



INDIAN INSTITUTE OF BANKING & FINANCE
Professional Development Centre – Eastern Zone (PDC-EZ), Kolkata

VIRTUAL OPEN TRAINING PROGRAMME ON
“BANKING COMPLIANCE”

From 19th – 21st June, 2023

Individual candidates may also Participate in the Programme

Last Date to Apply: 16.06.2023

IIBF has emerged as a premier institute on banking and finance education. It is the largest institute of its kind in the world and is working with a Mission to “develop professionally qualified & competent bankers and finance professionals primarily through a process of education, training, examination, consultancy/ counselling and continuing professional development programmes”.

BACKGROUND OF THE PROGRAMME: -

Reserve Bank of India (RBI) has issued comprehensive guidelines on Compliance Function in Banks and directed that implementation of the guidelines would be subjected to comprehensive review by the RBI during the Annual Risk Based Supervision (RBS).

In 2015, the RBI observed that certain supervisory concerns continue to recur, necessitating a more effective Compliance Regime in Banks. RBI then advised that greater oversight is required in the areas of Risk Based Supervision, Independence of Compliance Function, Review of Compliance Function, Manpower planning of Compliance Departments, Compliance of Monitorable Action Plan / Risk Mitigation Plan, Compliance Testing, Submission of Compliance Reports and promoting a Compliance Culture.

Taking a note of RBI guidelines, IIBF has designed a Comprehensive Programme on COMPLIANCE for Banks.

TRAINING METHODOLOGY: Online Classes through Zoom App. Delivery of Sessions by Lecture, Case Study and Sharing of Experiences by Subject Experts / Practicing Professionals

THE PROGRAMME CONTENT: -

The programme will inter-alia cover the latest aspects on Banking Compliance as mentioned below: -

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| 1. <u>Role of Regulators</u> in Banking with reference to: - RBI; SEBI; MoF – DFS - GoI; NABARD; SIDBI; NHB; FIMDA – FBIL (Financial Benchmark of India Ltd); BCSBI; AMPI (PFRDA: IRDAI: TRAI: Not regulator for Banks. However, issues relevant to Bankers will be covered). | 2. <u>Laws relating to Bankers’</u> with important provisions of: - <ul style="list-style-type: none">➤ RBI Act, 1934➤ Banking Regulation Act, 1949➤ N I Act➤ FEMA / FEDAI➤ IBA➤ Cyber Crimes and IT Security |
| 3. <u>Customer Service – Related Compliances:</u> - <ul style="list-style-type: none">➤ Role of Banking Ombudsman (Including Internal Ombudsman)➤ Provisions of Consumer Protection Act➤ Right to Information Act.➤ BCSBI➤ On-line Customer Grievances Redressal mechanism Banks. | 4. <u>Anti-Money Laundering / KYC – Compliance:</u> - <ul style="list-style-type: none">➤ KYC; EDD; PMLA; FATCA; FIU; Red Flag Indicators; AML returns |
| 5. <u>Asset & Liability Products - Adherence to regulatory guidelines:</u> - ALCO functions; Basel III compliance | 6. <u>Loans / Advances - Statutory and Regulatory Compliances:</u> - <ul style="list-style-type: none">➤ Exposure norms; Priority Sector norms; IRAC norms |
| 7. <u>Compliances on Exports and Imports:</u> - <ul style="list-style-type: none">➤ RBI / DGFT / FEMA Regulations;➤ Guidelines on NRI Deposits and Remittances;➤ ODI/ FDI; Foreign Currency Accounts;➤ Remittance facilities for Residents;➤ Foreign Contribution Regulation Act. | 8. <u>Statutory Regulations covering:</u> - <ul style="list-style-type: none">➤ Banc-assurance;➤ Mutual Funds;➤ SEBI Provisions of Companies Act, 2013. |
| 9. <u>Compliance Architecture in Banks:</u> - <ul style="list-style-type: none">➤ Compliance: Definition, Objectives, Compliance communication, Independence of Compliance Function, Co-ordination with other business verticals.➤ Ownership of Compliance, promoting Compliance Culture; Ethical behaviour - practices –Ethical Leadership.➤ Compliance - Corporate Governance – Transparencies. | 10. <u>RBS – SPARC – Objectives and Concept:</u> - <ul style="list-style-type: none">➤ Dealing and Cooperation required to be extended by bankers to RBI, RBS team during the conduct of RBS.➤ Tranche I / II / III - Significance, formats and furnishing information therein.➤ RBS templates for Assessment of Compliance;➤ Compliance with RBS / SPARC – Submission of Reports to RBI taking CCO / Compliance Department in the loop. |

