

# Audit-Proof Storage of Business Documents with Fabasoft Cloud

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## 1 Introduction

### 1.1 Legal Framework

In many European countries (including Germany, Austria and Switzerland), commercial and tax law mandates that bookkeeping must be structured in such a way as to provide an expert third party with an overview of the transactions and the situation of the company within a reasonable time.

In addition, the "Principles for the proper management and storage of books, records and documents in electronic form as well as data access" (GoBD) have also been in force in Germany since 1 January 2017 for the archiving of business-relevant e-mails.

Fabasoft Cloud Enterprise allows for the audit-proof storage of documents, in particular also of invoices and personnel documents, in a way that such documents in electronic form are accepted as equivalent to paper originals. In addition, e-mails can automatically be imported into the Fabasoft Cloud from defined mailboxes and thus archived in a legally compliant manner.

With the Fabasoft Cloud, the cost of addressing legal requirements can be reduced considerably, accounting processes can be automated, and the storage of printed documents becomes superfluous.

### 1.2 Advantages

The electronic storage and archiving of business documents in the Fabasoft Cloud offers numerous advantages:

- More cost-effective than traditional paper archiving with its entailing space and organizational requirements, especially in case of longer storage periods,
- significantly faster data access and comprehensive search,
- decentralized data access, also from mobile devices (smartphones) via a secure connection,
- avoidance of media breaks, printing and copying costs,
- greater transparency and seamless traceability by auditing access and user rights management,
- reduced staffing cost.

### 1.3 IDW PS 880 Certification

KPMG Advisory GmbH certified Fabasoft Cloud in compliance with IDW PS 880. Following testing with regard to its being audit-proof in accordance with German, Austrian and Swiss commercial and tax law, KPMG awarded the IDW PS 880 certification. This verifies that Fabasoft Cloud fulfils the storage rules required in Germany, Austria and Switzerland (GoB-compliant archiving). The IDW PS 880 audit entails an independent auditor determining whether and to what extent software solutions support the storage rules pursuant to the applicable commercial and tax law (audit-proof or GoB-compliant archiving) of the respective country in order to fulfil the required compliance.

The test report is publicly available at <http://www.kpmg.de/reports-at/RequestReport.aspx?41397>.

## 2 Configuration

In order to activate the audit-proof storage of business documents in the Fabasoft Cloud, some configuration steps are necessary.

This white paper describes how to configure the audit-proof storage of invoices in the Fabasoft Cloud by means of an exemplary guide.

### 2.1 Creating a Form and Configuring Retention Rules

The retention period is determined per document category. Therefore, in the first step, you must create a form for document category "Invoice", for which a category is generated where you can then define the retention period.

