

Mehul K. Joshi, CISA

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CAREER SUMMARY

Managed and implemented IT Compliance and IT Security program while monitoring multiple projects and established strong client relationship. Dynamic manager with significant knowledge and experience in fulfilling and implementing SOX, HIPAA, PCI DSS requirements as well as best practices standards. Managed IT control review and their respective evidence gathering based on frequency (i.e. daily, weekly, monthly, quarterly and annually) to ensure compliance with organization policies and regulations. Lead, coached, trained and managed multiple IT teams in various departments to enforce company policy and sustain regulation compliance. Engaged with multiple business units to meet various regulation compliance requirements for their existing and new applications, Also Managed and fulfilled IT Compliance requirements by ensuring accurate processing of identity management for daily turnover. Ensured ITGC controls were in place for User Access Management, Change Management, Operations Management, Incident Management, Problem Management, Request Management and Business Continuity and Disaster Recovery for all four layers of ITGC Controls to sustain SOX, HIPAA and PCI Compliance. Maintained Inventory of Infrastructure on Quarterly basis to sustain compliance with accuracy, completeness and validity of Infrastructure and personnel resources for Internal as well as external Assessments and Audits; Have performed IT Security and Compliance work from both sides of the fence (i.e. IT Security/Operations and IT Audit) Developed and maintained productive relationships through individual contacts and group meetings and obtained customer satisfaction. Have excellent, Insightful analytical skills and great business acumen. Have ability to establish and maintain harmonious working relationships with co-workers, staff and external contacts. Perform duties effectively and efficiently to achieve business objectives and annual goals. Enthusiastic, out-going and like to develop productive working relationships with internal and external parties. Worked independently also with multiple teams to sustain compliance. Detail oriented, self-motivated, flexible and intuitive personality.

EDUCATION

- Bachelor of Science in Computer Information Systems, Devry University, Pomona, CA 2002
- Computer programming certification, Citrus College, Glendora, CA 1998

CERTIFICATIONS/CREDENTIALS

- Certified Information Systems Auditor (CISA) 2010
- Certified information systems security professional (CISSP) *CBK review seminar* February 2007
- Leader shift certificate for leadership development, Ameriquest, December 2006
- Certified in business information analysis LCI, March 2005
- Certified in business process analysis, LCI, January 2005
- Clarity for project management organization August 2004

CORE COMPETENCIES

Framework & Standard: COSO, COBIT, ITIL, SOX 404 ITGCC, Application Controls, PCI DSS, Best Practices

Methodology: SDLC, User Access Management, Change Management, Operations Management, Disaster Recovery

Analysis: Business and Systems Analysis, Client Controls and Security, E-commerce and Networks

Management: Outstanding leader with the ability to motivate people and stimulate creativity

Customer Service: Recognized as a "Go to Person" to remediate any IT SOX Issue findings, Nominated for "doing the right thing" in Customer Service Immediate problem solver with demonstrated success at setting and achieving goals

PROFESSIONAL EXPERIENCE

Sr. IT Security and Compliance Analyst / Sr. IT Internal Auditor / Independent Consultant January 2011 – Present

- Providing IT Security Risk Assessment and Auditing for Vendor Management at OneWest Bank (Present)
- Provided Internal Audit Work for SOX, Finance, and Operational Audits at LPL Financial (Sep to December)
- Provided Internal Audit Work for SOX ITGC Controls at Molina Healthcare Inc (Aug-Sept)
- Provided Internal Audit Work for SOX ITGC Controls at Direct TV (July)
- Provided IT Risk and Compliance Services at The Walt Disney Company (May-July)
- Provided Internal Audit Work during Pre-Implementation review of new product development with various regulations at OneWest Bank
- Providing IT Compliance Advisory Services to various clients for SAS70 Preparedness as well as External Audits
- Preparing Companies Business Continuity and Disaster Recovery by performing Business Impact Analysis, Paper Testing and Warm site testing
- Enforce and sustain IT controls in the area of Security, Governance, Risk Management and Compliance in a cost effective and efficient manner
- Streamline Information Technology Processes, Strategies, Technology and Controls as a reliable solution partner
- Enforce and sustain compliance with multiple regulations like:
 - Sarbanes-Oxley, Payment Card Industry Data Security Standard, Payment Application Data Security Standard
 - Health Insurance Portability and Accountability, Gramm-Leach-Bliley and Safe Harbor

