

# Bachelor of **Business Management Programme**

(Affiliated to Jain University)

Academics  
Entrepreneurship  
Corporate Training  
Toastmasters  
Dual Programme  
CAT Training  
Cambridge University Programme  
Workshops and Seminars  
Analysis  
Strategy  
Research  
Leadership  
Industrial Visits  
International Visits  
International Seminars  
Abhinaya  
Threshold  
Lasya  
Precipice  
Distribution  
Sales  
Media

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**Jain University (Constituent Colleges and Centres)**

School of Graduate Studies, J C Road, Bangalore, Karnataka  
 School of Engineering & Technology, Kanakapura, Karnataka  
 Center for Management Studies, Bangalore, Karnataka  
 Center for Post Graduate Studies, Bangalore, Karnataka  
 School of Commerce & Management Studies, Bangalore, Karnataka  
 CMS Business School, Bangalore, Karnataka  
 Centre for Research in Social Science and Education, Bangalore, Karnataka  
 Centre for Emerging Technologies, Kanakapura, Karnataka  
 Centre for Research in Pure and Applied Sciences, Bangalore, Karnataka  
 Centre for Disaster Mitigation, Bangalore, Karnataka  
 Centre for Ancient History & Culture, Bangalore, Karnataka  
 Centre for Indian Psychology, Bangalore, Karnataka  
 Centre for Advanced Studies in Biosciences, Bangalore, Karnataka  
 Chenraj Roychand Centre for Entrepreneurship, Bangalore, Karnataka  
 International Institute for Aerospace Engineering and Management, Bangalore, Karnataka  
 Centre for Nano & Material Sciences

**Colleges (Pre-University, Under Graduate, Post Graduate)**

Sri Bhagawan Mahaveer Jain College (SBMJC), V V Puram, Bangalore, Karnataka  
 Sri Bhagawan Mahaveer Jain College, J C Road, Bangalore, Karnataka  
 Sri Bhagawan Mahaveer Jain Evening College, V V Puram, Bangalore, Karnataka  
 Sri Bhagawan Mahaveer Jain Evening College, J.C Road, Bangalore, Karnataka  
 Sri Bhagawan Mahaveer Jain College, K.G.F, Karnataka  
 Jain College, Belgaum, Karnataka  
 Jain College, Kanakapura, Karnataka  
 Jain College, Hubli, Karnataka  
 Jain College, Jayanagar, Bangalore, Karnataka  
 Jain College, Rajarajeshwari Nagar, Bangalore, Karnataka  
 Jain College, Jamshedpur, Jharkhand  
 Jain College of Engineering, Belgaum, Karnataka  
 Jain College of MCA & MBA, Belgaum, Karnataka  
 Jain Institute of Technology, Davanagere, Karnataka  
 Jain Polytechnic, Belgaum

**Management & Professional Excellence Institutions**

MATS Institute of Management & Entrepreneurship, Bangalore, Karnataka  
 Human Networking Academy, Bangalore, Karnataka  
 School for Leadership & Entrepreneurial Excellence, Bangalore, Karnataka  
 Jain Animation School, Bangalore, Karnataka  
 SBMJC Centre for Design, Bangalore, Karnataka

**Schools (Preschool to 12)**

Jain International Residential School, Kanakapura, Karnataka  
 Jain Heritage School, Bangalore, Karnataka  
 Jain Heritage School, Belgaum, Karnataka  
 Jain Heritage School, Tirupathi, Andhra Pradesh  
 Jain Heritage School, Madanapalli, Andhra Pradesh  
 Jain Heritage a Cambridge School, Kondapur, Andhra Pradesh

Jain Heritage a Cambridge School, Shamirpet, Andhra Pradesh  
 Jain Heritage a Cambridge School, Visakhapatnam, Andhra Pradesh  
 Jain Heritage a Cambridge School, Nagpur, Maharashtra  
 Jain Public School, Kanakapura, Karnataka  
 Jain Public School, Davanagere, Karnataka  
 Jain Public School, Ratlam, Madhya Pradesh  
 Jain Public School, Badnagar, Madhya Pradesh  
 Jain Public School, Jhabua, Madhya Pradesh  
 Jain Public School, Secunderabad, Andhra Pradesh  
 Jain Public School, Ranebennur, Karnataka  
 Jain Public School, Korba, Chhattisgarh  
 Jain Public School, Tumkur, Karnataka  
 Jain Public School, Chintamani  
 Jain Public School, Bijapur, Karnataka  
 Jain Public School, Shimoga, Karnataka  
 Jain Public School, Bellary, Karnataka  
 The Jain International School, Bangarpet, Karnataka  
 The Jain International School, KGF, Karnataka  
 The Jain International School, Hubli, Karnataka  
 The Jain International School, Aurangabad, Maharashtra  
 The Jain International School, Mulbagal, Karnataka  
 Jain English Medium School, Kadri, Andhra Pradesh  
 Jain Toddlers, Bangalore, Karnataka  
 Jain Toddlers, Jayanagar, Bangalore, Karnataka  
 Jain Toddlers, Jubilee Hills, Hyderabad, Andhra Pradesh  
 Jain Toddlers, Kondapur, Hyderabad  
 Jain Toddlers, Mahindra Hills, Secunderabad, Andhra Pradesh  
 Jain Toddlers, BITS Pilani, Secunderabad  
 Jain Toddlers, Aurangabad, Maharashtra  
 Jain Toddlers, Kanpur, Uttar Pradesh  
 Jain Toddlers, Hubli, Karnataka  
 Jain Toddlers, Indore, Madhya Pradesh  
 Jain Toddlers, Shimoga, Karnataka  
 Jain Toddlers, Madanapalli, Andhra Pradesh  
 Jain Toddlers, Mysore, Karnataka  
 Jain Toddlers, Hindupur, Andhra Pradesh  
 Jain Toddlers, Kolar, Karnataka  
 MI Kids, Bangalore

**Sports Schools**

Jain Academy for Sporting Excellence, Kanakapura, Karnataka  
 Jain Academy for Sporting Excellence, Hyderabad, Andhra Pradesh

**JGI Life (JGI's Social Initiatives)**

Jain Vidyaniketan (An Opportunity School), Kanakapura, Karnataka  
 Jain Vidyaniketan, Amethi, Uttar Pradesh  
 Radio Active - Community Radio (90.4 MHz), Bangalore, Karnataka

**ADMINISTRATION CONTACT DETAILS**

1. All Administrative Matters .....	Prof. Dinesh N, Center Head .....	9845289916
2. Academics .....	Prof. Krishna Reddy B N, HOD .....	9880539139
3. Examination .....	Prof. Parthasarathy, HOD .....	9449117362
4. Administration .....	Prof. Vanitha J Deepak, HOD .....	8553018180
5. Dual Programme .....	Dr. Raghu G. Anand, Head .....	8861103085
6. Counseling .....	Dr. Uma Warriar, Chief Counselor, JU .....	9886304345
7. Cambridge Projects .....	Mrs. Jayashree .....	9886403331
8. Documentation .....	Mrs. Chaithra Shetty .....	9845363969
9. Finance and Fees .....	Mr. Thyagaraj .....	9845961539
10. Corporate Internship / Placements .....	Ms. Anisha .....	9964308729
	Mr. Satish .....	9742591010
	Mr. Abhishek Raju .....	9845255996
11. Infrastructure .....	Mr. Nishanth .....	9845285696
12. University Admn/Exam Co-ordinator. ....	Mr. Suresh Kumar. ....	9740283525
13. Sports .....	Mr. Pasha .....	9741988470
14. Lab in-charge .....	Mr. Umesh Nayak .....	9901482983
15. Librarian .....	Mr. Pampapati .....	9743988176
16. Attendance .....	Mr. Anandraj / Mr. Kumar .....	9008716963 / 8762313331
17. Hostel .....	Mr. Pintu Agarwal .....	9880011013
18. Systems Administrator (Computer) .....	Mr. Rajashekar Reddy .....	9590998803

**DUAL PROGRAM COORDINATORS**

BBA + Practical Finance .....	Mr. Vinay Sampath
BBA + Practical Marketing .....	Mr. Vinay Sampath
BBA + ACCA .....	Mr. Vinay Sampath
BBA + Practical Human Resource .....	Prof. Roopa Traisa
BBA + Family Managed Business .....	Prof. Sunitha B. K.
BBA + Entrepreneurship .....	Prof. Vanitha J. Deepak
BBA + Event Management .....	Dr. Anita Walia
Foreign Language .....	Mrs. Ruchi Banthiya

**TEACHING STAFF**

Prof. Krishna Reddy B N	Prof. Yashoda L	Prof. Mahmood Yunis	Prof. Gnanapazham
Prof. Parthasarathy R	Prof. Mahak Balani	Prof. Sneha Vatsa	Prof. Madhavan
Prof. Vanitha J Deepak	Prof. Supriya Rai	Prof. Vincent Paul	Prof. Shankar Prasad
Dr. Uma Warriar	Prof. Varalakshmi S	Prof. Samuel T Varghese	Prof. Thanga Kumar
Prof. Sunitha B K	Prof. Srinidhi V R	Prof. R.Ratchana	Prof. Gomathi Shubalekha
Prof. Hemalatha B S	Prof. Sarita Sinha	Prof. Kiran L Maney	Prof. Shruti Srinivasan
Prof. Radha Prathi	Dr. Raghu G Anand	Prof. Roopa John	Prof. Nikitha Neelappa.S
Prof. Roopa Traisa	Prof. Selvarani Paulraj	Prof. Sweta Tandon	Prof. Husan Sadiya
Prof. Babitha B S	Prof. Lakshman K	Prof. Shagufta Rabbani	
Dr. Umakanth.S	Prof. Meena Jain	Prof. Anindita Banerji	
Dr. Anita Walia	Prof. Tejaswini Siddharth	Prof. Sindhuja.A	

- Prayer is compulsory for all the students.
- Final examination will be conducted after every semester under Jain University rules and regulations
- Students are assigned only the language studied in their 12th Standard.
- Attendance is compulsory for BBM to the extent of 75 percent. Those students who do not attend classes will not be allowed to take the University Examination for that semester.
- The Optra system of electronically registered attendance is used at JU-CMS. The attendance is marked and conveyed via computer to Parents/ Guardians in real time, ensuring regular feedback and accuracy of attendance. For details visit : [cms.optraservice.com](http://cms.optraservice.com) and for Login ID and password Contact: 080-43430207 / Email : [anand@cms.ac.in](mailto:anand@cms.ac.in)
- Students on their way to and from college are expected to report themselves in a responsible manner.
- Medical Certificates should be personally submitted to the HOD, after obtaining Class Teacher's signature within one day of reporting back to the college.
- Students are strictly forbidden to leave the college premises during the regular college hours.
- Irregular attendance, habitual idleness, neglect of assignment, disobedience and disrespect towards members of the college staff or bad moral influence, justify dismissal.
- Birthday celebrations in the college should be avoided.
- Use of cell phone in classes is strictly not allowed. Students caught using cell phone in whatsoever manner will be penalized.
- Students should come to college appropriately dressed.
- The purpose of dress code is to maintain an atmosphere conducive to learning. Students are expected to keep themselves well groomed, neatly dressed and maintain discipline.
- Boys are not permitted to wear Bermudas / shorts, torn jeans & ear- studs on any day, on campus. And they should have a short hair cut.
- Girls should adopt dresses that are not transparent, too short, sleeveless & ¾ pants.
- Body piercing / tattoos are strictly forbidden.
- Chewing gum in class is forbidden.
- Students are requested to avoid smoking in & around college premises.
- Footwear should be acceptable at corporate level as we are a Business School. Flip-flops, chappals and similar casual wear should strictly be avoided.
- Students should carry their College ID Cards always. Loss of ID card should be reported to admin immediately. A new ID Card will be issued only after legal procedures are completed (a legal complaint and FIR).
- A student may be required to take part in co-curricular and extra-curricular activities. When required to do so, participation will be deemed compulsory by the college authorities.
- Guest lectures on topics, which are related to the subject, will be given and during these lectures blazers and attendance is compulsory.
- Regarding fieldwork of competitions and Fests or participation in the competitions and extra curricular activities prior permission of the Principal / HOD and Class Teacher is required.
- Regarding fieldwork given by Corporates, students should follow the concerned rules and regulations and maintain the work diary.
- Students are not suppose to bring their Four Wheelers.
- Writing on the walls, furniture or any college property will not be tolerated by the management. Individual found indulging in such activities would be severely punished.

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- Your first concern as a parent should be to see that your ward attends the college regularly. Parents who permit their ward to be absent from college unnecessarily handicap their ward's opportunity to succeed in studies.
  - The Optra system of electronically registered attendance is used at JU-CMS. The attendance is marked and conveyed via computer to Parents/ Guardians in real time, ensuring regular feedback and accuracy of attendance. For details visit : [cms.optraservice.com](http://cms.optraservice.com) and for Login ID and password Contact: 080-43430207 / Email : [anand@cms.ac.in](mailto:anand@cms.ac.in)
  - You can contribute a great deal to your ward's success in the college by encouraging home study. See that your ward devotes at least one hour every day for his / her studies at home.
  - Parents are expected to co-operate in the work of the college by enforcing regularity and discipline by evincing interest in their child's progress and extending the fullest encouragement to participate in co-curricular and extra-curricular activities.
  - When you are requested to meet the Principal or the class teacher, it should be done immediately because the feed back of the ward's weakness in the class can be directly communicated.
  - A wholesome attitude towards college and confidence in his / her teachers is essential for the ward's maximum success in college. Criticism of your ward's teachers in his / her presence should be avoided since it gives room for the ward to lose respect for teachers and consequently he / she fails to learn from these teachers. If you have a legitimate complaint, meet the Principal at the earliest.
  - Withdrawal of your ward from class for a mere social function is not recommended because it retards his /her progress in college and minimizes his / her respect for regular hard work.
  - Encourage your ward to cultivate the habits of neatness, self help and systematic work.
  - Ensure that your ward does not bring any costly gadgets to college. College will not be responsible for it in whatsoever manner.
  - Failure to pay the fees on time will be viewed seriously.
  - Parents are requested to notify in writing in case of any change of address, E mail ID's, Telephone numbers by E mail to [info@cms.ac.in](mailto:info@cms.ac.in).
  - Please log on to [www.cms.ac.in](http://www.cms.ac.in) & go to student information system on the homepage to view child's attendance and performance.
  - Mobiles will be seized if kept on when the classes are in progress.
  - Parents will get an official letter if college is taking the students out of station for projects.
  - Parents should not come to college and disturb the child during class hours.
  - Parents are welcome after the sessions conclude for the day.
  - International Visits and Air Tickets
    - As per the rule of Government of India. Child is allowed to travel on concession from college to home town only.
      - Students passports should be ready for International visit and please check the expiry date for the same.
      - Air Baggage should not exceed 15 to 20 kgs.
      - Jewellery & Valuables are strictly forbidden and the college is not responsible for the loss of such items.
  - Leave Policy
    - No leave is permitted during the Academic year for functions / Marriages /Pooja's
    - **Special leave is granted only for marriages of own brothers and sisters. For this the parents have to send an application attached with the wedding card.**
    - Medical leave and certificate is only an information and not a document for attendance.
-

**JUNE 2014**

- 2<sup>nd</sup> - College reopens for III & V semester
- 5<sup>th</sup> - College reopens and Orientation for I semester
- 5<sup>th</sup> – 24<sup>th</sup> - Orientation program for the I semester BBA /BMS
- First week - Commencement of Internship & Allotment of guides for the Minor Project - III semester
- Third week – Commencement of Dual program classes for III & V semester

**JULY 2014**

- First week - Commencement of Dual program classes for I semester
- 28<sup>th</sup> - Freshers Day
- 29<sup>th</sup> - Ramzan

**AUGUST 2014**

- 1<sup>st</sup> – Commencement of Mid term tests
- 8<sup>th</sup> - Varamahalakshmi Festival
- 15<sup>th</sup> - Independence Day
- 28<sup>th</sup> - Swarnagowri Vratha
- 29<sup>th</sup> - Ganesha Chaturthi
- 22<sup>nd</sup> -23<sup>rd</sup> Toastmasters Installation
- Workshops, Seminars and Industrial Visit

**SEPTEMBER 2014**

- 1<sup>st</sup> – 5<sup>th</sup> - CMS Football Tournament
- 2<sup>nd</sup> - Submission of Minor Project for III semester
- First week – Commencement of Campus Placements for VI semester
- 8<sup>th</sup> – Commencement of Pre finals for I, III & V semester
- 24<sup>th</sup> – Mahalaya Amavasya
- Third week - Viva Voce for III semester

**OCTOBER 2014**

- 1<sup>st</sup> - Submission of Internal Assessment
- 2<sup>nd</sup> - Gandhi Jayanthi
- 3<sup>rd</sup> & 4<sup>th</sup> - Ayudha Pooja & Vijayadashami

- 5<sup>th</sup> – Bakrid
- 8<sup>th</sup> – Valmiki Jayanthi
- 18<sup>th</sup> Oct – 5<sup>th</sup> Nov - JU Final Exams for I, III & V semester
- 22<sup>nd</sup> – 24<sup>th</sup> - Diwali Vacation

**NOVEMBER 2014**

- 1<sup>st</sup> – Rajyotsava
- 4<sup>th</sup> – Muharam
- 8<sup>th</sup> – Kanakadasa Jayanthi

**DECEMBER 2014**

- 1<sup>st</sup> - College Reopens for II, IV & VI semester
- Second week- Announcement and allotment of Guides for the Major Project-VI semester
- 25<sup>th</sup> – Christmas

**JANUARY 2015**

- First week – CPL Tournament
- First week – Abhinaya Theatre Fest
- Last week – CMS Festival  
Threshold – Management Fest  
Melange – Media Fest  
Lasya – Cultural Fest  
Fundamentalist – Precipice Quiz  
Frisson – Economics Fest

**FEBRUARY 2015**

- 2<sup>nd</sup> – Mid Term Test
- Second week – Precipice – International Management Fest

**MARCH 2015**

- First week – CMS Cup
- Second week – Graduation / Achievers Day
- 24<sup>th</sup> – Pre-finals for II, IV, VI semester

**APRIL 2015**

- 13<sup>th</sup> to 30<sup>th</sup> – Commencement of JU final exams for II, IV, VI semester

**MAY 2015**

- Entrance Test for 2015-2016

Note : Dates are tentative, subject to change

Paper No.	Title of the Paper	Lecture Hrs per week	Credits	Total Marks		
				UE	CIA	Total
<b>Semester I</b>						
	LANGUAGE (Kan/ Hin / San / Add. Eng)	04	04	80	20	100
1 ENG 2	ENGLISH	04	04	80	20	100
1 BBM 3	BUSINESS MANAGEMENT	04	04	80	20	100
1 BBM 4	MARKETING MANAGEMENT – I	04	04	80	20	100
1 BBM 5	QUANTITATIVE METHODS – I	04	04	80	20	100
1 BBM 6	FINANCIAL ACCOUNTING – I	04	04	80	20	100
1 BBM 7	COMPUTER FUNDAMENTALS & APPLICATIONS	04	04	80	20	100
	<b>Total</b>	<b>28</b>	<b>28</b>	<b>560</b>	<b>140</b>	<b>700</b>
MANDATORY COURSE - COMPUTER FUNDAMENTALS & APPLICATIONS						
<b>Semester II</b>						
	LANGUAGE (Kan/ Hin / San / Add. Eng)	04	04	80	20	100
2 ENG 2	ENGLISH	04	04	80	20	100
2 BBM 3	BUSINESS ECONOMICS	04	04	80	20	100
2 BBM 4	HUMAN RESOURCE MANAGEMENT (HRM) - I	04	04	80	20	100
2 BBM 5	FINANCIAL ACCOUNTING – II	04	04	80	20	100
2 BBM 6	QUANTITATIVE METHODS – II	04	04	80	20	100
MIM12	MIND MANAGEMENT & HUMAN VALUES	04	04	80	20	100
	<b>Total</b>	<b>28</b>	<b>28</b>	<b>560</b>	<b>140</b>	<b>700</b>
MANDATORY COURSE - MIND MANAGEMENT AND HUMAN VALUES						
<b>Semester III</b>						
3 BBM 1	ORGANISATIONAL PSYCHOLOGY	04	04	80	20	100
3 BBM 2	BUSINESS ENVIRONMENT	04	04	80	20	100
3 BBM 3	PRODUCTION & OPERATIONS MANAGEMENT	04	04	80	20	100
3 BBM 4	COSTING FUNDAMENTALS	04	04	80	20	100
3 BBM 5	MINOR PROJECT (ON-SITE TRAINING)	04	04	80	20	100
3 BBM 6	RESEARCH METHODOLOGY	04	04	80	20	100
ESCI 12	ENVIRONMENTAL SCIENCE	04	04	80	20	100
	<b>Total</b>	<b>28</b>	<b>28</b>	<b>560</b>	<b>140</b>	<b>700</b>
MANDATORY COURSE - ENVIRONMENTAL SCIENCE						
<b>Semester IV</b>						
4 BBM 1	BUSINESS COMMUNICATION	04	04	80	20	100
4 BBM 2	MARKETING MANAGEMENT- II	04	04	80	20	100
4 BBM 3	BUSINESS FINANCE	04	04	80	20	100
4 BBM 4	ENTREPRENEURIAL DEVELOPMENT	04	04	80	20	100
4 BBM 5	HUMAN RESOURCE MANAGEMENT (HRM) - II	04	04	80	20	100
4 BBM 6	BUSINESS LAW	04	04	80	20	100
ICON 12	INDIAN CONSTITUTION	04	04	80	20	100
	<b>Total</b>	<b>28</b>	<b>28</b>	<b>560</b>	<b>140</b>	<b>700</b>
<b>Semester V</b>						
5 BBM 1	LEADERSHIP IN PRACTICE	04	04	80	20	100
5 BBM 2	CASE ANALYSIS & METHODOLOGY	04	04	80	20	100
5 BBM 3	MANAGEMENT ACCOUNTING	04	04	80	20	100
5 BBM 4	INCOME TAX - I	04	04	80	20	100
5 BBM 5	INTERNATIONAL BUSINESS	04	04	80	20	100
5 BBM 6E1	ELECTIVE – I	04	04	80	20	100
5 BBM 7E2	ELECTIVE – II	04	04	80	20	100
	<b>Total</b>	<b>28</b>	<b>28</b>	<b>560</b>	<b>140</b>	<b>700</b>



Semester VI						
6 BBM 1	STRATEGIC MANAGEMENT	04	04	80	20	100
6 BBM 2	MANAGEMENT INFORMATION SYSTEM	04	04	80	20	100
6 BBM 3	INCOME TAX - II	04	04	80	20	100
6 BBM 4	BANKING & INSURANCE	04	04	80	20	100
6 BBM 5E3	ELECTIVE – III	04	04	80	20	100
6 BBM 6E4	ELECTIVE – IV	04	04	80	20	100
6 BBM 7	PROJECT: Project Report Viva-voce	04	04	75 25		100
	<b>Total</b>	<b>28</b>	<b>28</b>	<b>580</b>	<b>120</b>	<b>700</b>

### ELECTIVE PAPERS

#### 5 BBM 6 E1 : ELECTIVE – I

- 5 BBM 6E 1.1 Financial Markets & Services
- 5 BBM 6E 1.2 Consumer Behaviour
- 5 BBM 6E 1.3 Entrepreneurship & Business Opportunity
- 5 BBM 6E 1.4 Human Resource Development

#### 5 BBM 7 E2 : ELECTIVE – II

- 5 BBM 7E 2.1 International Finance
- 5 BBM 7E 2.2 Marketing in Practice
- 5 BBM 7E 2.3 Entrepreneurial Start-up
- 5 BBM 7E 2.4 International HRM

#### 6 BBM 5 E3 : ELECTIVE – III

- 6 BBM 5E 3.1 Security Analysis & Portfolio Management
- 6 BBM 5E 3.2 Advertising & Media Management
- 6 BBM 5E 3.3 Finance for Entrepreneurship
- 6 BBM 5E 3.4 Labour Laws

#### 6 BBM 6 E4 : ELECTIVE – IV

- 6 BBM 6E 4.1 Financial Analysis & Planning
- 6 BBM 6E 4.2 Global Marketing
- 6 BBM 6E 4.3 Marketing for Entrepreneurship
- 6 BBM 6E 4.4 Compensation Management

Note: Semester starts from June - November & December - May

## Jain University - Internal Assessment Format

**Total marks awarded = 20**

### Bifurcation is as follows:

- a) Attendance shall carry 10 marks in internal assessment for Jain University. Marks for attendance shall be awarded on the following basis.

59% & Below	= 2
60% -74%	= 4
75% -79%	= 6
80% - 89%	= 8
90% and above	= 10

- b) Pre- Final test will carry 5 marks, marks shall be awarded as under **(Total=80 marks)**

49% & below	= 1
50% -59%	= 2
60% - 69%	= 3
70% -79%	= 4
80% and above	= 5

- c) Assignments & presentations will carry 5 marks.

Activity may include assignment / Field visit/ Presentations / Case study / Reviews/Articles/ Newspaper Reviews/ Current affairs/ Bulletin Board / Seminars etc.

**LANGUAGE****(1 SAN 1B) Sanskrit (Prescribed Text – ‘Saahitya Sanchayaha’)**

- |                    |                         |
|--------------------|-------------------------|
| 1. Gangalahari     | - Panditaraja Jagannath |
| 2. Kumarasambhavam | - Mahakavi Kalidasa     |
| 3. Harshacharitam  | - Mahakavi Banabhatta   |
| 4. Bhashakaushalam |                         |

**(1 KAN 1B) Kannada (Prescribed Text – ‘Kannada Sampada - I’)****Part -1 : Kavya**

- |  |                             |
|--|-----------------------------|
| 1. Abdiurmormo Kalavashadim Maryadeyam Dantade | - Nagachandra               |
| 3. Vachanagalu                                 | - Akkamahadevi              |
| 2. Jeevagalarigavu gurugalu                    | - Kumaravyasa               |
| 4. Bedara Kannappana Ragale                    | - Harihara                  |
| 5. Kerege Hara                                 | - Janapada                  |
| 7. Kurudu Kanchana                             | - D. R. Bendre              |
| 6. Madalingana Kanive                          | - Maasthi Venkatesh Iyengar |
| 9. Bengalurina Haadu                           | - Dr. Siddalingaiah         |
| 8. Bagdad : Ondu Prarthane                     | - H.S. Shivprakash          |
| 10. Lavajame                                   | - Lalitha Siddabasavaiah    |

**Part -2 : Sanna Kathe, Vichaara Saahithya, Lalitha Prabandha**

- |                                  |                           |
|----------------------------------|---------------------------|
| Meenakshiya Manemeshtu           | - Kuvempu                 |
| Vaicharika Pragnege Adethadegalu | - Dr. H. Narasimaiah      |
| Ondu Tundu Gode                  | - Boluvaru Mohammed Kunhi |
| Nishavagmigala Nitya Sathyagalu  | - Vasudendra              |

**Prashne Pathrike Swaroopa****(1 HIN 1B) Hindi (Prescribed Text – ‘Saahitya-Sahachar’)****Padya**

- |                   |                            |
|-------------------|----------------------------|
| 1. Dhanush Bhang  | - Goswami Thulsidas        |
| 2. Aarya          | - Mythilisharan Gupta      |
| 3. Nauka Vihar    | - Sumithranandan Panth     |
| 4. Hriday Ka Daan | - Ramdhari Singh ‘Dinakar’ |

**Gadya**

- |                               |                      |
|-------------------------------|----------------------|
| 1. Mevad ki Bhoomi Me         | - Rahul Sankrityayan |
| 2. Aurangazeb ki Akhiri Raath | - Ramkumar Verma     |
| 3. Kya Gandhi Yug Beet gaya ? | - Viveki Roy         |
| 4. Mahanagar ki Mythili       | - Sudha Aroda        |

**Shabdarth**

- |                           |
|---------------------------|
| 1. Paribhashik Shabdavali |
| 2. Prashna-patra Prarup   |

**(1 ADE 1) Additional English (Prescribed Text – ‘Reflections-I’)****Poetry**

1. The Meadow Mouse - *Theodore Roethke*
2. Death, the Leveler - *James Shirley*
3. Once Upon a Time - *Gabriel Okara*
4. Brook - *Tennyson*
5. Resolution and Independence - *William Wordsworth*
6. After Apple Picking - *Robert Frost*

**Prose**

1. Polonius - *Shakespeare*
2. At The Sign of The Lion - *Hilaire Belloc*
3. The Devoted Friend - *Oscar Wilde*
4. The Cop and the Anthem - *O. Henry*
5. The Century - *Jeffery Archer*
6. The Leopard Man's Story - *Jack London*

**(1 ENG 2) ENGLISH (Prescribed Text – ‘Impressions - I’)****Prose**

1. The Gift of the Magi - *O. Henry*
2. The Judgement of Paris - *Leonard Merrick*
3. Education - *Einstein*
4. A Cup of Tea - *Katherine Mansfield*
5. On Running After One's Hat - *G. K. Chesterton*
6. Clochette - *Guy de moupasant*

**Poetry**

1. The World is Too Much With Us - *William Wordsworth*
2. Darkling Thrush - *Thomas Hardy*
3. La Belle Dame Sans Merci - *John Keats*
4. Richard Cory - *Edwin Arlington Robinson*
5. The Pulley - *George Herbert*
6. Strong Mercy - *Rabindranath Tagore*

**Grammar**

1. Vocabulary
2. Subject-Verb Agreement

**(1BBM 3) BUSINESS MANAGEMENT****Sec A****Module 1 (12 hrs)**

**Introduction :** Meaning and definition need for business, nature of business, scope, objectives, Qualities of a successful business man. Forms of business ownership, Public, Private and Joint sector undertaking, Public Private Partnership, NGO - its characteristics, trusts, clubs and association.

