

Kavya Agarwal

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Risk Consultant | ISO 27001:2013 Lead Auditor | 6+ Years of Experience

Professional Skills

SOX 404 Audit | Internal Audit | External Audit | IT General Controls Testing (ITGC) | IT Application Controls Testing (ITAC) | IPE Testing (Key Reports) | SOC Reporting & Reviews | InfoSec/Cybersecurity Audits | Operational Audits | SOX Onboarding & Readiness | Lead Global Teams | Ownership of work | Team Management (Planning, Scoping, Budgeting, Resource Management, Execution, Reviewing)

Professional Experience

KPMG Global Services, Gurgaon

➤ Assistant Manager

July 2023 – Present

Sectors worked on – Information Technology companies, Manufacturing, Bank, Realty, Insurance.

- Leading a team of 10 from India in collaboration with US based team for a SOX compliance engagement with a portfolio of more than 25,000 hours, working on SOX, Infosec and Operational Audits.
- Leading and managing teams in evaluating and performing review of the design and operating effectiveness of technology controls (GITCs and ITACs) pertaining to Client's Internal Controls Over Financial Reporting.
- Being an essential part of planning activities related to SOX 404, risk, controls, compliance and internal audit client engagements in the following areas: IT Risk and Controls, Risk Assessment, IT Internal Audit, IT strategy and governance, emerging technology and digital solutions, automation and regulatory/compliance requirements.
- Managing projects using project management tools/technologies like Jira, Audit Board & Workviva (WDesk).
- Consistently delivering quality client services by taking ownership of the project area assigned to us.
- Leading kick-off meetings, status, and closing meetings with engagement teams.
- Effectively managing engagement economics and operational aspects including resourcing and reporting.
- Demonstrating strong project management abilities through effective communication and management of stakeholder expectations across all engagements within the portfolio being led.
- Effectively working in reducing cost and improving profitability by ensuring the most appropriate staffing mix.
- Ability and experience in leading global teams conducting SOX and IT Internal audits.
- Ability to effectively lead multiple teams under volatile situations.

Ernst & Young Global Delivery Services, Gurgaon

➤ Consultant

October 2022 – July 2023

➤ Associate Consultant

July 2021 – September 2022

Sectors worked on – Mobility, Manufacturing, Logistics, Pharmaceutical and Information Technology.

- Leading a team of 5 from India in collaboration with US based team for a SOX compliance engagement with more than 10,000 hours, working on platform, non-platform and Oracle services.
- Part of the team responsible for implementing new technologies (like microservices) within IT Audit.
- Working on a new form of audit procedure to provide upto 99% reliance on IT Audit using Analytics.
- Delegating and Reviewing the audit procedures performed for ITGC, ITAC, Key Reports, CJIs and Analytics to deliver best quality work.
- Responsible for communicating directly with client to obtain information for audit procedures via walkthroughs, follow-ups and direct interactions on client provided device.
- Deals with leading multiple engagements throughout the audit period.
- Trained more than 20 campus hires on IT Audit procedures to get them on floor within a month of joining.
- Experience in team management, project management metrics like planning, budgeting and resourcing.

Genpact Enterprise Risk Consulting, Gurgaon

➤ **Consultant**

February 2020 – June 2021

Sectors worked on – Banking, Financial Services and Insurance (BFSI) and Health Care Insurance

- Executed the Automated business process controls / Application controls as part of providing operational risk management services during Internal Audit of two of the Fortune 500 companies including world's fourth-largest US based bank and an American multinational healthcare insurance services company.
- Led IT COSO ITAC team, including direct interaction with client, process owners, control owners, test owners and audit heads.
- Experience in mapping and risk analysis of controls in the client IT environment in accordance with the COSO framework.
- Worked on Audit based tools like Audit Board and SOX Hub.
- Helped in preparing training material for GERC employees on IT General Controls (ITGC) testing.

Ernst & Young Global Delivery Services, Gurgaon

➤ **Risk Analyst**

August 2018 – February 2020

Sectors worked on - IT Services, Agribusiness, Healthcare, Pharmaceutical, Print Media, Retail

- Performed IT general controls testing at design and operating effectiveness level, as part of various Financial
- Audit with IT integration (FAIT), Statement on Standards for Attestation Engagements No. 18 (SSAE 18) and Sarbanes-Oxley (SOX 404) engagements for a number of leading US and UK based clients.
- Performed Logical Access, Change Management & IT Operations monitoring to ensure SOX 404 compliance, including remediation of issues & observations where necessary.
- Performed IT Infrastructure Reviews, Privileges User Controls for OS (Windows, UNIX, Mainframe) & DB (SQL)
- Tested IPEs obtained across various applications for completeness & accuracy
- Prepared 107GL Forms for various SOC1 & SOC2 Reports.

Quasix Solutions Pvt. Ltd., New Delhi

➤ **Associate**

January 2018 – August 2018

- Performed User Access Management, Change Management and Network Operations monitoring to ensure SOX 404 compliance for clients preparing for public filing.

Education

GLA University, Mathura, India

2014 - 2018

Bachelor of Technology, Computer Science & Engineering (7.75/10)

St. Patrick's Junior College, Agra, India

Class XII - ISC (85.4%)

2014

Class X - ICSE (85.14%)

2012

Certification

➤ ISMS ISO 27001:2013 Lead Auditor

May 2021

➤ **Tableau Analyst** Badge from Tableau e-learning website

May 2020

Achievements

- Won **6 On-Site Client Recognition Awards & 3 Spot Awards** within a span of a year Jan - Dec 2022 in EY.
- Won **On-site Client Recognition Award** in EY's 2019 Q4.
- Won **Extra Miler Spot Award** in EY's 2019 Q2.

Additional Information

- Nationality** : Indian
- Languages** : English, Hindi (Native)
- Software Skills** : Microsoft Office (Excel, PowerPoint & Word), Tableau
- Technical Skills** : ERP/HRM/CRM Solutions (Oracle, SAP, Workday, Salesforce, NetSuite, Calypso),
OS & Database Platforms (Windows, Linux, Oracle & SQL),
Ticketing tools (JIRA & ServiceNow)
- Personal Skills** : Team Player, Diligent Worker, Top Performer, Good Communicator, Enthusiastic Learner
- Interests** : Gardening, Photography, Travel