

Administration - Manual

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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 titled 'User entry' and is located at the URL https://kmuaudit.ch/user_editframe.asp?n=11&a=EDIT. 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 for '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	Buchhalter mit eidg. Fachausweis Die Ausbildung führte das KV Zürich durch mit der Prüfung in Zürich. Durchschnittsnote 4.7	31.03.1994	1'000
14.07.2005	Experte - Swiss GAAP FER Controller Akademie Zürich	16.12.2005	80
01.10.2009	1. Semester Controller Akademie 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	2. Semester Controller Akademie 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	3. Semester Controller Akademie 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	Experte Nachfolge in KMU - 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: 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**

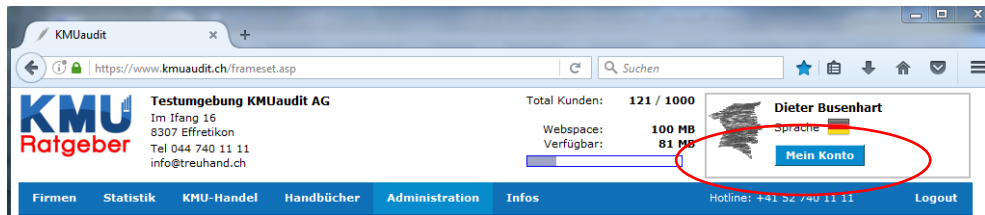
Alle Filialen Mutationsrechte
 Einzelne Filialen Filiale hinzufügen: [Wählen Sie eine Filiale aus]

Filiale **Mutation**

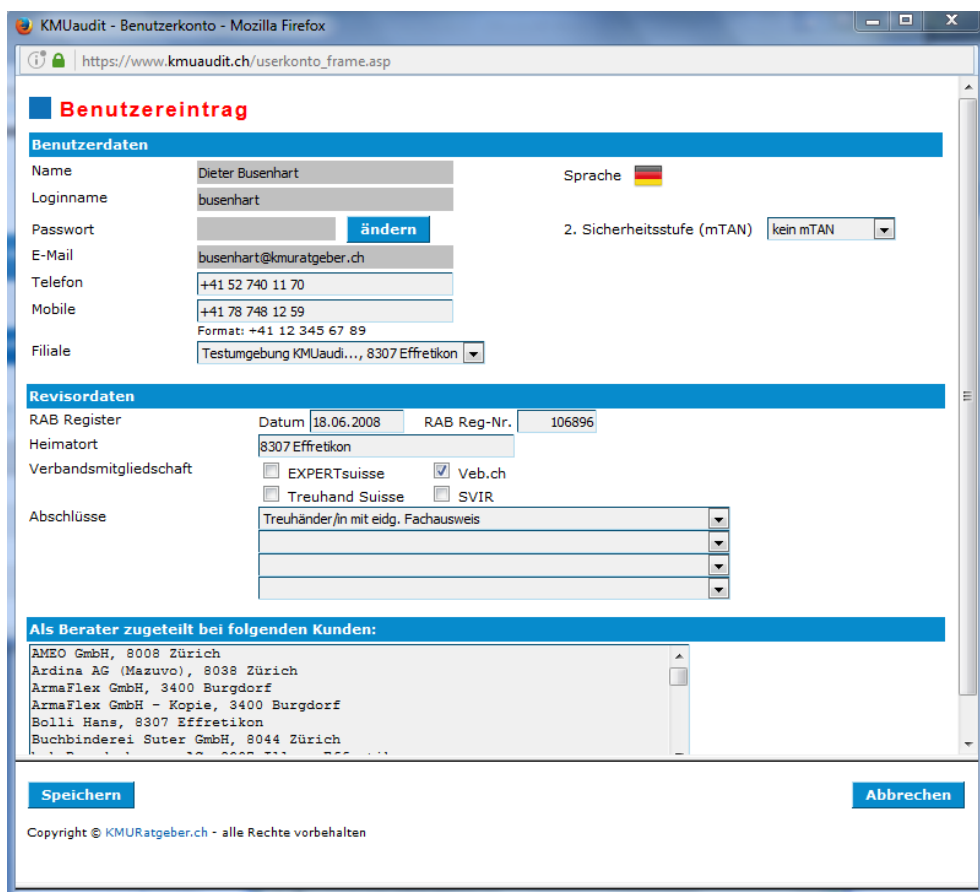
KMU Ratgeber AG, Im Ifang 16, 8307 Effretikon

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) form in a Mozilla Firefox browser window. The form is divided into several sections:

- 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..., 8307 Effretikon). A 'Sprache' dropdown is set to German. 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 'Treuhandler/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.

At the bottom of the form, there are 'Speichern' and 'Abbrechen' buttons, and a copyright notice: 'Copyright © KMURatgeber.ch - alle Rechte vorbehalten'.