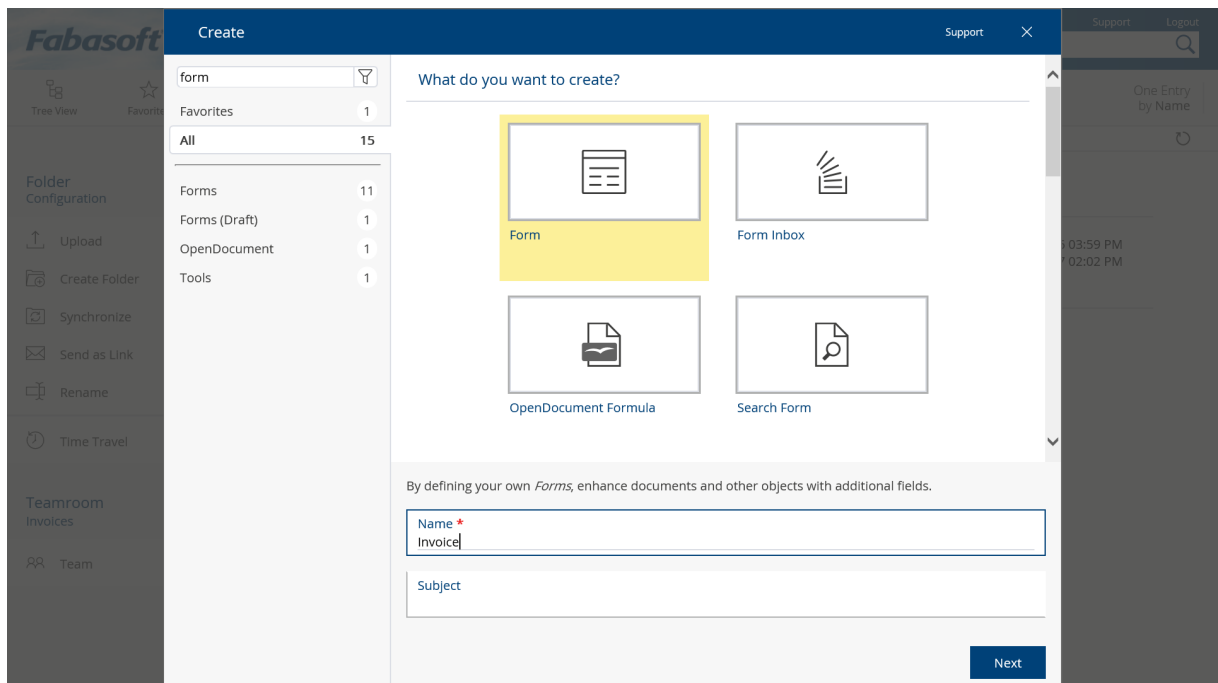


Figure 1: Creating a form for document category "Invoice"

Using the graphical form designer, you can assign form fields for capturing metadata to your form.

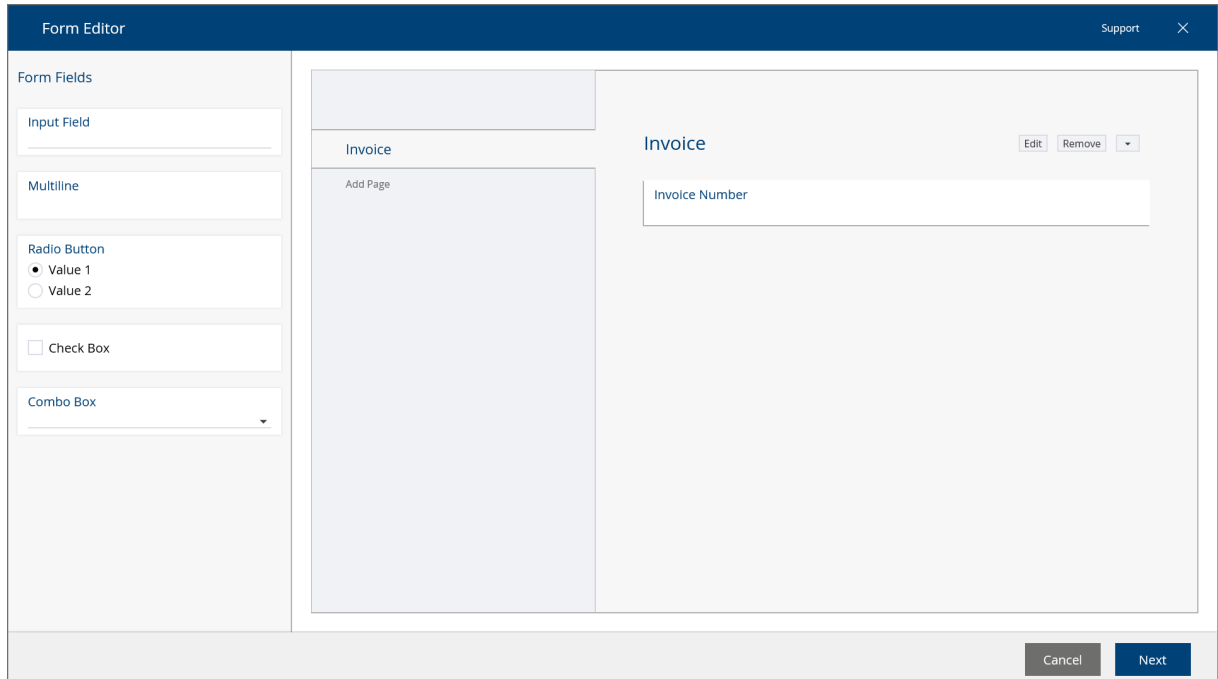


Figure 2: Assigning form fields to the form

After you have created the form, open its properties dialog (by selecting the “Properties” menu item from its context menu).

