Administration - Manual

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With the Softare, you can enter the data of your clients. It documented the financial statements, as well as the complete overview of the covered seats.

You meet the quality requirements of the audit oversight authority to be applied to particular PS220 "quality assurance in auditing".

The procedures and processes are adapted to the size of the audit firm and the complexity of the mandates.

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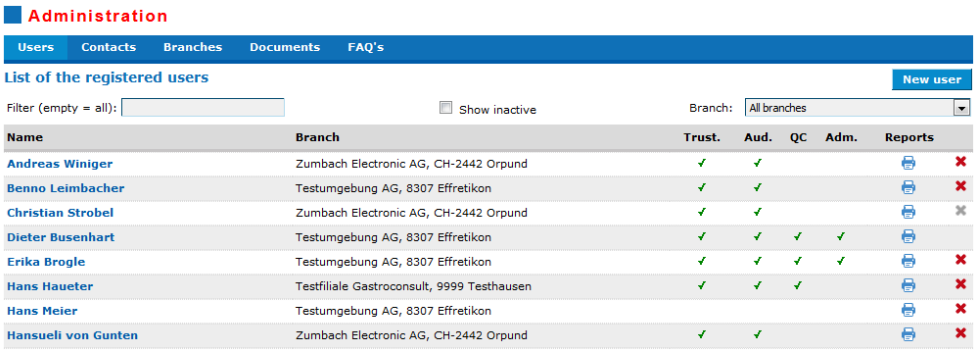
1 Administration

In the administration area, you manage users and branches as well as the help and information documents to the software. The individual areas are:

- **User**
  - Login and address data
  - Rights and allocation of branch
  - Auditor data, training
- **Contacts**
  - address
  - login DOCshare
- **Branches**
  - The address of the store, display, options that auditor data
- **Manage documents**
  - Verwalten Manage the documents in the "Manuals"

1.1 users manage

Here, you enter the user of the software. Master data, store, login, rights, data to the auditor and training are included..

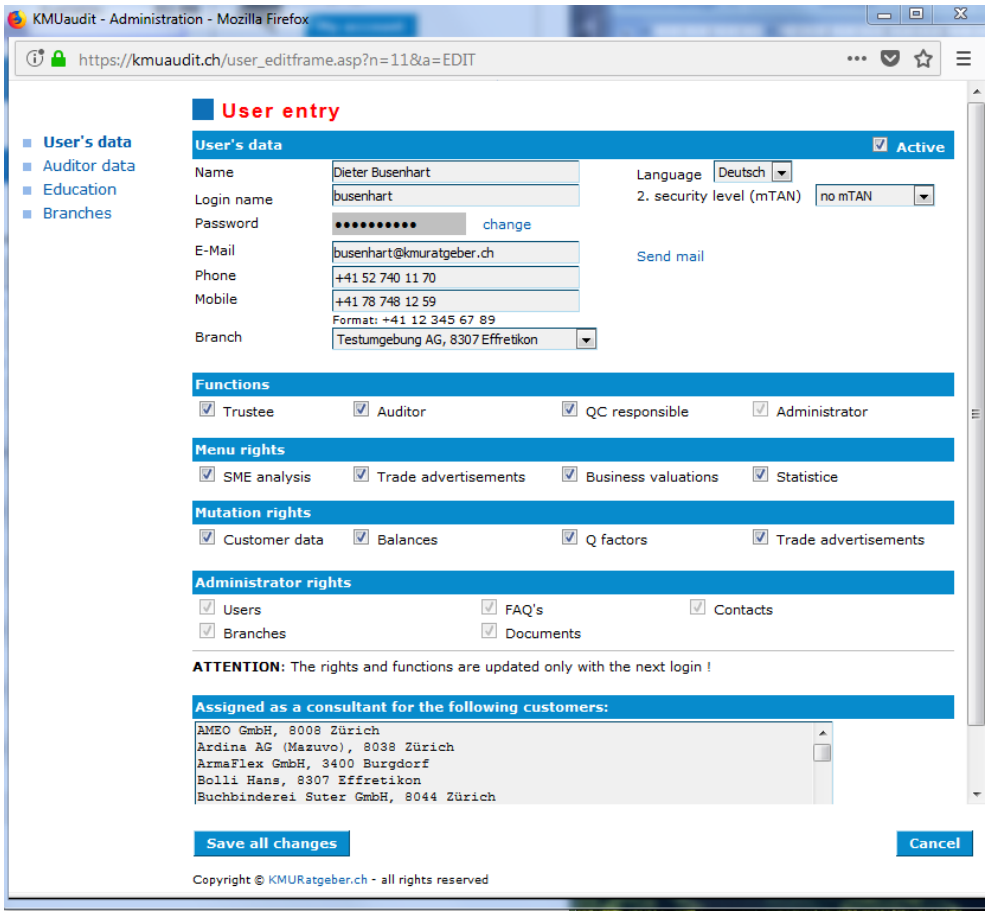


Greyed entries are inactive users. The green check mark right indicates whether the user has administrator privileges has. An administrator can enter other users.

