
Accounting/Finance/Audit/Compliance/Information Technology Leader

An experienced compliance and audit professional with a focus on strategy, delivery and improvement of regulatory compliance and internal controls processes and procedures.

High-value combination of business and information technology disciplines.

Highly effective leader focused on prioritization, implementation and attainment of results via team development, coaching, and collaboration across diverse organizations.

Specialties: Executive level leadership, strong technical skills in accounting, finance, internal controls, audit, SOX, compliance, risk management, NAIC Model Audit Rule (MAR), HIPAA Security, Meaningful Use and Information Technology.

Professional Experience

Independent Consultant

2014 - Present

Audit, Compliance, Finance, SOX, Model Audit Rule, HIPAA, IT, SOC2

- Bazell Technologies, Independent – Executive dashboards, Business Planning, IT Strategy.
- Abbyy, Accretive Solutions – HIPAA Security.
- Castlight Health, BVOH – SOC2 policies & procedures.
- GoodData, Accretive Solutions – HIPAA Security/Privacy risk analysis.
- Autodesk, Accretive Solutions – IT SOX, IT Compliance Strategy.
- Prothena, Accretive Solutions – IT SOX.
- Wells Fargo Bank, Accretive Solutions – Loan Portfolio Compliance.

Kaiser Permanente Information Technology Executive Director, HIPAA Security

2012 - 2014

- Developed and achieved a comprehensive, risk-based strategy for Kaiser's HIPAA Security compliance program.
- Provided leadership, direction, and oversight for technology-related aspects of the HIPAA Omnibus Rule.
- Led compliance with the HIPAA Security Rule ensuring privacy and security of member electronic protected health information (ePHI).
- Collaborated across diverse organizations including information technology and business senior leadership, the National Compliance Office, Internal Audit Services, the SOX PMO, Medical Group leadership, and Finance.
- Combined disparate groups into an integrated team of twenty-four professionals while promoting nine individuals and creating a high performing team.

2007 - 2012

Kaiser Permanente Executive Director, Sarbanes-Oxley

- Provided strategic leadership to the Company through the SOX Project Management Office (PMO) and facilitation for all key SOX functions: Scoping and Planning, Design, Documentation, Remediation, Testing and Evaluation.
- Led an integrated SOX/NAIC Model Audit Rule (MAR) initiative across all locations and for all business processes to completion for the first time at Kaiser Permanente. Attained the goal of no Material Weaknesses set by the SOX Governance Board.
- Partnered with Ernst & Young (SOX Advisors), KPMG (External Auditor) and multiple business leaders to achieve results through collaboration and teamwork across a diverse and complex organization.
- Subject matter expert on SOX, PCAOB and NAIC Model Audit Rule (MAR) internal controls guidelines for the Company. Authored whitepapers for complex SOX issues.
- Created and implemented a comprehensive, automated risk rating model that determined the testing strategy for the Company.

- Developed the methodology for evaluation of control deficiencies for the Company and presented to senior leadership and the Audit and Compliance Committee.
- Communicated and presented regularly to senior leadership the status and issues related to the project and its outcomes.
- Recruited and developed a high performing team.

Kaiser Permanente**2006 - 2007****Director, SOX Information Systems & Processes**

- Partnered with Senior Leadership (SOX Governance Board, Audit and Compliance Committee) to create meaningful metrics and reporting for internal controls.
- Implemented a national compliance tool (Risk Navigator) enabling tracking, reporting and measurement of internal controls performance.
- Developed and implemented the first integrated executive reporting dashboards for SOX and other compliance areas.
- Hired and led a team of professionals.
- Developed and delivered national training materials and education for regional SOX teams, process leads and key project participants.

Resources Global Professionals**2005 - 2006****Finance / Information Technology Consultant at Kaiser Permanente**

- Provided leadership and solutions for Sarbanes Oxley (SOX) systems architecture and applications leading to efficient project management at the Company's Corporate Program Offices and Northern California regional headquarters.
- Implemented Risk Navigator, an Enterprise Risk Management solution that provides data storage, reporting and accountability services to the entire enterprise wide SOX project.
- Member of key committees creating and deploying SOX project methodologies, plans, training and directions across the organization.

Bazell Technologies Corporation**2002 - 2005****Chief Financial Officer, Chief Technology Officer**

- Managed all accounting, financial reporting, administration, human resources and information technology functions.
- Key strategist in company turnaround from annual losses to profitability through process improvement, cost cutting, and faster, accurate information processing and presentment.
- Created and implemented custom software and database applications that improved productivity of operations and financial activities.
- Successfully managed relationships with banking and credit facilities.
- Led all finance and accounting activities during acquisition due diligence process.

Past Experience**Independent Consultant** – Principal, Finance, Accounting, Information Technology**Telocity** - Senior Director Financial Information Systems**AirTouch Communications** - Director Financial Information Systems**Pacific Bell** - Applications Development Manager / Senior Accounting Manager**Coopers & Lybrand** - Senior Associate, EDP Auditor, Consultant**Arthur Andersen & Co.** - In-Charge Accountant, EDP Auditor

Education and Certifications

Certified Management Accountant (CMA)

Certified HIPAA Professional (CHP)

B.S. Business Administration, University of California Berkeley, Summa Cum Laude, University Certificate of Distinction, University Medal Finalist

Professional and Community Affiliations

Institute of Management Accountants, Past Treasurer, Director of Corporate Relations and Director of Academic Relations

United States Coast Guard Auxiliary, Staff Officer / Instructor, Flotilla 1-9, US Coast Guard Air Station San Francisco

San Francisco Sheriff's Air Squadron, Special Deputy, Pilot, Past Commander

Federal Aviation Administration, Licensed Pilot, Advanced/Instrument Ground Instructor

Contra Costa County Merit Board, Chair (similar to a civil service commission)