**SUMMARY OF QUALIFICATIONS**Certified Information Systems Auditor with Extensive experience in Accounting, Internal Audit /SOX Compliance and testing, Information Technology, Management and Regulatory Compliance

**PROFESSIONAL EXPERIENCE**

**Bank of America January 2024 - Present**

**Audit Supervisor**

Independently execute multiple areas of test work during assigned audit activities with guidance from the Auditor-in-Charge or and/or senior audit staff. Utilize analytical skills and product / technical expertise necessary to perform risk assessments, develop and perform test procedures, and report findings to management. Responsibilities include planning and executing audits as an Auditor-in-Charge.

**Central Piedmont Community College November 2022 – September 2023**

**Director of Internal Audit**

Responsibilities include the planning and conducting of operational, financial, compliance and Information Technology audits to evaluate the effectiveness of internal controls. In addition, perform special investigations as requested by the President and/or Cabinet and prepared written reports on the results of audit with specific recommendations for the improvement of the internal control environment.

**Bank of New York**

**Audit Manager August 2021 – January 2022**

Responsible for auditing various client control environments to ensure that controls were designed appropriately and functioning as intended. These responsibilities also included communicating findings with clients and obtaining the action plans to address the findings. Additional responsibilities included drafting and issuing reports on the results of the audit.

**KPMG**

**Audit Manager July 2021 – August 2021**

Responsible for auditing client’s Information Technology’s (IT) Infrastructure architectural environment to ensure that the IT network was designed in accordance with policies and procedures and that adequate oversight and monitoring was being performed to detect and resolve any network issues.

**Wells Fargo**

**Principal Auditor November 2020 – June 2021**

Responsibilities included evaluating risk and controls for the Business Continuity / Disaster Recovery plans for the enterprise. This included reviewing, documenting and evaluating the design of the Business Continuity / Disaster Recovery (BC/DR) controls and also validating the effectiveness of these controls. Additionally, performed walk-throughs with the business owners to understand the control environment prior to testing the associated controls.

**Senior Risk & Control Associate November 2019 – November 2020**

Responsible for executing monitoring and oversight controls to provide assurance of all controls within the Information Security Governance, Risk, and Compliance (GRC) platform. Specific responsibilities include:

* Ensuring monitoring and oversight execution requirements are aligned to Information Security and Corporate Risk standards and to Wells Fargo Enterprise Policy.
* Monitoring and oversight execution of controls that are currently in production within the environment.
* Testing monitoring and oversight control requirements in alignment with IS-EAM policy and control standards.
* Supporting annual gap analysis and resulting risk assessment with the control monitoring and oversight results.
* Identifying control weaknesses and rate controls as a result of oversight testing.
* Acting as a liaison with control owners and stakeholders to review results of monitoring and oversight control testing as well as documenting new controls via remediation activities or changes in processes/tools.
* Providing control rating’s data that is entered, stored, and reported in the GRC platform; and
* Supporting GRC platform functions in future enhancements and process improvements.

**Wells Fargo**

**Testing and Validation Consultant June 2019 – October 2019**

Primarily responsible for testing the design and performance of internal controls, summarizing testing results and preparing reports on each project for the Wealth & Investment Management function.

**PROFESSIONAL EXPERIENCE – (continued)**

**Wells Fargo**

**Operational Risk Consultant March 2019 – May 2019**

Responsible for developing, implementing, and monitoring risk-based programs to identify, assess and mitigate any operational risks within the Fiduciary and Investment Risk Oversight team. Key responsibilities included:

* Assisting in the development of business process mapping exercises.
* Participating in the development of risk ratings.
* Consulting with business to influence business on the needs for controls to mitigate risk.
* Attending meetings with external audit team to ensure appropriate documentation was being developed that detailed the team’s current processes; and
* Providing assistance as requested.

**Wells Fargo**

**Accounting Policy / COSO Controls Testing Consultant June 2018 – February 2019**

Part of the Enterprise COSO testing team responsible for testing and evaluating the design and effectiveness of various financial reporting controls.