1.1.1 user date

1.1.2 data

Here you enter the root login and the rights of the user.



A) user data

1. name first name and name
2. login name username for the login
3. password only administrators collect and change passwords
4. email and phone number
5. email, with this function you can send an email with their login data the user (login data not via phone notify)
6. branch important for auditing companies with multiple locations, branches
7. rights of the user (default for auditor see below)
   - Active only active users can login
   - Administrator can manage staff of his branch (Administrator)
   - Trustee if set, can the user as a trustee allocated be and create access to fiduciary functions
   - Auditor if set can the revisions as senior /. Deputy auditor are employed and has access Trust and auditing features
   - Branch enter the main store of the user's

B) **menu entrues**

Here individual menu items can be hidden (SMEs trading is available only for companies in the M & A available).

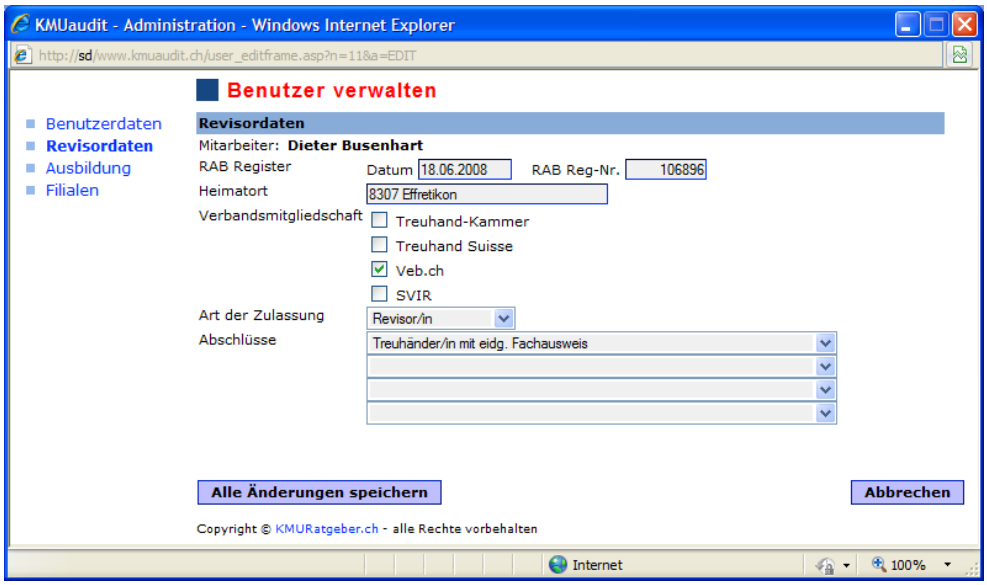
C) **mutation rights**
If no mutation rights were recognised, employees can create only the reports, make the data but no mutations.

D) **Administratorenrechte**
When active administrators, the main administrator can assign rights individually. In addition, the main administrator can all branches (see section 1.1.4), whereas the administrator to book can only his outlets.

