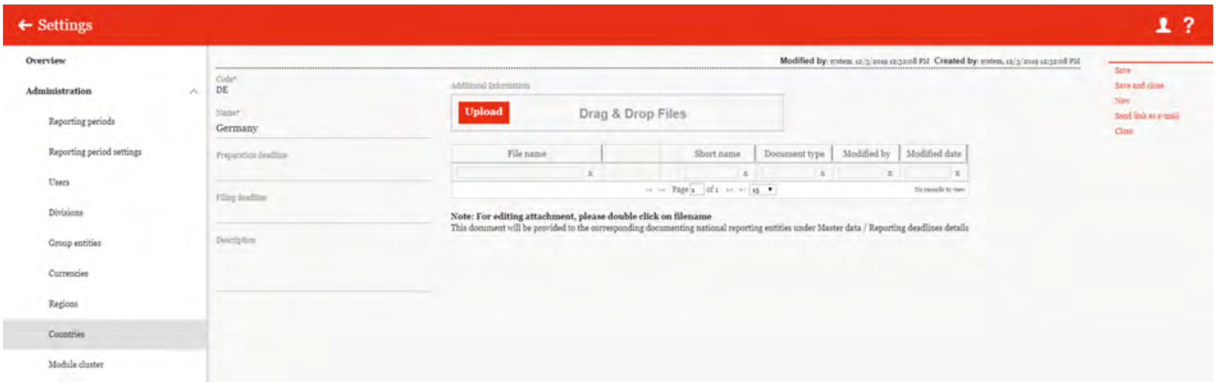


Figure 48: Adding additional information to individual countries

The second possibility for entering the deadlines and the description is via the button Import in the country overview. To do this, you can first download the existing data via the button Export or an empty template in an Excel spreadsheet via the button Download template, then fill it in and import it again.

NOTE: The periods entered here are displayed on the landing page if a reporting company from this country has been selected and no different periods have been defined by a local user for the corresponding reporting company.

1.3.8.4 *Additional information*

By clicking on the button Upload or using the drag & drop function, documents can be uploaded as additional information.

NOTE: The files uploaded here will not be attached to the report and will only be used for internal information.

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.

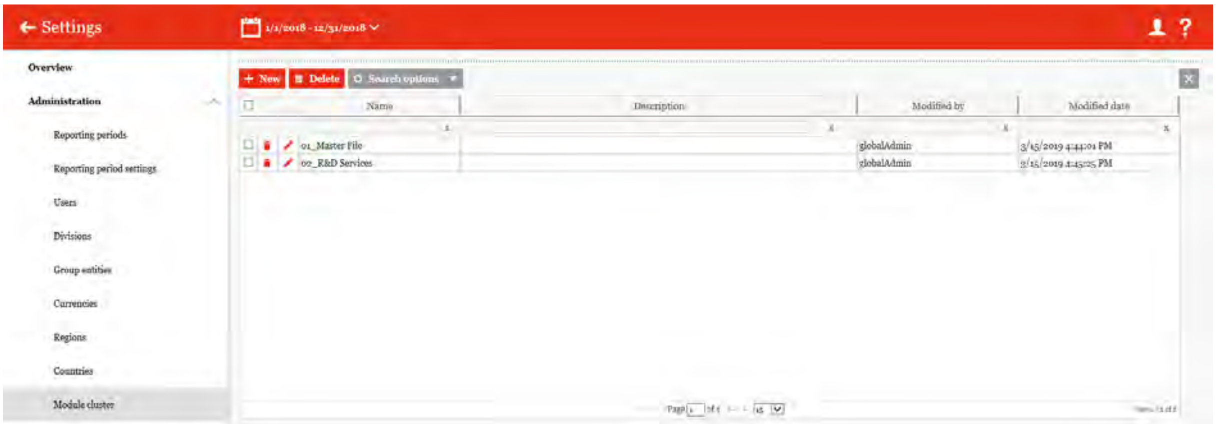


Figure 49: Overview Module cluster

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 clicking the button + New. The detail view consists of the three tabs "**Module details**", "**Assigned reporting entities**" and "**Assigned modules**".

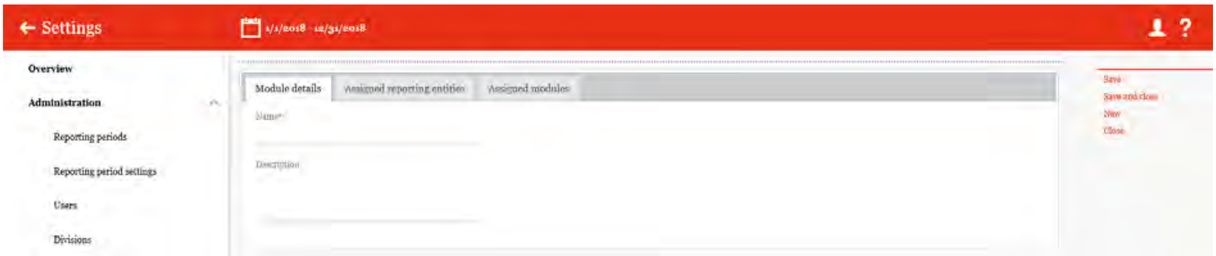


Figure 50: Create new Module cluster

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 the button .

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 the button 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*".

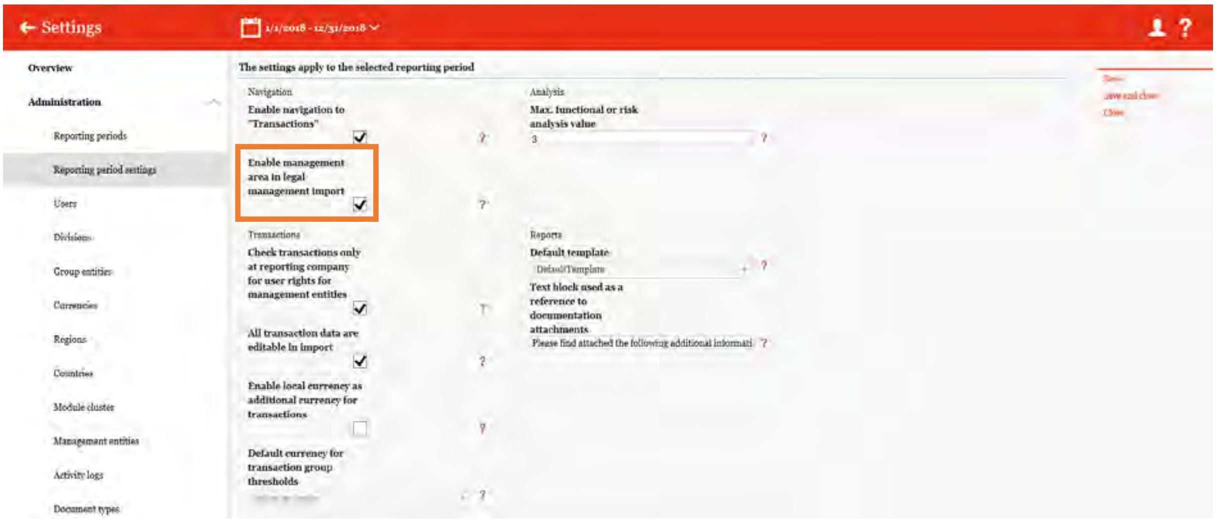


Figure 51: Activation of the presentation of management entities

1.3.11 Activity logs

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

In *globalDoc* previous versions of documents are saved. The action log enables thesSystem 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*".

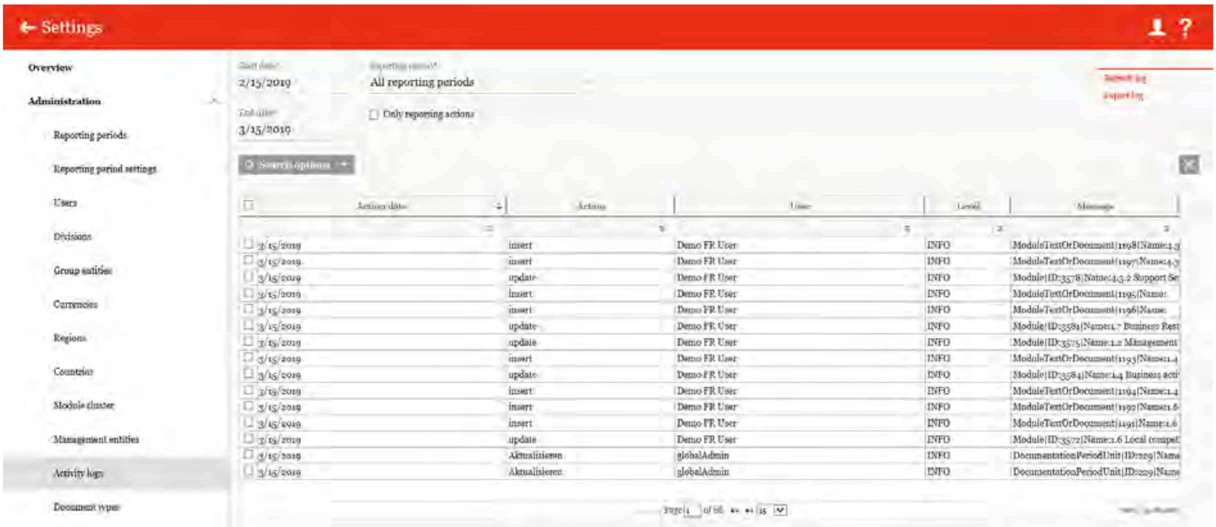


Figure 52: Activity logs

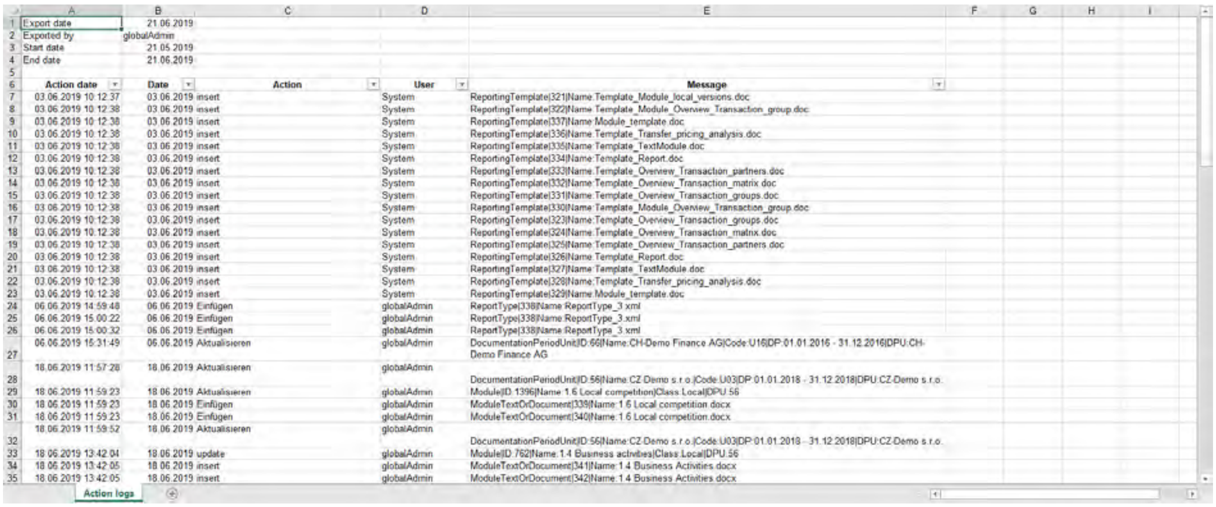
By entering the "**Start date**" or "**End date**", the period to be displayed in the overview can be selected. The reporting period list field allows to further filter the selection by the created reporting periods. To view only entries that are directly related to report creation, the option "**Only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



<table>
<tr><td>Export date</td><td>21.06.2019</td><td></td><td></td><td></td></tr>
<tr><td>Exported by</td><td>globalAdmin</td><td></td><td></td><td></td></tr>
<tr><td>Start date</td><td>21.05.2019</td><td></td><td></td><td></td></tr>
<tr><td>End date</td><td>21.06.2019</td><td></td><td></td><td></td></tr>
<tr><th>Action date</th><th>Date</th><th>Action</th><th>User</th><th>Message</th></tr>
<tr><td>03.06.2019 10:12:37</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|321|Name:Template_Module_local_versions.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|322|Name:Template_Module_Overview_Transaction_group.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|337|Name:Module_template.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|336|Name:Template_Transfer_pricing_analysis.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|335|Name:Template_TextModule.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|334|Name:Template_Report.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|333|Name:Template_Overview_Transaction_partners.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|332|Name:Template_Overview_Transaction_matrix.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|331|Name:Template_Overview_Transaction_groups.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|330|Name:Template_Module_Overview_Transaction_group.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|323|Name:Template_Overview_Transaction_groups.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|324|Name:Template_Overview_Transaction_matrix.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|325|Name:Template_Overview_Transaction_partners.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|326|Name:Template_Report.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|327|Name:Template_TextModule.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|328|Name:Template_Transfer_pricing_analysis.doc</td></tr>
<tr><td>03.06.2019 10:12:38</td><td>03.06.2019</td><td>insert</td><td>System</td><td>ReportingTemplate|329|Name:Module_template.doc</td></tr>
<tr><td>06.06.2019 14:59:48</td><td>06.06.2019</td><td>Einfügen</td><td>globalAdmin</td><td>ReportType|338|Name:ReportType_3.xml</td></tr>
<tr><td>06.06.2019 15:00:22</td><td>06.06.2019</td><td>Einfügen</td><td>globalAdmin</td><td>ReportType|338|Name:ReportType_3.xml</td></tr>
<tr><td>06.06.2019 15:00:32</td><td>06.06.2019</td><td>Einfügen</td><td>globalAdmin</td><td>ReportType|338|Name:ReportType_3.xml</td></tr>
<tr><td>06.06.2019 15:31:49</td><td>06.06.2019</td><td>Aktualisieren</td><td>globalAdmin</td><td>DocumentationPeriodUnit|ID:66|Name:CH-Demo Finance AG|Code:U16|DP:01.01.2016 - 31.12.2016|DPU:CH-Demo Finance AG</td></tr>
<tr><td>18.06.2019 11:57:28</td><td>18.06.2019</td><td>Aktualisieren</td><td>globalAdmin</td><td>DocumentationPeriodUnit|ID:56|Name:CZ-Demo s.r.o.|Code:U03|DP:01.01.2018 - 31.12.2018|DPU:CZ-Demo s.r.o.</td></tr>
<tr><td>18.06.2019 11:59:23</td><td>18.06.2019</td><td>Aktualisieren</td><td>globalAdmin</td><td>Module|ID:1396|Name:1.6 Local competition|Class:Local|DPU:56</td></tr>
<tr><td>18.06.2019 11:59:23</td><td>18.06.2019</td><td>Einfügen</td><td>globalAdmin</td><td>ModuleTextOrDocument|339|Name:1.6 Local competition.docx</td></tr>
<tr><td>18.06.2019 11:59:23</td><td>18.06.2019</td><td>Einfügen</td><td>globalAdmin</td><td>ModuleTextOrDocument|340|Name:1.6 Local competition.docx</td></tr>
<tr><td>18.06.2019 11:59:52</td><td>18.06.2019</td><td>Aktualisieren</td><td>globalAdmin</td><td>DocumentationPeriodUnit|ID:56|Name:CZ-Demo s.r.o.|Code:U03|DP:01.01.2018 - 31.12.2018|DPU:CZ-Demo s.r.o.</td></tr>
<tr><td>18.06.2019 13:42:04</td><td>18.06.2019</td><td>update</td><td>globalAdmin</td><td>Module|ID:762|Name:1.4 Business activities|Class:Local|DPU:56</td></tr>
<tr><td>18.06.2019 13:42:05</td><td>18.06.2019</td><td>insert</td><td>globalAdmin</td><td>ModuleTextOrDocument|341|Name:1.4 Business Activities.docx</td></tr>
<tr><td>18.06.2019 13:42:05</td><td>18.06.2019</td><td>insert</td><td>globalAdmin</td><td>ModuleTextOrDocument|342|Name:1.4 Business Activities.docx</td></tr>
</table>

Figure 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.

