

How to Prepare for an Audit with your Client

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Resources

- PDR Documents
 - [https://vertican.tech/cm/pdr/how-to-prepare-for-an-audit-with-your-client/PDR Secure Data](https://vertican.tech/cm/pdr/how-to-prepare-for-an-audit-with-your-client/PDR%20Secure%20Data)
 - <https://vertican.tech/cm/pdr/how-to-secure-data-in-collection-master/>
- Master Mind Series Presentations
 - Printing in Collection-Master – [Video](#) | [Presentation](#)
 - SQL-SYNC – [Video](#) | [Presentation](#)
 - Creating Forms in Word Perfect | [Video](#) | [Presentation](#) | [Sample IF Statements \(zip\)](#)

How to Prepare for an Audit with your Client

- Where to store your documents and other audit information
- Information about your firm
- IT information
- Workstations
- Anti-Virus / Malware Protection
- Backups
- vMedia

How to Prepare for an Audit with your Client

- Collection-Master Claim Information
- Paperless File
- Report Generator
- Paper Ledger Card
- Print Paperless Notes
- Export Running Balances
- Printing to PDF
- Printing to Email
- SQL-Sync

Where to Store your Documents and other Audit Information

- Folders on Your network
- [Confluence by Atlassian](#)
 - [Policy: Process Documentation Process](#)
- vMedia
- Collection-Master
- Other solutions:

<ul style="list-style-type: none">•Microsoft SharePoint•Notion•eXo platform•Guru	<ul style="list-style-type: none">•Quip•Jive•Dropbox Paper	<ul style="list-style-type: none">•Google Suite•Bloomfire•KnowledgeOwl
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Information about your Firm

- Contacts
- Administration
- Accounting
- IT
- Collections
- Operations
- Policies & Procedures
- IT Specifics
- Licenses
- Insurance

IT Information

- Security is a Collection of Layers
 - Each protects you from breaches
 - Most common breach will be due to something your staff does by violating an internal policy.
 - Strong security training
- Clients expect
 - Monitors
 - Scans
 - Tools to prevent information leakage.
- Minimize Wireless Connection
- Encryption Everywhere
- Collection-Master
 - Client-Server
 - Secure Data
 - Encryption in Motion [SMB3]
 - Encryption at Rest

IT Information

- Collection-Master
 - Client-Server
 - Secure Data
 - Encryption in Motion [SMB3]
 - Encryption at Rest
 - Group Security [4-1-S-3]
 - Policies
 - Passwords
 - Access

Workstations

- Avoid storing information at the workstation level.
- Using virtual machines will protect you even further.
- Workstations should be encrypted.
- Laptops even more so!

Anti-Virus / Malware Protection

- Endpoint Security
- (EDR) Extended Detection & Response
- (VPN) Virtual Private Network
- (MFA) Multi-Factor Authentication
- Host with Microsoft Azure or Amazon AWS
- Employee Awareness Training
 - Strong Passwords
 - Malicious E-Mail
- Chief Information Security Officer (CISO)
 - Small businesses cannot attract a world class CISO.
 - The state of the internet requires a CISO
 - High end Security solutions will offer a “vCISO”
- 24 x 7 monitoring

Backups

- BACKUPS, BACKUPS, BACKUPS
 - Minimum of three backups
 - Onsite and offsite backups
 - At least one of them offsite
- Disaster Recovery
- Backup Retention

