



Risk • Pro

Building a trusted environment

RISKPRO INDIA

**SOC Advisory Services
(SOC 1 and 2 Audits)**

1400+ Happy Clients
Connecting Risk Professionals

Risk Advisory / IT Risk Advisory / GRC Technology /
Training / Recruitment

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2026



Riskpro's Overview



15+ years of business



1400+ 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



Risk Advisory

IT Advisory

Technology

Trainings

Recruitment



Risk Advisory

- Risk Based Internal Audit
- Internal Financial Controls (IFC)
- Vendor Risk Management (TPRM)
- Regulatory Compliance Consulting
- SOX Compliance
- Environment Social Governance (ESG)
- Standard Operation Procedures (SOPs)
- Enterprise Risk Management
- Operational Risk Management
- Branch Audits
- Fraud and Forensics
- Social Media Risk Management



IT Advisory

- SOC (SSAE) Audits
- Digital Personal Data Protection Act 2023 (DPDPA)
- CMMC
- Microsoft SSPA
- Data Analytics
- GDPR
- ISO 27001
- 21 CFR Part 11
- HIPAA Compliance
- VAPT
- PCI DSS
- Cyber Security Advisory
- Business Continuity/Disaster Recovery
- NIST Compliance
- IT General Controls (ITGC)



Technology

- Internal Audit Software
- Third Party Risk Software (TPRM)
- Legal Compliance Software
- Labour Compliance Automation Software
- Secretarial Compliance Automation Software
- Treasury Management Software (TMS)
- Risk Management Software
- Contract Management Software
- Whistleblowing Software
- Cyber Security Software
- GRC Software
- Data Privacy Software
- Document Management Software



Trainings

- Risk Training/ ERM
- Fraud Risk Training
- Anti Bribery / Corruption Training
- Board Training
- Operational/ Credit Risk Training
- POSH Training
- Risk Based Internal Audit Training
- Vendor Risk Management Training
- Regulatory Compliance Training
- ISO 31000 Training
- AML Training
- Information Security Awareness Training
- Privacy Awareness Training
- Cyber Security Training
- ITGC Training



Recruitment

- Virtual CISO
- Virtual Risk Manager
- IT Audit Professionals
- Internal Audit Professionals

About our
services



You need to find a balance between RISK and REWARD

SAS 70 / SSAE 16 / SOC 1 / SSAE 18 / SSAE 21/ SOC 2 etc



Effective June 15, 2022

SSAE 18 is now SSAE 21

All SOC 1, SOC 2 and SOC 3 reports are done under the SSAE 21 standards

SAS 70, SSAE16, SSAE 18 are old terms



This logo is worth a lot to YOU..... and us

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SOC Report Background



What are SOC Reports

- ❖ “Service Organization Control reports are designed to help service organizations, organizations that operate information systems and provide information system services to other entities, build trust and confidence in their service delivery processes and controls through a report by an independent certified public accountant.”
- ❖ – American Institute of Certified Public Accountants (AICPA)

Types of SOC Reports

SOC 1

- ❖ Previously called SSAE 18
- ❖ Mainly financial reporting and operations related controls

SOC 2

- ❖ Trust Principles
- ❖ Defined list of criteria
- ❖ Restricted use

SOC 3

- ❖ Trust Principles
- ❖ Can be shared to general public and on website

Examples of Principles and Criteria

Security

- ❖ IT Security policy
- ❖ Security Awareness and communication
- ❖ Risk Assessment
- ❖ Logical Access
- ❖ Physical Access
- ❖ Security Monitoring
- ❖ User authentication
- ❖ Incident Management
- ❖ Asset Classification
- ❖ Personnel Security
- ❖ Configuration Management
- ❖ Change management

Availability

- ❖ Availability Policy
- ❖ Backup and restoration
- ❖ BCP
- ❖ DRP

LIST OF POLICIES AND PROCEDURES

- ❖ Organisation Charts
- ❖ Setup of Committees, Meetings, Charters, roles etc
- ❖ Roles and Responsibilities, Job Descriptions of all positions
- ❖ Information Security Policy (various sub policies forming part of Security policies)
- ❖ Logical and Physical Access procedures
- ❖ System / network diagrams, boundaries
- ❖ Change Management Policy, process and formats/logs
- ❖ Incident Management Policy, Process and formats/Logs
- ❖ Release Management
- ❖ Data Classification Policy
- ❖ Periodic Security monitoring Framework / Dashboards
- ❖ Risk Identification and Assessment Process
- ❖ Disaster Recovery
- ❖ Business Continuity Policy
- ❖ Code of Conduct
- ❖ HR Manual
- ❖ Performance appraisals
- ❖ Information Security Awareness Training