Specific responsibilities included:

* Supervising and reviewing the work of other COSO Monitoring team members who perform COSO testing.
* Performing walkthroughs of significant processes and ensuring documentation was accurate and reflective of key risks and controls.
* Validating and challenging risk assessment conclusions, including assessing the appropriateness and completeness of key risks and controls identified.
* Validating and providing credible challenges to shared services, third part service providers and significant applications.
* Performing COSO testing of key controls, including the design effectiveness assessments and operating effectiveness testing.
* Validating and challenging documentation of control deficiencies, both individually and in the aggregate, and the impact to the internal controls over financial reporting.
* Assessing the components of internal control for various business units.
* Building Relationships and collaborating with key stakeholders in the SEC and Regulatory Reporting internal control infrastructure.
* Assisting with projects impacting the team including implementing the Company’s COSO based Regulatory Reporting Governance & Oversight Framework; and
* Reviewing the Process Narratives and ensuring the information contained with the narratives agreed to the Company’s system of record (SHRP).

**SunTrust March 2018 – June 2018**

**Risk Management Consultant**

Key Responsibilities include:

* Identify and escalate key gaps, issues and risks within the Wholesale CTO space, specifically within CIB IT.
* Execute ongoing risk routines and provide credible risk challenge.
* Perform end-to-end issue management routines, ensuring timely remediation and evidence validation.
* Provide guidance related to authoritative requirements (Regulatory Requirements, Industry Standards, and Leading Practices).
* Execute risk assessment activities.
* Create and monitor Key Risk Indicators and other metrics.
* Identify and monitor processes and controls.
* Support SOX control identification and ongoing certification activities.
* Perform and document evidentiary reviews, including SOC report reviews.
* Partner with Segment / Function risk partners to ensure complete coverage and streamlined process execution.

**Bank of America August 2017 – November 2017**

**Financial Analyst Consultant**

Key Responsibilities included:

* Maintaining SOX/FDOCOA/DCP/CFO Attestation policies, procedures, standards, and training documentation.
* Reviewing all enterprise-wide issues to identify SOX, CFO attestation linkages and documenting severity / materiality assessments.
* Completing governance routines for SOX DEC and CFO attestation documentation.

**Wells Fargo, Robert Half Management Resources February 2017 – August 2017**

**Operational Risk Consultant**

Key responsibilities involved supporting operational risk processes for key clients. Key accomplishments include the following.

* Developing, implementing and monitoring risk-based programs to identify, assess and mitigate any operational risk that arises from inadequate or failed internal processes, people, systems or external events, while maintaining a balance between risk mitigation and operational efficiency.
* Providing oversight to an operational risk program. Works with the most complex business units and provides operational risk expertise and consulting for projects and initiatives with high risk, generally spanning multiple business lines.
* Designing and developing the most complex testing strategies, methodologies and analyses.
* Evaluating the adequacy and effectiveness of policies, procedures, processes, systems and internal controls, analyzes extremely complex business and/or system changes to determine impact; identifies operational risk issues and may participate in the development of risk ratings.
* Consulting with business to develop corrective action plans and effectively manages change.
* Identifying training opportunities; designs/coordinates the development of training materials and coordinates or delivers training.

**PROFESSIONAL EXPERIENCE – (continued)**

* Reporting findings and developing business cases to influence executive management or management committee member/head of business on the need for controls to mitigate risk.

**Bank of America - Mitchell Martin** – Charlotte, NC **January 2016 – December 2016**

***Audit Liaison / Business Analyst***

Responsibilities include the coordinating/interpreting audit requests as received and responding to requests in a timely manner, assisting team with documentation and artifact gathering, coordinating/interpreting audit requests as received and supporting SOX testing activities as required. Additionally, responsibilities include supporting the Data Warehouse release implementation process by ensuring all changes include adequate supporting documentation prior to the release being implemented. This responsibility entails working with the SCRUM masters and the development teams to ensure that each change being deployed includes documented business requirements (including any regulatory impacts), acceptance criteria/test cases, technical team signoffs for the changes and actual testing results along with user signoff/approval for the changes to be implemented. As part of this process, a dashboard reporting model was developed and used to communicate weekly change testing results to the various teams within the department. Additional responsibilities included being able to use tools such as Version One, TOAD for Oracle and SQL used to support the Agile change process.

