TrainingCentral

Profile – Domain Expert DE487

Qualifications

C. A. - May 1997
B. Com - June 1994

Organisations Worked for

IFC - International Finance Corporation
Asian Development Bank (ADB)
LTI - Larsen & Toubro Infotech · Freelance
Independent Consultant (July 2019-Current)
Director- Financial Services- Genpact (Jan 2011-Jun 2019)
Societe Generale- Feb 2005-Dec 2010
IDBI Bank - Mar 2004-Dec 2004
Arthur Andersen - India-Apr 2000-May 2002
Deloitte - India-Jun 1994-Mar 2000

Base Location:

Mumbai, India

#Years of Experience:

26

Domain Area:

Risk & compliance
Financial & Management Accounting.

Sub-Domain:

Operational Risk/Enterprise Risk, Compliance Risk, SOX/Internal Controls, Internal Audit, Process reviews, Third Party Risk Management, Business Process transformation, Risk & Compliance Operating Model, Risk & Compliance Managed Service solutions, Risk & Compliance Digital Solutions

Key highlights of your career

- Risk Management Frameworks and Systems
- Compliance Policy & Procedures
- Standard Operating Procedure Manuals
- Risk Reporting Framework
- Risk & Control Assessment- Narratives/Flowcharts/ Risk Control Matrices
- Control Testing Procedures- Test Plan & Procedures
- Internal Control Management
- Data Migration solutions for Third Party Risk Management Modules (supporting GRC Implementation of RSA Archer)
- Risk & Control Optimization & Rationalization (supporting GRC Implementation- IBM Open Pages)
- Business Requirement Document- Compliance Management Tool
- Transformation of Risk & Compliance functions
- Risk & Compliance Operating Models (including setting up of remote site Risk & Compliance Managed
- Service Solutions)
- Clients Serviced
    - Asia-Pacific- Westpac, Suncorp, National Australia Bank, CIMB, Asian Development Bank (ADB)
    - Americas- PayPal, Ironshore, Chicago Mercantile Exchange, GE Capital Americas, TIAACREF
    - UK & Europe- HSBC
    - India-ICICI Bank, ICICI Prudential, IDFC First(Formerly known as Future Capital Ltd),L&T InfoTech

Description of roles and responsibilities held (last 10 years in detail please)

Organization : IFC - International Finance Corporation · Freelance
Designation : Risk Management Specialist
Period : Sep 2021 - Present

Key Responsibilities and Achievements

Organization : Independent Consultant Consultant
Period : July 2019
Designation : Various Banks and Financial Institutions · Freelance

Key Responsibilities and Achievements

Mar 21-Current: Operational Risk Assessment of Credit Insurance instruments across Private Sector Operations for a large Asian financial institution set up for promoting growth and economic development in the region

- Risk & Control assessment- Value Chain based
- Identification of process improvements
- Identification of transformation and automation opportunities
- Develop monitoring templates, dashboards and RACI matrix

Oct 20-Current: Supporting a large Indian technology & digital consulting company in undertaking the transition and stabilization of the risk management function for one of its new accounts as the Risk Management Lead. Activities comprised of :-

- Undertake transition and knowledge transfer for the Risk Management function
- Development of the To be operating model for the Risk Management function
- Initiate and support the Business Continuity requirements
- Develop and implement monitoring framework for information security, data security and business continuity management domains

Mar 20-Current: Prototype development of a 'Digital Compliance Management' solution, comprising of development of the BRD and liaising with technology firms to build the solution (in collaboration with a Singapore based consulting firm)

Oct 19-Mar 20: Contract review for a key client of a large Indian technology & digital consulting company. Key components of the engagement were:-

- Review of contractual obligations as per the Master Services Agreement
- RAG status report based on current state of contract compliances
- Development of Risk Registers based on current risk & control evaluation

Jul 19- Sept 19: Development of Technology Risk Management Operating Model and Procedures aligned with regulatory requirements for a leading South-East Asian Bank. Key components of the engagement were:-

- Operating Model development and documentation comprising of Organization structure, Governance model, Roles & Responsibilities and RACI model
- Development of a Unified Compliance Framework (UCF) to monitor compliance risks
- Development of Assurance plan
- Training Needs Identification methodology for the Technology Risk Management function
- Development of reporting formats/templates for the Technology Risk Management function

Organization : Asian Development Bank (ADB)

Designation : Risk Management Specialist
Period : March 2021 - October 2022
Key Responsibilities and Achievements

Organization : LTI - Larsen & Toubro Infotech · Freelance
Designation : Risk Management Specialist
Period : March 2020 – Feb 2021
Key Responsibilities and Achievements

Organization : Genpact- Consulting
Designation : Director- Financial Services
Period : Jan 2011-Jun 2019
Key Responsibilities and Achievements
Key responsibilities

- Business Development (Region and Solution)
- Client Servicing
- Solution Development
- Delivery Management
- Practice Matters- development of talent pool, identifying strategic partnerships, training needs identification & team management

Key projects: -

- Compliance transformation program
- Control Assurance review
- Risk & Compliance Operating Models
- Establishment of Risk & Compliance Managed Service Units
- Quality Assurance Framework
- Third Party Risk reviews
- Data Migration
- Gap Analysis of ORM frameworks
- Policies/Procedures development/roll out
- Internal Control reviews
- SOX & MAR framework development & execution
- Documentation of standard operating procedures
- Internal Audit reviews
- Enterprise Risk Management reviews
- Regulatory Inspection Readiness support

Organization : Societe Generale
Designation : Financial Services
Period : Feb 2005-Dec 2010
Key Responsibilities and Achievements

- Financial Controller for the Indian Banking operations. Key responsibilities included overseeing day to day financial operations, regulatory reporting, management & head office reporting

- Led the annual budget and forecasting activity for the Indian operations
- Supported Regulatory compliance reviews/inspections
- Creation of a centralized accounts payable division
- Supported in building the ICAAP framework
- Created the framework for attestation of General Ledger balances for all key businesses (accounts reconciliation framework)

Other Activities

Volunteering

- Program Mentor & Growth Strategist at Muqaam- Unit of Hamara Footpath Education Foundation- an NGO working towards the cause of providing holistic education to children from the economically weak sections of the society
- Developed and implemented the “School Social Responsibility” program, wherein, constituted partnerships with leading Mumbai based private schools to obtain their support- Financial & Student volunteers
- Advising on Growth & Funding strategy
- Supporting the licensing and regulatory requirements for stabilization of the NGO
- Development of Donor Reports/Dashboards