Typical Project Execution Plan



Phase	Elements	Timelines
Engagement	<ul style="list-style-type: none"> ❖ In person meeting /phone meeting ❖ Contract Signing 	Day 1
Diagnostic and Gap review	Review of current operations and recommend additional controls based on SSAE checklist	2-3 days onsite and 2-3 weeks offline.
SOC 2 Type 1	<p>Once all the gaps, are fixed, we select an audit date/ cut off date and review all evidences.</p> <p>Issue of SOC 2 Type 1 Report</p>	Within 3-4 weeks
SOC 2 Audit	Test of controls covering period (6 months or 9 months)	2-3 days onsite. This is usually after 6-9 months from Type 1 report.
Report	Issue of SOC 2 Report	4-5 weeks from audit completion

Case Study – Times Internet Limited – SOC 2

Company Objectives

- ❖ The Times Cloud Platform exists for one purpose: to better enable user to access, discover, and enjoy products and services that they'll love.
- ❖ Define robust policy and procedures and
- ❖ Define IT controls for various processes in each vertical

Methodology

- ❖ Develop Governance controls based on requirements of SOC 2 standard
- ❖ Adopt a risk based methodology for identifying, assessing and mitigating risks and monitoring them for keeping risks under control.
- ❖ Review and develop robust Standard Operating Procedures for key processes.
- ❖ Develop ITGC Controls Matrix across the various processes to identify risks

Challenges

- ❖ Multiple business units with a lot of customer interface.
- ❖ Obtaining sign-in from a variety of stakeholders including people from top, middle and low level management spread across locations
- ❖ Prioritizing risks and maintaining a secure infrastructure to ensure that design of controls promotes the confidentiality, integrity and availability of IT systems

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Other Related Services



GDPR - How Riskpro can help

- ❖ Review current practices against GDPR requirements
- ❖ Full data audits
- ❖ Establish frameworks to address GDPR
- ❖ Align to Best practices

GDPR Maturity Assessment



- ❖ Develop a roadmap to smoothly implement GDPR once the gaps are known
- ❖ Privacy policy

GDPR Transition Plan



- ❖ You may already be doing a lot more than you think.
- ❖ Mapping of current framework with GDPR
- ❖ We will integrate GDPR framework with ISO 27001 Privacy

Integration with other Frameworks



- ❖ Carry out a self assessment review of your GDPR implementation against the requirement and issue a review / certification report

GDPR Self Assessment / Certification



- ❖ We can provide data protection officers on a retainer basis to help with the implementations
- ❖ Recruit a full time DPR if needed

Data Protection Officers



- ❖ Riskpro can perform one time or periodic Privacy Impact assessment as required by law

Privacy Impact Assessments



Type of HIPAA Compliances



Extended Compliance

Exposed to Electronic protected health information (ePHI).

Have to implement a lot more process based as well as technical controls from the security/privacy rules..

Riskpro also need to see the physical location since physical safeguards are also involved and hence a visit is often required.



Simple Compliance

Just develop/sell the software that is used by clients in HIPAA processes then the software & its implementation has to have certain technical controls to be HIPAA compliant

For assessing a software system to be HIPAA compliant, Riskpro can do a checklist approach after understanding the situation.

HIPAA Framework – Where you need to be

Administrative Safeguards	§164.308(a)(1)(i)	Security Management Process
	§164.308(a)(2)	Assigned Security Responsibility
	§164.308(a)(3)(i)	Workforce Security
	§164.308(a)(4)(i)	Information Access Management
	§164.308(a)(5)(i)	Security Awareness and Training
	§164.308(a)(6)(i)	Security Incident Procedures
	§164.308(a)(7)(i)	Contingency Plan
	§164.308(a)(8)	Evaluation
	§164.308(b)(1)	Business Associate Contracts and Other Arrangements
Physical Safeguards	§164.310(a)(1)	Facility Access Controls
	§164.310(b)	Workstation Use
	§164.310(c)	Workstation Security
	§164.310(d)(1)	Device and Media Controls
Technical Safeguards	§164.312(a)(1)	Access Control
	§164.312(b)	Audit Controls
	§164.312(c)(1)	Integrity
	§164.312(d)	Person or Entity Authentication
	§164.312(e)(1)	Transmission Security
Organizational Requirements	§164.314(a)(1)	Business Associate Contracts and Other Arrangements
	§164.314(b)(1)	Requirements for Group Health Plans
Policy, Procedures, & Documentation	§164.316(a)	Policy and Procedures
	§164.316(b)(1)	Documentation