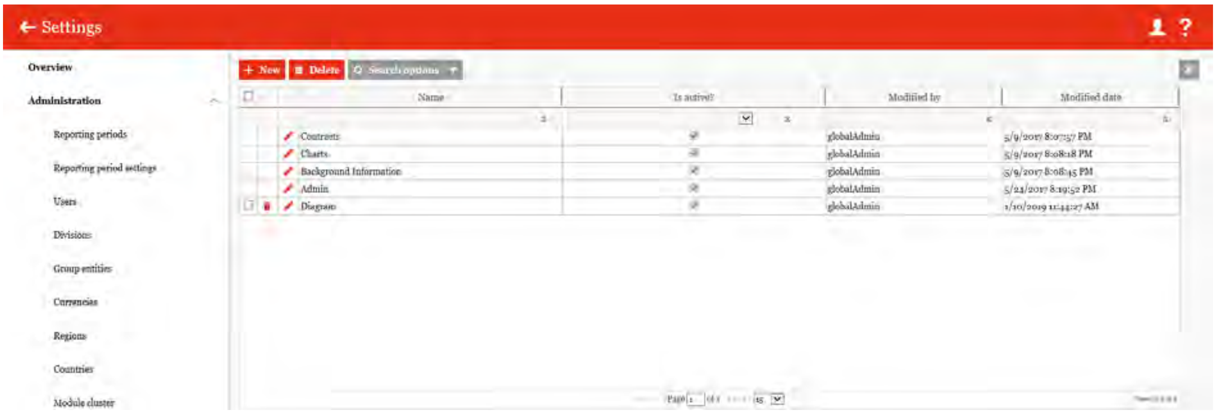


Figure 54: Overview Document types

By clicking the button , the editing of already existing document types is possible. 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.

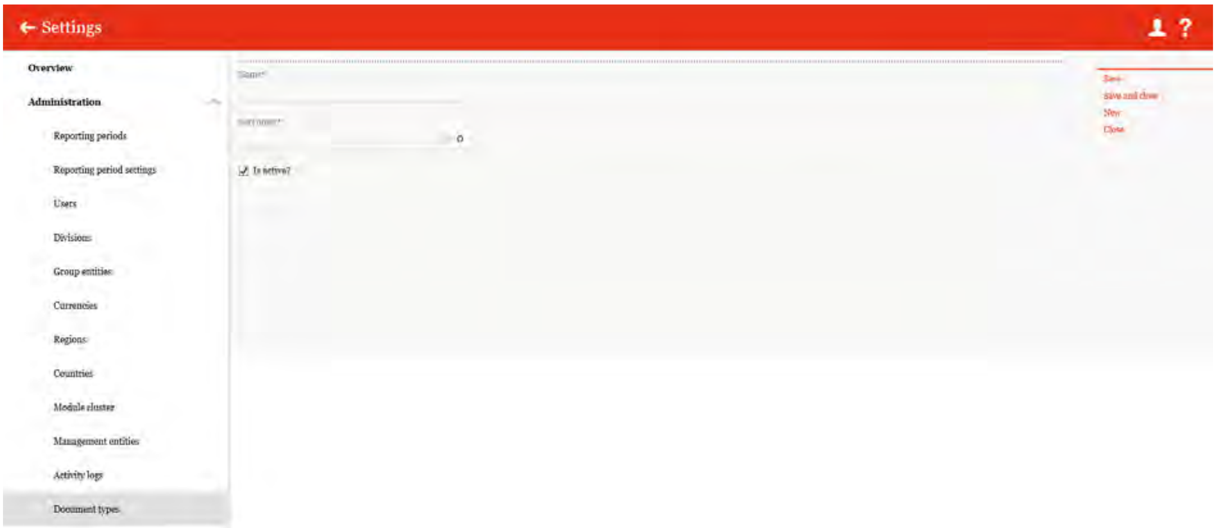


Figure 55: Creation of Document types

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*”.

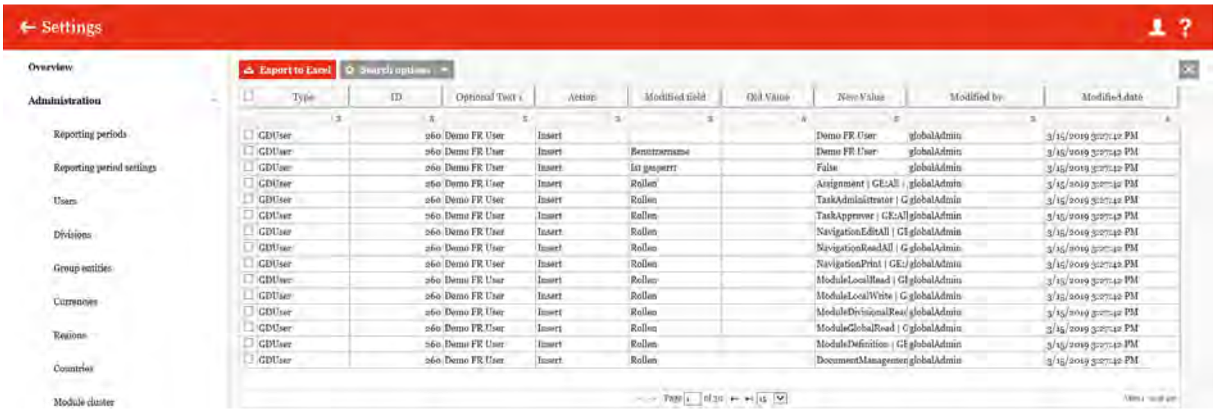


Figure 56: Security logs

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.

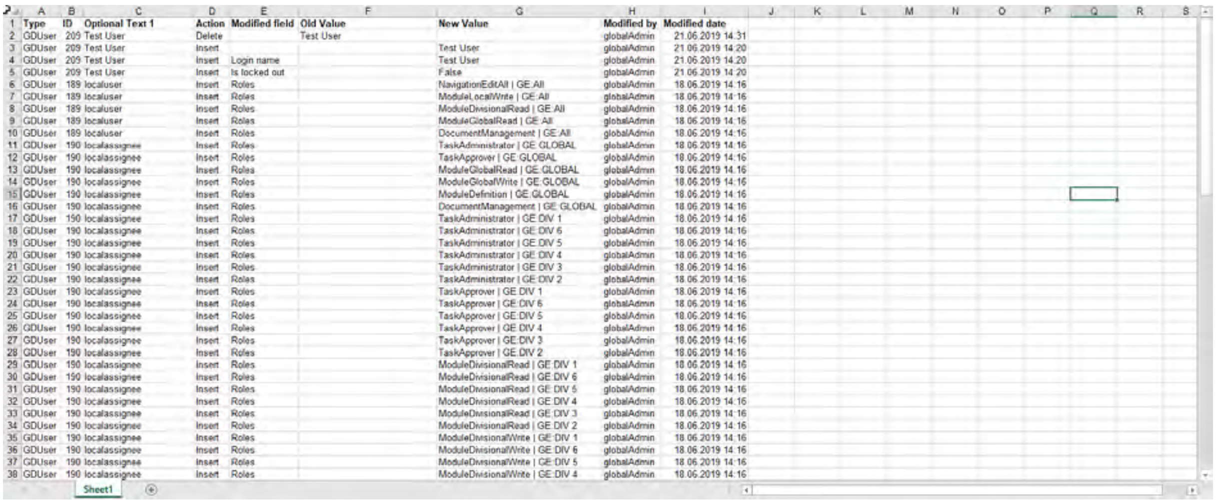


Figure 57: Excel-Export of Security logs

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.

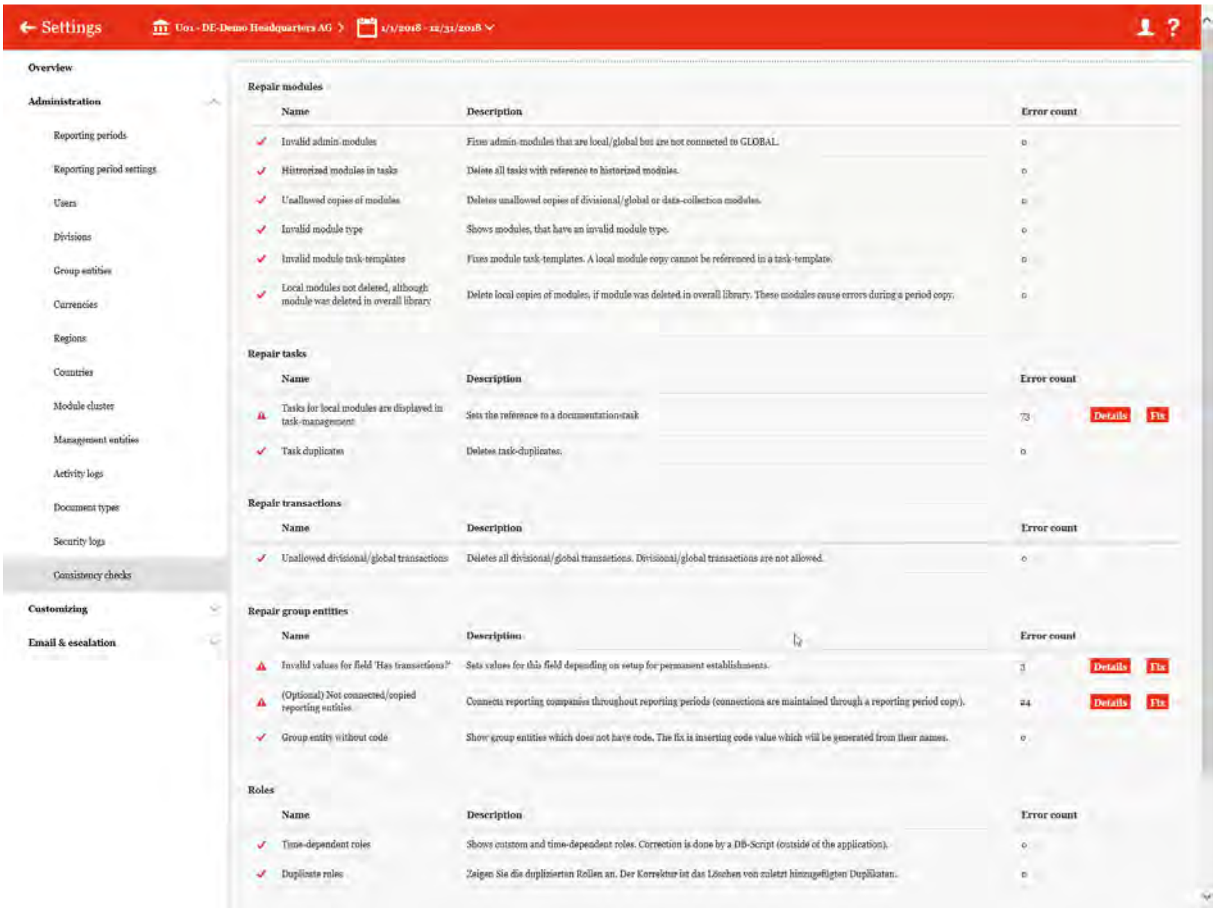


Figure 58: Overview Consistency checks

1.4 Menu item Customizing

1.4.1 Translations

This sub-menu allows to implement different languages for navigation as well as the editing of individual terms.

NOTE: Due to the complexity of this function, we recommend that you only make changes to the translations in consultation with the relevant consultant or with Datenwerk.

1.4.2 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.

1.4.2.1 Manage Roles

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

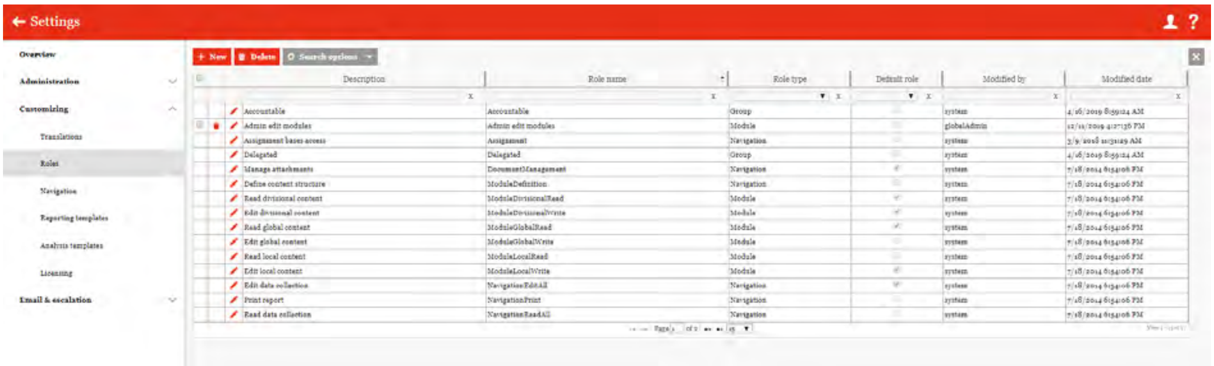


Figure 59: Overview Roles

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*".

