Frequently Asked Questions

General Questions

Is globalDoc Solution a field-tested and reliable tool?

globalDoc Solution exists **for almost 20 years**, making it the tool that has been on the market the longest. It was **co-developed by a Dax 30 company** and has been used by numerous clients since 2004. **Customer feedback** is regularly collected, processed and incorporated into ongoing further developments (version updates). Major releases (significant further developments of the tool) take place approx. every 2 years, smaller further developments (minor releases) take place approx. 1 - 2 times per year.

This ensures that the tool **always meets the requirements of the users**. Of course, the latest legal developments are also taken into account in the further developments, such as the OECD's three-stage documentation approach (master file, local files and country-by-country reporting).

Is the tool safe from cyber-attacks?

Underlying **software may be hosted on the client's server**. Thus, no data transfer to external servers or IT-systems is necessary.

Alternatively, the software may be **hosted externally**, e.g. on servers of our IT partner, Datenwerk GmbH. Datenwerk's data centres fulfil the highest standards of data security.

For the data transfer from and to *globalDoc*, **SSL encryption** is employed. In addition, the tool is regularly checked for security loopholes by simulated cyber-attacks via penetration tests (**PEN tests**).

At the same time, centralised data management and a process of archiving outdated documents for data retention ensures a high level of safety.

How can I access the tool?

As the tool is web-based, all authorised users have access via the Internet browser.

Users with "administrator" rights have the most comprehensive authorisations. They can activate additional users for the tool and distribute tasks according to their degree of involvement (see also the administrator manual).

Usually, users are only authorised for a part of globalDoc, so that each user only sees the areas of the tool and can only carry out the actions that are relevant to him.

How do users get an overview of all features within globalDoc?

As part of the globalDoc implementation, the PwC globalDoc team offers various workshops, which also include **user training** in which all globalDoc functionalities are explained. In our experience, these workshops are sufficient to train all necessary processes in the tool. Additional training is possible at any time.

Furthermore, numerous **how-to videos** as well as detailed **manuals for different user groups** are available for everyday use in German and English.

There is also a **user hotline** (telephone + e-mail).

Is it possible to get trial access to globalDoc?

Yes. However, due to the tool's extensive scale, a presentation by PwC is highly recommended.

Does globalDoc contain the project management of the annual documentation process?

Yes. ($\rightarrow$ *see section "Workflow Management"*)

Is there a hotline support available? If so, in which language?

Yes. Hotline support is available in German and English language. Additional languages are possible upon request.

Using the tool, how quickly can users react to changing regulatory requirements (e.g. BEPS Master file/Local file approach)?

Due to its **modular structure,** the tool may be **organized flexibly**. Moreover, constant developments (updates) ensure that changing regulatory requirements are met at all times.

User Friendliness and Usage

How user friendly is the tool?

globalDoc is designed in such a way that the user interface **for each user is tailored** to their needs/assigned tasks by means of **individually selectable user rights**.

This means that, for example, only the tasks and data relevant to local users are displayed. This ensures a **very compact and user-friendly** operation.

The high level of user-friendliness is supported by the **applicability of the latest Microsoft Office versions**, various **email functions** and the coordination and organisation of tasks (see "Task Management").

Is a software installation required for each user?

Access to the tool is possible for authorised users **through an internet link via any computer** with internet access.

In which languages is globalDoc available?

The language of the globalDoc user interface can be selected by the respective user from 8 options. **German, English, Italian, Spanish, Polish, Czech and Portuguese (Brazil and Portugal)** are offered as standard, but other languages are also possible. Regardless of the selected language setting, documentation content can be entered into the tool in **any language**.

May globalDoc's graphic layout be adjusted?

Upon customer request, the graphical layout of the user interface can be customised as part of the IT-side installation of the tool. The layout of the documentation reports generated with the tool can be adapted to **customer-specific templates** by users with "administrator" rights themselves.

How difficult is the assignment or withdrawal of access rights to globalDoc (e.g. if an employee leaves the company)?

An existing user **profile can be easily transferred to another person by means of a copy function** when changing employees. Users who are no longer active can be blocked or alternatively deleted from the tool.

Preparation of transfer pricing documentation

How flexible is the tool? Is it possible to consider local requirements and individual characteristics of the reporting company when preparing the documentation reports?

Due to the modular structure of the tool, the documentation content can be adapted to local requirements and individual specifics. For example, it is possible to differentiate between (i) **global** (relevant for all reporting companies), (ii) **divisional** (relevant for several reporting companies, e.g. in terms of region, function, business unit) and (iii) **local** information (relevant for only one reporting company).

