

2024

**Risk · Pro**

Connecting Risk Professionals

# RISKPRO INDIA

## Risk Based Internal Audit



Risk Advisory IT Risk Advisory GRC Technology Training Recruitment

[www.riskpro.in](http://www.riskpro.in) | [info@riskpro.in](mailto:info@riskpro.in)

**950+**  
**Happy Clients**

# Riskpro's Overview



**12+ years of business**



**950+ Clients**



**7+ Cities**



**90+ Team Members**



**10+ Strategic Partners**



**500+ Cities**  
Associate Firm Representation



Our growth story is continuous.

# Riskpro Clients & Partners Presence



# Our Service Verticals

A hand in a white shirt cuff is pointing towards a futuristic digital interface. The interface features various gears, circular data visualizations, and a network of nodes connected by lines. The background is a light blue gradient with a subtle pattern of gears and nodes.

**Risk Advisory**

**IT Advisory**

**Technology**

**Trainings**

**Recruitment**

# Our Services



## Risk Advisory

- Risk Based Internal Audits
- Internal Financial Controls
- Standard Operation Procedures (SOPs)
- Legal Compliance Audits
- Environment Social Governance (ESG)
- Vendor Risk Management (TPRM)
- Fraud and Forensics
- Fraud Risk Framework
- SOX Compliance
- Internal Control Reviews
- Policy and Process Reviews
- Process Improvements
- Third Party Due Diligence
- Loan File Hind sighting
- Corporate Governance Advisory
- Branch Audits
- Integrity And Ethics
- Prevention of Insider Trading



## IT Advisory

- GDPR
- SSAE(SOC Audits)
- HIPAA Compliances
- Cyber Security Advisory
- Penetration Testing VA/PT
- Business Continuity/Disaster Recovery
- Firewall Audits
- PCI DSS Certification
- ISO 27001
- ISO 22301 (Business Continuity)
- IS Audit/ ITGC
- IT Service Management
- IT Assurance & Governance
- Personal Data Protection (PDP)
- CMMC
- 21 CFR Part 11
- NIST Compliance
- Microsoft SSPA



## Enterprise Risk

- Enterprise Risk Management (ERM)
- Specific Risk Assessments (Reputation, Compliance etc)
- Enterprise Risk Assessments
- KRI Library
- Risk Library
- Operational Risk Management
- Business Strategic Risks
- ERM Benchmarking
- ERM Framework Implementation
- Risk Management Policy
- Social Media Risk Management
- Market Risk
- Credit Risk
- Liquidity Risk
- ICAAP
- End User Computing (EUC) Risk



## GRC Technology

- Third Party Risk (TPRM) Software
- Internal Audit Software
- Risk Management Software
- Prevention of Insider Training Compliance Software
- Legal Compliance management Software
- Board & Secretarial Compliance Software
- Labour Compliance Automation Software
- Contract Management Software
- Litigation Management Software
- Document Management Software
- Whistleblowing Software
- Cyber Security Software
- Automating Accounts Function Software
- Treasury Management Software
- Data Analytics Tool



## GRC Trainings

- E Learnings
- ERM Training
- Risk Assessment & Mitigation Training
- Fraud Risk Training
- AML Training
- Board Training (Short Duration)
- ISO 31000 Training
- Business Continuity Training
- Information Security Awareness Training
- Third Party Risk Management Training
- Women Safety Training
- Business Ethics Master Class
- Cyber Security Training
- Anti Bribery/ Corruption Training
- DCPD (Data Privacy Certificate)
- Privacy Awareness Training
- Operational/ Credit Risk Training



