



# *Administration - Manual*

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## **Inhaltsverzeichnis**

<b>1</b>	<b>Administration</b>	<b>2</b>
1.1	users manage	2
1.2	Contacts	8
1.3	Branch manage	9
1.4	Dokuments	10
1.5	Text templates	10
	Here you enter report templates or text blocks that you can use in the reports, the closing or the revision.	10
<b>2</b>	<b>Reports</b>	<b>11</b>
2.1	Reports to the branch	11
2.2	Overview of the user	12
2.3	risk matrix of acquired companies	13

With the Software, 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.

# 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..

**Administration**

Users Contacts Branches Documents FAQ's

List of the registered users New user

Filter (empty = all):   Show inactive Branch:

Name	Branch	Trust.	Aud.	QC	Adm.	Reports
Andreas Winiger	Zumbach Electronic AG, CH-2442 Orpund	✓	✓			✗
Benno Leimbacher	Testumgebung AG, 8307 Effretikon	✓	✓			✗
Christian Strobel	Zumbach Electronic AG, CH-2442 Orpund	✓	✓			✗
Dieter Busenhart	Testumgebung AG, 8307 Effretikon	✓	✓	✓	✓	
Erika Brogle	Testumgebung AG, 8307 Effretikon	✓	✓	✓	✓	✗
Hans Haueter	Testfiliale Gastroconsult, 9999 Testhausen	✓	✓	✓		✗
Hans Meier	Testumgebung AG, 8307 Effretikon	✓	✓			✗
Hansueli von Gunten	Zumbach Electronic AG, CH-2442 Orpund	✓	✓			✗

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 data

## 1.1.2 data

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

The screenshot shows the 'User entry' form in the KMUaudit Administration interface. The form is divided into several sections:

- User's data:** Includes fields for Name (Dieter Busenhart), Login name (busenhart), Password (masked with dots), E-Mail (busenhart@kmuratgeber.ch), Phone (+41 52 740 11 70), Mobile (+41 78 748 12 59), and Branch (Testumgebung AG, 8307 Effretikon). There is also a 'Send mail' button.
- Functions:** Includes checkboxes for Trustee, Auditor, QC responsible, and Administrator.
- Menu rights:** Includes checkboxes for SME analysis, Trade advertisements, Business valuations, and Statistic.
- Mutation rights:** Includes checkboxes for Customer data, Balances, Q factors, and Trade advertisements.
- Administrator rights:** Includes checkboxes for Users, Branches, FAQ's, Documents, and Contacts.

Below the rights sections, there is an 'ATTENTION' note: 'The rights and functions are updated only with the next login !'. There is also a section 'Assigned as a consultant for the following customers:' with a list of companies: AMEO GmbH, 8008 Zürich; Ardina AG (Mazuvo), 8038 Zürich; ArmaFlex GmbH, 3400 Burgdorf; Bolli Hans, 8307 Effretikon; and Buchbinderei Suter GmbH, 8044 Zürich.

At the bottom, there are 'Save all changes' and 'Cancel' buttons, and a copyright notice: 'Copyright © KMURatgeber.ch - all rights reserved'.

### 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 entrees

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)

The screenshot shows a web browser window titled 'KMUAudit - Administration - Windows Internet Explorer'. The address bar shows the URL 'http://sd/www.kmuaudit.ch/user\_editframe.asp?n=11&a=EDIT'. The main content area is titled 'Benutzer verwalten' and contains a form for 'Revisordaten'. The form fields are as follows:

Mitarbeiter:	Dieter Busenhart			
RAB Register	Datum	18.06.2008	RAB Reg-Nr.	106896
Heimatort	8307 Effretikon			
Verbandsmitgliedschaft	<input type="checkbox"/> Treuhand-Kammer <input type="checkbox"/> Treuhand Suisse <input checked="" type="checkbox"/> Veb.ch <input type="checkbox"/> SVIR			
Art der Zulassung	Revisor/in			
Abschlüsse	Treuänder/in mit eidg. Fachausweis			

At the bottom of the form, there are two buttons: 'Alle Änderungen speichern' and 'Abbrechen'. The footer of the page reads 'Copyright © KMURatgeber.ch - alle Rechte vorbehalten'.