1.1.3 Auditor revisor data

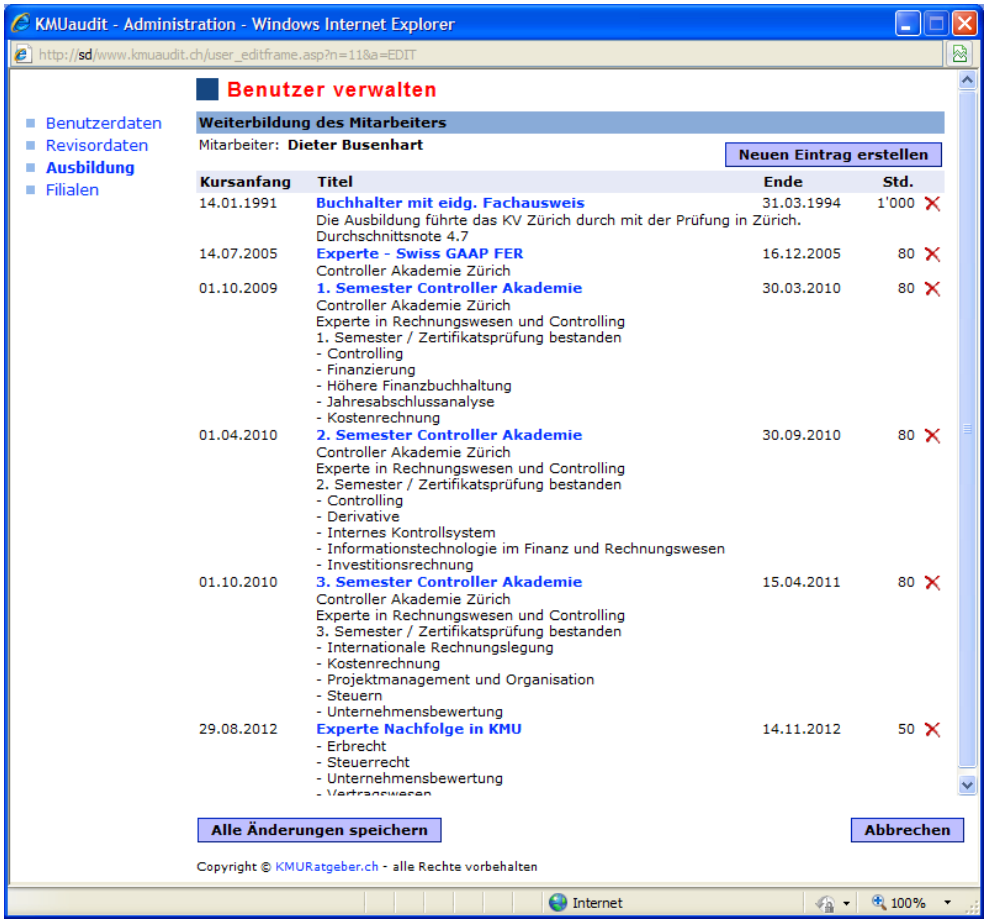
Für die Revision können Benutzer als Revisoren markiert und zusätzliche Informationen erfasst werden:

- Auditor registry entry with Auditor-register number
- New address to Auditor entry
- Association membership
- Type of admission
- Qualifications of the Auditor (accredited degrees according to Audit-Department)



1.1.4 training/continuing education

Here you enter the training as was internal as well as external training. The acquired training complete the entry of an auditor / in. The appropriate information be printed branches and employees on the surveys.