## GRC Recruitment

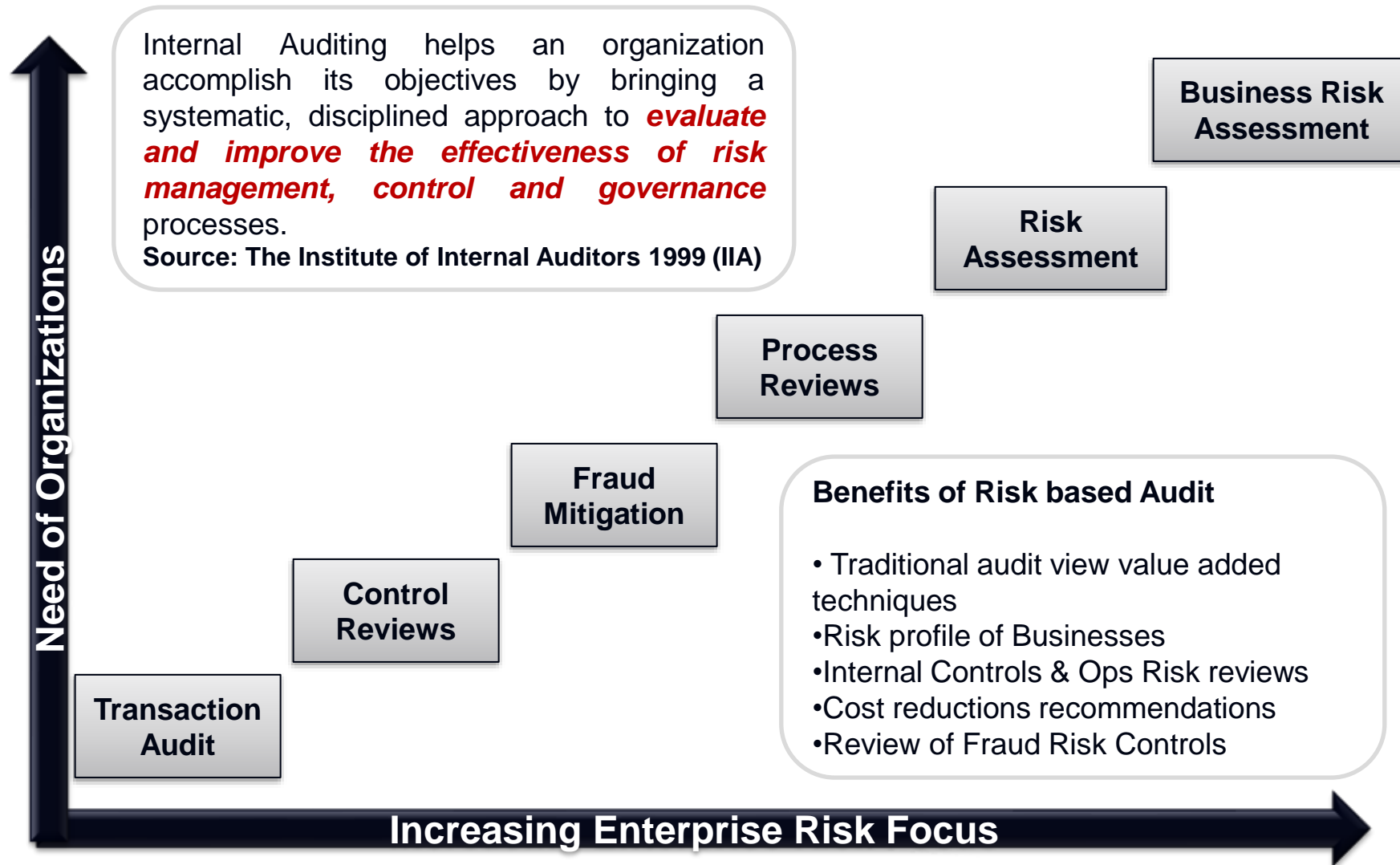
- Independent Director For Corporates
- Virtual Risk Manager
- Full Time Risk / Internal Audit Professionals
- Part Time Risk / Internal Audit Professionals Full-Time





