



# **INDIAN INSTITUTE OF BANKING & FINANCE**

**(ISO 9001:2015 Certified)**

## **Programme on “Discipline Management, Investigations & Disciplinary Action Procedures in Banks & FIs”**

**(For Public & Private Sector Banks, RRBs, SFBs, Cooperative Banks)**

**From 11<sup>th</sup> to 13th November 2024**



**“Individual participants can also register for the programme at their own cost”**

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Website: [www.iibf.org.in](http://www.iibf.org.in)**



## **PROGRAMME on “DISCIPLINE MANAGEMENT, INVESTIGATIONS & DISCIPLINARY ACTION PROCEDURES IN BANKS & FIs”**

### **BACKGROUND**

During its 94 years of service, IIBF has emerged as a premier institute in banking and finance education. Considering the emerging requirements of the bankers in the ever-changing dynamic environment, IIBF has been providing training to bankers in select areas. IIBF has the state-of-the-art training facilities at its Leadership Center at Mumbai. It also has 4(four) Professional Development Centres (PDCs) at Mumbai, Delhi, Chennai & Kolkata with residential facilities at Delhi to accommodate more than 50 participants at a time.

### **PURPOSE**

We are all aware that Discipline is a vital management tool which aims for increasing efficiency and effectiveness of the organisation by preventing the leakages that adversely affect productivity and profitability. However, Discipline Management remains a challenge at all levels of management of Banks and Financial Institutions.

The program envisages imparting requisite skill sets & an effective & holistic insight amongst HRD Personnel/ Disciplinary Authorities/Investigating Officers/ Enquiry Officers/Inquiring Authorities/ Presenting Officers/ Management Representatives/Assisting Officers of various Banks to comprehend the entire gamut of Disciplinary Proceedings as per the prescribed vigilance manual & extant Bank Officer/Employee Conduct Rules/Regulations, Discipline & Appeal Regulations applicable to both Award Staff & Officers Employees of Banking Industry. In the back drop of large scale attrition mainly arising out of normal Superannuation across all the Banks followed by fresh intake/Recruitment of Employees/Officers in the last 10 Years, multiple risk diversifications of Banking business due to evolution of new products and technology and emerging new models of partnerships with Fintech companies/NBFCs, it has become all the more important to sensitize the Officers/Executives, particularly those entrusted with handling important leadership positions, about the importance of managing discipline and compliance of proper code of conduct amongst their cadres so that they maintain trust and transparency in their working, safeguard the interest of the Organization and all stakeholders and do not fall prey to any wrong doing for whatever reason and face eventual disciplinary proceedings. At the same time, it is imperative to keep them abreast with the Rules & Regulations & Related Disciplinary Procedures to deal with the cases of misconduct, if any, attributable to any omission or commission so as to conduct/conclude any Disciplinary Procedure initiated against the charged employee/officer in a time bound manner in strict compliance & adherence to the canons of Natural justice.

## OBJECTIVES

The programme has following main objectives:

- To make the Participants aware about the Employee/Officer's Conduct Rules & Regulations the breach of which invites Disciplinary action
- To sensitize the Participants about Disciplinary Action Procedure(DAP) applicable for award Staff & various provisions of Officer/Employee Discipline & Appeal Regulations
- Role of Disciplinary Authority, IA/EO/AO/PO/MR in any Disciplinary Enquiry Proceedings
- Concept of Natural Justice & its relevance in DE proceedings
- Timely Conclusion/completion of DE proceedings
- Sensitize all the participants about the Quasi-Judicial status of DE proceedings

## CONTENT OVERVIEW

- Principles of Natural Justice
- DAP for Award Staff as per MOS/ BPS 2002
- Bank Officer Employee Conduct Rules & Regulations 1976/1981 & DAP for Bank Officer Employees as per Discipline & Appeal Regulations 1976/1981
- Carrying out Investigation and Objective Examination of Staff Accountability
- Framing Allegations/Charges, Preparation of Charge Sheet & service to CSE/CSO
- Collection & analysis of Evidences as Exhibits
- Conduct of DE Proceedings- Role of DA/IA/EO/PO/MR/AO/DR
- Examination in Chief, Cross Examination, Re-Examination of witnesses
- Ex Parte DE Proceedings/ Hostile Witnesses
- Submission of Written Brief/ Writing IA's finding Report/Drafting of DA's order
- Provisions of Appeal & Review

## METHODOLOGY

Virtual (Online) interactive lectures, Case Studies, presentations and sharing of experiences on the Institute's licensed ZOOM Platform.

Live sessions by Faculty shall be conducted and participants can view the sessions from home or office using Laptop/Desktop.

