
AUDIT / RISK / COMPLIANCE EXPERT
CRCM / PROGRAM MANAGEMENT / TRAINING / GRC SOLUTIONS

- Recognized as an Audit Methodology, Risk, Compliance, and Issue Management Expert with a CRCM certification, demonstrating advanced proficiency in these domains.
- Highly skilled in developing, deploying, and executing strategic GRC projects, utilizing a comprehensive approach to ensure optimal outcomes.
- As a Program Governance Leader, adept at designing and implementing effective programs, providing seamless training experiences, and meticulously maintaining documentation for enhanced organizational efficiency.
- Track record of successfully establishing and nurturing cross-functional partnerships with senior management, fostering collaboration to deliver impactful reporting, analysis, and valuable insights aligned with organizational objectives.

ADDITIONAL KEY AREAS OF EXPERTISE

Cross Functional Leadership	Internal Audit	Regulatory Compliance	Risk Management
Audit Methodology	Issue Management	RSA Archer / MetricStream	Project Management
Policy/ Procedure Management	Program Management	GRC Project Implementations	Training Facilitation

EMPLOYMENT BACKGROUND / TRANSFERABLE ACCOMPLISHMENTS

SoFi Technologies - Remote**Enterprise Risk Management *Issue Governance Manager***

May 2023 - Present

- Lead the evolution and execution of the Issue Management process, ensuring alignment with established procedures and policies. Drive the further development of Issue governance tools and methodologies.
- Design, develop, and monitor issue metrics for senior leadership, ensuring adherence to Issue Management Procedure and Policy through quality assurance controls.
- Collaborate with second and third line of defense groups to optimize governance programs, processes, tools, and timelines.
- Contribute to the development and maintenance of enterprise risk management policies, procedures, and standards.
- Foster strong relationships with business units, serving as a reliable point of contact for issue identification, escalation, and the development of effective corrective action plans.
- Prepare reporting materials, committee meeting documentation, minutes, and action items.
- Support the development of the enterprise's Governance Risk Compliance (GRC) system and contribute to expanding its capabilities.

USAA – San Antonio, Texas**Business Risk and Controls Advisor Lead – Innovation Project Team**

December 2021 – May 2023

- Spearheaded the development, implementation, and management of initiatives to establish and enhance risk mitigation and compliance discipline within the USAA Innovation Space.
- Provided direct oversight and leadership for multiple initiatives aimed at supporting risk and regulatory compliance, encompassing activities such as procedure/process oversight, document governance, and procedure governance, as well as control design.
- Acted as a trusted advisor, collaborating, partnering, and influencing senior leaders within the organization, while fostering robust relationships with business partners, second-line, and third-line partners.

Business Strategy and Planning Director

March 2019- December 2021

- Oversaw the Audit Services Board Reporting function, leading the cross-functional board reporting process for various USAA Boards. This included meticulously preparing, coordinating, and reviewing materials prior to submission and orchestrated the preparation of Board meetings for Audit leadership, including the Chief Audit Executive, ensuring seamless execution and alignment with organizational goals.
- Represented the Audit department in enterprise-wide reporting alignment efforts, specifically pertaining to issue management data, fostering consistency and accuracy across reporting systems.
- Led the Audit Issue Management (ISM) program and strategy, collaborating with sponsors, stakeholders, and IT to facilitate, define, and document business features and enhancements in alignment with objectives.
- Led, motivated, and collaborated with cross-functional teams consisting of user experience partners, designers, business analysts, and other stakeholders to develop and deploy features that met business requirements and priorities.
- Developed informative and impactful content for Audit Operations Manual (AOM), ISM policy, ISM Standards, and provided MetricStream Admin and user support, ensuring adherence to best practices and regulatory guidelines.
- Actively contributed to Lines of Defense community forums and meetings as the representative of the Audit department, sharing insights, fostering collaboration, and promoting effective risk management practices.
- Developed and delivered comprehensive department-wide training programs on Issue Management, Board Reporting, and Conflict of Interest topics, ensuring consistent understanding and adherence to related policies and procedures.
- Developed and documented regulatory tasks and action items related to audit issues, ensuring compliance with relevant regulations and industry standards.
- Assumed responsibility for leading Audit conflict of interest processes, annual certifications, and business continuation activities, ensuring organizational integrity and adherence to compliance requirements.
- Effectively managed and published the Audit Services Newsletter, providing timely and relevant updates to internal stakeholders and promoting transparency within the department.

