



**KELLERDUGGAN**

INFORMATION SECURITY & FINANCIAL CONTROLS

Effective Cybersecurity  
& Internal Controls:

**MISSION CRITICAL**

# North Carolina Cyber / Ransomware Attacks Are In An Expanded & Unprecedented Growth Phase.

Consider an independent, highly qualified lens on your cybersecurity. We work collaboratively with your existing IT team to perform a cost-effective, objective assessment of your security posture, privacy reg. compliance, and internal controls together to ensure your client / patient information and business operations are secure and avoid 6-7 figure breach remediation cost and penalties.

KellerDuggan ensures information security / cybersecurity controls are effective, efficient, and manageable. We are local, heavily credentialed, and have the direct specialized industry experience to safeguard your operations and customer / patient data.

**It's a good idea to have us take a look. Call or email us today for a complimentary initial consultation.**

## Services At-A-Glance - All Industries

Cybersecurity Assessment, Breach Prevention & Process Controls For Information Security & Privacy Reg. Compliance

NIST Compliant IT Security Controls Assessment

SOC 2 Readiness, Teaming, & Training

EMR / ERP / FRP Software Implementation Assurance

Complex Issue Resolution

Compliance & Audit Services

Fraud Prevention & Detection

Operational Controls & Performance Analysis

Technical & Soft Skills Training



## Healthcare



**Get a highly qualified, independent, local assessment of your cybersecurity posture and make sure processes, systems, and data are protected and in compliance with HIPAA. We are here to ensure Carolina healthcare infrastructure is supported and protected, deliver brass-tacks client experiences, and help providers and clinicians stay focused on care delivery.**

- **Cybersecurity/HIPAA Compliance/Breach Prevention & Response**  
KellerDuggan utilizes a scalable model for risk assessing and evaluating your organization's cybersecurity / information security protection and ensuring breach prevention and compliance with right sized solutions. Rob has led and reviewed co-sourced PwC & Deloitte teams on HIPAA breach prevention, and has worked with the nation's top cyber-forensic consulting and law firms on high profile breach response. We work collaboratively with your IT team to ensure effective cybersecurity controls are in place and the organization is in compliance with regulatory requirements.

- **Physician Billing Compliance: Best Practices & Analytics**  
How are you monitoring Provider billing levels of care alignment with regional and national curves for those services? Rob has served as Compliance and Audit Officer in national healthcare for over 7 years and has led successful implementations of audit and compliance monitoring software as well as development of automated continuous monitoring / audit tools.

- **EMR / ERP / FRP Software Implementation Assurance**  
Implementation assurance is key to ensuring your new Electronic Medical Records System, Enterprise Resource Planning, or Financial Reporting software has a successful go-live and meets desired outcomes. Epic, Homecare Homebase, Peoplesoft & Workday implementation assurance project recommendations and control improvements have avoided 7-8 figure losses each.





## Services Overview: All Industries



### ■ **Cybersecurity Assessment / Breach Prevention & Response**

Consider an independent, objective, highly qualified view of your cybersecurity and information privacy risk. KellerDuggan utilizes a scalable model for risk assessing and evaluating your organization's IT security protection and ensuring compliance / breach prevention with right-sized solutions. Rob has worked directly with and led teams from top firms such as PwC and Deloitte on high profile breach prevention and response. We work collaboratively with your IT team to ensure that effective cybersecurity controls are in place and compliance with regulatory requirements.

### ■ **EMR / ERP / FRP Software Implementation Assurance**

Implementation assurance is key to making sure your new Electronic Medical Records System, Enterprise Resource Planning, or Financial Reporting software goes live with without interruption and achieves intended outcomes. Epic, Homecare Homebase, Peoplesoft, and Workday implementation assurance project recommendations and control improvements have avoided 7-8 figure losses each.

### ■ **FISMA NIST Compliance & Readiness For Managed Service Providers, Government Agencies, & Contractors**

Local businesses and State / local government agencies and contractors have been increasingly targeted for ransomware attacks, which are in an unprecedented expanded growth phase globally. KellerDuggan has the most comprehensive and focused NIST 800-53 Controls Assessment tools and methodology available with deep IT security controls assessment and implementation experience.

### ■ **Complex Issue Resolution / Interim CFO / Controller**

If you have a problem related to internal controls, financial reporting, or regulatory compliance, you can count on us to effectively and collaboratively project manage solutions in coordination with your legal team and key personnel. It is more cost - effective to have a qualified professional with global issue resolution experience driving your professional teams on the correction and helping you balance varying opinions with risk.