## 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.

**Benutzer verwalten**

**Weiterbildung des Mitarbeiters**  
Mitarbeiter: **Dieter Busenhart** Neuen Eintrag erstellen

Kursanfang	Titel	Ende	Std.
14.01.1991	<b>Buchhalter mit eidg. Fachausweis</b> Die Ausbildung führte das KV Zürich durch mit der Prüfung in Zürich. Durchschnittsnote 4.7	31.03.1994	1'000
14.07.2005	<b>Experte - Swiss GAAP FER</b> Controller Akademie Zürich	16.12.2005	80
01.10.2009	<b>1. Semester Controller Akademie</b> Controller Akademie Zürich Experte in Rechnungswesen und Controlling 1. Semester / Zertifikatsprüfung bestanden - Controlling - Finanzierung - Höhere Finanzbuchhaltung - Jahresabschlussanalyse - Kostenrechnung	30.03.2010	80
01.04.2010	<b>2. Semester Controller Akademie</b> Controller Akademie Zürich Experte in Rechnungswesen und Controlling 2. Semester / Zertifikatsprüfung bestanden - Controlling - Derivative - Internes Kontrollsystem - Informationstechnologie im Finanz und Rechnungswesen - Investitionsrechnung	30.09.2010	80
01.10.2010	<b>3. Semester Controller Akademie</b> Controller Akademie Zürich Experte in Rechnungswesen und Controlling 3. Semester / Zertifikatsprüfung bestanden - Internationale Rechnungslegung - Kostenrechnung - Projektmanagement und Organisation - Steuern - Unternehmensbewertung	15.04.2011	80
29.08.2012	<b>Experte Nachfolge in KMU</b> - Erbrecht - Steuerrecht - Unternehmensbewertung - Vertrauenswesen	14.11.2012	50

Alle Änderungen speichern Abbrechen

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

**Benutzer Ausbildungseintrag**

Mitarbeiter: **Dieter Busenhart**

Kursanfang:  Ende:  Dauer:  Std.

Titel:

Infos zum Kurs:

Speichern Abbrechen

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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.

**User entry**

**User's data**  Active

Name: Dieter Busenhart Language: Deutsch

Login name: busenhart 2. security level (mTAN): no mTAN

Password: [masked] change

E-Mail: busenhart@kmuratgeber.ch Send mail

Phone: +41 52 740 11 70

Mobile: +41 78 748 12 59  
Format: +41 12 345 67 89

Branch: Testumgebung AG, 8307 Effretikon

**Functions**

Trustee  Auditor  QC responsible  Administrator

**Menu rights**

SME analysis  Trade advertisements  Business valuations  Statistic

**Mutation rights**

Customer data  Balances  Q factors  Trade advertisements

**Administrator rights**

Users  FAQ's  Contacts

Branches  Documents

**ATTENTION:** The rights and functions are updated only with the next login!

**Assigned as a consultant for the following customers:**

AMEO GmbH, 8008 Zürich  
Ardina AG (Mazuvo), 8038 Zürich  
ArmaFlex GmbH, 3400 Burgdorf  
Bolli Hans, 8307 Effretikon  
Buchbinderei Suter GmbH, 8044 Zürich

**Save all changes** **Cancel**

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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.

**Benutzer verwalten**

**Zusätzliche Filialen**

Mitarbeiter: Dieter Busenhart  
Hauptfiliale: Treuhand AG, Badenerstr. 9, 8000 Zürich

Alle Filialen  Mutationsrechte

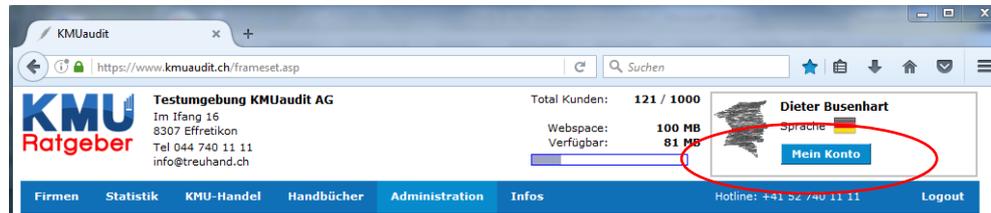
Einzelne Filialen Filiale hinzufügen: [Wählen Sie eine Filiale aus]

