



SHARATH SANIL

Governance Risk and Compliance

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A dynamic and dedicated Governance Risk & Compliance professional, Sharath Sanil, aspires to bring his extensive 9+ years of expertise in risk and compliance assurance, third-party risk management, and cyber security. His passion for safeguarding organizational assets and ensuring operational resilience aligns with the firm's commitment to excellence in Third party Risk management. Sharath's proven track record in managing complex vendor relationships and driving compliance with international regulatory standards positions him as an asset to any team focused on vendor risk and information security governance.

PROFESSIONAL SUMMARY

- Over 9+ years of experience in Governance, Risk & Compliance with leading firms like HSBC, CBA, EY & PwC
- Expertise in managing Vendor Risk, conducting 150+ on-site assessments across various regions including US, Australia, APAC, and Europe.
- Proficient in Third Party Risk Management, Regulatory Compliance, Cloud Security, Business Continuity, Risk & Compliance, Technology & Operational Risk, and Governance.
- Strong background in Technology control frameworks and standards such as ISO, COBIT, NIST, PCIDSS, NIST 800-53, GDPR, BAFin, MAS, AUSTRAC, APRA and other Regulatory standards and requirements.
- Successful at cultivating client relationships, serving as a manager and solutions provider, and securing long-term business engagements.
- Led teams and mentored junior members, contributing to the design and implementation of controls, process maps, and enterprise risk programs.
- Proficient in English enabling effective communication with diverse teams and stakeholders.

WORK EXPERIENCE

Risk & Control Manager

HSBC India

Dec 2022 - Present

Workdone:

- Monitoring of key risks and controls, and develop reporting for operations, control and business leaders, and Enterprise Risk Programs such as Risk Control Self-Assessment (RCSA) or Risk Appetite.
- Contribute to the design and implementation of controls and process maps.
- Ensure Compliance and Operational Risk issues and incidents are identified & managed.
- Managing and leading engagement teams, monitoring and mentoring junior team members.

Senior Risk Analyst - L1 Manager

Commonwealth Bank of Australia (CBA)

Nov 2020 - Nov 2022

Workdone:

- Third-Party Security Risk in delivering the third-party security risk program within the Bank Business.
- Effectively perform third-party security reviews and ensure quality and timely execution.
- Interact with all levels of management within the Bank while performing third-party security reviews of service providers across all of the Banks markets.
- Managing a register of third-party security risks to ensure that deficiencies are mitigated.
- Planning activities related to development of audit program, and execution of internal audits and IT control assessments in the areas such as Cyber security, IT strategy and governance, IT operations, business continuity and disaster recovery, network and infrastructure security, cloud and third party risk, programs and projects, General Information Technology Controls (GITCs) and application controls, and regulatory/compliance requirements.
- Participate in the communication of audit report conclusions, including the follow up of the reporting progress on the corrective actions.
- Able to lead and execute risk-based IT-related internal audits and/or risk and control assessments, leveraging IT governance and control frameworks such as COBIT, NIST CSF, PCI, NIST 800-53, and ITIL and Regulatory standards.
- Responsible for executing client related engagements in the areas of governance, risk & compliance (GRC), Vendor audits, process reviews, standard operating procedures & enterprise risk management.
- Monitoring of key risks and controls, and develop reporting for operations, control and business leaders, and Enterprise Risk Programs such as Risk Control Self-Assessment (RCSA) or Risk Appetite.
- Contribute to the design and implementation of controls and process maps.
- Managing and leading engagement teams, monitoring and mentoring junior team members.

Consultant - Technology Risk

EY India

Aug 2018 - Jan 2020

SOFT SKILLS

Communication
Leadership
Teamwork
Problem-solving

CORE COMPETENCIES

Vendor Relationship Management
Third Party Risk Management
Stakeholder Management
Regulatory Compliance
Operational Resilience

EDUCATION

Bachelor's Degree in Engineering (B.E.)