### ■ **Internal Audit & Compliance Services**

Rob has developed best practices for audit throughout his career and produces measurable results with every review. From specified testing to development of world-class metric driven continuous audit programs, our procedures are designed to target significant risk concentrations based on 20 years of audit experience in over 25 different countries. We don't just tell you something is broken—we help you fix it with industry best practice.



### ■ **Fraud Prevention & Detection**

How secure are your accounts payable, disbursements, and procurement processes? Are payroll controls effective? Are system segregations of duties in place / effective? What about related application security? What measures or analytics are on top of these processes to alert you of issues? We have the tools and techniques from over 10 years of international work and have implemented industry leading fraud prevention and detection controls, including data extraction, modeling, and reporting / monitoring tools.

### ■ **Operational Controls / Performance Analysis & Business Process Improvement**

We incorporate Lean techniques and tools to ensure processes are efficient and effective. A focused improvement project for clinical department billing resulted measured improvements such as >20% reductions in Days-in-AR metrics and denials rework. A pricing audit for an international manufacturing client identified root cause and correction of online order entry system controls, closing a 7-figure margin gap.



## Technology, Professional Service Firms & Managed Service Providers



**KellerDuggan can assist your practice with IT Security and internal control team SME support and training to ensure client businesses and their infrastructure are supported and protected, increase your firm's cyber / information security service capabilities, and develop revenue streams.**

- **Cybersecurity / HIPAA Compliance Teaming For Healthcare**  
We can team to serve your clients with a scalable model for risk assessing and ensuring compliance / breach prevention with right sized solutions. Rob has led and reviewed PwC & Deloitte teams on HIPAA breach prevention and has held top compliance and audit posts in national healthcare for 7 years.
- **SOC 2 Readiness, Teaming, Training For Professional Services Firms, Technology & Managed Service Providers**  
We are adept at assessing systems & process risk and prescription of effective right-sized controls. Rob has trained out and performed SOC 2 readiness and control documentation / enhancement for clean audit reporting and reduced risk for Firms, Service Organizations, Technology clients, and their customers.
- **SEC Reg. S-P Safeguards Rule, Red Flag Rule Compliance For Registered Investment Advisors & Broker-Dealers**  
We have the tools and experience with cybersecurity and privacy rule compliance to team and ensure your clients are secure and in compliance with Regulation S-P / S-ID. Rob has served as engagement lead auditor over comprehensive IT Security services for Financial Services firms up to \$4B.

- **FISMA NIST Compliance & Readiness For Managed Service Providers & Federal / State Agencies & Contractors**  
Local and State government agencies and contractors have been the victims of targeted ransomware attacks, which are in an unprecedented expanded growth phase. KellerDuggan uses comprehensive NIST assessment tools and methodologies and served on Government IT audit teams while in public accounting.
- **Subject Matter Expert (SME) Engagement Team Assistance & Training For Staff**  
We can work directly with your teams to assist with IT audit engagement management and train out IT audit and cybersecurity skillsets. Rob provided firmwide IT and Financial Controls / SOX training for Cohn- Reznick and engagement managed all Internal Audit / IT / SOX Clients. Topics included: Building the Trusted Advisor Relationship, NIST Compliant Disaster Recovery, National Firm SEC & SAS Training, Right-Sized Controls Under PCAOB AS-5, Client Communications and Cybersecurity Awareness.
- **Business Development**  
We can help you develop your Cybersecurity / IT Audit practice capability. KellerDuggan is here to actively support the development of cybersecurity and regulatory support skillsets in Coastal Carolina. Rob was able to develop existing client annuity values by 25-400% in Public Accounting coupled with 7 figures in new annuity client business, due to a consistent reputation for strong client service and results.





## Government, Manufacturing, Financial Services, Real Estate & Retail



**KellerDuggan has experience implementing best practices for government, manufacturing, and retail clients in over 25 countries including Fortune 500-1000 companies, and can partner with you to ensure infrastructure is protected and control processes are efficient.**

### ■ FISMA NIST Compliance / Cybersecurity

North Carolina businesses, government agencies, and contractors have been the victims of increased ransomware attacks over the past year. KellerDuggan utilizes comprehensive and efficient NIST Control Assessment tools and assessment methodologies. Rob has served on IT audit engagement teams for the Federal Government including the Bureau of Public Debt (>\$22T) while in public accounting.

### ■ Operational Controls / Performance Analysis For Manufacturing & Retail

Rob has performed numerous manufacturing operational performance consulting reviews internationally and has produced multi-\$MM cost reductions for clients, such as correction of automated order entry system controls, closing a 7-figure margin gap. We can generate world class continuous monitoring and KPI / KRI scorecards to help you focus on driving results.

