



<NAME OF THE SOP>
STANDARD OPERATING PROCEDURE

Version no. :
Effective Date :

SOP: Template

Reviewed By:

Name	Functional Role & Unit	Signature

Approved By :

Name	Functional Role & Unit	Signature

Sign Off by Process Owner:

Name	Functional Role & Unit	Signature
Note: This document is signed off stating the process is being done at the relevant unit and can be used for audit purpose		

Document Owner: Technology Governance

Version history

Version No.	Effective Date	Revision / Details	Author

SOP: Template

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1. Background or Objective

<The background to the process being described>

2. Scope

<Provides clear information what the process will be applicable to and exclusions if any>

3. Important Terms & Definition

<Provides information on the important terms and definitions of thereof used in the SOP>

4. Systems & Applications operationalizing the process

<Provides information on the Bank's systems and applications that will be utilized to process transactions/ operationalize the process>

5. Units having Process Interface

<Provides information on the various units of the Bank involved in operationalizing the process and their activities in brief – Name of the units >

6. Documentation Standards

<Provides information on the basic documentation that needs to be in place for the process to be initiated – What documents are required >

7. Primary Requirements for Enabling the Process

<Provides the system / access/ infrastructure requirements to enable the process>

Below table will be used to provide the process flow. The unit responsible for undertaking a particular process step will be mentioned in the column "Resp."

Sr. No.	Process Flow	Resp.

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Sr. No.	Process Flow	Resp.

8. TATs

<Provides the TATs for transaction processing>

9. Discrepancy Resolution

<Provides the process to be followed for resolution of discrepancies observed in the request received for transaction processing>

10. Escalations

<Provides for escalation in case of any issues with the process>

11. Monitoring Process Compliance

<Provides for monitoring of the process itself, either through callback or Quality Check>

12. Process Workflow

<Provides the flow of the process in a diagram form>

13. RACI Matrix

<Provides the matrix or chart of all activities or decision making authorities undertaken in an organization set against all the people or roles>

14. Key Performance Indicators

<Provides the quantifiable measure for measuring adhering to the process>

15. Related Documents

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16. Annexures

<Provides formats/ templates/ checklists as required for implementation of the process>

S No	Annexures	Attachment
1		
2		
3		
4		
5		

17. Residual Risks

<Provides the residual risks in the process but shld be mentioned in a specific format at the risk level>