NPCI/2023-24/PD/001   13th April, 2023

To,

All Members participating in various NPCI Products

Sub: Initiation of Self Attestation for Q4 and General Compliance FY 22-23

Dear Sir/Madam,

We refer to the circular no. NPCI/UPI/OC-99/2020-21 dated 12th January 2021 on adherence to NPCI guidelines by Members/Participants and Self-Attestation.

Self-Attestation is a process where members/participants are declaring themselves as compliant with NPCI guidelines. The Self-Attestation check-list is based on documents - Procedural Guidelines, Operating Circulars, Technical Data Specifications. Members/participants shall submit Self-Attestation through the PCOMP portal confirming Compliance. The Self-Attestation activity shall be on periodic basis such as annually / quarterly or as and when required.

We would like to inform you that Directives for 4th Quarter for Self-Attestation by members/participants is updated on the PCOMP Portal.

We would also like to inform you that the process of seeking General Compliance confirmation through Self-Attestation on the PCOMP Portal for **FY 2022-23** is initiated (refer Annexure I). ANC (Annual Network Compliance) form – which was taken yearly is discontinued and members/participants will have to submit responses for General Compliances through the PCOMP portal confirming to the guidelines applicable to them. This activity shall be Annual as done for ANC.

Action for members/participants:

1. To complete Self-Attestation for Q4 of FY22-23 and General Compliance by 31st May 2023.
2. All members to complete the Self-Attestation up to Q3 at the earliest - as per communication released to the members/participants.

Please note any non-submission or non-compliance to the General Compliance in the PCOMP portal will be subject to remedial actions by Surveillance and Enforcement Team (S&E) as per Circular no "NPCI/UPI/OC-99/2020-21" and Circular no "NPCI/UPI/OC-103/2020-21.

Please make a note of the contents and disseminate the information contained herein to the official concerned.

Yours Sincerely,

Sd/-

Kunal Kalawatia
Chief of Product

Annexure I

The process of seeking General Compliance confirmation through Self-Attestation on PCOMP Portal for **FY 2022-23** has been initiated. ANC (Annual Network Compliance) form – which was taken yearly is discontinued and members/participants are required to submit responses for General Compliances. Compliance related to different products will be incorporated in Self-Attestation of that respective product.

Members/participants are required to submit their responses through the PCOMP portal confirming compliance to the regulatory guidelines applicable to them. This activity shall be Annual as done for ANC.

Updates:

1. New section for General Compliance has been created in PCOMP (Product Compliance) Portal.
2. The General Compliance section has been assigned to primary Maker and Checker of the member/participant. Members/Participants have been given Admin Access wherein they can create and modify existing Maker and Checker for General Compliance section (Maker is the one who updates/modifies the directives/checklist assigned in the Portal and Checker is the one who validates and is authorized to approve the submission in the Portal).
3. The process of attestation will be on-going. All General Compliance directives will be updated in the portal every year and/or as-an-when there is any addition/modification, and the same will be intimated to the members/participants.
4. Submission of response for General Compliance section is <u>mandatory</u>, similar to the existing Self-Attestation process for NPCI products.

Action by Members/Participants:

3. Member/Participant must complete the General Compliance for FY 22-23 before 31st May 2023.
4. It is recommended that the confirmation to the General Compliance should be reviewed by the relevant control function / compliance department of the member/participant before submission in the portal.

Please note any non-submission or non-compliance to the General Compliance in the PCOMP portal will subject to remedial actions by Surveillance and Enforcement Team (S&E) as per Circular no "NPCI/UPI/OC-99/2020-21", "NPCI/UPI/OC-103/2020-21 and "NPCI/2022-23/OC/PD/001".

Please make a note of the contents herein and disseminate the information contained herein to the officials concerned.

Sr No	Product	General Compliance
1	General Compliance	Member organization should be compliant/Certified to ISO27001 standard. Kindly provide the date of compliance letter/certificate in Date Column
2	General Compliance	Member should have Business Continuity Management (BCM) Policy/Disaster Recovery Policy
3	General Compliance	Member should have Cyber Security Policy.
4	General Compliance	Member organization should be compliant/Certified to PCI DSS standard. Kindly provide the date of certificate in Date Column
5	General Compliance	Member organization should be compliant to RBI SAR (System Audit Report) & Data Localization requirements. Kindly provide the date of Compliance in Date Column.
6	General Compliance	Member organization should be compliant to RBI Csite/Cyber Security framework compliance. Kindly provide the date of Compliance in Date Column.
7	General Compliance	Member organization as an AUA/KUA (or sub-AUA/sub-KUA) should be compliant to the UIDAI compliance requirement. Kindly provide the date of Compliance in Date Column.
8	General Compliance	Member organization should be compliant to RBI Oversight framework requirements. Kindly provide the date of Compliance in Date Column.