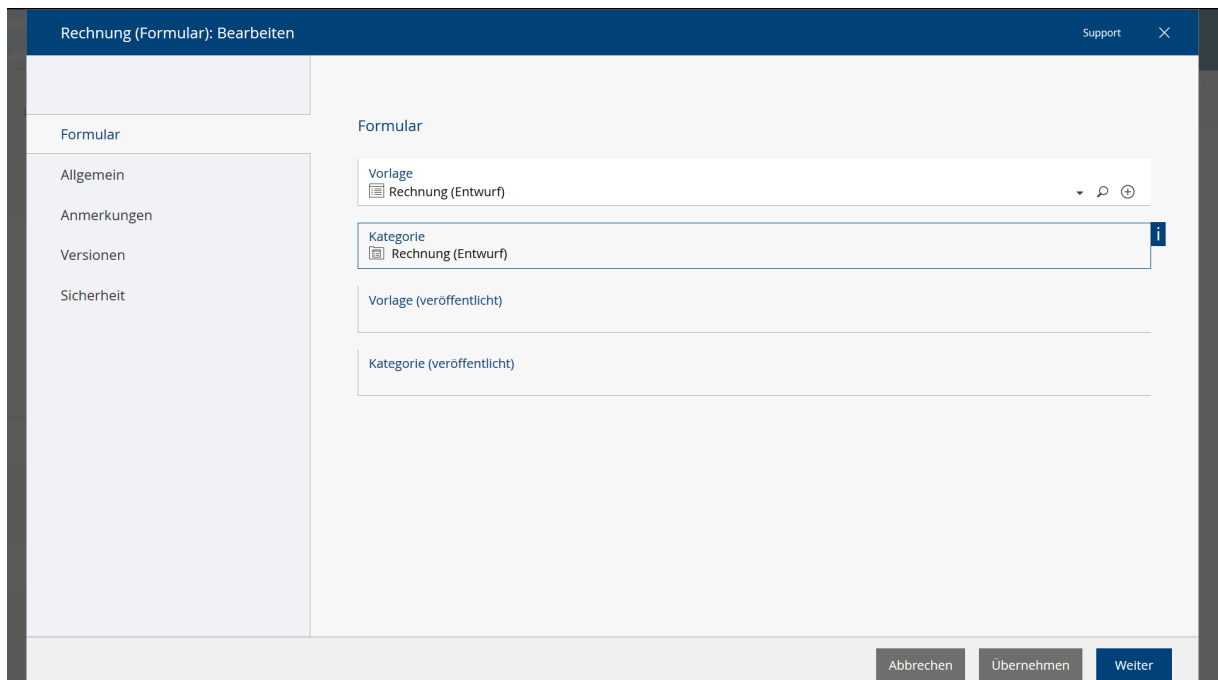
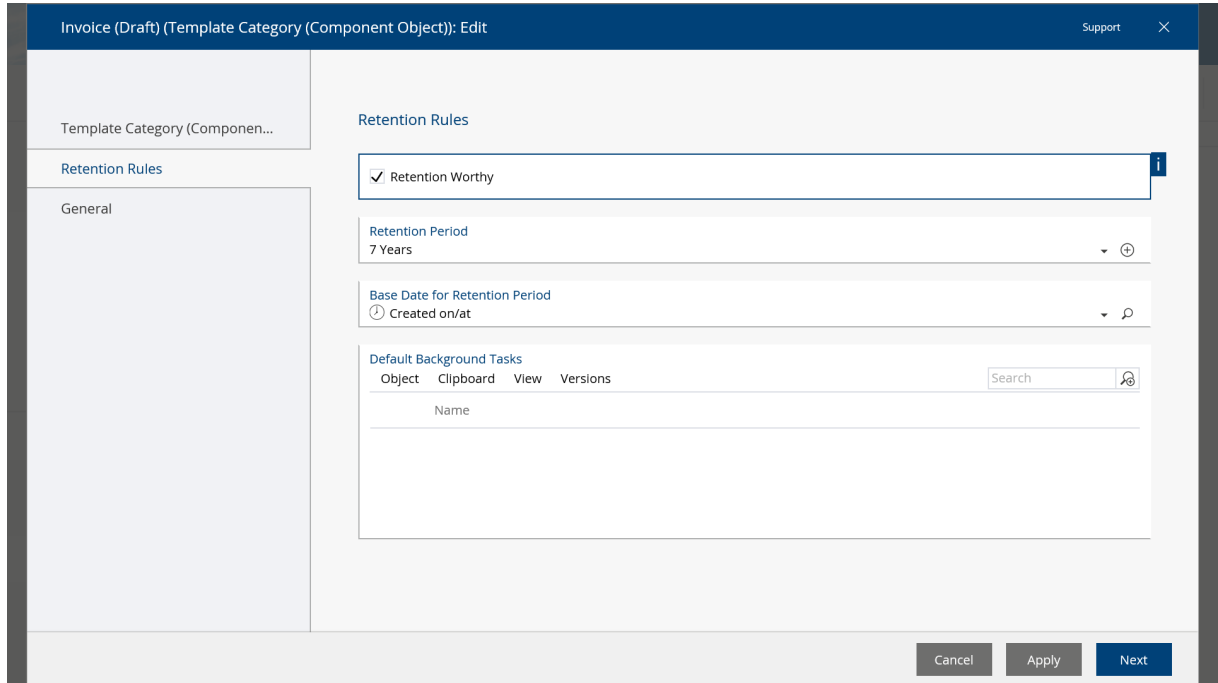