IT Security and Compliance Analyst, March 2010 – November 2010

Skilled Healthcare, Foothill Ranch, CA

- Monitored, Reviewed and Ensured that 20+ ITGC controls are enforced and proper evidences are generated based on frequency for Audits
- Compiled evidences for each ITGC control based on risk and frequency of the control to demonstrate compliance with SOX, HITECH, and HIPAA
- Communicated any violation of controls to appropriate team members and ensure compensating controls were implemented
- Developed and improve multiple processes in the areas of IT Security like User Access Management and Program Changes
- Managed and monitored day to day IT Logical and Physical Security operations including, New Hire, Termination and Transfer processes
- Maintained system security roles, permissions and privileges while maintaining SOD controls with Security committee approvals
- Threats, vulnerabilities and violations were reviewed with outsourced partner by doing in depth scrutiny and come up with best solution
- Responsible for oversight of Companies security and compliance Policies, Processes, Procedures and Standards
- Responsible for companies Business continuity and Disaster Recovery, Business Impact Analysis, Paper Testing and Warm site testing
- Reviewed and discuss the progress of Key Financial and Business projects in IT Steering Committee as well as Security Committee
- Worked with BSA for proper IT Scoping Requirements and Design Specs are provide to outsourcing partners for development
- Was responsible for a close relationship with the security teams of outsourcing partners to ensure compliance with multiple regulations
- Effectively present information and provide responses to group of executives, manager, administrators, clients, and customers
- Managed and fulfill requests or tasks with Internal Audit, External Audit and Control Owners for various regulation audits
- Reviewed Service Level Agreements, SAS70 Type II reports, Contracts and complete Client Control Considerations
- Reduced workload of CIO, Director of Application Engineering and Infrastructure Project Manger so they can focus on business needs
- Managed various projects with 3rd party vendors and outsource partners to fulfill business vision, goals and objectives

Senior IT SOX and Security Compliance Consultant, July 2009 – March 2010

Cricket Communications, San Diego, CA

- Worked on Crickets Key Financial, Payment Card Industry and Personal Identifiable Information projects
- Ensured IT security and SOX Compliance requirements are implemented in New Systems, Enhancements and Upgrades
- Monitored ITGCC controls to avoid vulnerabilities or issues and sustain SOX, PCI and PII Compliance
- Identified the areas of improvement in departments and implementing process procedures and guidelines
- Engaged with IT Security, IT Infrastructure, IT operation, IT Architecture, to ensure ITGCC compliance
- Engaged with EPMO, IT Development, IT Production Support, and Helpdesk to ensure compliance with Application Controls
- Involved with Business Owners to ensure SDLC documentation (i.e. Scope, requirements, Design Specs, Conceptual documents)
- Worked with the business leaders, Internal Audit and project leaders to develop Roles & Responsibility to ensure SOD
- Made IT Security and Compliance dept run effectively and implement changes as directed by Senior and Executive Management
- Drove new process or process improvement by implementing appropriate controls so evidences could stand by it
- Provided training and bringing security awareness in all departments.

Senior Compliance Analyst, July 2007 – December 2008

SOX Solutions Corporation, Los Angeles, CA

- Managed and performed IT Advisory and IT Assurance services for multiple clients to ensured SOX Compliance for the organizations.

Audit & Assurance:

- Performed IT Risk Assessment and IT scoping based on COSO and COBIT frameworks for SOX.
- Performed process walkthroughs and internal controls testing that resulted in identification of gaps and their remediation efforts.
- Conducted documented and reviewed interviews, client processes and procedures, documents and prepared work papers.
- Performed audit process and procedures by developing test scripts based on controls including reviewing and analyzing evidence.
- Identified and documented audit issues and developed recommendations using independent judgment.
- Prepared planning memo, audit plans test scripts to perform sampling and testing of controls to generate audit report.
- Recommended and coordinated IT SOX requirements and supported Implementation of IT Controls to ensure SOX Compliance.

Advisory & Consulting:

- Created flowcharts, process narratives, risk control matrices, Gap and remediation matrices and weekly budge & status update.
- Identified key controls for User Access Management, Change Management, SDLC, HR/Payroll, CD, Revenue, Inventory & FSCP
- Identified and documented Entity level Controls to fulfill IT control objectives and COSO components to reduce risk
- Performed Analysis on current environment and business functions systems affecting financial statements
- Ensured no vulnerabilities are in place that can influence the Security, Compliance and Materiality.
- Accomplished, Guided and assisted departments within company to comply with SOX requirements
- Created sustainability models using COSO, COBIT and ITGI's latest guidelines.
- Always been an independent worker with general supervision and considerable latitude for initiative and independent judgment

Senior Information Security Analyst, Programmer/Analyst, December 2004 – June 2007

