

# **Governance in Financial Institutions (GFI)**

**Full Marks: 100**

## **Module-A: Concept and pre-requisites**

- Basic Concept and Historical Perspective of Governance - Need & Importance of Corporate Governance. Benefit of Good Governance in Banks. BASEL's Principles on Corporate Governance for Banks. Vision, Mission, Purpose, Brand Promise, Code of Conduct,

## **Module-B: Board and its Responsibilities**

- Overall responsibility of Board, Board Members, Independent Members, Various Committees, Setting strategic objectives, governance framework and corporate culture, BB's Guidelines for Measuring Board Performance, Board Dissolve and Appointment of Observer

## **Module-C: CEO and Senior Management**

- Tone from the top; Composition and qualification of CEO and other senior managers; Senior Management Committees; Business strategy; Management Culture; Organization Culture; Changing CEO and Senior Management

## **Module-D: Capital, Liquidity and Assets**

- Capital Adequacy, Liquidity Profile, Asset Composition, RWA, Liability and Asset Drives, Managing Problem Assets

## **Module-E: Risk Management and Controls**

- ERMF, Risk Scanning and emerging Risks, Risk Appetite, Risk Culture, Managing Material Risks, Appropriate implementation of 03 (three) lines of defense, Strength and Independent functioning of 2<sup>nd</sup> line functions and Internal Audit, Regulatory compliance,

## **Module-F: Subsidiary and other business governance**

- Brokerage, Merchant Banking, Custodial Services, OBU, Islamic Window, MFS, Agent Banking.

## **Module-G: Stakeholder Governance**

- Relationship with Regulators, Local Government Agencies; Regulations on Corporate Governance; Relationship with Shareholders; Relationship with Competitors and Market Conduct; Relationship with Customer, Complaint Management; Relationship with Media; Relationship with Civil Society; Relationship with Community and CSR. Disclosure and Transparency.

## **Module-H: Future Outlook of the Organization**

- Market Positioning, New Business initiatives, Digital Agenda, Systems and infrastructure capabilities, People Plan, Succession Plan, Recruiting and upscaling employees of future.

## **References:**

1. G. N. Bajpai "The Essential Book of Corporate Governance", SAGE Publications
2. Corporate Governance: Robert A. G. Monks, Nell Minow, Malden, Mass. : Blackwell Pub., 2004.
3. Robert Ian Tricker: Corporate Governance 4e: Principles, Policies, and Practices., Oxford University Press, 2019
4. Zabihollah Rezaee : Criminal and Civil Investigation Handbook, Wiley
5. Carol Padgett: Corporate Governance: Theory and Practice, Springer Publications
6. Cornelis A De Kluyer: A Primer on Corporate Governance, Business Expert Press, 2013
7. Chris A. Mallin: A Primer on Corporate Governance, Published by OUP Oxford (2012)
8. Hester PaanackerAdam MastersLeo Huberts, Quality of Governance
9. Mark Bevir, Governance: A Very Short Introduction  
Zabihollah Rezaee, Corporate Governance and Ethics