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Learning Sessions

COMPLIANCE PROFESSIONAL REVISED

Compliance Professional Revised

CPR

Module-wise chapters, weightage & key topics

10

MODULES

65

CHAPTERS

100

MARKS

21

UPDATED TOPICS

Crash course • PDFs • One-liners • Video classes • Online tests

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Exam snapshot

COMPLIANCE PROFESSIONAL REVISED (CPR)

Paper pattern

- ✓ **100 questions** · 1 mark each · **100 marks**
- ✓ Duration **2 hours**, conducted **online**
- ✓ **No negative marking**
- ✓ Pass: **50%** aggregate (with module minimums)
- ✓ Mix of conceptual, applied & numerical questions

How to read this deck

- ✓ Each module shows its **indicative weightage**
- ✓ Every chapter lists **key topics** + chapter weightage
- ✓ **UPDATED** = topic with a recent regulatory change — revise latest figures
- ✓ Weightage is **indicative** (content volume + past-paper trend), not officially published by IIBF

Live + Recorded

Video classes

Exam PDFs

e-notes & one-liners

Mock tests

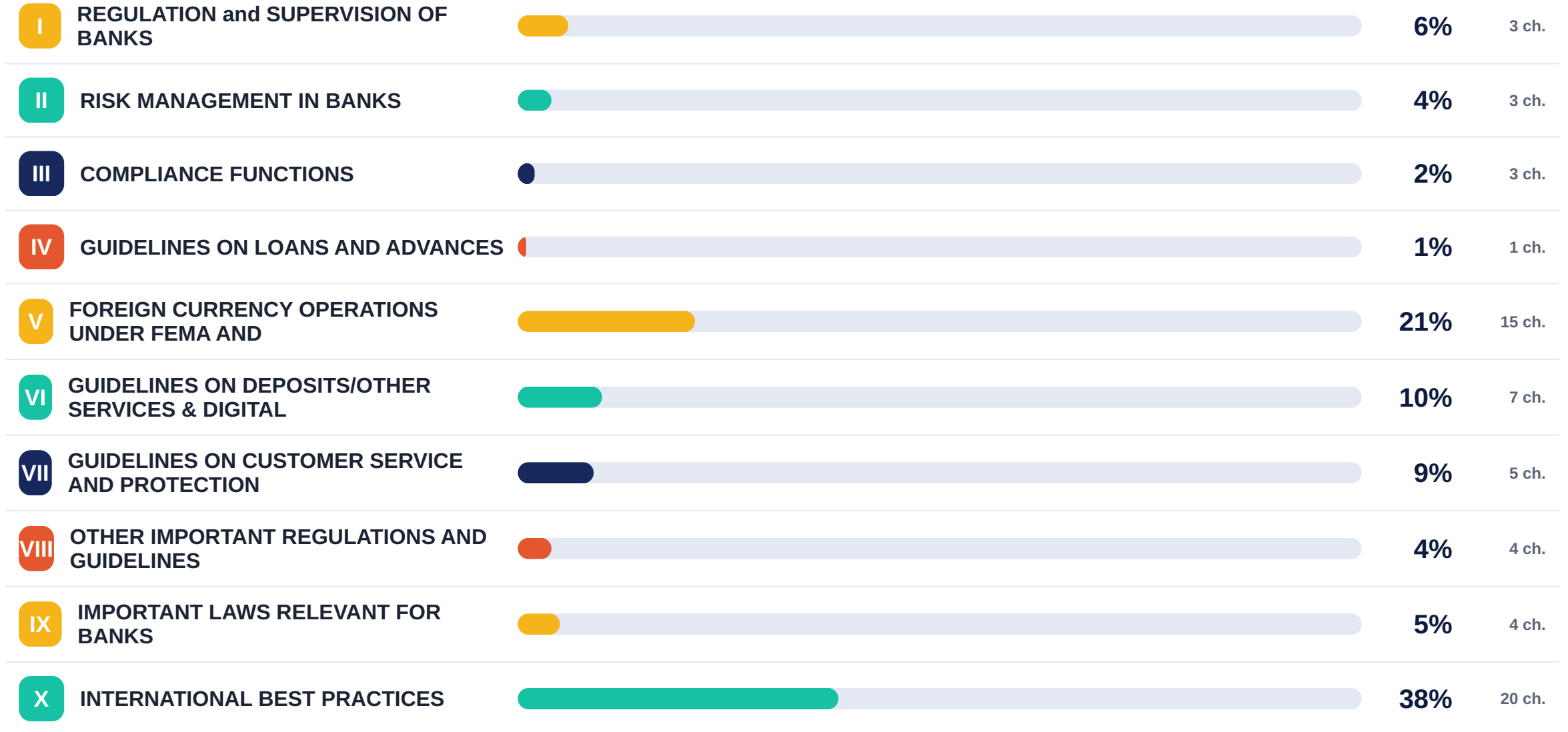
Latest IIBF pattern

Crash course

Fast-track revision

Module-wise weightage

WHERE THE MARKS SIT



Indicative distribution of 100 marks across the modules. Prioritise **Module X — INTERNATIONAL BEST PRACTICES**, the single largest scorer.