**You need to find a balance between RISK and REWARD**

# Risk Based Internal Audit – How we do



# Benefits of Risk Based Internal Audits

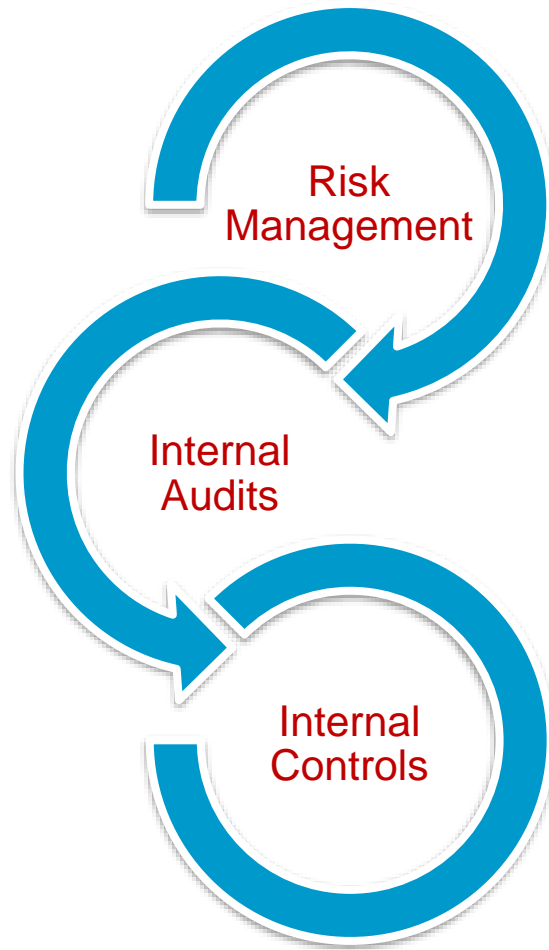
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- ❖ Risk-based auditing is a simple concept.
- ❖ Improves audit effectiveness and efficiency by shifting the function from a policing activity to one that contributes effectively to managing risk and achieving wider organizational goals.
- ❖ Involves high-level risk profiling of the audit portfolio over time;
- ❖ Facilitates strategic use of scarce audit resources, aligns audit efforts with management objectives, and reduces risk exposure by focusing attention on areas of weakness.
- ❖ The auditor performs a MORE EFFECTIVE and EFFICIENT audit, focused on HIGHER-RISK AREAS.
- ❖ Business units are involved at all stages of the audit.
- ❖ Risk-based auditing is more efficient, because it directs audits at the high-risk areas
- ❖ RBIA can also highlight risks that are over controlled and decrease efficiency



# Integrated Service Offerings

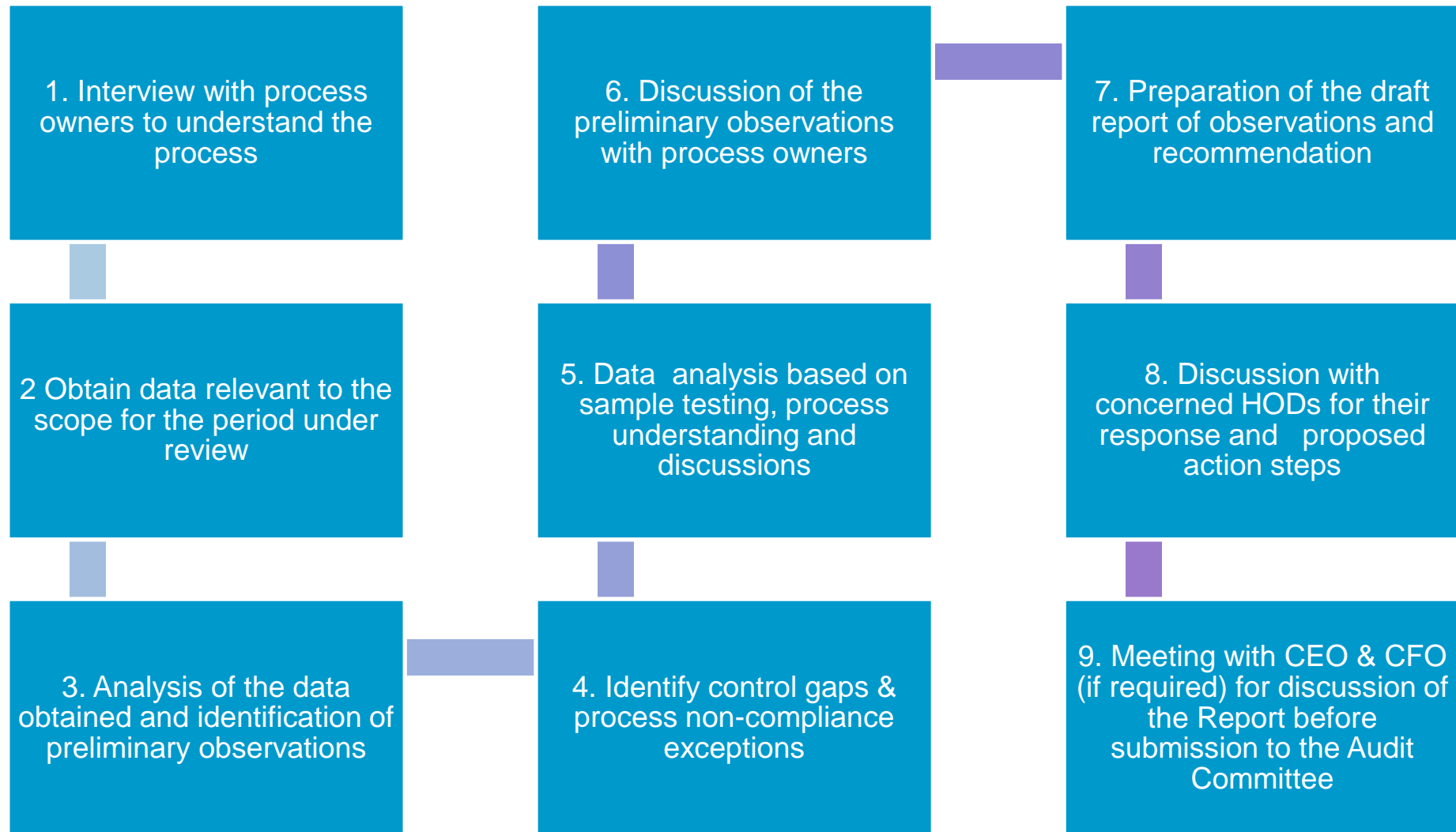
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1. Integrated risk, audit and control services ensures that internal controls are effective and current at all times
2. Continuous improvement in processes and implementation of the controls
3. Each component feeds into each other to improve company's operations in an integrated manner.

