

ADVANCED BANKING SUPERVISION: STRATEGIES AND TECHNIQUES



GENTEX[®]
TRAINING CENTER



Introduction

The Advanced Banking Supervision: Strategies and Techniques Training Course prepares supervisors and central bank examiners to assess bank safety and soundness with confidence. Supervision has moved far beyond periodic compliance checks. Regulators now weigh capital adequacy, liquidity, governance quality, conduct, and emerging technology risks inside one integrated view. This course connects the Basel supervisory framework with the practical techniques examiners use every day. Furthermore, it covers risk-based supervision planning, on-site and off-site methods, judgement, and enforcement. As a result, participants gain the strategies to supervise a diverse banking sector and act early before problems grow.

Advanced Banking Supervision: Strategies and Techniques Course Objectives

- Explain the objectives, mandates, and principles of modern banking supervision.
- Apply the Basel Core Principles for Effective Banking Supervision.
- Design risk-based supervision plans using risk matrices and supervisory ratings.
- Conduct off-site monitoring and on-site examinations with structured programmes.
- Apply the CAMELS rating framework and supervisory judgement.
- Assess governance, risk culture, and board effectiveness inside supervised banks.
- Evaluate capital adequacy, liquidity, and stress testing results.
- Identify early warning indicators and emerging risks across the sector.
- Interpret prudential standards covering Basel III, IFRS 9, and AML/CFT obligations.
- Draft supervisory findings, corrective action plans, and enforcement measures.

Course Methodology

- Interactive lectures with supervisory case studies from multiple jurisdictions.

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- Workshops on risk-based supervision planning and rating decisions.
- Simulated on-site examinations using structured examination programmes.
- Scenario exercises on problem bank identification and intervention.
- Peer discussion with facilitator feedback on live supervisory dilemmas.

Who Should Take This Course

- Bank supervisors and central bank examiners.
- Heads of supervision departments and team leaders.
- Prudential regulation and policy officers.
- On-site inspection and off-site monitoring specialists.
- Internal auditors in supervisory authorities.
- Risk and compliance managers in regulated banks.

Advanced Banking Supervision: Strategies and Techniques Course Outlines

Day 1: Foundations of Modern Banking Supervision

- Objectives, mandates, and independence of supervisory authorities.
- The Basel Core Principles for Effective Banking Supervision.
- Institutional and functional approaches to supervision.
- Supervisory cooperation, colleges, and cross-border arrangements.
- Regulatory perimeter, licensing, and fit-and-proper assessments.
- Supervisory frameworks: Basel Committee guidance and national rules.
- Case study: lessons from a supervisory failure.





Day 2: Risk-Based Supervision and Planning

- Principles of risk-based supervision and proportionate intensity.
- Building institutional risk profiles and risk matrices.
- Supervisory rating systems and composite ratings.
- Allocating supervisory resources by risk and impact.
- CAMELS methodology and its application.
- Supervisory strategy documents and review cycles.
- Workshop: drafting a risk-based supervision plan for a bank.

Day 3: Off-Site Monitoring and On-Site Examination

- Designing off-site surveillance and prudential reporting analysis.
- Ratio and trend analysis for supervisory dashboards.
- Planning on-site examinations with structured programmes.
- Sampling, testing, and evidence gathering during examinations.
- Interviewing management and assessing internal controls.
- Validating reporting accuracy and data quality.
- Workshop: running an on-site examination programme.

Day 4: Prudential Assessment, Governance, and Conduct

- Capital adequacy assessment under Basel III, including CET1 and buffers.
- Liquidity assessment using LCR, NSFR, and funding analysis.
- Stress testing review and scenario assessment.
- Corporate governance and board effectiveness assessment.

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- Risk culture, remuneration, and conduct supervision.
- AML/CFT supervision and IFRS 9 provisioning review.
- Workshop: assessing a bank's governance and prudential position.

Day 5: Early Intervention, Enforcement, and Resolution

- Early warning indicators and problem bank identification.
- Prompt corrective action and supervisory intervention tools.
- Formal enforcement: directives, restrictions, and penalties.
- Recovery planning, resolution regimes, and crisis preparedness.
- Supervisory reporting to boards, committees, and the public.
- Supervisory technology and data analytics applications.
- Course review, assessment, and action planning.

Conclusion

By successfully completing Advanced Banking Supervision: Strategies and Techniques, participants will gain a comprehensive understanding of supervisory strategy, risk-based planning, examination techniques, prudential assessment, and intervention. They will also acquire practical skills in rating banks, identifying deterioration early, and drafting findings that lead to corrective action. In addition, the course prepares them for confident supervisory judgement. Gentex Training Center delivers this programme with a strong focus on real supervisory practice and measurable improvement.

FAQs for Advanced Banking Supervision: Strategies and Techniques course





Q1 What is the "Advanced Banking Supervision: Strategies and Techniques" course about?

It is a five-day programme on how supervisory authorities assess and oversee banks. It covers supervisory mandates, risk-based planning, off-site monitoring, on-site examination, CAMELS rating, prudential and governance assessment, early intervention, and enforcement techniques.

Q2 What are the key benefits of the "Advanced Banking Supervision: Strategies and Techniques" course?

Participants gain a consistent framework for prioritising supervisory attention where risk is highest. The course improves examination quality, sharpens rating judgement, speeds up detection of weakening banks, strengthens enforcement documentation, and helps authorities meet international supervisory expectations with greater credibility.

Q3 What skills will I gain from the "Advanced Banking Supervision: Strategies and Techniques" course?

Participants gain risk-based supervision planning and risk profiling, off-site monitoring and on-site examination technique, supervisory rating and prudential assessment using CAMELS, and early intervention, enforcement and resolution planning. These four skills cover the full supervisory cycle from planning to enforcement.



Q4 What tools, methods, or standards are covered in the "Advanced Banking Supervision: Strategies and Techniques" course?

The course covers the Basel Core Principles for Effective Banking Supervision, Basel III capital and liquidity standards, the CAMELS rating framework, risk matrices and institutional risk profiles, LCR and NSFR analysis, stress testing review, IFRS 9 provisioning review, AML/CFT supervisory expectations, prompt corrective action frameworks, recovery and resolution planning, and supervisory technology tools.

Q5 How is the "Advanced Banking Supervision: Strategies and Techniques" course applied in real-world practice?

Participants apply the techniques in their own authorities. They build risk-based supervision plans, run off-site surveillance dashboards, conduct on-site examinations, assign ratings, prepare findings and corrective action plans, and design intervention measures. Many leave with a supervisory strategy template ready for use.