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Module I — REGULATION and SUPERVISION OF BANKS

6%

MODULE WEIGHT

Unit 1: Basel III Capital Adequacy UPDATED

1

Basel III Capital Adequacy, Basel Committee on Banking Supervision, the Concordat, Objectives/Aims of the Basel III measures, Transition from Basel I to Basel III, Guidelines on Minimum Capital Requirement, Capital Charge for - Credit Risk, Market Risk, and Operational Risk, Supervisory Review and Evaluation Process (SREP), Guidelines for the SREP of the RBI and the ICAAP of Banks, Market Discipline, Capital Conservation Buffer Framework, Leverage Ratio Framework, Countercyclical Capital Buffer Framework, Utilisation of Floating Provisions/Counter Cyclical Provisioning Buffer, Assets Liabilities Management(ALM)

2

MARKS

Unit 2: Risks and Risk Management in Banks UPDATED

2

Risks and Risk Management in Banks, Definition of Risk, Various types of Risks faced by Banks- Credit Risk, Market Risk, Operational, Risk etc, Risk Management Models, Risk Management Framework, Organizational Structure and Risk Management Committee, Risk Management Policy, Risk Identification, Measurement, Mitigation, Monitoring & Control, Role of Chief Risk Officer (CRO), Global Financial Crisis, Emerging Risks – Cyber security risk, Technology risk, Outsourcing Risk, Account, Aggregator Risk, ESG and Climate Risk

2

MARKS

Unit 3: Risk Based Supervision

3

Risk Based Supervision, Introduction & Background, Reserve Bank of India initiatives, Bank Supervision Process in India, Supervisory Approach, Features of an effective Bank Supervisory Framework, Data point reporting under Tranche I, II and III to RBI, Benefits of Risk Based Supervision, Supervisory Methods/Tools - Off-site supervision, On-site examination, Thematic, reviews, Supervisory process, Planned Supervisory Activities, Supervisory, Rating, Stress Testing, Migration of Reporting under Reserve Bank's Advanced Supervisory Monitoring, System (DAKSH)

2

MARKS

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Module II — RISK MANAGEMENT IN BANKS

4%
MODULE WEIGHT

4

Unit 1: Compliance

Compliance, Governance Process and Procedures, Evolution of Compliance in banks, Significance, Scope and Role of Compliance Functions, Compliance Principles and Policy, Compliance Risk, Compliance Building Blocks, Compliance Function Positioning, Co-ordination with Functional Departments, Resourcing of Compliance Functions, Dissemination, Advisory & Validation, Documents Vetting

2
MARKS

5

Unit 2: Compliance Governance Structure

Compliance Governance Structure, Corporate Governance, Appointment of Directors and Constitution of Committees of the Board, Role and Responsibility of the Board and Senior Management, Governance Organizational Structure, Three Lines of Defense, Levels, Internal Controls and its Importance

1
MARKS

6

Unit 3: Framework for Identification of Compliance Issues and Compliance Risks

Framework for Identification of Compliance Issues and Compliance Risks, Compliance Risk, Inherent Risk and Control Risk, Compliance Issues, Testing, Monitoring, Regulatory Returns Validation, Compliance Programme, Reporting Framework and Monitoring Compliance, Risks of Non-Compliance, Role of Audit and Inspection, Risk Based Internal Audit (RBIA), Long Form Audit Report (LFAR), Roles and Responsibilities of Head of Internal Audit (HIA)

1
MARKS



Module III — COMPLIANCE FUNCTIONS

2%

MODULE WEIGHT

Unit 4: Compliance Culture

7 Compliance Culture, Ethics and GRC Framework, What is good Compliance, What is compliance Culture, How to create compliance culture across the organization, Governance, Risk and Compliance - GRC Framework, Benefits of an Integrated GRC approach, Whistle-Blower Mechanism, The components of a whistle-blower policy, Reasons for Compliance Failures, Ethical Foundation of Banking, Ethical Foundation of Being a Professional, Technical and soft skills required in a Compliance role **2** MARKS

8 **Banking Ethics in Global Context**
Enron and Its Lesson **1** MARKS

9 **Indian Case Study**
A Bank that went bust **1** MARKS

IV Module IV — GUIDELINES ON LOANS AND ADVANCES

1%
MODULE WEIGHT

Unit 1: Fundamental Provisions and Overview of FEMA **UPDATED**

10 Fundamental Provisions and Overview of FEMA, Definitions, Sending foreign exchange out of India, Economic Sanctions, Bringing foreign exchange into India, Investments outside India, Norms to get investments from outside country, Transactions covered by FEMA Regulations, Compounding provisions, General Operational Guidelines for AD Category - I Banks, Settlement system under Asian Clearing Union (ACU) Mechanism, International Trade Settlement in Indian Rupees (INR), Double Tax Avoidance treaties, Safe Havens

1
MARKS

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V

Module V — FOREIGN CURRENCY OPERATIONS UNDER FEMA AND · 1/3

21%
MODULE WEIGHT

Unit 2: Export of Goods and Services

11

Export of Goods and Services, General Guidelines for Exports, Setting up of offices abroad and acquisition of immovable property for overseas, offices, Receipt of advance payments against exports, Consignment exports, Export of currency, Forfaiting, Exports to Neighboring Countries by Road, Rail or River, Issue of Guarantees by an Authorised Dealer, Operational Guidelines for AD Category - I Banks, Extension of Time, Write Off of Export Bills, 'Netting Off' of Export Receivables Against Import Payments – Units in Special, Economic Zones (SEZs), Refund of Export Proceeds, Exporters' Caution List, EDPMS/IDPMS, Caution/De-caution Listing of Exporters