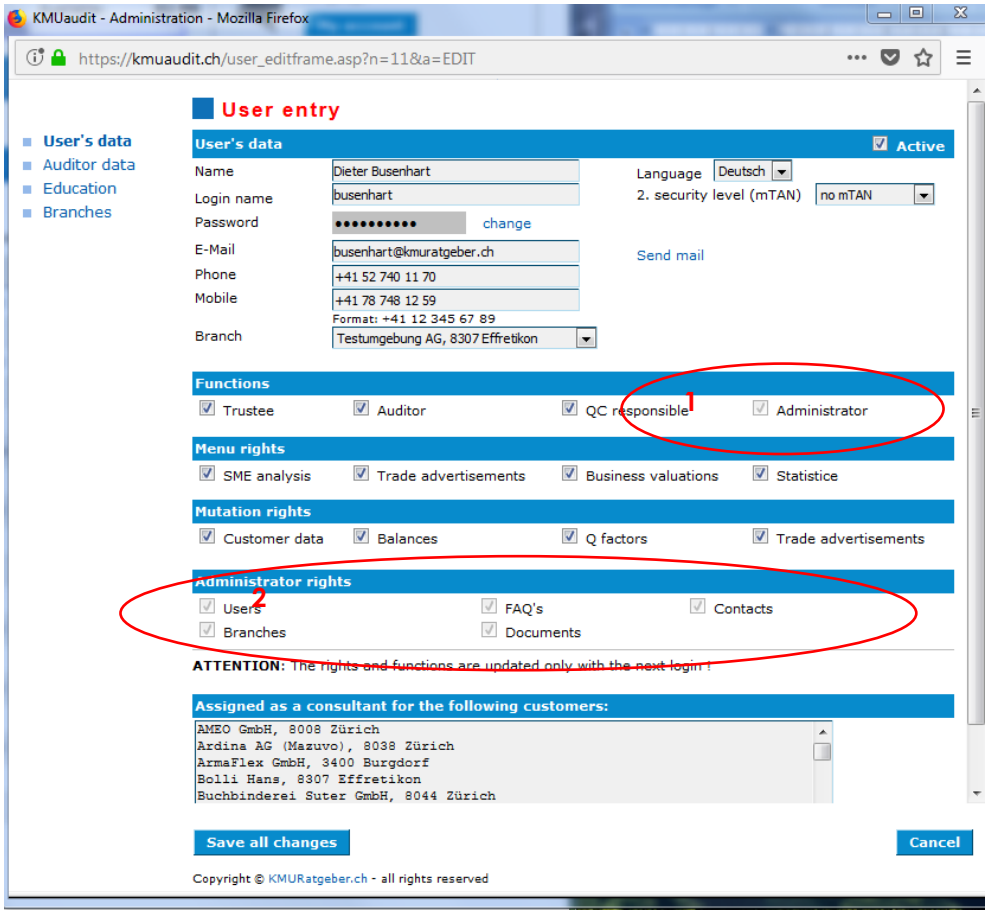


Click on the button "New entry" you create an additional entry.

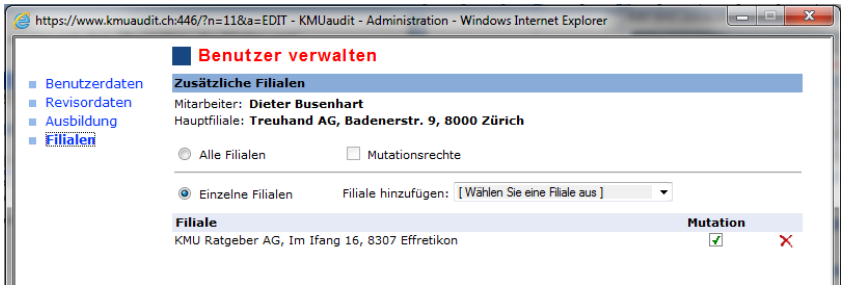
Click on the title to edit an entry. Click on the trash right outside, an entry can be deleted.

1.1.5 Administrators of user

The main administrator can assign a user administrator rights **1**. This user can manage users as an administrator in his assigned stores **2**. This reduces the main administrator.

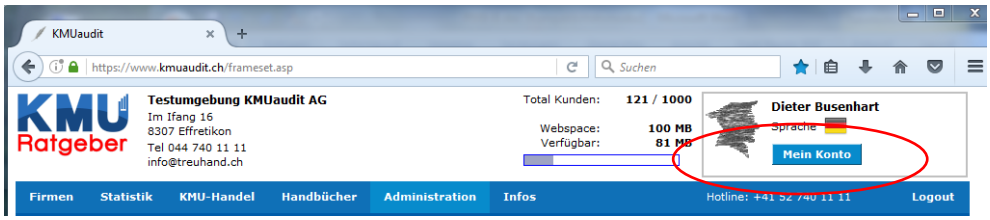


Under the heading, the administrator may allocate more branches, users with mutation rights can branches. The option "All branches" is only the primary administrator available. The administrator can assign the user only outlets where he has mutation rights.