Login details for accessing the sessions shall be shared on registered mail ids of participants 24/48 hours before the program.

## TARGET GROUP

**All HRD/DAD/Vigilance Personnel/DAs/IAs/EOs/ POs/MRs/AO/DR handling DA matters & DE Proceedings or the Officers/Executives newly identified to handle such responsibilities**

## DURATION

**3 Days - From 11th to 13th November 2024. Timings 9.30 a.m. to 5.30 p.m.**

## **FEES**

Rs. 6,000/- (Rs. Six thousand only) per participant plus GST @18% (Rs.1080/-) aggregating to Rs. 7,080(Rs Seven Thousand Eighty- (In case of TDS deduction, please send us TDS certificate).

Programme fees may be remitted to the credit of Institute's account as given below:

- ✓ Name of the Account: Indian Institute of Banking and Finance
- ✓ Name of the Bank branch: State Bank of India, Vidya Vihar (West), Mumbai.
- ✓ Savings Account No: 36919200263 IFSC code: SBIN0011710
- ✓ (PAN No: AAATT3309D and GSTIN NO. 27AAATT3309D1ZS)

(Kindly provide your GST Number in the nomination letter to facilitate raising of invoice)

For further details, kindly contact:

Mr. A K Mishra Programme Coordinator & Faculty Mobile: 7428045854 Email: fm.trg2@iibf.org.in	Mr. L V R Prasad, Director (Training) Mobile: 8291294676 Email: dir.trg@iibf.org.in
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## INDIAN INSTITUTE OF BANKING & FINANCE

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### NOMINATION FORM FOR ORGANIZATION WHO NOMINATES THE PARTICIPANTS

**Program title:** Program on “DISCIPLINE MANAGEMENT, INVESTIGATIONS & DISCIPLINARY ACTION PROCEDURES IN BANKS & FIs”

**Date:** From **11<sup>th</sup> November to 13th November 2024; (Monday – Wednesday)**

**Programme Type:** Virtual (Online) mode

**GST Details of Nominating Bank:**

**Details of nominee(s):**

Sl. No	Name	Designation	Branch/Office	Contact No.	E-mail (PERSONAL MAIL ID)*	E-mail (OFFICIAL MAIL ID)*
1						
2						
3						

**\*LOGIN DETAILS OF THE PROGRAM SHALL BE SHARED ON PERSONAL MAIL ID OF NOMINEE.**

Name of Bank/ FI: \_\_\_\_\_

Address: \_\_\_\_\_

GST Details of Nominating Bank: \_\_\_\_\_

**UTR Number and date of Fees remitted.** -----

Phone of **Nominating** Official: -----E-Mail of **Nominating** Official: \_\_\_\_\_

**Fees:** Rs. 6,000/- per participant plus GST @18% aggregating to Rs.7, 080/- per participant (Rs Seven Thousands Eighty only) (In case of TDS deduction, please send us TDS certificate).

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- ✓ **Name of the Bank branch:** State Bank of India, Vidya Vihar (West), Mumbai.
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**(Please provide your GSTN in the nomination letter)**

**For nomination please send mail to:**

Mr. A. K. Mishra  
Programme Co-ordinator  
Mobile 7428045854,  
Email id : [fm.trg2@iibf.org.in](mailto:fm.trg2@iibf.org.in)



## INDIAN INSTITUTE OF BANKING & FINANCE

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### NOMINATION FORM FOR SELF-SPONSORED CANDIDATES

**Program title:** Program on “DISCIPLINE MANAGEMENT, INVESTIGATIONS & DISCIPLINARY ACTION PROCEDURES IN BANKS & FIs”

**Date:** From **11<sup>th</sup> Nov to 13<sup>th</sup> November 2024; (Monday – Wednesday)**

Programme Type: **Virtual (Online)** mode

Details of nomination:

Sl. No	Name	Designation	Contact No. (Mobile)	E-mail (PERSONAL)	<b>UTR NUMBER and DATE For FEES REMITTED</b>
1					

Name of Bank/ FI employed with: \_\_\_\_\_

Address of Bank/FI employed with:  
\_\_\_\_\_  
\_\_\_\_\_

**Fees:** Rs. 6,000/- per participant plus GST @18% aggregating to Rs. 7,080/- per participant (Rs. Seven thousand Eighty only) (In case of TDS deduction, please send us TDS certificate).

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**(Please provide your GSTN (if any) in the nomination letter)**

For nomination please send mail to:	Mr. A. K. Mishra Programme Co-ordinator Mobile 7428045854, Email id : <a href="mailto:fm.trq2@iibf.org.in">fm.trq2@iibf.org.in</a>
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