2

MARKS

Unit 3: Import of Goods and Services UPDATED

12

Import of Goods and Services, General guidelines, Time limit for settlement, Import of Foreign Exchange/ Indian Rupees, Third Party payment, Issue of Guarantees by an AD, Advance remittance, Guarantees/Letters of Credit, Guarantees Governed by regulations issued under FEMA (Guarantees), Regulations, Precautions in case of Letters of Credit, EDPMS/IDPMS, Merchanting Trade Transactions (MTT)

1

MARKS

Unit 4: External Commercial Borrowings UPDATED

13

External Commercial Borrowings, Trade Credits and Structured Obligations, Methods of Accessing Funds, Routes for Raising ECB, Parking of ECB Proceeds, Conversion of ECB to Equity, Foreign Currency bonds, Refinancing of ECB, Powers Delegated to AD CAT I Branches, Framework for issuance of Rupee Denominated Bonds Overseas, Non-resident Guarantee for Domestic Fund Based and Non-fund-based Facilities, Facility of credit enhancement, ECB under erstwhile USD 5 Million

1

MARKS

Unit 5: Borrowing and Lending in Indian Rupee between Persons Resident in India and

14

Borrowing and Lending in Indian Rupee between Persons Resident in India and, NRIs/PIOs/Persons Outside India, Routes for Trade Credit, Guarantee, Borrowing and Lending in Foreign Currency by an Authorised Dealer, Borrowing and Lending in Foreign Currency by persons other than Authorised, Dealer

1

MARKS

Unit 6: Foreign Investment in India

15

Foreign Investment in India, Key Terms, Foreign Direct Investment, Prohibited sectors/ persons, Transfer of equity instruments of an Indian company by or to a person resident, outside India, Portfolio Investment Scheme (PIS), Investment by Foreign Portfolio Investors (FPI) in Government Securities, Medium Term Framework (MTF), Foreign Investment in Tier I and Tier II Instruments Issued by Banks in India

1

MARKS



Module V — FOREIGN CURRENCY OPERATIONS UNDER FEMA AND - 2/3

21%

MODULE WEIGHT

16	Unit 7: Establishment of Offices in India Establishment of Offices in India, General criteria, Branch Office, Liaison Office, Project Office, Opening of bank account, Annual Activity Certificate, Remittance of profit/surplus, Place of business in India by foreign law firms	1 MARKS
17	Unit 8: Acquisition and Transfer of Immovable Property under FEMA UPDATED Acquisition and Transfer of Immovable Property under FEMA, Acquisition/ transfer by a Non- Resident Indian (NRI), Joint acquisition by the spouse of an NRI or an OCI, Acquisition by a Long-Term Visa holder, By Foreign Embassies/ Diplomats/ Consulate Generals, By person resident outside India for carrying on a permitted activity, Repatriation of sale proceeds of immovable property, Prohibition	1 MARKS
18	Unit 9: Overseas Investments Overseas Investments, Definitions, General Provisions, Direct Investments (Financial Commitments) Abroad, Operational Instructions to Authorised Dealer Banks, General Procedural Instructions, Other Regulatory Investments, Investment in Entities from FATF Non-compliant Jurisdictions	1 MARKS
19	Unit 10: Money Changing Activities Money Changing Activities	1 MARKS
20	Money Changing Activities Bringing in and taking out of Foreign Exchange, Export/Disposal of Surplus Foreign Currency notes/ Travelers' Cheques, Write-off of Fake Foreign Currency Notes, Registers and Books of Account of Money-Changing Business, Opening of, Foreign Currency Accounts by AMCs, Opening of Nostro Account by Authorised Dealers Category-II, Guidelines for Appointment of Agents/ Franchisees by Authorized Dealer, Category – I Banks, Authorized Dealers Category – II and FFCMs	1 MARKS



Module V — FOREIGN CURRENCY OPERATIONS UNDER FEMA AND - 3/3

21%
MODULE WEIGHT

Unit 11: Remittance of Assets out of India UPDATED

21

Remittance of Assets out of India, Remittance Facilities to Residents, Non-Residents and Persons of Indian Origin, and Insurance from Outside India, a), Remittance of Assets, Remittances by individuals not being NRIs/ PIOs, Re-Remittances by NRIs/ PIOs, Remittances by companies/ entities, Remittances/ winding up proceeds of branch/ office, Remittance of assets requiring RBI approval, b), Miscellaneous Remittances from India - Facilities for Residents, Release of Foreign Exchange by Authorised Dealer Category II, Remittance Facilities for Resident Individuals, Remittance Facilities for others, Remittances for making tour arrangements by agents/facilities for tour, operators, Liberalised Remittance Scheme of USD 250000 for Resident, Individuals, Remittance Facilities for Non-resident Indians/Persons of Indian, Origin/ Foreign Nationals, Operational Instructions to Authorised, Persons, Indo-Nepal Remittance Facility, c), Insurance from Outside India, General/ Health Insurance policies from Insurers outside India, General/ Health Insurance from insurers in India, Settlement of claims in foreign currency, Re-Insurance, Life Insurance from insurers in India