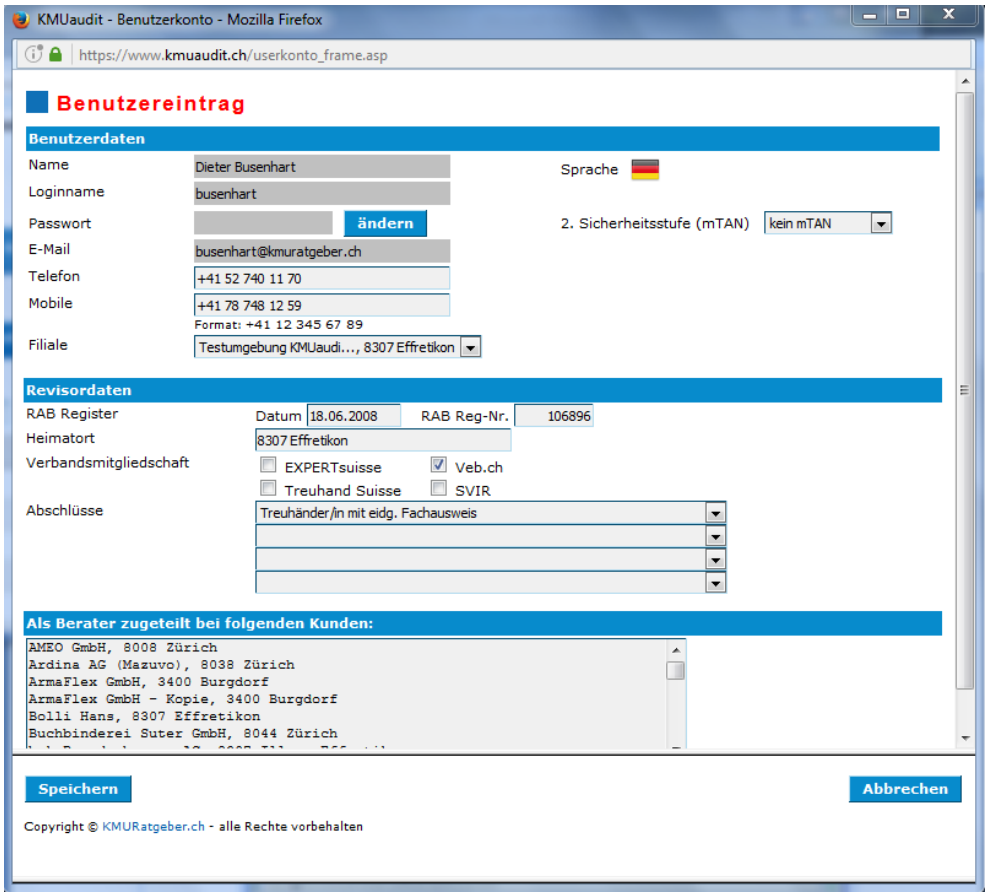


1.1.6 User customizations

Users can customize itself Brillators by pushing on my account.

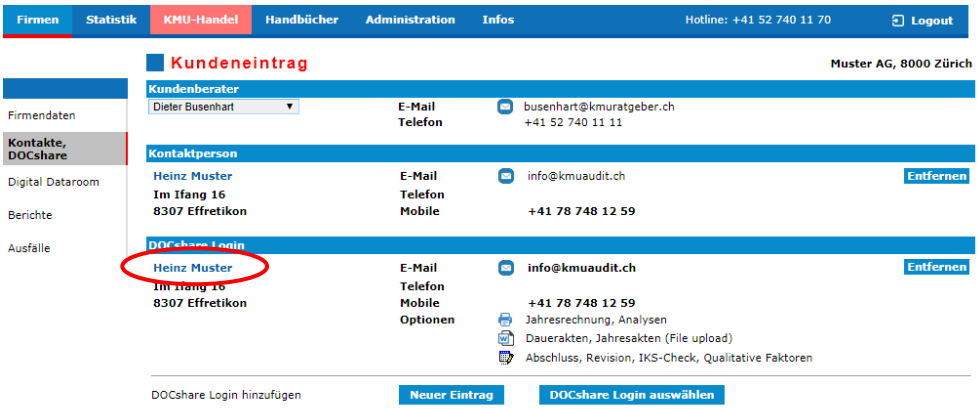


You can customize the following information itself such as: language, password, security, phone number or the data in the Auditors.

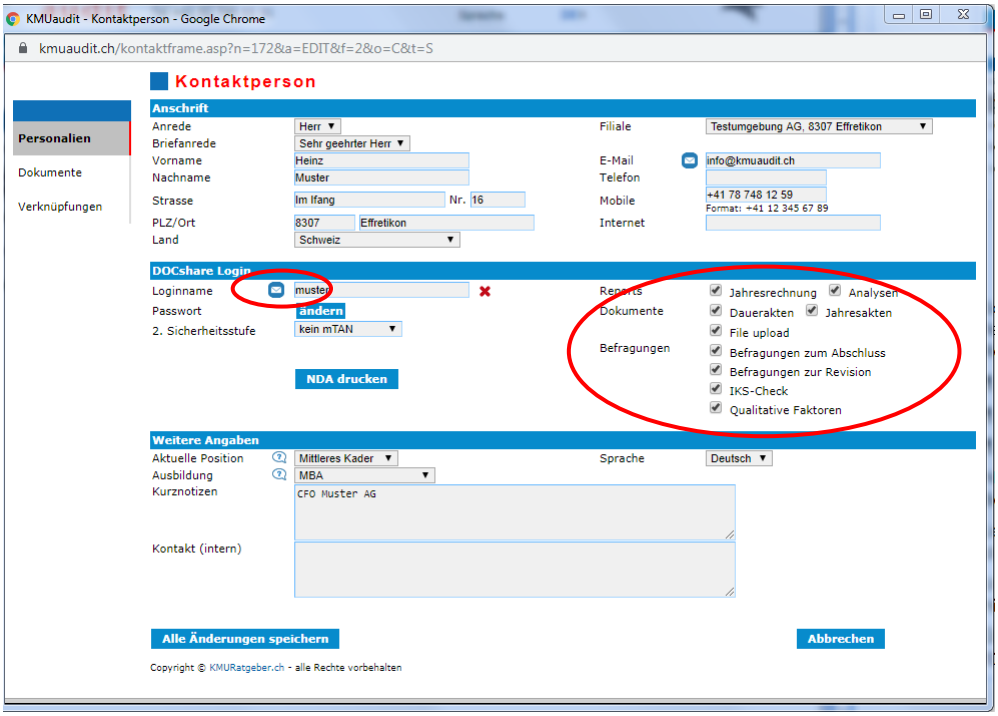


1.2 Contacts

Logins for DOKshare are deposited with the company for the desired contacts.