**Module 2 (6 hrs)**

**Management :** Meaning, Emergence of management thought, characteristics of management scientific management, Administrative theory of Management, Principles of management, Social responsibility of management and ethics.

**Module 3 (6 hrs)**

**Planning :** Meaning & definition, Characteristics of good plan, Planning process, Types of plans, MBO & MBE, Decision – making, types of decisions, steps involved in decision making.

**Module 4 (17 hrs)**

**Organisation & Staffing :** Meaning, characteristics, formal & informal, importance of organisation, steps in organisation, organisation climate, organisation structure, departmentation – meaning and basis for departmentation, Span of management, Centralization VS Decentralization, Definition, situational factors affecting staffing, selection process-techniques, and instruments.

**Module 5 (6 hrs)**

**Directing :** Meaning and nature, principles of effective direction motivation -meaning, & importance of motivation in management, types of motivation, morale meaning & its affect on productivity, leadership, definition, theories & styles, communication nature, elements, essentials of an effective communication system, co-ordination, importance

**Module 6 (3 hrs)**

**Control :** Definitions, characteristics, steps in control process, importance and limitations, Control techniques (in brief).

**Sec B – Practical**

1. Visiting Leading non – government organization and study i) the Objectives, ii) Organizational structure, iii) funding and iv) the problems they are facing in rendering service and submit a report to your faculty.
2. Draft a imaginary partnership deed
3. Visit a successful business venture and analyze the leadership qualities of Chairman / CEO / functional Manager or even supervisors.
4. Draft a i) production control chart ii) inventory management chart iii) sources of distribution chart iv) production cost control chart

**Sec C – Articles****Reference books :**

- Management, Michael A Hitt, J Stewart Blace, Lyman W
- Essentials of management, Harold Koontz Heinz Weihrich - Tata Mc Graw - hill
- Business management, R. K Sharma, Shashi K. Gupta - Himalaya publishers.
- Business management, Appanniah Reddy - Himalaya publishers.
- Management principles and practices, Dr M. Sakthivel Murugan

**(1 BBM 4) MARKETING MANAGEMENT I****Sec A****Module 1 (10 hrs)**

**Overview of Marketing:** Introduction, Market and Marketing, Modern definition of marketing, Orientation of marketing, Core concepts of marketing, Scope of marketing, Importance of marketing –Selling Vs Marketing, Recent trends in marketing, Market segmentation, Basis of market segmentation, Benefits of market segmentation, Target market selection, Market targeting strategies, Positioning strategies, Marketing Mix, Traditional 4P's, Extended Marketing Mix.

**Module 2 (10 hrs)**

**Product :** Meaning of product and service- Classification of product- Levels of Product- Product Portfolio Planning (PPP) – Product Mix- Product Life Cycle (PLC)-Management of Product life cycle-New Product Development (NPD) – New product planning process-Product related strategies- Branding-Essentials of good brand- Packaging- Functions of packaging-Product warranty-After-Sales service- Labelling -Trade mark.

**Module 3 (8 hrs)**

**Price :** Introduction- Meaning and definition of pricing- Role of price mix- Importance of Pricing- Factors influencing pricing- Pricing decisions- Price setting strategies- Discounts and Allowances.

**Module 4 (7 hrs)**

**Place :** Meaning- Marketing Channel- Direct and Indirect channel- Channel Decisions- Distribution function- Intermediaries- Wholesalers and Retailers- Supply Chain Management –Logistics Management-Franchising.

**Module 5 (15 hrs)****Promotion**

Introduction - Promotional activities- Objectives of promotion-Promotion Mix -Promotional Mix Strategies, Advertising- Features of advertising- Advertising and Advertisement- Purpose of Advertising- Importance of advertising in marketing- Type of advertising- Creation of advertisement- Advertising in India- Sales Promotion- Purpose of sales promotion- Sales Promotion Techniques - Personal selling- Definition and Features- Objectives of personal selling- Features of Salesmanship- Essentials of effective selling- AIDAS Formula- Qualities of good Salesman.

**Module 6 (10 hrs)**

**Consumer Markets and Buyer Behaviour :** Consumer Market- Consumer buying and Industrial Buying- Types of Consumers- Buyer Behavior- Decision Making Unit (DMU)-Decision Making Process (DMP) - Influences on Buying Behavior-Consumerism- Customer Loyalty- Customer Delight - Not- For- Profit (NFP) Marketing- Marketing in micro enterprise—Global Context of Marketing- Virtual Marketplace- Ethics in marketing.

**Sec B- Practical**

1. Identify a company and prepare a report on the marketing strategies adopted by the company.
2. Pick any three print advertisement and critically evaluate them.

**Sec C - Articles****Reference books:**

- 'Marketing Management'- S.A. Sherlekar, Himalaya Publications, 13<sup>th</sup> Edition.
- 'Marketing Management' – C.B.Mamoria, R.K. Suri, Satish Mamoria, - Kitab Mahal Publication, 7<sup>th</sup> Edition.
- 'Marketing Management'- Kotler P, 11<sup>th</sup> Edition, Pearson Education, New York, 2003.

**(I BBM 5) QUANTITATIVE METHODS - I****Sec A**

**Objective:** The complex phenomena of the contemporary business world require scientific, logical and quantitative kit of tools to make optimal and sound decision. As a part of curriculum we are intended to equip our students in this direction by providing basic and intermediate level of quantitative techniques. Incorporation of this knowledge enables our students to draw optimal decision along with management.

**Module 1 (12 Hrs)**

Role of mathematics in business study, Permutation and Combination. Progression (Arithmetic and Geometric) - Introduction, nth term, sum to n terms of AP and GP- Application problems.

**Module 2 (12 hrs)**

Algebraic expression (Monomial, binomial and basic operations), Concept of Equations, Linear equation, Simultaneous linear equations, Quadratic equations, Methods of finding solution and business applications, Matrices, Basic operations, Minor and Cofactor, Matrix Inversion, Solving simultaneous equation by matrix method and application problems.

**Module 3 (4 hrs)**

Concept of Optimization, LPP, Maximization & Minimizations, Graphical method, Basic model building by using business data, finding solution (only by using graphical method).

**Module 4 (4 hrs)**

Concept of Functions ,Concept of differential calculus, Rate of change/Slope, Basic rules of differentiation(without proof),, Mathematical problems, Higher order derivative (only second order), Economics and Business applications

**Module 5 (2 hrs)**

Maxima and minima, Mathematical examples, Basic application, Profit Maximization, Revenue Maximization, Cost minimization, Break even analysis.

**Module 6 (5hrs)**

Concepts on Interest (Compound & simple), Annuity- FV,PV & Sinking Fund.

**Sec B – Practical**

1. Application of equation to business situation – any one situation
2. Application of matrix multiplication of any one business situation
3. Using differential calculus arriving at minimum cost, maximum revenue and maximum profit
4. Problems on simple and compound interest – Any two problems of different situations in each.

Reference book :

- Mathematics for Economic by Tarro yamane
- Business Mathematics & Economics by S.L. Agarwal
- Business Mathematics by B.M. Agarwal
- Quantitative Methods by Agarwal

**(1 BBM 6) FINANCIAL ACCOUNTING I****Sec A****Module 1 (10 hrs)**

**Theories, Concepts and Conventions :** Meaning, classification of accounting theories (Accounting Structure Theory, Interpretational Theory and Decision-usefulness theory), accounting equation concept, dual aspect concept, business entity concept, matching concept, legal aspect concept, going concern concept, convention of conservatism, convention of complete disclosure, convention of consistency, convention of materiality, terms used in book keeping.

**Module 2 (6 hrs)**

**Journal :** Meaning and uses of journal, journal entry, narration, sums on journal

**Module 3 (8 hrs)**

**Ledger and Trial Balance:** Meaning and need for ledger, different types of ledger, ledger posting and balancing. Trial balance – purpose of trial balance, methods of preparing trial balance – total method and balance method

**Module 4 (8 hrs)**

**Subsidiary Books :** Meaning and uses of subsidiary books, purchases book, sales book, purchases return book, sales return book, bill receivable and bill payable book, Format and sums

**Module 5 (8 hrs)**

**Cash Book :** Meaning of cash book, uses, types of cash book – single column, double column with cash & discount, bank & discount, three column cash book, contra entry

**Module 6 (6 hrs)**

**Petty Cash Book:** Meaning of petty cash book, types of petty cash book - analytical and simple petty cash book

**Module 7 (14 hrs)**

**Final Accounts of Sole Traders :** Concept of final accounts. Preparation of various accounts and statements. Concept of profits/losses. Sums on final accounts.

**Sec B – Practical**

1. Imagine that you have started a sole proprietary business. What are the accounting concepts and conventions., you would consider in setting up the accounting system
2. Visit a sole trader and collect the final accounts of an earlier year and identify the different types of accounts in it .
3. Write a note on various accounting standards
4. Prepare an imaginary 3 columns cash book with atleast 15 transactions

**Sec C – Articles**

Reference books :

- Basic Financial Accounting by S.P Jain & K.L Narang
- Double entry book keeping by Grewal
- Accountancy by B S Raman
- Principles & Practice of accountancy by Patil & Koralahalh

**(1 BBM 7) COMPUTER FUNDAMENTALS & APPLICATIONS****Module – 1 (8 hrs)**

General features of a computer, Generation of computers, Personal computer, workstation, mainframe computer and super computers. Computer applications – data processing, information processing, commercial, office automation, industry and engineering, healthcare, education, graphics and multimedia.

**Module – 2 (10 hrs)**

Computer organization, central processing unit, computer memory – primary memory and secondary memory. Secondary storage devices – Magnetic and optical media. Input and output units. OMR, OCR, MICR, scanner, mouse, modem.

**Module – 3 (12 hrs)**

Computer hardware and software. Machine language and high level language. Application software, computer program, operating system. Computer virus, antivirus and computer security. Elements of MS DOS and Windows OS. Computer arithmetic, Binary, octal and hexadecimal number systems. Algorithm and flowcharts, illustrations, elements of a database and its applications.

**Module – 4 (10 hrs)**

Word processing and electronic spread sheet. An overview of MSWORD, MSEXCEL and MSPowerPOINT. Elements of BASIC programming, simple illustrations.

**Module – 5 (10 hrs)**

Network of computers. Types of networks, LAN, Intranet and Internet. Internet applications. World wide web, E-mail, browsing and searching, search engines, multimedia applications.

**List of Practical Assignments**

- |   |          |
|---|----------|
| 1. MS Dos Commands  | (2 hrs)  |
| 2. MS Office - MS Word 2007, MS Excel, MS Powerpoint, MS Access | (12 hrs) |
| 3. M-Commerce, E-Commerce, CRM                                  | (3 hrs)  |
| 4. HTML, Search Engines, Email                                  | (7 hrs)  |

**Books for Reference:**

1. Alexis Leon and Mathews Leon (1999) : Fundamentals of information Technology, Leon Techworld Pub.
2. Jain, S K (1999) : Information Technology "O" level made simple, BPB Pub
3. Jain V K (2000) "O" Level Personal Computer software, BPB Pub.
4. Rajaraman, V (1999): Fundamentals of Computers, Prentice Hall India
5. Hamacher, Computer Organization McGrawhill
6. Alexis Leon: Computers for everyone. Vikas, UBS
7. Anil Madaan : Illustrated Computer Encyclopedia. Dreamland Pub
8. Sinha. Computer Fundamentals BPB Pub.



**LANGUAGE****(2 SAN 1B) Sanskrit** (Prescribed Text – ‘Saahitya Sanchayaha’)

- |   |                                       |
|---|---------------------------------------|
| 1. Neelakanta Vijayaha                            | - <i>Sriman Neelakanta Deekshita</i>  |
| 2. Katharatnakare Mativishaye Vriddhamantri Katha | - <i>Panditha Sri Hemavijaya Gani</i> |
| 3. Veni Samhara                                   | - <i>Bhattanarayana</i>               |
| 4. Sadaharadarogatha                              |                                       |

**(2 KAN 1 B) Kannada** (Refer revised syllabus edition 2012-13)**(2 HIN 1B) Hindi** (Refer revised syllabus edition 2012-13)**(2 ADE 1) Additional English****Poetry**

- |  |                       |
|--|-----------------------|
| Captain! My Captain                                      | - <i>Walt Whitman</i> |
| Insensibility  | - <i>Wifred Owen</i>  |
| Of Hidden Taxes  | - <i>Marge Piercy</i> |
| Bosom Friend   | - <i>Hira Bansode</i> |
| Trees  | - <i>Joyce Kilmer</i> |
| Shylock's Defence (Act III, Scene I, Merchant of Venice) | - <i>Shakespeare</i>  |

**Prose**

- |                               |                               |
|-------------------------------|-------------------------------|
| Two Ways to Belong in America | - <i>Bharathi Mukherjee</i>   |
| The Story Teller              | - <i>Saki H H Munro</i>       |
| Film Making                   | - <i>Satyajit Ray</i>         |
| Rite of Spring                | - <i>Arthur Miller</i>        |
| My Early Days                 | - <i>A. P. J. Abdul Kalam</i> |
| The Night Train at Deoli      | - <i>Ruskin Bond</i>          |

**(2 ENG 2) ENGLISH** (Refer revised syllabus edition 2012-13)**(2 BBM 3) BUSINESS ECONOMICS****Sec- A****Module 1****(12 hrs)**

Nature and Scope of Managerial Economics, Concept of Utility - Law of Diminishing Marginal Utility, Law of Equi-Marginal Utility, Indifference Curve and its techniques, Consumer Surplus.

**Module 2****(10 hrs)**

**Demand Analysis** : Introduction to Demand, Law of Demand, Elasticity of Demand – Types and Measurement, Demand Distinctions, Demand Forecasting and its Methods. Introduction to Supply, Law of Supply , Elasticity of Supply

**Module 3****(8 hrs)**

**Production Cost Analysis** : Introduction to Production & Production Function, Law of Variable Proportion, Producer Equilibrium. Economies of Scale.

**Module 4****(6 hrs)**

**Cost Analysis/ Revenue Analysis** :Introduction to Cost, Determinants of Cost, Concepts of Cost, Cost – Output Relationship, BEP Analysis . Concepts of Revenue, Revenue – Output Relationship.



**Module 5 (8 hrs)**

**Market Analysis :** Introduction to Markets, Features of Markets, Price-Output Determination under Perfect Competition, Monopoly, Monopolistic Competition.

**Module 6 (6 hrs)****Business Cycle, National Income and Economic forecasting in Business.**

Concepts of National Income, Methods of Measurement, Difficulties in Calculating National Income.

Business Cycle – Meaning / Phases

**Sec – B- Practical**

1. Understand market structure in different sectors- Air line industry, petroleum sector, Automobile sector
2. Find out details of input cost and calculate the total cost of a manufactured product.
3. Collect data of total sales any one item being sold in the market for a period of time and forecast the sales for the next year
4. Understand India's business cycles- 1999- 2009
5. Construct a demand schedule of a business unit

**Sec – C - Articles****Reference books**

- Managerial Economics by Shankaran
- Managerial Economics by Varshney and Maheshwari
- Principles of Economics by KPM Sundharam and M.C Vaish
- Managerial Economics by D M Mithani
- Economics by Paul Samuelson
- Micro Economics by Baumol

**(2 BBM 4) HUMAN RESOURCE MANAGEMENT (HRM) - I****Sec A****Module 1 (5 hrs)**

**Introduction to HRM :** Meaning and definition, features, functions, importance, role, process of HRM, Role of HR Manager

**Module 2 (8 hrs)**

**Human Resource Planning :** Meaning, objectives, importance, process, job analysis and job description, problems, recent trends in HRP.

**Recruitment:** Meaning, objectives, sources, methods, current recruitment practices in India.

**Module 3 (10 hrs)**

**Selection, Placement and Induction :** Meaning, selection process, uses of tests in selection, Placement - meaning, problems in placement. Induction-meaning, induction process, importance

**Module 4 (10 hrs)**

**Training and Development, Performance Appraisals:** Meaning, importance, need, methods, recent developments in training, management development- meaning and its contribution to HRD

Performance Appraisals - Meaning, objectives, content, methods, limitations of performance appraisal.

**Module 5 (10 hrs)**

**Promotion, Transfer, Demotions and employee Separations:** Meaning and types of promotion, purpose of promotion, basis of promotion, transfer-meaning, reasons, Demotion, meaning and reasons, Lay-off, retrenchment, and Dismissal.

**Module 6 (10 hrs)**

**Wage and salary administration :** Definitions, components of salary, factors affecting wages and salary, technique of wage fixation, Fringe benefits, Meaning and types, Social security measures, Perquisites.

**Sec B – Practical**

1. Visit any organization and analyse the recruitment process and study the interview pattern.
2. Compile Information on induction programme of an MNC.
3. Develop the format for performance appraisal of an employee
4. Conduct an OOM analysis for a select company.
5. Compare critically the organization chart of HRM department of two or three companies

Sec C – Articles**Reference books:**

- HRM – Robert Mathis & John Jackson
- Personal & Human Resource Management- A.M. Sharma
- Human Resource Management- Gary Dessler
- Human Resource Management by Deepak Kumar Bhattacharya
- Human Resource Management by Michael Armstrong
- Human Resource Management by C.B. Mamoria / S. V Gankar
- Human Resource Management by Pattanayak

(2 BBM 5) FINANCIAL ACCOUNTING IISec- A**Module 1 (8 hrs)**

**Issue of Shares and Debentures:** Meaning of share and share capital, classes of capital, issue of shares at par, premium and discount, details of called up capital, calls in arrears, calls in advance and paid up capital. Sums on issue of debentures at par, premium and discount.

**Module 2 (10 hrs)**

**Valuation of Shares and Goodwill :** Meaning of valuation of shares, need for valuation, different methods of valuation – intrinsic method, yield method, fair value method. Meaning of valuation of goodwill, circumstances leading to valuation of goodwill, methods of valuation of goodwill – normal profit method, super profit method, capitalization method, annuity method

**Module 3 (12 hrs)**

**Hire Purchase System of Sale & Installment System of Sale :** Meaning of hire purchase method of sale, law governing HP agreement, parties to HP agreement, meaning of cash price, interest, methods of solving problems on HP – rate of interest is given, rate of interest is not given, installment does not include interest, cash price is not given.

Meaning of installment system of sale, differences between hire purchase and installment, methods of solving problems on installment – rate of interest is given, rate of interest is not given, installment does not include interest, cash price is not given

**Module 4 (8 hrs)**

**Company Final Accounts :** Meaning and need for preparation of final accounts of joint stock companies, preparation of income statement and position statement. (New Format To Be Followed)

**Module 5 (12 hrs)**

**Mergers :** Meaning of merger, reasons leading to corporate mergers, procedure for merger, differences between amalgamation and merger, pooling of interest method, problems on calculation of purchase consideration, preparation of various accounts, balance sheet after mergers.

**Module 6 (10 hrs)**

**Acquisitions :** Meaning of acquisitions, differences between mergers and acquisitions, problems on preparation of realization account, equity share holders account and balance sheet post merger

Sec B – Practical

1. Visit a stock broker and collect share application forms and fill it up
2. Visit a financier and collect an earlier hire purchase agreement.
3. What are the formalities to be observed by a hire seller while repossessing the asset
4. List out the objectives for mergers and mention any five corporate mergers in the recent past

Sec C – Articles**Reference books :**

- Financial Accounting by B S Raman
- Financial Accounting by Arulanandan & Raman K S
- Financial Accounting by Anil kumar, Rajesh kumar
- Financial Accounting by Gupta, Radhaswamy

**(2 BBM 6) QUANTITATIVE METHODS II****Sec A**

**Objective:** The blend of theory and practical as well as synthesis of technology and class room study enhance the knowledge. The present paper enriches our students by endeavoring professional statistical tools by using spread sheet resources.

**Module 1 (3 hrs)**

Meaning of Statistics - Objectives and limitations - Applications to business and various other fields - Definition of data - Types of data (Primary and Secondary, Quantitative and Qualitative, Continuous and Discrete) - Formation of table.

**Module 2 (12 hrs)**

Measure of central tendency- Mean, Median, Mode, G.M - Measures of Dispersion- Range, Quartile Deviation, Mean Deviation, Standard Variance Deviation and Coefficient of Variation – Applications of Mean, Variance, Standard deviation and Coefficient of variation – Case study

**Module 3 (8 hrs)**

Bivariate Data – Simple correlation – Karl Pearson and Spearman Rank correlation – Regression Analysis – Estimation of regression equation for bivariate data – Least square method and interpretation of regression coefficient, Business application and Case study.

**Module 4 (6 hrs)**

Time series Analysis – Concept and components – Methods to measure the secular trend – Semi Average – Moving Average and OLS method, Business application and case study.

**Module 5 (6 hrs)**

Computer Application, Introduction to Spread Sheet, Preparing Table, Construction of Graphs, Bar diagram, Line graph, Scatter Diagram etc., Computation of Descriptive statistics, Correlation and Regression, Methods of fitting trend line and forecasting.

**Module 6 (10 hrs)**

1. Basic Function (Addition, Subtraction, Multiplication, Division, Factorial, Power, Sumproduct etc.)

2. Presentation of Data.

- a. Tabulation (Frequency, Count functions)
- b. Pivot table
- c. Graphs and Diagram (Bar Diagram, Line Graph, Scatter Diagram, Pie Chart, Area Chart, Stock)

3. Analysis of Data.

- a. Descriptive statistics (Mean, Median, Mode, Geometric mean, Maximum, Minimum, Quartile deviation, Mean deviation, Variance, Standard Deviation)
- b. Bivariate Analysis (Correlation, Regression, Forecasting and fitting trend line)

**Sec B – Practical**

1. Preparation of different diagrams and graphs
2. Prepare table based on real data and compute arithmetic mean, media etc.
3. Ex: a. Data of news paper reading habits by class students,
4. Data of weekly spending on film by class students
5. Compute standard deviation of real data pertaining to SENSEX, WPI, gold prices etc. collecting data from dailies.
6. Prepare a chart showing WPI, CPI for at least three month under observation.
7. Take any ten observations of two live variables and graphically present to find correlation.
8. Obtain profit data of any company for twenty years and find moving average.

**Sec C – Articles****Reference books:**

- Statistical Methods by S.P Gupta
- Fundamental of Statistics by S.C Gupta
- Fundamental of Statistics by Elhance D N
- Business Statistics by Kenn Black

**(MIM 12) MIND MANAGEMENT & HUMAN VALUES**

A course based on the concept of Character-building, Man-making and Life-enhancing education. This personality development course will be conducted under the name 'Vishva Chaitanya' which means universal consciousness emphasizing the entire mankind as one family.

**Module – 1: Theory****(30 hrs.)**

**Objectives:** Interactive sessions to enable the students to learn life-skills and to create awareness about our national history, culture, social responsibilities and human values. Students are encouraged to have clear professional goals as well as transpersonal goals that take them beyond selfish aspirations to nation-building and social service.

**Topics:**

- SWOT analysis of the Indian Nation
- Concept of Self-Psychometric Test
- Positive Mental Attitude
- Relationships
- Environmental Awareness
- Time Management
- Learning Made Easy
- Creativity
- Innovative Thinking
- Goal Setting
- Communication Skills / Body Language
- Memory Techniques
- Problem Solving
- Motivation
- Biographies of Great Indians
- Universal Message of the Bhagavadgita

**Books for References:**

- "Colombo to Almora" – Lectures by Swami Vivekananda, Published by Sri Ramakrishna Math
- Six Thinking Hats & How to be Interesting & Teach Yourself to Think – Edward De Bono
- Blink- Malcolm Gladwell
- The mind Map Book – Tony Buzan
- Broken Crayons- Robert Alan Black
- Creativity & Innovation - J. W. Haefele
- The Creative Corporation - *Karl Albrecht*
- Master Thinker's Handbook: A Guide to Innovative Thinking- Edward de Bono
- You can Win, Living with Honor – Shiv Khera
- How to Stop Worrying and Start Living – Dale Carnegie
- Power of Positive Mental Attitude – Norman Vincent Peale
- 7 Habits of Highly Effective People, 8th Habit – Stephen Covey
- Art of Talking so that People will Listen – Swets
- Effective Problem Solving – Dave Francis
- Think Without Ink- Venkatraman
- 101 Activities for Teaching Problem Solving – B Van Gundy
- The Definitive Book of Body Language – Allan Pease
- The Everything Body Language Book – Shelly Hagen
- Success is Just 6 Steps Away – Dinesh K Vohra
- Key to Success and Happiness – Dr Joe Rubino
- Success through a Positive Mental Attitude – Napoleon Hill and W Clement Stone.
- Interpersonal Skills Training – Burnard.

**Module – 2: Practical (Film Analysis & Emotional Management)****(6 hrs.)**

- A) Analysis of short silent educational films to develop independent critical thinking.  
These films are produced by Human Networking Academy, a division of JGI.

Themes of the films: Proactive style of life, dedication to and efficiency in work. Social obligations and sharing. Integrating the best of the Eastern & Western cultures, Mindfulness and importance of meditation.

**B) Practical Session on Managing Emotions for (internal assessment)**

To discuss the role of emotions in our lives. Learn about the importance of expressing them in a right way. To discuss different techniques of managing these emotions to achieve emotional stability.

**Objectives:**

- Group activity: to enable students to overcome stage fear.
- To teach them the art of communication / presentation.
- To enhance their ability of creative thinking.
- To help students to learn how to observe, analyze, interpret and face various situations in their everyday life.
- To learn and practice teamwork.
- To sow the seeds of social change in the young minds.
- To teach the students drive, initiative and leadership qualities through group activity.

**Books for References:**

- Working with Emotional Intelligence – Daniel Goleman
- The Angry Book – Rubin
- Emotions – Can You Trust them? – Dobson.
- Managing Pressure for Peak Performance – Stephen Williams
- How you can have Confidence and Power in Dealing with People – Les Gibson
- How to Remain Ever Happy – M K Gupta
- From Sad to Glad – Nathan S Kline.

**Module - 3: Practical (Yogasana, Pranayama & Meditation)**

**(13 hrs.)**

Practical experiential sessions integrating modern psychological insights with Yoga practices that enable the students to develop strong positive personalities, and to be proud of our ancient yet modern multi-cultural heritage.

**A) Yogasanas**

- a) Breathing Exercises
- b) Loosening Exercises

c) Asanas

- 1) Suryanamaskara, an effective set of asanas that energizes both body and mind.
- 2) Ardhakati chakraasana
- 3) Trikonaasana
- 4) Parivrita Trikonaasana
- 5) Veerabhadraasana
- 6) Vakrasana
- 7) Gomukhasana
- 8) Padmasana
- 9) Shashankasana

d) Pranayama

- 1) Kapalabhati kriya
- 2) Vibhagiyasana & full yogic breathing
- 3) Nadi shodhana pranayama

**B) Mind Management**

**(11 hrs)**

- a) Effect of music on mind
- b) Discussion on the concepts of personality and character on the basis of modern Humanistic psychology (Growth Psychology) and Yoga psychology
- c) The three dimensions of the personal identity Intelligence Quotient, Emotional Quotient and Spiritual Quotient

## d) Meditation as a life-skill.

Mind Management through right postures,  
Prana-anusandhana,  
Purification of mind,  
Nada-anusandhana  
Concentration exercises like Trataka

## Books for References:

- Light on Yoga by BKS Iyengar
- Yoga Sutras of Patanjali Maharshi
- Promotion of Positive Health – published by SVYASA University
- Asana, Pranayama, Mudra, Bandha – published by Bihar Yoga Bharathi
- Man's Search for Meaning Victor Frankl - Published by Washington square press
- Meditation and Spiritual Life - Swami Yatishwarananda – RK Math
- Awaken to the super-conscious –J.Donald Walter - published by Motilal Banarasidas.
- Self-actualization – Abraham Maslow
- Theories of Personality – Calvin S Hall and Gardner Lindzey (Wiley Eastern Ltd Publication)
- The Upanishads
- Srimad Bhagavadgita
- Saddarshanam - Sri Ramana Maharshi
- Practical Vedanta and Science of values – Sri Swami Ranganathananda
- Eternal values for A changing society - Bharatiya Vidya Bhavan Bombay
- Mysticism – An anthology of the spiritual traditions of the world – F C Hoppold. – Pelican Publication
- The Religions of Man – Huston Smith. – Harper and Roe publications
- Indian Ethos for Management - Sri Jitmananda - Published by R.K.Math, Rajkot
- Fundamentals of Indian culture – Sri Aurobindo.