3
MARKS

Unit 12: Rupee/ Foreign Currency Accounts of Residents/Non-residents

22

Rupee/ Foreign Currency Accounts of Residents/Non-residents, Deposits and Accounts for Non-residents, Definitions, Exemptions, Deposit Accounts for NRIs, Escrow Accounts, Acceptance of deposit by a company in India from NRIs/PIOs on, Repatriation Basis, Other Accounts/Deposits, Nomination, Responsibility of Authorised Dealers Maintaining Foreign Currency, Accounts, Foreign Currency Deposits and Accounts for Residents in India and Overseas, Definition, Foreign Currency Accounts held in India, Foreign Currency Accounts held Outside India, Salient aspects of Foreign Currency Accounts, Rules framed under the FCRA Act and Reporting by Banks, Foreign Currency Accounts

2
MARKS

Unit 13: Risk Management and Inter-Bank Dealing

23

Risk Management and Inter-Bank Dealing, Definitions, Facilities for Persons Resident in India other than AD Category – I, Management of Banks' Assets-Liabilities, Hedging of gold prices, Hedging of Capital, Participation in the Currency Futures Market in India, Participation in the Exchange Traded Currency options Market in India, Hedging of Commodity Price Risk and Freight Risk in Overseas Markets, Exchange of variation margin (VM) for non-centrally cleared derivatives, Credit Default Swaps (CDS) Guidelines, Rupee Vostro Accounts of Non-resident Exchange Houses, Operations in the Rupee Vostro Accounts, Permitted transactions, Rupee Drawing Arrangement Procedures and Collateral Cover, Miscellaneous provisions, Reports/Statements, Annual Review, Accounts of Non-residents Banks, General Provisions, Rupee Accounts of Non-resident Banks, Responsibilities of Paying and Receiving Banks, Refund of Rupee Remittances, Overdrafts/Loans to Overseas Branches/ Correspondents by AD – I, Inter-Bank Foreign Exchange dealings, Reports to The Reserve Bank

3
MARKS

Unit 14: Reporting requirements related to FEMA UPDATED

24

Reporting requirements related to FEMA, Money Transfer Service Scheme (MTSS), Rupee Drawing Arrangements (RDA), Liberalised Remittance Scheme, Establishment of liaison office (LO)/Branch Office (BO)/Project Office (PO), Foreign Investment, External Commercial Borrowing (ECB), Non-resident Foreign Accounts, Immovable Property, Overseas Direct Investment (ODI), Trade Exports, Trade Imports, Guarantees, Compounding, Reporting Guidelines for Foreign Investments in India

2
MARKS

Unit 15: International Financial Services Centres UPDATED

25

International Financial Services Centres, Regulations in IFSCs, Setting up of IFSC Banking Units (IBU) by Indian Banks, Permissible activities, Rupee derivatives, Remittances Under LRS, Operations of subsidiaries and branches of Indian banks and All India Financial, Institutions (AIFIs) in foreign jurisdictions and in International Financial Services, Centers (IFSCs)

1
MARKS

VI

Module VI — GUIDELINES ON DEPOSITS/OTHER SERVICES & DIGITAL · 1/2

10%
MODULE WEIGHT

Unit 1: Operational Aspects Deposit Accounts

UPDATED

26

Operational Aspects Deposit Accounts, Remittance Instruments, etc, Facilities in Savings Accounts and Senior Citizen accounts, Guidelines on Current Account opening, Term Deposit Account, Demand Drafts, Collection of Instruments, Cheque Truncation Scheme, Positive Pay Scheme, Clean Note Policy, Basic Savings Bank Deposit Account (BSBDA), Automated Teller Machine (ATM), Reconciliation of Transactions at ATMs Failure - Time Limit, Cassette - Swaps in ATMs, Deceased Constituents – Payment of Assets, Nomination Facilities, Cash Operations – As per Income Tax Act, Garnishee Order, Seizure etc. – as per court order, UDGAM RBI, Framework on Green Deposits, Other Government Deposit accounts like PPF, Sukanya Samridhi Yojana

3

MARKS

Unit 2: Call

27

Call, Notice, Term Money Markets and Money Market Instruments, Eligible Participants, Prudential limits, Reporting requirements, Interest Rate, Commercial Paper, Certificates of Deposit, Buyback of CDs, Non-Convertible Debentures (NCDs) of original or initial maturity up to one year, Issue of Long Term Bonds by Banks – Financing of Infrastructure and Affordable, Housing

1

MARKS

Unit 3: Interest Rates on Deposits

28

Interest Rates on Deposits, Definitions, Interest rate Framework, Interest rate on Domestic Deposits, Discretion - Interest on the Minimum Credit Balance in the Composite Cash Credit, Account of a Farmer, Penalty on Premature withdrawal of Term Deposit, Rupee Deposits of Non-residents, Foreign Currency Deposits, Prohibitions, Exemptions

1

MARKS

Unit 4: Agency Banking

29

Agency Banking, Appointment of Scheduled Private Sector Banks as Agency Banks, Disbursement of Government Pension, Conduct of Government Business – Commission, Relief/Savings Bonds, Collection of indirect taxes through ICEGATE payment, Sovereign Gold Bond (SGB) Scheme 2023-24, Floating Rate Savings Bonds, 2020 (Taxable), Cash & Currency Chest Management

1

MARKS

Unit 5: Other Financial Services by Banks

30

Other Financial Services by Banks, Forms of Business, Prudential Regulation for Banks' Investments, Conditions for Specific Financial Services, Disclosure of Commissions/ Remunerations, The Grievance Redressal Systems, Gold Monetisation Scheme, 2015, Safe Deposit Locker/Safe Custody Article Facility, Doorstep Banking (PSB Alliance Pvt. Ltd.)

