How to Prepare for an Audit with Laserfiche

Justin Steen, from Cities Digital, shares a step-by-step solution for simplifying the auditing process within your financial organization.

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Having an audit conducted in the financial services industry can send an organization into a panic and disrupt daily operations. Even with a well-organized Laserfiche repository, it is often difficult to provide an auditor with the specific client information they request. We have constructed a comprehensive solution to help you quickly and easily provide auditors with the access they need.

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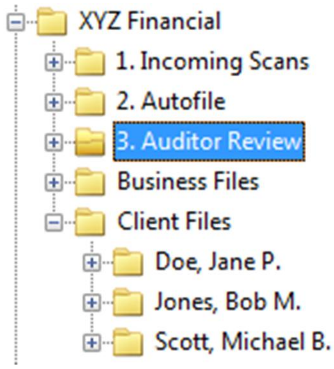
This solution provides an auditor access to a single folder in your repository named**Auditor Review** which contains shortcuts to client folders and their documents. To provide an auditor access to a client file, users will do little more than apply a tag. Some advantages of this solution are:

- A one-time Access Rights configuration.
- Ideal conformity with compliance mandates, as no copies of client files are created.
- No printing, copying or exporting of documents outside of your secure Laserfiche repository.

What are the prerequisites for implementing this solution?

The following solution works on these assumptions:

- Your Laserfiche folder structure separates out client files by individual folders (each client has his/her own folder).



- When an auditor comes into your organization, s/he requests to see a few specific client files.

In addition, make sure you have this software installed:

- Laserfiche Client and Administration Console (version 8 or higher)
- Laserfiche Workflow (version 8 or higher)

The person implementing this solution must have these privileges:

- Manage Trustees
- Manage Tags
- Manage Entry Access

How do I implement this solution?

Download detailed step-by-step instructions here.
This guide describes how to:

- Create an **Auditor Review** folder and an **Auditor** user.
- Apply the appropriate security.
- Design a workflow that will automatically create a folder shortcut for any client file that the **Audit Request** tag is applied to and place these shortcuts in the **Auditor Review**folder.
- Test the entire solution.