**(3 BBM 1) ORGANISATIONAL PSYCHOLOGY****Sec A****Module 1 (8 hrs)**

**Introduction to organizational behaviour** : Meaning, Structure, Theoretical framework of OB, Contributing disciplines to OB field.

**Module 2 (7 hrs)**

**Perception** : Perception process- Definition and nature, Factors influencing perception, Social perception- Organisational application, Attribution- Theories, Impression formation & Impression management.

**Module 3 (7 hrs)**

**Personality** : Definition, Meaning, Theories- Type, Trait, Dynamic, Psychoanalytical, Personality assessment, Work related aspects of personality.

**Module 4 (7 hrs)**

**Learning**: Principles of learning- Classical conditioning, Instruments of conditioning, Cognitive learning, Learner & Learning, Memory-STM-LTM, Forgetting, Amnesia, Improving memory.

**Module 5 (9 hrs)**

**Work related Attitudes**: Definition, Forming attitudes-Social learning, Direct experience & Genetic factors, Role of Self awareness, Persuasion, Job satisfaction, Organisational commitment, Prejudice, Groupism, Managing diverse work force. Emotional intelligence in work place

**Motivation**: Definition, Concepts & Application, Early & Contemporary theories, Job design, Goal setting, Frustration

**Module 6 (10 hrs)**

**Group Behaviour, Power & Politics**: Definition & nature of group, Function & formation, Benefits & costs of working with others, Emerging team concept, Groups & teams, Effective teams. Social influence, Individual power, Bases of power, Implication, Dependency & Defensive behavior, Managing power, Organisational politics – Power in action, Ethics of organizational politics, Productive use of organizational politics.

**Sec B – Practical**

1. Politics in organizations is simply a fact of life Personal experiences, hunches and anecdotal evidence for years have supported a general belief that behaviors in and of organizations is often political in nature. More recently some conceptual and empirical research has added further support to these notions. Analyze and explain with your study.
2. To what extent do you agree with the contention that: we are employed for one skill but valued for our attitude. Explain?
3. During the period of one week carefully review all the media (television, radio, advertisements, internet films, newspapers, and magazines for evidence of traditional male and female stereotypes. Critically evaluate the impact and power of these stereotypes. Compare your findings with other groups .what conclusion do you draw from this assignment?
4. Discuss the role “ Perception” plays in an business organization
5. Think the unthinkable- colleges are closed and further higher education is being taken over by individual work stations p.c's and the world wide web. In a small group 'brain storm' as many implications of this event as you can and present your list with those of other groups.
6. Conduct a study on the leadership trait of various leaders from different areas and compare their functional approach with relevant examples; identify personality traits of APJ Abdul Kalam and examine in what ways these traits help him to influence others.

**Sec C – Articles****Reference books:**

- Management and organizational behavior by mullins
- Management and organizational behavior by robbins
- Organization behavior by fred luthans
- Organizational behavior by R.K Sharma and Sanjay S. Verma
- Organizational behaviour by Ricky. W. Griffin
- Business Psychology and Organisational Behaviour – Students hand book by Dagene MC Kenna
- Hellreigel et al – Organisational Behaviour, Thomsun Learning
- Udai Pareek – Understanding organizational behaviour
- Jits. S . Chandan – Organisational Behaviour
- Dr. Usha Rao – Advanced Educational Psychology
- Ghosh P K and Ghorpade H B – Industrial organizational Psychology

**(3 BBM 2) BUSINESS ENVIRONMENT****Sec A****Module 1 (10 hrs)**

**Introduction :** Meaning of Business Environment, Objectives and types- Internal and External Environment, Process of Environment, analysis and its limitations. Corporate Governance, SWOT analysis.

**Module 2 (14 hrs)**

**Global Environment :** Meaning and features of Globalisation. Components of Globalisation, Integration of Indian economy with world economy. FDI – Reasons, Flow of FDI, FII (in brief)

**WTO :** GATT, WTO, WIPO, India and the WTO. Trading Blocks – EU, NAFTA, ASEAN, SAARC and SADC.

**Module 3 (6 hrs)**

**Technological Environment :** Impact of Technology and Technology Policy of India. Technology and Economy.

**Module 4 (6 hrs)**

**Political Environment :** Brief introduction To Indian Constitution, Fundamental Rights and Duties. Judicial Activism, Impact of Political Environment on the Business.

**Module 5 (10 hrs)**

**Economic Environment I :** Introduction to Indian Economy,

Agriculture: Indian Agriculture in brief, Industrial Polices – Industrial Policies of 1948 and 1956 and the new economic policy and its amendments, Privatization and Disinvestment, Monetary and Fiscal Policy.

**Module 6 (6 hrs)**

**Economic Environment II :** Foreign trade of India and its policy Exchange rate Policy, Devaluations, Balance of payments

**Sec – B- Practical**

1. Conduct a comparative analysis of various political parties and their agenda for India development
2. Analyze India's Budget for that year
3. Look at one case In India where the following has been conducted- BPRE, FMS, TQM
4. Take up one case in India wherein ecological Imbalance is very high, or an acute ecological problem- role of the government, pressure groups and measures.

**Sec C – Articles****Reference books:**

- Business Environment by Vijayshree
- Business Environment by K Aswathappa
- Indian Economy by Mishra & puri
- Indian Economy by Rudradutt & Sundaram
- Indian Economy survey report

**(3 BBM 3) PRODUCTION & OPERATIONS MANAGEMENT****Sec A****Module 1 (2 hrs)**

Introduction to production & operations management, definition of 'production' & 'operations' management, meaning, scope & history of evolution.

**Module 2 (10 hrs)**

**Plant Location, Layout & Facilities planning :** Factors affecting location, models of location, types of location along with advantages & disadvantages types of layout, principles, modern/recent trends in a layout along with advantages & disadvantages of types of layout, factory building, types, along their advantages & disadvantages, types of utilities Lighting, Ventilation, Noise, Sanitation & Noise - need, sources, advantages & disadvantages only & types & implication on organisation, importance of safety.

**Module 3 (12 hrs)**

**Materials Management, Purchasing & Storing Inventory Management :** Meaning of materials, objectives, importance, purchasing: Importance, objectives, functions & factors influencing, purchases policies.

Materials Handling: Factors, principles of materials handling, types of material handling equipment. Storing: Need, importance of stores, stores layout, stock verification, classification & codification.



Inventory Management: Meaning, definition, objectives, factors affecting inventory management & control, inventory control techniques, materials requirement planning, measurement of the effectiveness of inventory management, meaning of ergonomics, job design & work station.

**Module 4 (8 hrs)**

Production/operations planning & control : meaning & definition, objectives & production planning, factors determining production planning control, procedures, importance of production planning & control department, scope of production planning & control, levels of production planning, functions of production planning & control, benefits & limitation of production planning & control, different production system make or buy analysis: make or buy decision.

**Module 5 (8 hrs)**

**Quality** : Definition & meaning of quality, introduction to: ISO, 6 sigma, kaizen, importance of quality control, quality control techniques, TQM (Deming principles) Brief of types of errors & charts, benefits of quality programme.

**Work Study**

Method Study : Introduction to method study, data collection recording, examining & improving work, material flow & material handling study, worker flow study, worker area study.

Work Measurement : Introduction to work measurement, work sampling study, time study & setting standards, Procedure of Work Study

**Module 6 (8 hrs)**

**Plant Maintenance & Waste Management** : Meaning & definition of maintenance, importance, impact of poor maintenance, objectives, area of maintenance & types of maintenance, Waste management: Meaning types & sources of waste & waste management.

**Automation** : Meaning, definition, forms, automation Vs mechanization, automation issues, advantages & disadvantages of automation.

**Sec B – Practical**

Industrial visit, Report on industrial visit, Classification of Industries on the basis of nature (wet & dry) Each student has to prepare a report on at least 3 industries and minimum of 5 firms under each type of industry.

Types of industry

for ex:	Pharmaceutical	Education	Automobile	IT
	Biotech			
	Cipla			
	Ranbaxy			
	Dr. Reddy			

**Sec C – Articles**

**Reference books :**

- Production & Operations Management by Shridhar Bhatt & Ashwathappa - HPH
- Production & Operations Management by Ashwathappa & Reddy – HPH
- Production & Operations Management by S. Buffa

**(3 BBM 4) COSTING FUNDAMENTALS**

**Sec A**

**Module 1 (10 hrs)**

**Introduction** : Introduction and limitations of cost accounting, comparative analysis of cost and financial accounting, elements of cost, methods and techniques of costing, preparation of cost sheet

**Module 2 (8 hrs)**

**Material Cost** : Concepts, pricing of materials in inflation, recession etc, EOQ and concept of inventory control, Material Issues – FIFO, LIFO, Simple, Weighted Avg

**Module 3 (8 hrs)**

**Overheads** : Introduction, meaning of direct and indirect expenses, classification of overheads on the basis of element, behaviour and function, allocation of service department over heads to production departments, methods of absorption like production units method, percentage of wages or prime

**Module 4 (8 hrs)**

**Contract Costing** : Introduction, meaning of contract costing, difference between contracts and jobs, ascertainment of contract costs, sums

**Module 5 (8 hrs)**

**Process Costing** : Introduction and meaning, differences between job and process costing, process costing procedure, process costing when there is no loss or gain, normal loss and gain, abnormal loss and gain

**Module 6 (8 hrs)**

**Operating Costing** : Introduction, cost ascertainment, cost unit for transport undertakings, sums

**Module 7 (10 hrs)**

**Reconciliation of Cost & Financial Accounts** : Introduction, need for reconciliation, reasons for differences, procedure, sums

**Sec B – Practical**

1. For a manufacturer of stationery what is the element, method and techniques of cost.
2. Visit a small scale manufacturing unit and find out how the costs are collected
3. Visit a transport undertaking and find out how per k.m cost is arrived at
4. Visit a contractor and find out the procedure he has followed to record the profit on uncertified works

**Sec C – Articles****Reference books :**

- Cost Accounting by S.P Jain & K L Narang
- Cost Accounting by Prabhu Dev
- Cost Accounting by Jawaharlal
- Cost Accounting by M N Arora
- Cost Accounting by Edward & Michael

**(3 BBM 5) MINOR PROJECT (ON-SITE TRAINING)**

Students will extend learning to real time practice through an internship with the corporate world. Training will be monitored by an assigned faculty member who will act as guide. Students should also submit a dissertation on a topic of research related to the training. The process of training and research will conclude at the end of the semester. Students are encouraged to seek internships independently.

**(3 BBM 6) RESEARCH METHODOLOGY****Sec A****Module 1 (8 hrs)**

**Basic Concepts** : Research - Meaning, Need, Objectives, Types of research, Research approaches, Research methods Vs Research methodology, Role of research in important areas, Research Process, Flowchart-steps in Research.

**Module 2 (4 hrs)**

**Defining the Research Problem** : Meaning of Research Problem, Selecting the Problem, Techniques involved in defining the problem.

**Module 3 (8 hrs)**

**Research Design** : Meaning, Elements of research design, Important concepts relating to research design, Types of research design, Basic principles of experimental designs.

**Module 4 (8 hrs)**

**Sampling** : Meaning, Need, Advantages of sampling over census, Probability & Non-Probability Sampling Methods, Criteria of selecting a sampling procedure.

**Module 5 (6 hrs)**

**Data Collection & Processing**: Collection of Primary and Secondary data, Tools for data collection - Questionnaires, Schedules, Tabulation of data, Instruments of research - Communication, Question structure, Content, Questionnaire Construction & Design.

**Module 6 (6 hrs)**

**Data analysis & Interpretation** : Meaning of Interpretation, Techniques of Interpretation, Types of reports, Steps in writing report, Layout of research report, Principles of report preparation

**Sec B – Practical**

1. Make a list of research studies where some of the non probability methods could be used. Also justify the choice of a particular sampling method you have selected for a study.
2. You have been assigned the task of finding out why employees leave a given job. Design a suitable questionnaire to be used in this study.
3. Decide on a topic on which you would like to prepare a report, do a preliminary library survey on the topic and write a proposal.
4. Design the cover and the title page for a report to be submitted to the concerned authority. Start your answer by writing a summary of the Research work taken for the purpose.

**Sec C – Articles****Reference books:**

- Research Methodology by O. R Krishna Swamy
- Research Methodology by C. R. Kothari
- Research Methodology in Management by V P Michael
- Business Research Methods by Appannaiah Reddy
- An Introduction to Business Research Methods by Pratap Keshari Khato

**(ESCI 12) ENVIRONMENTAL SCIENCE****Module 1: (2 hrs)****The Multidisciplinary Nature of Environmental Studies**

Definition, scope and importance.

Need for public awareness.

**Module 2: (8 hrs)****Natural Resources**

Renewable and Non-Renewable Resources

Natural resources and associated problems

- a. Forest resources: Use and over-exploitation, de-forestation, case studies. Timber extraction, mining, dams and their effects on forests and tribal people.
- b. Water resources: Use and over-utilization of surface and ground water, floods, drought, conflicts over water, dams-benefits and problems.
- c. Mineral Resources: Use and exploitation, environmental effects of extracting and using mineral resources, case studies.
- d. Food resources: World food problems, changes caused by agriculture and overgrazing, effects of modern agriculture, fertilizer-pesticide problems, water logging, salinity, case studies.
- e. Energy resources: Growing energy needs, renewable and non renewable energy sources, use of alternate energy sources. Case studies.
- f. Land resources: Land as a resource, land degradation, man induced landslides, soil erosion and desertification.

Role of an individual in conservation of natural resources.

Equitable use of resources for sustainable lifestyles.

**Module 3: (6 hrs)****Ecosystems**

Concept of an ecosystem

Structure and function of an ecosystem

Producers, consumers and decomposers

Energy flow in the ecosystem

Ecological succession

Food chains, food webs and ecological pyramids

Introduction, types, characteristic features, structure and function of the following ecosystem:

Forest ecosystem

Grassland ecosystem

Desert ecosystem

Aquatic ecosystems (ponds, streams, lakes, rivers, oceans, estuaries)

**Module 4:****(8 hrs)****Biodiversity and its conversation**

Introduction – Definition : Genetic, species and ecosystem diversity.

Biogeographical classification of India

Value of biodiversity: Consumptive use, productive use, social, ethical, aesthetic and option values

Biodiversity at global, National and local levels

India as a mega-diversity nation

Hot-spots of biodiversity

Threats to biodiversity: habitat loss, poaching of wildlife, man-wildlife conflicts.

Endangered and endemic species of India.

Conservation of biodiversity: In-situ and Ex-situ conservation of biodiversity.

**Module 5: Environmental Pollution****(8 hrs)****Definition**

Causes, effects and control measures of:

- Air pollution
- Water pollution
- Soil pollution
- Marine pollution
- Noise pollution
- Thermal pollution
- Nuclear hazards

1. Solid waste management: Causes, effects and control measures of urban and industrial wastes.
2. Role of an individual in prevention of pollution.
3. Pollution case studies.
4. Disaster management: Floods, earthquake, cyclone and landslides.

**Module 6:****(7 hrs)****Social Issues and the Environment**

- From unsustainable to sustainable development
- Urban problems related to energy
- Water conservation, rain water harvesting, watershed management.
- Resettlement and rehabilitation of people: its problems and concerns, case studies
- Environmental ethics: Issues and possible solutions
- Climate change, global warming, acid rain, ozone layer depletion, nuclear accidents and holocaust, case studies.
- Wasteland reclamation
- Consumerism and waste products
- Environment protection act
- Air (Prevention and Control of Pollution) Act.
- Water (Prevention and Control of Pollution) Act.
- Wild life protection Act
- Forest Conservation Act
- Issues involved in enforcement of environmental legislation
- Public awareness

**Module 7:****(6 hrs)****Human Population and the Environment**

- Population growth, variation among nations.
- Population explosion – Family welfare programme
- Environment and Human Health
- Human rights
- Value education
- HIV/AIDS
- Women and child welfare
- Role of information technology in environment and human health
- Case studies

**Module 8:****(5 hrs)****Field Work**

- Visit to a local area to document environmental assets-river /forest /grassland /hill / mountain.
- Visit to a local polluted site-urban/ Rural / Industrial / Agricultural
- Study of common plants: insects, birds.
- Study of simple ecosystems pond river hill slopes etc( Field work equal to 5 lecture hours)
- Each student has to submit a field report on any one of above topics which forms the basis for evaluation of field work for 25 marks.

**Books for Reference**

- Agarwal K C 2001 Environmental Biology, Nidi Publ. Ltd, Bikaner
- Bharucha Erach, The Biodiversity of India, Mapin Publishing Pvt, Ltd, Ahmedabad – 380 013, India, Email : mapin@icenel.net
- Brunner R C 1989, Hazardous Waste Incineration, McGraw Hill Inc, 480p
- Clark R S, Marine Pollution, Clarendon Press Oxford (TB)
- Cunningham, W.P. Cooper, T H Gorhani. E & Hepworth, M T 2001, Environmental Encyclopedia, Jaico Publ. House, Mumbai, 1196P
- De. A K Environmental Chemistry, Wiley Eastern Ltd
- Down to Earth, Centre for Science and Environment ®
- Gleick H P 1993, Water in crisis, Pacific Institute for Studies in Dev. Environment and security, Stockholm Env. Institute, Oxford Univ, Press 474P
- Hawkins R E Encyclopedia of Indian Natural History, Bombay Natural History Society, Bombay ®
- Heywood, V H & Watson R T 1995, Global Biodiversity Assessment, Cambridge Univ, Press 1140P
- Jadhav, H & Bhosale V M 1995, Environmental Protection and Laws, Himalaya Pub. House, Delhi 284P
- Mekinney, M L & School R M 1996. Environmental Science Systems and Solutions, Web enhanced edition 639p
- Mbaskar A K, Matter Hazardous, Techno-Science publications (TB)
- Miller T G Jr. Environmental Science, Wadsworth Publishing Co. (TB)
- Odum, E P 1971, Fundamentals of Ecology, W B Saunders Co. USA, 574p
- Rao M N & Datta, A K 1987, Waste Water Treatment, Oxform & IBH Publ. Co. PvtLtd, 345p.



**(4 BBM 1) BUSINESS COMMUNICATION****Sec A**

- Module 1** (8 hrs)  
**Communication Fundamentals:** Business Communication Foundations – Meaning, Objectives, Elements & Process of Communication, Types & Barriers to communication.
- Module 2** (8 hrs)  
**Organizational Communication :** Organizational Structures, Communication Networks, Formal and Informal Communication in an Organization, Communication in today's Workplace, Workplace Diversity, Communicating across Cultures, Technological, Ethical and Legal Considerations.
- Module 3** (2 hrs)  
**Listening:** Meaning, Value of Listening in Oral Communication, Types of Listening, Barriers to Listening.
- Module 4** (6 hrs)  
**Oral Communication :** The Business Presentation, Types of Presentations, Types of Delivery, Process of delivering Presentations.
- Module 5** (6 hrs)  
**Employment Communication :** Resumes and Cover Messages, Interviewing and follow-up.
- Module 6** (10 hrs)  
**Written Communication :** Business Correspondence –Purchase Correspondence, Sales Correspondence, Accounts Correspondence, Personnel Correspondence, Corporate Correspondence – Email Messages and Memos, Positive & Negative Messages, Business Reports-Basics of Reports & Report Writing.

**SEC B-Practical**

1. Analyse the Communication process within a given scenario
2. Read and analyze articles and reports on business and the global economy. Report your findings
  - Orally
  - In an expanded Memo
  - A brief report
3. Design a User manual for high and low context cultures.
4. Structure and write business letters in various formats
5. Draft memos and effective Emails.
6. Explain the prewriting, writing and revising stages in the writing process.
7. Compose the first draft of a message focusing on techniques for creating effective sentences.
8. The writing process, research, analyse and compose.

**Sec C – Articles****Reference Books:**

- Business Communication ; Process and Product by Mary Ellen Guffey
- Business Communication : Kirzan, Merrier and Jones
- Basic Business Communication : Lesikar & Flatley
- Advanced Business Communication : Penrose / Rasberry / Myers

**(4 BBM 2) MARKETING MANAGEMENT – II****Sec A**

- Module 1** (10 hrs)  
**Marketing Environment :** Marketing environment- Micro and Macro Environment- Characteristics of micro environment- Challenges of micro environment- Macro environment- Impact on market orientation- Political, Economic, Social, Technological, Legal, Ethical Environment- Environment and Corporate Social Responsibility.

**Module 2 (10 hrs)**

**Product & Service Marketing** : Introduction-Product Performance in the Industry- Product Marketing Strategies- Product Evaluation- Product Innovation- Adoption Of Innovation- Changes affecting Product Management, Introduction to Service- Characteristics of Service- Service marketing Mix- People Mix- Process Mix- Physical Evidence Mix.

**Module 3 (10 hrs)**

**Supply Chain Management** : Supply chain management- Supply Chain Network- Business process in supply chain- Types of supply chain- Supply chain inventory management- Internet Enabled Supply chain- e- Procurement- Logistics Management- e- logistics-Supply Chain automation and Supply chain Integration.

**Module 4 (10 hrs)**

**Retail Management** : Retail Management-Retailing- Role of Retailing- Trends in Retailing- Retail Customer- Relationship Marketing in Retailing- Operations in Retailing- Legal aspects in retailing- Mall Management- Retail in India.

**Module 5 (10 hrs)**

**Brand Management**: Introduction- Brand Management overview- Brands and Brand Management-Objectives of branding- Brand Equity- Brand Positioning and Values- Choosing Brand Elements- Designing and Implementing brand strategies- Brand Extensions- Brand Publicity-Building a global brand.

**Module 6 (10 hrs)**

**Integrated Marketing Communication** : Meaning of IMC- Approaches of IMC- Benefits of IMC- Functions of Communication- Communication Process or Cycle- Effective Marketing Communication- Consumer Behavior and Communication- IMC Planning – Effective Message Strategy (PASS) – IMC Execution- Information and Communication Technology (ICT).

**Sec B – Practical**

1. Select a logistics management company and mention their activities related to business.
2. Interview a brand manager and write a report on designing and implementing brand strategies in his company.

**Sec C – Articles****Reference books:**

- Strategic Brand Management, Kevin Lane Keller, Prentice Hall, 2003
- Best Practice cases in Branding, Kevin Lane Keller, Prentice Hall, 2003.
- Integrated Marketing Communications, Pickton D and Braderick A, 2nd Edition, Prentice Hall, England, 2005.
- Services Marketing, Valarie Zeithaml, Mary Jo Bitner, and Dwayne Gremler, Mc Graw Hill.

**(4 BBM 3) BUSINESS FINANCE****Sec A****Module 1 (5 hrs)**

**Overview**: Meaning and scope of finance, financial decisions, goals of financial management, Relation of Finance Function with other functions of business.

**Module 2 (8 hrs)**

**Financial Decisions** : Introduction to capitalization and capital structure, sources and instruments of funds (long, medium and short term), primary market, capital market and money markets

**Module 3 (12 hrs)**

**Cost of Capital** : Meaning, computation of cost of equity, preference, debentures, retained earnings, public deposits, weighted average cost of capital, marginal cost of capital

**Module 4 (8 hrs)**

**Capital Structure** : Meaning, optimum capital structure, factors determining capital structure, leverages, EPS calculations, indifference point and financial break even points. EBIT – EPS Analysis

**Module 5 (8 hrs)**

**Management of Profits** : Meaning, importance, forms of dividend, dividend policy & factors influencing dividend policy.

**Module 6 (12 hrs)**

**Investment Decisions** : Meaning of capital budgeting, significance, process of capital budgeting, project classification and investment criteria, PBP, ARR, IRR, NPV and PI

**Module 7 (7 hrs)**

**Management of Working Capital** : Meaning and concepts, factors influencing working capital, components, cash management, receivables management and inventory management

**Sec B – Practical**

1. Write a note on dividend policy of an IT Company
2. Refer the balance sheet of a company and comment on its capital structure
3. How is inventory management significant in the management of working capital
4. Write a note on different approaches / models relating to dividend policy

**Sec C – Articles****Reference books:**

- Financial Management by Sathyaprasad, Kulkarni
- Investment Management by Bhalla
- Financial Management by Bhalla
- Financial Management by Pandey
- Financial Management by Prasanna Chandra

**(4 BBM 4) ENTREPRENEURIAL DEVELOPMENT****Sec A****Module 1 (12 hrs.)**

**Introduction to Entrepreneurship**: Entrepreneur-Entrepreneurship-Enterprise: Conceptual issues. Entrepreneurship vs. Management. Roles and functions of entrepreneurs in relation to the enterprise and in relation to the economy. Entrepreneurship as a interactive process between the individual and the environment. Small business as the seedbed of entrepreneurship.

**Module 2 (10 hrs.)**

**Opportunity scouting** and idea generation: role of creativity & innovation and business research. Sources of business ideas, with case studies

**Module 3 (10 hrs.)**

**Business Plan** : Essential Features of Business Plan, Types of Business Plan, Presentation of Business Plan, Pitfalls to be avoided in preparation of Business Plan.

**Module 4 (10 hrs.)**

**Financial /non-financial support agencies** :SIDBI, SFCs- KSFC, SDCs- KSIIDC, EDI, AWAKE, SEWA, SISI, SHGs, KVIC

**Module 5 (8 hrs.)**

Issues in small business marketing. Advertising and publicity, sales and distribution. The idea of consortium marketing, competitive bidding.

**Module 6 (10 hrs.)**

**E- Business** : Meaning, Procedures and Relevance of E-business.

**Sec B - Practical**

1. Prepare a Business Plan for a SSI.
2. Identify the various opportunities in emerging economics.
3. Write a report on SEWA or any other SHGS.
4. Outline the role of E-Business.



**Sec C - Article****Reference books:**

- Dynamics of Entrepreneurial Development and Management by Vasant Desai, Edition 2000, HP
- Fundamentals of Entrepreneurship and Small Business Management by Vasant Desai Edition 2005, HP.
- Entrepreneurship Need of the Hour- Dr Vidya Hattangadi Edition 2007 HP

**(4 BBM 5) HUMAN RESOURCE MANAGEMENT (HRM) - II****Sec- A****Module 1 (10 hrs)**

**Strategic Human Resource Management :** Introduction to Strategic HRM, traditional HR VS strategic HR, HR in new millennium, Employee resourcing strategies, strategies for performance management, strategies for human resource development. Reward strategies. Motivational strategies, retention strategies, right sizing work force strategies.

**Module 2 (8 hrs)**

**HRIS, HR research, Audit, and accounting :** HRIS: Introduction, concept, objectives, its stages of development, modules, products, contents & features, developing an HR costs checklist HR research, Audit and accounting: introduction, various method of valuation, Techniques of HRA

**Module 3 (12 hrs)**

**Managing Employment Relations and IR:** Employee rights and privacy, the disciplinary policies and procedures, theories of disciplinary powers Industrial health-Importance, Occupational Hazards & Risks, Industrial relations- reasons to unionize, Impact of unionization on managers, problems and solutions of Indian Trade unions, principles of natural justice, Labour collective bargaining, Grievance handling, Industrial Disputes and its settlement.

**Module 4 (8 hrs)**

**Talent Management :** Introduction, concepts with definition, Developing multi dimensional skills for competitive advantage, CMM-capability maturity model, human capital, return on investment, managing man power redundancy, Employee Empowerment.

**Module 5 (6 hrs)**

**Impact of Mergers & Acquisitions on HR :** Cultural, social, economical, technical, & political impact and its reverberations on HR.

**Module 6 (6 hrs)**

**Ethics in HR:** Meaning of Ethics, Importance of ethics in HRM, Ethical practices followed in organization.

**Sec B – Practical**

1. Develop a world-class employee Retention program?
2. Arrange yourself in small group of 4-5 students and compare and contrast the different organization cultures you have visited. Can you isolate any factors that appear to influence how an organisation perceives the value of its employees?
3. Assume the position of a consultant hired to assess the approach towards human resource management taken by a client organisation. What factors did you evaluate whether an organisation uses traditional or strategic approach in managing its human resource?
4. Discuss the role of human resource accounting in human resource management
5. Identify the key issues and challenges facing multinationals in developing a cadre of global managers.