1

MARKS

VI

Module VI — GUIDELINES ON DEPOSITS/OTHER SERVICES & DIGITAL
• 2/2

10%
MODULE WEIGHT

Unit 6: Electronic Remittances and Online/Offline Banking **UPDATED**

31

Electronic Remittances and Online/Offline Banking, National Electronic Funds Transfer (NEFT) System, Real Time Gross Settlement System (RTGS), Electronic Clearing Services / National Electronic Clearing Services, Immediate Payment Services, United Payment Interface, E-mandates for recurring transactions, Digital Payment Transactions – Streamlining QR Code infrastructure, Payment Frauds – Enhancing Public Awareness Campaigns, UPI-Pay Now Linkage for cross-border remittances – Pre-sanctioned credit lines, Online Banking, Mobile Banking, Neo-banking, Digital Banking Unit

2
MARKS

Unit 7: Cards and Prepaid Instruments **UPDATED**

32

Cards and Prepaid Instruments, Smart/Debit Card Business, Guidelines for issue of Debit Cards by Banks, Guidelines on issuance and Operation of Pre-paid Payment Instruments in India, Electronic Cards for Overdraft Accounts, Device based Tokenisation, Escrow Account with a Scheduled Commercial Bank, General Credit Cards, Kisan Credit Cards, Issuance of PPIs to Foreign Nationals / Non-Resident Indians (NRIs) visiting India, Levy of charges on forex prepaid cards/store value cards/travel cards, etc, FETERS – Cards: Monthly Reporting

1
MARKS

VII Module VII — GUIDELINES ON CUSTOMER SERVICE AND PROTECTION

9%
MODULE WEIGHT

Unit 1: Know Your Customer and Anti-Money Laundering **UPDATED**

33

Know Your Customer and Anti-Money Laundering, International Scenario, The Indian Scenario, Obligations under PMLA and PMLR, Customer – For KYC Purposes, Customer Acceptance Policy (CAP), Know your customer and Due Diligence, Customer Due Diligence for transactions in Virtual Currencies, Customer Identification Procedures, Risk Management, AML & Transaction Monitoring including Alert Management, Reports to be Furnished to FIU-Ind, Preservation of Records, FATF Recommendations, Trade Based Money Laundering

2
MARKS

Unit 2: Guidelines on Customer Service **UPDATED**

34

Guidelines on Customer Service, Customer Service Committee of the Board, Role of the Customer Service Committee, Standing Committee on Customer Service, Board Approved Policies on Customer Service, Customer Confidentiality Obligation, Guidance to Customers and Disclosure of Information, Branch Level Facilities, Disclosure of Information by Banks in the Public Domain, Dealing with Complaints and Improving Customer Relations, Grievance redressal Mechanism, Display of Names of Nodal Officers, Internal Ombudsman, Integrated Ombudsman Scheme, 2021 (RBIOS, 2021), Fair Practice Code

2
MARKS

Unit 3: Information Technology and Security Related Norms **UPDATED**

35

Information Technology and Security Related Norms, Cyber Security Framework in Banks, Information System Audit, Business Continuity Planning (BCP), Vulnerability Assessment and Penetration, Tests (VAPT) and Information Security, Digital Payment Security Controls, Security Measures for Electronic Transactions, Enhancing Security of Card Transactions, Storage of Payment System Data, Relevant sections of the Digital Personal Data Protection Act, 2023

1
MARKS

Unit 4: Outsourcing of Financial and Information Technology Services **UPDATED**

36

Outsourcing of Financial and Information Technology Services, Definitions, Engaging Business Facilitators/ Correspondents, Recovery Agents, Direct Marketing Agents, Activities that should not be Outsourced, Material Outsourcing, Role of the Regulated Entity, Regulatory and Supervisory requirements, Business Continuity and Management of Disaster Recovery Plan, IT Outsourcing Policy, Role of the Board and Senior Management, Evaluation and Engagement of Service Providers, Outsourcing Agreement, Risk Management, Monitoring and Control, Outsourcing within a Group / Conglomerate, Cross-Border Outsourcing, Exit Strategy, Cloud Computing Services, Outsourcing of Security Operations Centre

2
MARKS

Unit 5: Frauds & Vigilance Frameworks in Banks

37

Frauds & Vigilance Frameworks in Banks, Classification of Frauds, Central Fraud Registry (CFR), Reporting of frauds to RBI / Reports to the Board, Cases of Attempted Fraud, Reporting Frauds to Police/ CBI, Cheque Related Frauds, Loan Frauds - New Framework, Early Detection and reporting / Early Warning Signal (EWS) / Red Flag Accounts, (RFA), Filing Complaints with Law Enforcement Agencies, Legal Audit of Title, Legal Audit of Title Documents, Cases Of Theft, Burglary, Dacoity And Bank Robberies, Chief Vigilance Commissioner, Internal Vigilance & Chief Vigilance Officer (CVO)

