

CORPORATE GOVERNANCE FOR BANKING & OTHER FINANCIAL INSTITUTIONS



GENTEX[®]
TRAINING CENTER



Introduction

The Corporate Governance for Banking & Other Financial Institutions Training Course prepares directors, executives, and governance officers to lead financial institutions with accountability. Banks and financial firms carry a public interest beyond their shareholders. They hold deposits, extend credit, and manage risks that can affect the wider economy. This course explains how governance structures, board committees, and control functions work together in financial institutions. Furthermore, it covers risk governance, conduct, remuneration, and supervisory expectations. As a result, participants learn to strengthen governance practice, satisfy regulators, and protect institutional reputation.

Corporate Governance for Banking & Other Financial Institutions Course Objectives

- Explain the principles of corporate governance in banking and financial institutions.
- Interpret the Basel Committee Corporate Governance Principles for Banks.
- Clarify the roles of the board, committees, and senior management.
- Apply the three lines model to financial institution control functions.
- Assess board composition, independence, and director responsibilities.
- Evaluate risk governance frameworks, risk appetite, and chief risk officer duties.
- Apply remuneration governance and alignment with risk outcomes.
- Address conflicts of interest, related-party transactions, and ethical conduct.
- Assess conduct risk, culture, and customer treatment expectations.
- Apply governance standards to regulatory reporting and disclosure requirements.

Course Methodology

- Interactive lectures with financial institution governance case studies.

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- Workshops on board charters, committee terms of reference, and risk appetite statements.
- Simulated board and audit committee meetings with role-played decisions.
- Governance self-assessment and maturity evaluation exercises.
- Structured peer discussion with facilitator feedback on governance challenges.

Who Should Take This Course

- Board members and non-executive directors of banks.
- Chief executives, finance, and risk officers in financial institutions.
- Company secretaries and corporate governance officers.
- Internal auditors and compliance professionals.
- Central bank and supervisory authority staff.
- Legal advisors supporting board and committee work.

Corporate Governance for Banking & Other Financial Institutions Course Outlines

Day 1: Foundations of Financial Institution Governance

- Governance principles and why financial institutions differ.
- The Basel Committee Corporate Governance Principles for Banks.
- OECD governance principles and national codes.
- Shareholders, depositors, creditors, and public interest.
- Governance, risk, and compliance (GRC) as one system.
- The governance triangle: board, management, and stakeholders.
- Case study: governance failure at a financial institution.





Day 2: Board Structure, Committees, and Directors

- Board composition, size, diversity, and independence criteria.
- Director duties, fiduciary responsibilities, and liability.
- Nomination, appointment, and succession planning.
- Audit, risk, remuneration, and nomination committee mandates.
- The role of the board chair and the chief executive separation.
- Board information packs, minutes, and decision registers.
- Company secretary responsibilities and board support.

Day 3: Risk Governance and Control Functions

- Risk governance frameworks and risk appetite statements.
- The chief risk officer's mandate, independence, and reporting line.
- The three lines model applied to financial institutions.
- Internal audit, internal control, and compliance functions.
- Risk committee oversight of credit, market, and liquidity risk.
- Stress testing oversight and capital planning governance.
- Workshop: drafting a risk appetite statement and board report.

Day 4: Conduct, Ethics, and Remuneration Governance

- Codes of conduct and ethical decision frameworks.
- Conflicts of interest, registers, disclosure, and recusal.
- Related-party transactions and connected lending oversight.
- Remuneration policies and alignment with risk outcomes.
- Conduct risk, culture assessment, and customer treatment.

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- Whistleblowing channels and investigation protocols.
- Workshop: handling a conflict-of-interest and conduct case.

Day 5: Supervision, Disclosure, and Governance Improvement

- Supervisory expectations and the supervisory review process.
- Fit-and-proper assessments for directors and senior officers.
- Corporate governance disclosure requirements and reporting.
- Board performance evaluation and governance scorecards.
- Governance maturity models and improvement roadmaps.
- Governance in subsidiaries, groups, and cross-border structures.
- Course review, assessment, and action planning.

Conclusion

By successfully completing Corporate Governance for Banking & Other Financial Institutions, participants will gain a thorough understanding of board governance, risk governance, control functions, conduct, and supervisory expectations in financial institutions. They will also acquire practical skills in board effectiveness, risk appetite design, ethics oversight, and governance assessment. In addition, the course prepares them to lead governance improvement with confidence. Gentex Training Center delivers this programme with a strong focus on real institutional practice and measurable governance strengthening.

FAQs for Corporate Governance for Banking & Other Financial Institutions course





Q1 What is the "Corporate Governance for Banking & Other Financial Institutions" course about?

It is a five-day programme on how banks and financial institutions are governed. It covers board structure and duties, committee mandates, risk governance, control functions, conduct and ethics, remuneration, disclosure obligations, and supervisory expectations for financial firms.

Q2 What are the key benefits of the "Corporate Governance for Banking & Other Financial Institutions" course?

Participants gain a clear view of what boards and control functions must do to meet regulatory expectations. The course improves board effectiveness, strengthens risk governance and appetite discipline, raises conduct and ethics standards, reduces supervisory findings, and protects depositor confidence and institutional reputation.

Q3 What skills will I gain from the "Corporate Governance for Banking & Other Financial Institutions" course?

Participants gain board effectiveness and committee oversight, risk governance and risk appetite design, ethics, conduct and remuneration governance, and corporate governance disclosure, evaluation and improvement planning. These four skills cover the full governance mandate of a financial institution.



Q4 What tools, methods, or standards are covered in the "Corporate Governance for Banking & Other Financial Institutions" course?

The course covers the Basel Committee Corporate Governance Principles for Banks, OECD governance principles, national corporate governance codes, board and committee charters, the three lines model, risk appetite statements, chief risk officer independence arrangements, fit-and-proper assessment criteria, conflict-of-interest registers, remuneration and risk alignment frameworks, whistleblowing protocols, governance disclosure requirements, board performance scorecards, and governance maturity models.

Q5 How is the "Corporate Governance for Banking & Other Financial Institutions" course applied in real-world practice?

Participants apply the frameworks inside their own institutions. They review board and committee charters, draft risk appetite statements, prepare board papers, register and manage conflicts of interest, assess conduct and culture, prepare governance disclosures, and run board evaluations. Many leave with a governance improvement roadmap for their institution.