**Sec C – Articles****Reference books:**

- Managing Human Resources : Bohlander & Snell
- Excellence through HRD –M.R.R. Nair & T.V. Rao
- Training Instruments in HRD & OD- Udai Pareek
- HRD –Dr Lalitha Balakrishnan, S . Srividya
- Human resource management by VSP RAO second edition
- Human resource management by JOHN P WILSON second edition kogan page
- Personnel management by P. SUBHA RAO himalaya publishers
- Human resource management practice by MICHAEL ARMSTRONG 10<sup>TH</sup> EDITION kogan page

**4 BBM 6) BUSINESS LAW****Sec A****Module 1 (8 hrs)**

**Indian Contract Act 1872** : Definitions, Types, Essentials, Offer, Acceptance, Consideration, Legality of object and consideration, Capacity of Parties, Discharge and performance of contract, Breach of contract and remedies for breach of contract

**Module 2 (8 hrs)**

**Intellectual property Legislations** : Meaning, Scope, Patents Act, Amendments as per WTO agreements, Invention, True and first inventor, Procedure to grant patent , rights of patent holder, Infringement of Patent rights and remedies thereon.

**Module 3 (10 hrs)**

**Consumer protection Act 1986** : Background, Definitions, Procedure to lodge a complaint, consumer redressal agencies at various levels and consumer organisations

**Module 4 (10 hrs)**

**FEMA 1999** : Objectives, scope of the act, features, Offences under the act.

**Module 5 ( 14 hrs)**

**Company Law 1956** : Back ground, Definitions, different types of companies – Private Ltd., Public Limited, Government companies, Multinational companies, stages in company formation – promotion, incorporation, capital subscriptions and business commencement, Documents of companies – Memorandum and articles , Management of companies, Meetings, Resolutions, and secretarial works relating to conduction of meetings

**Module 6 (10 hrs)**

**Competition Law 2003** : Meaning and scope, Features offences and penalty

**Sec B – Practical**

1. Draft a loan agreement with a financier regarding a vehicle loan
2. As an aggrieved customer write a complaint to the consumer forum complaining about a traders unfair trade practices
3. Make a list of case laws relating to the contract act
4. As a consumer what are your rights and duties

**Sec C – Articles****Reference books:**

- Business Laws by N D Kapoor
- Business Laws by Ashwathappa & Ramchandra
- Business Laws by Kuchal
- Base Acts
- Company Law by N D Kapoor

**(ICON 12) INDIAN CONSTITUTION****Chapter 1:****Indian Constitution: Its philosophy and Framing**

The Constituent Assembly

Preamble, Fundamental Rights and Fundamental Duties

Directives Principles of State Policy

Amendment and Review of the Constitution

**Chapter 2:****The Union & State Legislative**

Union Parliament

State Legislature

Law-Making Process

Committee System

**Chapter 3:****The Union & State Executive**

The President of India

The Prime Minister and Council of Ministers

The State Governor, Chief Minister and Council of Ministers

**Chapter 4:****The Judiciary**

The Supreme Court of India

Judicial Review

Writs

Judicial Activism and Public Interest Litigation

**Chapter 5:****Issues**

Indian Federalism

Human Rights and Environmental Protection

Reservation and Social Justice

Secularism

**Books for References:**

- D. D. Basu: Introduction to the Constitution of India
- Granville Austin: India's Constitution – Cornerstone of a Nation
- Granville Austin: Working of a Democratic Constitution – The Indian Experience
- J C Johari: Indian Government and Politics, Vol 1 & 2
- J R Siwach : Dynamics of Indian Government and Politics
- D C Gupta : Indian Government & Politics
- M V Pylee: India's Constitution
- K K Ghai: The Indian Constitution
- H M Rajshekar: Bharata Sarkara Mattu Rajkiya
- M P Bhuvaneshwara Prasad :Bharata Samvidhanada Parichaya
- S K Kabburi: Bharata Samvidhana
- K J Suresh: Bharata Samvidhana
- D T Deva Gowda: Bharata Sarkara Mattu Rajkiya
- Lohitashwa : Bharata Samvidhana



**(5 BBM 1) LEADERSHIP IN PRACTICE**

<b>Module 1</b>	<b>(12 hrs.)</b>
Leadership, meaning definition, difference between Leaders and Managers. Traits/ qualities that make a leader, scholars views on whether leadership can be taught or not.	
<b>Module 2</b>	<b>(10 hrs.)</b>
Types and styles of Leaders : Primal Leadership, Resonant Leadership, Narcissist Leaders, Situational Leadership. Leadership Traits – Case Study	
<b>Module 3</b>	<b>(8 hrs.)</b>
Emotional Intelligence vs. Intelligence Quotient	
<b>Module 4</b>	<b>(8 hrs.)</b>
Decision Making – Intuition and Imagination, craftsmanship, Ethics, Negotiation – Cases, Effective Leadership Cases	
<b>Module 5</b>	<b>(8 hrs.)</b>
Leadership in a Changing World – Managing Change and Risk	
<b>Module 6</b>	<b>(4 hrs.)</b>
Learning from failures and Successorship	

**Sec B - Practical**

Case study on effective and successful Leaders

Identify qualities of personality and character of a Leader of your choice

Book review on

1. Key to leadership by Peter Burwash.
2. Men of Steel-India's Business Leaders in candid conversations with Vir Sanghvi
3. Develop your Leadership Skills by John Adair.

**Sec C - Article****Reference books:**

- Effective Leadership by John Adair
- Leadership and Practice by Peter G Northhouse
- Leadership in the Era of Economic Uncertainty by Ram Charan
- A Passion for Excellence by Tom Peters
- Dynamics of Success by Prof. P.K Arya.
- How to grow Leaders by John Adair.

**(5 BBM 2) CASE ANALYSIS & METHODOLOGY****Sec - A**

<b>Module 1</b>	<b>(8 hrs)</b>
<b>Introduction to case study</b> : Introduction, case- meaning, caselet, case based learning methodology, functional areas of case study, educational applications of case study method, usefulness of the case study method in management education, <b>inventory of skills developed by the case method</b> , types of cases, dimensions of a case.	
<b>Module 2</b>	<b>(8 hrs)</b>
<b>Case Analysis Technique</b> : Case analysis- meaning, objectives of case analysis, steps involved in case analysis- PACER model, role of participants and resource person / instructor in case method, preparing an effective case analysis.	
<b>Module 3</b>	<b>(12 hrs)</b>
<b>Tools for case analysis</b> : Tools used in case analysis - PEST analysis, SWOT analysis, BCG Matrix, Porter's 5 force analysis, Ansoff Matrix, financial ratio analysis and brainstorming, case analysis report, format of the written case analysis report, preparing an oral case presentation.	

**Module 4 (4 hrs)**

**Case ethics** : The case method and relativistic thinking, Individual ethical decision-making style, ethical concerns, case study writing- meaning, case study writing- traditional versus feature story format.

**Module 5 (4 hrs)**

**Problems with case analysis** : Analysis of problems in management case studies, how to deal with missing information from the cases study, advantages of case study method, problems / limitations of case study method.\

**Module 6 (4 hrs)**

**Decision-making** : Concept of decision making, decision making in case analysis, problem analysis versus decision making, decision-making process.

**Sec B - Practical**

1. Take four cases from each of subject; marketing, HR, finance and production management and conduct case analysis.
2. Based on the minor project, identify a problem area in that organization and develop a case study.
3. Identify the key issues and challenges faced by student, while analyzing case study.

**Sec C - Article****Reference Books:**

Neeta Baporikar, Case Method: Cases in Management, 2<sup>nd</sup> edition, 2008, Himalaya Publishing House, Delhi. Website: www.hbs.edu and www.icmrindia.org.

**(5 BBM 3) MANAGEMENT ACCOUNTING****Sec A****Module 1 (3 hrs)**

**Introduction to Management Accounting** : Meaning, Role & Scope of management accounting, difference between financial accounting, cost accounting and management accounting, Role of management accountant and management accounting in career.

**Module 2 (12 hrs)**

**Ratio analysis** : Meaning, importance, types of ratios, calculations of all types of ratios, including preparation of P&L a/c & B/S with helps of ratios.

**Module 3 (10 hrs)**

**Cash Flow Statements** : Introduction to Cash Flow Statements, Calculation of Income from Operating Activities, from income statements and cash accounts. Limitations of Cash Flow Statements.

**Module-4 (10 hrs)**

**Cost volume profit analysis** : Cost volume profit relationship, marginal costing, value of marginal costing to management, break even point, uses of break even analysis, application of CVP analysis, limitations.

**Module 5 (10 hrs)**

**Budget & Budgetary control** : Uses and organization of budget, steps in budget preparation, different types of budget, budgeting as a tool of management planning and control Problems on Flexible budget and Cash budget only.

**Sec B – Practical**

1. Identify the ratios calculated by a manufacturer who has a medium sized business
2. What are the areas in which marginal costing techniques are used
3. Lakshmi auto is a manufacturer of auto parts.

Following costs are incurred for processing one lakh units of a component

Direct material	Rs. 5 Lakhs
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Direct labour	Rs. 8 lakhs
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Variable factory over heads Rs. 6 lakhs

Fixed factory over heads Rs. 5 lakhs

Purchase price of the component is Rs.22, fixed over heads will be incurred even if the component is purchased from outside, though the amount will be reduced by Rs.2 lakh

a) Should the component be bought or made

### Sec C – Articles

#### Reference books:

- Management Accounting by B. S Raman
- Management Accounting by J M Pandey
- Management Accounting by Reddy Appanaiah
- Management Accounting by Sharma / Shastri Gupta
- Management Accounting by M. N. Arora

### (5 BBM 4) INCOME TAX - I

#### Sec A

**Module 1** (4 hrs)

**Brief history of Income Tax** : Legal frame work, Cannons of Taxation, Finance Bill, Scheme of Income tax

**Module 2** (4 hrs)

**Introduction** : Definition : Assessee, Person, Assessment year, Previous year, Income, Gross total Income, Total Income, Agricultural income

**Module 3** (2 hrs)

Revenue and Capital a) Receipts b) Expenditure c) Loss

**Module 4** (5 hrs)

Residential Status and Incidence of tax

**Module 5** (15 hrs)

**Exempted Income u/s 10 (Restricted to Individual Assesseees)** : Fully Exempted and Partly Exempted Income including Problems on House Rent Allowance, Leave encashment, Commutation of Pension, Death cum Retirement benefits, Gratuity, Compensation Receipt on Termination of Service

**Module 6** (15 hrs)

**Income from Salary** : Features of salary income, Basics salary, Allowance, Perquisites, Compute taxable income, Tax Rebate

**Module 7** (15 hrs)

**Income from House Property** : Introduction, Annual Value under different situation, deduction, problems

#### Sec B – Practical

1. Collect salary details of any employee of any organization and compute taxable
2. Income, tax liability.
3. Fill up form 16 and Income tax return
4. Prepare perquisites chart
5. Prepare exempted incomes chart

#### Sec C – Articles

#### Reference books:

- Income tax by Satyaprasad, Rudramurthy, Harisha
- Income tax by H.C. Mehrothra
- Income tax by Dr Vinod, K Singhanian & Monica Singhanian
- Law & Practice of Income Tax by Gaur & Narang

**(5 BBM 5) INTERNATIONAL BUSINESS****Sec A****Module 1 (8 hrs)**

**International Business** : Nature and Competitive Advantages, Evolution of International business Reasons and Stages of internationalization, Approaches and theories of International Business.

**Module 2 (12 hrs)**

Modes of Entering International Business, International Business Analysis, Modes of Entry, Exporting, Licensing, Franchising, Foreign direct investment, Mergers and Acquisitions and Joint ventures, Contract manufacturing – Manufacturing contract-Near Shoring, Turnkey projects.

**Module 3 (10 hrs)**

**Globalization/ MNCs and International Business** : Meaning Definitions and Features, Advantages and Disadvantages Essential conditions of Globalization, Globalisation, with reference to Production, Investment and Technology, Globalization and India, MNC, Global Companies and TNC, Organizational Transformations, Merits and Demerits.

**Module 4 (4 hrs)**

International Marketing Intelligence, Information required, Sources of Information International Marketing Information System

**Module 5 (8 hrs)**

Foreign Trade, Process, Documents, Regulations regarding imports and exports, and Financing techniques, Imports and exports, Banks, Other financial institutions focusing on exports (ECGC, EXIM Bank – functions and roles).

**Module 6 (8 hrs)**

**Exchange rate** : Exchange rate determination, capital account convertibility. Balance of trade and payments. Causes for Disequilibrium's and measures for rectification.

**Sec B – Practical**

1. A book review
2. A visit to an MNC
3. Understand and present one emerging economy
4. A critical Review on present issues in WTO
5. Visit to a franchisee unit/ WOS/ JV

**Sec C – Articles****Reference books:**

- International Business by Justin Paul
- International Business Environment the Text and cases by Sundaram & Black
- International Business Text & Cases by Cherumilam
- International Business by Alan M Rugman, Richard M Hodgelts
- International Business by John D Daniels, Lee H Nagebaugh, Daniel P Sullivan
- International Business by Vyuptakesh Shalan

**5 BBM 6E1 : ELECTIVE – I****5 BBM 6E 1.1 : FINANCIAL MARKETS & SERVICES****Sec A****Module 1 (4 hrs)**

**Financial System – An Overview:** Financial System, structure of financial system, Financial Assets, Financial Securities Regulatory frame work of financial services-growth of financial services in India in Financial Markets

**Module 2 (12 hrs)**

**Financial Services: Asset/ Fund based financial services :** Lease Finance, types and functions, Hire Purchase Finance, Consumer Finance-Mechanics, Sources, Modes, Pricing, Consumer credit scoring, Factoring, Mechanism, Types, Players, Functions, Advantages and Disadvantages, Operational Profile of Indian Factoring, Forfaiting, Venture Capital, features, methods, Stages, styles, Buyouts and Nurturing methods, Merchant Bankers.

**Module 3 (8 hrs)**

**Money Markets :** Money Markets, Features, constituents, Call Money – features, nature of dealings, Participants, Treasury bills, Gilt edged securities, Commercial Paper, Certificate of Deposit, Debt Market - risks on debt, instruments profile, price determination, secondary debt market- repos and normal buy and sell

**Module 4 (16 hrs)**

**Capital Markets:** Capital Market- Features, Constituents, Instruments, Stock Exchange in India SEBI – Genesis, functions, management Regulations regarding stock market trading, Issue of shares, Debentures, Rights issue, Bonus shares, Buyback, Book Building, Listing, Delisting, Insider Trading, Speculations, Investor Protection. Credit rating- features, process, Global and Indian credit agencies. De-Mat-Services-Need and Operations Role of NSDL and CSDL Commodity Market – Genesis

**Module 5 (6hrs)**

**Mutual Funds :** Mutual Funds - Meaning, Mechanics, Types, AMC- Functions, Process of Mutual funds, Mutual funds holders account, Operational efficiency of mutual funds, Regulatory requirement of Mutual funds.

**Module 6 (4 hrs)**

Securitization: Securitization – Meaning, Need, Features - Pass Through Certificates, Special Purpose Vehicle, Asset Securitization

**Sec B – Practical**

1. Take any one mutual fund and examine the various open ended and closed ended schemes offered
2. Find out the rating procedure of any rating agency
3. Visit a bank and collect the details of various housing loans offered by them
4. Visit Bangalore Stock exchange and record the proceedings of trading

**Sec C – Articles****Reference books:**

- FMS by Gordan & Natarajan
- Financial services by Tony Martin
- Financial services and Market- Guruswamy
- Financial services and Market- I.M.Bhole
- Indian financial System- Khan
- Market Financial services by Christine
- Marketing of Financial Services by Advani
- Financial services by Sharma

**5 BBM 6E 1.2 : CONSUMER BEHAVIOUR****Sec A****Module 1 (8 hrs)**

**Introduction :** Meaning and Definition - Why study Consumer Behaviour, Scope of Consumer Behaviour, Nature and Characteristics of consumers, Factors Influencing Consumer Behaviour, Theories of Consumer Behaviour Psychology of Consumer, Online Consumer Behaviour, Organizational Buying Behaviour.



**Module 2 (6 hrs)**

**Consumer Perception and Learning** : Perception, Dynamics of Perception, Product Image, Self Image and Consumer Behaviour, Learning, Principles of Learning, Learning Theories, Marketing Strategies.

**Module 3 (6 hrs)**

**Consumer Motivation and Values** : Motivation as a psychological force, The Dynamics of Motivation, Motivational Directions, Motivational Conflicts, Types of Needs, Classification of Consumer Needs, Values, Applications of values to Consumer Behaviour.

**Module 4 (10 hrs)**

**Consumer Attitudes, Personality and Lifestyle** : Nature of Consumer Attitudes- Functions of Attitudes, Changing Attitudes through Communication, Brand Switching Behaviour, Nature of Personality, Personality and Understanding Consumer Diversity, Brand Personality, Lifestyles, Lifestyle Concepts, Personal Values i.e. Self and Self Image.

**Module 5 (12 hrs)**

**Influence of Group Dynamics, Social Class & Culture**: Meaning and Nature of Group Dynamics, Types of Groups, Consumer Relevant Groups, Reference Groups, Factors affecting Reference Group Influence, Opinion Leaders, Family, Role and Functions of Family, Family Decision Making, Children as Decision Makers, Meaning and Definition of Social Class, Components of Social Class, Social Class and Purchase Decisions, Consumer Spending and Economic Behaviour, Culture, Sub Culture, Cross-cultural Marketing Analysis, Indian and International Core Values, Transferring product meaning to other Cultures.

**Module 6 (8 hrs)**

**Consumerism**: Consumerism, Rights of Consumers, Consumer Protection, E-Consumers and Consumer Behaviour, Responsibilities of Consumers in India.

**Sec B – Practical**

1. Visit three retail outlets, and assess the behavior of consumers and analyse them.
2. Identify a B 2 B business and study the buying decision.
3. Select a region make a report on culture and the influence of culture on consumer behavior.

**Sec C – Articles****Reference books:**

- Consumer Behaviour by Blackwell, 1<sup>st</sup> Edition – Cengage Learnin
- Consumer Behaviour and Marketing Action by Assael- Cenage Learning
- Consumer Behaviour in Indian Prospective by Suja R Nair- Himalaya Publications

**5 BBM 6E 1.3 : ENTREPRENEURSHIP & BUSINESS OPPORTUNITY****Sec A****Module 1****Business Opportunity****Module 1 (12 hrs.)**

Entrepreneur opportunities in contemporary business environment [opportunities in net-work marketing, franchising, business process outsourcing] in the early 21 century. Idea generation, opportunity recognition, resource acquisition, and entrepreneurial management.

**Module 2 (8 hrs.)**

Entrepreneurial opportunities - Assessment - Entrepreneurial process(1) identification and evaluation of the opportunity, (2) development of the business plan, (3) determination of the required resources, and (4) management of the resulting enterprise.

**Module 3 (8 hrs.)**

Work force shortages in developed economies, India's competitive advantage vis-à-vis other countries. The four Entrepreneurial Pitfalls (Peter Drucker).

**Module 4 (8 hrs.)**

Business opportunity in Asia The Growth Imperative. Agriculture, service, Rural sector. Case study related teaching

**Module 5 (8 hrs.)**

Business opportunity in emerging economies. Types of Opportunity Assessment Tools. Selecting an Opportunity Assessment Method. Subjective three-step process: 1. Review high-level needs. 2. Determine preferred tool characteristics. 3. Generate tool options lists for decision

**Module 6 (6 hrs.)**

Differences between developed markets and those in developing countries Case studies. Potential Scenarios for overall opportunity.

**References:**

- S Anil Kumar New Age International, 01-Jan-2008
- Srivastava S.B: A Practical Guide to Industrial Entrepreneurs; Sultan Chand and Sons, New Delhi. 2005 edition
- Tandon B. C: Environment and Entrepreneur; Chugh Publications, Allahabad. 2006 edition
- Discovering New Business Opportunities  
Allen & Unwin Australia Author: John W English, Babette Moate 2009
- Entrepreneurship And Business, Publisher: Springer Author: Galindo 2009

**5 BBM 6E 1.4 : HUMAN RESOURCE DEVELOPMENT (HRD)****Sec A****Module 1 (6 Hrs)**

**Introduction to HRD** : Definition, Significance & objectives, HRM & HRD, Process and techniques of HRD.

**Module 2 (10 Hrs)**

**HRD as a facilitator of change** : Change management – Personal change, Self Awareness, Self Analysis, Self efficacy, Self esteem, Organisational roles, Making organizational roles effective. Inevitable change Vs Planned change, Phases of organizational change, Process factors of HRD

**Module 3 (8 Hrs)**

**HRD** : Innovative HRD practices in training, Development, Performance appraisal & OD, Career Management, Career development programs, Career Planning & Succession Planning, Performance improvement plan.

**Knowledge Management** : Definition, Types of knowledge, Goals and objectives of Knowledge Management, Essentials of knowledge management.

**Module 4 (10 hrs)**

**Total Quality Management** : Quality circle programs, TQM programs, Kaizen, Deming's quality principles, Total quality training & development, BPPE, Total quality HR strategies.

**Module 5 (7 hrs)**

**Quality of Work Life** : Meaning, Objectives, Techniques used in improving QWL, Ergonomics, Empowerment, and Characteristics of empowered organizations, Flexible work patterns.

**Module 6 (9 hrs)**

**Contribution of OB to HRD**: Conflict management, Approaches to handling conflict, Employee burnout, Job stress, Stress management practices, Employee guidance and counseling, Coaching and mentoring.

OCTAPACE model of climate survey, Behavioral modeling, Organizational transformation.

**Sec B – Practical**

1. Discuss the role and contributions of HR sub functions for HRD?
2. Retaining excellent performers especially at middle and the top level is one of the important challenges of today's growing organisation. How can HRD efforts contribute to retention?
3. Many companies spend considerable time and money on training on inter personal skills. Do you think such training really works explain your answer with a case study.
4. As a HR manager of a company develop the key QWL activities to retain the best talents of your company
5. "The pressures of modern life, coupled with the demands of the job, can lead to emotional imbalances that are collectively labeled stress." Analyze the statement with an example

**Sec C – Articles****Reference books:**

- Managing Human Resources : Bohlander & Snell
- Excellence through HRD –M.R.R. Nair & T.V. Rao
- Training Instruments in HRD & OD- Udai Pareek
- Human resource management JOHN P WILSON second edition kogan page
- Personnel management P. SUBHA RAO himalaya publishers
- Human resource management practice MICHAEL ARMSTRONG 10<sup>TH</sup> EDITION kogan page
- Human resource management VSP RAO second edition

**5 BBM 7E2 : ELECTIVE – II****5 BBM 7E2.1 : INTERNATIONAL FINANCE****Sec A****Module 1 (8 hrs)**

**Introduction** : Meaning Issues involved in International Business and Finance, Balance of payments. Structure and Investments, International Monetary Fund (IMF, EMU), International Parity Conditions, Different Purchasing Power Parity, Absolute, Relative.

**Module 2 (10 hrs)**

**International Risk management** : Types of Risk, Political, Commercial, Exchange control restrictions on remittances. Exchange rate, Inflation rate and Interest rate fluctuations, Transaction Exposure, Translation Exposure and operating, Exposure, Managing Risk.

**Module 3 (14 hrs)**

**Foreign Exchange Rates** : Structure of Foreign Exchange market, Types of transactions spot, forward, Exchange rate quotations and Arbitrage, Exchange rate regimes and the foreign Exchange market in India, swaps, different positions, forwards, options on futures, hedging and speculation, Option pricing models. Currency options in India. Forward spread agreements, Exchange rate agreements and forward exchange agreements.

**Module 4 (12 hrs)**

**Investments** : Foreign direct investments, Different modes, Short term borrowing & investment, Foreign Equity investment, Foreign currency convertible bonds, American depository receipts, External commercial borrowing, multiple currency bonds, Yankee bonds, Euro currency market, Euro bond market, foreign equity investment, Foreign trade financing. Transfer pricing. NRE, NRI investments.

**Module 5 (16 hrs)**

**Management of Funds** : International capital Asset pricing model, Risk and Return, International capital budgeting. International portfolio management, Management of cash and other assets including working capital

**Sec B – Practical**

1. Write a detailed note on the constitution and functioning of International Monetary Fund.
2. Visit a bank and find out the different investment options available for non resident Indians.
3. Write a detailed note on currency swaps.
4. Visit any partnership business and report on the management of their working capital.
5. What do you understand by American Depository Receipts and Global Depository Receipts.

**Sec C – Articles****Reference books:**

- International Rate forex policy by Mittal
- Finance of foreign trade & forex by Venkatram
- Finance of foreign trade & forex by Chowdary
- International Finance by Srivatsava

**5 BBM 7E2.2 : MARKETING IN PRACTICE****Sec A****Module 1 (8 hrs)**

**Marketing System** : Systems view of marketing, Introduction to development of marketing plan, Segmentation, targeting & positioning.

**Module 2 (8 hrs)**

**Context of Marketing** : Consumerism, Green Marketing, Marketing ethics, Business to Business Marketing, Relationship Marketing, Internal Marketing, Social Marketing, Information & Communications Technology (ICT).

**Module 3 (8hrs)**

**Integrated Marketing** : Service extension, Building & Development relationships.

**Module 4 (8 hrs)**

**Marketing Information Systems** : Information system, Types of Data, Information for management decision.

**Module 5 (10 hrs)****Skills for Marketing :** Managing marketing projects, Marketing presentation, Negotiations, Marketing Budgets & schedules.**Module 6 (8 hrs)****Marketing Plan****Sec B – Practical**

1. Visit any one office of a Radio, Newspaper, Television media and find out how they work on advertising concepts. Write a report on it in Detail.
2. Do a survey on the impact of consumerism and present a report.
3. Prepare a Marketing Plan selecting a product or service.

**Sec C – Articles****Reference books:**

- Internet Marketing by Roberts, Cengage Learning 1<sup>ST</sup> edition.
- Mass Media Research: Processes, Approaches and Applications by Wimmer, 1<sup>st</sup> Edition.
- Advertising and Promotion: An IMC Approach by shimp, 7<sup>th</sup> Edition, Cengage Learning.

**5 BBM 7E2.3 : ENTREPRENEURIAL START-UP****Module 1 (12 hrs.)****Start ups:** The process of setting up a small business: Preliminary Check List and feasibility aspects of a business**Module 2 (8 hrs.)****Small Scale Industries : Regulation and policies –** SSI- define- Exclusively reserved items in India- National awards for SSI, SSI Registration- Objectives and benefits, Provisional Registration, Permanent Registration, Procedure, De- registration (brief)**Module 3 (8 hrs.)****SSI regulations :** FDI approval, NRI Investment Approval, Foreign Exchange Regulation, Environmental Regulation, Income tax, Excise Duty, Sales tax, Quality standard, Land use regulation, The minimum wage Act, Employment provident Fund Act, Employee stock option Act, workers compensation Act, Employment of Children ,Government policies and schemes.**Module 4 (8 hrs.)****Policies -Licensing Policy –**Trade Policy - Imports & Exports, Price & Purchase Preference Policy - Rehabilitation of Sick Units, Schemes -Single Window Scheme.**Module 5 (8 hrs.)****Priority Sector Policies:** Policy for Tiny Sector, Cottage & Village Industries, Handicrafts, Khadi & Handlooms -Development of Backward Areas Schemes -Prime Minister's Rozgar Yozna -Self Employment Scheme for Educated Unemployed - Assistance to SC/ST Entrepreneurs**Module 6 (6 hrs.)****Modernization & Training Policies :** Quality Certification Schemes (ISO-9000). Application for the Reimbursement of Certification Charges for acquiring ISO-9000 Certification (or its equivalent) Energy & Environment:- Policies Pollution & Control Measures -Environmental Control Schemes Pollution Control Schemes -Energy Conservation Schemes Alternative Energy Use Schemes**Sec B - Practical****Sec C - Article****References :**

- Small Business Entrepreneurship by Anil Sood- second edition
- Entrepreneurship and Small Business Management by Dr C B Gupta and Dr S.S Khanka first edition
- Starting a business from Home by Colin Barrow – second edition
- Starting a Successful Business by Michael Morris by seventh edition

**5 BBM 7E2.4 : INTERNATIONAL HRM****Sec A****Module 1****(8 hrs)**

**Globalisation of Business & HR** : Global population change, Demographics, Global economic interdependence, Regional alliances, Types of Global organizations, Concept of Expatriate, Definition of global HRM, Domestic versus International HRM

**Module 2****(10 hrs)**

**Staffing Global Assignment** : Factors affecting Global HR management, Global HRP, Issues in supply of International human resource, Recruitment practices, Executive nationality staffing policy, Issues in selection, Skills for expatriate manager, Pre departure orientation and training, developing international staff and multi national team, Expatriate support & Development, Repatriation

**Module 3****(7 hrs)**

**Performance Management** : Areas to be appraised, Who should appraise, Systems of performance appraisal, Criteria for appraising international employees, Adjusting performance criteria, Problems of performance appraisal, Making performance appraisal effective.

**Module 4****(9 hrs)**

**International Compensation** : Factors affecting international compensation, Components of international compensation, Balance sheet Approach, Global market approach, Government regulations regarding compensation, Tax concerns, expatriate managers.

**Module 5****(12 hrs)**

**Global Employee Relations** : The role of union, Key issues in international labour relations, Labour unions & international labour relations, Regional integration-EU, NAFTA.

