



YellowFolder
The Education Documentation Experts

Audit Preparation and Evaluation Course

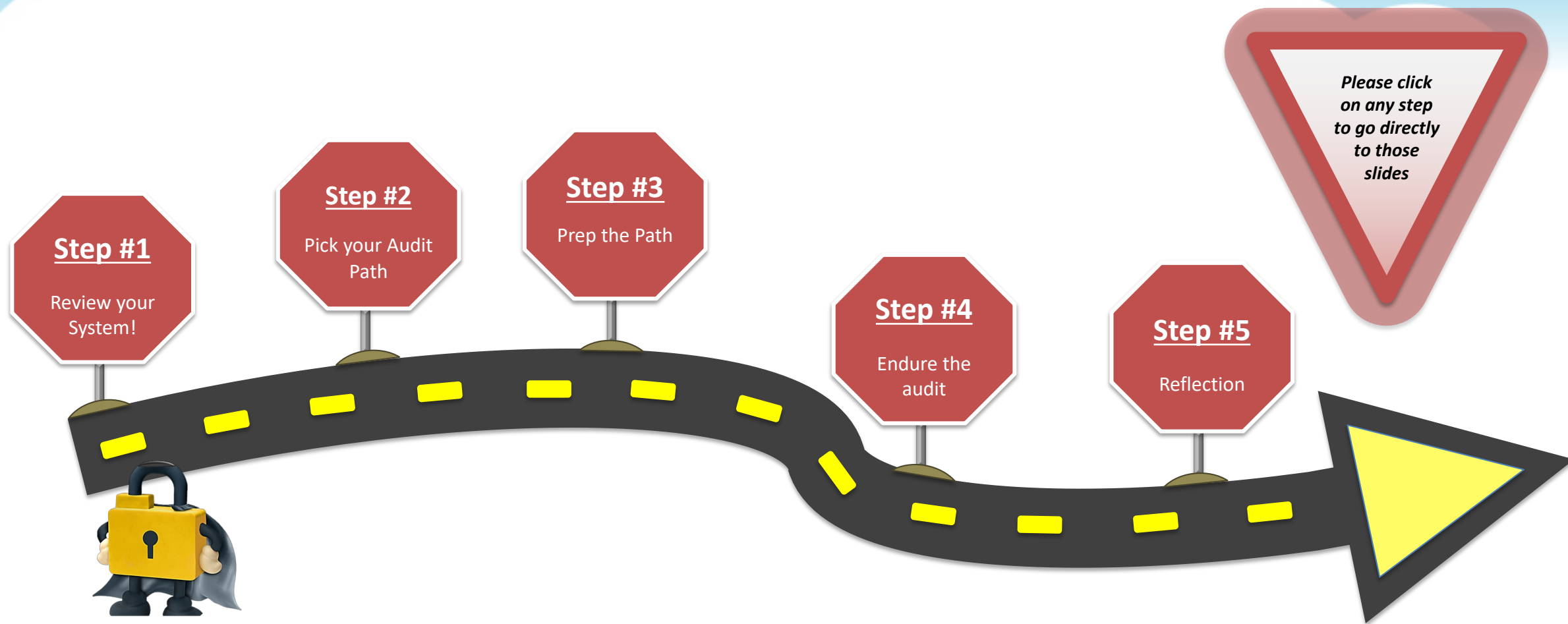


- 01 Course Objective
- 02 Interactive Check Points
- 03 Audit Options
- 04 Enduring an Audit
- 05 Reflection
- 06 Support
- 07 Course Completion Certificate



This course will help you gain an understanding of how YellowFolder and your Paperless Nation Engineer, can help your district prepare for and facilitate an internal or external audit of your documents related to any record series within the YellowFolder system.

This course is designed as preparation for an existing upcoming audit, however, the course can be completed without a scheduled audit as well. All processes addressed can be helpful regardless of whether an audit is planned or not.





Click here to
go back to
the
Roadmap

One of the most important things about undergoing an audit is being able to guide the auditor through your system. It is hard to do that if you are not familiar with how your system is setup. If you do not have them already please make sure to request your File Structure, User Access Roles, and your User List from your PNE at least a month before your audit is set to take place. In addition to contacting your PNE please answer the questions below to get credit for completing this step. It is also highly recommended you either complete the Advanced Training Live Session or setup a review session with your PNE as well

1. *How many file types do you have within your file structure?*
2. *Please list the number of ways you can search for a file within the system.*
3. *Please identify 5 people that you are going to use for the prep portion of this course. Make sure that these 5 people are already in your system. After you have the list, please count the number of documents for each person and list that next to their name.*
4. *If your auditor asks you for a specific person's file, how can you bring that file up for them? Is there more than one way to view an entire person's file, or just one?*



There are 5 different ways to approach this. [\(click on each type to see more info\)](#)

Full Access

- Need to create a login for auditor ahead of time
- Auditor has full access to system and all docs
- Little prep work needed outside of file cleanup

Structured Access

- Similar to Full Access, except access is controlled at the campus or folder level
- Need to create a login and Access Role for your auditor.
- Requires you to create a csv for how to structure those campuses.