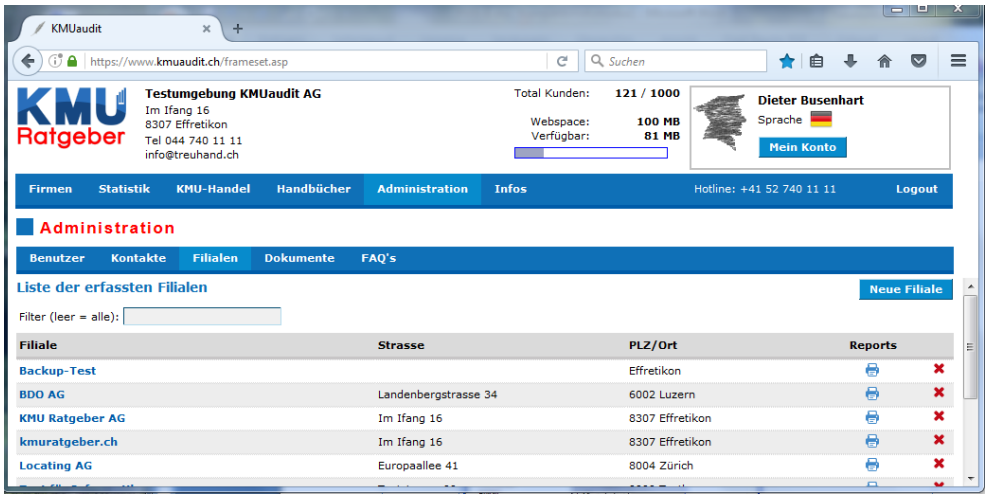
If the login is not deposited with any company you can remove it here again. If you click on the name, the contact is displayed. Here, rights and documents can be managed for contact, etc.



Via the button "E-Mail" you can send the user his login data for DOKshare.

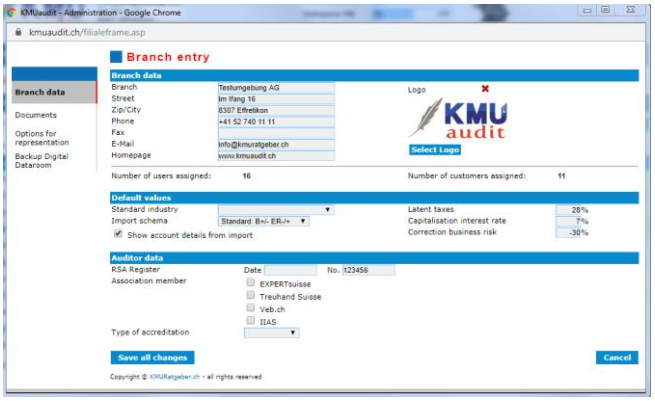
1.3 Branch manage

The stores are managed here. The first login creates a default branch with the address of the company. There is only a branch or are the branch allocated still customers or users, they cannot be deleted.



Users with administrator rights for branches can add new branches via the button "New store".

To the branch, special auditor data can be collected in addition to the address:



- **Branch data**; default values
- **Documents**
- **Options for Presentation, h**ere you customize your evaluations individually, font and color design of the printouts
- **Backup Digital Dataroom**; here you can create a backup (zip file) of the Digital Dataroom per branch - permanent or yearly

1.4 Dokuments

There are various manuals for download available. You can also upload your own documents, and make available to the users. This is used by the menu point "Documents" in the area of administration.