**Apex Systems** – Charlotte, NC **July 2015 – September 2015**

***Systems Analyst***

Reviewed and assessed a large financial institution’s Technology Recovery environment. Specific responsibilities included: reviewing and evaluating the completeness of the Disaster Recovery / Business Continuity Plans (DR / BCP), providing guidance and directions for building the risk assessment approach to determine the objectives and scope for the audit in accordance with governance frameworks (such as those from the FFIEC, CoBit5 and NIST).

**Duke Energy - Business Control Systems** – Charlotte, NC **June 2014 – June 2015**

***IT Compliance Analyst***

Responsibilities included providing compliance assessment and testing services. Duties include providing support and input to the enterprise NERC CIP legacy programs for assigned clients and projects. In addition, I develop reports for identified non-compliance issues and maintain documentation to assist the organization in meeting its compliance requirements as required by the NERC CIP standards. Other duties included: reviewing policies and procedures, assisting with various compliance initiatives, communicating compliance requirements to all levels within the organization and providing guidance on mitigation plans and direction for related issues to help ensure continuous compliance with the standards.

**Midcontinent Independent System Operator (MISO) –** Carmel, Indiana **July 2012 – January 2014**

***Senior IT Compliance Analyst***

Performed detailed assessments of compliance with NERC CIP Standards (CIP002-CIP009). Performed analysis of documentation provided by Subject Matter Experts (SMEs), assessing the adequacy of evidence provided and preparing reports on compliance requirements for NERC, FERC, NAESB, SSAE 16 regulations and MISO business processes. Assisted and guided requirement owners with compliance efforts focusing on NERC CIP standards and controls. Worked with SMEs, gathering supporting documentation from and updating related databases so documentation could be retrieved for audit purposes. Assessed adequacy of actions taken on prior remediation plans, facilitating and attending meetings, followed up on Technical Feasibility Exceptions (TFEs) and provided training to new employees and interns on proper handling and safeguarding of Critical Cyber Assets and related information.

**Kforce –** Austin & San Antonio, Texas **July 2010 – July 2012  
*Senior Consultant / Auditor***

Worked on both quarterly and yearend SOX testing and compliance project for a global consumer products company focusing primarily on financial reporting controls for Accounts Payable function. This work involved gaining an understanding of the client’s SAP implementation, utilizing the system to accomplish the testing and reporting the results to management.

Assisted diverse client companies and organizations in addressing complex challenges in key areas of their business. Projects included work in the areas of accounting & finance, governance, risk management, Sarbanes Oxley compliance programs and information technology. Additional responsibilities include serving as project manager on assignments and providing direction and guidance on selected projects. Planned and performed a three-month SOX compliance testing project for a financial services / investment brokerage firm. The project included testing for their entire financial reporting cycle.

Preceding this client, performed SOX testing project for a financial services client in Austin. Project included testing General IT controls including physical and logical security, user access controls, program change controls, backup and recovery procedures, and data center controls.

[**Health & Human Services Commission**](http://company) **–** Austin, Texas **February 2009 – July 2010  
*Auditor***

Responsibilities included examining, investigating and reviewing financial documentation and management practices to ensure legal compliance with state and federal laws, rules, and regulations pertaining to the Medicaid and Children's Health Insurance Programs. Performed moderately complex auditing work for the Office of Inspector General Outpatient Hospital Audit Unit. Work involved planning, scheduling, coordinating, conducting, leading, and reporting the results of audits of Medicaid Outpatient Hospital contractors. Provided guidance and assistance to audit team members conducting audits. Additionally responsible for the review of completed audit assignments of other team members, providing directions and guidance to ensure quality of work product and ensuring that audits are in compliance with Governmental Auditing Standards.