# Internal Audit Approach

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# Riskpro Experience: Sarbanes Oxley (SOX), IFC, ERM and Internal Audits

| Client Name                            | Project Name  | Project Description   |
|--|---|---|
| TechnipFMC                             | SOX Walkthrough & Control Design Documentation      | Documentation of Treasury, Sales, Financial Closure Process, Project Management, Tax, Procurement, Payroll, Subcontracting etc  |
| Alkem Laboratories Limited             | SOP, Internal Financial Control and Risk Management | Development of IFC Framework, development of processes and policies for the Company for compliance with IFC and Companies Act with respect to risk and internal controls  |
| Future Consumer Enterprise Limited (*) | Risk Based Internal Audit (RBIA)                    | Procure to Pay, Vendor Development, Order to Cash, Discounts/ Schemes, Inventory & Warehousing, Logistics, Distribution, Category Management, Statutory Compliances etc   |
| Tata Reality (*)                       | Risk Based Internal Audit (RBIA)                    | Procurement Mechanism, Vendor Payments, Revenue Agreements & Bookings, Finance and Accounts, Statutory Payments, Insurance, HR and Payroll, Fixed Assets and CWIP, Site Visit for verification of cash, Expenses incurred at site and Revenue booking etc.  |
| Rama Newsprint (*)                     | Risk Based Internal Audit (RBIA)                    | Waste Paper and Coal Handling at the Mill, Coal Procurement at HO, Waste Paper procurement at HO, Human Resources, Finance and Accounts, Application review of applications at Plant and HO, Statutory Compliances, Sales and Marketing, Warehouse, Logistics., Production and processes.   |
| CMS Group of Companies (*)             | Risk Based Internal Audit (RBIA)                    | RBIA of various businesses: - E-governance, CMS Institute – Training, Field Engineering - AMC/ FMS, Printing and Card Personalization, Systime Computers (Software Company), CMS Securitas Ltd (Cash Management Services), Kaycee Industries Limited (Manufacturing Company), CMS Traffic Systems Ltd. (Road Traffic Signal Systems). |

(\*) Experience of team members during previous employments

# Riskpro Experience: Sarbanes Oxley (SOX), IFC, ERM and Internal Audits

| Client Name                        | Project Name  | Project Description  |
|------------------------------------|---|--|
| Kamarajar Port Limited             | Enterprise Risk Management                          | Comprehensive Enterprise Risk Management Framework for the Port. Identification of key risks, development of Risk Registers and Risk Policy. Awarded contract after bidding as per Government Tender rules   |
| SKS Ispat Limited                  | Development of Corporate Governance and Risk Policy | Developed Risk Policy, Corporate Governance Manual, Accounting Policy, Anti Bribery policies etc as per Company's Listing on London Stock Exchange   |
| Himatsingka Siede                  | Enterprise Risk Management as per Sec 134 (5)       | Complete development of ERM Framework for a large listed company. Risk Register and Risk Mitigation plans  |
| Just Buy Live                      | Enterprise Risk Management and SOP                  | Complete development of ERM Framework for a large E Commerce Company   |
| Tilak Nagar Industries             | IFC and SOP   | Development of IFC Framework, development of processes and policies for the Company for compliance with IFC and Companies Act with respect to risk and internal controls   |
| TATA Motors, India                 | ERM Training  | Provided comprehensive Enterprise Risk Management Training to senior Management of TATA Motors, World's leading automotive company   |
| Kotak Mahindra Bank Limited, India | Enterprise Risk Management                          | Building Enterprise Risk Management (ERM) models using COSO and other leading frameworks.<br>Performing gap analysis for determining current ERM efforts and required ERM goals. Documentation of various risk factors as Risk guidelines and defining Reporting framework for single view, aggregated exposure reporting. |