Figure 3: A category has been generated for the form

Category "Invoice (Draft)" was generated for the form and referenced in the "Category" field. Edit the properties of this category by selecting the "Properties" menu item from the context menu of the "Invoice (Design)" category. Then, navigate to the Retention form page to define the retention rules for invoices.



The screenshot shows a web application window titled "Invoice (Draft) (Template Category (Component Object)): Edit". On the left, there is a sidebar with a tree view containing "Template Category (Componen...", "Retention Rules", and "General". The main content area is titled "Retention Rules" and contains the following fields:

- Retention Worthy
- Retention Period: 7 Years
- Base Date for Retention Period: Created on/at
- Default Background Tasks: A table with columns "Object", "Clipboard", "View", and "Versions". The "Object" column has a search box and a refresh icon. The "Name" column is empty.

At the bottom right, there are three buttons: "Cancel", "Apply", and "Next".

Figure 4: Setting the retention rules for your category

Check the "Retention Worthy" check box to mark invoices as retention worthy, and specify how long documents of this category must be retained in the "Retention Period" field.

In the "Base Date for Retention Period" field you must specify which date describes the beginning of the retention period, e.g. "Created on/at" if the retention period is to start after a document has been created.

In the next step, you must create a default background task for evaluating the retention rule in order to ensure that the retention period is actually set based on your retention rules.

Select "New" from the "Object" menu of the "Default Background Tasks" list to create a new background task. Enter "Set retention period" in the "Title" field, select "Determine Retention Period Based on the Category" in the "Action" field", select "Immediately" in the "Time Interval" and "Created on/at" in the "Base Date for Time Interval" fields and then click "Next".

Note: You can also select a different "Time Interval" (for example, "3 Days"). This way, invoices are not immediately assigned a retention period so you can delete any invoices created in error for a while.

Figure 5: Creating the background task for setting the retention period

The background task you just created is responsible for setting a retention period of seven years for invoices. During the retention period invoices cannot be deleted. After the expiration of the retention period, invoices can then be deleted manually.

After you have created the default background task, save your changes to the “Invoice (Design)” category by clicking “Next”, and then click the “Next” button to exit the Invoice form.

In the next step, you have to publish your form by selecting the “Publish form” menu from the form’s context menu.

## 2.2 Disposal

### 2.2.1 Automatic Disposal

If you want invoices to be permanently deleted after the retention period, you can create an additional background task in the “Invoice (Design)” category for this purpose and select “Delete Automatically” in the “Action” field, then select “Immediately” in the “Time Interval” field and “Retention Period” in the “Base Date for Time Interval” field and click “Next”.