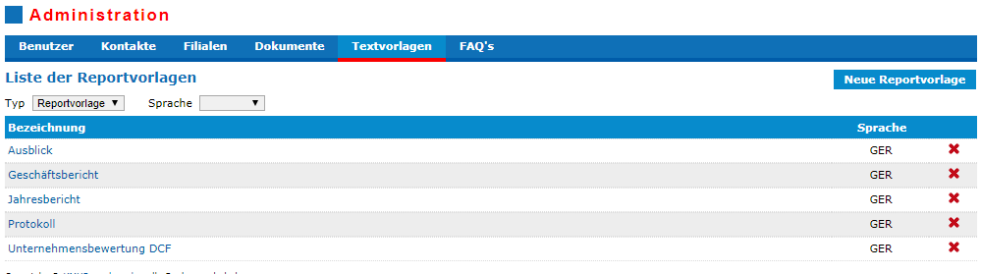
The following formats are allowed:

- DOC (Microsoft Word)
- XLS (Microsoft Excel)
- PDF (Acrobat)

The here collected documents are listed in the menu point "Manuals" from the standard manuals:

1.5 Text templates

Here you enter report templates or text blocks that you can use in the reports, the closing or the revision.

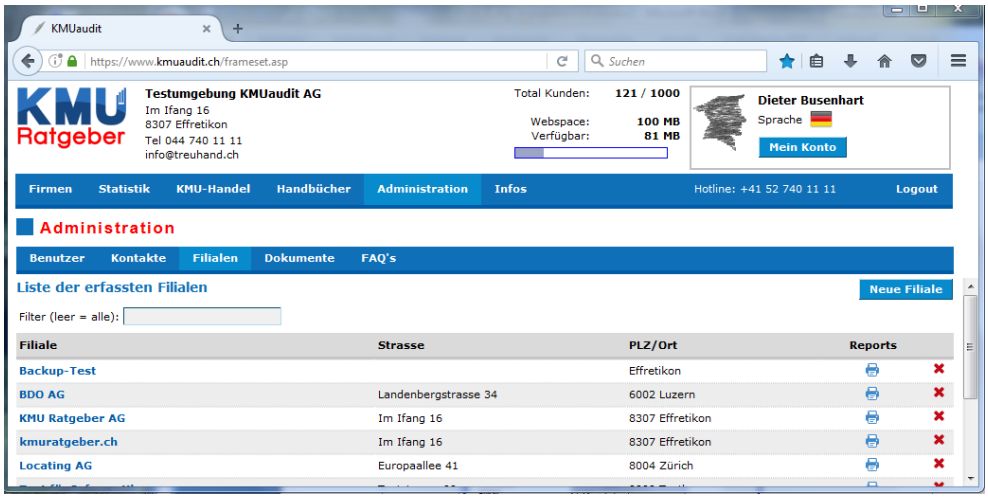


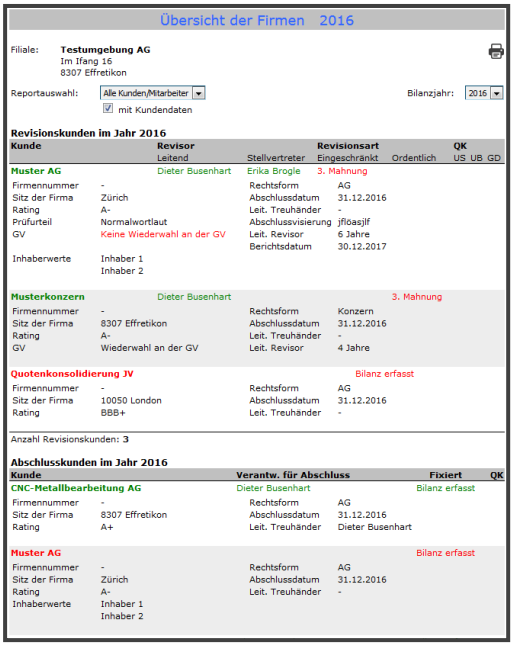
2 Reports

2.1 Reports to the branch

Click the report icon provides you with a selection of report to the branch.

- Overview Customer/staff
- QA manual
  (Submit this manual to the competent authority)
- Matrix overview





Overview Customer/staff

(Quality control with customer data)

Status of the customer:

Red = this year previous customer still nothing captured

Red with balance = balance sheet recorded auditor still not allocated

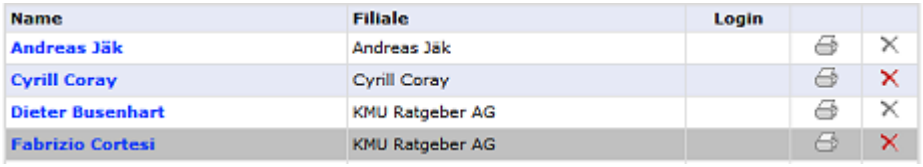
Green balance = recorded + auditor assigned