(\* ) Experience of team members during previous employments

# Riskpro Experience: Sarbanes Oxley (SOX), IFC, ERM and Internal Audits

| Client Name                        | Project Name                       | Project Description  |
|------------------------------------|------------------------------------|--|
| Eureka Forbes Limited              | IFC and SOPs                       | Documentation of Risks and SOPs – Payroll, Fixed Assets, Procure to Pay, Order to Cash, Financial Close Process, Inventory, ITGC, Entity Level Controls  |
| Onsite Go                          | IFC and SOPs                       | Documentation of Risks and SOPs – Finance and Accounts, Operations and Sales   |
| ING Vysya Bank, India              | Key Risk Indicators (ORM Advisory) | Implementation of Key Risk Indicators as part of KRI Library   |
| Commercial Bank of Dubai           | KRI Library                        | Providing KRI Library to the Bank for enhancing its Operational Risk Management Framework  |
| Kotak Mahindra Bank Limited, India | Enterprise Risk Management         | Building Enterprise Risk Management (ERM) models using COSO and other leading frameworks.<br>Performing gap analysis for determining current ERM efforts and required ERM goals. Documentation of various risk factors as Risk guidelines and defining Reporting framework for single view, aggregated exposure reporting. |
| Mphasis Ltd                        | ERM Benchmarking                   | Aligned the company's existing ERM framework to ISO 31000 and COSO ERM so that the company had good industry practices.  |
| Al Masraf , Abu Dhabi              | Basel II Implementation            | Complete implementation of Basel II Advisory including credit risk market risk and operational risk,   |

(\* ) Experience of team members during previous employments

# RBIA for Banks

# Riskpro Approach : Step 1

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## Understand about an organization:

- ❖ Problem Statement
- ❖ Current approach of IA– Risk Based or Transaction based
- ❖ Organization Structure
- ❖ Audit approach
- ❖ Challenge Encountered in Current audit approach
- ❖ Audit resource Skills

# RBIA – Step 2 – RBIA Planning Model

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- ❖ Audit Universe – Create logical group of applicable Audit entities
- ❖ Develop Risk Based Analysis Model ( i.e. Score based) of auditable entities, assessing the following criteria
  - ❖ **Inherent Risk** – in area to be audited ( Size of exposure)
  - ❖ **Existing Control environment effectiveness:** Likelihood of risk have material impact
  - ❖ **Audit Effectiveness** : Duration and timing of audit
- ❖ Develop relative audit priority Schedule – A scoring model for 3 years duration



# RBIA – Step 3 – Develop Design Document & Execution Model

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## Develop

- ❖ Internal Audit Charter
- ❖ Internal Audit Manual focusing Test of Design and Control Effectiveness
- ❖ Report and Issue grading model
- ❖ Audit Plan – Execution Approach

# RBIA – Step 4 – Audit Automation

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## Audit automation

- ❖ Understand about audit tool and its capability
- ❖ Consulting to automate RBIA planning model
- ❖ Consulting of Audit Plan – Execution Process

# Some of Our Risk Advisory Clients

| Manufacturing   | Manufacturing  | IT Services   | Others  | NBFC  | Insurance   |
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|   |  |  | <h2>And Many More Clients</h2>  |   |   |
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# Some of Our BFSI Clients

| Banking   | Banking   | Insurance   | International   | International   | Others  |
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And Many More Clients

# Some of Our IT Advisory Clients




























| IT Services   | IT Services   | Technology   | Consulting  | Manufacturing   | Others  | Others  |
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And Many More Clients

# Some of Our SSAE Clients

| IT Services   | IT Services   | IT Services  | IT Services   | IT Services   | IT Services   | IT Services   |
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# Some of Our SSAE Clients

| Software  | Software  | Consulting  | Others  | Others  |
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# Some of Our GDPR Clients

| IT Services   | IT Services   | Consulting   | Manufacturing   | Software  | Others  |
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And Many  
More Clients