Some of Our Risk Advisory Clients

Manufacturing	Manufacturing	IT Services	Banks / Insurance	NBFC	Others
					
					
					
					
					
					
					
					

Some of Our BFSI Clients

Banking	Banking	Insurance	International	International & Others	Others
					
					
					
					
					
					
					
					

Some of Our IT Advisory Clients

IT Services	IT Services	Technology	Consulting	Manufacturing	Others	Others
				 		
						
						
						
						
						
						
						
						

Some of Our SSAE Clients

IT Services	IT Services	IT Services	IT Services	IT Services	IT Services	IT Services
						
						
						
						
						
						
						
						

Some of Our SSAE Clients

Software	Software	Consulting	Others	Others
				
				
				
				
				
				
				
				





























Some of Our GDPR Clients

IT Services	IT Services	Consulting	Software & Others	Others	Manufacturing
					
					
					
					
					
					
					
					

Some of Our HIPAA Clients

IT Services	IT Services	IT Services	Software/ Consulting	Others
				
				
				
				
				
				
				
				

Some of Our ISO 27001 Clients

IT Services	IT Services	Software	Consulting	Others
				
				
				
				
				
				
				
				

Some of Our Technology Clients

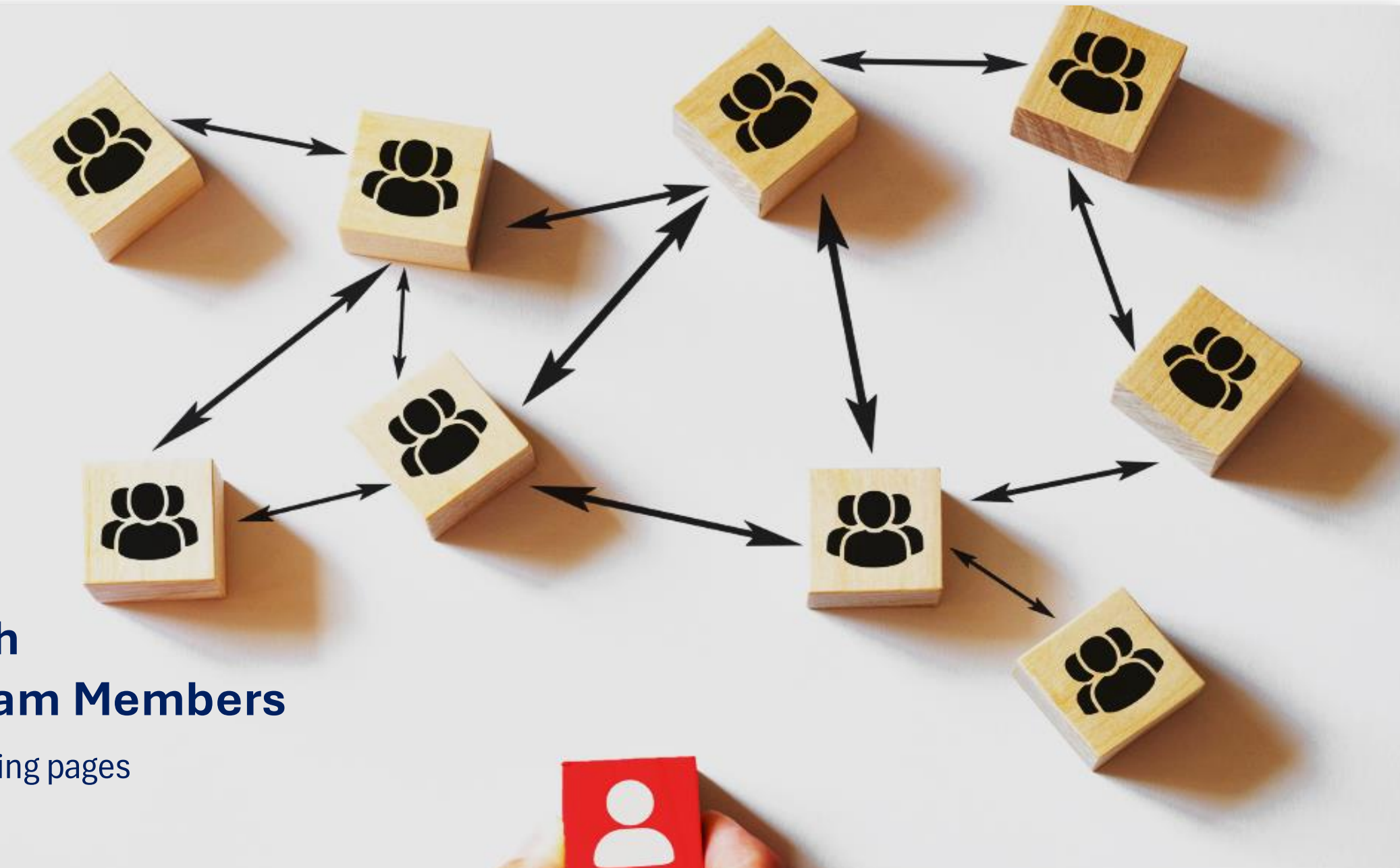
Manufacturing	Manufacturing	Others	Insurance	NBFC	Pharma	Consulting
						