2
MARKS

VIII Module VIII — OTHER IMPORTANT REGULATIONS AND GUIDELINES

4%
MODULE WEIGHT

- | | | |
|-----------|---|-------------------|
| 38 | Unit 1: Disclosure Requirements UPDATED
Disclosure Requirements, Disclosure Requirements – RBI, Disclosures under Basel III, Accounting Standards, Disclosures relating to securitization, Disclosures under listing Regulations of SEBI – LODR, BRSR, BRSR Core etc, Other relevant disclosures to SEBI including Insider Trading etc | 1
MARKS |
| 39 | Unit 2: Returns to be Submitted to RBI
Returns to be Submitted to RBI, Various returns to be submitted to RBI, RBI Reporting Portals, Automated Data Flow, Important Data Definitions | 1
MARKS |
| 40 | Unit 3: Other Relevant RBI Regulations and Initiatives UPDATED
Other Relevant RBI Regulations and Initiatives, Legal Entity Identifier for Entities, Financial Benchmark Administrators, Account Aggregators, Payment System Operators, Payment Aggregators, Retail Direct Scheme, Central Bank Digital Currency (CBDC), NDS – OM web, Appointment of Statutory Central Auditors (SCAs)/Statutory Auditors (Sas), Targeted Long Term Repo Operations, Depositor Education and Awareness Fund Scheme, 2014, Electoral Bond Scheme, 2018, Customer Facilitation Centres for NEFT and RTGS, Enabling Framework for Regulatory Sandbox, Capacity Building in Banks | 2
MARKS |
| 41 | Unit 4: Recent Important Reports of RBI UPDATED
Recent Important Reports of RBI, Report of the Committee for Review of Customer Service Standards in RBI, Regulated Entities, Report of the Inter-Departmental Group (IDG) on Internationalisation of INR, Concept Note on Central Bank Digital Currency | 1
MARKS |

IX

Module IX — IMPORTANT LAWS RELEVANT FOR BANKS

5%

MODULE WEIGHT

Unit 1: Important Laws Relevant for Bank's Business Activities UPDATED

42

Important Laws Relevant for Bank's Business Activities, Indicating Key Compliances under important laws related to bank's business, such as, The Aadhaar (Targeted Delivery of Financial and Other Subsidies, Benefits and Services) Act, 2016, Indian Contract Act 1872 and amendments, The Negotiable Instruments Act, 1881, Bankers' Books Evidence Act, CGST & IGST Acts, The Consumer Protection Act, 2019, The Copyright Act, 1957, The Income-tax Act, 1961, The Information Technology Act, 2000, The Limitation Act, 1963, The Profession Tax Related (State Laws), The Right to Information Act, 2005, Transfer of Property Act 1882 and amendments, The Payment & Settlements Systems Act, 2007, Digital Personal Data Protection Act, 2023

3

MARKS

Unit 2: Important Laws Pertaining to Bank's Organisation and Support Functions

43

Important Laws Pertaining to Bank's Organisation and Support Functions, Indicating Key Compliances under important laws pertaining to organisation and, support functions, such as, The Air (Prevention and Control of Pollution) Act, 1981, The Central Industrial Security Force Act, 1968, The Code on Wages, 2019, The Environment (Protection) Act, 1986, The Equal Remuneration Act, 1976, The National Building Code 2016, The Sexual Harassment of Women at Workplace (Prevention, Prohibition and, Redressal) Act, 2013, The Shops and Establishments Related Acts, The Telecom Regulatory Authority of India Act, 1997

2

MARKS

44

Unit 3: Case Studies (including global case studies and learnings from Compliance)

Case Studies (including global case studies and learnings from Compliance, failures/deficiencies)

1

MARKS

45

Unit 4: List of RBI Returns for Banks

List of RBI Returns for Banks

1

MARKS



Module X — INTERNATIONAL BEST PRACTICES · 1/4

38%

MODULE WEIGHT

COMPLIANCE IN BANKS MODULE I – REGULATION and SUPERVISION OF BANKS

46

Unit 1: Financial Sector Regulation, Aspects of Financial Regulation, Functions and Role of Financial Regulators, Regulatory Models, Financial Sector Composition in India, Financial Sector Regulatory Authorities, Unit 2 : Regulation of Banks, Importance of Banks and Role of Banks, Bank Regulation – Principles, Instruments, Organisational Structure, Functions and Role of RBI, Enforcement Department of RBI and process for levying penalties, Acquisition and Holding of Shares or Voting Rights in Banking Companies, 'Fit and Proper' Criteria for Elected Directors on the Boards of PSBs, Amalgamation of Banks, Unit 3 : Laws for Regulation of Banks and Para Banking Activities, Banking Regulation Act, RBI Act, Companies Act 2013 (applicable to banks), Para banking Activities, Activities regulated by other Regulators Permitted for banks, Unit 4 : Cash Reserve Ratio (CRR) and Statutory Liquidity Ratio (SLR), Cash Reserve Ratio (CRR), Computation of DTL, Statutory Liquidity Ratio, Procedure for Computation of SLR, Penalties for violations

3
MARKS

47

1. Study:

A minimum 3 months' study of the stipulated courseware is envisaged. Institute will accept, application up to a certain period before the dates of announced exams so as to ensure that, the study period is adhered to