University of Mumbai

Undergraduate Degree in Engineering (DPE)

Agnel Technical Polytechnic College

CISA (In-flight)
ISACA

LANGUAGES

English, Hindi, Tulu

HOBBIES

Volunteering for cybersecurity awareness programs (shows commitment to security and community service),
Strategic board games (demonstrates analytical and critical thinking)

Workdone:

- Performing risk/security assessments of Suppliers and Third Party relationships for Investment Banks to identify validate and remediate risks.
- This includes performing interviews, document design assessments and walkthroughs of Key Controls.
- Subject matter expert on Third Party and Outsourcing risk management.
- Track Open issues related to TPRM framework, Prepare MIS/Data as required by management and regulators.
- Preparing Management and Board materials on Third Party and Outsourcing risk.
- Managing the regulatory deliverables required from the MAS outsourcing guidelines (Outsourcing Register, periodic reviews on outsourcing relationships, etc.)
- Identifying outsourcing related issues, escalate them to local outsourcing committees, manage their closure and improve risk management framework.
- Led a full range of assurance tasks including planning, testing, reviewing and reporting stages on large and complex client engagements in the areas of ITGCs, and/or SOC1/SOC2/SOC3, PCIDSS, auditing of internal controls.
- Assist in the development of the Audit strategy for the Information Systems Audit Department, and continuously monitor its effectiveness to be aligned with the long term objectives.
- Ability to build strong business relationships with teammates and stakeholders firm wide to understand impact of the Program requirements based on the business and divisional initiatives.

Consultant -Technology Risk

PwC India

Jun 2017 - Jul 2018

Workdone:

- Lead multiple audit engagements in the delivery of third-party risk assessment services, which include, but are not limited to, assessment execution, stakeholder management, risk reporting and process optimization, leveraging available tools.
- Plan and schedule risk assessments for third parties / suppliers / vendors as per the Business requirements, monitor progress periodically and resolve issues between third parties and business units.
- Advise and assist clients in developing their assessment methodology, such as risk tiering methodology, risk assessment process flows, risk assessment questionnaires, and reports.
- Partner with the client teams in designing and implementing TPRM programs including technology enablement as necessary.
- Conduct/Lead IT audits ITGC reviews of systems, applications and IT processes including: Pre/Post- implementation reviews of system implementations or enhancements, Cyber security reviews (e.g. network, operating system and data center), IT Landscape/Baseline Assessment, Business Application Reviews.
- Responsible for leading ISO 27001/ NIST based Information Security Management System implementation, Business Continuity Planning, IT Disaster Recovery planning and sustenance based projects.

Consultant - Technology Risk

Deloitte India (On-Contract)

May 2016 - May 2017

Workdone:

- Responsible for assessing third party cyber during the onboarding and contracting processes with new businesses.
- Responsible for assessing third party cyber risk on an ongoing basis for existing suppliers using a risk based approach.
- Validating compliance as per Third party risk management framework with Business units viz. Risk assessments, reviews, ensure availability of mandatory clauses in contracts.
- Execute audits/ ITGC reviews (plan, perform fieldwork, prepare draft report and carry-out exit meetings) of Group's operations to assess IT controls, operational efficiencies and compliance with all policies, procedures and regulations, both at Corporate and Entities within agreed timelines.
- Perform day-to-day responsibilities of the Third Party Risk Management (TPRM) program, including, but not limited to intake and handling of requests for new third parties, gathering documentation associated with due diligence and on boarding tasks, and maintaining the TPRM database.
- Responsible to assist client in review / implement Information Security controls in areas as mentioned, but not limited to: Change management, Incident management, Backup management, User identity and access management, Antivirus management, SLA performance and monitoring, Media handling & Exchange of information, Physical and environmental Security, and Media & Information Handling.

Technical Executive

FIS

Jan 2015 - May 2016

Workdone:

- Designing, implementing, and managing the third-party risk management framework for the Bank.
- Partnering with the business to implement business continuity planning, business incident management, and service resilience.
- Supporting scenario testing of the operational resilience framework.
- Tracking vulnerabilities to operational resilience and driving their resolution

➤ PROJECTS

- **Process Improvement** - Supported projects aimed at optimizing processes, implementing Lean methodologies, and driving operational improvements. Innovative business solutions aligned with clients' strategic objectives. and pursue new business opportunities, establish client relationships, and secure new projects. Closely worked with clients, internal teams, and stakeholders to ensure successful project delivery. Expertise in Lean (Six Sigma) methodologies and Kaizen to support the development of client capabilities. Project progress, manage risks, and provide timely updates to stakeholders.

➤ CERTIFICATIONS

AWS Security

CISA (In-flight)

ISO 27001 LA
ISO 27032 Cyber Security
ITIL

> ACHIEVEMENTS

- Successfully managed and led the implementation of third-party risk management frameworks at Commonwealth Bank, EY, PwC and Deloitte contributing to a significant reduction in vendor-related risks.
- Developed and executed a comprehensive IT audit plan at EY India, leading to improved regulatory compliance and strengthened internal controls.
- Instrumental in harmonizing IT risk assessment frameworks post-merger, effectively merging three corporations onto one information security system.

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