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| <ul style="list-style-type: none"> ➤ Chief Compliance Officer (CCO) - Roles including Authority, Independence, Role-Restrictions and Conflict of Interest – Appointment - Removal; Structure and Staffing pattern in Compliance Department. ➤ Responsibilities of Board / Senior Management of Bank to ensure compliance. ➤ Compliance Monitoring: - Off-site Test Checking; On-site monitoring Test Checking; Escalation matrix – Reporting; Managing and mitigating Risk of Non Compliance; Compliance Test Checking / Compliance Reports from Zones. | <ul style="list-style-type: none"> ➤ Compliance: - Breaches, Losses, Penalty ... |
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TARGET GROUP: This programme is intended for Bank Officers – Scale I to IV, first time Branch Managers, Officials given charge of Large Branches. Programme is suitable for existing as well as newly appointed branch heads of Rural/SU/Urban and Metro branches (General and Specialized Branches).

TRAINING FEES: Rs. 6,000/- per participant plus GST @ 18% aggregating to Rs. 7,080/-.

DURATION: 3 Days, from 19.06.2023 to 21.06.2023, from 10.00 AM to 5.30 PM each day . (Non-Residential)

CONTACT DETAILS:

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CORRESPONDENCE ADDRESS: Indian Institute of Banking & Finance, PDC-EZ, Avani Heights, 2nd Floor, 59A, Jawaharlal Nehru Road, Near Ravindra Sadan Metro Station, Kolkata – 700020.

Eminent Faculties from the Industry with expertise knowledge and experience on Compliance Portfolio will deliver / interact during the live virtual sessions



INDIAN INSTITUTE OF BANKING & FINANCE

Professional Development Centre – Eastern Zone, Kolkata

NOMINATION FORM

Programme Title: BANKING COMPLIANCE

Mode of Programme: Virtual Mode Date: 19-21 June 2023

LAST DATE TO APPLY: 16th June, 2023

Details of Nomination (to be filled by the Banks/FIs/Other Organizations):

| Sl. No. | Name of Participant | Designation | Branch/ Office | Contact No. | E-mail Id. |
|---------|---------------------|-------------|----------------|-------------|------------|
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |

Fees Paid Rs. _____ UTR/Transaction No. _____ Date of Payment: _____

Name of Sponsoring Bank / FI: _____ GSTN of Bank/FI: _____

Address of the Bank/FI: _____ Phone/Mob. No. _____ E-mail id.: _____

FEE : Rs. 6,000/- per participant plus GST @ 18% i.e. Rs.1080/- aggregating to Rs. 7,080/- (In case of TDS deduction, please send us the TDS certificate).

Programme fees may be remitted to the credit of Institute's Bank Account as below:

- ✓ **Name of Account Holder:** Indian Institute of Banking & Finance
- ✓ **Name of the Bank Branch:** State Bank of India, Vidya Vihar (West), Mumbai.
- ✓ **Savings Account No.** 37067835940 **IFSC:** SBIN0011710
- ✓ **PAN No.** AAATT3309D; **GST No.** 19AAATT3309D2ZO, **State** - West Bengal

CORRESPONDENCE ADDRESS : Indian Institute of Banking & Finance, PDC-EZ, Avani Heights, 2nd Fl., 59A, Jawaharlal Nehru Road, Nr. Ravindra Sadan Metro Station, Kolkata – 700020



INDIAN INSTITUTE OF BANKING & FINANCE

Professional Development Centre – Eastern Zone, Kolkata

NOMINATION FORM FOR SELF-SPONSORED CANDIDATES

LAST DATE TO APPLY: 16th June, 2023

Programme Title BANKING COMPLIANCE

Mode of Programme: Virtual Mode Date: 19-21 June 2023

| Sl. No | Name (Mr/Mrs/Ms) | Designation | Contact No. (Mobile) | E-mail (PERSONAL) | Address (PERSONAL) | UTR NUMBER |
|--------|------------------|-------------|-------------------------|----------------------|-----------------------|------------|
| 1 | | | | | | |

Name of Bank/ FI employed with: _____

Address of Bank/ FI employed with: _____

FEE : Rs. 6,000/- per participant plus GST @ 18% i.e. Rs.1080/-aggregating to Rs. 7,080/- (In case of TDS deduction, please send us the TDS certificate).

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CONTACT DETAILS:

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