ASG AUDIT & ANALYTICS SERVICES
Control Your Data & Manage Your Business
Audit & Analytics Services (A&AS) provides a policy-based, rules-driven, data analysis and data quality business process automation solution. It automates audit and reconciliation rules aligned with corporate policies and compliance regulations and continuously scans the data estate to detect, discover and alert data discrepancies. Audit & Analytics Services helps organizations strengthen internal controls, enhance data integrity, reduce fraud and boost operational performance.

**AUDIT & ANALYTICS SERVICES**

**IMPROVE PRODUCTIVITY BY AUTOMATING PROCESSES**
- Improve productivity by automating labor intensive, error prone, manual reconciliation processes
- Reengineer internal audit processes with rules-based approach for faster turn-around and predictable outcomes
- Support increased workloads created by comprehensive audits, detailed claims processing and exhaustive fraud checks

**DRIVE THE BUSINESS WITH DATA DRIVEN INSIGHT**
- Compare data from wide ranging sources to detect unusual trends for review and understanding
- Process, analyze, and report financial transaction data quickly and accurately
- Reconcile General Ledger (GL) with invoices, bank and credit card statements more easily and include transactions from smaller systems that roll up to large ERP systems (i.e. SAP)

**COMPLY WITH REGULATIONS AND GOVERNANCE**
- Perform continuous audits to aid compliance with anti-money laundering (AML) and other financial regulations
- Audit internal operations processes per established methodologies for improved governance
- Retain transaction processing logs and results to be audit ready

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**Saved estimated $1.74 Million, annually.**

**Cut Audit SLA time from 20 days to 5 days.**

**Reduced Compliance risk substantially.**
ENSURE DATA QUALITY

With Audit & Analytics Services, it’s easy to build solutions for data quality that meet an organization’s specific needs. These categories will show how A&AS automates manual processes, manages data to ensure data quality and improves operational performance by:

- Defining business rules to enforce data quality policies
- Validating data for integrity based on business rules
- Federating data in business systems, applications and repositories
- Extracting information from anywhere in the enterprise for analysis
- Automating business logic and processes across data stores
- Comparing and analyzing data for discrepancies and anomalies
DEFINE BUSINESS RULES

Audit & Analytics Services provides a modern, comprehensive graphical user interface to define, test and deploy business rules. The rules define how it will examine, detect and inform users of potentially costly data inaccuracies, fraudulent activities or out-of-compliance data within and across connected business systems and applications, regardless of data type, data source or platform.

RULES ENGINE

Define a comprehensive set of business rules to assign thresholds, monitor data and achieve specific outcomes using an integrated development environment (IDE).

DATA ANALYTICS

Set policies to monitor content, examine large amounts of data and perform automated audits to identify anomalies and detect patterns.

MONITORING

View dashboards to quickly see and access available applications and execute business rules. A&AS also generates and retains application log-in, execution results and performance logs for analysis and visualization.
FEDERATE DATA SOURCES AND REPOSITORIES

Audit & Analytics Services uses web services to connect, federate and extract data. A complete library of web services is available to support access to most data types regardless of size, format, volume or platform.

WEB SERVICES (REST API)
Intra and inter business system, application and database connectivity via open standards REST APIs that minimize complexity, expedites connectivity and future-proofs platform.

DATA SOURCES
Direct connection to the Mobius Repository and federated CMIS repositories; relational databases such as PostgreSQL, MS SQL Server, and Oracle and unstructured data sources such as Hadoop (HDFS, HIVE), HBase and Spark; permits rapid configuration to connect with additional sources.
AUTOMATE BUSINESS PROCESSES AND AUDIT RULES

Audit & Analytics Services automates audit rules and data processing to identify and report, policy-based rules-driven findings. Organizations can find and correct inaccurate and incomplete information to reduce costs and time associated with manual repetitive data-gathering tasks. Risks associated with weak internal controls can be minimized and compliance with regulations and quality assurance requirements can be improved.

“It [Audit & Analytics Services] just runs and finds the out of balance data. This is a big win for the company and our clients.”

SEI New ways. New answers.

**Regulatory Compliance:** Perform SEC mandated compliance audits of customer financial statements.

**Compliance Monitoring:** Monitor employee trading activity and holdings against restricted securities list to ensure compliance with SEC financial regulations.

