Regulatory Compliance Management in Banking Training Course

Professional Development Training Course Outline

Category	Banking Institute	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

Regulatory Compliance Management in Banking Training Course is designed to equip banking professionals with advanced knowledge and practical skills to navigate the rapidly evolving regulatory landscape, compliance frameworks, risk governance, and financial industry standards. As banks face increasing scrutiny from regulators, customers, and stakeholders, effective regulatory compliance, operational resilience, anti-money laundering (AML), data protection, conduct risk management, and regulatory technology (RegTech) have become critical success factors. This course focuses on building a proactive compliance culture that enables financial institutions to manage regulatory obligations, reduce compliance risks, and strengthen corporate governance.

In an era of digital transformation, fintech disruption, cybersecurity threats, ESG regulations, and cross-border banking operations, organizations require professionals who can implement robust compliance management systems, regulatory change management processes, risk-based monitoring frameworks, and regulatory reporting mechanisms. Through practical case studies, industry examples, and interactive learning, participants will develop the capabilities required to support sustainable banking operations, enhance regulatory effectiveness, and create a future-ready compliance environment.

Programme Curriculum

Regulatory Compliance Management in Banking Training Course

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Course Duration

5 days

Course Objectives

By the end of this training course, participants will be able to:

1. Understand the fundamentals of modern regulatory compliance management frameworks in banking.
2. Develop effective risk-based compliance strategies aligned with global banking standards.
3. Apply regulatory governance models to strengthen compliance accountability.
4. Identify and manage regulatory risks and emerging compliance challenges.
5. Implement effective AML, Counter-Terrorist Financing (CTF), and financial crime compliance controls.
6. Understand the role of RegTech, automation, and artificial intelligence in compliance monitoring.
7. Design efficient compliance monitoring and testing programs.
8. Improve regulatory reporting accuracy, transparency, and accountability.
9. Manage regulatory change management processes effectively.
10. Strengthen data privacy, cybersecurity, and information governance compliance.
11. Apply global regulatory principles including Basel standards, FATF recommendations, and corporate governance practices.
12. Develop strategies for managing conduct risk, consumer protection, and ethical banking practices.
13. Build a culture of continuous compliance improvement and regulatory excellence.

Target Audience

1. Chief Compliance Officers and Compliance Managers
2. Banking Risk Management Professionals
3. Regulatory Affairs Officers
4. Internal Auditors and Control Officers
5. AML/KYC and Financial Crime Specialists
6. Banking Operations Managers
7. Corporate Governance and Legal Professionals
8. Digital Banking and FinTech Compliance Teams

Course Modules

Module 1: Foundations of Regulatory Compliance Management in Banking

- Evolution of banking regulations and compliance responsibilities
- Role of compliance within modern banking governance structures

- Understanding regulatory frameworks and supervisory expectations
- Developing a strong compliance culture and ethical mindset
- Integration of compliance with enterprise risk management
- **Case Study:** A global bank strengthens its compliance framework after regulatory findings related to weak governance controls.

Module 2: Regulatory Governance and Compliance Framework Design

- Building an effective compliance management system (CMS)
- Three lines of defense model and compliance accountability
- Compliance policies, procedures, and control frameworks
- Role of boards and senior management in compliance oversight
- Measuring compliance effectiveness through key performance indicators
- **Case Study:** A regional bank redesigns its compliance governance model to improve regulatory oversight.

Module 3: Regulatory Risk Assessment and Compliance Monitoring

- Identifying regulatory risks across banking operations
- Conducting compliance risk assessments
- Risk-based monitoring and control testing approaches
- Developing compliance dashboards and reporting tools
- Managing regulatory breaches and remediation actions
- **Case Study:** A commercial bank implements a risk-based compliance monitoring program to reduce operational failures.

Module 4: Anti-Money Laundering (AML), KYC and Financial Crime Compliance

- Understanding AML and CTF regulatory requirements
- Customer due diligence (CDD) and enhanced due diligence (EDD)
- Transaction monitoring and suspicious activity reporting
- Managing sanctions screening and fraud prevention controls
- Using analytics and AI for financial crime detection
- **Case Study:** A multinational bank uses advanced analytics to improve detection of suspicious transactions.

Module 5: Regulatory Change Management and Compliance Transformation

- Managing increasing regulatory complexity
- Regulatory horizon scanning techniques
- Implementing regulatory change management frameworks
- Assessing business impact of new regulations
- Leveraging technology for compliance transformation
- **Case Study:** A banking group establishes a regulatory intelligence function to manage new compliance obligations.

Module 6: Digital Banking, Data Privacy and Cyber Compliance

- Compliance challenges in digital banking ecosystems
- Data protection regulations and customer privacy requirements
- Cybersecurity governance and regulatory expectations

- Third-party risk and cloud compliance management
- Managing fintech partnerships and open banking risks
- **Case Study:** A digital bank improves customer data protection after implementing stronger privacy controls.

Module 7: Regulatory Reporting, Audit and Supervisory Engagement

- Regulatory reporting standards and accuracy requirements
- Preparing for regulatory examinations and inspections
- Managing audit findings and corrective actions
- Building effective regulator relationships
- Improving transparency through compliance analytics
- **Case Study:** A financial institution improves regulatory reporting processes after supervisory review findings.

Module 8: Future Trends in Banking Compliance and RegTech Innovation

- Artificial intelligence and machine learning in compliance
- Automation of compliance processes and controls
- Emerging risks from cryptocurrencies and digital assets
- ESG compliance and sustainable finance regulations
- Building future-ready compliance operating models
- **Case Study:** A technology-driven bank adopts RegTech solutions to automate compliance monitoring.

Training Methodology

- Interactive lectures and presentations.
- Group discussions and brainstorming sessions.
- Hands-on exercises using real-world datasets.
- Role-playing and scenario-based simulations.
- Analysis of case studies to bridge theory and practice.
- Peer-to-peer learning and networking.
- Expert-led Q&A sessions.
- Continuous feedback and personalized guidance.

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	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

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