# Some of Our HIPAA Clients

| IT Services   | IT Services   | IT Services  | Software  | Others  |
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# Some of Our ISO 27001 Clients

| IT Services   | IT Services   | Software  | Consulting  | Others  |
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# Some of Our Technology Clients

| Manufacturing | Manufacturing | Insurance | Others | NBFC | Pharma | Consulting |
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And Many  
More Clients

# Some of Our Training Clients

| IT Services   | Consulting  | Manufacturing  | NBFC  | Insurance   | Others  | Public Sector (PSE)   |
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And Many  
More Clients

# Some of Our Recruitment Clients

| IT Services   | Others  | Consulting   | Manufacturing   | Banking   | Insurance   | Software  |
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And Many  
More Clients



**New decisions bring new risks and to manage them better, connect with one of our team members!**



**Manoj Jain**

**Founder and Director**

- CA, CPA, MBA-Finance (USA), FRM (GARP)
- Over 10 years international experience – 6 years in Bahrain and 4 years USA
- More than 27 years exp in risk management consulting and internal audits, Specialization in Operational Risk, Basel II, Sox and Control design
- Worked for Ernst & Young (Bahrain), Arab Investment Company (Bahrain), Navigant Consulting(USA), Kotak Mahindra Bank (India) and Credit Suisse(India)
- Sox Compliance project for Fannie Mae, USA ( \$900+ Billion Mortgage Company)

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**Laxmikant Gupta**

**Principal**

- CA, CMA, CS, FRM,
- Laxmikant has over 25 years experience in risk management, governance, compliance, ethics, control, internal audit.
- His experience has been across areas like operational risk, market risk, settlement risk in addition to SEBI Compliances, internal compliances, governance norms based on new Companies Act, new Insider Trading laws etc.
- He headed risk management / compliance function for Franklin Templeton, Tata TD Waterhouse, Birla Sun Life, ICICI Venture, NCDEX. He also worked with I-Sec, A F Ferguson & Co.

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**Rita Shewakramani**

**EVP – Internal Audit & Risk Advisory**

- Chartered Accountant, a Certified Internal Auditor (CIA) and a Certified Risk Mgmt Professional (CRMA).
- She has more than 25 years of post qualification experience into Internal Audits, Risk, Application Reviews, Operations / Process/ Internal control reviews, Fraud Investigations.
- She has worked with consulting firms like Baker Tilly Singhi Consultants Pvt Ltd, Price Waterhouse Coopers, EY, Aneja Associates and Corporates like Reliance (Internet Exchange), GE Capital, CMS Computers etc.

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**Ashok K Agarwal**

**EVP – IT Risk Advisory**

- CISA| CRISC| ISO 27001 |ISO 20000 |CAMS|CENTS|CAIIB|Cyber, Cloud, and Cyber Security Professional
- Over 25 years of experience in the multiple Banking (Punjab National Bank- Delhi, AXIS Bank - Mumbai, DCB Bank – Mumbai and Bank Dhofar – Muscat - Oman) in IT leadership roles like eg. IT Management, Information Security Management and IT Audit.
- Since last 5 years, He is heading IT Risk Advisory and consulting practises across multiple sectors BFSI, Insurance, FinTech’s and SEBI regulated entities. like Cyber Security, Digital security consulting, Network and Technology Infrastructure of Data Centre, IT Governance, and other regulatory compliances
- He earned a Master in Economics. He is banker turned technocrat with rich experience.

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**Vivek Dixit**

### **EVP – Risk Management and Governance Advisory**

- B.Com, DFM. Numerous Work related and Leadership trainings in Corporate World.
- Experienced, multi faceted, techno functional corporate professional with 38 years in the industry. viz. Dell, Microsoft, IBM, Atos (Origin), Ingersoll-Rand, Siemens. Global judge for certification of YB and GB Six Sigma projects in Dell.
- Associated with PMI significantly for past decade.
- Invited as a Speaker for various events.
- Passionate Graphologist, & conduct Logo Analysis.
- Career Mentor & Advisor.