**Diversity management for Competitive Advantage**

Discrimination and reverse discrimination, Reasons for diversity management, Methods of managing diversity, Consequences of diversity, Challenges for diversity management

**Module 6****(9 hrs)**

**Issues, Challenges & Latest Trends in I HRM** : Managing people in an international context, India, HR issues in MNCs, Corporate social responsibility.

HRM practices in different countries-Japan, USA, UK, Turkey, Middle East, India & China, outsourcing.

**Sec B – Practical**

1. Bring out the effects that different component of the cultural environment can have on HRM in an international firm.
2. Assuming you accepted a foreign job what should be the content of the pre-departure training for you and your family. Design a training programme for the same.
3. Research on various social security measures followed by different MNC's
4. In what ways would a role of a manager working in a less developed country differ from that of a manager in a developed western economy. Explains with examples.
5. Debate on the topic "Outsourcing –boon or bane-for core HR functions and its affects on the country"

**Sec C – Articles****Reference books :**

- IHRM by Peter. J. Dowling, Denice . E. Welch, Randall.
- Managing Human Resources By Bohlander, Snell
- International HRM By P. Subba Rao
- HRM By Robert Mathis, John Jackson
- The Global challenge: Frame work for International HRM.-Evans
- International HRM Hugh Scullion, Margarel Linehan
- Human resource management JOHN P WILSON second edition kogon
- Personnel management P. SUBHA RAO Himalaya Publishers
- Human resource management practice MICHAEL ARMSTRONG 10<sup>TH</sup> EDITION kogon page
- Human resource management VSP RAO second edition\



**(6 BBM 1) STRATEGIC MANAGEMENT****Sec A****Module 1 (8 hrs)**

**Introduction to Strategic Management** : Conceptual framework-Definition and meaning, Relevance, Characteristics, A model of strategic management process,- Approaches to strategic decision making process, Pitfalls in strategic management, Strategists and their role in strategic management

**Module 2 (8 hrs)**

Strategy Formulation-Developing strategic vision & mission for a company, Business policies, Objective, Goals, Balanced score card, Strategic intent- hierarchy, Merging strategic vision, objectives and strategy to Strategic plan

**Module 3 (15 hrs)**

**External Environmental analysis of Business** : Definition, Strategically important components, Environmental scanning, International Environment, Macro Environmental forces-PESTELD, Industry Analysis-Industry's dominant economic features, Competitive Analysis-Porters 5 force model-6th force, Strategic Group.

**Internal analysis** : Analysis of company's resources, Capability & competitive position, SWOT analysis, TOWS matrix, Value chain analysis, BCG matrix, Building core competencies,

**Module 4 (8 hrs)**

Generic competitive strategy- Low cost, Differentiation, Focus, Strategic alliance, Mergers & acquisition strategy, Grand strategies- Stability, Growth/Expansion, Diversification, Retrenchment,

**Module 5 (12 hrs)**

**Strategic Implementation** : Operationalising strategy, steps in implementation, Annual objectives, Developing functional strategies, developing & communicating policies, Matching, Implementation issues, Mc Kinsey's 7s Model, Institutionalizing strategy, structure to strategy, Leadership & culture.

**Module 6 (8 hrs)**

**Strategic control & evaluation** : Function of strategic control, Techniques of strategic control- Premise control, Implementation control, Strategic surveillance, special Alert control, Operational control-Budgeting, Scheduling, KSF, Benchmarking, Essentials of effective control system.

**Sec B – Practical**

Study the collapse of "ENRON" making use of SWOT analysis and competitor analysis

Study HP – Compaq merger and make a presentation on changed organizational structure and practices

Analyse the case study of Ranbaxy from the perspective of succession planning

Identify the strategies adopted by South West Airlines

Study the product / services of TVS group make observation of company's diversification strategy

**Sec C – Articles****Reference Books :**

- Strategic Management Theory by Hills & Jones
- Strategic Management by Appanaiah, Reddy
- Business Policy & Strategic Management by Kasim
- Business Environment for strategic management – K. Aswathappa and G. Sudarshan Reddy
- Strategic Management by M. Jeyarathnam
- Strategic Management – Hitt, Ireland, Hoskisson
- Business policy and Strategic Management – Lawrence Jannch and William Glueck
- Strategic Management – Alex Miller

**(6 BBM 2) MANAGEMENT INFORMATION SYSTEM****Sec A****Module 1 (10 hrs)**

**An Overview of Management Information Systems** : Introduction to : Management Information Systems, MIS evolution, MIS architecture, MIS and other academic disciplines. Need for MIS, Data Vs Information, Characteristics and Value of data & Information, Importance of Information, Limitations of information.

**Module 2 (10 hrs)**

**Management Process and Information Systems for Planning, Control and Decision Making** : Management Levels, Information Systems for planning and Control, Importance of Information in decision making and Problem solving, What is Decision Making and its Components, Types of Decisions, System Approach to problems solving, Other Models of Decision making Process.

**Module 3 (10 hrs)**

**Role of MIS in an organisation** : Competitive force model, Value Chain, Strategic role of MIS.

Business process reengineering : Process of BPR, Structural Change, Information system – structure relationship, Changing Organizational culture, Process of changing organizational culture.

**Module 4 (12 hrs)**

**Transaction Processing and Support Systems** : Transaction Processing Systems, Process control systems, Office Automation Systems, Decision Support Systems, Group decision support systems, Executive Information Systems.

**Module 5 (5 hrs)**

**Functional Information Systems** : Production Information Systems, Marketing Information Systems, Financial Information Systems, Human Resource Information Systems

**Module 6 (5 hrs)**

**Information Resource Management, Security and Control**: Artificial Intelligence, knowledge Management Systems, Expert Systems, Managing Information Resources, Information Security and Cyber Laws, Control and Audit of Information Systems

**Sec B – Practical**

1. Case reading, Field Visit and Practical work
2. Case study reading and discussion
3. Field visit to a manufacturing organization and examining the various MIS reports and thereby to grasp the method of use of MIS in business functional areas. Identify how managers make decisions on using MIS.
4. Use Microsoft Excel/Access to develop similar business functional reports by referring to the field study reports and provide solutions to problems given using What-if-analysis and goal-seeking-analysis, Graphs and Reports.

**Sec C – Articles****Reference books :**

- Management Information system by O'Brien Marakas- Tata Mc Graw Hill
- Management Information system by Haag, Cumming, Mecubbrey
- Information system by Lucas - Tata Mc Graw Hill
- Management Information system – Managing the Digital firm by Laudon & Laudon
- Information system management in practice by Mc Nurilin Sprague – Pearson Education
- Principles of Information systems- a managerial approach by Ralph M Stair

**(6 BBM 3) INCOME TAX - II****Sec A****Module 1 (15 hrs)**

**Profits and gains from Business or Profession** : Problems on business relating to sole trader only and problems on profession relating to Chartered accountant, Advocate and Doctor

**Module 2 (10 hrs)**

**Capital Gains**: Theory and problems including exemptions u/s 54

**Module 3 (10 hrs)**

Income from other sources including problems

**Module 4 (7 hrs)**

Deductions from Gross Total Income (Provision relating to individuals)

**Module 5 (5 hrs)**

Set off and Carry forward of losses

**Module 6 (8 hrs)**

Computation of the total Income and tax liability including tax rebate



**Module 7 (5 hrs)**

**Income Tax Authorities** : A brief discussion on Income tax officer and powers and functions, Central Board of Direct taxes, Powers and functions, Commissioner of Income tax, Powers and Functions, Types of Assessments and Rectifications of mistakes, Recovery of Tax and Refunds

**Sec B – Practical**

1. Procure Income Tax return (prescribed form) complete with imaginary figures.
2. Draw an organizational chart of IT authorities
3. List at least five cases in detail recently tried by the Supreme Court of India

**Sec C – Articles****Reference books :**

- Income tax by Satyaprasad, Rudramurthy, Harisha
- Income tax by H.C. Mehrothra
- Income tax by Dr vinod, K Singhania & Monica Singhania
- Law & Practice of Income Tax by Gaur & Narang

**(6 BBM 4) BANKING & INSURANCE****Sec A****Module 1 (10 hrs)**

**Introduction to Banking** : Types of Banks, Functions of banks, Types of banking.

**Module 2 (8 hrs)**

**Indian Banking** : RBI, NPA, Credit Control methods, Banks in India, Nationalization of Banks, Banking industry after 1991

**Module 3 (8 hrs)**

**Paying Banker**- payment of Cheques & protection to the paying banker, dishonour of Cheques – grounds – payments of Cheques and other instruments

**Module 4 (8 hrs)**

**Collecting Banker** - collection of Cheques and other instruments, protection to the banker under negotiable instruments act, Endorsement on Cheques, different types of Endorsement, Types of customers in brief

**Module 5 (10 hrs)**

**Introduction to Insurance**, Meaning and nature of Insurance business, Concepts of Insurance and Insurance Documents, IRDA, Classification of Insurance and Reinsurance, Insurance Marketing and Insurance Intermediaries, Privatization of Insurance Business in India, Insurance Companies in India

**Module 6 (6 hrs)**

**Understanding Risk**, Risk Management and Control

**Sec B – Practical**

1. A visit to a bank/ Insurance company
2. An analysis on the customer satisfaction of a bank /Insurance company
3. Study Products and services and compare between a private and a public sector bank
4. Analyze a balance sheet of a bank
5. One presentation on the Financial crisis- US subprime-2008 or South East Asian crisis of the 90's

**Sec C – Articles****Reference books:**

- Principles and Practice of Banking and Insurance by - V S Gopal & Sumati Gopal
- Legal aspects of Insurance by P K Gupta
- Fundamentals of Insurance by P K Gupta
- Banking Theory - Law & Practice by S Gurusamy
- Elements of Banking & Insurance by Bhatia & Others
- Banking Theory & Practice by Gordon & Natarajan

**6 BBM 5E3 : ELECTIVE – III****6 BBM 5E3.1 : SECURITY ANALYSIS & PORTFOLIO MANAGEMENT****Sec A****Module 1**

Introduction, concepts of investment, Financial and Non financial forms of investments, objectives of Financial Investment, Investment methods, security and non security forms of investment, Sources of investment information -investment instruments, factors influencing selection of investments, Returns, capital Appreciation, Form of Return, Safety and security of Funds, Risk, Liquidity, Tax considerations.

**Module 2**

Financial markets - primary and secondary markets - major players involved and instruments in secondary market - Functions of stock exchanges, trading and settlement procedures at NSE & BSE. Stock market guidelines on primary and secondary markets.

**Module 3**

**Modern Portfolio theory** : Markowitz diversification model, Capital Asset pricing model, Arbitrary pricing model, Sharpe single index model, Asset allocation decision, Dominant & efficient portfolio, Simple diversification, Determination of corner portfolio, - Process of portfolio management, International Diversification

**Module 4**

Portfolio performance evaluation, Sharp & Treynor & Jensen's measure, Portfolio revision, Active and passive strategies & formula plans in portfolio revision, Mutual Funds, types, performance evaluation of mutual funds, Functions of asset management companies, Performance measurement and return attribution for portfolios.

**Module 5**

Portfolio mathematics of Financial Evaluation, discounting, compounding, annuities, present value and yield calculations, Definitions of risk for individual securities. Definitions of risk for portfolios, Single factor and multifactor models of risk, The use of derivatives in Portfolio management. Future Value, Bond Valuation, Equity Valuation.

**Module 6**

Forms of Investments: Shares / Debenture, bonds convertible & hybrid securities, FD, Gilt-edged securities, PF, UTI, LIC real estate.

**Sec B – Practical**

1. Mr. Umesh, 58 years old has retired as Government Officer from the department of Social Welfare. He has received cash emoluments of Rs.7,12,000. He has his own flat but the medical expenses of Mr. Umesh and wife is around Rs.5000 pm. He plans to enjoy his retired life and not to work anymore. As a financial planner how would you create a portfolio for Mr.Umesh.
2. Visit stock exchange and make a report on the trading activity.
3. Write a short note on mathematics of finance.
4. Meet a financial planner/practitioner and collect a portfolio that he has created.
5. Write a detailed note on different open ended and close ended mutual funds in India.

**Sec C – Articles****Reference books:**

- SAPM by Avadhani
- SAPM by Bhalla
- SAPM by Punitavati Pandian Managing Investments by Prasanna Chandra

**6 BBM 5E3.2 : ADVERTISING & MEDIA MANAGEMENT****Sec A****Module 1****(10 hrs)**

**Introduction to Advertising:** Introduction; Changing concept of advertising: Nature and scope of Advertising, Evolutions of advertising; Role of advertising in modern society; Socio and economic impact of advertising, Advertising in India and abroad, Law, ethics, morality in relation to advertising.; Planning advertising Campaigns.

**Module 2 (6 hrs)**

**Types of Advertising:** Types of advertising, Product, services, Institutional, Public Services, Financial and Industrial

**Module 3 (10 hrs)**

**Advertising Planning & Decision Making:** Planning Framework; Marketing strategy and Situational analysis; Marketing Plan; Communication Process; DAGMAR approach; The advertising Plan; facilitating agencies; personal selling, sales promotion, publicity, identifying prospects, Ad Appeals, Stimulating & expanding demand, Other functions of advertising.

**Module 4 (10 hrs)**

**Advertising Agency:** Advertising Agency; Origin development of the agency, organization, structure, functions, and departments; Client agency relationship; the advertising budget, evaluating advertising –research. Some typical and Agency problems.

**Module 5 (16 hours)**

**Advertising Budget & Regulation:** Plans, Process, different methods, sales objectives and task all you can afford comparative parity and incremental concept; budgeting decision roles, Ethical and social dimension of advertising, Role of computer in advertising.

**Advertising Regulations,** Deceptive advertising, Determining Deceptive Advertising research, Remedies, Competitors, Lawsuits, self regulations, Advertising and society, Effects on values and lifestyles, Economic effects of advertising, Advertising and competition.

**Module 6 (10 hrs)**

**Media Strategy:** Role of Media, setting media Budget, Types of Media, Media Research and advertising Decisions, Media vehicle decision, Media Option Decisions, Scheduling and Timing Decisions, Media Buying and Organisation.

**Sec B – Practical**

1. Create a print advertisement for a product or service.
2. Select any 5 advertisement and evaluate them on the basis of strengths and weaknesses.

**Sec C – Articles****Reference Books:**

- 'Advertising: An Introductory Text', S.A. Chunawalla, Edition 2004, Himalaya Publishing House, India.
- 'Advertising & Integrated Brand Promotion', O'Guinn, Edition 2004, Cengage Learning.
- 'Advertising Management', Batra, Myers & Aaker, 5<sup>th</sup> Edition, PHI Learning Private Limited.
- 'Advertising: Planning and Implementation', Sharma and Singh, PHI Learning Pvt. Ltd.

**6 BBM 5E3.3 : FINANCE FOR ENTREPRENEURSHIP****Sec A****Module 1 (8 hrs)**

Introduction to the field of entrepreneurial finance. The concepts of entrepreneurial finance and its difference to traditional corporate finance. Determine the financing needs of an entrepreneurial firm, Concepts of Financial Markets

**Module 2 (10 hrs)**

**Financial Intermediaries:** Merchant Banks, Hire Purchase Finance, Lease Finance and NBFCs, Mutual Funds – Meaning types and operations.

**Module 3 (6 hrs)**

**Venture Capital Funding:** Meaning of Venture Capital, Types and Funding stages. Venture Capital as source of Finance. Venture Capital in India

**Module 4 (8 hrs)**

**Sources of Finance:** Initial Public Offerings, **Depository Receipts**, Bank Financing, Government sources Business expansion Scheme funds, Factoring

**Module 5 (8 hrs)**

**International Financial Markets:** Foreign Exchange Markets – Meaning, Types of Foreign Exchange Rates. Futures, Forward, Swaps, Options, Hedging, Arbitrage, **Derivates**

**Module 6****(10 hrs)**

**Financial Analysis:** Concept of project and classification of project, identification project formulation - project report - project design - project appraisal - profitability appraisal - project planning - social cost benefit analysis - financial analysis and project financing. Financial analysis- Investment process; Break even analysis - Profitability analysis social cost - Benefit analysis - Budget and planning process

**Sec B – Practical**

1. A study of NBFC's providing loans to Entrepreneurs
2. A visit and submit report OTC (Over the Counter Exchange)
3. A case study on Factoring
4. Financial startup Business plan

**Sec C – Articles and Case study****Reference books :**

- Financial Market & Services by Gordan , Natarajan K
- Financial market & Services by I B Bhole
- Financial Services & Market by Guruswamy
- Marketing of Financial services by Advani V K
- Financial Services by Tony Martin

**6 BBM 5E3.4 : LABOUR LAWS****Sec A****Module 1****(8 hrs)****Factories Act 1948,**

Short title & extent, Definitions Health-cleanliness, disposal of waste, ventilation, dust and fume, Artificial humidification, overcrowding, lighting, drinking water, toilets, spittoons.

Safety: Fencing of machinery, work on or near machinery in motion, Employment of young persons on dangerous machines, safety officer, Working hours for adults, Annual leave with wages, recent amendments.

**Module 2****(8 hrs)**

**Minimum Wages Act-1948 :** Short tile & extent, definitions, Fixing of minimum rate of wages, Procedure for fixing and revising minimum wages, wages in kind, payment for minimum rate of wages, Fixing hours a normal working, overtime.

**Payment of Wages act-1936 :** Short tile & extent, definitions, responsibility for payment of wages: fixation of wage period: Time of payment of wages: mode of payment: deduction from wages for absence from duty, damage or loss, For service rendered, recovery of advances and loans: maintains of registers and records, Penalty for offences: payment of un disbursed wages in case of death

**Module 3****(8 hrs)****Employee's provident fund and miscellaneous provisions Act 1952**

Short tile & extent, definitions, employment Provident fund scheme, Employee pension scheme, employee deposit inked insurance scheme

**Payment of Gratuity act 1972 :** Short tile & extent, definitions, continuous service, payment of gratuity, compulsory insurance, determination of amount of gratuity

**Module 4****(10 hrs)**

**ESI Act- 1948 :** Short tile & extent, definitions, contributions:-who is to be insured, principal employer to pay contributions in the first instance, general provision as to payment of contributions, method of payment, benefits- sickness benefit, maternity benefit, disablement benefit, dependents benefits, medical benefits, presumptions as to accidents arising in course of employment, penalties: punishment for false statement, punishment for failure to pay contributions and prosecutions.

**Maternity Benefit act 1961 :** Short tile & definitions and applications, employment for work by, women prohibited during certain period, Right to payment for maternity benefit, continuance of payment of maternity benefits in some cases, Leave for miscarriage, leave for illness arising out of pregnancy /delivery/premature birth of child etc, and nursing breaks.

**Module 5****(8 hrs)**

**Payment of bonus Act 1965** : Short tile & extent, definition, Eligibility for bonus, payment of minimum and maximum bonus, Disqualification for bonus, set on and set off allocable surplus, time limit for payment of bonus.

**Module 6****(8 hrs)**

**Industrial Dispute Act 1947** : Short tile & extent, definition, Dismissal, Etc., of an Individual workmen to be deemed to be an Industrial Dispute, Works committee, Conciliation officers, Board of conciliation, Court of inquiry, Labour Courts, Industrial tribunal, National tribunals, setting up of grievance settlement authorities and reference of certain individual disputes to such authorities, Adjudication.

**Sec B – Practical**

1. Visit any factory and find out the procedure followed under
  - Payment of Bonus
  - Payment of Gratuity
  - Maternity Benefit
2. Visit any industry and find out the impact of Trade union Organization with employer and employee groups
3. Visit any organization and based on the data collected analyze the working conditions of women employees highlighting any related issues
4. Discuss various measures undertaken to successfully resolve dispute of workers.
5. Visit any factory and analyze the Health and welfare and safety measures followed.

**Sec C – Articles****Reference books:**

- P.Subba Rao – Essentials of HRM and Industrial relations
- Dr M.V. Pylee & A. Simon George – Industrial Relations & Personnel management
- Myers , A Charles & Kannappan - Industrial Relations in India.
- Reshma Arora -Labour Law
- Aspects of Labour welfare and social security by A.M Sarma
- Industrial Law by P.L Malik
- Labour Laws by P. Saravanelu & R. Rangarajan
- Labour Laws by Sarin Chawla & Garg Sharma

**6 BBM 6E4 : ELECTIVE – IV****6 BBM 6E4.1 : FINANCIAL ANALYSIS & PLANNING****Section - A****Module 1 (6 hrs)**

Introduction to financial statements, importance of financial statements. Techniques of financial statement analysis, GAAP.

**Module 2 (10 hrs)**

**Financial statement analysis:** Tools of analysis, horizontal and vertical analysis, problems on different techniques of financial statement analysis.

**Module 3 (8 hrs)**

Reading financial statements with the help of ratios, emphasizing more on analysis.

**Module 4 (12 hrs)**

**Standard Costing :** Meaning, objectives, types, classification of variances-material, labour and overhead (problems on material and labour only).

**Module 5 (12 hrs)**

**Strategic Cost Management :** Meaning, objectives, importance of marginal costing, decision making-make or buy. Accept or reject foreign order, profitable product mix, addition or deletion of products-with or without key factors (problems on above).

**Module 6 (6 hrs)**

**Business forecasting:** Meaning, objective, theories of forecasting, methods of financial forecasting, projected income statement and balance sheet-formula method of forecasting, interim financial statements.

**Module 7 (6 hrs)**

Internal communication within the finance department and from finance department to top management including report writing.

**Section - B**

Skill development

Select published accounts of any public limited company and analyze the financial strength and weakness with the help of financial tools for analysis.

**Section - C - Articles****Books for reference**

- CFA by Jain and Narang
- CFA by Jawaharlal
- CFA by Shashi K Gupta
- Financial statement analysis by Gupta R.L
- Financial statements by Kennedy D Riralph

**6 BBM 6E4.2 : GLOBAL MARKETING****Sec- A****Module 1 (8 hrs)**

**Introduction to Global Marketing:** Meaning, Scope of Global Marketing, Challenges of Global Marketing, Differences and Similarities between Domestic and Global Marketing, Transition from Domestic to Global Marketing, Recent Trends in Global Marketing, Assessing Market Opportunities, Marketing Research, Market Entry Strategies, Export, Joint Ventures, Direct Investments.

**Module 2 (8 hrs)**

**Global Marketing Environment :** Global marketing Environment, Political, Legal, Cultural, Economic, Financial Environment, Multilateral and Geographical Grouping, Global Cultural Environment and Buying Behavior, Marketing in International Regions, America, Europe, Japan, China Asia Pacific, Third World Countries.

**Module 3 (8 hrs)**

**Global Product Decisions :** Global Product Management, Standardization Vs Differentiation, Product Modification for Global Markets, World Product Mandates, Global Segmentation and Positioning, New Product Development for Global Markets, International Product Life Cycle, Analyzing Product Components for Adaptation.

**Module 4 (8 hrs)**

**Global Pricing Decisions :** Global Pricing Framework, International Pricing Approaches, INCO TERMS, Foreign Exchange Consideration, Price Discrimination, Dumping, Transfer Pricing.

**Module 5 (10 hrs)**

**Global Distribution Management:** Global Logistics Management, International Distribution System, Global Channel Design, Virtual Value Chain Vs Physical Value Chain, Movement of goods across frontiers, Parallel Distribution, Global Market Intermediaries, Retail Internationalization, Global Retail Customers, Global Retail Buying, Global Retail Strategies, Global Retailing Companies.

**Module 6 (8 hrs)**

**Global promotion decisions:** Promotions, International Advertising, Sales Promotion in International Markets, Personal Selling in Global markets, Public Relations in Global Marketing.

**Sec – B- Practical**

1. Select an international Region and do a study on International marketing and cross cultural management.
2. Go to the soft drink section of a supermarket. How many different types of soft drink packages are there (in terms of size form etc.) Compare the forms of Indian package and international package of the product.

**Sec C – Articles****Reference Books:**

- 'Global Strategic Management', Neeta Boporikar, Edition 2009 Himalaya Publishing House, India.
- 'International' Marketing, Czinkota, 2008 Edition, Cengage Learning.
- 'Global Marketing Strategies', Jean-Pierre Jeannet & H. David Hennessey, Biztantra Publications.
- 'Global Marketing Management', Keegan, 7<sup>th</sup> Edition, PHI Learning Private Limited.

**6 BBM 6E4.3 : MARKETING FOR ENTREPRENEURSHIP****Sec A****Module 1 (6 hrs)**

**Entrepreneurship Marketing:** Overview of marketing, Definition of Entrepreneurial Marketing, Marketing in the entrepreneurial era; Importance of Marketing in Entrepreneurship, Components of Marketing Concepts for Entrepreneurs, Entrepreneurial marketing behaviour, Entrepreneurial marketing Strategies, Marketing Problems of SMEs.

**Module 2 (10 hrs)**

**Market Segmentation, Targeting and Positioning Strategies:** Segmentation, Bases for Segmenting Consumer and Industrial Markets, Targeting, Target Marketing Strategies, Positioning, Positioning strategies for existing and new products, Re-positioning, perceptual mapping.

**Module 3 (10 hrs)**

**Consumer Behaviour in entrepreneurship marketing:** Introduction to Consumer Behaviour, Kinds of Consuming Entities, Consumer Purchase Decision Process, Levels of Consumer Decision Making (CDM), Factors affecting Consumer Behaviour, Consumer loyalty, Consumerism, Consumer Rights.

**Module 4 (14 hrs)**

**Principle and Practice of Ps:** Introduction, Product, Product Classification and opportunity recognition in SMEs, Consumer Products - B2C Marketing offering in SMEs, Organisational Products- B2B Marketing offering in SMEs, Implication for SME Marketing— Levels of Products- New Product Development-Product Life Cycle(PLC)- Managing Diffusion- Product Management, Pricing and Pricing related issues in SMEs, Pricing Objectives, Pricing Strategies, Distribution, Channel Choice, Distribution Channel, Franchising, Benefits of franchising, Issues affecting the success or failure of a Franchise, Steps in establishing a franchise, Marketing Communication for SME, Advertisement, Sales Promotion, Personal Selling and Publicity/PR, Internet Marketing.

**Module 5 (12 hrs)**

**Relationship Marketing and Networks in Entrepreneurship:** Introduction, Six-Markets Model of RM, Core Concept of RM, Current trends of RM, Networks for Entrepreneurial RM.

**Marketing Planning in Small Business:** Implication of Marketing Planning, Understanding the Environment-External Environmental Influences, Contents of a Marketing Plan

**Module 6****(8 hrs)**

**Internal Marketing and Service Excellence in SMEs:** Introduction, SMEs and Service marketing, Service Quality, Internal Marketing, Elements of Internal Marketing, Implementing Service Excellence

**Sec B – Practical**

1. Prepare a Marketing Plan selecting an SME.
2. Select an entrepreneur and submit a report on the internal marketing strategies adopted.
3. Conduct a research on consumer behaviour and submit a report.

**Sec C – Articles****Reference books:**

- Entrepreneurship Marketing-Principles and Practice of SME Marketing, Sonny Nwankwo and Ayantunji Gbadamosi, Routledge, London and New York.
- Marketing for Entrepreneurs- Concepts and Application for New ventures, Frederick G Crane, Sage Publications, Inc
- 'Marketing Management'- Kotler P, Pearson Education, New York.

**6 BBM 6E4.4 :COMPENSATION MANAGEMENT****Sec A****Module 1****(5 hrs)**

**Introduction to Compensation :** Concept, Definition, Objectives, Significance, components of compensation, Factors influencing compensation.

**Module 2****(9 hrs)**

**Strategic Compensation Planning :** Importance of aligning compensation strategy with business strategy, Strategy based compensation program - Compensation as retention strategy, Compensation as cost cutting strategy, Benchmarking the compensation program.

**Module 3****(8 hrs)**

**Determining the salary structure - The wage mix :** Designing compensation system, Internal and external equity in compensation, Legal aspects of Compensation

**Module 4****(8 hrs)**

**Job Evaluation System :** Introduction, Definition, Objectives, Job evaluation & Performance Appraisal, Process of Job evaluation, Techniques, Essentials of success of Job Evaluation Program, limitations of Job Evaluation Program

**Module 5****(6 hrs)**

**Wage & Salary Administration :** Concept of wages, Wage determination process, Methods of wage fixation, Wage differentials.

**Module 6****(10 hrs)**

**P4P- Incentive pay Plans :** Basic concepts of incentives, Types of wage incentive plan, Fringe benefits, Individual and group incentive system, Limitation of incentive plans.

**Recent Trends in compensation management :** Compensation & reward system, Recent trends in Compensation.

**Sec B – Practical**

1. How can you ensure a win-win compensation, design without adding to the HR cost? Substantiate with an example
2. Discuss the impact of Performance appraisal on Compensation
3. One expert argues that external equity should always be the primary concern in the compensation, noting that it attracts the best employees and prevents the top performers from leaving. Discuss.
4. InfoTech enterprises Ltd. has 4000 employees and wishes to develop a compensation policy in all its divisions i) Engineering design services i) Geographical information system I ii) Software development and services to correspond to its dynamic business strategy. The company wishes to employ a high quality workforce capable of responding to a competitive business environment. Suggest different compensation objectives to match InfoTech business goals.
5. Conduct survey on different organizations and analyze how compensation is an effective retention strategy.