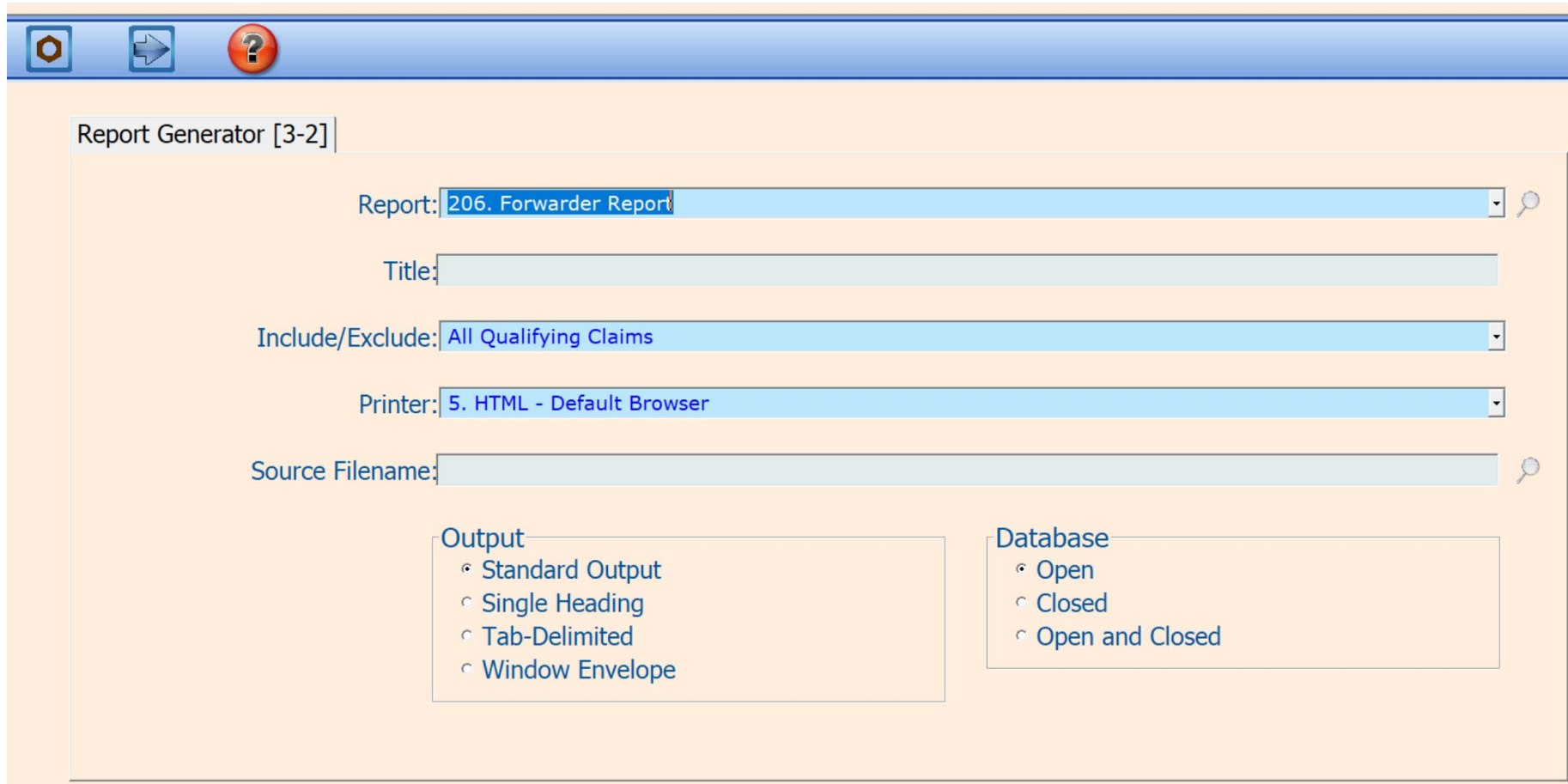
vMedia

- Exporter module
 - Export your documents in bulk
- Query and tag a list of documents
 - Select the export option
 - Choose the Group & Compress Option - single Zip file
- Spectrum Exporter
 - Setup profile to define export
- Collection-Master's vMedia tab
 - View individual documents
 - Save media to a folder

Collection-Master Claim Information

- Word Processing
 - Create an “Audit Document.”
 - Merge the documents on a list of claims.
 - Archive to vMedia so that there is a record.
- Select Screen
 - Paperless File [1-1-Shift F4]
 - Report Generator [3-2]
 - Paper Ledger Card [2-9]
 - Print Paperless Notes to File [4-1-5-7]

Report Generator [3-2]



The screenshot shows the 'Report Generator [3-2]' application window. The title bar contains three icons: a home icon, a right-pointing arrow, and a question mark. The main content area is titled 'Report Generator [3-2]' and contains several input fields and two grouped sections.

Report: 206. Forwarder Report

Title:

Include/Exclude: All Qualifying Claims

Printer: 5. HTML - Default Browser

Source Filename:

Output

- Standard Output
- Single Heading
- Tab-Delimited
- Window Envelope

Database

- Open
- Closed
- Open and Closed

Paper Ledger Card [2-9]

LiquidFoot	Vs.	Voigt/Ka
14053 Crystal Quail Woods	Vs.	13194 SW Stony Rustic Gardens
Fredericksburg 24536	Vs.	Teterboro NJ 07699