This differentiation into global, divisional and local text blocks efficiently ensures the **consistency** of the report content, and at the same time, individual requirements can be taken into account at any point in the documentation through local modules.

Flexibility is also provided, for example, by the possibility of individually adapting the **outline structure** to country-specific documentation requirements or in the **language selection** for documentation in the national language.

To what degree may globalDoc be customized to individual client needs?

globalDoc is published in a standard version. Within this standard version, administrators and other users may apply several settings to scale it to the reporting company's respective needs.

Is it possible to set up a documentation based on information from a prior/pre-existing period? ("Roll-forward" function)

Yes. Data/report contents of companies to be documented, master data as well as the user-defined tasks (task management), access rights and user roles can be transferred to other reporting periods (roll-forward and roll-back).

Is there a monitoring function for changes made to documentation content?

Yes. globalDoc logs such changes. The fact that changes have been made is visible to users with the appropriate access rights. The log can be exported as a "log file". In addition, the documentation contents and attachments are historised so that earlier formulations can be reverted to.

What file formats may be uploaded?

All common file formats (e.g. Microsoft Office products, PDF, JEPG, etc.) are supported as file attachments. The creation of transfer pricing documentation is based on Microsoft Word format (doc, docx). In addition, the documentation can be created in PDF format.

Is it possible to add local and/or extraordinary transactions into globalDoc?

Yes. Relevant local information and/or extraordinary transactions, which concern single entities, only may be created as separate (local) modules in *globalDoc*.

Is there a search function for the data in the tool?

Yes, a search function can be used in each application area (e.g. collection of file attachments, list of users, overview of created modules). File attachments are clearly managed by means of the "Attachment Overview" section. In addition, there is a search-and-replace function to insert variables consistently as placeholders in the entire report.

Can individually formatted reports be created for the different units involved?

Yes. Individual and customised logos and standard formats may be created and used as templates.

Each printout may be adjusted either in terms of content (reduced or elaborated content), or according to a respective target group (e.g. internally – individual departments, externally – tax administration), or the purpose of the documentation report.

Is it possible to manage benchmarking studies in the tool and automatically attach them to the reports?

Yes. Benchmarking studies can be entered and uploaded in a menu item provided for this purpose. The results can then be inserted as variables in the text. In addition, the benchmarking study itself is attached to the report as an appendix, if desired.

Is there an integrated review process?

Yes. In line with the RACI concept, accountable, responsible and reviewers can be defined for each reporting unit, so that only certain persons can approve individual contents and entire reports (recorded in the tool). In addition, there is a delegation function.

Can variables be inserted in the text as placeholders?

Yes, all master data in the tool can be inserted as variables in the text. In addition, you can create your own user-defined variables using the questionnaire function.

Data interface and interfaces to other TP Tools

May master data be uploaded and regularly synchronised in globalDoc?

Yes. globalDoc offers standard interfaces for the import of company master data. Other systems can be connected on request.

Is it possible to upload and synchronise financial data (e.g. volumes of relevant cross-border IC transactions) into globalDoc?

Yes. An upload into globalDoc from client-side upstream systems is possible **via Excel upload** or **ERP interface**. The additional feature "ERP Interface flex" is required for this. Synchronisation can be carried out by the user in globalDoc via a "**pull**" function.

May transaction volumes between provider and recipient be coordinated?

Yes. Coordination of transaction volumes is possible via the additional feature "TP matrix".

Can documents be outsourced and archived in archive systems?

Yes. Long-term archiving is possible. globalDoc supports certain archiving systems for archiving (see system requirements)

Workflow Management

May respective entities, involved in the creation of documentation, request a status update of the documentation at any time?

Yes. The status of the documentation may be tracked by each entity via a **traffic light system**. Additionally, written feedback can be included in a given task to provide the entity with detailed feedback on the status of the provided information.

Is there a protection mechanism so that deadlines and dates are not missed?

Various deadlines for all / individual companies and tasks can be stored in the tool. It is also possible to display the legally required preparation and submission deadlines for all countries. An **email reminder programme** is an integral part of globalDoc, which can generate automatic notifications (individually adjustable in terms of time) in the event of an impending deadline.

Other features

Is it possible to implement an "Integrated Dispute Management" tool which may be used as a reference to critical transactions in case of a tax audit (best practices)?

Yes. Based on *globalDoc*'s system structure, best-practice cases may be centrally provided and managed.

Is there a function providing an overview of all Group entities currently under audit?

