



Navigating RBI Mandate: Leveraging Technology to Effectively Manage Compliances



Challenges faced Compliance Management in Banking Sector

1. Vast Scope of Compliances.
2. Recent trend of Strict Penalties by Regulators.
3. Robust Growth in last few years.
4. Frequent updates from regulatory authorities from IRDA, RBI etc.
5. Change in IT Landscape.



RBI MANDATE

<u>Monitoring</u>	Process of Identifying, assessing, monitoring and managing compliance requirements
<u>Dashboard</u>	Unified dashboard view of compliance position of the RE as a whole for the Senior Management
<u>Escalation</u>	Escalation of issues of non-compliance.
<u>Document Management</u>	Recording of the approval of competent authority for deviations or delay in compliance submission
<u>Communication</u>	Provide effective communication and collaboration among all the stakeholders (by bringing business, compliance and IT teams, Senior Management, etc., on one platform);

Beyond the Mandate

<u>Updates</u>	Gives relevant, fast and actionable updates.
<u>Report Builder</u>	On demand reports on the go from the tool.
<u>Maker-Checker Matrix</u>	Critical for each compliance to be reviewed by appropriate authority.
<u>Document Management</u>	Stores repository of forms, documents and receipts.
<u>Easy to Use</u>	System should be easy to use for all of users.

Ideal Compliance Management Partner

- **Understands your Process**
- **Technical Solution and Knowledge Partner**
- **Post Implementation Support**
- **Updates Management**



Thank you for you Time.

Queries?

For More Information/demo, Please connect with us:

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