1.4.2.2 Create new Roles

By clicking the button **+ 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.

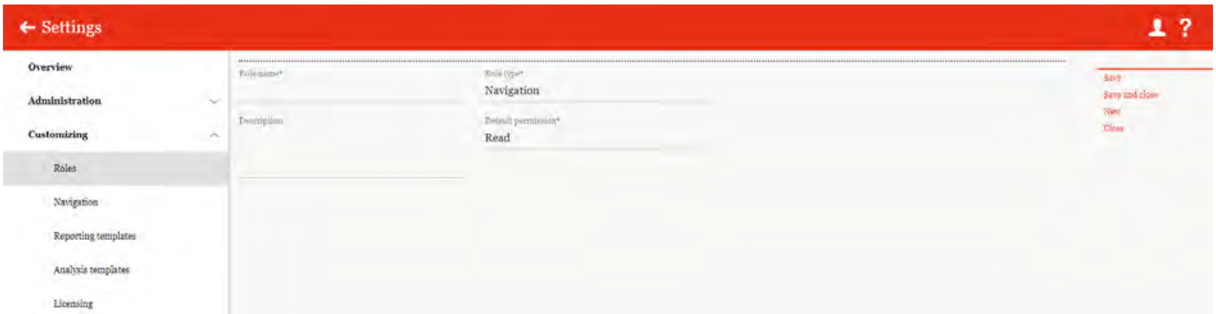


Figure 60: Create new Roles

1.4.2.3 View/edit existing Roles

Under "*Settings/Customizing/Roles*", the detail view of a selected role can be opened by clicking the button . 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.

Figure 61: Edit roles

1.4.2.4 *Delete Roles*

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

1.4.3 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.

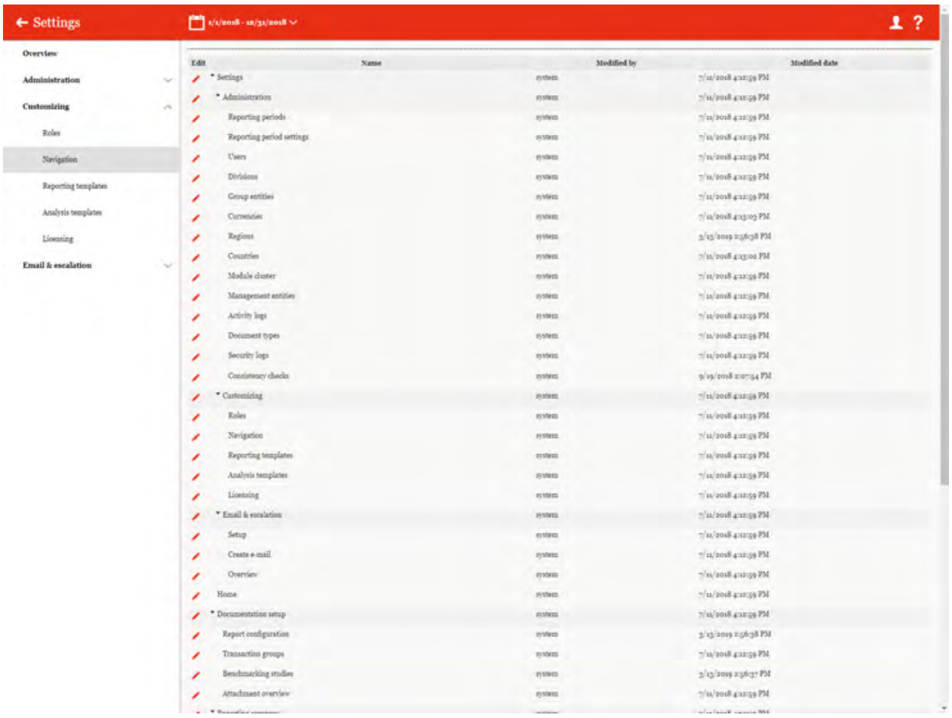


Figure 62: Overview Navigation

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.

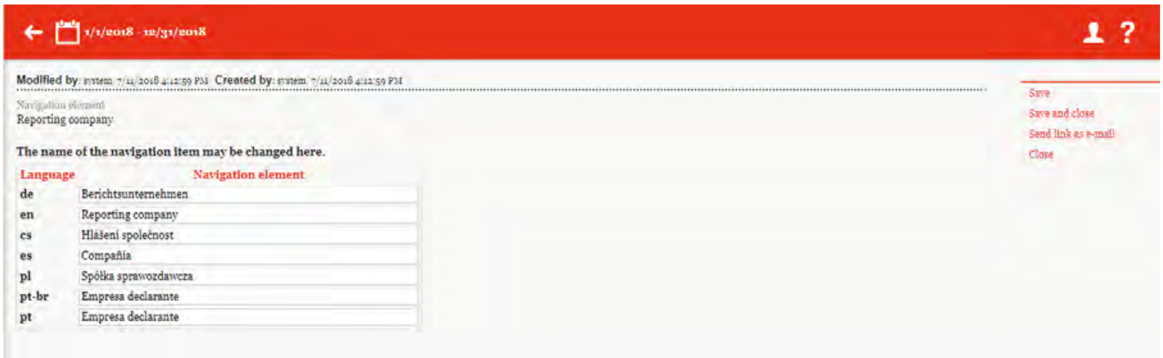


Figure 63: Edit Navigation items

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. By clicking the button , new roles can be added and old roles may be deleted.

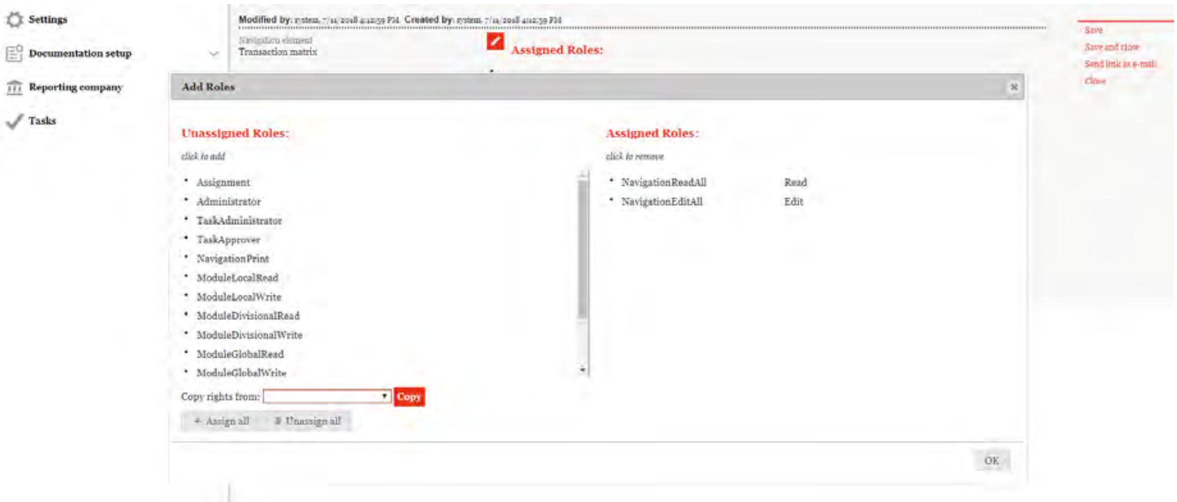


Figure 64: Assign Roles to navigation item

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

1.4.3.1 Request report

It is possible to activate the "Request report" function for editors via the navigation settings under "*Settings/Customizing/Navigation*". This function allows an administrator to limit the free printing permission and to make the generation of a report dependent on the approval of an administrator.

In the navigation settings shown below, click on the button next to the entry "Create report".

Figure 65: Navigation "Create report"

In the menu that appears, click on the button  in the upper part of the menu (see figure below).

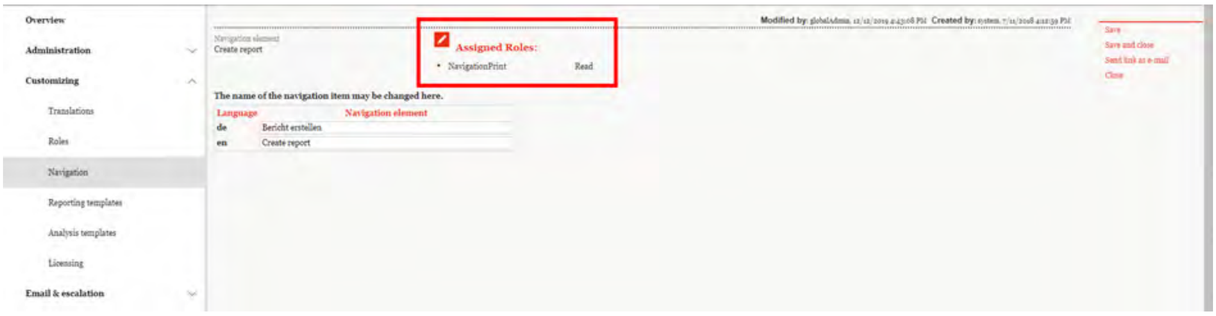


Figure 66: Settings "Create report"

In the following window, click on the assigned role "NavigationPrint" on the right to remove it and select the role "NavigationEditAll" from the list of unassigned roles on the left. Then the menu should look as shown in the following figure.

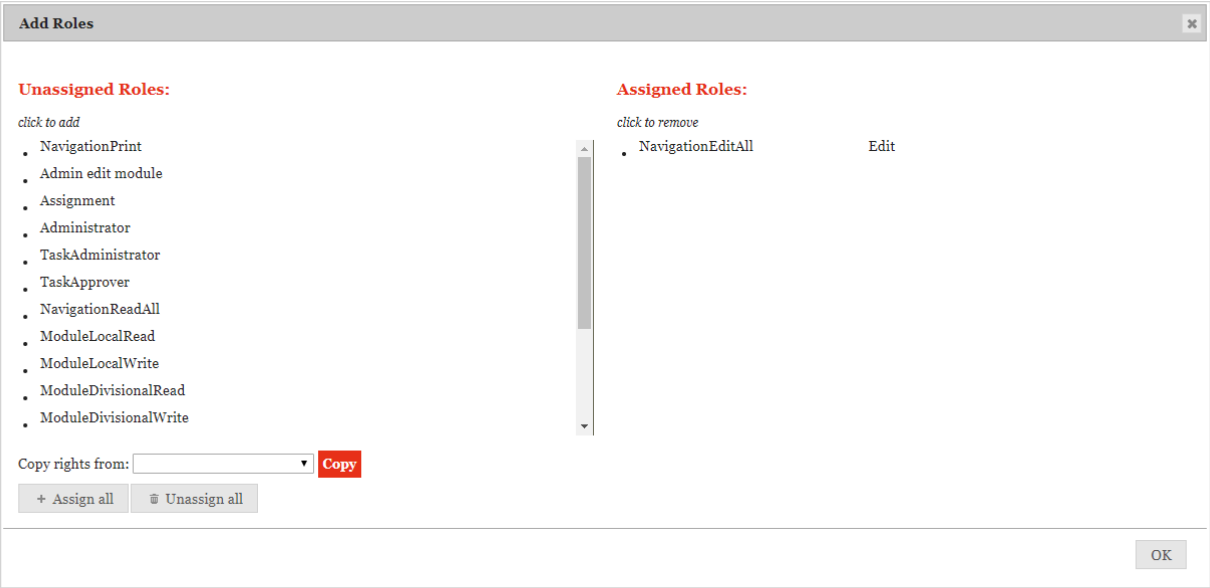
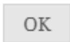


Figure 67: Role assignment "Create report"

The changes can be accepted by clicking the button 

.

By using these settings, users with standard rights can print reports not yet finalized only as PDF and with a draft-watermark. If the report has already been finalized, the user can only request to create a report. Upon confirmation by an administrator, the user is allowed to print the report.

This request appears to the system administrator on the main page in the menu item "Approve Admin Tasks".

NOTE: These settings can be undone by exchanging the previously assigned or deleted roles "NavigationPrint" and "NavigationEditAll". The editors can freely generate the reports as before.

1.4.4 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*.

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.

Figure 68: 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.

Figure 69: 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 (see the name “copy of DefaultTemplate” in figure above and below).

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.

Figure 70: Create template - Rename template

After editing and locally saving the respective file, the individually modified Word templates can be uploaded via Choose File and <u>with the same name</u> (e.g.: Template_Overview_Transaction_partners.doc). The modified report template (here: Manual template) is then available in *globalDoc* 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").

1.4.5 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 figure below) that shows the analysis templates already created.

Figure 71: 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***

NOTE: 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

1.4.5.1 *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*".

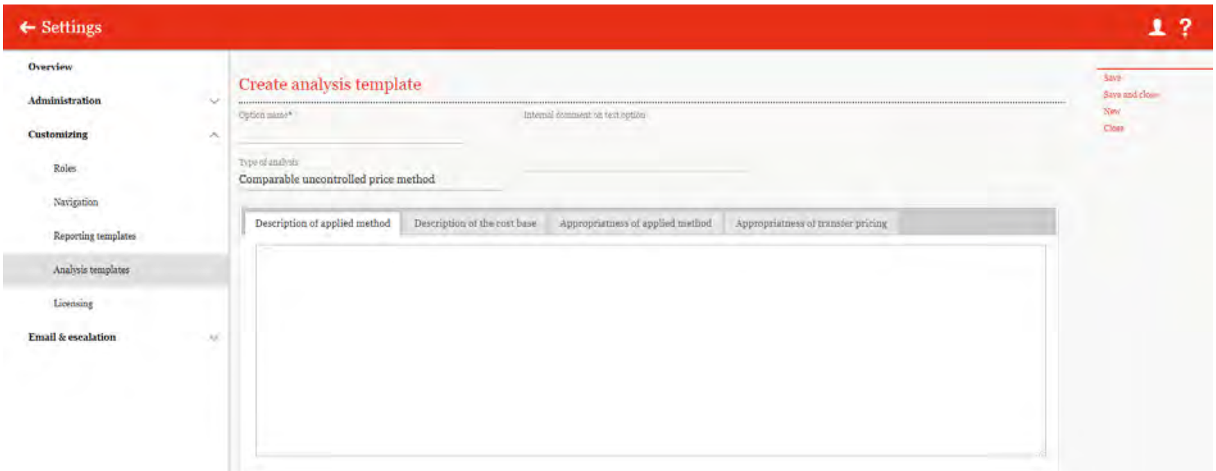


Figure 72: Create a new Analysis template

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.