**PROFESSIONAL EXPERIENCE – (continued)**

**Resources Global Professionals -** Austin, Texas **June 2006 – December 2008  
*Consultant***

Assisted corporate clients with their respective Sarbanes Oxley (SOX) compliance and internal control programs. Responsibilities included: completing 302/404 testing requirements, evaluating the design of internal controls, conducting control self-assessments, providing recommendations for improving internal control environment, developing policies and procedures, creating and revising business continuity plans and assisting clients as needed.

**Electric Reliability Council of Texas, Inc. -** Austin, Texas **August 2003 – March 2006  
*Internal Audit Manager***

Responsible for establishing and overseeing all aspects of internal auditing including supervising and occasional hiring of consulting staff to compliment resources. Within the first several months, uncovered a $2 million fraud within the organization. Other responsibilities include: Directing and coordinating activities on financial, compliance, operational and information technology audits, recommending improvements in procedures, processes and operations across the organization, ensuring adequate internal controls are maintained or developed into new business processes and systems, overseeing the company’s ethics reporting process and the Ethics Point System, communicating information through verbal and written presentations to senior management and the Board of Directors, coordinating internal and external audit activities, evaluating and testing controls for SOX compliance and implementing software to support and manage the audit function in order to increase its efficiency and effectiveness.

**Other Experience:**

**Publix Supermarkets Inc.**

**Customer Service Specialist March 2022 – February 2023**

**Responsible for all aspects of customer service including, cashiering, packaging customer orders, maintaining store appearance and cleanliness, event coordination and performing additional duties as assigned. Other accomplishments include building and maintaining positive customer relationships and resolving issues as needed.**

**TECHNICAL BACKGROUND**

Extensive knowledge and technical proficiency in the mainframe, mid-frame, networks and web environments. Experience with Accelus, [Accpac](http://www.linkedin.com/skills/skill/Accpac?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof), ACL, Bindview, EthicsPoint, JCL, Internet Explorer, [Lawson](http://www.linkedin.com/skills/skill/Lawson?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof), Microsoft Office Access, Microsoft Office Excel, Microsoft Office Outlook, Microsoft PowerPoint, Microsoft Office Project, Microsoft Office Word, [Oracle](http://www.linkedin.com/skills/skill/Oracle?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof), [OS/390](http://www.linkedin.com/skills/skill/OS%2F390?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof), PeachTree, PeopleSoft, [Quickbooks](http://www.linkedin.com/skills/skill/Quickbooks?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof) / [Quickbooks](http://www.linkedin.com/skills/skill/Quickbooks?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof) Pro, RSA Archer, SAP, SAS, SHRP, SQL, [Turbo Tax](http://www.linkedin.com/skills/skill/Turbo_Tax?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof), Toad for Oracle, [Unix](http://www.linkedin.com/skills/skill/Unix?goback=%2Enpv_12988771_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1_*1&trk=skills-ext-prof), Version One, Visio and Windows platforms.

Audit experience includes projects in the following areas:

* Business Continuity / Disaster Recovery Plans
* Data Center Reviews
* Database Management Systems Audits
* General IT Controls
* Logical and Physical Security Controls
* Pre- and Post-Implementation Application Reviews
* Program Change Controls
* SDLC Audits
* User Access Controls (including reviewing segregation of duties within systems)

**EDUCATION**

Bachelor of Science, Accounting, Fairfield University, Fairfield, Connecticut

**ACCREDITATIONS**Certification in Control Self-Assessment (CCSA), Certified Information Systems Auditor (CISA), Certification in Communications & Network Security, Certification in Risk Management Assurance (CRMA), Competent Leader (CL), Advanced Leader Bronze (ALB), Competent Toastmaster (CTM) Advanced Communicator Bronze (ACB)

**PROFESSIONAL MEMBERSHIPS**

Information Systems Audit and Control Association (ISACA):

* Former President, Central Indiana Chapter
* Former President, Austin Chapter
* Former President, West Florida Chapter
* Active Member – Charlotte Chapter

Institute of Internal Auditors (IIA): active member

Former Treasurer and Board Member for 18 years for a nonprofit organization

**LANGUAGES**While English is my primary language, I am fluent in Spanish which was my original college major.