

Frequently Asked Questions

General Questions

Is globalDoc Solution a field-tested and reliable tool?

globalDoc Solution has been in **use for more than 15 years**, making it the longest standing tool in the market. The tool was **co-developed by a DAX 30** (German blue chip stock market index) corporation and has been in successful usage by more than 60 multinational company groups since 2004. **Customer feedbacks** are gathered regularly, enabling us to routinely develop updates to increase *globalDoc's* usability (version-updates). Major updates are published about every 2 years, minor releases once or twice a year.

The system ensures continuous development as well as greatest utility for its users. In addition, it safeguards legal certainty via implementation of legal developments in the updates (e.g. to reflect the OECD three-tier 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At the same time, centralised data management and a process of archiving outdated documents for data retention ensures a high level of safety.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?

All users may access globalDoc online via a secure **https://** - **Internet connection**.

The most extensive user privileges are reserved to users possessing administrative privileges. They may grant *globalDoc* access to additional, new users as well as assign tasks (→ see *administrator manual*).

Local users, i.e. users who are responsible for only one company, may only access the areas of *globalDoc* for which the system administrator granted them read only or editor rights. That way, users will only work within the environment relevant for them.

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

Several workshops will be held during the implementation of *globalDoc*, which include a **user training session** on all available features of *globalDoc*. Additional training sessions may be scheduled anytime.

Moreover, **detailed manuals** for each user group (user manual and administrator manual) **will be provided**. They lay out in detail all the information necessary for daily use of the tool.

In case of further queries, users may call the **user-hotline**.

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. (→ 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.

Is the tool compliant with BEPS?

Yes.

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 a way which ensures that the user interface is automatically **adjusted individually to requirements and assigned user tasks** (by means of flexible user privileges).

Consequently, as an example, only data which is relevant for respective users (e.g. Local-Users) will be displayed to them. That way, a concise and **user friendly usage is ensured**.

The **usability of newest Microsoft Office versions**, different **emailing functions** as well as a task management function (*see "Task management"*) further supports globalDoc's user friendliness.

By regularly developing and adjusting the tool in response to user feedback, user friendliness is continuously improved.

What aspects were considered regarding accessibility requirements?

By using up to date programming techniques, the application complies with the accessibility requirements. The requirements are sub-divided into the following areas:

Perceptibility: Design and contents have been separated during the development process. This allows the usage of the tool in other ways than by a classical web browser.

Besides a few exceptions, all buttons contain text, which enables the usability without graphical representation. All elements are arranged semantically correctly and the enlargement without horizontal scrolling is possible.

The few buttons represented only in a graphical way and not by text, can be upgraded with minimum effort.

Operability: The operation without a mouse device is currently not possible in standard browsers. For this purpose, the top menu can be adapted to activate a visualisation of the buttons, which then can be controlled via keyboard.

Comprehensibility: Great attention was paid to the user guidance and easy usability, even though a basic knowledge on transfer pricing is required for the optimal use of the tool.

Robustness: The use of HTML standards enables the tool to run reliably in all major browsers and in other specialised systems to support accessibility.

Does globalDoc allow for web based access?

All registered users may access the tool via any internet browser by entering *globalDoc's* link.

In which languages is globalDoc available?

Each user may select his/her individual language of preference. By default, **German** and **English** are available. However, documentation content may be entered in **any language**.

May globalDoc's graphic layout be adjusted?

Upon customer request, the graphical layout of the user interface may be customised during the installation process. The layout of documentation reports may be **customized to a client specific format** by any user possessing administrative privileges.

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

Any existing user profile may **easily be transferred to another person by copying the access rights** to another employee.

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 tool's modular design, the documentation may be adjusted to local requirements and individual characteristics. As an example, within *globalDoc* it is possible to differentiate between text blocks which are: (i) **Global** (relevant for all reporting companies), (ii) **Divisional** (relevant for several reporting companies, e.g. in respect to region, function, transaction or business unit), and (iii) **Local** (only relevant for single reporting companies).

The use of **Global** and **Divisional** modules safeguards uniformity and an overall consistency in all documentation reports. The use of **Local** modules provides flexibility to document local requirements and individual characteristics of the reporting company.

Moreover, the possibility to adjust the documentation structure to local documentation requirements or the possibility to print reports in local language provide further **flexibility**.

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. Moreover, Datenwerk GmbH offers customization based on individual requests.

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

Yes. Any type of data and documentation content may be transferred to other periods (roll-forward and roll-back), including e.g. master data, user tasks (Task management), user privileges or roles.

Are pre-defined text templates, for example pre-formulated function and risk analysis, already included in globalDoc?

Yes. However, their content will be individually adjusted to customers during the implementation phase of *globalDoc*.

Is it possible to track changes applied to standard templates?

Yes. *globalDoc* tracks such changes. This protocol will be made available to users possessing sufficient access privileges in form of an "Action log" Excel-file. Additionally, *globalDoc* backs up all documentation contents. That way, recovery of earlier versions is made possible.

What file formats may be uploaded?

Attachments of all popular file formats are supported (e.g. Microsoft Office, PDF, JPEG and others). The transfer pricing documentation itself is produced on platform of a Microsoft Word document (doc, docx).