1.4.5.2 *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").

1.4.6 *Licensing*

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

Figure 73: 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* 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* can be activated, email addresses can be edited and the escalation intervals (or reminder-intervals) of the respective emails can be set.

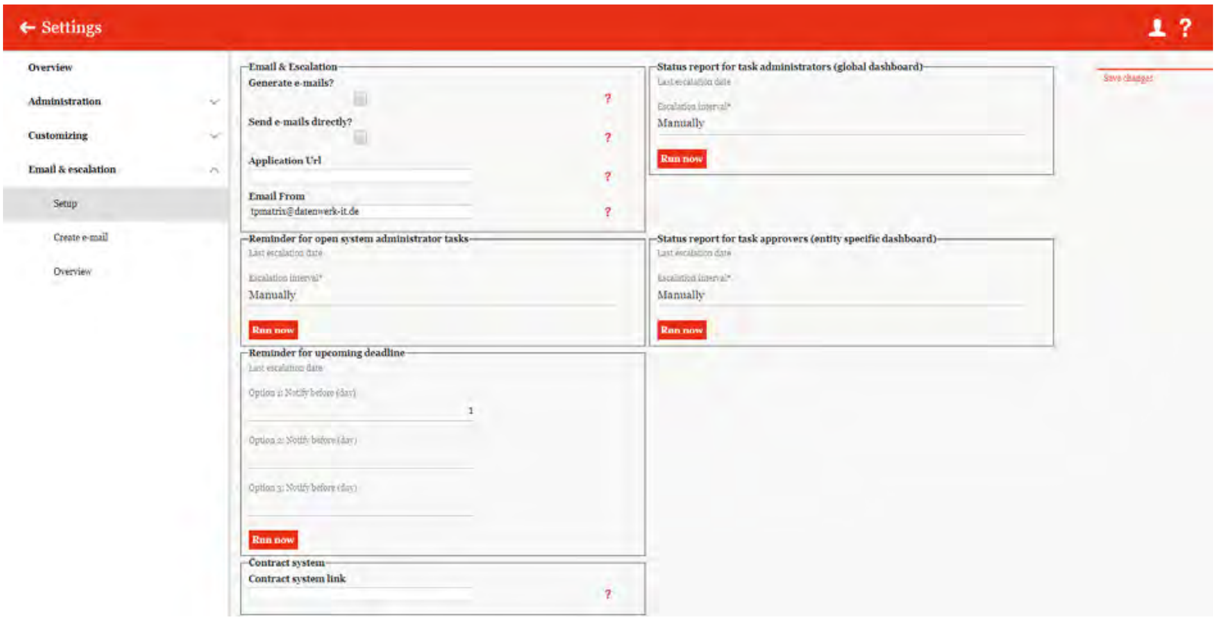


Figure 74: Email setup

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.

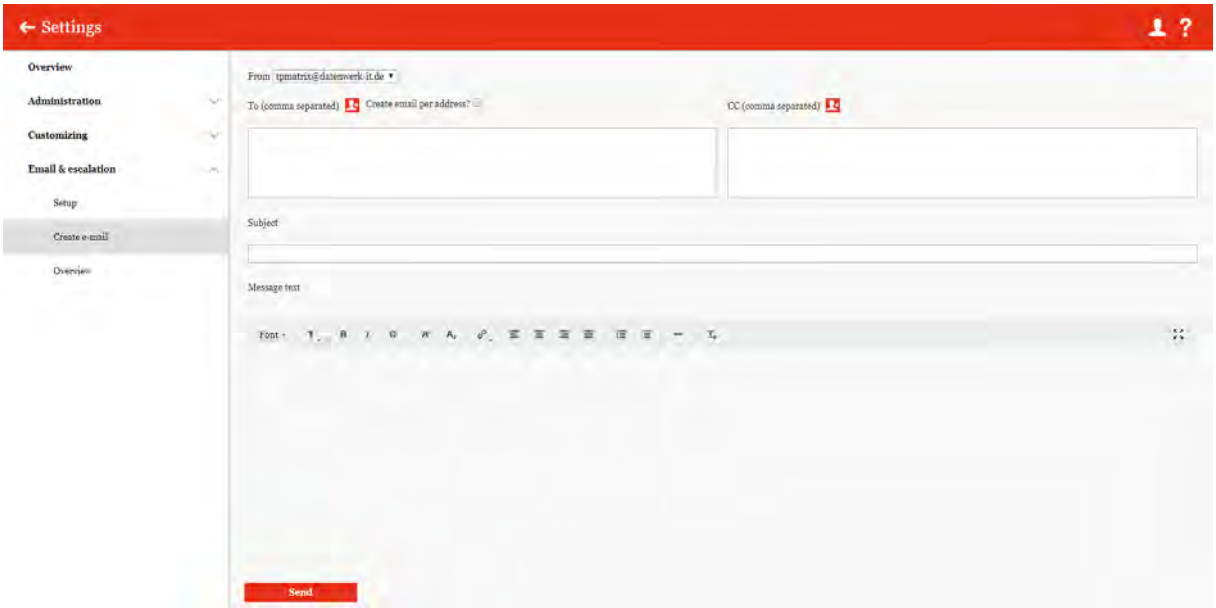


Figure 75: Input mask for email creation

By clicking the button, a pop-up opens, 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.

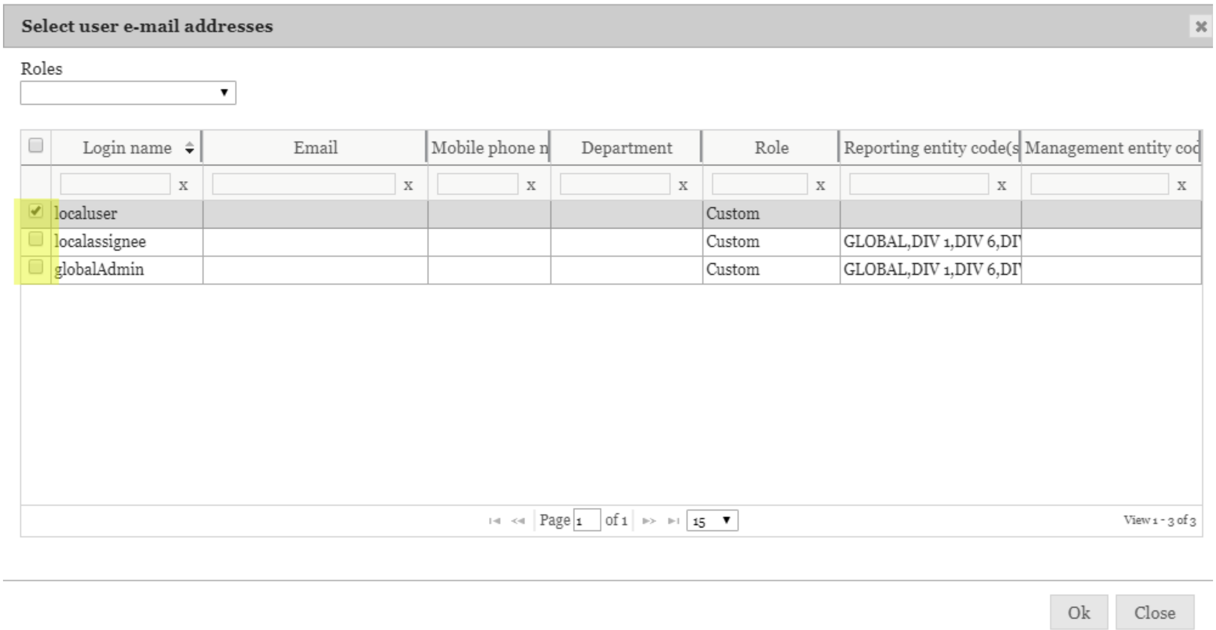


Figure 76: Email recipient selection

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.

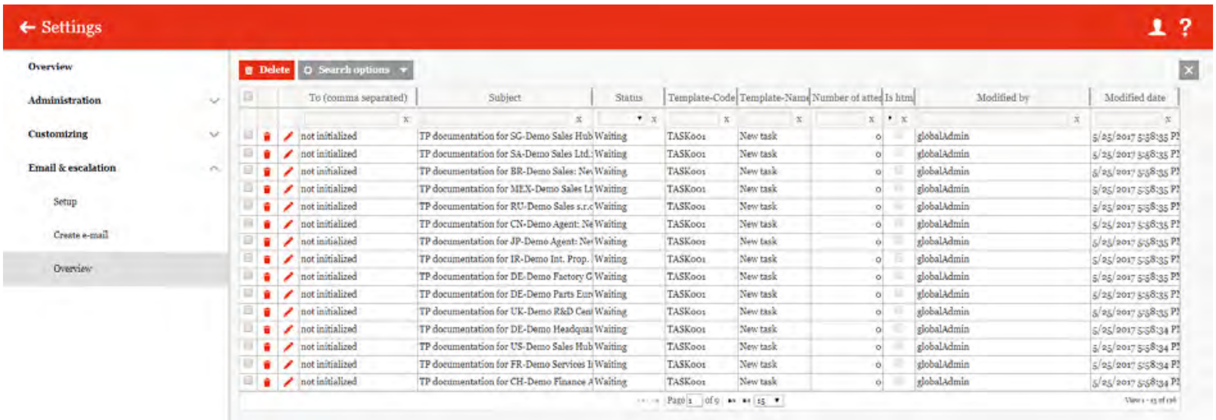


Figure 77: Overview of all unsent emails

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.

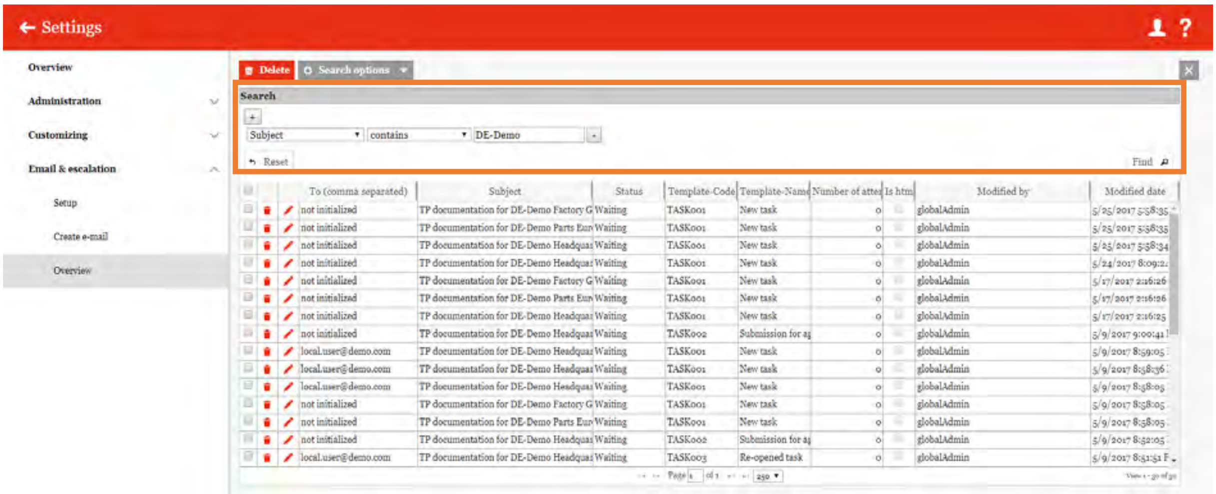


Figure 78: Extended search

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 the button 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 three options in the upper screen area: ◉ Import chapter structure ○ Define modules ○ Variables. The first option, "**Import chapter structure**", can be used to upload an already existing documentation including its chapter structure into *globalDoc*. The chapter structure can also be added manually. With "**Create modules**", the system administrator can create new modules for the respective chapters (see Define Modules). The third option, "**Variables**", allows for the download of the standard variables as well as the variables defined for the TP questionnaire as Word documents.

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

- **Name*:** Specifies the name of the report type.
- **Type*:** Here you can describe the type of the report (e.g. Local File or Master File).
- **Template:** Here you can use a template that may have been created previously (see "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 by clicking the button .

Figure 79: Create new chapter

Chapters can be moved via drag & drop by selecting the respective chapter and holding the left mouse button. By ticking the box on the left side of the symbol #, automatic numbering will be activated for the individual chapters. Empty chapters can be deleted using the button . 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:

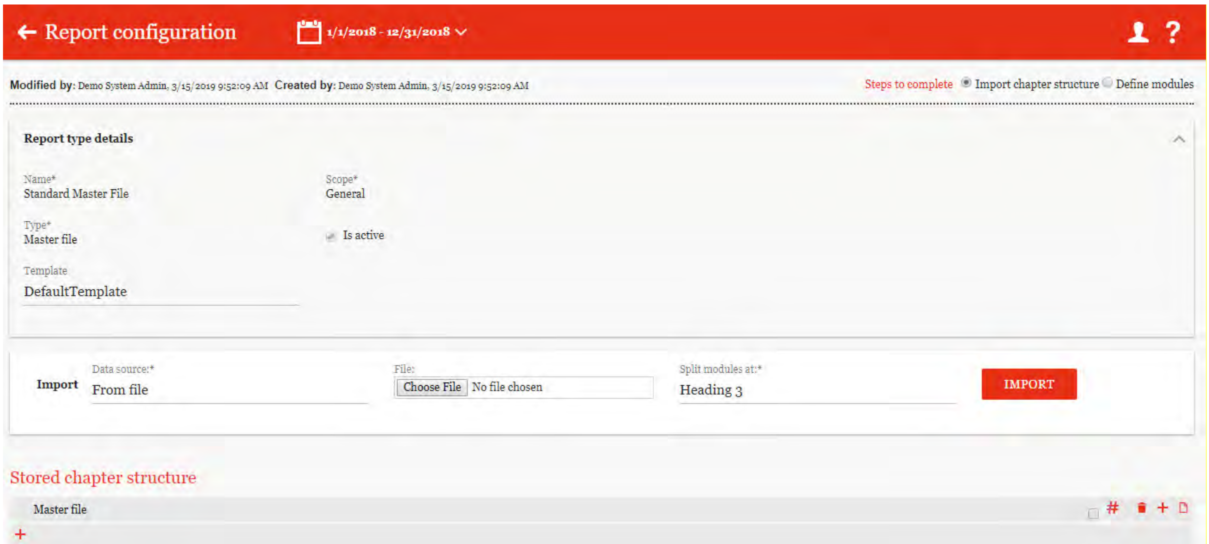


Figure 80: Define chapters

The page is divided into several sections: “**Report Type Details**", which provides more detailed information regarding the report. The button "**Import**" allows 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".