1
MARKS

48

2. Examination:

Questions mode) and pass the examination

1
MARKS

49

3. Classroom Learning:

i. Candidates who have passed the written examination have to undergo classroom learning, This will be offered in IIBF and/ or ICSI centres. For this purpose, the candidate, after passing, the examination will log on to IIBF website - www.iibf.org.in and select his/ her convenient, slot for classroom learning (3 days) from the predetermined dates and venue (IIBF or ICSI), put-up on the website and pay the fees prescribed for classroom learning to the respective, organization where he/ she seeks to undergo classroom learning, ii. Total MARKS FOR CLASSROOM LEARNING is 50 and passing marks is 25. Marks for, classroom learning is awarded by faculty based on classroom participation, analytical skills, discussion ability on compliance case-studies etc

1
MARKS

50

4. Time Limit for Classroom Learning:

Classroom learning is required to be completed within 15 months from the date of declaration, of the online examination results in which the candidate passes, In case a candidate fails to complete the Class Room Learning either on account of not able, to successfully complete the Class Room Learning or by not attending the training for Class, Room Learning within the stipulated period of 15 months, the candidate would be required to, RE-ENROLL himself for the Online examination foregoing credit for the subject/s passed in, the Online examination earlier in case he wants to complete the course

1
MARKS



Module X — INTERNATIONAL BEST PRACTICES · 2/4

38%
MODULE WEIGHT

CLASSROOM LEARNING FEE Virtual Class Room Training/Learning:

51

The training may be held in either physical classroom mode or online virtual classroom mode, The Virtual Classroom Learning will be for 3 days, Evaluation Process of Virtual Class Room Training and Criteria for Evaluation, 1), Candidates who have successfully passed the online examination have to, undergo Virtual Class Room Training. For this purpose, the candidate, on passing, the examination should log on to IIBF website - www.iibf.org.in and select his/her, convenient slot for virtual classroom training (3 days) from the pre-determined, dates, 2), During the virtual classroom training, candidates will be assessed (Internal, will be awarded to candidates by faculty for their training participation and, performance in test, based on MCQs, Sr, No, Particulars, Weights, Total, mark, (Max), Min, marks, to be, obtained, Remarks, Attendance, 50%, (50%), Total 10 sessions (spread in three, days), Attending, minimum, sessions will be compulsory. This will, correspond to 25 marks out of 50, (50%). On 1st day and 2nd day 4, sessions each and on 3rd day two, sessions (4+4+2), MCQs, The MCQ test will be at the end of, the course. There will be a total 50, MCQs (1 mark each). Total 50, marks. A candidate has to obtain a, minimum of 25 marks out of 50, 50 (50%), The overall aggregate (attendance + marks in MCQs) to be obtained by a candidate will, therefore be 50 (50%). However, if a candidate gets overall 50% with 30 marks in, attendance (60%) and 40 % (i.e. 20 marks) in MCQs he/she will also be considered as, passed. But, vice versa is not permitted. In other words, a candidate should get minimum, 20 marks in MCQs

6

MARKS

52

Virtual Class Room Learning Fee: Particulars Examination Fee Training Fee Total Examination + Training Fee

Virtual training mode, Rs. 6, 000/- plus, GST, NIL, Physical classroom, training mode at Mumbai, Delhi, Chennai and, Kolkata centres, Rs. 5, 000/, plus GST, Rs. 11, training mode at other, centres, Rs. 9, Rs. 15, If a candidate fails in the virtual classroom training, he/she can enroll for the second attempt, by paying a fee of Rs. 1, 000/- plus GST

2

MARKS

REFUND OF FEE

53

Examination fee is not refundable. For refund of classroom learning fee application for the, same giving sufficient reason/s should reach the Institute one month in advance and in case, the refund is effected 25% will be deducted towards administrative charges, Candidates, who successfully complete the class room learning, will be eligible for the Course, Completion Certificate, All the successful candidates will be awarded 'Certified Banking Compliance Professional', citation jointly by IIBF and ICSI, The names of the certified candidates (CBCP) who belong to ICSI and applied under the non, member category of IIBF will only be hosted on IIBF portal and informed to Banks/ Financial, Institutions. This will not be regarded as a placement exercise

1

MARKS

THE INSTITUTE OF COMPANY SECRETARIES OF INDIA (ICSI)

54

The Institute of Company Secretaries of India (ICSI) is a premier national professional body, established by an Act of Parliament (Company Secretaries Act, 1980) to develop and, regulate the profession of Company Secretaries. ICSI functions under the administrative, jurisdiction of Ministry of Corporate Affairs, Government of India, Vision: "To be a Global leader in promoting Good Corporate Governance", Mission: "To Develop High Caliber Professionals Facilitating Good Corporate Governance", The Institute's Headquarters is at ICSI House, 22 Institutional Area, Lodi Road, New Delhi, The Regional Offices are at Mumbai, Kolkata, Chennai. Centre for Corporate, Governance, Research and Training (CCGRT) is at Navi Mumbai and 69 Chapters of ICSI, are located in various cities all across India with one Overseas Chapter at Dubai. It provides, postal and oral coaching and training to students to qualify as Company Secretaries. The, ICSI has on its rolls over 31, 000 qualified members both in Employment & in Practice. Over, 3.6 lakh students are currently enrolled in the Company Secretaries Course, ICSI is the largest CS Professional organization which is globally recognized for guiding, Industry and academia on highest standards of Corporate Governance. The ICSI is actively, engaged in debate on acceptance and adoption of good governance practices and has, pioneered the promotion and propagation of such practices amongst the corporates, www.icsi.edu