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**Vikas Gupta**

### **EVP - Risk Advisory**

- CFA, MBA Finance (USA)
- Over 28 years experience in global Financial Services Industry.
- More than 15 years international experience in the USA, UK and APAC.
- Deep expertise setting and managing global deliveries in credit, market and operational risk, regulatory compliance, and corporate governance.
- Has held several executive positions with MNC banks including Chief Risk Officer (Wells Fargo), Chief Compliance Officer (Credit Suisse) and Head of Risk (RBS).
- Eminent industry connected leader with recognitions and credibility

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**Venkatkrishnan G**

### **EVP-Internal Audit & Risk Advisory**

- Chartered Accountant, CISA. ISO 27001 Certified
- More than 25 plus years of experience in the space of Internal audits, process and controls, IT audits, operations and finance
- In the past Venkat has worked with audit and consulting firms like Price Waterhouse, Deloitte and GT. In addition he has also worked in multinational corporates like IBM, Shell, SCB.
- He also did a stint in Muscat, Oman and has worked in various engagements in the USA, Far East and UK.

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**Saswata Banerjee**

### **EVP – Legal Compliance**

- B.Com LLB, FCMA, DISA, MBA Fin, ISO27001 and ISO45001 certified
- Experienced of 26 years in the Internal Audit & Business Consulting
- Worked in Legal Compliance Gap Analysis & Audits, Costing & Profitability, Process & Controls Internal audit of a large number of large companies as well as SMEs.
- Exposure in Retail, Pharma, Chemicals, Textiles, Real Estate & Infrastructure, Educational Institutions, Shipping & Logistics and Petrochemical Industries.

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**Nitesh Shanbhag**

**Senior Advisor –  
Strategy & New  
Initiatives**

- PGDM – IIMA, B.E (Mech) – NITK, Financial Risk Manager (FRM -GARP)
- Over 25 years experience in Risk Assessment and Management covering credit risk analysis and credit rating, credit underwriting for corporate and equipment finance, impact and social financing, and Enterprise Risk
- Prior work engagements with National Skill Development Corporation, a PPP in the skilling sector; GE Capital Services India, and credit rating agency ICRA Limited.

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**Sucheta V. Upendra**

**Senior Vice President –  
Information Security**

- MCA, CISA CRISC, CDPSE
- PCI-DSS QSA
- ISO 27001 and ISO 27701 LA
- DCPLA (DSCI Certified Privacy Lead Assessor)
- GRC professional with over 25 years of experience in the IT sector.
- Experience in consultancy and audits for various information security and data privacy standards.
- Worked for leading firms such as TCS, Siemens, and Cerner.

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**Ritu Thakkar**

**SVP – Information Security**

- Around 20+ years of experience as an Implementer, Lead, Executor, Trainer, Information Security Auditor and IT Compliance in ISMS.
- Experience in SOC 2, ISAE 3402, ERM, Business Continuity, ITIL, GDPR, HIPAA, Enterprise Risk Management, Cloud Security, ITGC, Quality Management, Lean, QAI, Process Implementation, IT Operations, CMMI, Agile and Software Development Lifecycle (SDLC), Threat Intelligence, Data Protection and Compliance Management.
- Certified LA/LI ISO/IEC 27001, Certified ISO/IEC 27001 Information Security Associate, ISO/IEC 20000 IT Service Management Associate, Certified Project Management Essentials, Certified Foundations of Business and Entrepreneurship, Certified Lead Auditor ISO/IEC 9001, 14001, Certified ITIL, CEH, Certified Six Sigma White Belt, Green Belt, Black Belt.
- Company worked Riskpro India, Vakrangee Limited, Network Solutions – An IBM Company, CMS Computers, Ministry of Defence (MoD).
- Winner of Datacenter Summit & Awards under the category Risk Management, Bronze in the 13th Annual IT World Award in Women IT Category, World Award Information Security Awareness Program Excellence Awards (MediaPro), Info Sec Speaker for CISO Platform. Judge for Golden Bridge Awards, DG Award.

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**Natarajan Mohan**

**SVP – Risk Advisory**

- ACMA, CISA, DCPLA, ISO 27001:2013 LA, PMP, CSM
- Over 27+ Years of varied experience in Internal Audit, Risk Management, Regulatory and Compliance audit, Cost Management, Project Management and PMO.
- Expertise in SSAE 21 (SOC) audits and consulting, ITGC, ISMS audits, internal audit, privacy & security risk assessment.
- Worked for leading companies like Sundaram Finance, Satyam Computers, Cognizant, Hexaware & Tech Mahindra.

