

UMAPATHI K S

+91 9448565799 ✉ umapathisrinivas1996@gmail.com | Kolar, Karnataka, India|

PROFESSIONAL SUMMARY

IT Audit Associate with **3.9 years of total experience**, including **2.8 years in ITGC (IT General Controls) Audit and IT Compliance** and **1.1 years in Product Compliance operations**. Skilled in ITGC testing, access controls, change management, backup and recovery controls, and SOX compliance. Proven ability to handle control testing, documentation, reporting, and client coordination.

Key strengths: ITGC Audits, Access Management, Change Management Testing, IT Operations, ITAC,SOX Testing, Product Compliance, Process Documentation, and Cross-team Collaboration.

EXPERIENCE

ITGC Audit Associate

Maveric Systems Ltd | Bangalore | 12/2021 – 09/2024
(2.8 Years)

Responsibilities:

- Performed end-to-end **IT General Controls (ITGC) testing** covering Access Management, Change Management, Backup & Recovery, and IT Operations.
 - Conducted **Test of Control Design** and **Test of Operating Effectiveness** for SOX ITGC controls.
 - Validated **access provisioning, de-provisioning, privileged access, and segregation of duties (SoD)** controls in systems like SAP.
 - Reviewed **backup and recovery controls** for critical applications and servers.
 - Conducted **IT Application Controls (ITAC)** assessments including automated control testing for data accuracy, completeness, and authorization in Success Factor & Pronto.
 - Collaborated with internal audit, business, and IT teams to monitor remediation of identified ITAC deficiencies and validate remediation effectiveness.
 - Tested **change management controls**, including RFC review, approval validation, and deployment evidence.
 - Documented test results in **audit workpapers** and shared control findings with stakeholders.
 - Collaborated with cross-functional teams to ensure **compliance with IT policies and SOX regulations**.
 - Assisted in **SOC report review testing** for outsourced services.
-

Associate Compliance

**Te Connectivity (PCS Services) | Bangalore | 02/2020 – 03/2021
(1.1 Years)**

Responsibilities:

- Working on European Union regulation like End life of vehicle (ELV), conflict minerals, REACH, ROHS, SVHC regulations and IMDS support.
- Responsible for Supporting IMDS activities such as Validation, Creation and Analysis for automotive components used in General Motors vehicles as per GMW 3059 and global standards using A2 optimizer, PLM and ICM2 tools.
- Reviewing material data sheets (MDS) submitted by supplier in accordance with Data drawings, EU ELV directive, GMW 3059, IMDS recommendation and Global automotive regulations.
- Analyzing Bill of material (BOM) from GM internal tools based on global requirement and builds IMDS for transmission and Engine assemblies for various GM plants.
- Contacting supplier for non-compliant data and follow-up with supplier for correction of data with necessary action.
- Responsible for RRR and MPL review and missing data follow-up with different tier suppliers and regions.
- Monitoring regulatory changes globally (REACH, RoHS, California Proposition 65, Conflict Minerals, Waste Directives ELV, RRR, etc.)
- Continuous involvement in team interactions, Global meetings, answering all supplier queries related to material and product compliance process via mail, PowerPoint presentation and WebEx meetings and prioritizing all supplier or customer requests.
- Execution of internal quality check, maintaining error log and root cause analysis with OTD reports.
- Tracking and Analysis of SVHC substance for REACH Activity, conflict minerals, majority involvement in interacting with suppliers to get the regulatory information, being involved in supply chain management activities.

EDUCATION

Bachelor of Engineering at Visvesvaraya Technological University (VTU) Belagavi -2019

SKILLS

- ITGC Audit & SOX Compliance
- Access Management Testing (Provisioning, De-provisioning, Privileged Access, SoD)
- Change Management Control Testing
- Backup & Recovery Controls Testing

- SOC Report Review
 - Control Documentation & Reporting
 - Audit Workpaper Preparation
 - Product Compliance & Certification Handling
-

PERSONAL DETAILS

- Date of Birth: 25/02/1996
- Languages: English, Kannada & Telugu