3

MARKS



Module X — INTERNATIONAL BEST PRACTICES · 3/4

38%
MODULE WEIGHT

56

2. MOBILE PHONES

Mobile phones and other electronic/ smart gadgets (except calculator as permissible), are not allowed in the examination hall. It is clarified that mere possession of mobile, phone and other electronic/ smart gadgets in the examination hall whether in switch off, mode or silent mode shall also be deemed to be resorting to adoption of unfair means, in the examination

1
MARKS

57

3. USE OF CALCULATOR

a. Candidates will be allowed to use battery operated portable calculator in the, examination. The calculator can be of any type up to 8 functions i.e. (Addition, Subtraction, Multiplication, Division, Percentage, Sq.-root, Tax+ and Tax -), 12 digits, b. Attempt to use any other type of calculator not complying with the specifications, indicated above or having more features than mentioned above shall tantamount to, use of unfair means. Scientific calculator is not allowed

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MARKS

58

4. OTHER RULES/ INFORMATION

a. Candidates should ensure that they sign the Attendance Sheet, b. Candidates are advised to reach the Examination Venue before the reporting time, mentioned in the admit letter. No candidate/s will be permitted to enter the, Examination Venue after the gate closing time mentioned in the admit letter

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MARKS

59

c. No candidate will be permitted to leave the examination venue in the first 60 minutes from the scheduled start time of the examination. d. Candidates should occupy the seat allotted to them at the examination hall on the exam day.

with the password mentioned in their Admit Letter. This password should not be, disclosed to others. Keep it safe to avoid the possible misuse, f. If the examination could not commence on scheduled time or there is delay due to, Failure of power, Technical snag of whatsoever nature or for any such reason having, bearing upon the conduct of examination, candidates have to, i. Wait till resumption of power supply/ solving of technical snag, ii. Take-up the examination at other venue arranged by the examination conducting, authority, iii. Follow instructions given by the examination conducting authority, g. Candidates are required to strictly follow all the instructions given by the, examination conducting authority during the examination and adhere to Rules of the, examination, h. Violation of any of the Rules/ Instructions, misuse of the Admit Letter will be, considered to be an act of serious misconduct and the Institute will take action as per, the Rules of the examination, which will also be reported to the employer of the, candidate, i. Always visit the website one day prior to the examination for any important updates, on the exam/center/venue etc, j. In the event of any dispute between the Institute and the member, only Competent, Courts in Chennai, Kolkata, New Delhi and Mumbai alone have the jurisdiction to, entertain the dispute, CANDIDATES OF JAIIB/DB&F/CAIIB/DIPL & CERTIFICATE EXAMINATIONS on the, website i.e. www.iibf.org.in

3
MARKS

60

5. RULES, PENALTIES FOR MISCONDUCT/ UNFAIR PRACTICES:

a. Communication of any sort between candidates or with outsiders is not permitted, and complete silence should be maintained during the examination, b. Copying answers from other candidates/ other printed/ Electronic material or, permitting others to copy or consultation of any kind will attract the rules relating to, unfair practices in the examination, c. No candidate shall impersonate others or allow others to impersonate himself/, herself at the examination, d. No candidate shall misbehave/ argue with the Examination Conducting Authorities, at the centre, e. Candidates have to compulsorily return any papers given including that given for, rough work to invigilator before leaving the examination hall, f. Candidates should not possess and/ or use books, notes, periodicals, etc. in the, examination hall

X Module X — INTERNATIONAL BEST PRACTICES · 4/4

38%
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PLEASE REFER INSTITUTE'S WEBSITE UNDER THE MENU "EXAM RELATED" FOR DETAILS OF DEBARMENT PERIOD FOR UNFAIR PRACTICES ADOPTED BY CANDIDATES DURING CONDUCT OF INSTITUTE'S EXAMINATIONS.

- 61 Candidates may kindly note that their entire activity during the examination will be, reviewed post examination. The Institute would review the audit trail reports of the, candidate using a scientific method to detect adoption of unfair means. Also, the, CCTV footage of centres would be reviewed. Candidates found to be adopting unfair, means, using the scientific method of analysis of audit trail reports or review of CCTV, footage or through any other scientific method, will be booked and appropriate action, shall be initiated as per the Institute's policy. Candidates are also requested to read, the Rules and Policy regarding malpractice/unfair means / misconduct / misbehaviour, in Examinations from the below link, Rules and Policy regarding malpractice/unfair, means/misconduct/misbehaviour in examination Classroom based

2
MARKS

6. RESULT ADVICE/ CONSOLIDATED MARKSHEET/ FINAL CERTIFICATE UPDATED

- 62 a. Result Advice of candidates will be hosted on Institute's website on declaration of, result, which can be downloaded by the candidates, b. Consolidated mark sheet for candidates completing examination having more than, one subject, will be available on the Institute's website after the declaration of results, Candidates can download the same after entering login credentials using their, membership number and edit profile password, c. Final certificate: Digitally Signed Certificate will be issued to the candidates who, have enrolled and passed the examination. The Certificate will be emailed to the, email-id of the candidate registered with the Institute, within 3 weeks from the date of, declaration of result

1
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- 63 Indian Institute of, Banking & Finance, Professional, Development Centre, Northern Zone, C-5/30, Safdarjung, Development, Area(SDA), Near SDA Local, Shopping complex, Outer Ring Road, Opp, IIT Delhi, NEW DELHI-110 016, Tel:011-2653 2194/2191, (office)

2
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1
MARKS

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5
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