**Filiale** **Mutation**

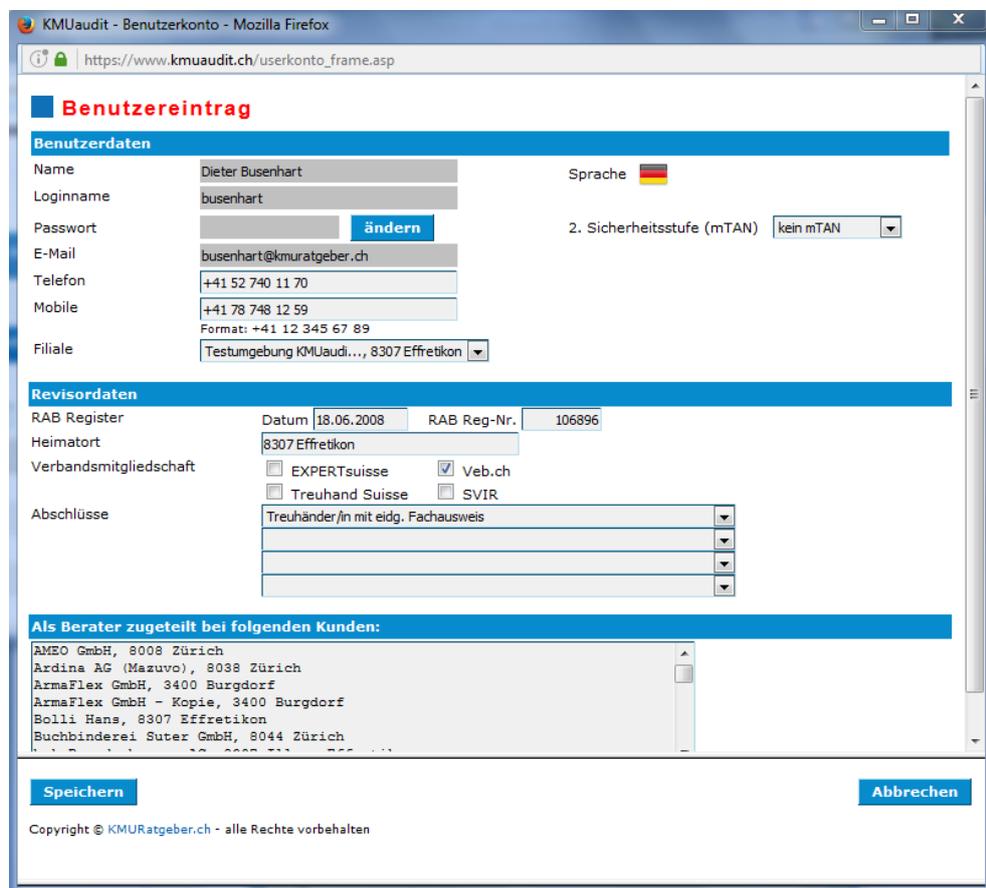
KMU Ratgeber AG, Im Ifang 16, 8307 Effretikon

## 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.



The screenshot displays the 'Benutzereintrag' (User Profile) page. It is divided into several sections:

- Benutzereintrag**: Title of the page.
- Benutzerdaten**: Fields for Name (Dieter Busenhart), Loginname (busenhart), Passwort (with an 'ändern' button), E-Mail (busenhart@kmuratgeber.ch), Telefon (+41 52 740 11 70), Mobile (+41 78 748 12 59), and Filiale (Testumgebung KMUAudi...). A '2. Sicherheitsstufe (mTAN)' dropdown is set to 'kein mTAN'.
- Revisordaten**: Fields for RAB Register (Datum: 18.06.2008, RAB Reg-Nr.: 106896), Heimatort (8307 Effretikon), and Verbandsmitgliedschaft (checkboxes for EXPERTSuisse, Veb.ch, Treuhand Suisse, SVIR).
- Abschlüsse**: A dropdown menu showing 'Treuhandhändler/in mit eidg. Fachausweis'.
- Als Berater zugeteilt bei folgenden Kunden:**: A list of client names including AMEO GmbH, Ardina AG, ArmaFlex GmbH, Bolli Hans, and Buchbinderei Suter GmbH.
- Buttons**: 'Speichern' (Save) and 'Abbrechen' (Cancel) buttons at the bottom.
- Footer**: Copyright © KMURatgeber.ch - alle Rechte vorbehalten.