						
						
						
						
						
						
						

Some of Our Training Clients

IT Services	NBFC/ BFSI	PSE/ Others	Consulting	Manufacturing	Insurance
					
					
					
					
					
	 				
					
					

Some of Our Recruitment Clients

IT Services	Others	Banking & Insurance	Manufacturing	Consulting	Software
					
					
					
					
					
					
					
					



Connect With Risk Pro's Team Members

Details on the following pages



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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Casper Abraham

Founder and Director

- PGD (Electrical & Electronics & Computer Programming)
- 30 years of experience in Information & Communications Technology (ICT) Solutions for Retail, Garments, Manufacturing, Services Industries.
- Has created Companies, Divisions, Products, Brands, Teams & Markets.
- Consulting in Business, Technology, Marketing & Sales & Strategic Planning.
- Advisory, Training, Workshops & Implementation in Systems Thinking, Systems Modeling & Balanced Scorecard
- Worked with TIFR, Mahindra, Ambience, Communico-Graphique & Ionidea Inc, Edgevalue..

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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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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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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

SVP – IT Risk Advisory

- MCA, CISA CRISC
- 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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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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Vinaya Punekar

SVP – Risk Advisory

- 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/ ITSoX / 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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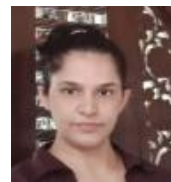


Niveditha Hampiholi

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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Ritu Thakkar

SVP – IT Risk Advisory

- 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, among other areas.
- Certified LA/LI ISO/IEC 27001, Certified ISO/IEC 27001 Information Security Associate, ISO/IEC 20000 IT Service Management Associate, Certified Lead Auditor ISO/IEC 9001, 14001, Certified ITIL, CEH, Certified Six Sigma White Belt, Green Belt, Black Belt. Company worked Vakrangee Limited, Network Solutions – An IBM Company, CMS Computers, Ministry of Defence (MoD).

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Vasudha Ghosalkar

SVP – IT Risk Advisory

- 18+ years of experience in ITGC audits, cyber security audits, SOC 2 audits
- Domain knowledge of BFSI and service industries
- Knowledge of Industry Regulatory guidelines pertaining to Information Technology and Information Security such as – RBI (for Banks and NBFCs), SEBI (for AMCs and Exchange Houses), IRDAI (for Insurance companies) and IT Act.
- Experience in industries like Banks , NBFCs, Fund Houses, Exchange Houses , Insurance, Software Service
- Currently working with RiskPro, handling ISAE ,SSAE, ISO 27001 audits and regulatory compliance audits as PMO and Project Lead.

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Nehal Mapara

SVP – IT Risk Advisory

- 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
- 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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Shalini Gundu

VP – 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.
- PCI-DSS QSA
- 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, 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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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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Pragya 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 and more.

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