ACC Capital Holdings /AMC Mortgage Services, Orange, CA

Senior Information Security Analyst:

- Ensured Design and Operational Effectiveness for quarterly 404 attestation
- Reported to CIO, VP of Information Security and Business heads for IT Audits and Issues Remediation for all departments of LOB

- Provided weekly reports using MS Excel pivot tables and MS Project to bring visibility to management.
- Coordinated and participated internal & external audits between Information Technology, ERM and Business departments
- Ensured that an audit takes place on time and at cost by supporting timely remediation of ITGC and application controls
- To sustain accountability and transparency had implemented segregation of duties between various executives and departments
- Ensured SOX, internal control, and process compliance by reviewing defined key controls.
- Evaluated any known deficiencies and/or functional areas needing improvement and communicated to the appropriate owners.
- Played a key role in the Company's SOX compliance efforts including process, design and refine documentation.
- Developed and Implemented methodologies related to SDLC, User Access Management Change Management and IT Operations
- Coordinated and supported in implementation of Database and operating systems configuration standards.
- Managed and documented multiple policies, procedures, standards and guidelines using MS SharePoint and MS Office.
- Recommended and ensure implementation of appropriate policies, standards and procedures for design effectiveness.
- Involved in disaster recovery plans development, review, execution and maintenance.
- Coordinated NPI Project to maintain scrambled data in development and test environment of applications.
- Implemented key steps and re-engineering efforts within various business cycles, which made processes more accountable.
- Every quarter coordinated server and database violations and vulnerability assessments and remediation.
- Effectively conduct periodic review of User Access and Change Management controls of Information Technology and Business users
- Ensured controls were in place, monitored and reviewed based on frequency as designed in risk control matrices.
- Assisted owners and IT staff in understanding and responding to audits reported by internal and external auditors.

Programmer/Analyst:

- Managed and enhanced multiple applications during production application support.
- Performed onsite and offsite production support for end users.
- Resolved multiple problem and request tickets and updated peregrine ticket system.
- Supported enhancements of existing systems, including business and system workflow analysis
- Meet frequently with business partners to develop requirements and project plans.
- Perform all duties in accordance with AMC policies and procedures and all State and Federal regulations.
- Provided Support to small to medium size development projects or as a member of specific area in large project
- Ensure project completion on time and at cost and keep the production up 99.9%.
- Performed required administrative functions associated with production application support.
- Played a key role for Planning and implementing helpdesk request, problem, and Incident ticketing system and decrease complains.
- Developed production support and escalation procedures for multiple applications so any team member can perform their duties
- Managed and completed multiple projects with critical deadlines

IT Helpdesk/ IT Technical support agent, April 2002 – Aug 2004

CTX Technology Inc, City of Industry, CA

- Reduced abandon calls to 1% and increased the productivity and profitability by increasing satisfied customers
- Provided excellent tech support and customer service for Desktops, Laptops, LCD's, Televisions and Projectors.
- Performed preliminary diagnostic on the hardware and software problem, determined the severity and suggested the solution.
- Assisted customers over phone to troubleshoot hardware and software problems related to Computers and Monitors.
- For walk-ins updated customer information on the log and issued them an RMA number for the units that needed to be repaired
- Took care of the damaged units by informing customers about damages and walked them through the procedure for filing the claims
- Issued credit to the distributors on the condition of the hardware received.
- Increased profit by 25% by providing tech support, handling damage claims and credits

-INFORMATION TECHNOLOGY KNOWLEDGE AND SKILLS:

Programming Language: C++, Visual Basic, COBOL, HTML, CGI, Perl, Java Script, SQL, PL/SQL

Application: MS Office and SharePoint, Toad, Oracle Forms, MS Project, MS Visio, ERP systems, Ticketing systems

Database: MySQL, Microsoft SQL, Oracle

Operating System: Windows 2000/XP/Vista, Windows 2003 Server, Linux, OS/JCL, MS DOS

Network: Firewalls, Routers, Switches, Patch panels, Topologies, Network Segmentation

Desktop: Upgrade and repairs of hardware devices and software services

ACHIEVEMENTS

- Member of ISACA and Volunteer Involvement at ISACA-OC Chapter since 2008
- Recognized as a " Go to Person" to remediate any IT SOX Issue findings 2007
- Nominated for " doing the right thing " in Customer Service 2006
- Member at league of volunteers at AMC Mortgage Services 2004,2005
- Advocate in student services and senator of associate student body at Devry university 2001,2002
- Senator of ASCC at citrus college 2000