## 1.2 Contacts

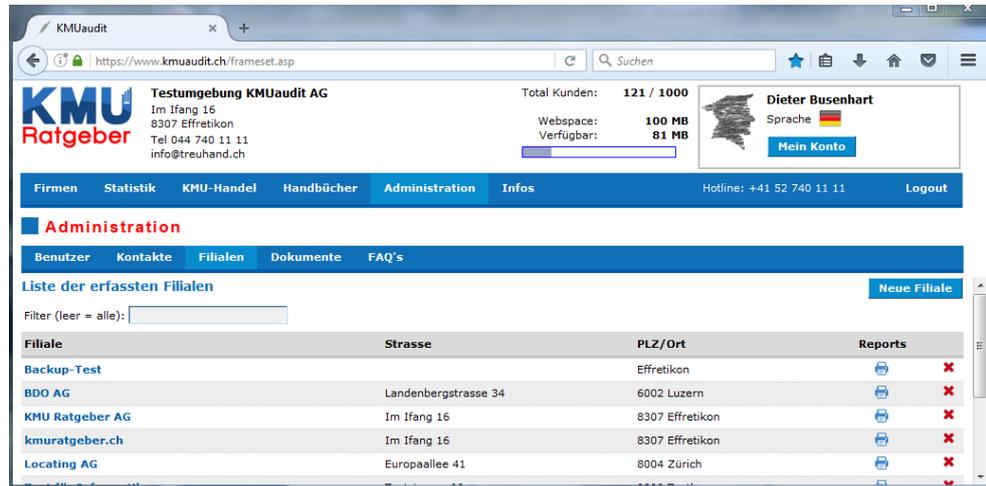
Logins for DOKshare are deposited with the company for the desired contacts.

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

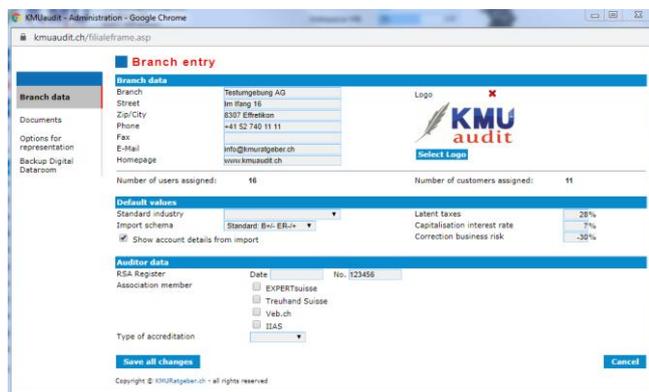
The stores are managed here. The first login creates a default branch with the address of the company. There is only a branch or are the branch allocated still customers or users, they cannot be deleted.



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,** here 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 Dokumenten

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)

### Liste der erfassten Dokumente

Anzahl Einträge: 1

[Neues Dokument](#)

[Liste aktualisieren](#)

Qualitätssystem PS220		
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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.

**Administration**

Benutzer Kontakte Filialen Dokumente **Textvorlagen** FAQ's

Liste der Reportvorlagen [Neue Reportvorlage](#)

Typ  Sprache

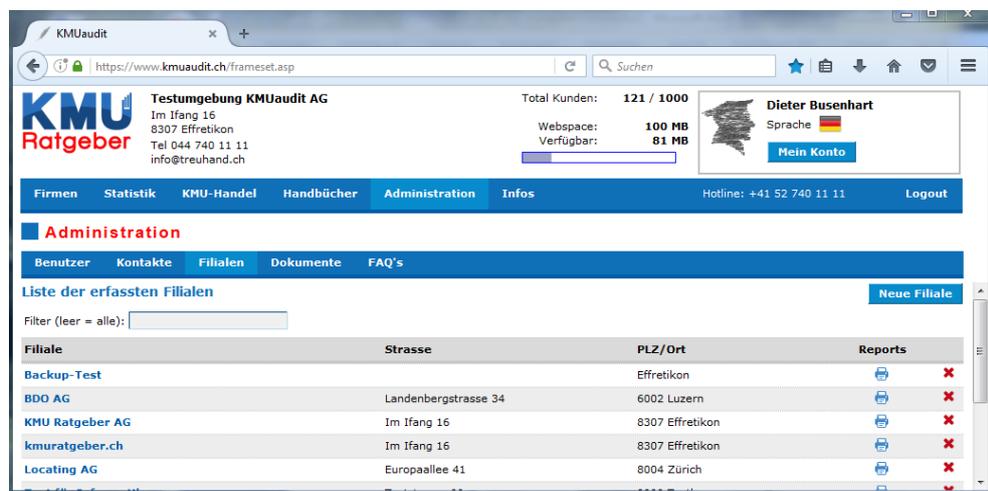
Bezeichnung	Sprache	
Ausblick	GER	✘
Geschäftsbericht	GER	✘
Jahresbericht	GER	✘
Protokoll	GER	✘
Unternehmensbewertung DCF	GER	✘