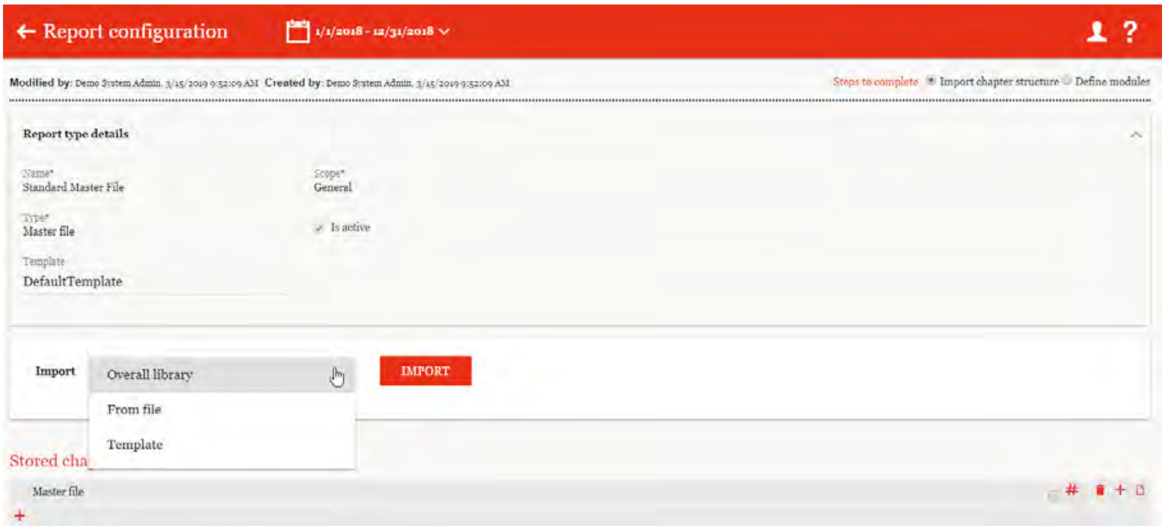


Figure 81: Import chapter structure from overall library

<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 

.

<u>STEP 2</u>

When "Overall library" is chosen by clicking on 

, 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.

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

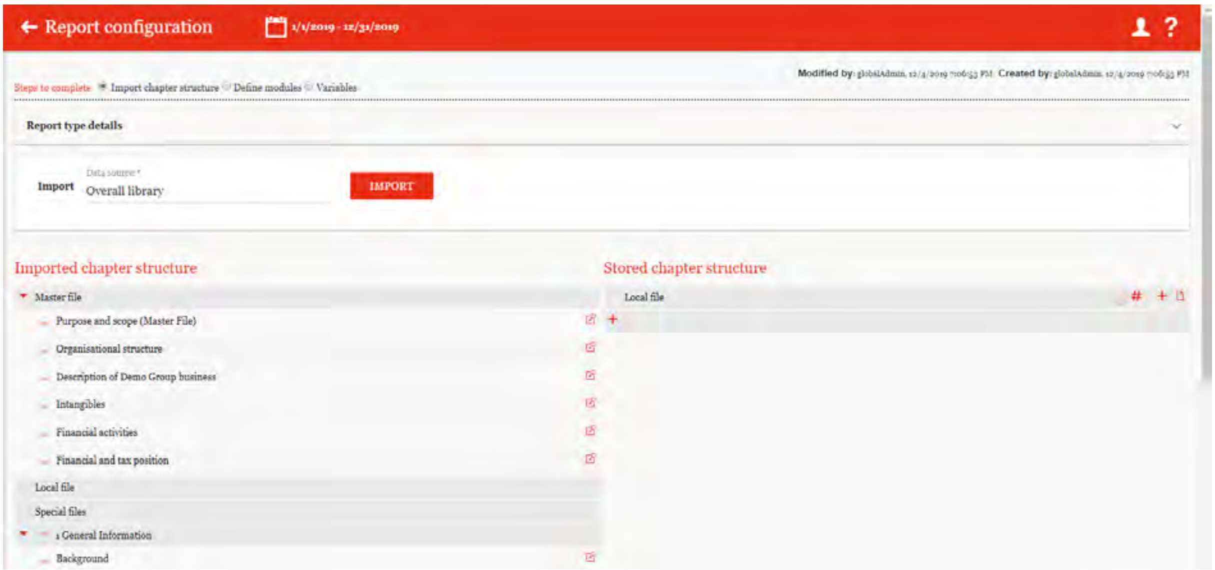


Figure 82: Selection of the chapters to be imported

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 figure 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 box besides the symbol #. 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.

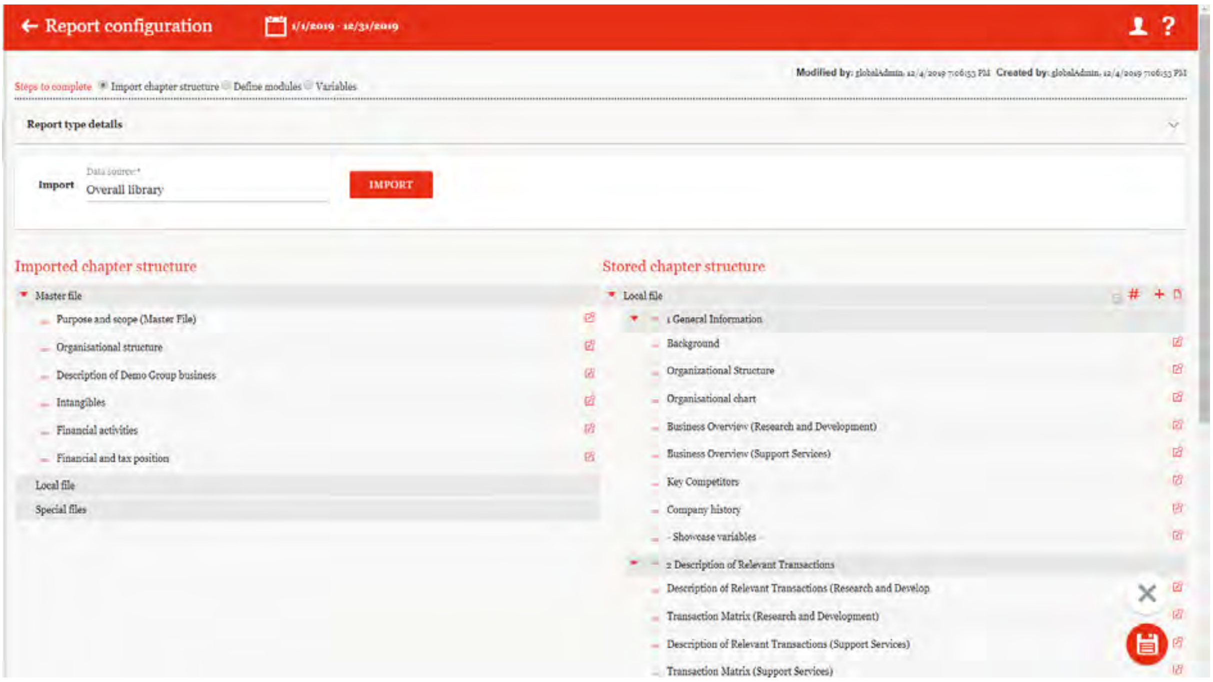


Figure 83: Import chapter structure - overview

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.

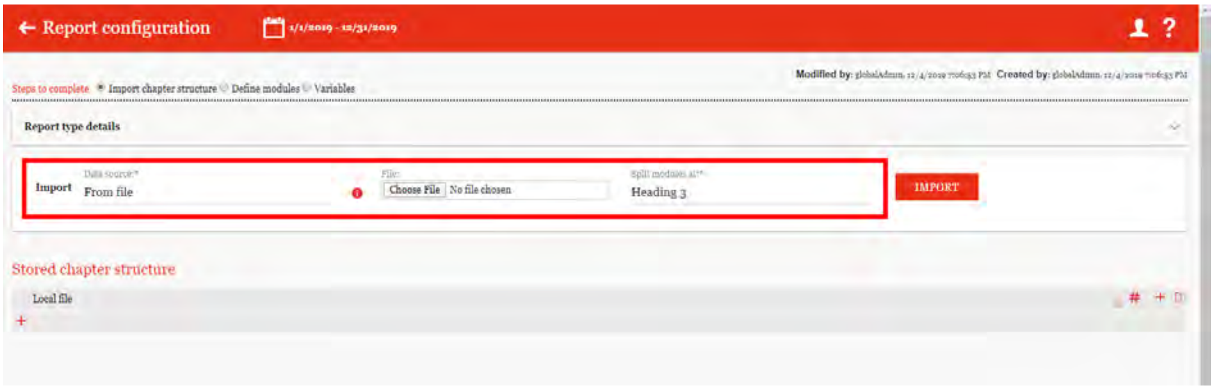


Figure 84: Import chapter structure - From file

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 by clicking the name of the chapter.

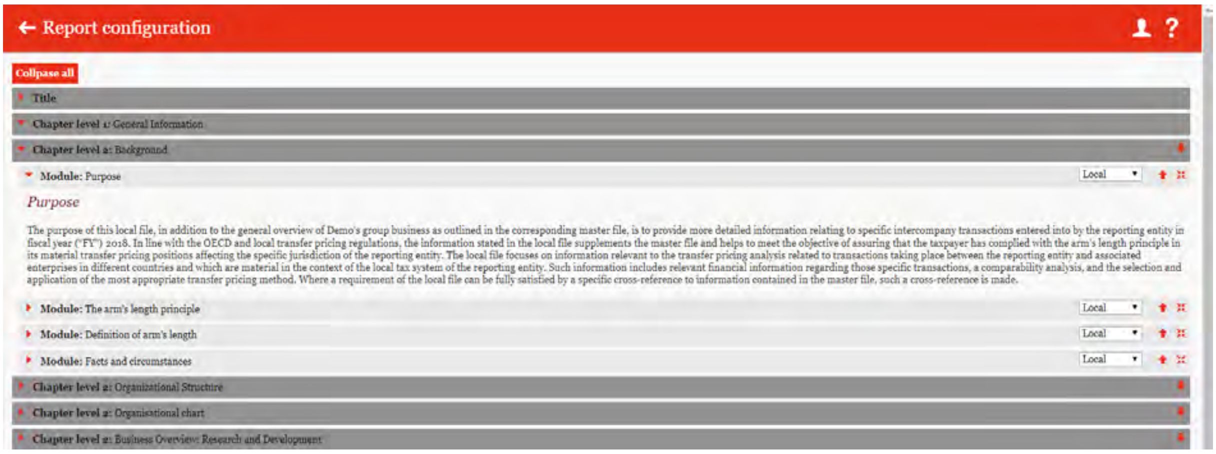


Figure 85: View of imported file

Clicking the button 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.

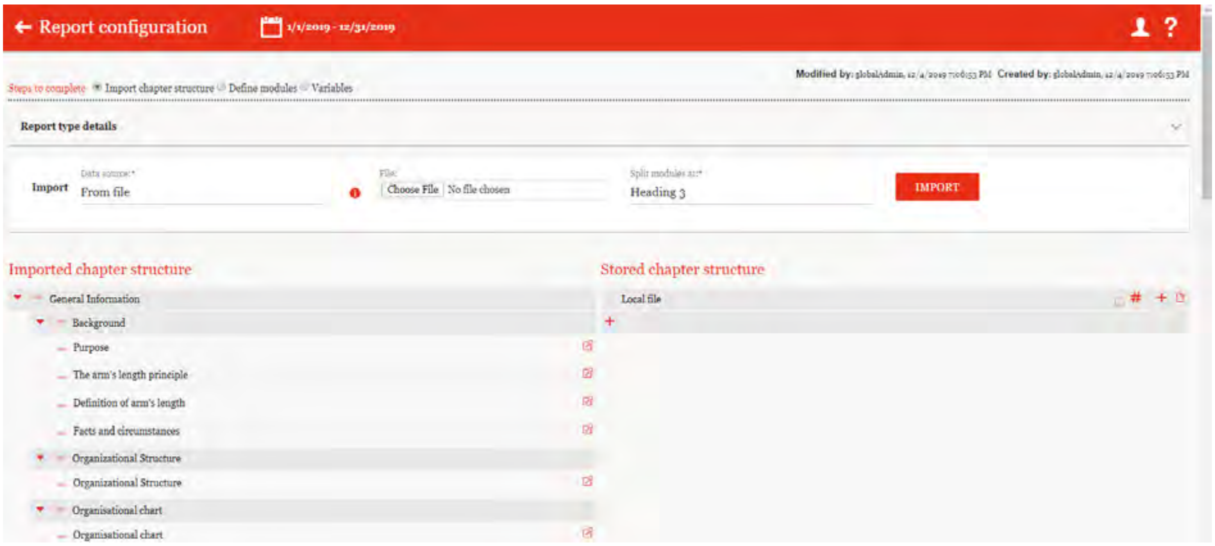


Figure 86: Import chapter structure - from file

NOTE: 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".

STEP 1

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

NOTE: This option is only available if the system was saved without a template (e.g. by PwC) when the software was installed.[6]

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[6] The implementation of the template is carried out by the IT and not by the administrator.

