Governance in Financial Services Training Course

Professional Development Training Course Outline

Category	Corporate Governance	**Duration**	10 Days
Base Fee	$3,000 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

The financial services industry operates within a highly dynamic and regulated environment, requiring robust governance frameworks to ensure operational excellence, compliance, and sustainable growth. Governance in Financial Services Training Course is designed to equip professionals with the knowledge and practical tools necessary to strengthen organizational governance structures, mitigate risks, and enhance decision-making processes. Participants will gain insight into the evolving regulatory landscape, emerging trends in corporate governance, and the strategic implementation of governance frameworks across banks, investment firms, and insurance companies. The course emphasizes the integration of ethical standards, risk management, and compliance into organizational practices, ensuring participants can align corporate objectives with regulatory expectations and industry best practices.

This course combines theoretical knowledge with practical case studies to provide a hands-on learning experience. Through interactive modules, participants will explore topics including regulatory compliance, board responsibilities, risk oversight, internal controls, and ethical decision-making. Participants will also learn to evaluate governance frameworks, implement effective control mechanisms, and promote transparency and accountability within their organizations. By the end of the training, participants will be capable of fostering a culture of compliance and good governance, positioning their organizations for long-term success and resilience in a competitive financial market.

Programme Curriculum

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Course Objectives

1. Understand the principles and frameworks of corporate governance in financial services.
2. Examine regulatory compliance requirements across banks, insurance, and investment sectors.
3. Explore risk management strategies and their role in effective governance.
4. Analyze board responsibilities, accountability, and oversight functions.
5. Evaluate internal control systems and compliance monitoring mechanisms.
6. Understand ethical decision-making and corporate social responsibility practices.
7. Identify emerging governance trends in fintech and digital financial services.
8. Develop strategies for stakeholder engagement and transparent reporting.
9. Implement effective policies to mitigate operational and financial risks.
10. Examine case studies on governance failures and lessons learned.
11. Enhance decision-making skills for senior management and governance committees.
12. Promote a culture of compliance, accountability, and risk awareness.
13. Integrate technology solutions to support governance, risk, and compliance (GRC) frameworks.

Organizational Benefits

- Strengthened governance structures and board effectiveness.
- Improved compliance with regulatory and industry standards.
- Reduced operational, financial, and reputational risks.
- Enhanced decision-making and strategic oversight.
- Increased transparency and accountability across departments.
- Cultivation of an ethical organizational culture.
- Integration of technology and digital tools for governance efficiency.
- Greater stakeholder confidence and trust.
- Enhanced risk management capabilities.
- Alignment of corporate objectives with regulatory expectations.

Target Audiences

1. Senior executives and board members in financial institutions.
2. Compliance officers and risk managers.
3. Internal auditors and control officers.
4. Financial analysts and investment managers.
5. Corporate governance consultants.
6. Legal advisors in the financial sector.
7. Fintech managers and digital finance leaders.
8. Policy makers and regulatory agency professionals.

Course Duration: 10 days

Course Modules

Module 1: Introduction to Corporate Governance

- Principles and frameworks of governance in financial services
- Evolution of corporate governance practices
- Roles and responsibilities of boards and committees
- Governance and strategic decision-making alignment
- Case Study: Governance failure in a multinational bank
- Practical exercise on governance assessment

Module 2: Regulatory Compliance Frameworks

- Key financial regulations and supervisory bodies
- Compliance risk assessment and monitoring
- Anti-money laundering and fraud prevention
- Reporting and disclosure requirements
- Case Study: Regulatory breaches and enforcement actions
- Practical workshop on compliance framework implementation

Module 3: Risk Management and Oversight

- Types of risks in financial services
- Enterprise risk management frameworks
- Board and senior management oversight responsibilities
- Risk culture and communication
- Case Study: Risk management failure in an insurance company
- Risk mitigation exercise