Note: You can also select other values in the “Time Interval” field. For example, select “1 year” to automatically delete invoices only one year after the expiration of the retention period.

The screenshot shows a 'Create Background Task' window with the following configuration:

- Title \*:** Delete After Expiration of Retention Deadline
- Action \*:** Delete Automatically
- Time Interval:** Immediately
- Base Date for Time Interval:** Retention Period
- Date (Overrides Time Interval):** (Calendar icon)

Buttons at the bottom: Cancel, Next.

Figure 6: Background task for deleting invoices after their retention deadline

### 2.2.2 Process-Based Disposal

The disposal of invoices can also take place via a process started automatically after the expiration of their retention period.

To set up a disposal process for invoices, create another default background task in the “Invoice (Draft)” category, select “Start Process” in the “Action” field and select your disposal process in the “Process to be Executed” field. A task with the activity “Retention Period Exceeded” should be defined in the disposal process.

When the background task is executed, the disposal process is started and can be processed by the defined users in the worklist. The “Retention Period Exceeded” activity provides the steps “Delete”, “Extend Retention Period” and “Accept”.

## 3 Working with Inboxes

You can use an inbox to automatically assign the correct category to invoices (so that the retention rules defined for invoices are also applied).

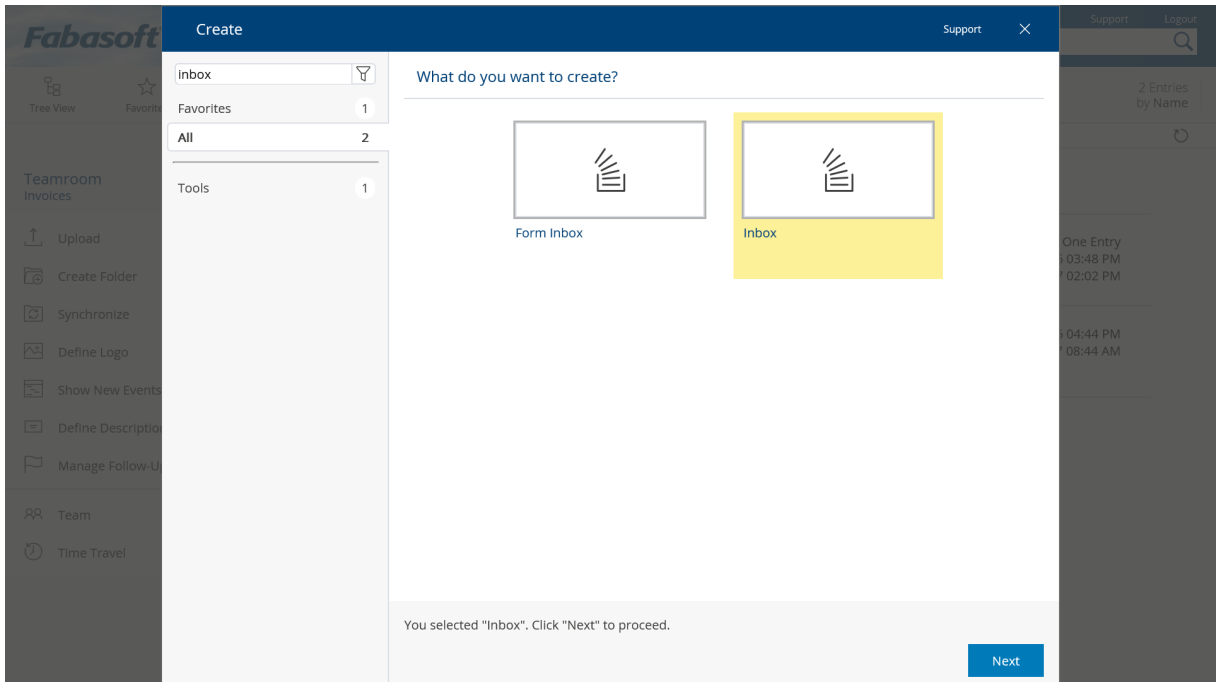


Figure 7: Creating an inbox for invoices

After creating a new inbox for invoices, open it and select “Manage Rules”. Then create a new rule for assigning the “Invoice” category to documents stored in the inbox.