Program / Process Management Lead

February 2018 – March 2019

- Held the role of Program Manager for Issue Management, overseeing and guiding Bank Compliance issue management processes and procedures to ensure effective risk mitigation and regulatory compliance.
- Exercised influence over the GRC system requirements for Issue Management, leveraging a deep understanding of user needs and industry best practices.
- Spearheaded the development and implementation of a comprehensive Bank Compliance issue management training program, equipping employees with the necessary skills and knowledge to navigate and address compliance issues. Provided leadership and guidance on the execution of issue management processes, ensuring timely and effective resolution of identified issues.
- Assumed the position of Program Manager for Quality Assurance, implementing and leading robust quality management processes and procedures to ensure adherence to established standards and regulatory requirements.
- Oversaw the execution of quality management activities, conducting thorough assessments and evaluations to maintain and enhance operational excellence. Championed a culture of continuous improvement through quality management coaching, fostering a proactive approach to identifying and addressing areas for enhancement.
- Generated insightful QA reports and managed procedure management, promoting transparency and providing actionable recommendations for process optimization.
- Held the role of Bank Diversity & Inclusion Core Team Lead and Compliance Pulse Champion, driving initiatives that fostered a diverse and inclusive work environment while ensuring adherence to compliance standards.
- Effectively managed Bank Control Partner Coordination, facilitating seamless collaboration and communication between control partners to enhance risk management and control effectiveness.

Auditor – Professional Practices

March 2016- February 2018

- Led the Issue Management and Audit work streams during the MetricStream Implementation Project, dedicating 40% of my time to this multi-year endeavor. Utilized expertise as an Audit subject matter expert to influence decision-making within cross-functional teams. Played a pivotal role in the successful conversion of the MetricStream Enterprise Governance Risk and Compliance (eGRC) system, supporting a community of over 6000 users.
- Assumed the role of Audit Subject Matter Expert (SME) and Business Administrator for the MetricStream Issue Management Module (ISM) implementation, allocating 30% of my time to this critical initiative. Developed enterprise-wide training courses for ISM, ensuring comprehensive knowledge transfer and adoption of best practices.
- Managed the Issue Management program for Audit Services, providing effective program management and serving as the representative for MetricStream Control Partner Coordination. Maintained oversight of issue management activities, facilitating seamless collaboration and communication between stakeholders.
- Executed Quality Assurance and Improvement Program governance and performance, ensuring adherence to established standards and driving continuous improvement initiatives. Conducted thorough assessments and evaluations to maintain operational excellence and enhance overall performance.
- Collaborated as a member of the Audit Change Management Governance Group and Audit Manual Governance, actively contributing to strategic decision-making processes and ensuring effective change management practices within the Audit department.
- Took charge of managing and publishing the monthly change management bulletin, disseminating important updates and information related to organizational changes and initiatives.
- Led teams of auditors through various audit engagements, providing guidance, oversight, and support to ensure the successful completion of audit projects. Fostered a collaborative and high-performing team environment to deliver valuable insights and recommendations.

BofI Federal Bank (now Axos Bank) – San Diego, California

May 2014- March 2016

AVP – Enterprise Risk Management - GRC Solutions and AVP Audit Manager

- Program Manager for RSA Archer implementation, conducting training, serving as RSA Archer Admin, and coordinating with consultants and stakeholders to ensure timely and accurate implementation.
- Interim CAE responsible for managing audit employees and overseeing all audit-related matters.
- Developed and managed the BSA/AML Independent Testing program, policies, and procedures.
- Conducted Audit Planning and Risk Assessments, identifying risk areas and ensuring compliance with relevant regulations (Reg E, Reg D, Reg DD, UDAAP) through various audits across the company.
- Communicated audit findings and developed recommendations for performance improvement, presenting Audit issues to senior management and the Audit Committee.

Deutsche Bundesbank – Frankfurt, Germany

May 2012 – May 2014

Bank Examiner – Large Bank Supervision

- Supervised major German Banks with assets up to EUR 2 trillion.
- Evaluated and reported risks from practices and policies, including compliance, credit, reputation, and market risk.
- Reviewed financial institutions for safety, soundness, and compliance with regulatory guidance.
- Developed audit training program for Compliance Management Program Audits.
- Created a mentoring guide with mandatory training elements for new staff.

Other Positions

Evergreen Exhibitions – Project Coordinator

2010 - 2011

NIBC Bank NV – Real Estate Origination

2007-2008

Sparkasse Mittelmosel EMH –Bank Apprenticeship Program

2003-2006

EDUCATION / TECHNICAL /PROFESSIONAL AFFILIATIONS

Master of Business Administration, University of the Incarnate Word

Bachelor of Arts, Financial Services, University of Applied Sciences Kaiserslautern

Certified Regulatory Compliance Manager (CRCM)

USAA Manager Candidate School Graduate / Various ABA Compliance Certificates