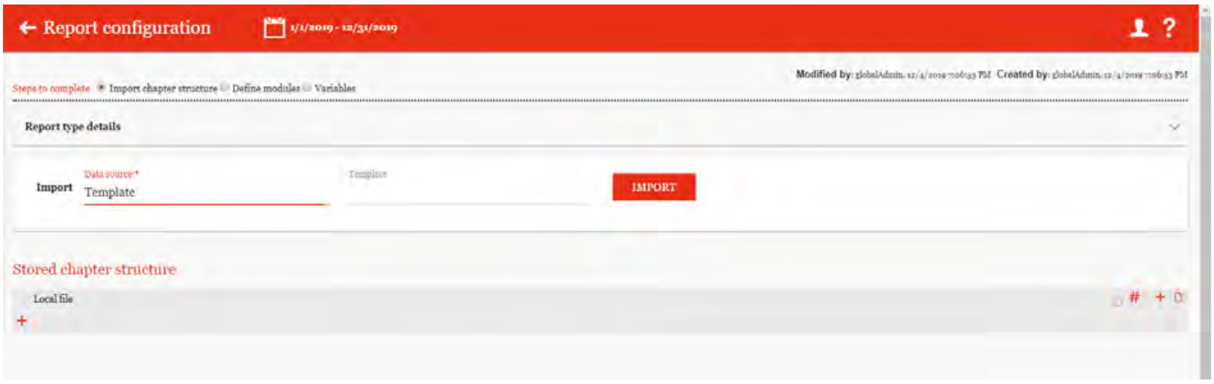

Figure 87: Import chapter structure - Template

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:

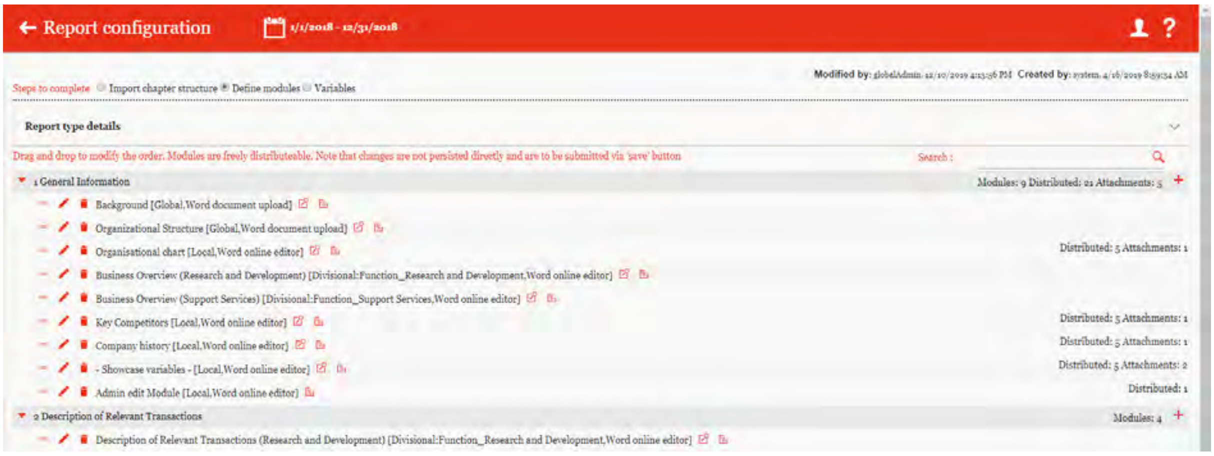

Figure 88: Define Modules

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.

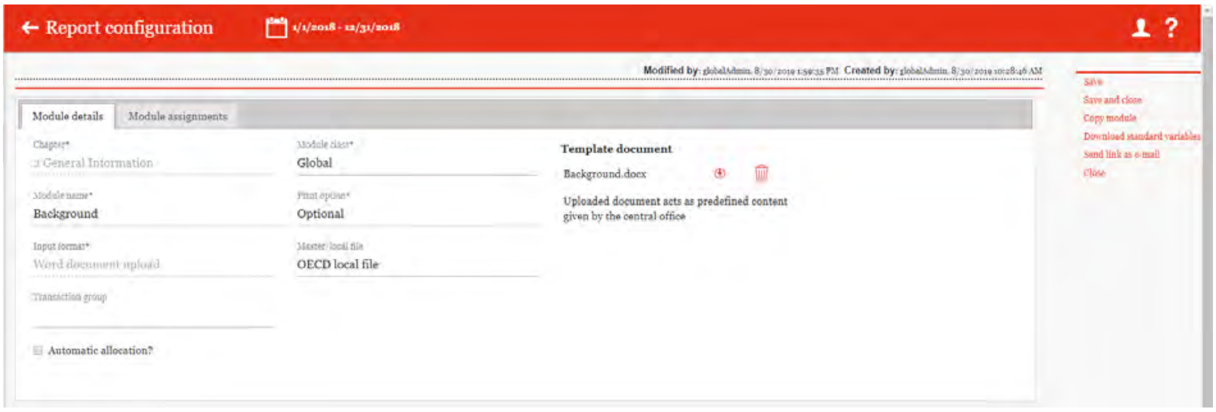

Figure 89: Module details

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*:** Module on Global, Divisional or Local level.
- **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.

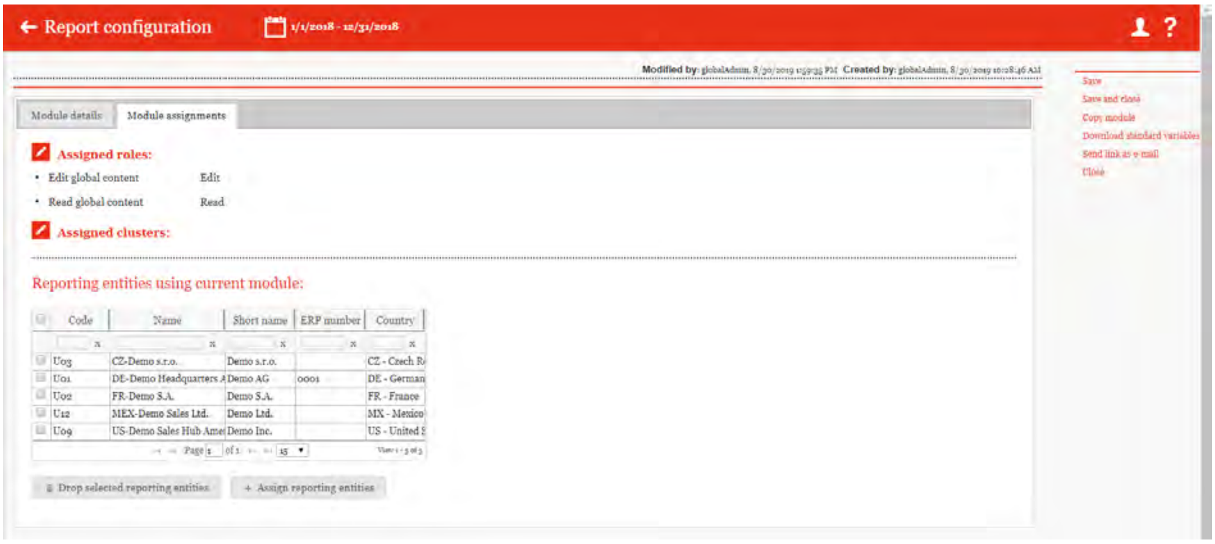

Figure 90: Module assignments

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.

2.1.3.1 *Modules on Local level, which can only be edited centrally*

It is possible to create modules for individual local companies that can only be processed centrally.

In the first step, a suitable role must be created for this. Choose "*Settings/Customizing/Roles*" to access the list of existing roles. Click on the button + New to create a new role. You must name the role (e.g. "Admin edit module", select "Module" for the role type and select "Create, edit and delete" for the standard permission).

After you have clicked on "**Save**" you can leave the menu.

Figure 91: Creating of a central administration role

Via "*Documentation setup/Report configuration/[Select a report configuration]*", you can reach the structure of the respective report configuration in which the corresponding module can be selected.

In the upper part of the screen, select the "Create modules" option and then click the button next to the desired module.

Afterwards, the option "Edit access control" can be selected via the tab "Module assignment". This opens the window shown in the following figure. Here the role distribution is to be adapted in such a way that the role "Read local content" and the new role (here in the example "Admin edit module") are listed on the right under "Assigned roles". If this is the case, the selection can be confirmed with a click on "**OK**".

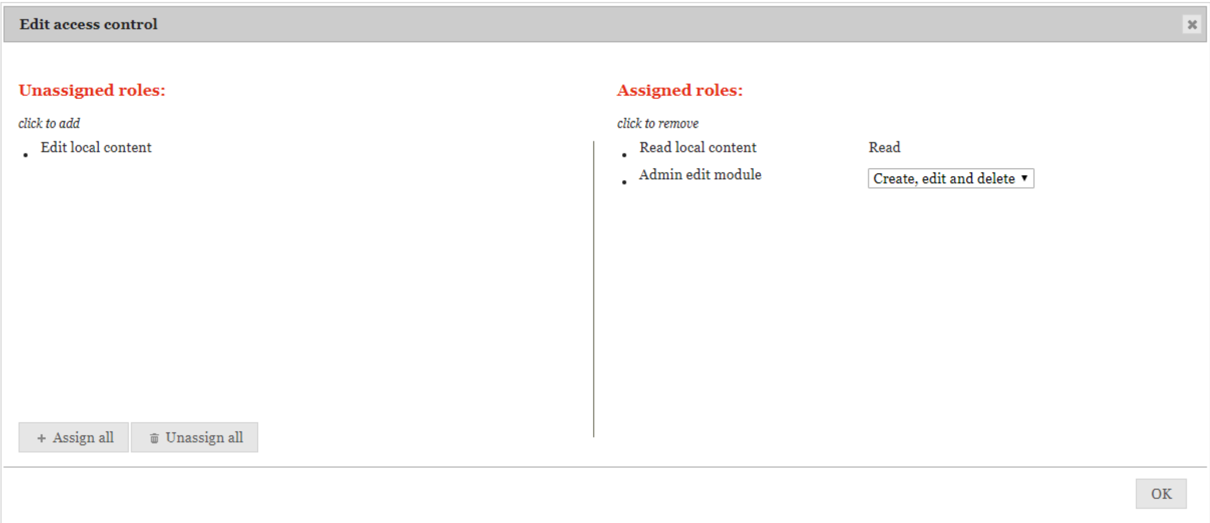

Figure 92: Edit acess rights

You can finish editing the module by clicking on "Save" or "Save and close".

Via "*Settings/Administration/Users*" the newly created role can be assigned to the users who are to edit the module.

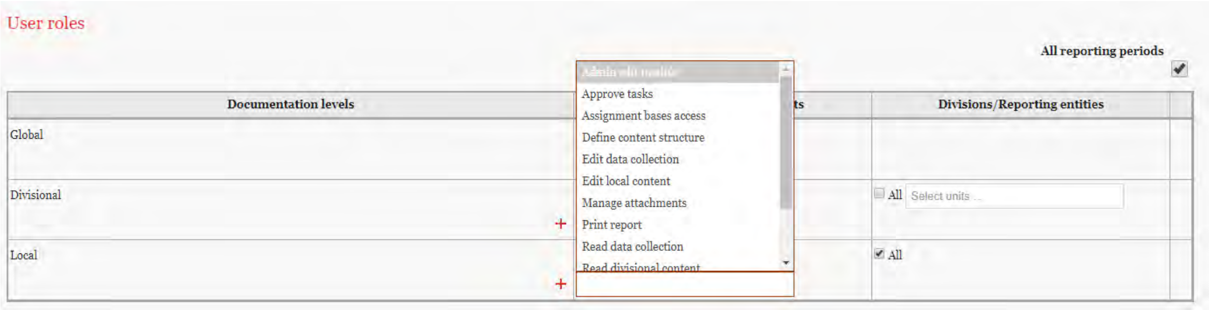

Figure 93: Assign editing rights

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.

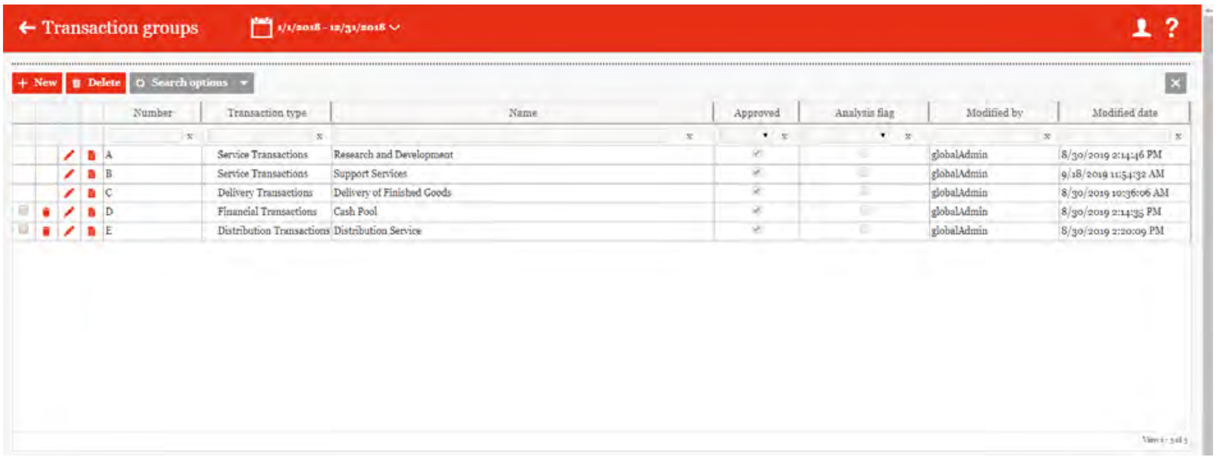

Figure 94: Transaction groups

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?**[7]
- **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.

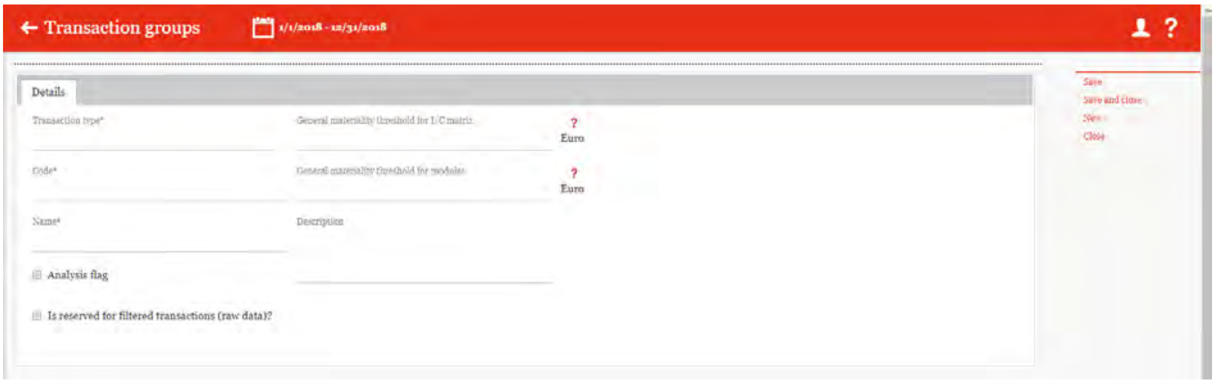

Figure 95: Transaction group - detail view

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)?**[8]

[7] 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.

NOTE: The **"General 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 figure above).

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

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 button .