1,057 breaches of NC business impacting over 2 million people were reported to NCDNJ in 2018...that represents 17 percent of all NC data breaches reported in the last 13 years.

- 142 NC Healthcare Entities
- 311 Financial Services & Insurance Firms
- 29 Local Governments / Government Agencies
- 575 Other Businesses

**Rob has served Financial Services and Real Estate nationally with top global firms and can partner with you to ensure your business infrastructure is supported, protected and in compliance with SEC Security and Privacy regulations.**

### ■ SEC Reg. S-P Safeguards Rule, Red Flag Rule Compliance For Registered Investment Advisors & Broker-Dealers

We have the tools and the direct experience with cybersecurity and privacy rule compliance to ensure systems are secure and in compliance with regulatory statutes. Rob has served as engagement lead auditor over comprehensive IT Security services for Financial Services firms up to \$4B.

### ■ NCUA IT Security Compliance For Credit Unions

KellerDuggan has a comprehensive and scalable IT Compliance tool for NCUA Compliance Safeguard Rules for Credit Unions. We do not just identify issues, we provide solutions, and can work collaboratively with your IT provider to ensure effective security controls are implemented correctly.

***Close The Gap On Your Exposure To Operations, Data & Reputation Risks.***

***We Are Here To Help.***

Call 910.782.9130 Or Visit: [kellerduggan.com](http://kellerduggan.com)



## About KellerDuggan

Rob Duggan has worked in over 25 countries for Fortune 500 & 1000 clients performing IT Security and Financial / Operational internal controls consulting work. Rob has worked in National Healthcare IT Audit and Financial Audit / Compliance for the last 7 years as Audit and Compliance Officer and has served 4 years in public accounting at the Senior Manager / Director level developing IT audit service capabilities. While in public accounting, Rob oversaw all public company IT and SOX 404 engagements for CohnReznick (then Reznick Group) and trained IT & SOX teams nationally. Rob developed existing client annuity fee

volume by 25 to 400 percent coupled with 7 figures in new client annuity fee business for RSM. Rob grew up in New Bern, North Carolina, graduated from NC State, and originally started his career in tobacco / commodities processing as an international auditor with Universal Corporation of Richmond, VA. He recently moved back to Coastal Carolina to start an IT Security and Financial Controls Practice serving Carolinas Healthcare, Financial Services, Manufacturing, Technology, Law, and CPA firms, as well as national/global firm clients.

## Qualifications

- Over 20 years serving international and Fortune 500 clients in Healthcare, Manufacturing, Technology, and REITS in IT security and financial / operational controls, compliance, SOX, and audit.
- Director / Senior Manager for RSM McGladrey and Cohn-Reznick, recently Audit and Compliance Officer for the 1200 Physicians of the UVA Health System (\$500M). Prior to UVA Physicians, Rob was promoted to Managing Director of Audit for Amedisys (\$1.8B – National Home Health and Hospice).
- Current certifications in IT security, financial accounting, and controls:

**CPA** – Certified Public Accountant (NC, VA)

**CISSP** – Certified Information Systems Security Professional – International Information Systems Security Certification Consortium (ISC2)

**CISA** – Certified Information Systems Auditor – Information Systems Audit and Control Association (ISACA)

**CHC** – Certificate in Healthcare Compliance – Health Care Compliance Association (HCCA)

**CIA** – Certified Internal Auditor – Institute of Internal Auditors (IIA)

**CCSA** – Certification in Control Self-Assessment (IIA)

- Requested national speaker – MISTI, IIA, ISACA, firms, and employers in areas such as Client Facing Communications, Building the Trusted Advisor Relationship, SOX 404 Audit under PCAOB AS-5, Right-Sized IT Security, NIST Compliant Disaster Recovery, and Cybersecurity Awareness.

- Rob enjoys attending local music and art events in Wilmington and spending time outdoors. He also enjoys occasional weekends with his brother and sisters on the family farm in Georgia, where he worked summers as a teenager. Rob is a sailor by heart and has competed in events such as New Bern’s annual Michelob Cup and The Oar Race. He has been actively contributing to the arts and art societies since 2011, is a tenor vocalist, and is accompanied to Wilmington by his much-loved (and spoiled, and crazy...) Red Boston Terrier, Tonto.

### Active Memberships



Robert Keller Duggan CPA, CISSP, CISA, CCSA, CIA, CHC | CONSULTING PRINCIPAL  
910.782.9130 | kellerduggan.com | 2911 Midtown Way #205 | Wilmington, NC 28403