Yes. Based on the system structure of globalDoc, such functionality can be stored and centrally managed. In addition, it is possible to create queries for the companies via the integrated questionnaire function. The answering by the globalDoc users and the evaluation of the questionnaires by the administrators take place directly in the tool.

Is there a "Filing and Tax Audit Status" feature which allows monitoring of upcoming tax audits and announced tax audits in globalDoc?

Yes. Based on *globalDoc*'s system structure, such a feature may be implemented and managed centrally.

IT Fragen

Is it possible to switch between the European and American date formats?

Yes. This is possible.

Who will conduct the implementation of globalDoc?

Datenwerk GmbH, as PwC's exclusive software partner, supports the **initial IT implementation** on the client's servers, while PwC is involved in the **technical conception, (initial) creation and continuation of the documentation content** in globalDoc as well as in **project and change management**.

Based on customer feedback, suggestions for improvements of a technical and content-related nature are collected and used as a basis for **further developments**. Customers are automatically informed about new developments and receive explanations on how to use the new functionalities.

How many server instances are required?

- 2 server instances for the execution (application and database server)
- 1 server for the test system

(*further technical requirements can be found in the document "Prerequisites for globalDoc Solution" by Datenwerk GmbH*)

Which general software stack is required for globalDoc?

A Windows server with **IIS** and **.Net Framework 4.7** is required as the application server. **Oracle** or **Microsoft SQL** Server is required as the database.

What are the hardware requirements for the servers?

The following requirements apply (assumption: 500 companies to be documented)

- Application server and database server each require 4 cores and 4 GB ram.

- For the application server, 1 GB of "temp files" storage space is required.
- For each documentation period, 7.5 GB of storage space is assumed for the database server.

What are the system requirements for the server?

- Windows Server 20012 (incl. R2) or Windows Server 2016 or Windows Server 2019
- Oracle 12.x or higher up to 19c
- MS SQL Server 2012 (R2) up to 2019

What are the system requirements for globalDoc Solution if based on Oracle?

With Oracle, one database server instance is required. As a rule of thumb, 50 MB of hard disk capacity should be available for each local company and a database buffer of about 400 MB. The network connection to the application server should be fast.

What are the system requirements for globalDoc Solution if based on Microsoft SQL?

With Microsoft SQL Server, one database server instance is required. As a rule of thumb, 50 MB of hard disk capacity should be available for each local company and a database buffer of about 370 MB. The network connection to the application server should be fast.

What technology/coding is globalDoc based on?

globalDoc is based on .**Net 4.7.2 oder 4.8** und **C#**

Where can globalDoc Solution be hosted?

GlobalDoc Solution can be hosted internally at the client, at Datenwerk or at PwC.

Is it possible to connect globalDoc to the internal user authentication (SSO)?

Yes, globalDoc Solution supports the cloud variant Microsoft Azure AD for Single Sign On (SSO).

Does globalDoc Solution support two-factor authentication?

Yes, globalDoc Solution can optionally send an SMS or an email with a One Time Pin (OTP) to the user to further secure the login process.

Is an external interface required?

No.

Is an internal interface required?

The email escalation function requires a **SMTP Gateway**.

What are the system requirements for the client computers?

Any operating system with a running graphical browser is supported. GlobalDoc Solution has been tested with the following browsers in particular:

- *Google Chrome (recommended)*
- *Microsoft Edge*
- *Mozilla Firefox*

Which steps need to be taken to install globalDoc on client servers?

Step 1: Preparation of the server

a) Installation of the operating system (Windows Server incl. .NET 4.x)
b) Installation of IIS
c) Provision of an Oracle data base server
d) DB users (one test and one productive system each) with their own storage space (script provided)
e) Computer with administrator function (Data-Base-Administrator Tools)

Step 2: Installation of globalDoc on the test and productive system (DATENWERK/Client, Client Data Base-Admin via remote access)

a) Import of an empty database
b) Configuration of the Windows server
c) Installation of the Oracle database components
d) Installation and configuration of the application
e) Training of the database administrator and creation of scripts, e.g. for the transfer from the productive to the test system.

Step 3: Go-live of the standard version (customer)

a) Testing and acceptance
b) Go-live

Step 4 (optional): Installation of a client-specific version in the test and productive system (DATENWERK/customer)

a) Installation and configuration of the application in the test system
b) Release of the application by the specialist department
c) Installation and configuration of the application in the productive system

Step 5 (optional): Go-live of the client-specific customised version (customer)

a) Testing and acceptance
b) Go-live