1.2 Contacts

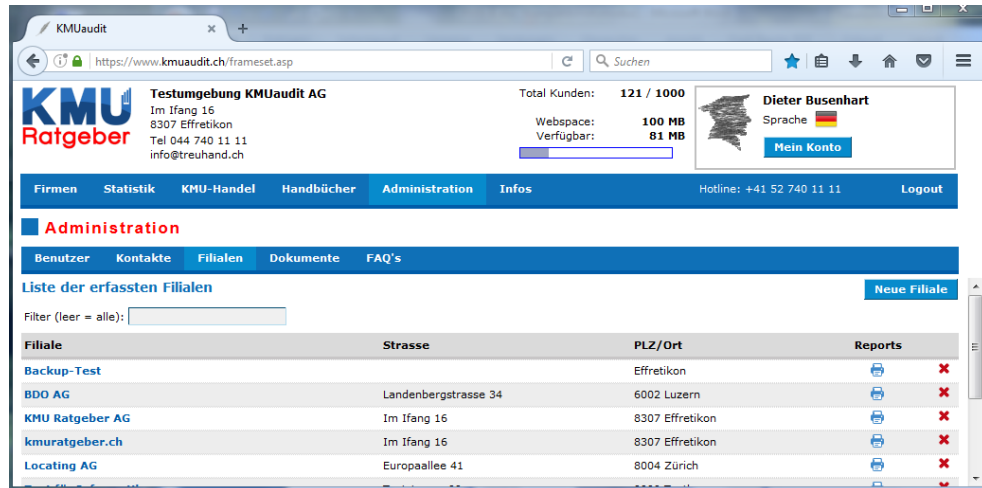
Logins for DOKshare are deposited with the company for the desired contacts.

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

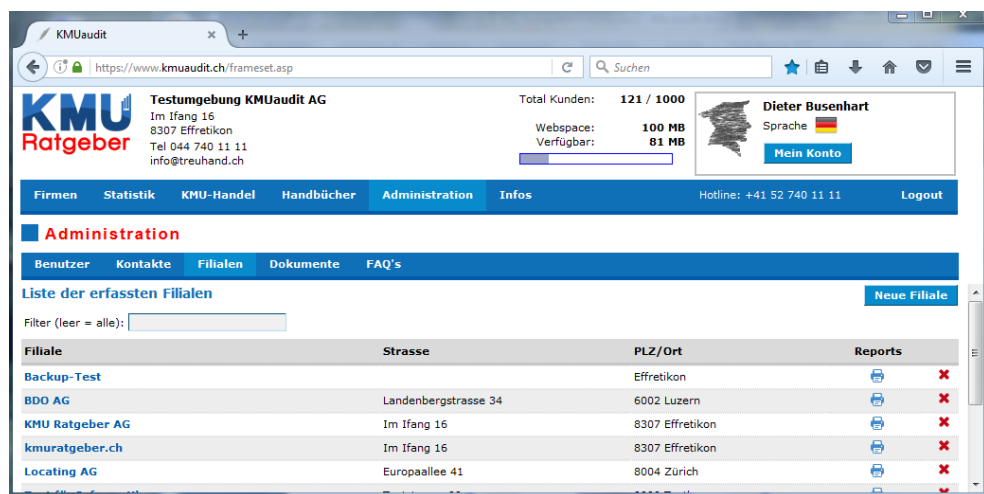
Bezeichnung	Sprache	
Ausblick	GER	✘
Geschäftsbericht	GER	✘
Jahresbericht	GER	✘
Protokoll	GER	✘
Unternehmensbewertung DCF	GER	✘

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: Bilanzjahr:

mit Kundendaten

Revisionskunden im Jahr 2016

Kunde	Revisor	Stellvertreter	Revisionsart	Ordentlich	QK
	Leitend		Eingeschränkt		US UB GD
Muster AG	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				
Musterkonzern	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		
Quotenkonsolidierung JV			Bilanz erfasst		
Firmennummer	-	Rechtsform	AG		
Sitz der Firma	10050 London	Abschlussdatum	31.12.2016		
Rating	BBB+	Leit. Treuhänder	-		
Anzahl Revisionskunden: 3					
Abschlusskunden im Jahr 2016					
Kunde	Verantw. für Abschluss	Fixiert	QK		
CNC-Metallbearbeitung AG	Dieter Busenhart	Bilanz erfasst			
Firmennummer	-	Rechtsform	AG		
Sitz der Firma	8307 Effretikon	Abschlussdatum	31.12.2016		
Rating	A+	Leit. Treuhänder	Dieter Busenhart		
Muster AG			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
Cyrill Coray	Cyrill 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	
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	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