**Fraud Detection:** Compare customer account records with historical information and benchmarks to detect fraudulent activities, generate Suspicious Activity Report (SAR) and investigate anomalies.

**Identity Management:** Enable Know-Your-Customer (KYC) programs allowing financial institutions to verify identity of individuals wishing to conduct financial transactions with them as part of AML programs.

**Exception Management:** Scan enterprise data estate regardless of type, source and volume to identify exceptions, inconsistencies and anomalies; and trigger workflow actions for exception scenarios.

**Detection Alerts:** Set up automated alerts to notify stakeholders about incidents of inconsistencies and non-compliance.

**General Ledger Reconciliation:** Reconcile invoices, bank and card statements and similar artefacts to individual accounts or subsidiary ledgers prior to posting to the General Ledger (GL).

**ATM Reconciliation:** Automate ATM reconciliation process to eliminate human errors, reduce time to close books and achieve timely and accurate resolution of disputes to increase customer satisfaction.

**File and Line Item Reconciliation:** Execute file and line item reconciliation to compare and reconcile discrepancies and ensure that all expected output components of a process have been created.
ANALYZE AND VISUALIZE DATA

Audit & Analytics Services data extraction rules editor provides step-by-step guidance to create new extraction rules. Data extractions can be conducted on sample sets to determine if rules in the data extraction policy meet requirements and return expected results.

Data visualization uses visual elements like charts, graphs and maps, to see trends, outliers and patterns in data.

DATA EXTRACTION

A point and click user interface – free of coding and scripting – is used to intelligently extract and index data to create accurate and complete results for business analysis, audit and compliance reporting.

DATA VISUALIZATION

Leverage powerful visualization tools like Tableau and Qlik and take advantage of comprehensive data analysis capabilities to see and understand trends, outliers and patterns in data.

APPLICATION DASHBOARD

Visually organize user defined applications and their execution statuses; manage applications and processes to improve decisions and optimize performance.
MAKE DATA FIT FOR PURPOSE

Sustaining requisite level of data quality is essential. Data quality is a multi-dimensional concept and data is considered to have sufficient quality when it is appropriate to use for its intended purpose. Fit for purpose implies both, free from defects and possession of desired features and attributes. Audit & Analytics Services cleanses and standardizes data based on established criterions to remove abnormalities, de-duplication, reformatting, enriching, etc., to make data fit for purpose.

DATA STANDARDIZATION
Checks data for formatting, accuracy, completeness, etc. prior to processing to ensure data conforms to established quality standards.

DATA ENRICHMENT
Makes raw data more useful. By merging data from external, authoritative data source, data enrichment can help derive deeper insights.

“Audit & Analytics Services saves us well over 150 hours in monthly time savings and growing!”

ASG
Audit & Analytics Services

IT  DATA SCIENTIST  BUSINESS ANALYST  EMPLOYEES
DEPLOY WHERE NEEDED

To get the best of both worlds, enterprises are increasingly pursuing hybrid deployments. For businesses in heavily regulated industries, running business-critical applications and working with highly sensitive information, on premise and private cloud deployments offer greater control. At the same time, for non-sensitive tasks, public cloud offers a cost effective option while allowing on-demand scalability.

ON-PREMISES WITH OPEN SYSTEMS
Deploy Audit & Analytics Services on-premises, to run on Windows and open source Linux platforms.

HYBRID CLOUD DEPLOYMENTS
Deploy Audit & Analytics Services to run on private or public cloud (Amazon Web Services - AWS) infrastructure.
COMMON USE CASES

Account Reconciliation

- Improve Productivity by Automating Labor Intensive, Error Prone, Manual Reconciliation Processes
- Bank Statement to General Ledger
- Source to Master General Ledger
- Credit Card Clearing house
- ATM Settlement
- Check Clearing and Settlement
- Credit Card Statements to Expense Reports
- Billing and Commission Matching
- Purchase Order to Invoice
- Purchase Order to Widgets
- Invoices to Payments
- Subscription Services
- Claims Processing

Regulatory Compliance and Reporting

- Financial Close Process (Year, Quarter, Month end)
- Financial Audits
- Actuarial Reporting
- Know-Your-Customer (KYC)
- Statement Verification
- Anti-Money Laundering (AML)

INDUSTRIES SERVED

Industries

- Banking
- Investment Management
- Insurance
- Utilities
- Manufacturing
- Consumer Goods
- Government (local, state, federal)
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