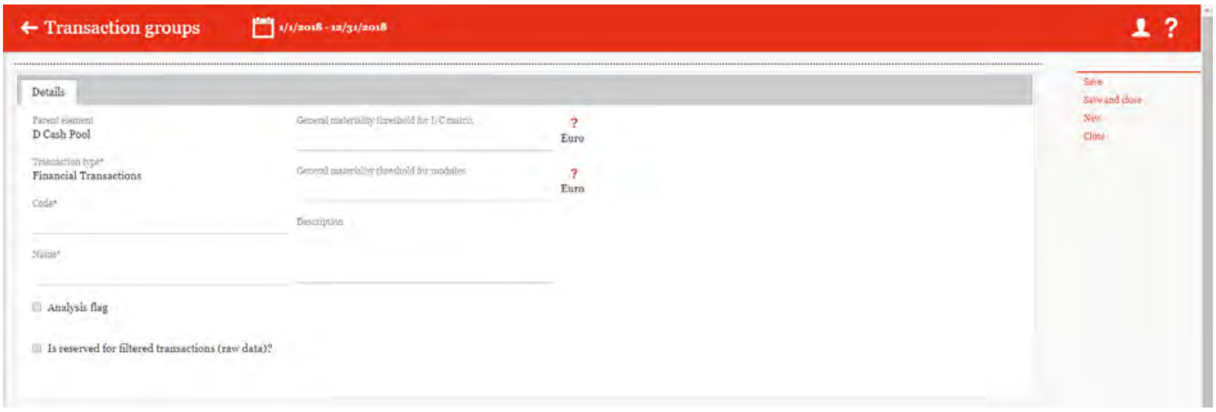

Figure 96: Create Sub-Transaction group

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 button . 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).

[8] 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.

2.3 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 setup/Benchmarking studies*" and + New. The view that then opens looks like this:

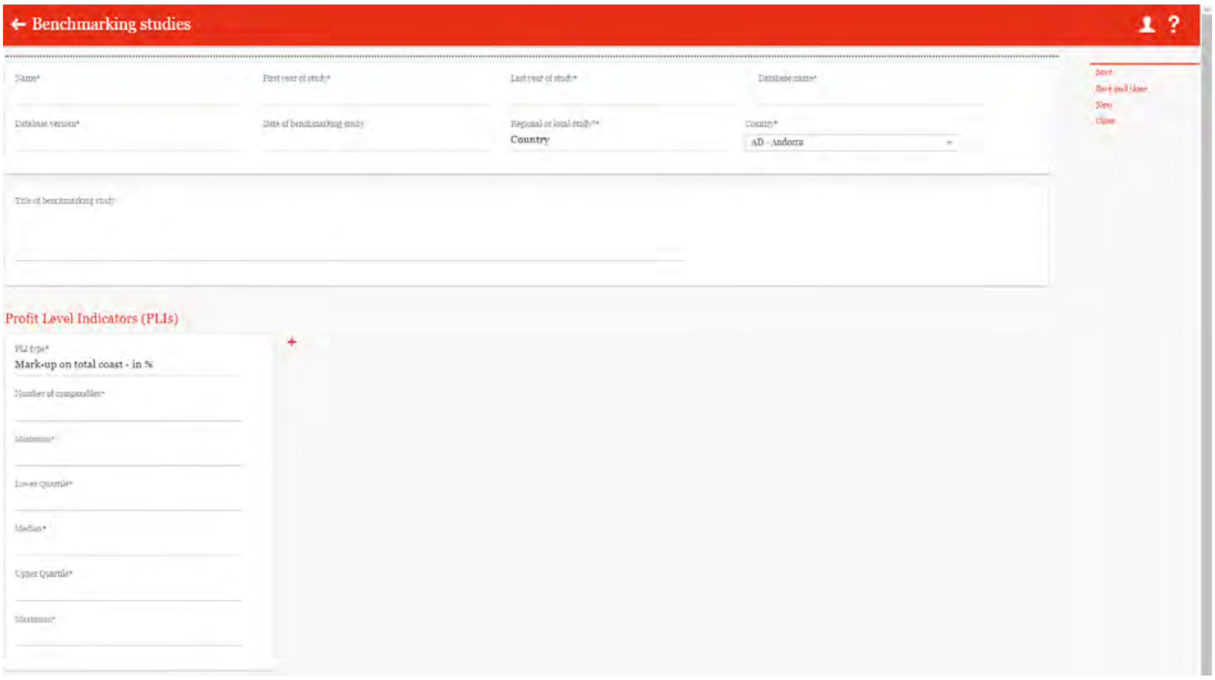

Figure 97: Create new Benchmarking study

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 "<u>*Countries*</u>", 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.

<u>**Profit Level Indicators (PLIs)**</u>

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 button 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*).

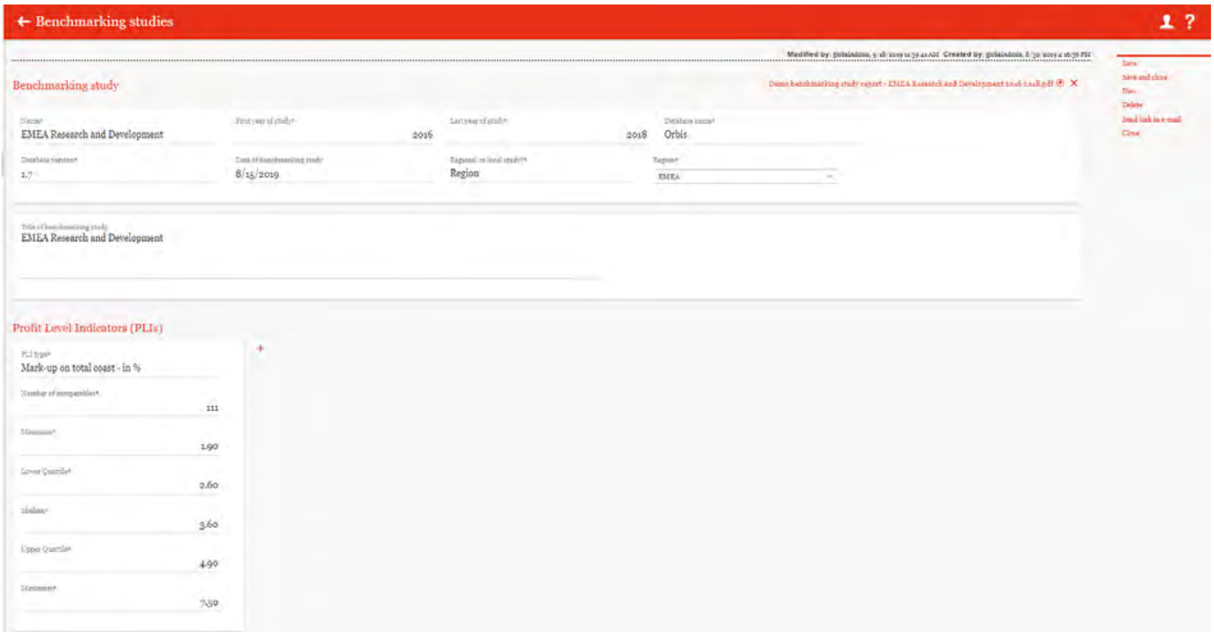

Figure 98: Edit Benchmarking study

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.

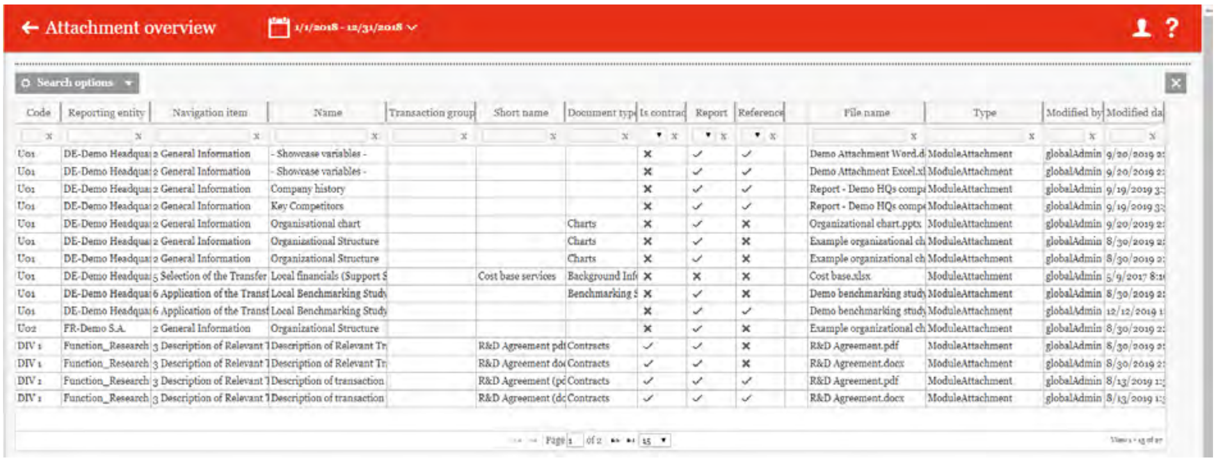

Figure 99: Documentation setup - Attachment overview

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.

2.5 Menu item Manage questionnaire

Under "Manage questionnaire" it is possible to edit and/or activate/deactivate a questionnaire for the master data of a reporting company and, if necessary, add your own questions in order to be able to use them as variables.

In the overview (see following figure) the questionnaire can be edited by clicking on the button . The overview also shows information on the status, name, description, processing time, and change data of the questionnaire.

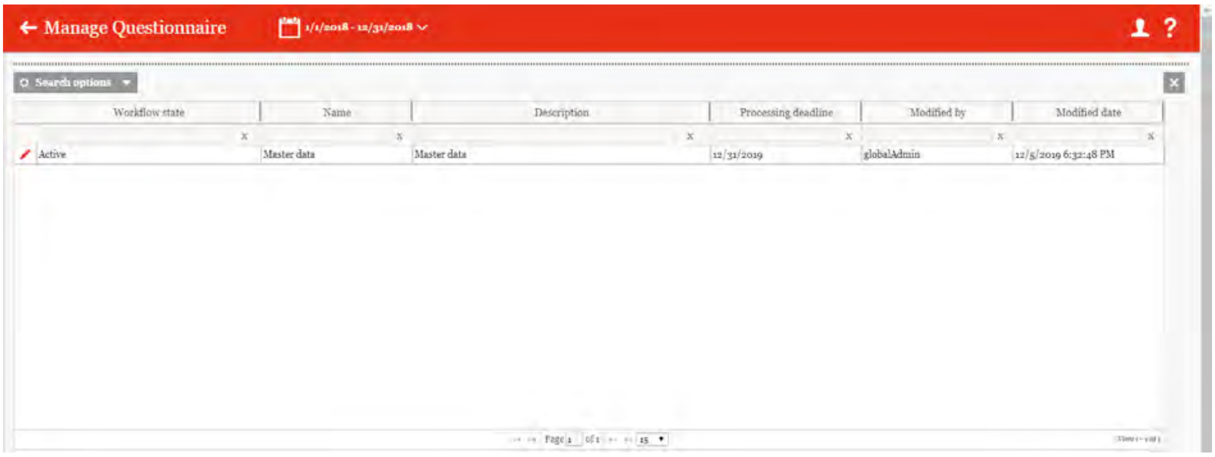

Figure 100: Edit questionnaire

The questionnaire can only be edited if its status has been set to "inactive". The questionnaire can be activated/deactivated using the corresponding button on the right-hand side of the screen.

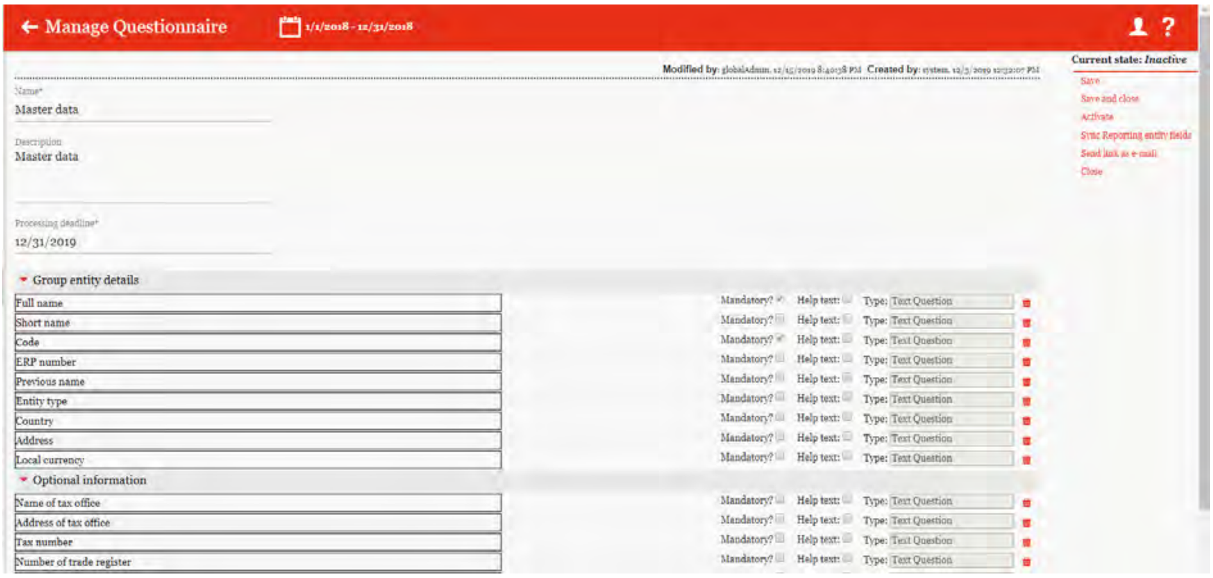

Figure 101: Edit inactive questionnaire

When editing the questionnaire, you have the possibility to delete questions using the button . In addition, by clicking on Mandatory? it can be set that the question for finalization of the questionnaire must be answered by the filling user. If the check mark is not set, the questionnaire can also be set to final without answering the question.

If you click on Help text: , you can also add a more detailed description, which will be displayed to the user filling in the form.

In order to include deleted questions from the master data in the questionnaire again, the button "Synchronize reporting company fields" must be used. In the following pop-up window, the deleted questions can be selected again (see figure below).

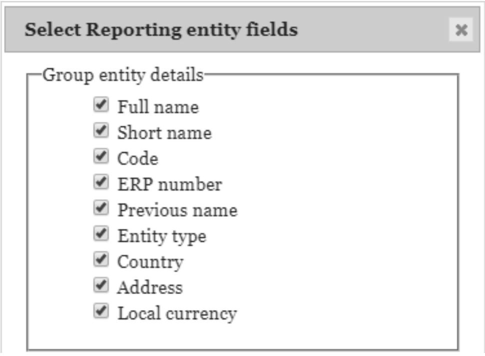

Figure 102 Synchronize reporting company fields

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.