Supervised Access

- Time intensive while auditor is present
- Very little system change required
- Easiest prep work (assuming you are comfortable with the system and your structure)

Bookmark and Share Privately

- Auditor can only access documents that you personally share
- Hands off while auditor is present
- Works best if you have the list of people for auditor ahead of time

Bookmark and Share Publicly

- Auditor does not require a login
- Sharing is public not behind the YellowFolder firewall, but is still secure
- Works best if you have the list of people for auditor ahead of time

Click here to go back to the Roadmap



Click here to
go back to
Step #2
Home



Why?

- Giving an auditor full access to the system enables them to be able to access all documents needed with little to no impediment
- This method can potentially provide you flexibility during the audit to handle your normal roles

Why Not?

- You are giving the auditor unfettered access to your system, and either your filing system or your file structure might not quite be up to the level that you want yet.
- While this method could result in the most flexibility for you in terms of time, a quick training might not be enough to enable the auditor to be self-sufficient within the system yet

How

- You will need to request a username and password for the auditor at least a week before they arrive
- Login at least once before the auditor arrives to ensure that the access has been setup correctly.
- If you want, you can even bookmark specific files for the auditor to make the search process easier
- Familiarize yourself with the document history as well as your file structure as those will likely be the most important things to an auditor

Click here to
go back to
Step #2
Home



Why?


- This method allows you to grant access only to the specific people that either your Auditor requested, or that you want show them.
- It enables you to break the audit files apart into different categories than are standard. For example, in HR you can create campuses for Substitutes, Professional, and administrative employees so the auditor can easily tell which employee type each person is.

Why Not?

- A new temporary csv will have to be created well in advance to enable the campuses to be created and the people moved.
- Unless your auditor specifically requests to view people in specific categories, this method likely entails more time than is needed

How

- You will have to create a new temporary csv that includes the Audit campuses, as well as a new access role that only has access to those campuses along with creating a user name for the auditor.



Click here to
go back to
Step #2
Home



Why?

- This requires the least amount of effort in order to setup
- You maintain the most control over the situation as you are pulling everything for them as they ask
- Nothing changes in your system at all

Why Not?

- This is by far the most time intensive for you on the day of the audit as it requires you to sit with the auditor throughout the process.

How

- Review your system to ensure you know how to easily search for documents
- This method requires no system changes or user creation as you will be pulling everything for them as they ask for it

Click here to
go back to
Step #2
Home



Why?

- Provides complete control over who the auditor has access to without requiring you to sit with them the entire time
- Keeps all files behind YellowFolder's firewall
- Does not require the creation of a new Access Role, campus, or csv

Why Not?

- The auditor will require a short introduction to the system in order to be comfortable
- Requires you to secure a Username and password for your auditor

How

- You will need to request a username and password for the auditor at least a week before they arrive
- Login at least once before the auditor arrives to ensure that the access has been setup correctly.
- Bookmark all files that need to be shared to make the sharing process easier
- Share files with new account that was created for Auditor
- Login to new account for Auditor to confirm receipt of files

Click here to
go back to
Step #2
Home



Why?

- Provides complete control over who the auditor has access to without requiring you to sit with them the entire time
- Does not require the creation of a new User, Access Role, campus, or csv

Why Not?

- While a public share is secure, it does not require a login to the system which can give the appearance that the information is not as secure as within a Private Share

How

- You will need to request a username and password for the auditor at least a week before they arrive
- Login at least once before the auditor arrives to ensure that the access has been setup correctly.
- Bookmark all files that need to be shared to make the sharing process easier
- Share files with new account that was created for Auditor



Click here to
go back to
the
Roadmap

It is time to prepare for the Audit Path that you have chosen. Please click on the audit path that you chose and complete the checklist.