**Sec C – Articles**

**Reference Books:**

- M Sharma- Compensation Management and Labour Legislation
- Dr Kanchan Bhatia- Compensation Management
- Managing Human Resource by Bohlander Snell
- Human Resource Management by Deepak Kumar Bhattacharya
- Human Resource Management by VPN Rao
- Human resource Management by Gary Dessler

**(6 BBM 7) PROJECT**

Project Report and Viva-Voce



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## DUAL PROGRAMME

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The Dual Programme is a qualification offered by a professional body along with degree which will not only enable students to achieve a professional qualification but will also assist the management graduates in relating their skills to the needs of business.

Embedded in the body of the dual BBM programme are opportunities to practice and expand business skills through work-integrated learning courses. Under the Dual Program you can choose from the following areas of specialization:

### DUAL PROGRAMME (AN OVERVIEW)

#### **PRACTICAL FINANCE**

- BBM + Fellow Chartered Financial Practitioner (FChFP)  
Certifying Body
  - Bachelor of Business Management from Jain University
  - FchFP from APFinSA (Asia Pacific Financial Services Association) - Singapore
- BBM + Investment Operations Certificate (IOC)  
Certifying Body
  - Bachelor of Business Management from Jain University
  - Investment Operations Certificate (IOC) from Chartered Institute for Securities & Investment, UK

#### **PRACTICAL MARKETING**

- BBM + Professional Certificate In Marketing  
Certifying Body
  - Bachelor of Business Management from JainUniversity
  - Professional Certificate in Marketing from the Chartered Institute of Marketing, UK

#### **HUMAN RESOURCE MANAGEMENT (HRM)**

- BBM + Human Resource Management (HRM)  
Certifying Body:
  - Bachelor of Business Management from Jain University
  - Human Resource Management from Cambridge University, UK.

#### **FAMILY MANAGED BUSINESS**

- BBM + Family Managed Business (FMB)  
Certifying Body
  - Bachelor of Business Management from Jain University
  - Family Managed Business from JU - CMS

#### **ENTREPRENEURSHIP**

- BBM + Diploma in Entrepreneurship & Business Management  
Certifying Body
  - Bachelor of Business Management from Jain University
  - Diploma programme in Business Entrepreneurship from Entrepreneurship Development Institute of India (EDI), (Govt. of India)

#### **EVENT MANAGEMENT**

- BBM + Event Management  
Certifying Body
  - Bachelor of Business Management from Jain University
  - Event Management from JU - CMS

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# DUAL PROGRAMME

## FELLOW CHARTERED FINANCIAL PRACTITIONER (FCHFP)

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**COURSE MODULE**

<b>Module Code</b>	<b>Module Title</b>
<b>FChFP 01</b>	Fundamentals of Investments and Financial Planning
<b>FChFP 04</b>	Risk Management & Legal Aspects
<b>FChFP 02</b>	Retirement Planning & Tax Concept
<b>FChFP 03</b>	Investment Planning
<b>FChFP 05</b>	Tax & Estate Planning for Individuals & Business Owners
<b>FChFP 06</b>	Financial Planning Applications

**FChFP 01 - Fundamentals of Investments and Financial Planning**

This module provides comprehensive coverage of personal financial planning in the areas of money management, taxes, consumer credit, housing and other consumer decisions, legal protection, insurance, investments, retirement planning, and estate planning. The goal of this module is to teach students the fundamentals of financial planning so they can make informed advice related to spending, saving, borrowing, and investing that lead to long-term financial security. This module also uses many financial planning tools with a step-by-step approach to help students identify and evaluate choices as well as understand the consequences of decisions in terms of opportunity costs.

**FChP 04 - Risk Management & Legal Aspects**

This module offers the essential aspects of insurance contracts and the insurance industry while providing a substantially more conceptual analysis and attention to business risk management and public policy issues that exists in current texts, It also covers the issues in Liability Risk and Management.

**FChP 02 - Retirement Planning & Tax Concept**

This module teaches students to recognize the role taxes play in business and investment decisions. In addition, the module

presents the general role of taxation and its implications across all taxpaying entities before discussing the details relevant to specific entities. This approach allows students to really grasp the fundamental concepts that are the foundation for specific tax rules. The benefit is that the students will understand the framework of the tax system, even though specific tax rules and regulations change from year to year, country to country.

**FChP 03 - Investment Planning**

This module concentrates on investment analysis, presenting the practical applications of investment theory to convey insights of practical value. This module concentrates on the intuition and insights that will be useful to practitioners throughout their careers as new ideas and challenges emerge from the financial marketplace. It also maintains the theme of asset allocation (authors discuss asset pricing and trading then apply these theories to portfolio planning in real-world securities markets that are governed by risk/return relationships).

**FChP 05 - Tax & Estate Planning for Individuals & Business Owners**

The first part of this module concentrates on Estate Planning issues, providing an overview of the implication of income tax laws to the individuals and in planning for the minimisation and taxation deferment, It provides the structure for students when planning for their clients personal financial planning including Business Owners. The second part of the module explains how to achieve optimum benefits from the limited resources available to small firms, as well as how to plan for growth and succession in a business.

**FChP 06 - Financial Planning Applications**

This module focuses on the development process of analysing and recommending a comprehensive financial plan that is appropriate to the client. Practical case studies being used and students are better equipped to analyse and solve financial problems arising from the many real-life factors integrated into the case studies.



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**DUAL PROGRAMME**  
INVESTMENT OPERATIONS CERTIFICATE (IOC)

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Syllabus Unit/ Element		Chapter/ Section
<b>ELEMENT 1</b>	<b>INTRODUCTION</b>	Chapter 1
<b>1.1</b>	<b>The Financial Services Industry</b>	
	On completion, the candidate should:	
1.1.1	Know the role of the following within the financial services industry: <ul style="list-style-type: none"> <li>• retail banks</li> <li>• savings institutions</li> <li>• investment banks</li> <li>• private banks</li> <li>• retirement schemes</li> <li>• insurance companies</li> <li>• fund managers</li> <li>• stockbrokers</li> <li>• custodians</li> <li>• financial advisers</li> <li>• third party administrators (TPAs)</li> <li>• industry trade bodies</li> <li>• sovereign wealth funds</li> </ul>	Section 5
1.1.2	Know the function of and differences between retail and professional business and who the main customers are in each case	Section 3
<b>ELEMENT 2</b>	<b>ECONOMIC ENVIRONMENT</b>	Chapter 2
<b>2.1</b>	<b>Economic Environment</b>	
	On completion, the candidate should:	
2.1.1	Know the factors which determine the level of economic activity: <ul style="list-style-type: none"> <li>• state-controlled economies</li> <li>• market economies</li> <li>• mixed economies</li> <li>• open economies</li> </ul>	Section 2
2.1.2	Know the role of central banks	Section 3.1
2.1.3	Know the common features of the following: <ul style="list-style-type: none"> <li>• the Federal Reserve (US)</li> <li>• the Reserve Bank of Australia</li> <li>• the Central Bank of Bahrain</li> <li>• the People's Bank of China</li> <li>• the Central Bank of Egypt</li> <li>• the Bank of England</li> <li>• the European Central Bank</li> <li>• the Reserve Bank of India</li> <li>• the Bank of Japan</li> <li>• the Bank of Korea</li> <li>• the Money Authority of Singapore</li> <li>• the Central Bank of the United Arab Emirates</li> </ul>	Section 3.2
2.1.4	Know how goods and services are paid for and how credit is created	Section 4.1
2.1.5	Understand the meaning of inflation: <ul style="list-style-type: none"> <li>• measurement</li> <li>• impact</li> <li>• control</li> </ul>	Sections 4.2, 4.3

Syllabus Unit/ Element		Chapter/ Section
2.1.6	Understand the impact of the following economic data: <ul style="list-style-type: none"> <li>• Gross Domestic Product (GDP)</li> <li>• balance of payments</li> <li>• level of unemployment</li> </ul>	Section 4.3.2

ELEMENT 3	FINANCIAL ASSETS AND MARKETS	Chapter 3
<b>3.1</b>	<b>Cash Deposits</b> On completion, the candidate should:	
3.1.1	Know the characteristics of fixed term and instant access deposit accounts	Section 2.1.1
3.1.2	Understand the distinction between gross and net interest payments	Section 2.1.1
3.1.3	Be able to calculate the net interest due given the gross interest rate, the deposited sum, the period and tax rate	Section 2.1.1
3.1.4	Know the advantages and disadvantages of investing in cash	Section 2.1.1
<b>3.2</b>	<b>Money Market Instruments</b> On completion, the candidate should:	
3.2.1	Know the difference between a capital market instrument and a money market instrument	Section 2.1.2
3.2.2	Know the definition and features of the following: <ul style="list-style-type: none"> <li>• Treasury bill</li> <li>• commercial paper</li> <li>• certificate of deposit</li> </ul>	Section 2.1.2
3.2.3	Know the advantages and disadvantages of investing in money market instruments	Section 2.1.2
<b>3.3</b>	<b>Property</b> On completion, the candidate should:	
3.3.1	Know the characteristics of property investment <ul style="list-style-type: none"> <li>• commercial/residential property</li> <li>• direct/indirect investment</li> </ul>	Section 2.4
3.3.2	Know the advantages and disadvantages of investing in property	Section 2.4
<b>3.4</b>	<b>Foreign Exchange Market</b> On completion, the candidate should:	
3.4.1	Know the basic structure of the foreign exchange market including: <ul style="list-style-type: none"> <li>• currency quotes</li> <li>• settlement</li> </ul>	Section 3

ELEMENT 4	EQUITIES	Chapter 4
<b>4.1</b>	<b>Equities</b> On completion, the candidate should:	
4.1.1	Know the features and benefits of ordinary and preference shares: <ul style="list-style-type: none"> <li>• dividend</li> <li>• capital gain</li> <li>• pre-emptive rights</li> <li>• right to vote</li> </ul>	Section 1

Syllabus Unit/ Element		Chapter/ Section
4.1.2	Understand the risks associated with owning shares: <ul style="list-style-type: none"> <li>• price risk</li> <li>• liquidity risk</li> <li>• issuer risk</li> <li>• foreign exchange risk</li> </ul>	Section 2
4.1.3	Know the definition of a corporate action and the difference between mandatory, voluntary and mandatory with options	Section 3
4.1.4	Know the different methods of quoting securities ratios	Section 3.1
4.1.5	Understand the following terms: <ul style="list-style-type: none"> <li>• bonus/scrip/capitalisation issues</li> <li>• rights issues/open offers</li> <li>• stock splits/reverse stock splits</li> <li>• dividend payments</li> <li>• takeover/merger</li> </ul>	Section 3.1
4.1.6	Know the purpose and format of annual company meetings	Section 3.2
4.1.7	Know the differences between the primary market and secondary market	Section 4
4.1.8	Understand the characteristics of Depositary Receipts: <ul style="list-style-type: none"> <li>• American Depositary Receipt</li> <li>• Global Depositary Receipt</li> <li>• dividend payments</li> <li>• how created/pre-release facility</li> <li>• rights</li> </ul>	Section 5
4.1.9	Know the role of stock markets	Section 6
4.1.10	Know the types and uses of a stock exchange index	Section 7
4.1.11	Know to which markets the following indices relate: <ul style="list-style-type: none"> <li>• Dow Jones Industrial Average</li> <li>• S&amp;P 500</li> <li>• NASDAQ Composite</li> <li>• FTSE 100</li> <li>• FTSE All Share</li> <li>• Nikkei 225</li> <li>• XETRA Dax</li> <li>• BSE Sensex</li> <li>• SSE Composite</li> <li>• Strait Times Index</li> <li>• EGX 30</li> <li>• FTSE NASDAQ Dubai</li> <li>• S&amp;P ASX200</li> <li>• KOSPI</li> <li>• Tadawul All Share</li> </ul>	Section 7

Syllabus Unit/ Element		Chapter/ Section
4.1.12	Know the main features of the settlement systems in the following markets: <ul style="list-style-type: none"> <li>• Australia</li> <li>• Bahrain</li> <li>• China</li> <li>• Egypt</li> <li>• Euronext</li> <li>• Germany</li> <li>• Greece</li> <li>• India</li> <li>• Japan</li> <li>• Korea</li> <li>• Singapore</li> <li>• Spain</li> <li>• United Arab Emirates</li> <li>• UK</li> <li>• US</li> </ul>	Section 8

ELEMENT 5	BONDS	Chapter 5
5.1	<b>Government Bonds</b> On completion, the candidate should:	
5.1.1	Know the definition and features of government bonds: <ul style="list-style-type: none"> <li>• US</li> <li>• UK</li> <li>• France</li> <li>• Germany</li> <li>• Japan</li> </ul>	Sections 2.1, 3
5.1.2	Know the advantages and disadvantages of investing in government bonds	Section 2.2
5.2	<b>Corporate Bonds</b>	
	On completion, the candidate should:	
5.2.1	Know the definitions and features of the following types of bond: <ul style="list-style-type: none"> <li>• domestic</li> <li>• foreign</li> <li>• eurobond</li> </ul>	Section 6
	<ul style="list-style-type: none"> <li>• asset-backed securities</li> </ul>	Section 5
	<ul style="list-style-type: none"> <li>• zero coupon</li> <li>• convertible</li> </ul>	Section 4
5.2.2	Be able to calculate the flat yield of a bond	Section 7
5.2.3	Know the advantages and disadvantages of investing in corporate bonds	Section 2.2
5.2.4	Understand the role of credit rating agencies and the difference between investment and non-investment grades	Section 2.3



Syllabus Unit/ Element		Chapter/ Section
<b>ELEMENT 6</b>	<b>DERIVATIVES</b>	<b>Chapter 6</b>
<b>6.1</b>	<b>Derivatives Uses</b> On completion, the candidate should:	
6.1.1	Know the uses and application of derivatives	Section 1.1
<b>6.2</b>	<b>Futures</b> On completion, the candidate should:	
6.2.1	Know the definition and function of a future	Section 2
<b>6.3</b>	<b>Options</b> On completion, the candidate should:	
6.3.1	Know the definition and function of an option	Section 3
6.3.2	Understand the following terms: <ul style="list-style-type: none"> <li>• calls</li> <li>• puts</li> </ul>	Section 3
<b>6.4</b>	<b>Terminology</b> On completion, a candidate should:	
	Understand the following terms: <ul style="list-style-type: none"> <li>• long</li> <li>• short</li> <li>• open</li> <li>• close</li> </ul>	Section 2
6.4.1	<ul style="list-style-type: none"> <li>• holder</li> <li>• writing</li> <li>• premium</li> <li>• covered</li> <li>• naked</li> </ul>	Section 3
	<ul style="list-style-type: none"> <li>• OTC</li> <li>• Exchange-Traded</li> </ul>	Section 1.1
<b>6.5</b>	<b>Derivatives/Commodity Exchanges</b> On completion, the candidate should:	
6.5.1	Know the role of the following exchanges: <ul style="list-style-type: none"> <li>• CME Group</li> <li>• NYSE Liffe</li> <li>• Eurex</li> <li>• Intercontinental Exchange, ICE Futures</li> <li>• Korea (KRX)</li> <li>• London Metal Exchange (LME)</li> <li>• National Commodities and Derivatives Exchange India (NCDEX)</li> <li>• Dubai Mercantile Exchange</li> <li>• Dubai Gold and Commodities Exchange</li> <li>• BM&amp;FBOVESPA</li> </ul>	Section 5.2
6.5.2	Know the advantages and disadvantages of investing in the derivatives and commodity markets	Section 5.3
<b>6.6</b>	<b>Swaps</b> On completion a candidate should:	
6.6.1	Know the definition and function of an interest rate swap	Section 4
6.6.2	Know the definition and function of a credit default swap	Section 4.3

Syllabus Unit/ Element		Chapter/ Section
<b>ELEMENT 7</b>	<b>INVESTMENT FUNDS</b>	<b>Chapter 7</b>
<b>7.1</b>	<b>Introduction</b> On completion, the candidate should:	
7.1.1	Understand the benefits of collective investment	Section 1.1
7.1.2	Understand the range of investment strategies – active versus passive	Section 1.2
7.1.3	Know the differences between authorised and unauthorised funds	Section 1.3
<b>7.2</b>	<b>Open-Ended Funds</b> On completion, the candidate should:	
7.2.1	Know the characteristics and different types of open-ended fund: <ul style="list-style-type: none"> <li>• US</li> <li>• Europe</li> </ul>	Section 2
7.2.2	Know the purpose and principal features of the Undertakings for Collective Investment in Transferable Securities directive (UCITS) in European markets	Section 2.3
<b>7.3</b>	<b>Closed-Ended Investment Companies</b> On completion, the candidate should:	
7.3.1	Know the characteristics of closed-ended investment companies: <ul style="list-style-type: none"> <li>• share classes</li> </ul>	Section 3
7.3.2	Understand the factors that affect the price of closed-ended investment companies	Section 3
7.3.3	Know the meaning of the discounts and premiums in relation to closed-ended investment companies	Section 3
7.3.4	Know how closed-ended investment companies' shares are traded	Section 3
<b>7.4</b>	<b>Real Estate Investment Trusts (REITs)</b> On completion, the candidate should:	
7.4.1	Know the basic characteristics of REITs: <ul style="list-style-type: none"> <li>• tax implications</li> <li>• property diversification</li> <li>• liquidity</li> <li>• risk</li> </ul>	Section 3.4
<b>7.5</b>	<b>Exchange-Traded Funds</b> On completion, the candidate should:	
7.5.1	Know the main characteristics of exchange-traded funds	Section 4
7.5.2	Know how exchange-traded funds are traded	Section 4
<b>7.6</b>	<b>Hedge Funds</b> On completion, the candidate should:	
7.6.1	Know the basic characteristics of hedge funds: <ul style="list-style-type: none"> <li>• risk and risk types</li> <li>• cost and liquidity</li> <li>• investment strategies</li> </ul>	Section 5
<b>7.7</b>	<b>Private Equity</b> On completion, the candidate should:	
7.7.1	Know the basic characteristics of private equity: <ul style="list-style-type: none"> <li>• raising finance</li> <li>• realising capital gain</li> </ul>	Section 6

Syllabus Unit/ Element		Chapter/ Section
<b>ELEMENT 8</b>	<b>FINANCIAL SERVICES REGULATION</b>	<b>Chapter 8</b>
<b>8.1</b>	<b>Introduction</b> On completion, the candidate should:	
8.1.1	Understand the need for regulation	Section 1.1
8.1.2	Understand the main aims and activities of financial services regulators	Section 1.2
8.1.3	Know the CISI Code of Conduct	Section 4.5.2
8.1.4	Understand the key principles of professional integrity and ethical behaviour in financial services	Section 4
<b>8.2</b>	<b>Financial Crime</b> On completion, the candidate should:	
8.2.1	Understand the terms that describe the three main stages of money laundering	Section 2.1
8.2.2	Know the action to be taken by those employed in financial services if money laundering activity is suspected	Section 2.2
<b>8.3</b>	<b>Insider Trading and Market Abuse</b> On completion, the candidate should:	
8.3.1	Know the offences that constitute insider trading and the instruments covered	Section 3.1
8.3.2	Know the offences that constitute market abuse and the instruments covered	Section 3.2
<b>ELEMENT 9</b>	<b>OTHER FINANCIAL PRODUCTS</b>	<b>Chapter 9</b>
<b>9.1</b>	<b>Retirement Planning</b> On completion, the candidate should:	
9.1.1	Know the reasons for retirement planning	Section 1
9.1.2	Know the basic features and risk characteristics of retirement funds: <ul style="list-style-type: none"> <li>• state schemes</li> <li>• corporate retirement plans (defined benefit, defined contribution)</li> <li>• personal schemes</li> </ul>	Section 1
<b>9.2</b>	<b>Loans</b> On completion, the candidate should:	
9.2.1	Know the differences between bank loans, overdrafts and credit card borrowing	Section 2
9.2.2	Know the difference between the quoted interest rate on borrowing and the effective annual percentage rate of borrowing	Section 2
9.2.3	Be able to calculate the effective annual percentage rate of borrowing, given the quoted interest rate and frequency of payment	Section 2
9.2.4	Know the difference between secured and unsecured borrowing	Section 2
<b>9.3</b>	<b>Mortgages</b> On completion, the candidate should:	
9.3.1	Understand the characteristics of the mortgage market: <ul style="list-style-type: none"> <li>• interest rates</li> </ul>	Section 3
9.3.2	Know the following types of mortgage: <ul style="list-style-type: none"> <li>• repayment</li> <li>• interest only</li> </ul>	Section 3

Syllabus Unit/ Element		Chapter/ Section
9.3.3	Know the prohibition on interest under Islamic finance and the types of mortgage contracts	Section 3.4
<b>9.4</b>	<b>Life Assurance</b> On completion, the candidate should:	
9.4.1	Understand the basic principles of life assurance	Section 4
9.4.2	Know the main types of life policy: <ul style="list-style-type: none"> <li>• term assurance</li> <li>• whole of life</li> </ul>	Section 4
<b>9.5</b>	<b>Protection Insurance</b> On completion, the candidate should:	
9.5.1	Know the main areas in need of protection – family and personal, mortgage, long-term care, business protection	Section 4.2
9.5.2	Know the main product features of the following: <ul style="list-style-type: none"> <li>• critical illness insurance</li> <li>• income protection</li> <li>• mortgage protection</li> <li>• accident and sickness cover</li> <li>• household cover</li> <li>• medical insurance</li> <li>• long-term care insurance</li> </ul>	Section 4.3
	• business insurance protection	Section 4.4

## Examination Specification

Each examination paper is constructed from a specification that determines the weightings that will be given to each element. The specification is given below.

It is important to note that the numbers quoted may vary slightly from examination to examination as there is some flexibility to ensure that each examination has a consistent level of difficulty. However, the number of questions tested in each element should not change by more than plus or minus 2.

Element Number	Element	Questions
1	Introduction	2
2	Economic Environment	5
3	Financial Assets and Markets	7
4	Equities	8
5	Bonds	4
6	Derivatives	5
7	Investment Funds	8
8	Financial Services Regulation	4
9	Other Financial Products	7
<b>Total</b>		<b>50</b>

Syllabus Unit / Element		Chapter/Section
<b>ELEMENT 1</b>	<b>RISK BASICS</b>	Chapter 1
<b>1.1</b>	<b>Risk in the Financial Services Industry</b> On completion, the candidate should:	
1.1.1	Know the following major risk categories: <ul style="list-style-type: none"> <li>• credit risk</li> <li>• market risk</li> <li>• operational risk</li> <li>• liquidity risk</li> </ul>	Section 2.2
1.1.2	Understand simple examples of risk in the financial services industry	Section 2.3
1.1.3	Understand the operational risk issues associated with major risk related incidents in the financial services industry, such as: <ul style="list-style-type: none"> <li>• Barings Bank (1995)</li> <li>• Enron (2001)</li> <li>• Allied Irish Bank / First Maryland Bank (2002)</li> <li>• National Australia Bank (2004)</li> <li>• Nationwide (2007)</li> <li>• Société Générale (2008)</li> <li>• Lehman Brothers (2008)</li> <li>• Standard Life (2009)</li> <li>• UBS (2009)</li> </ul>	Section 2.4
1.1.4	Understand the operational risk aspects of the banking crisis (2007/9)	Section 2.5
<b>ELEMENT 2</b>	<b>OTHER MAJOR RISKS</b>	Chapter 2
<b>2.1</b>	<b>The Nature of Credit Risk</b> On completion, the candidate should:	
2.1.1	Know the basic terms used in the subject of credit risk: <ul style="list-style-type: none"> <li>• counterparty risk</li> <li>• issuer risk</li> </ul>	Section 1
2.1.2	Be able to apply the concept of credit risk to simple, practical situations	Section 1.1
<b>2.2</b>	<b>Measuring Credit Risk</b> On completion, the candidate should:	
2.2.1	Know the basic techniques for measuring credit risk: <ul style="list-style-type: none"> <li>• credit exposure management</li> <li>• credit risk premium</li> <li>• credit ratings</li> <li>• modern measurement techniques</li> </ul>	Section 1.2
2.2.2	Understand credit exposure	Section 1.2.1
2.2.3	Understand credit risk premium	Section 1.2.2
2.2.4	Understand external credit ratings as a means to measure the credit-worthiness of a company	Section 1.2.3
2.2.5	Understand the limitations in credit rating agencies' assessment of a company	Section 1.2.3

Syllabus Unit / Element		Chapter/ Section
2.2.6	Understand the basic concepts used by modern credit risk measurement tools	Section 1.2.4
2.2.7	Understand the main limitations of credit risk measurement tools	Section 1.2.5
<b>2.3</b>	<b>Credit Risk Management and Reporting</b> On completion, the candidate should:	
2.3.1	understand the role of the credit risk management function	Section 2.1
2.3.2	Understand the following examples of credit risk mitigation: <ul style="list-style-type: none"> <li>• asset securitisation</li> <li>• central counterparties</li> <li>• clearing houses</li> <li>• collateral</li> <li>• credit derivatives</li> <li>• credit limits</li> <li>• diversification</li> <li>• loan sales</li> <li>• netting</li> <li>• underwriting standards</li> </ul>	Section 2.2
2.3.3	Be able to apply risk mitigation techniques to simple practical situations	Section 2.2
2.3.4	Be able to calculate a simple example of a cash netting agreement	Section 2.2.1
2.3.5	Understand the mechanics of a credit default swap in simple practical situations	Section 2.2.2
2.3.6	Understand the role of reporting and escalation tools of credit risk management	Section 2.1
<b>2.4</b>	<b>The Nature of Market Risk</b> On completion, the candidate should:	
2.4.1	Know the basic features of market risk: <ul style="list-style-type: none"> <li>• price level risk</li> <li>• volatility risk</li> <li>• liquidity risk</li> <li>• basis risk</li> </ul>	Section 3.1
2.4.2	Be able to apply the basic features of market risk to simple, practical situations	Section 3.1
<b>2.5</b>	<b>Measuring Market Risk</b> On completion, the candidate should:	
2.5.1	Understand the measures of central values and dispersion: <ul style="list-style-type: none"> <li>• mean</li> <li>• median</li> <li>• mode</li> <li>• standard deviation</li> <li>• distribution analysis</li> </ul>	Section 3.2
<b>2.6</b>	<b>Value-at-Risk (VaR)</b> On completion, the candidate should:	
2.6.1	Understand the meaning of VaR and its constituents	Section 3.3
2.6.2	Be able to apply VaR to the mitigation of market risk	Section 3.3
2.6.3	Understand the meaning of back testing	Section 3.3.3

Syllabus Unit / Element		Chapter/Section
2.6.4	Understand the meaning of stress testing	Section 3.3.3
2.6.5	Know the limitations of using VaR for market risk management	Section 3.3.4
<b>2.7</b>	<b>Market Risk Management and Reporting</b> On completion, the candidate should:	
2.7.1	Understand the following techniques for mitigating market risk: <ul style="list-style-type: none"> <li>• hedging</li> <li>• market risk limits</li> <li>• diversification</li> </ul>	Section 4.1
2.7.2	Understand the role of the market risk management function	Section 4.2
2.7.3	Know good practice for effective market risk management: <ul style="list-style-type: none"> <li>• VaR limit setting, monitoring and reporting</li> <li>• scenario analysis and stress tests for large market movements</li> <li>• position limit setting, monitoring and reporting</li> <li>• pre-transaction analysis and approval</li> </ul>	Section 4.2
<b>2.8</b>	<b>Market Risk Regulatory Requirements</b> On completion, the candidate should:	
2.8.1	Understand the capital adequacy requirements in relation to market risk: <ul style="list-style-type: none"> <li>• confidence levels</li> <li>• 10-day holding period</li> <li>• not less than 250 days historic data</li> </ul>	Section 4.3
<b>2.9</b>	<b>The Nature of Liquidity Risk</b> On completion, the candidate should:	
2.9.1	Know the basic terms used in the subject of liquidity risk: <ul style="list-style-type: none"> <li>• asset and liability management</li> <li>• maturity ladders</li> <li>• actual and contractual cash receipts</li> <li>• asset liquidity risk</li> <li>• funding liquidity risk</li> </ul>	Section 5.1
2.9.2	Be able to apply the concept of liquidity risk to simple, practical situations	Section 5.1
2.9.3	Understand the implications of lending long and borrowing short	Section 5.2
2.9.4	Understand why banks use basic funding instruments to provide liquidity	Section 5.2.1
2.9.5	Understand the interbank lending process and the concept and mechanism for using the lender of last resort (central banks)	Section 5.2.1
<b>2.10</b>	<b>Measuring Liquidity Risk</b> On completion, the candidate should:	
2.10.1	Know the key measures of asset liquidity risk: <ul style="list-style-type: none"> <li>• bid-offer spread</li> <li>• market depth</li> <li>• immediacy</li> <li>• resilience</li> </ul>	Section 5.3.1