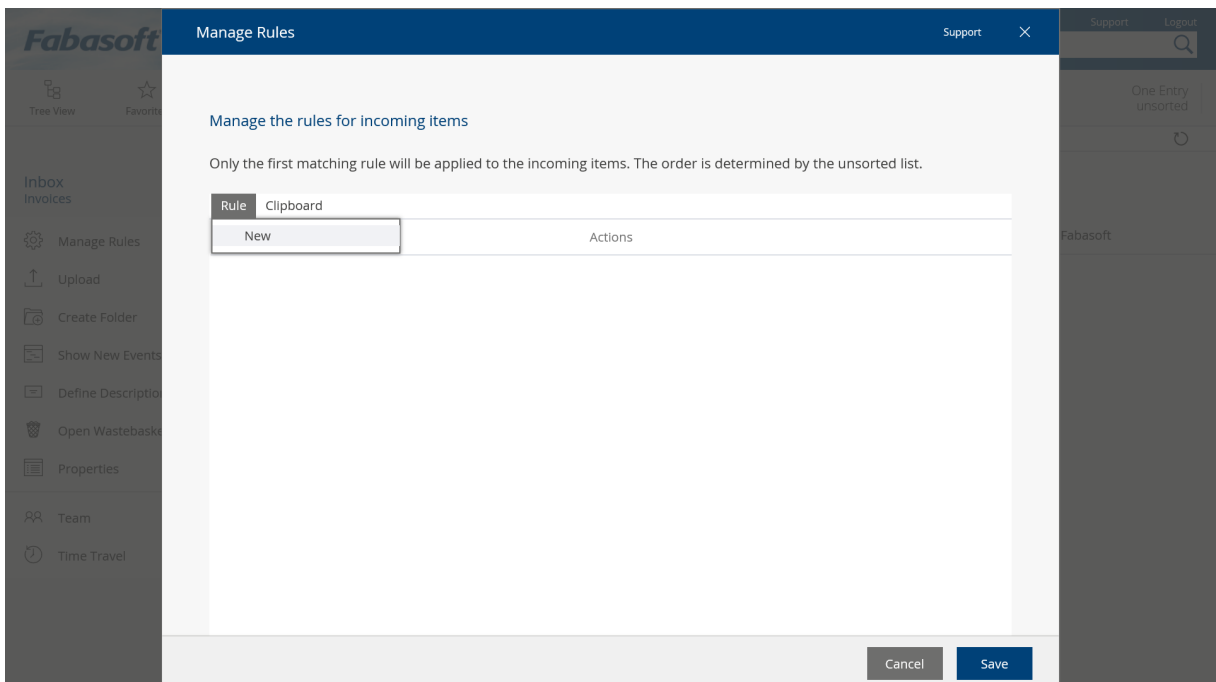


Figure 8: Create a new rule for the inbox

In the “Create Rule” dialog box, create a new action in the “Actions” list, select “Assign Category”, then select your “Invoice” category in the “Category” field and click “Next”.

Note: You can also specify conditions for your rules so that they are applied only when the conditions are met. Further information can be found here: <http://help.cloud.fabasoft.com/index.php?topic=doc/User-Help-Fabasoft-Cloud-eng/additional-features.htm#inbox>