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**Nehal Mapara**

**SVP – Information Security**

- Chartered Accountant, ISO 27001 Lead Auditor
- 22 years of post qualification experience in internal audits, risk assessments, process enhancements, ISO 9001 & 27001 audits, compliances, commercial reviews, GDPR implementation and audits and SOC Audits
- Established Commercial function in Hutchison Global Services & Compliance function for Datamatics Business Solutions Ltd
- Worked with consulting firms like Axis Risk Consulting, Aneja Associates and corporates like Hutchison Global Services, Jet Airways, Datamatics Business Solutions Ltd.

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**Poonam Khandwani**

**VP – Risk Advisory**

- FCA,LLB, Certified Forensic & Concurrent auditor ,with over 17 years of professional experience.
- Experience in Internal Audit, Statutory Audit, Risk based audits , ICFR reviews, SOX compliances, SSAE audits ,ERM engagements & Fraud risk assessment etc.
- Performed risk based internal audits across multiple industry segments namely, Irrigation, Cement, Chemical, Textile & Garment , Insurance, Banking industry, Telecom, FMCG,, Software development ,BPO etc

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**Pragma Pranati**

**VP-Risk Advisory**

- Chartered Accountant, ISA (ICAI) MBA (Finance), ISO 27001, M.Com,
- She has over 16 years of experience with a mix of both corporate and consultancy.
- She has worked previously with Barclays (Pune) , Flextronics Technologies P. Ltd (Chennai/Pune), Exl Services P Ltd. (Noida)
- Her professional experience includes, ITGC compliance and review, SOP, internal audit, Application access management and Role management, Implementation of GRC Tool which includes preparation of functional specification, conducting UAT, training to WW stake holders and Go-live management

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**Anita Balasubramanian**

**VP – IT Risk Advisory**

- ISACA CISM Trained, Certified ISO 27001 Lead auditor, ITIL V3 Expert, Prince 2 Practitioner, Certified Internal Auditor for ISO 9001,20000-1 standards
- She has around 16 plus years of experience in ISO 27001, Governance , Risk and Compliance, Internal Audits, Risk Management, Process/ Internal control reviews, Data Privacy and GDPR.
- She has worked with IBM, Oracle, Microland, Mindtree, Thirdware, Computer Science Corporation, Ramboll Etc.

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**Niveditha Hampiholi**

**AVP - Risk and Compliance**

- MBA (Finance)| DSCI Certified Privacy Lead Assessor (DCPLA)| ISO 27001:2022 Lead Auditor
- She has over 18+ years experience in Risk Management and Internal Audits (mainly in Banking and Financial Sector).
- She also has specialization in operational risk, Sarbanes Oxley and Internal Controls.
- She has prior experience with Northern Trust, Ocwen Financial Services & ADC Telecommunications Inc.

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**Shalini Gundu**

**AVP – IT Risk Advisory**

- Bachelor of Accounting and Finance (B.A.F.)
- Certified Lead auditor for ISO 27001 : 2022 and ISO 9001:2008, Certified Six Sigma Green Belt and ITIL Professional.
- She has more than 13 years of experience in External Audit, consulting and implementation for SSAE 21 and ISAE 3402. Internal audit for SSAE 16 and 18, ISAE 3402, ISMS, Integrated audits, QMS and CMMI.
- She has worked with firms like Softtek India Pvt Ltd, eClerx India Pvt Ltd, WNS Global Services, Intellinet Global services etc

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**Vinaya Punekar**

**Information Security Consultant**

- Chartered Accountant and Certified Information Systems Auditor (CISA), ISO 27001 – LA, CCSK
- Vinaya has 23+ years of post qualification experience in
- SOC1, SOC2 audit/ readiness assessments/ implementation
- ISMS implementation, audits
- ITGC/ ITCSoX / IFC testing, Internal Audit
- She has worked with Big4 and other consulting forms.
- She has also worked across industries such as Software, Manufacturing, Power and Telecommunications.

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**Sonakshi Sinha**

**Senior Manager – Data Privacy and Legal**

- Legal professional with years of experience in the domain of data privacy, risk advisory and legal advisory.
- She has experience in IPR, Data Privacy Implementation and Audits, Data Privacy Impact Assessment, Operations/ Process reviews, Data Protection Training and awareness for various data privacy regulation around the globe.
- She has handled multiple roles over the years.

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A person wearing a white shirt is holding a smartphone in their right hand, positioned over a laptop keyboard. The background is slightly blurred, focusing on the person's hands and the devices.

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