Module 4: Internal Controls and Audit Functions

- Design and evaluation of internal control systems

- Role of internal and external audits in governance
- Monitoring and reporting internal control effectiveness
- Audit committees and accountability
- Case Study: Audit failure analysis in a banking institution
- Practical audit assessment exercise

Module 5: Ethical Governance and Corporate Social Responsibility

- Ethical decision-making frameworks
- CSR initiatives and financial service responsibilities
- Stakeholder management and engagement
- Promoting transparency and accountability
- Case Study: Ethical dilemma in investment management
- Ethics scenario-based workshop

Module 6: Emerging Trends in Governance

- Fintech and digital financial services governance
- Impact of AI and automation on risk management
- Cybersecurity and data governance considerations
- Sustainable finance and ESG integration
- Case Study: Fintech governance challenges
- Interactive group discussion on emerging trends

Module 7: Board Responsibilities and Accountability

- Roles of the board, committees, and executives
- Performance evaluation of boards and committees
- Strategic oversight and decision-making
- Legal and fiduciary duties
- Case Study: Board accountability in financial crisis
- Board simulation exercise

Module 8: Policy Development and Implementation

- Developing governance policies and procedures
- Implementation challenges and solutions
- Policy monitoring and updates
- Integration with organizational risk management
- Case Study: Policy failure and corrective actions
- Hands-on policy drafting exercise

Module 9: Stakeholder Engagement and Reporting

- Effective communication strategies
- Stakeholder mapping and engagement planning
- Reporting frameworks and transparency
- ESG and sustainability reporting
- Case Study: Stakeholder backlash due to poor reporting
- Reporting exercise with practical templates

Module 10: Technology and Digital Governance

- GRC software and digital tools for governance
- Data analytics for monitoring and reporting
- Cyber risk management frameworks
- Automation of compliance and controls
- Case Study: Digital governance implementation
- Digital tool hands-on session

Module 11: Crisis Management and Governance Failures

- Governance in crisis situations
- Lessons from past failures
- Risk response and mitigation strategies
- Recovery and resilience planning
- Case Study: Crisis management in a global bank
- Scenario-based crisis simulation

Module 12: Governance in Investment Firms

- Governance structures for asset managers and investment funds
- Risk management and compliance in investments
- Fiduciary duties and ethical investment practices
- Performance monitoring and oversight
- Case Study: Investment governance failure
- Investment scenario workshop

Module 13: Governance in Insurance Companies

- Regulatory frameworks for insurance governance
- Risk and solvency monitoring
- Policyholder protection and ethical obligations

- Corporate governance in underwriting and claims
- Case Study: Insurance governance collapse
- Insurance governance simulation

Module 14: Sustainability and ESG Governance

- ESG principles and governance integration
- Reporting and disclosure requirements
- Risk and opportunity management in ESG
- Board oversight of ESG initiatives
- Case Study: ESG compliance and reporting challenges
- Group discussion on sustainable governance strategies

Module 15: Capstone Project and Assessment

- Comprehensive case study analysis
- Governance risk assessment exercise
- Policy and procedure evaluation
- Strategic governance recommendations
- Presentation of findings to peers
- Feedback and performance assessment

Training Methodology

- Interactive lectures and presentations
- Group discussions and workshops
- Case studies and real-world scenarios
- Hands-on exercises and simulations
- Role-playing and board exercises
- Digital tools and software demonstrations
- Scenario-based assessments
- Peer presentations and feedback
- Continuous knowledge checks
- Q&A sessions with industry experts

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call *+254769199797*

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.
f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	04 Dec 2026	Online	$2,000
23 Nov 2026	04 Dec 2026	Physical	$3,000
23 Nov 2026	04 Dec 2026	Physical	$6,000
23 Nov 2026	04 Dec 2026	Physical	$6,000
23 Nov 2026	04 Dec 2026	Physical	$12,000
23 Nov 2026	04 Dec 2026	Physical	$9,000
23 Nov 2026	04 Dec 2026	Physical	$12,000
23 Nov 2026	04 Dec 2026	Physical	$12,000

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