Green + in work = revision under-way

Black + date = data are complete and fixed

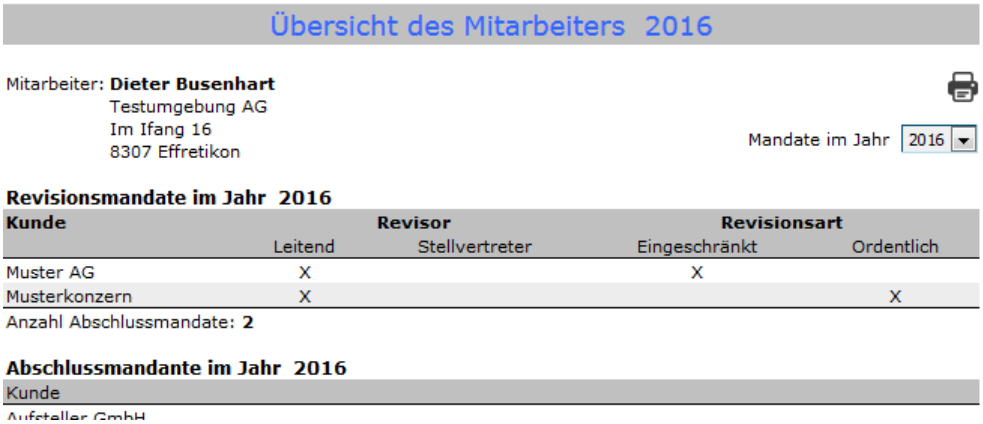
2.2 Overview of the user

Click on the print icon provides you with an overview of the employee.



Name	Filiale	Login		
Andreas Jäk	Andreas Jäk			
Cyrill Coray	Cyrill Coray			
Dieter Busenhart	KMU Ratgeber AG			
Fabrizio Cortesi	KMU Ratgeber AG			

The audit mandates of the selected year the auditor data and the training of the employee are listed on the overview of the employee.



Übersicht des Mitarbeiters 2016

Mitarbeiter: **Dieter Busenhart**
Testumgebung AG
Im Ifang 16
8307 Effretikon

Mandate im Jahr 2016

Revisionsmandate im Jahr 2016

Kunde	Revisor		Revisionsart	
	Leitend	Stellvertreter	Eingeschränkt	Ordentlich
Muster AG	X		X	
Musterkonzern	X			X

Anzahl Abschlussmandate: **2**

Abschlussmandante im Jahr 2016

Kunde
Aufsteller GmbH

In the area of auditing mandates can be seen whether the employee as Chief or deputy auditor was involved in.

2.3 risk matrix of acquired companies

Per year can be displayed all covered companies in a Risikomatix. The matrix is divided vertically by industry and horizontally to the risk categories divided according to rating Basel III.

Aufzeichnung des Datenspektrums Datum: 06.02.2018

Testumgebung AG
Im Ifang 16
8307 Effretikon

Berechnungsjahr Rating: 2016

Filiale: Alle Filialen

Branche	AAA	AA	A	BBB	BB	B	CCC	CC	C	Total	AW in %
08 Bergbau / Steine / Erde					1					1	
25 Metallerzeugnisse			1							1	
28 Maschinenbau		1	1		2	4	1			9	
27 Elektro, Feinmechanik/Optik	1									1	
41 Hochbau				1						1	
45 Autogewerbe, Reparaturen		1		1						2	
47 Detailhandel		1					2	1		4	
49 Transport			1							1	
68 Immobilien								1	1	2	
62 Informatik		1		1						2	
übrige Branchen (Avg)				1						1	
79 Reisebüro, Veranstalter						1				1	
71 Architekt-, Ingenieurbüro		1								1	
87 Alters-, Pflegeheime					1					1	
96 Pers. Dienstleistungen			1							1	
70 Unternehmerische DL				1						1	
43 Ausbaugewerbe		4				1				5	
69 Recht, Treuhand, Revision		1								1	
Total	1	10	4	5	4	6	3	2	1	36	
Ausfallwahrscheinlichkeit (AW)											

Hinweis: Klicken Sie auf eine Branche oder Anzahl um eine Liste der entsprechenden Kunden zu erhalten.

Then, individual segments, sectors or ratings individual evaluations after can be created. Following the evaluation of NOGA is represented 24 engineering.

Kunden der Branche **28 Maschinenbau**

Ratingentwicklung der letzten 3 Jahre

Jahr	Rating	Ratingwert	Harte Faktoren	Korrekturen strukturell	Korrekturen qualitativ
2016	BB-	77.8	81.5	95.2	100.3
2015	BB+	79.8	82.1	96.7	100.3
2014	BB-	78.6	81.3	96	100.3