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 modules in *globalDoc*.

Does the tool have a search function?

In each application area of globalDoc (e.g. collection of file attachments, list of users, overview of created modules), a search function may be accessed. Similarly, via the category “Attachment overview”, data attachments may be neatly managed.

Is it possible to create automated (individual) printouts for different entities?

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.

May documentation contents or attachments be edited within globalDoc?

Yes. Users with sufficient access privileges and roles may revise documentation contents and directly upload new versions to globalDoc. That way, contents will be updated for all related entities affected by the revision.

Data interface and interfaces to other TP Tools

May master data be uploaded and regularly synchronised in globalDoc?

Yes. The upload of master data into globalDoc from other systems is possible via Excel upload or ERP interface. This functionality is made available via a “pull” function. However, for this purpose, the additional feature “ERP Interface flex” is required.

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

Yes. The upload of financial data into globalDoc from other systems is possible via Excel upload or ERP interface. This functionality is made available via a “pull” function. However, for this purpose, the additional feature “ERP Interface flex” is required.

May transaction volumes between provider and recipient be coordinated?

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

Controlling & Monitoring

Is it possible to add additional controlling and monitoring features to globalDoc?

Yes. If required, additional controlling and monitoring features may be developed and implemented upon customer request. These modifications, however, are not part of the standard *globalDoc* implementation and thus would be carried out as additional projects.

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 some sort of protection, for users, to not miss deadlines?

globalDoc contains an automatic **emailing function** which sends out scalable (time wise) reminders to persons responsible for task completion.

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 *globalDoc*'s system structure, such a functionality may be implemented and centrally managed. Moreover, firms may, with the additional feature “**TP questionnaire**”, draft questionnaires. Those can then be answered by users and evaluated by administrators 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 related questions

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 the exclusive software partner of PwC, supports the **IT-related initial implementation** on client servers, whereas **PwC supports from a transfer pricing point of view**. That implies (first-time) creation and continuation of documentation contents in *globalDoc* as well as **project and change management**.

The software implementation may be conducted on-site, in cooperation with Datenwerk, or remotely. Datenwerk offers either to independently install the software, align with client’s requests, or to coach client’s IT department when installing *globalDoc*.

Regularly gathered client feedback will be continuously assessed and constitutes the basis for **updates and further developments** of *globalDoc*. On a rolling basis clients are notified of those updates and provided with information as to the functionality of those new or updated applications.

How many server instances are required?

Two server instances for execution (application and database server) and one server for the testing system.

For further technical prerequisites, please refer to “Prerequisites for globalDoc Solution” by Datenwerk GmbH.

Which general software stack is required for globalDoc?

As an application server, a **Windows server with IIS** is required. As database, an *Oracle* or *Microsoft SQL* server is required.

What are the hardware requirements for the servers?

An exemplary assumption of 500 reporting entities would require:

- Application server and database server with 4 cores and 4 GB RAM each
- 1 GB "temp files" for the application server
- 7.5 GB of memory space, per period to be documented

What are the system requirements for the server?

Windows Server 2008 (R2) or 2012 (R2)

Oracle 10.x or 11.x or 12.x

MS SQL Server 2008 (R2) or 2012 (R2)

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

Using Oracle, a database server instance is required. Generally, 50 MB disc space for each entity as well as 400 MB database buffer should be available. The network connection to the application server should provide high-level speed.

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

Using Microsoft SQL, a database server instance is required. Generally, 50 MB disc space for each entity as well as 370 MB database buffer should be available. The network connection to the application server should provide high-level speed.

What technology/coding is globalDoc based on?

globalDoc is based on **Net 4.0** and **C#**

Is globalDoc offered via the software-as-a-Service (SaaS) / ASP model?

No. Due to the contractual agreement, the clients acquire a license for unlimited tool usage. That way, as an example, clients would be able to print off documentation at any point, even after termination of the contract.

Is an external interface required?

No.

Is an internal interface required?

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

What versions of respective internet browsers are supported?

Microsoft Internet Explorer 8, 9, 10, 11

Firefox

Chrome

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

Step 1: Preparation of servers

- a) Installation of operating system (*Windows Server incl. .NET 4.x*)
- b) Installation *IIS*
- c) Deployment of *Oracle* Data-Base-Server
- d) DB-User (Test and Production, one each) with own tablet spaces (Script will be provided beforehand)
- e) A computer with administrator function (Data-Base-Administrator Tools)

Step 2: Installation of globalDoc on test- and productive system (DATENWERK/Client, Client Data Base-Admin will be accessible remotely)

- a) Import of an empty Data-Base
- b) Configuration of *Windows Server*
- c) Installation of *Oracle* data access components
- d) Installation and configuration of application
- e) Instruction of the Data-Base-Administrator and creation of scripts, e.g. Transfer PRD →TST

Step 3: Go-live of standard version (Client)

- a) Test and acceptance
- b) Go-live

(Potential) Step 4: Installation of customized version on test- and productive system (DATENWERK/Client)

- a) Installation and configuration of application in test-system
- b) Release of application through specialized department
- c) Installation and configuration of application in productive-system

(Potential) Step 5: Go-live of customized version (Client)

- a) Test and acceptance
- b) Go-live