## 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



Übersicht der Firmen 2016

Filiale: **Testumgebung AG**  
Im Ifang 16  
8307 Effretikon

Reportauswahl:  Alle Kunden/Mitarbeiter  mit Kundendaten

Bilanzjahr: 2016

Revisionskunden im Jahr 2016

Kunde	Revisor	Stellvertreter	Revisionsart	Ordentlich	QK
	Leitend		Eingeschränkt		US UB GD
<b>Muster AG</b>	Dieter Busenhart	Erica Brogi	3. Mahnung		
Firmennummer	-	Rechtsform	AG		
Sitz der Firma	Zürich	Abschlussdatum	31.12.2016		
Rating	A-	Leit. Treuhänder	-		
Prüferteil	Normalwortlaut	Abschlussvisierung	Jfoasjif		
GV	Keine Wiederwahl an der GV	Leit. Revisor	6 Jahre		
Inhaberwerte	Inhaber 1	Berichtsdatum	30.12.2017		
	Inhaber 2				
<b>Musterkonzern</b>	Dieter Busenhart		3. Mahnung		
Firmennummer	-	Rechtsform	Konzern		
Sitz der Firma	8307 Effretikon	Abschlussdatum	31.12.2016		
Rating	A-	Leit. Treuhänder	-		
GV	Wiederwahl an der GV	Leit. Revisor	4 Jahre		
<b>Quotenkonsolidierung JV</b>			Bilanz erfasst		
Firmennummer	-	Rechtsform	AG		
Sitz der Firma	10050 London	Abschlussdatum	31.12.2016		
Rating	BBB+	Leit. Treuhänder	-		
Anzahl Revisionskunden: 3					
<b>Abschlusskunden im Jahr 2016</b>					
Kunde	Verantw. für Abschluss		Fixiert	QK	
<b>CNC-Metallbearbeitung AG</b>	Dieter Busenhart		Bilanz erfasst		
Firmennummer	-	Rechtsform	AG		
Sitz der Firma	8307 Effretikon	Abschlussdatum	31.12.2016		
Rating	A+	Leit. Treuhänder	Dieter Busenhart		
<b>Muster AG</b>			Bilanz erfasst		
Firmennummer	-	Rechtsform	AG		
Sitz der Firma	Zürich	Abschlussdatum	31.12.2016		
Rating	A-	Leit. Treuhänder	-		
Inhaberwerte	Inhaber 1				
	Inhaber 2				

#### 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 underway

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			X
Cyrrill Coray	Cyrrill Coray			X
Dieter Busenhart	KMU Ratgeber AG			X
Fabrizio Cortesi	KMU Ratgeber AG			X

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**

#### Abschlussmandate 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 Risikomatrix. 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	1
25 Metallerzeugnisse			1							1	1
28 Maschinenbau		1	1		2	4	1			9	9
27 Elektro, Feinmechanik/Optik	1									1	1
41 Hochbau				1						1	1
45 Autogewerbe, Reparaturen		1		1						2	2
47 Detailhandel		1					2	1		4	4
49 Transport			1							1	1
68 Immobilien								1	1	2	2
62 Informatik		1		1						2	2
übrige Branchen (Avg)				1						1	1
79 Reisebüro, Veranstalter						1				1	1
71 Architekt-, Ingenieurbüro		1								1	1
87 Alters-, Pflegeheime					1					1	1
96 Pers. Dienstleistungen			1							1	1
70 Unternehmerische DL				1						1	1
43 Ausbaugewerbe		4				1				5	5
69 Recht, Treuhand, Revision			1							1	1
<b>Total</b>	<b>1</b>	<b>10</b>	<b>4</b>	<b>5</b>	<b>4</b>	<b>6</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>36</b>	

#### 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	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