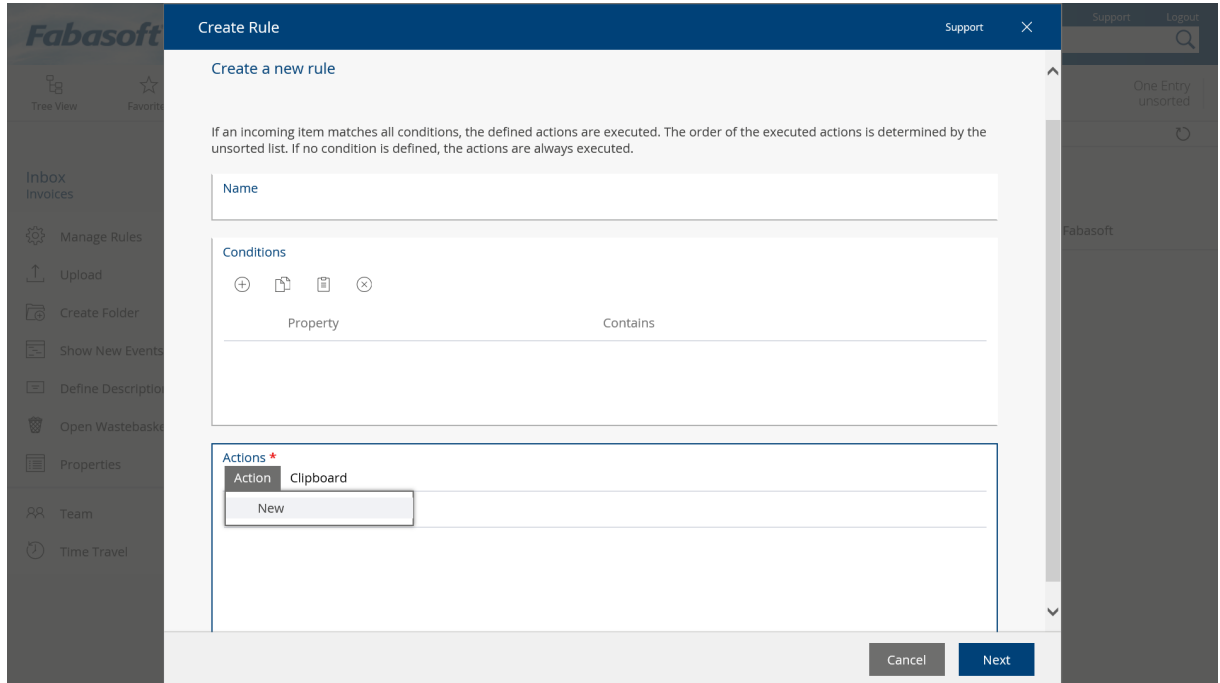


Figure 9: Creating a new action for a rule

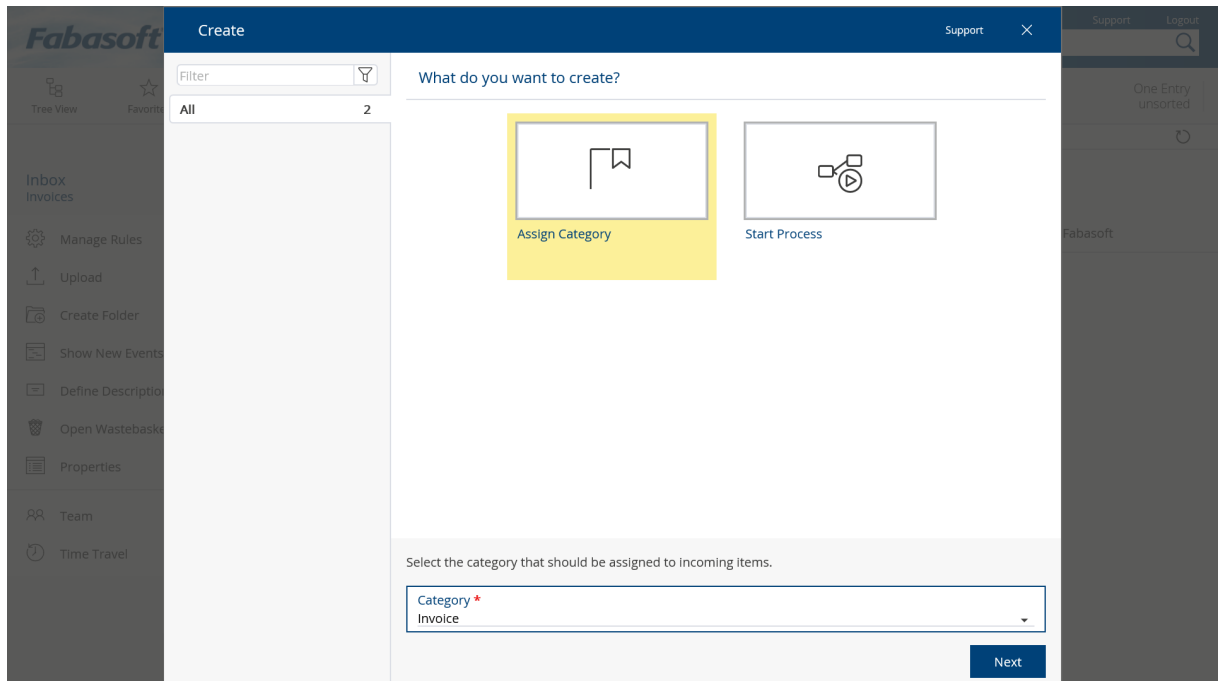


Figure 10: Action for assigning the "Invoice" category

Now, when you upload an invoice into your inbox it is automatically assigned the "Invoice" category. Furthermore, the retention period of seven years from the date of its creation is