DEBTOR BALANCE:	8,209.44
INTEREST DUE:	3,612.57
TOTAL DUE:	11,822.01

DATE	REF #	DESCRIPTION	COLLECTED	REMITTED	C RECEIVED	C EXPENDED	FEES	C BALANCE	D BALANCE
03/01/99		New Claim Entry	\$.00	\$.00	.00	.00	.00	.00	55.00
03/01/99		New Claim Entry	\$.00	\$.00	.00	.00	.00	.00	55.00
03/01/99		New Claim Entry	\$.00	\$.00	.00	.00	.00	.00	55.00
11/08/02		Judgment Entered	\$.00	\$.00	.00	.00	.00	.00	2,055.00
09/08/04		PJINT Added 10% on Costs	\$.00	\$.00	.00	.00	.00	.00	2,055.00
12/06/04		Swap Interest Stamp (0910	\$.00	\$.00	.00	.00	.00	.00	2,055.00
09/29/05		Balance Adjustment	\$.00	\$.00	.00	.00	.00	.00	2,055.00
01/03/06		Swap Interest Stamp (0910	\$.00	\$.00	.00	.00	.00	.00	2,055.00
01/03/06		Swap Interest Stamp (0910	\$.00	\$.00	.00	.00	.00	.00	2,055.00
02/01/06		Balance Adjustment	\$.00	\$.00	.00	.00	.00	.00	2,055.00
05/19/06		PJINT Added 10% on Costs	\$.00	\$.00	.00	.00	.00	.00	2,055.00
06/13/06		PJINT Added 10% on Costs	\$.00	\$.00	.00	.00	.00	.00	2,055.00

Print Paperless Notes to File [4-1-5-7]

- Export Paperless File Notes
- Single or Multiple Claims
- Template:
 - Reports\Printnotes.rpt
 - Also support any MASTER.[Field]
- Output in N:CM\Notes\
 - Each claim FILENO_FORW_FILENO

PAPERLESS FILE FOR FILENO:	SAMPLE1
REPORT DATE:	01/27/2022
YOUR FILENO:	SAMPLE1_FORW_FILENO_SET_TO_30C
COCO FILENO:	CLAIM FORWARDED
REFNO:	SAMPLE1REF
REPORT FILENO:	RF_VX
COURT CASE:	DJ-123-456-7890
JUDGEMENT:	3,627.84
DEBTOR BALANCE:	7,109.43
INTEREST DUE:	3,563.22
TOTAL DUE:	10,672.65

ABC CORPORATION	Vs.	ALLEN/JOHN™
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Date	Time	Init	Code	Notes
03/01/1999	08:30:00	GL	91	New Claim Entry
03/01/1999	08:30:00	GL	91	New Claim Entry
03/01/1999	08:30:00	GL	91	New Claim Entry
11/08/2002	10:23:42	JAM	92	Judgment Entered \$2,055.00
09/08/2004	10:38:42	EDI	90.05555	PJINT Added 10% on Costs & Stat Fees (05555) 10.77
12/06/2004	09:07:09		90.09100	Swap Interest Stamp (09100)INT IS:8.57 371.57
09/29/2005	18:30:13	MM!	93	Account Card Modified
01/03/2006	12:30:03	LIG	90.09100	Swap Interest Stamp (09100)INT IS:8.57 548.65
01/03/2006	12:34:37	LIG	90.09100	Swap Interest Stamp (09100)INT IS:8.57 548.65
02/01/2006	15:03:12	JB	93	Account Card Modified
05/19/2006	09:57:44	EDI	90.05555	PJINT Added 10% on Costs & Stat Fees (05555) 8.18
06/13/2006	15:18:14	EDI	90.05555	PJINT Added 10% on Costs & Stat Fees (05555) .38
02/15/2007	15:39:48	JAC	90.09100	Swap Interest Stamp (09100)INT IS:5.55 105.04
02/15/2007	15:41:28	JAC	90.09100	Swap Interest Stamp (09100)INT IS:5.55 105.04

Trust Account

- Export Running Balances (Forwbal) [2-2-9-8]

File #	Trust	Forw #	Categ	Post Date	Remitt Date	Ref #	Remit #	Trans \$	Our Fee	Balance
CACS025	ATST	64	1	3/17/2021		1479	0	496.51	361.24	496.51
NEU35	ATST	64	1	3/17/2021		1480	0	779.75	182.9	1276.26
CMVX-I01	ATST	64	1	3/17/2021		1481	0	357.3	251.43	1633.56
141-I003	ATST	64	1	3/17/2021		1487	0	410.57	295	2044.13
NEU24	ATST	64	1	3/17/2021		1488	0	1956.03	458.82	4000.16

Printing

- Print to PDF
- Print to E-Mail
- Excel-IT

SQL-SYNC

- Paperless file notes

```
SELECT * FROM [Dev-CM-  
SQL].[dbo].[View_Paperless] with (nolock) Where  
Fileno='SAMPLE1' Order by  
FILENO,Record_Number
```

- Reconciliation Balances

```
SELECT F.FOLDER_CODE,* FROM [Dev-CM-  
SQL].[dbo].[RECONCIL] R INNER JOIN [Dev-CM-  
SQL].[dbo].[Folders] F on  
R.Folder_Number=F.Folder_Number
```



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