Full Access

Structured Access

Supervised Access

Bookmark &
Share Publicly

Bookmark &
Share Privately





Click here to
go back to the
start of Prep
your Path

Full Access

Required Time: Start 2 weeks prior to audit

System Changes required:

- Request a new User Name and Access Role for your Auditor

Research Prep

- Review System
- Familiarize yourself with Doc History and FAARP

Assorted Tasks:

- Either be ready to train your auditor, or have a session scheduled with your PNE for the morning of
- Complete and submit all questions from Step #1
- Test Auditor User Name and access ahead of time





Click here to
go back to the
start of Prep
your Path

Structured Access

Required Time: Start 3-4 weeks prior to audit

System Changes required:

- New User Name & password
- New Access Role
- New Audit-dependent campuses

Research Prep

- Review System
- Familiarize yourself with Doc History and FAARP

Assorted Tasks:

- Either be ready to train your auditor, or have a session scheduled with your PNE for the morning of
- Complete and submit all questions from Step #1
- Test Auditor User Name and access ahead of time





Click here to
go back to the
start of Prep
your Path

Supervised Access

Required Time: Start 1-2 weeks prior to audit

System Changes required:

- None

Research Prep

- Review System
- Familiarize yourself with Doc History and FAARP

Assorted Tasks:

- This method requires the least prep time, but most active time during the audit as you are pulling everything upon request.
- Complete Step #1 Questions





Click here to
go back to the
start of Prep
your Path

Bookmark and Share Privately

Required Time: Start 3-4 weeks prior to audit

System Changes required:

- New User Name & password
- New Access Role (with no actual access)

Research Prep

- Review System
- Familiarize yourself with Doc History and FAARP
- Attend training on Sharing

Assorted Tasks:

- You will be sharing every file with the auditor's User Name before they come, and this will take time to do correctly.
- Login to Auditor account before they arrive and confirm you shared correctly
- Complete Step #1 Questions



Click here to
go back to the
start of Prep
your Path

Bookmark and Share Publicly

Required Time: Start 3-4 weeks prior to audit

System Changes required:

- None

Research Prep

- Review System
- Familiarize yourself with Doc History and FAARP
- Attend training on Sharing

Assorted Tasks:

- You will be sharing every file with either the auditor's email or one that you set up for them.
- Practice by sharing something with another email first to confirm you shared correctly
- Complete Step #1 Questions



Click here to
go back to
the
Roadmap

If you have to endure a traditional audit,
CONGRATULATIONS! We can't help much at this
point, but here's a cute puppy just in case.





Click here to
go back to
the
Roadmap

Reflection

An audit is likely to provide you a very different view of your current system. Take the time as soon as possible once your audit is completed to answer these and any other questions that came up during the process, as this is not something that can be easily simulated, but we can take advantage of the experience!

- Did you still like the way your file structure is setup? If not, what changes would you like to make? Try to think both generally and specifically, as “I need to simplify things” can be as helpful of an answer as “I need to add a folder specifically for supplemental applications.”
- If you have endured an audit before this one, did you find it was much easier to do this within YellowFolder? If so, awesome, but if not what needs to change to make it easier?
- Would you approach the next audit differently than you approached this one? If so, what would you do differently?
- Do you need to change any of your upload processes to make file storage easier?
- If you are not paperless already, does this experience make you want to be more or less? If more, what steps need to be taken to become truly paperless?



Click here to
go back to
the
Roadmap

Questions, Problems?
We're here for YOU.



Support 214.431.3600 (dial 2) • support@yellowfolder.com

Contact Support for:

- General questions about using YellowFolder
- Software support
- YellowFolder Tool(s) Support (Drop/it, Virtual Printer, Scan & Upload)
- Assistance finding digitized documents
- Remote virtual training
- CSV file related items
- Matriculation related items
- User access related items



Record Retrieval 214.431.3600 (dial 2) • recordrequest@yellowfolder.com

Contact Record Retrieval for:

Retrieving non-digitized documents. These are generally documents YellowFolder is only storing in the warehouse (never been digitized). However, this also applies to documents that have not been digitized yet (open project).

*Completion of a Records Request Form is necessary for prompt retrieval. The form can be obtained by contacting support@yellowfolder.com or recordrequest@yellowfolder.com



Paperless Nation Engineer (PNE) Each PNE member has their own contact information.

About Paperless Nation Engineers:

- Educational Consultant for a smooth transition to YellowFolder
- Creation and modification of your unique File Structure
- Guidance in implementation and procedure planning to incorporate the culture change necessary to go paperless
- On-site and virtual trainings (both initial and refreshers) to ensure users understand how to best utilize YellowFolder
- On-going assessments of the implementation and usage of YellowFolder to inform your Administration and provide support



Accounting accounting@yellowfolder.com

Contact Accounting for: All billing/invoice related questions



Click here to
go back to
the
Roadmap

Fill out the Course Completion Submission form and submit it to awatts@yellowfolder.com to obtain the course certificate.