Syllabus Unit / Element		Chapter/Section
2.10.2	Know the key measures for funding liquidity risk: <ul style="list-style-type: none"> <li>• yield curve ratios</li> <li>• interest rate swaps</li> </ul>	Section 5.3.2
<b>2.11</b>	<b>Liquidity Risk Management and Reporting</b> On completion, the candidate should:	
2.11.1	Understand the following techniques of liquidity risk management: <ul style="list-style-type: none"> <li>• asset and liability management</li> <li>• liquidity limits</li> <li>• scenario analysis, stress testing and reverse stress testing</li> <li>• liquidity at risk</li> <li>• diversification</li> <li>• behavioural analysis</li> </ul>	Section 6.1
2.11.2	Understand the role of the liquidity risk management function	Section 6.2
2.12	<b>Liquidity Risk Regulatory Requirements</b> On completion, the candidate should:	
2.12.1	Understand the general characteristics of the Individual Liquidity Adequacy Assessment (ILAA)	Section 6.3
<b>ELEMENT 3</b>	<b>THE NATURE OF OPERATIONAL RISK</b>	<b>Chapter 3</b>
<b>3.1</b>	<b>Definition of Operational Risk and Operational Risk Categories</b> On completion, the candidate should:	
3.1.1	Know the basic Bank for International Settlements definition of operational risk	Section 1.1
<b>3.2</b>	<b>Culture</b> On completion, the candidate should:	
3.2.1	Understand the importance of effective leadership in sustaining a robust risk and control culture	Section 2.3
3.2.2	Understand the role of senior management and the board in promoting an effective risk and control culture	Section 2.4
3.2.3	Understand the importance of appropriate personnel management, incentivisation and compensation schemes in the context of the operational risk environment	Section 2.5
3.2.4	Know the main factors determining a firm's risk and control culture: <ul style="list-style-type: none"> <li>• governance/regulation</li> <li>• risk appetite/risk tolerance</li> <li>• transparency</li> <li>• education</li> <li>• communication</li> </ul>	Section 2.5
3.2.5	Know the actions required and structures necessary to ensure a continuing robust risk and control culture	Section 2.5
3.2.6	Understand the contribution of the risk officers in continuing a robust risk and control culture	Section 2.5
<b>3.3</b>	<b>The Risk Management Process</b> On completion, the candidate should:	



Syllabus Unit / Element		Chapter/ Section
3.3.1	Know the following terms used in relation to operational risk management: <ul style="list-style-type: none"> <li>• inherent risk</li> <li>• residual risk</li> </ul>	Section 4
3.3.2	Understand the role of the operational risk management function	Section 4
3.3.3	Understand the key aims of operational risk management: <ul style="list-style-type: none"> <li>• identification and assessment of risks</li> <li>• mitigation of risk impact and likelihood of occurrence</li> </ul>	Section 4
3.3.4	Know the six stages of the risk management process: <ul style="list-style-type: none"> <li>• policy</li> <li>• identification/classification</li> <li>• risk and control measurement and assessment</li> <li>• treatment</li> <li>• monitoring</li> <li>• reporting and escalation</li> </ul>	Section 4
<b>3.4</b>	<b>The Policy for Managing Operational Risk</b> On completion, the candidate should:	
3.4.1	Understand the following areas addressed by an operational risk policy: <ul style="list-style-type: none"> <li>• need for sponsorship</li> <li>• need for identification of key officers</li> <li>• need for cross divisional involvement and agreement</li> <li>• need to define clear roles and responsibilities</li> <li>• need to define and communicate the risk management framework</li> <li>• need for segregation of duties</li> <li>• need for consistency of approach firm wide</li> <li>• need for co-ordination</li> <li>• need to establish acceptable risk levels</li> <li>• need to define and communicate control standards framework</li> </ul>	Section 3
<b>3.5</b>	<b>Risk Identification/Classification</b> On completion, the candidate should:	
3.5.1	Understand the purpose of identifying risks	Section 5.1
3.5.2	Know the Basel II operational risk categories	Section 5.2
3.5.3	Be able to apply risk classification in accordance with Basel II categories	Section 5.2
3.5.4	Understand the following methods for identifying operational risk: <ul style="list-style-type: none"> <li>• risk and control self-assessment</li> <li>• reviews and audits</li> <li>• focus workshops</li> <li>• risk event analysis</li> <li>• management information</li> </ul>	Section 5.3
3.5.5	Understand the practical problems of risk identification: <ul style="list-style-type: none"> <li>• changes to business operating models</li> <li>• changes to business environment</li> <li>• firm-wide engagement</li> </ul>	Section 5.4

Syllabus Unit / Element		Chapter/ Section
<b>3.6</b>	<b>Risk Assessment and Measurement</b> On completion, the candidate should:	
3.6.1	Know the basic terms used in the assessment and measurement of operational risk	Section 6
3.6.2	Understand the main reasons for measuring and assessing operational risk	Section 6.1
3.6.3	Understand the difficulties involved in measuring operational risk	Section 6.2
3.6.4	Understand the ranking method of assessing operational risk	Section 6.2.1
3.6.5	Understand the risk and control self-assessment (self-certification) method of assessing operational risk	Section 6.2.2
3.6.6	Understand the scenario analysis method of assessing operational risk	Section 6.2.3
3.6.7	Understand the benchmarking method of measuring operational risk	Section 6.2.4
3.6.8	Understand the top-down risk assessment process	Section 6.2.5
3.6.9	Understand how internal risk event data can be used in assessing operational risk	Section 6.2.6
3.6.10	Know the sources and uses of external loss data	Section 6.2.7
3.6.11	Understand the limitations of using external loss data	Section 6.2.7
3.6.12	Be able to apply the following methods of risk assessment and risk measurement to simple, practical examples: <ul style="list-style-type: none"> <li>• rating and ranking</li> <li>• risk and control self-assessment</li> <li>• scenario analysis</li> <li>• benchmarking</li> <li>• key risk indicators</li> <li>• risk event analysis</li> </ul>	Section 6.2
3.6.13	Understand the practical constraints of implementing an operational risk management framework	Section 9
<b>3.7</b>	<b>Risk Treatment</b>	
	On completion, the candidate should:	
3.7.1	Understand the type of risk treatment: <ul style="list-style-type: none"> <li>• risk acceptance</li> <li>• reducing the likelihood and the impact</li> <li>• risk avoidance</li> <li>• risk transfer</li> </ul>	Section 8
3.7.2	Understand the use of operational controls in reducing the impact or likelihood of operational risk	Section 8
3.7.3	Understand how the following can be used to mitigate operational risk: <ul style="list-style-type: none"> <li>• supervision and segregation of duties</li> <li>• business continuity and contingency planning</li> <li>• information and physical security</li> <li>• risk awareness training</li> <li>• insurance</li> <li>• outsourcing</li> </ul>	Section 8

Syllabus Unit / Element		Chapter/Section
<b>3.8</b>	<b>Risk Monitoring, Reporting and Governance</b> On completion, the candidate should:	
3.8.1	Understand the main activities that comprise the risk monitoring of the risk management process: <ul style="list-style-type: none"> <li>• measurement</li> <li>• assessment</li> </ul>	Section 6.1
3.8.2	Understand the importance of risk monitoring in the risk management process	Section 7.1
3.8.3	Understand how Key Risk Indicators can be used as a method of monitoring operational risk	Section 7.2
3.8.4	Understand the main functions of operational risk reporting to internal and external stakeholders	Section 7.3
<b>ELEMENT 4</b>	<b>THE CAUSES, CONSEQUENCES AND IMPACT OF OPERATIONAL RISK EVENTS</b>	<b>Chapter 4</b>
<b>4.1</b>	<b>Operational Risk – The Causes</b> On completion, the candidate should:	
4.1.1	Know the root causes of operational risk events	Section 1
4.1.2	Understand why knowledge of root causes is important in operational risk management	Section 1
4.1.3	Be able to identify the root causes of operational risk in simple, practical examples	Section 1.3
<b>4.2</b>	<b>Operational Risk – The Consequences</b> On completion, the candidate should:	
4.2.1	Know the main consequences of the following operational risk events: <ul style="list-style-type: none"> <li>• incorrect data</li> <li>• delayed processing and documentary omissions</li> <li>• regulatory non-compliance</li> <li>• project mismanagement</li> <li>• fraud and theft</li> <li>• unforeseen litigation</li> <li>• technology failures</li> </ul>	Section 2.2
<b>4.3</b>	<b>Operational Risk – The Impact</b> On completion, the candidate should:	
4.3.1	Understand direct and indirect financial loss	Section 2.1

Syllabus Unit / Element		Chapter/Section
4.3.2	Understand the financial and non-financial impacts of an operational risk event: <ul style="list-style-type: none"> <li>• potential loss of earnings</li> <li>• regulatory censure/closure and reputational damage</li> <li>• staff demotivation</li> <li>• client dissatisfaction</li> <li>• remedial and litigation costs</li> </ul>	Section 2.3
<b>4.4</b>	<b>Near-Miss Identification and Reporting</b> On completion, the candidate should:	
4.4.1	Understand the concept of near is identification and reporting as a result of an operation risk event	Section 3
<b>ELEMENT 5</b>	<b>OPERATIONAL RISK ARISING IN THE TRADE CYCLE</b>	<b>Chapter 5</b>
<b>5.1</b>	<b>Set-Up</b> On completion, the candidate should:	
5.1.1	Understand what tasks must be completed during set-up: <ul style="list-style-type: none"> <li>• marketing and sales</li> <li>• Know Your Customer</li> <li>• account set-up</li> <li>• static information</li> <li>• credit assessment</li> <li>• standard settlement instructions</li> <li>• legal contract negotiation</li> <li>• client and counterparty agreements</li> </ul>	Section 2.2
5.1.2	Understand the key controls and KRIs associated with a set-up phase	Section 2.2
<b>5.2</b>	<b>Execution</b> On completion, the candidate should:	
5.2.1	Understand the role of the Front Office	Section 2
5.2.2	Understand the nature of key controls and KRIs in the Front Office: <ul style="list-style-type: none"> <li>• transaction capture</li> <li>• exchange of transaction instructions</li> <li>• trade reporting</li> <li>• monitoring position and credit limits</li> </ul>	Section 2
<b>5.3</b>	<b>Pre-Settlement Phase</b> On completion, the candidate should:	
5.3.1	Understand the components of the pre-settlement phase: <ul style="list-style-type: none"> <li>• trade affirmation</li> <li>• trade confirmation</li> <li>• asset and cash positioning</li> </ul>	Section 3.1
5.3.2	Understand the key controls and KRIs associated with the pre-settlement phase	Section 3.1
<b>5.4</b>	<b>Settlement Phase</b> On completion, the candidate should:	

Syllabus Unit / Element		Chapter/Section
5.4.1	Understand the components of the settlement phase: <ul style="list-style-type: none"> <li>• payment instructions</li> <li>• payment receipts</li> <li>• financial and regulatory reporting</li> <li>• securities transfers and custody</li> </ul>	Section 3.2
5.4.2	Understand the key controls and KRIs associated with the settlement phase	Section 3.2
<b>5.5</b>	<b>Post-Settlement Phase</b> On completion, the candidate should:	
5.5.1	Understand the components of the post-settlement phase: <ul style="list-style-type: none"> <li>• reconciliation</li> <li>• inventory management</li> </ul>	Section 3.2
5.5.2	Understand the key controls and KRIs associated with the post-settlement phase	Section 3.2

<b>ELEMENT 6</b>	<b>THE SUPPORT AND CONTROL FUNCTIONS</b>	<b>Chapter 6</b>
<b>6.1</b>	<b>The Independent Risk Function</b> On completion, the candidate should:	
6.1.1	Understand the three lines of defence model	Section 1.1
6.1.2	Understand the role of the chief risk officer	Section 1.1
<b>6.2</b>	<b>The Middle/Back Office Function</b> On completion, the candidate should:	
6.2.1	Understand the role and responsibilities of the middle and back office functions in managing operational risk	Section 1.2
<b>6.3</b>	<b>The Compliance Function</b> On completion, the candidate should:	
6.3.1	Understand the role and responsibilities of the compliance function in managing operational risk	Section 1.3
6.3.2	Understand the consequences of compliance risk	Section 1.3
<b>6.4</b>	<b>The Financial and Regulatory Reporting Function</b> On completion, the candidate should:	
6.4.1	Understand the role of the financial and regulatory reporting function in the context of the operational risk environment	Section 1.4
<b>6.5</b>	<b>The HR Function</b> On completion, the candidate should:	
6.5.1	Understand the role of the HR function in the context of the operational risk environment	Section 1.5
<b>6.6</b>	<b>The Internal Audit Function</b> On completion, the candidate should:	
6.6.1	Understand the role of the internal audit function in relation to operational risk	Section 1.6
6.6.2	Know the requirements of the MiFID level 2 Directive in respect of the internal audit function	Section 1.6
<b>6.7</b>	<b>The IT Function</b> On completion, the candidate should:	

Syllabus Unit / Element		Chapter/ Section
6.7.1	Understand the role of the IT function in the context of the operational risk environment	Section 1.7
<b>6.8</b>	<b>The Legal Function</b> On completion, the candidate should:	
6.8.1	Understand the role of the legal function in the context of the operational risk environment	Section 1.8
6.8.2	Know the common legal areas where operational risk issues arise	Section 1.8
<b>6.9</b>	<b>The Marketing Function</b> On completion, the candidate should:	
6.9.1	Understand the role of the marketing function in the context of the operational risk environment	Section 1.9
<b>6.10</b>	<b>The Project Management and Change Management Function</b> On completion, the candidate should:	
6.10.1	Understand the role of the project management and change management function in the context of the operational risk environment	Section 1.10
<b>ELEMENT 7</b>	<b>ENTERPRISE RISK MANAGEMENT (ERM)</b>	<b>Chapter 7</b>
<b>7.1</b>	<b>The Objectives of ERM</b> On completion, the candidate should:	
7.1.1	Understand the objectives of ERM	Section 1
7.1.2	Understand the challenges of implementing ERM	Section 2
<b>ELEMENT 8</b>	<b>OPERATIONAL RISK IN THE REGULATORY ENVIRONMENT</b>	<b>Chapter 8</b>
<b>8.1</b>	<b>Achieving Common Standards and Protection</b> On completion, the candidate should:	
8.1.1	Understand the drivers and impact of the development of operational risk standards: <ul style="list-style-type: none"> <li>• Basel Accord</li> <li>• Sound Practices for the Management and Supervision of Operational Risk</li> <li>• Sarbanes-Oxley</li> <li>• MiFID</li> <li>• UCITS IV</li> <li>• Solvency II</li> <li>• RDR</li> <li>• AIFMD</li> </ul>	Section 2
<b>8.2</b>	<b>Regulatory Capital Requirements</b> On completion, the candidate should:	
8.2.1	Know the basic requirements of: <ul style="list-style-type: none"> <li>• Basel II</li> <li>• the Capital Requirements Directive</li> </ul>	Section 3.1
8.2.2	Understand the main operational risk features of the Basel II Accord	Section 3.1
8.2.3	Understand the requirements relating to operational risk of Pillar 1 of Basel II	Section 3.2
8.2.4	Understand the requirements relating to operational risk of Pillar 2 of Basel II	Section 3.2

Syllabus Unit / Element		Chapter/ Section
8.2.5	Understand the the requirements relating to operational risk of Pillar 3 of Basel II	Section 3.2
8.2.6	Understand the three measurement approaches for operational risk under Basel II: <ul style="list-style-type: none"> <li>• Basic Indicator Approach</li> <li>• Standardised Approach</li> <li>• Advanced Measurement Approach (AMA)</li> </ul>	Section 3.2.1
8.2.7	Be able to apply the Basic Indicator and Standardised Approaches to simple, practical examples	Section 3.2.1
8.2.8	Know the supervisory process of the Financial Conduct Authority (FCA) and the Prudential Regulation Authority (PRA) with regard to their risk based approach to regulation	Section 4

Syllabus Unit/ Element		Chapter/ Section
<b>ELEMENT 1</b>	<b>SECURITIES</b>	Chapter 1
<b>1.1</b>	<b>Securities</b>	
	On completion, the candidate should:	
1.1.1	understand the characteristics of ordinary shares:	Section 2.1
	• ranking in liquidation	
	• dividends	
	• voting rights/non-voting shares	
	• deferred shares	
	• registration	
	• bearer/unlisted securities	
	• transfer restrictions	
1.1.2	understand the characteristics of preference shares:	Section 2.2
	• ranking in liquidation	
	• dividends	
	• voting rights/non-voting shares	
	• cumulative/non-cumulative	
	• participating	
	• redeemable	
	• convertible	
1.1.3	understand the characteristics of Depositary Receipts:	Section 5
	• American Depositary Receipt	
	• Global Depositary Receipt	
	• Depositary Interest	
	• transferability/registration / transfer to underlying	
	• how created/pre-release facility	
	• rights	
	• stamp duty and conversion fees	
1.1.4	understand the characteristics of warrants and covered warrants:	Section 4
	• what are warrants and covered warrants	
	• how they are valued	
	• effect on price of maturity and the underlying security	
	• purpose	
	• detachability	
	• exercise and expiry	
	• benefit to the issuing company and purpose	
	• issue by a third party	
	• right to subscribe for capital	
1.1.5	understand the characteristics of fixed income instruments:	Section 3
	• corporate bonds	
	• eurobonds	Section 3.1
	• convertible bonds	Section 3.1
	• government bonds	Section 3.1
	• discount securities	Section 3.1
	• floating rate notes	Section 3.1
	• coupon payment intervals	Section 3



Syllabus Unit/ Element		Chapter/ Section
	• coupon calculations (may be tested by the use of simple calculations)	Section 3
	• accrued interest calculations (may be tested by the use of simple calculations):	Section 3.3
	◦ actual/actual	
	◦ 30/360	
	• clean and dirty prices	Section 3.2
	• mortgage-backed securities	Section 3.1
	• asset-backed securities	Section 3.1
	• index-linked bonds	Section 3.1
1.1.6	know the characteristics of:	Section 6
	• exchange-traded funds	
	• mutual funds	
	• hedge funds	
	• investment trusts	
	• real estate funds	
	• private equity	
1.1.7	know how securities are identified:	Section 7
	• ISIN	
	• CUSIP	
	• SEDOL	
	• tickers	
1.1.8	understand how securities are issued:	Section 8
	• equities:	Sections 8.1, 8.2
	◦ offers for subscription	
	◦ offers for sale	
	◦ introductions	
	◦ placing	
	◦ offer to tender	
	• government bonds:	Section 8.3
	◦ auction	
	◦ tap	
	◦ tranche	
	• eurobonds:	Section 8.4
	◦ lead manager	
	◦ syndicate	
	◦ underwriting	
<b>1.2</b>	<b>Principles of Trading</b>	
	On completion, the candidate should:	
1.2.1	know the characteristics of the Regulated Markets and Multilateral Trading Facilities (MTFs)	Section 9
1.2.2	understand the differences between:	Section 10
	• on exchange/MTF	
	• over-the-counter	
1.2.3	understand the main characteristics of:	Section 11
	• order-driven markets	

Syllabus Unit/ Element		Chapter/ Section
	<ul style="list-style-type: none"> <li>quote-driven markets</li> </ul>	
	<ul style="list-style-type: none"> <li>principal trading</li> </ul>	
	<ul style="list-style-type: none"> <li>agent trading</li> </ul>	
	<ul style="list-style-type: none"> <li>agency crosses (systematic internalisers)</li> </ul>	
	<ul style="list-style-type: none"> <li>multilateral trading facilities</li> </ul>	
	<ul style="list-style-type: none"> <li>dark pools</li> </ul>	
1.2.4	know the roles of:	Section 11
	<ul style="list-style-type: none"> <li>market makers/liquidity providers</li> </ul>	
	<ul style="list-style-type: none"> <li>sales traders</li> </ul>	
	<ul style="list-style-type: none"> <li>proprietary traders</li> </ul>	
1.2.5	know the principles of programme trades, algorithmic trading and high frequency trading	Section 12
1.2.6	understand the principles of multiple listed shares	Section 13
1.2.7	know the settlement periods for equities and bonds in the selected markets	Section 14

ELEMENT 2	MAIN INDUSTRY PARTICIPANTS	Chapter 2
<b>2.1</b>	<b>Investors and Custody Service Suppliers</b>	
	On completion, the candidate should:	
2.1.1	know the characteristics of the following types of participant:	Section 1
	<ul style="list-style-type: none"> <li>individual</li> </ul>	
	<ul style="list-style-type: none"> <li>institutional</li> </ul>	
	<ul style="list-style-type: none"> <li>investment manager</li> </ul>	
	<ul style="list-style-type: none"> <li>prime broker</li> </ul>	
	<ul style="list-style-type: none"> <li>broker</li> </ul>	
	<ul style="list-style-type: none"> <li>inter-dealer broker</li> </ul>	
	<ul style="list-style-type: none"> <li>investment bank</li> </ul>	
	<ul style="list-style-type: none"> <li>central bank</li> </ul>	
2.1.2	understand the advantages, disadvantages and purposes of the following types of custodian:	Section 2.1
	<ul style="list-style-type: none"> <li>global</li> </ul>	
	<ul style="list-style-type: none"> <li>sub-custodian</li> </ul>	
2.1.3	understand the purpose and provisions of custody and sub-custody agreements	Section 2.2
2.1.4	understand the purpose of a Request For Proposal (RFP) in the selection of a global custodian by an investor	Section 2.3
2.1.5	understand the requirements of a Service Level Agreement between an investor and its custodian	Section 2.2
2.1.6	understand how legislation can affect the appointment of custodians	Section 2.3

Syllabus Unit/ Element		Chapter/ Section
<b>2.2</b>	<b>International Central Securities Depositories and Central Securities Depositories</b>	
	On completion, the candidate should:	
2.2.1	understand the roles of ICSDs and CSDs generally for the selected markets:	Sections 3.1, 3.3
	<ul style="list-style-type: none"> <li>depositories available</li> <li>participation requirements</li> </ul>	
2.2.2	understand the concepts of certificated, immobilised and dematerialised securities	Section 3.2
2.2.3	understand the roles played by Euroclear and Clearstream including the Bridge	Section 3.4
2.2.4	know how securities and cash are held by ICSDs and CSDs	Section 3.1
2.2.5	know the range of custody and settlement services offered by the ICSDs	Section 3.4
2.2.6	know the proposed intentions of TARGET2-Securities	Section 3.5
2.2.7	know the structure and functions of Link-Up Markets	Section 3.3.1
<b>2.3</b>	<b>Communications and Technology</b>	
	On completion, the candidate should:	
2.3.1	understand the advantages of straight-through processing	Section 4
2.3.2	know the features and benefits of SWIFT and SWIFT messaging	Section 5
2.3.3	know the features and benefits of FIX Protocol messaging	Section 4.4
2.3.4	know the communication methods used with Euroclear and Clearstream	Section 3.4

ELEMENT 3	SETTLEMENT CHARACTERISTICS	Chapter 3
<b>3.1</b>	<b>Pre-settlement</b>	
	On completion, the candidate should:	
3.1.1	understand the data required for matching of settlement instructions	Section 2.1
3.1.2	understand the process of clearing (matching and the assumption of risk – trade for trade versus central counterparty)	Section 2.2
3.1.3	understand the role of third party service providers in the pre-settlement process, eg, OMGEO	Section 2.5
3.1.4	understand netting in pre-settlement	Section 2.4
<b>3.2</b>	<b>Settlement</b>	
	On completion, the candidate should:	
3.2.1	know the role of the following types of financial institutions in the settlement process:	Section 3.1
	<ul style="list-style-type: none"> <li>brokers</li> <li>investment banks</li> <li>investment managers</li> <li>custodians</li> <li>sub-custodians</li> <li>Central Counterparty Clearing Houses (CCPs) and clearing members</li> <li>ICSDs and CSDs</li> </ul>	

Syllabus Unit/ Element		Chapter/ Section
3.2.2	know the characteristics of the following cash systems:	Section 3.2
	• CHIPS	
	• CHAPS	
	• TARGET 2	
	• Fedwire	
	• CLS	
3.2.3	understand the following settlement concepts:	Section 3.3
	• trade for trade	
	• netting – bilateral and multilateral	
	• trade date netting, continuous net settlement	
	• fixed date settlement	
	• rolling settlement	
	• free of payment transactions	
	• delivery vs. payment	
	• book entry settlement	
	• physical settlement	
	• foreign exchange settlement	
3.2.4	understand the transfer of legal title:	Section 3.4
	• bearer	
	• registered	
3.2.5	understand Contractual Settlement Date Accounting (CSDA) and	Section 3.5
	Actual Settlement Date Accounting (ASDA)	
3.2.6	know the main Giovannini Barriers to the creation of a harmonised	Section 3.6
	market for Europe	
<b>3.3</b>	<b>Failed Settlement</b>	
	On completion, the candidate should:	
3.3.1	understand the main reasons for failed settlement:	Section 4.1
	• failure to match	
	• insufficient stock	
	• insufficient cash	
	• counterparty default	
	• corporate event	
3.3.2	understand the risks associated with:	Section 4
	• buy-ins	
	• sell-outs	
	• interest claims	
	• settlement fines	
	• matching fines	
	• suspension of trading	
	• short sale fines	
3.3.3	understand interest claims (ICMA rules on fixed income and ISITC for	Section 4.4
	equities)	
3.3.4	be able to calculate interest claims based on the above rules	Section 4.4

Syllabus Unit/ Element		Chapter/ Section
<b>ELEMENT 4</b>	<b>OTHER INVESTOR SERVICES</b>	<b>Chapter 4</b>
<b>4.1</b>	<b>Safekeeping</b>	
	On completion, the candidate should:	
4.1.1	understand the principles of safekeeping client assets:	Section 1
	<ul style="list-style-type: none"> <li>• to safeguard assets</li> <li>• to segregate safe custody investments</li> <li>• to reconcile safe custody investments</li> <li>• to maintain records and controls in respect of the use of mandates</li> </ul>	
4.1.2	understand the requirements of substantial shareholding reporting	Section 2
4.1.3	understand the functions of nominee companies and the following concepts:	Section 3
	<ul style="list-style-type: none"> <li>• legal title</li> <li>• beneficial ownership</li> <li>• pooled nominee holdings</li> <li>• designated nominee holdings</li> <li>• nominee as bare trustee</li> <li>• omnibus accounts</li> <li>• segregated accounts</li> </ul>	
4.1.4	understand how a custodian charges for the services it provides to its clients	Section 4
4.1.5	be able to calculate the cost of custody for a given portfolio given a value of assets held and the basis point price	Section 4
<b>4.2</b>	<b>Corporate Actions</b>	
	On completion, the candidate should:	
4.2.1	know the characteristics of the following mandatory events:	Section 5.2
	<ul style="list-style-type: none"> <li>• dividends (cash and scrip)</li> <li>• interest and coupon payments</li> <li>• capitalisation issues</li> <li>• splits and consolidations</li> <li>• capital repayments / redemptions</li> </ul>	
4.2.2	know the characteristics of the following voluntary events:	Section 5.3
	<ul style="list-style-type: none"> <li>• rights issue subscription</li> <li>• conversions</li> <li>• takeovers</li> <li>• exchanges</li> <li>• initial public offers</li> <li>• proxy voting</li> <li>• exercise of warrants</li> </ul>	
4.2.3	understand the importance of receiving timely and accurate corporate action data and the risks involved	Section 5.1
4.2.4	understand the following terms: record date; ex date; pay date; effective date; cum benefit; ex benefit and special ex and special cum	Section 5.5
4.2.5	be able to calculate corporate actions related data on capitalisations, scrip and rights issues and the effect on the underlying share price	Sections 5.2, 5.3

Syllabus Unit/ Element		Chapter/ Section
<b>4.3</b>	<b>Cash Management</b>	
	On completion, the candidate should:	
4.3.1	understand the importance and use of cash management	Section 6
4.3.2	understand the advantages and disadvantages of operating single and multi-currency accounts	Section 6
4.3.3	know what is meant by the terms sweeping and pooling as they relate to base currency and settlement currency	Section 6
4.3.4	understand the importance of cash forecasting tools	Section 6
<b>4.4</b>	<b>Securities Lending</b>	
	On completion, the candidate should:	
4.4.1	understand the role of a custodian in securities lending and the risks and rewards to those involved	Section 7.3
4.4.2	know the definition, legal ownership implications and the advantages and disadvantages to the market	Section 7.1
4.4.3	understand the reasons for securities lending	Section 7.2
4.4.4	understand the reasons why loans might be delayed or prevented	Section 7.2
4.4.5	understand the use of repo agreements	Section 7.5
4.4.6	understand the lenders' and borrowers' rights (including manufactured dividends and voting rights)	Section 7.1
4.4.7	understand collateral and marking to market	Sections 7.3, 7.5
4.4.8	know the role of a Stock Borrowing and Lending Intermediary	Section 7.4
4.4.9	understand the reasons why a loan might be recalled	Section 7.1

<b>ELEMENT 5</b>	<b>ASPECTS OF TAXATION</b>	<b>Chapter 5</b>
<b>5.1</b>	<b>General</b>	
	On completion, the candidate should:	
5.1.1	understand the tax treatment of dividends	Section 1
5.1.2	understand the tax treatment of bond interest	Section 2
5.1.3	understand capital gains tax as it applies to equities and bonds	Section 3
5.1.4	understand the tax treatment of discount securities	Section 4
5.1.5	understand the advantages, disadvantages and uses of:	Section 5
	• withholding tax	
	• double taxation treaties	
	• relief at source	
	• tax reclamation	
	• being an authorised US approved Qualifying Intermediary	
	• FATCA rules	
5.1.6	understand transaction-based taxes	Section 6

<b>ELEMENT 6</b>	<b>RISK</b>	<b>Chapter 6</b>
<b>6.1</b>	<b>Identifying and Managing Risk</b>	
	On completion, the candidate should:	
6.1.1	know the following major categories of risk:	Section 1
	• market	
	• counterparty	

Syllabus Unit/ Element		Chapter/ Section
	<ul style="list-style-type: none"> <li>• issuer</li> </ul>	
	<ul style="list-style-type: none"> <li>• settlement</li> </ul>	
	<ul style="list-style-type: none"> <li>• operational</li> </ul>	
	<ul style="list-style-type: none"> <li>• political</li> </ul>	
	<ul style="list-style-type: none"> <li>• regulatory</li> </ul>	
6.1.2	understand the factors that should be taken into account when conducting risk reviews of market infrastructures and sub-custodian networks	Section 2
6.1.3	understand the areas of global custody risk and appropriate countermeasures	Section 3
6.1.4	know the purpose of an ISAE 3402 report	Section 4
6.1.5	understand the concept of shareholder limits and restrictions	Section 5
<b>6.2</b>	<b>Mitigating Risk through Reconciliation</b>	
	On completion, the candidate should:	
6.2.1	understand the risks associated with a failure to reconcile the following:	Section 6
	<ul style="list-style-type: none"> <li>• open trades</li> </ul>	
	<ul style="list-style-type: none"> <li>• counterparty cash</li> </ul>	
	<ul style="list-style-type: none"> <li>• corporate actions</li> </ul>	
	<ul style="list-style-type: none"> <li>• cash accounts</li> </ul>	
	<ul style="list-style-type: none"> <li>• custodian holdings</li> </ul>	
	<ul style="list-style-type: none"> <li>• client assets</li> </ul>	
	<ul style="list-style-type: none"> <li>• entitlements</li> </ul>	

## Examination Specification

Each examination paper is constructed from a specification that determines the weightings that will be given to each element. The specification is given below.