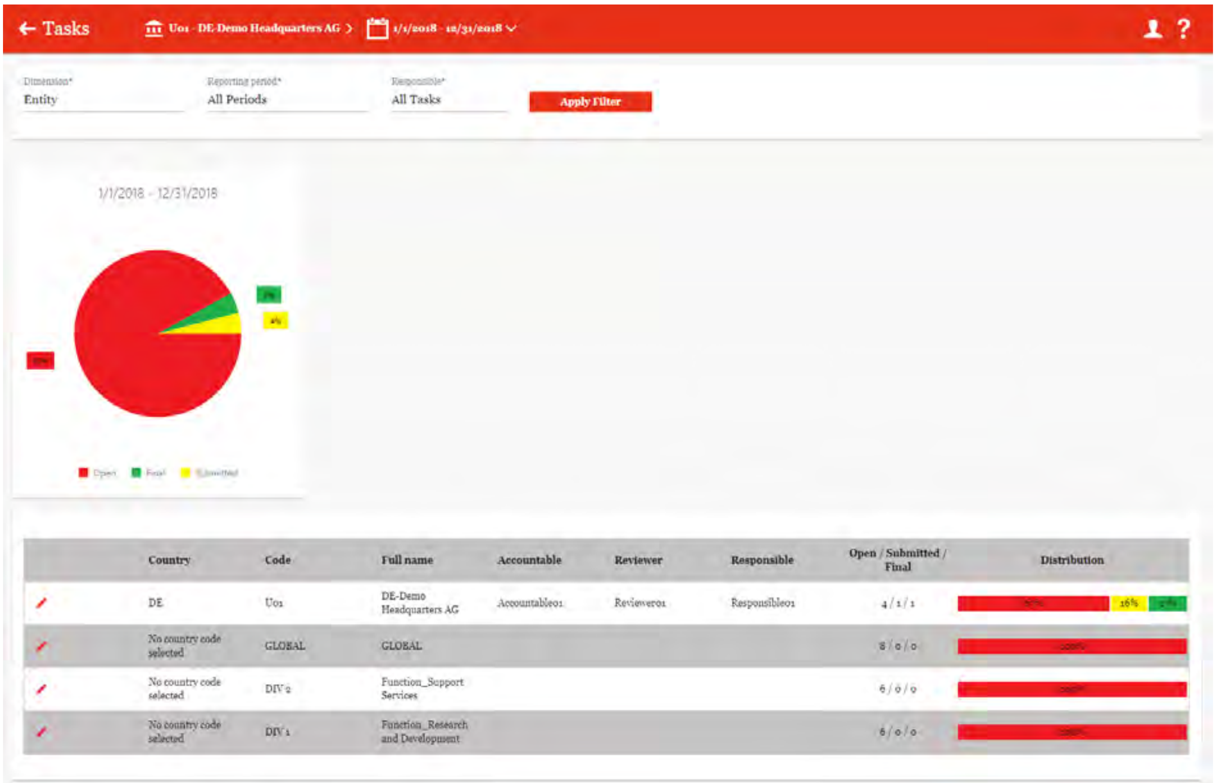

Figure 103: Overview Tasks current entity

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 figure 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 figure above, 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.

3.2 Menu item Task management

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

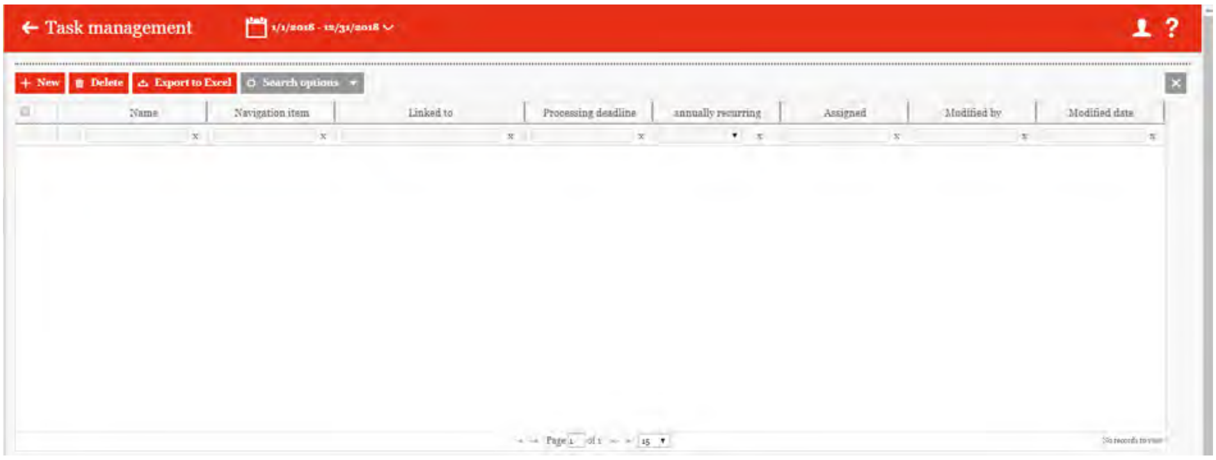

Figure 104: Task management overview table

NOTE: 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 figure).

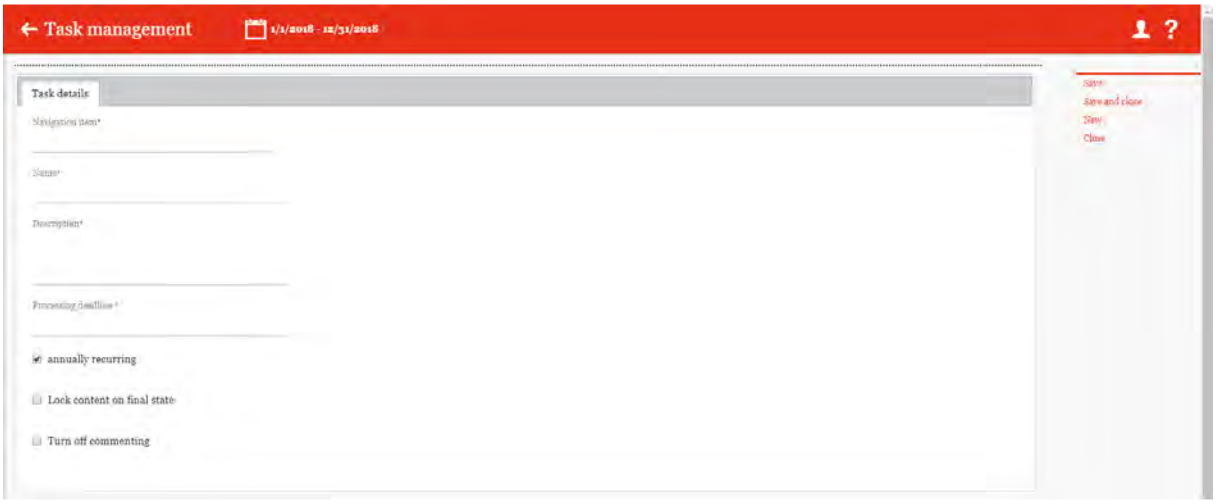

Figure 105: Create a new Task

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.

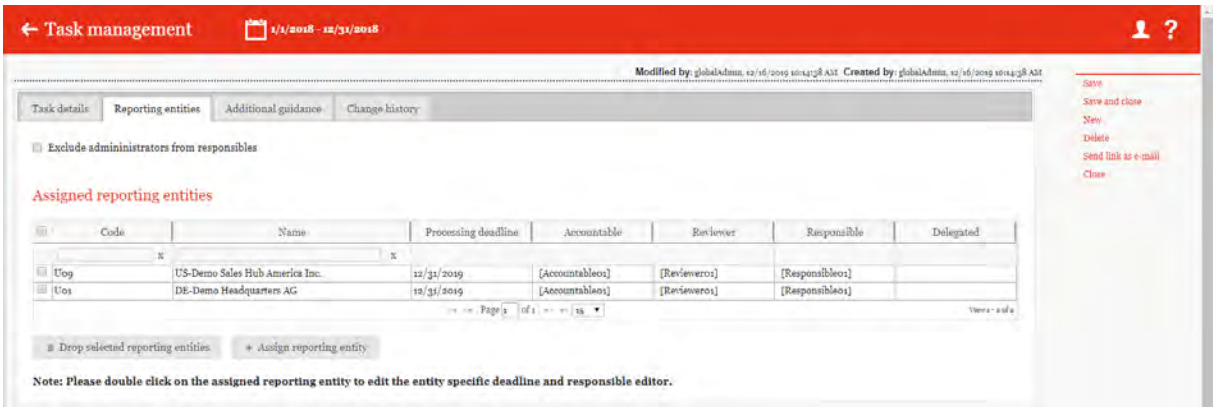

Figure 106: Reporting entities

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

NOTE: 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.

NOTE: The files uploaded here are not attached to the report, but serve only as a tool for the editing user.

Figure 107: 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.

Figure 108: Change logs

The created tasks are listed under the navigation item "**Task management**" and can be modified by clicking the button or may be deleted by clicking on the button . 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.

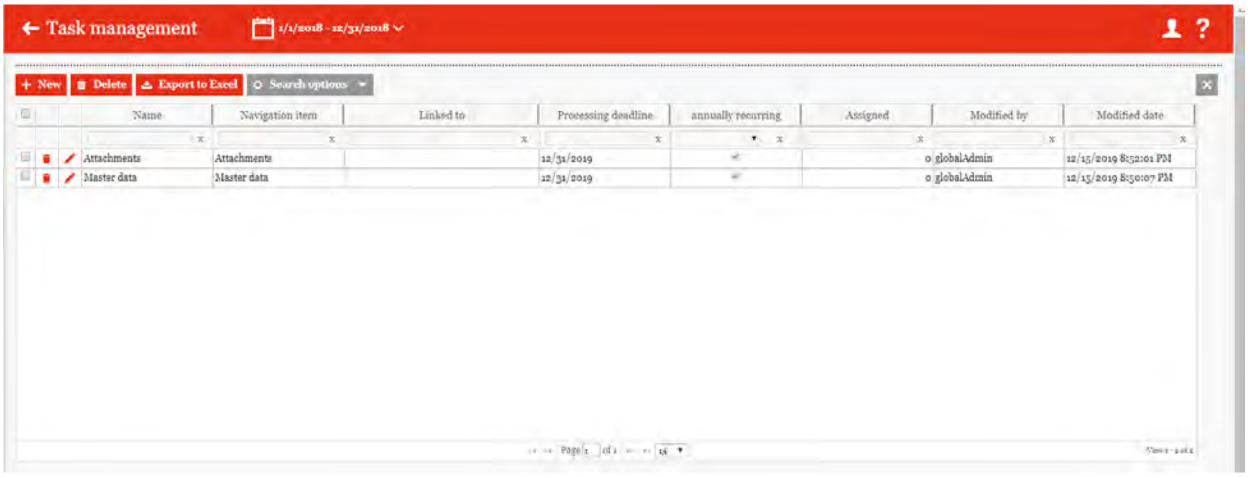

Figure 109: Overview Tasks

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* are displayed. In addition, uploaded reports that have been corrected outside of *globalDoc* 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.

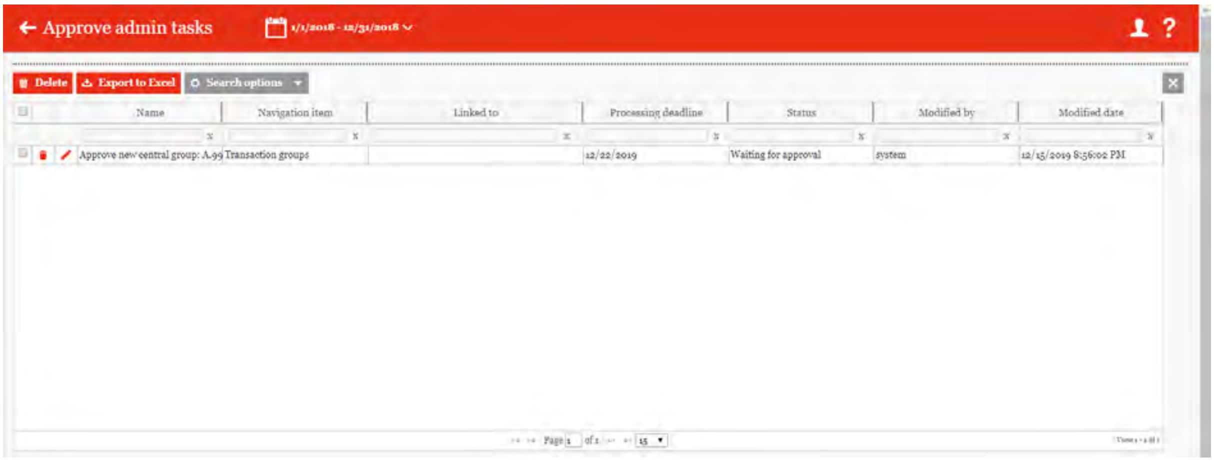

Figure 110: Overview of "Approve Admin Tasks"

The system administrator gains access to further detailed information on the selected task by clicking the button .

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.

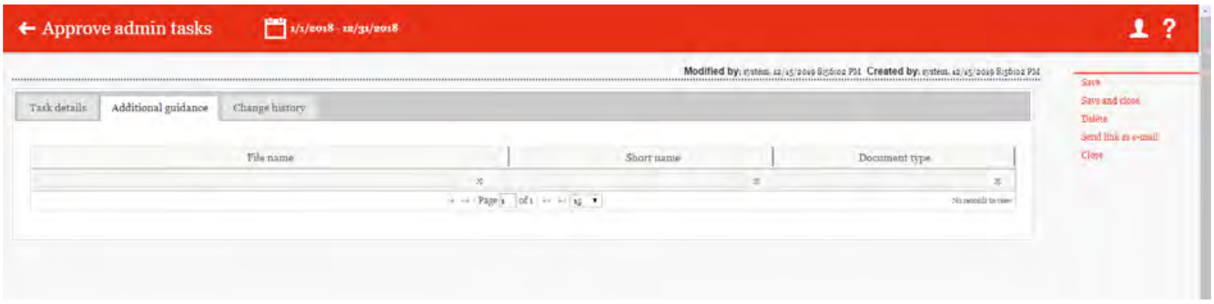

Figure 111: Detail view of "Additional guidance"

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.

Figure 112: Detail view of "Change logs"

Tasks are deleted in the same way as it is done in other sections in *globalDoc*. By clicking the button , 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 Figures

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