

Next-Generation Audit Management Environment (NGAME)™

TOTAL SURVEILLANCE

Monitor every auditable event over each document's life cycle: recording release-withhold preferences, requests for access, grants-denials of access.

INCONTESTABLE ATTESTATIONS

Capture every applicable detail for analysis: time of the request, identity of the requestor and device, role of the requestor, purpose of the request, data requested, data released, data obfuscated or withheld. Pre-process to meet statutory Rules of Evidence.

NATURAL LANGUAGE-BASED VISUALIZATION

Stage the local policy-driven environment for audit, using XpressRules' (non-IT) policy configurator.

COMPREHENSIVE ANALYTICS

Assess—*in real time* and for any number of events—the system's compliance with (1) the information steward's policy, (2) professional best practices and (3) applicable regulations.



Problem: Weak leg of the "Audit Stool"

Every regulated industry struggles with its compliance burden, adhering to its mandated *best practices*. The sheer number of federal enforcement bodies is widely recognized: ten for banking, six for healthcare, ten or more for insurance, fifteen for transportation. And it is universally more burdensome at the state and local level (e.g. 629 total regulations for hospitals and post-acute care).

Auditing an organization's practices invariably targets (1) personal conduct, (2) administrative workflows and (3) supporting technologies. The audit profession is well equipped to assess personal and administrative practices. But not so for the organization's technologies. The traditional tools of regulatory audit—checklists, signed pledges, and filed indemnification documents—are woefully incapable of assessing technology-based workflows at the stringent level of detail now required.

Why now? *Technology* workflows demand *evidence-based* attestation:

- **SOX:** "...assessment, as of the end of the most recent fiscal year of the issuer, of the *effectiveness* of the internal control structure and procedures of the issuer for financial reporting"
- **SAMHSA:** "The Privacy Rule provides patients with new Federal privacy rights, including the right to *request restrictions* of uses and disclosures of PHI, and the right to access, amend, and receive an *accounting of disclosures* of PHI."
- **FDA:** "...we intend to enforce provisions related to . . .controls and requirements [for] limiting system access to authorized individuals

Why NGAME? As a total environment and not simply a tool, NGAME empowers the non-IT user—internal auditor, audit firm, regulator, agency examiner—to extract and analyze empirical evidence for incontestable attestations of an organization's technical performance. Its features include

1. Captures all details of every information transfer event, not simply the computer's audit log.
2. Analyzes data to render empirical results, not artifacts of human inspection
3. Verifies the enforcement of personal preferences (e.g. for release of sensitive personal information)
4. Leverages forward-facing standards for eAudit (e.g. HL7 Resource AuditEvent, now in trial use)

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