applied to the new invoice (due to the retention rules defined for the “Invoice” category), and after the expiration of the retention deadline the invoice is automatically deleted.

Note: Since the retention period is set by an asynchronous background task it can take a few minutes until it is applied to a new invoice.

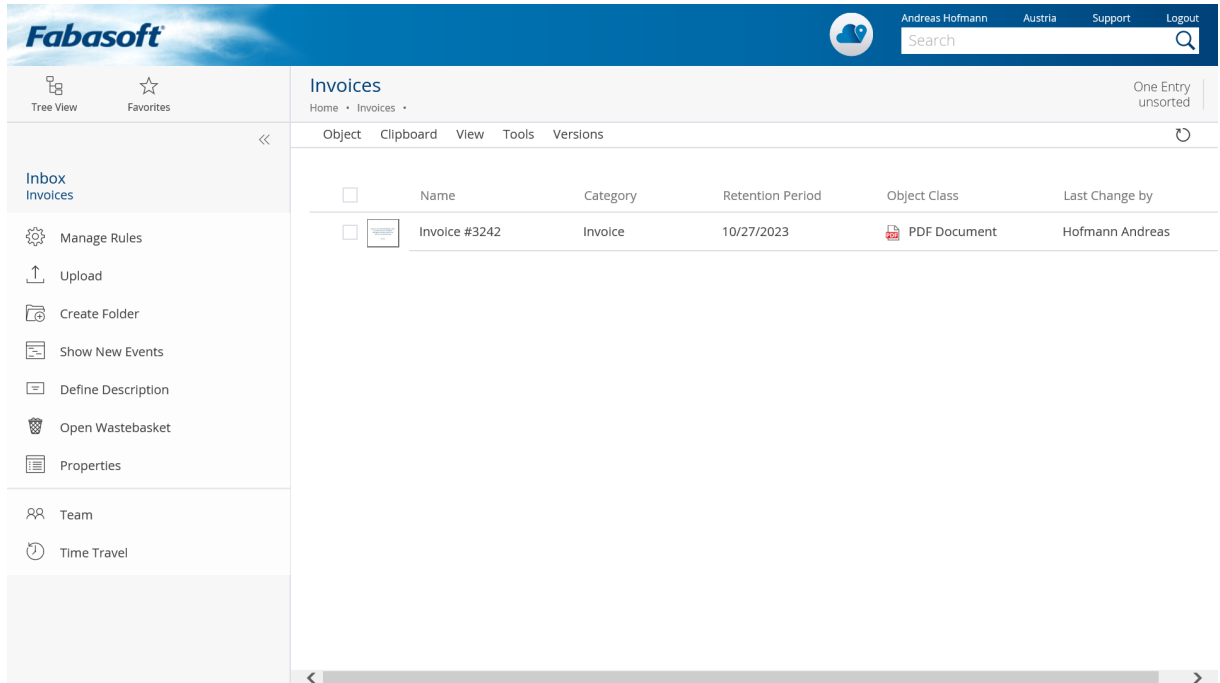


Figure 11: The “Invoice” category is automatically assigned to invoices added to the inbox