



# Information Technology SOX Compliance

## *National Healthcare Outpatient Company*

### ***Type of Business***

A leading national provider of healthcare solutions, patient and claimant outcomes, and business results in Workers Compensation, occupational healthcare services, group health and auto medical claims.

### ***Statistics***

Annual Revenue  
\$1.1 Billion

Number of Medical Centers  
301 in 83 markets / 10 states

Contact Information  
Available on request

### ***Business Challenge***

As part of their annual Risk Assessment, our client determined that operations at a specific division had become “in-scope” for the purposes of SOX 404 compliance, year-two. During the initial SOX compliance efforts, no comprehensive actions had been taken to readily identify and manage IT general controls (ITGC) for that location. The compliance clock was ticking and our client required the right expertise to help them rapidly become SOX compliant.

### ***Action and Results***

IT was core to our client’s operations, which served as the mailroom hub for turning claims-related paper into digital images which it then processed by their web-enabled claims adjuster. Avalion Consulting was hired to perform an internal controls assessment and lead the design, remediation and implementation of a best-practice system of internal controls for IT. As part of this engagement, Avalion Consulting led client IT staff in a readiness effort to help them better understand the application of the COBIT framework and the related SOX compliance requirements.

The Avalion Consulting team successfully guided our client through the rapid identification, design, documentation and implementation of a comprehensive set of IT general controls. As a result of our assistance, our client was successful in meeting the overall requirements of the company’s SOX compliance efforts on-time and on-budget.