It is important to note that the numbers quoted may vary slightly from examination to examination as there is some flexibility to ensure that each examination has a consistent level of difficulty. However, the number of questions tested in each element should not change by more than plus or minus 2.

Element Number	Element	Questions
1	Securities	10
2	Main Industry Participants	10
3	Settlement Characteristics	10
4	Other Investor Services	14
5	Aspects of Taxation	3
6	Risk	3
<b>Total</b>		<b>50</b>

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**DUAL PROGRAMME**  
PROFESSIONAL CERTIFICATE IN MARKETING

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**UNIT 1 – MARKETING ESSENTIALS****Section 1 – The nature and scope of marketing**

- 1.1 Explain the evolution of market orientation:
- Product orientation
  - Production orientation
  - Sales orientation
  - Market versus marketing orientation
- 1.2 Assess the contribution of marketing as a means of:
- Creating customer value
  - Creating and responding to competition
- 1.3 Appreciate the different characteristics of a market-oriented approach to business:
- An exchange process
  - A philosophy of business
  - A managerial function
  - A dynamic operation, requiring analysis, planning and action
  - A catalyst for change
- 1.4 Identify and evaluate the factors that may make market orientation difficult to achieve within the organisation:
- Lack of committed leadership and vision
  - Lack of customer knowledge
  - Lack of infrastructure eg, technology
  - Autocratic leadership
  - Conflict between marketing and other functions
  - Preference for production or sales focus
  - Transactional approach to business
- 1.5 Explain the cross-functional role of marketing and its importance to organizational performance:
- The importance of internal relationships and information sharing
  - The setting and achievement of common and realistic goals
  - Establishing common information and control systems
  - Establishing clear company policies in relation to products, branding, production, etc
  - The role of marketing as an internal service provider for other business departments
  - Contribution of marketing to the development of the business strategy
- 1.6 Evaluate the impact of marketing actions on consumers, society and the environment, and the need for marketers to act in an ethical and socially responsible manner:
- Ethical codes of practice for marketers (CIM Code of Practice)
  - Corporate Social Responsibility as a cultural value
  - Corporate citizenship – upholding the law and behaving responsibly
  - Social awareness of key marketing issues relating to social causes
  - Societal marketing
- 1.7 Explain the significance of buyer-seller relationships in marketing and comprehend the role of relationship marketing in facilitating the attraction and retention of customers:
- Benefits of customer retention
  - Drawbacks of customer defection
  - Relationship management in B2B and B2C
  - The link between degrees of customer loyalty and long-term organisational stability and growth
  - The role of technology in enhancing or undermining relationships and thereby affecting retention.

**Section 2 – Planning within the marketing context**

- 2.1 Explain the importance of objectives, the processes for setting them and the influences upon them:
- Objectives as a basis for determining future direction, consistency, motivation and measurement
  - Objectives as a basis for determining achievement
  - SMART Objectives (Specific, Measurable, Achievable, Realistic, Time bound)
  - Internal and external influences on setting objectives
- 2.2 Identify the different types of organisational objectives:
- Profit
  - Sales/Revenue
  - Marketing
  - Growth eg, market share
  - Technical – technology innovation
  - Survival
  - Ethically and socially responsible
- 2.3 Evaluate the importance of the marketing planning process to the market oriented organisation. Using a marketing plan as a means of:
- Delivering strategies and achieving objectives
  - Implementing a marketing project
  - Monitoring of timeline progress against schedule
  - Managing implementation
  - Resource management (human and physical)
  - Financial management
  - Measurement of successful implementation
- 2.4 Explain the different stages of the marketing planning process:
- Corporate objectives/business mission
  - Marketing audit
  - Setting business and marketing objectives
  - Marketing strategies
  - Marketing tactics/mix decisions
  - Implementation
  - Monitoring and control
- 2.5 Explain the concept of the marketing audit as an appraisal of:
- The internal and external environment
  - Organisational strengths, weaknesses, opportunities and threats
  - Organisational competencies and capabilities
  - Organisational resource versus an organisation's capacity to deliver
  - Competitor analysis

**Section 3 – The marketing mix**

- 3.1 Explain and illustrate the principles of product and planning:
- Branding
  - Product lines/ranges (depth and breadth)
  - Packaging eg, sustainability, design eg, re-cycling
  - Service support
- 3.2 Explain the concept of the Product Life Cycle, (PLC) and its limitations as a tool for assessing the life of the product/ services:
- Development
  - Introduction
  - Growth
  - Maturity
  - Decline
  - Obsolescence
  - Limitations including failure of the product to succeed/no measurable outcome

- 3.3 Explain the importance of new products and services into the market:
- Changing customer needs
  - Digital revolution
  - Long-term business strategies
- 3.4 Explain the different stages of the process of New Product Development:
- Idea generation
  - Screening new ideas
  - Concept testing
  - Business analysis
  - Product development
  - Test marketing
  - Commercialisation and launch
- 3.5 Explain the importance of price as an element of the marketing mix:
- Brings together the marketing mix elements to fulfill customer needs
  - Income, revenue and profit generation
  - Contributing to the organisation's business and financial objectives
  - Limitations of price as a competitive tool
- 3.6 Identify and illustrate a range of different pricing approaches that are adopted by organisations as effective means of competition:
- Absorption costing
  - Cost base and marginal costing
  - Cost Plus
  - Price skimming
  - Penetration pricing
  - Loss-leader
  - Promotional pricing
- 3.7 Define the different channels of distribution, and the role they play in a coordinated marketing mix:
- Wholesaling
  - Retailing
  - Direct marketing
  - Internet marketing
  - Vending
  - Telephone selling
  - Franchising
  - Digital/e-channels
- 3.8 Explain the factors that influence channel decisions and the selection of alternative distribution channels:
- Multiple channels
  - Location of customers
  - Compatibility
  - Nature of the goods/services
  - Geographic/environmental/terrain
  - Storage and distribution costs
  - Import/export costs
- 3.9 Evaluate a range of marketing communications tools that comprise the marketing communications mix and consider their impact in different contexts:
- Direct Response Advertising
  - Personal selling
  - Sponsorship
  - Public relations
  - Direct marketing
  - Sales promotions
  - Digital technologies
  - Website
- 3.10 Evaluate the range of marketing communications media and consider their impact in different contexts:
- TV
  - Cinema
  - Bill Boards
  - Press
  - Magazine
  - Web-advertising
  - Sales promotions
- 3.11 Explain the importance of a coordinated services marketing mix, its characteristics and implications for the marketing of service products:
- Coordinated approach to people, physical evidence and process
  - Characteristics/implications: inseparability, intangibility, variability, perishability and non-ownership
- 3.12 Explain the different methods used for measuring the success of marketing activities:
- Budget measurement
  - Objectives attained
  - Sales/revenue, profit/loss
  - Efficiency/effectiveness
  - Zero defects/returns
  - Customer service complaints
  - Increased awareness and changing attitudes
  - Repeat purchase and loyalty
- 3.13 Explain the process of product and service adoption explaining the characteristics of customers at each stage of adoption:
- Innovators
  - Early Adopters
  - Early majority
  - Late majority
  - Laggards
- 3.14 Explain the concept of developing a coordinated approach to the marketing mix, as a means to satisfying customers' requirements and competing effectively:
- Designing a mix which is compatible and co-ordinated effectively
  - Being mindful of the target market, their needs and expectations
  - Being mindful of tactical competitive activities
  - Being mindful of the impact of other elements of the marketing mix
- UNIT 2 – ASSESSING THE MARKETING ENVIRONMENT**
- 1.1 Evaluate the different characteristics of the internal marketing environment, and consider the challenges facing the organisation in developing the customer value proposition including:
- Resource capability
  - Competency
  - Internal politics
  - Objectives
  - Key internal drivers
- 1.2 Explain the classification of public, private and voluntary sector organisations in terms of:
- Legal forms
  - Organisational characteristics, influences and challenges
  - Divorce of ownership and control

1.3 Explain how organisational objectives differ across a range of different sectors and consider the influences upon setting these objectives and the challenges they represent:

- Identifying stakeholder needs
- Satisfying stakeholder needs
- The increasing need to address corporate social responsibility issues

1.4 Assess the comparative strengths and weaknesses of small/medium and large/global organisations in the context of the marketing environment:

- Business/local focus versus global focus (ie, standardisation versus adaptation)
- Organisational constraints:
  - Objectives
  - Resources
  - Risks
  - PESTEL
  - Shareholders
  - Stakeholders
- Niche versus mass marketing

### Section 2 – The micro environment

2.1 Evaluate the stakeholders that constitute the micro environment within which organisations operate and their importance to the marketing process:

- Company
- Customers
- Competitors
- Suppliers
- Distributors

2.2 Evaluate the micro environmental factors that have a bearing on an organisation's ability to meet customer expectations and generate customer satisfaction:

- The importance of continuous marketing research
- Product/service portfolio analysis
- The link between service quality and customer satisfaction
- Extended marketing mix

2.3 Explain the nature of the interactions between the organisation and its various stakeholders including shareholders, employees, customers, local communities, suppliers, channel members and competitors:

- Understanding and managing stakeholder power and interest
- Developing relationships with partners, pressure groups, consumer groups etc
- Competition for customers
- Consumer protection legislation

2.4 Evaluate the different types and sources of information required to gain an in-depth understanding of the micro-environment:

- Company reports
- Department of Trade and Industry
- Central Office of Statistics Office
- Research organisations eg, Dunn and Bradstreet, MINTEL, etc
- Industry journals

2.5 Examine the nature, scope and impact of competition policies on the organisation and its marketing environment:

- Legislation, regulatory bodies and watchdogs
- Monopolies and mergers
- EU Competition Policy
- Bilateral international competition relationships (Europe, Japan and the USA)
- Fair trade policies (local versus international)

- Patents
- Trademarks

2.6 Explain the process for undertaking a detailed competitor analysis and how the analysis influences the marketing decision making process:

- Competitor identification
- Competitor strengths and weaknesses
- Competitor strategies
- Competitor response patterns (tactics)
- Key success factors (KSF)
- Company capability profiling

### Section 3 – The macro environment

3.1 Explain the importance of the macro environment to the marketing process:

- PESTEL market performance indicators
- Identification and implications of market turbulence, complexity and dynamism
- Effects of changing markets within the world arena

3.2 Identify key sources of information useful in analysing the macro-environment.

- Government statistics
- Economic indicators
- Business confidence indicators
- Internet
- Trade publications, etc

3.3 Explain the social, demographic and cultural environments and, in general terms, their influence on and implications for marketing including:

- Social cultural behaviour and change
- Demographic/population trends, etc
- The need for social responsibility and marketing ethics
- The growth of consumerism

3.4 Explain the economic environments within an international context and, in general terms, their influence on and implications for marketing, including consideration of:

- Interest rates
- Exchange rates
- GDP
- GNP
- Effects of demand and supply
- Economic growth and unemployment
- The effect of changing economies eg,
  - The single European Market (EU)
  - Market driven economies in Eastern European
- European Monetary Union
- Business cycle

3.5 Explain the political and legislative environments and, in general terms, their influence on and implications for marketing:

- Political activities resulting in legislative changes
- Green legislation
- Customer protection legislation
- Employment legislation, etc

3.6 Explain the natural environment and, in general terms, its influence on and implications for marketing including:

- Policies relating to emissions and waste, etc
- Governmental and pressure group influence on environmental priorities
- Pollution and waste management
- Moral and ethical responsibility
- Green marketing – 5Rs (ROI, Reach, Responsibility, Reputation, Revenue)
- Social responsibility and sustainability

- 3.7 Assess the potential significance of environmental challenges to marketing in the future:
- Globalisation
  - Global warming/emissions/carbon footprints
  - Environmental decline
  - Shortage of natural resources
  - Reducing waste
  - Increasing re-cycling
  - Alternative energy sources (wind power, solar power, electric/gas cars, etc)
  - Alternative transportation
- 3.8 Explain the evolution of the technical and information environments and consider its actual and potential impacts on organisations, employment, marketing and communications:
- The technical diffusion process
  - Technology and the workforce
  - Technology and the impact of social change
  - The convergence of technology ie, telecommunications linked with media communications
  - Digital superhighways
  - Credit transfer
  - The internet and other technology based communication tools
- 3.9. Evaluate the impact of economic and environmental sustainability on an organisation's CSR agenda including the impact it has on the organisation, its vision, mission and objectives:
- Environmental information systems
  - Impact analysis
  - Codes of conduct
  - Social/conscience marketing/human rights
  - Ethics
  - Environmental sustainability
  - Shareholder activism (Green shareholders)
- 3.10 Evaluate different methods for undertaking analysis of environmental trends:
- Environmental audits
  - Quantitative and qualitative forecasting techniques
  - Trend impact analysis
  - Scenario building
  - Delphi method
- 3.11 Review the emergence of social marketing as an increasing trend in establishing social values associated with CSR:
- Growth of social and cause related marketing
  - Traceability/Transparency
  - Fair trade/Local product policy
  - Government initiatives eg, packaging, labeling, recycling, etc

#### Section 4 – Undertaking a marketing audit

- 4.1 Explain the process of undertaking the internal and external market environment audit:
- Environmental scanning
  - Collecting internal and external marketing information
  - PESTEL analysis
  - A competitor comparison of key competitors
  - Assessing opportunities and threats
  - Reviewing environmental and resource constraints
- 4.2 Describe the meaning and role of various analytical tools in the marketing auditing process:
- PESTEL
  - Five Ms
  - Ansoff's Growth Strategy Matrix
  - SWOT

### UNIT 3 – MARKET INFORMATION AND RESEARCH

#### Section 1 – The importance of marketing information

- 1.1 Discuss the need for information in marketing management and its role in the overall marketing process:
- Information on customers
  - Information on competitors and other organisations
  - Information on the marketing environment
  - Descriptive v. comparative v. diagnostic role of information
- 1.2 Evaluate the impact of information technology on the marketing function and discuss the challenges facing organisations in collecting valid, reliable and measurable information to support the decision making process:
- Growth in information sources (The Information Explosion)
  - The Internet/Intranet
  - Consumer generated media eg, on-line communities/blogs
  - Customer databases
  - Internal reporting system, scanning/inventory control etc
  - Validity and reliability of different information sources
- 1.3 Explain the concept of a marketing decision support system and its role in supporting marketing decisions:
- Definition
  - Components (data storage, reports and displays, analysis and modelling)
  - Types of information held
  - Manner in which it can assist decision making
- 1.4 Review the key elements and formats when reporting or presenting marketing information to decision makers:
- Understanding the audience/audience thinking sequence
  - Physical and On-line Research Report Format
  - Oral presentation format
  - Using tables and graphs

#### Section 2 – The role of databases in information management

- 2.1 Demonstrate an understanding of the role, application and benefits of customer databases in relation to customer relationship management (CRM):
- Types of customer data (behavioural data, volunteered data, attributed data)
  - Role in profiling customers
  - Role in marketing intelligence testing campaigns/forecasting
  - Role in determining life-time value
  - Role in personalising offerings and communications
  - Role in building relationships
- 2.2 Identify and explain the different stages in the process of setting up a database:
- The importance of evaluating software and what is needed to ensure it works properly
  - Evaluating software
  - Identifying needs of users of a database
  - Processing data (formatting, validation, de-duplication)
- 2.3 Explain the principles of data warehousing, data marts and data mining:
- Understanding how databases can be used to select, explore and model large amounts of data to identify relationships and patterns of behaviour
- 2.4 Explain the relationship between database marketing and marketing research and explain the legal aspects of data collection and usage, including the Data Protection Legislation:
- Data protection legislation
  - List brokers
  - Profilers and their offerings (eg, Acorn, Mosaic etc.)

- Issues involved in merging marketing research and customer database information (transparency, aggregation of data, using customer databases for marketing research purposes)

### Section 3 – The nature of marketing research

- 3.1 Discuss the nature and structure of the market research industry:
- Marketing Research Departments v. Marketing Research Agencies
  - Types of Marketing Research Agency
  - Scale of Industry
  - Professional Bodies and Associations in the Marketing Research Industry
- 3.2 Explain the stages of the market research process:
- Identification of problems and opportunities
  - Formulation of research needs/the research brief
  - Selection of research provider/the proposal
  - Creation of research design
  - Collection of secondary data
  - Collection of primary data
  - Analysis of data
  - Preparation and presentation of research findings and recommendations
- 3.3 Evaluate a range of procedures and criteria used for selecting a market research supplier in domestic and international markets:
- Short-listing criteria
  - The research proposal
  - Supplier assessments (Pitch)
  - Selection criteria
- 3.4 Explain how best to liaise with the research agency on a day to day basis to leverage best levels of service, support and implementation and high quality information to support the business case development:
- Monitoring working arrangements using quality and service standards
- 3.5 Explain the stages involved in order to develop a full research proposal to fulfil the brief which support the information needs of different marketing projects:
- Content of proposal covering background, objectives, approach and method, reporting and presentation procedures, timing, personal CVs, related experience, contract details
- 3.6 Evaluate the ethical and social responsibilities inherent in the market research task:
- Need for goodwill, trust, professionalism, confidentiality
  - Codes of marketing and social research practice (eg, Market Research Society code of conduct)
  - Responsibilities to respondents (Use of information/ protection of vulnerable groups such as children, etc)
  - Responsibilities to clients (transparency, data reporting, etc)

### Section 4 – Research methodologies

- 4.1 Evaluate the uses, benefits and limitations of secondary data:
- Benefits
  - Limitations
  - Sources of secondary data
  - Internet search strategies
  - Integrating secondary data with primary data
- 4.2 Evaluate the various procedures used for observing behaviour:

- Categories of observation (natural v. contrived, visible v. hidden, structured v. unstructured, mechanised v. human, participant v. non-participant)
- Audits and scanner based research
- Television viewing measurement
- Internet monitoring
- Mystery shopping

- 4.3 Identify and evaluate the various techniques for collecting qualitative data:
- Types of research most suited to qualitative research
  - Individual depth interviews
  - Group discussions (including basic guidelines on group moderation, stimulus material and projective techniques)
  - Using the Internet for qualitative research (online group discussions, chat rooms, blogs)
  - Overview of approach to the analysis of qualitative research
- 4.4 Identify and evaluate the various techniques for collecting quantitative data:
- Face to face survey methods
  - Telephone interviews
  - Postal surveys
  - Online surveys
  - Omnibus surveys
  - Forum voting (pressing voting buttons)
- 4.5 Identify and evaluate the various techniques for undertaking experimentation:
- Hall tests
  - Placement tests
  - Simulated test markets

### Section 5 – Research tools

- 5.1 Design a **basic** questionnaire and discussion guide to meet a project's research objectives:
- Discussion guide format
  - The questionnaire design process
  - Question and response formats
  - Scaling techniques (Likert and semantic differential)
  - Sequence and wording
  - Design layout and appearance
  - Questionnaire generating software
- 5.2 Explain and evaluate different **basic** sampling approaches designed to maximize the benefit of market research activities:
- The sampling process
  - Difference between probability and non-probability samples
  - Knowledge of convenience, judgement and quota samples
  - Determining sample size
  - Sampling and non-sampling error
  - Panels

## UNIT 4 –STAKEHOLDER MARKETING

### Section 1 – The importance of stakeholders in the marketing process

- 1.1 Assess the different categories of relationships that exist between organisations:
- One-to-one relationships
  - Relationship channels
  - Relationship networks
- 1.2 Assess the relative importance of the different stakeholder groups and consider the nature of stakeholder relationships and their influence and impact on the organisation:

- Stakeholder maps/matrices - Johnson and Scholes power/interest matrix, Freeman participant stakeholders
  - Partners who support your agenda
  - Allies who will provide support and encouragement
  - Passive supporters
  - Fence sitters whose allegiance is not clear
  - Loose canons
  - Opponents
  - 'Voiceless'
- 1.3 Explain the nature of the interactions between the organisation and its different stakeholder groups:
- Partners - little interaction, but should not be ignored
  - Allies - 'light touch' in terms of frequency of contact
  - Passive supporters - build rapport and relationship
  - Fence sitters - assess value that can be derived before deciding on level and type of interaction
  - Opponents - structured approach eg, formal meetings
  - Voiceless - 'light touch' in event of coalition being formed
- 1.4 Explain the significance of the range of pressure groups as key stakeholders interested in the organisation and their potential impacts upon market oriented organisations:
- Sectional pressure groups, eg, Marketing Society, Law Society, TUC, Chambers of Commerce
  - Causal pressure groups, eg, welfare NSPCC, Fair Trade and environmental Countryside Alliance, Greenpeace
  - Impacts - change in strategy, development of new products and services, process change, negative publicity, decrease in share price.
- 1.5 Specify the role of marketing in managing these pressure groups effectively:
- Planned marketing communications eg, PR and advertising, brochures, encouraging interaction and dialogue
  - Product messages - design, technical features, production process durability and distribution
  - Service messages derived from interactions with pressure groups
  - Proactive management of unplanned messages such as news stories, Blogs -Hainsworth and Meng issue lifecycle model
- 1.6 Evaluate the different options to developing a Relationship Management (RM) approach within a market oriented organisation:
- Transactional
  - Long term mutually beneficial relationship with a defined customer:
    - group
    - partnerships
    - strategic alliances
    - e-relationships
    - networks
    - customisation
    - internal customer relationships

## Section 2 – Stakeholder relationship marketing

- 2.1 Explain the position and importance of key stakeholders in the market oriented organisation and establish relationship priorities for the organisation:
- Stakeholder maps/matrices
  - For stakeholders with little power/interest in project/programme - minimal effort
  - For stakeholders with interest but little power - keep informed and nurture
  - For stakeholders with little interest but high power - maintain relationships

- Key players - high level of interaction in developing and maintaining relationships
- Classic market relationships
- Special market relationships ie, high income/high profile partners
- Green/mega/nano relationships (Gummesson 2003)

- 2.2 Explain the concept of relationship marketing and its approach in developing customer retention, encouraging customer loyalty, stakeholder interest and engagement both internally and externally:
- Relationship lifecycle model
  - RM ladder of loyalty
- 2.3 Explain how relationship marketing is based on trust, commitment and cooperation and the importance of this concept not only to customers but the broader stakeholder audience:
- Service encounter
  - Collaboration
  - Transparency
  - Creation of value
- 2.4 Explain how relationship marketing can contribute to both long-term and short-term customer retention:
- Improve customer experience and develop brand loyalty
  - Superior service levels
  - Develop stakeholders as advocates
  - Profile strategies - sponsorship, use of celebrities versus advertising

## Section 3 – Utilising the marketing mix to support stakeholder relationships

- 3.1 Explain how a coordinated marketing mix can be used to meet the needs of an organisation's broader stakeholder audience:
- Product development eg, ethical clothing ranges, smoothies for children
  - Renewable resources
  - Price-value versus supply
  - Place - direct distribution, e-distribution
  - Promotion - bluetooth, compliance with regulation eg football clubs sponsored by alcohol companies removing sponsorship on children's replica kits, not advertising foods high in fat, sugar and salt (HFSS), products in children's programmes
  - People - recruitment, working conditions, equal opportunities
  - Process - recycling, alternative power sources, fair trade
  - Physical environment (décor, corporate image, livery, etc)
- 3.2 Analyse the behaviour and opinions of the decision making units in order to design and co-ordinate a marketing mix that is responsive to stakeholders' needs and adds value to them:
- Involvement theory
  - Perceived risk – cost/value
  - Attitudes
  - Group influence and opinion leadership
  - Organisational buying behaviour - stakeholder
  - Personal buying behaviour and influence
- 3.3 Explain the dependencies of people, place and process in supporting relationship marketing approaches:
- Employee satisfaction versus customer satisfaction
  - Riechheld Service Profit Cycle
  - Customer and stakeholder management
  - Product development
  - Place

- 3.4 Explain the methods available for measuring the success of a coordinated marketing mix aimed at multiple stakeholders:
- Inquiry tests
  - Recall tests
  - Recognition tests
  - Sales
  - Tracking studies
  - Financial analysis
  - Media evaluation
  - Stakeholder satisfaction surveys

#### Section 4 – Communicating with stakeholders

- 4.1 Evaluate the extensive range of marketing communications mix tools and explain how they can be co-coordinated to contribute towards developing long-term sustainable stakeholder relationships:
- Advertising
  - Public Relations
  - New media
  - Sponsorship and hospitality
  - Personal selling
  - Direct marketing
  - Sales promotion
- 4.2 Identify and evaluate the range of tools available to support the communications relating to internal customer loyalty, ie, employee support, engagement and retention within the organisation:
- email
  - Intranet
  - Training - staff enrichment programmes
  - Support - technical, management
  - Flexible working
    - Secondments
    - Gap years
  - Team meetings

- 4.3 Explain the challenges in communicating with stakeholders in international markets:
- Adaptation versus standardisation
  - Culture – influence of religion, cultural norms and protocols
  - Language and symbols
  - Availability of technology
  - Ensuring consistency of key messages
  - Availability of media
- 4.4 Identify and evaluate the continuously evolving impact of new technologies and their contribution to economic and environmental sustainability on stakeholder relationships:
- Tele kits
  - Virtual conferencing
  - SMS
  - Voice over internet protocol (VOIP)
  - Economic - reduction in overheads
  - Environmental - CSR, carbon footprint
- 4.5 Explain approaches to managing budget resource for tactical communication activities:
- Marginal analysis
  - Arbitrary
  - Affordable
  - Objective and task
  - Percentage of sales
  - Competitive parity
  - Share of Voice (SOV)
  - Centralised or decentralised management
- 4.6 Explain the methods available for measuring the success of coordinated marketing communications activities:
- Media exposure measurement
  - Campaign measurement
  - Increased sales
  - Response rates
  - Conversion rates
  - Order values
  - Repeat orders



**Human Resource Management**

## Assessment Objectives

- 1.0 Understand Human Resource Management, its development, purpose and organization
- 2.0 Understand how the employment market, and the frameworks within which an organization operates, affects the management of people.
- 3.0 Understand how organizations plan and meet their human resources requirements
- 4.0 Describe and evaluate the methods used to enable individuals and groups to work together effectively and resolve conflict
- 5.0 Explain and analyse how organizations reward, motivate and develop employees

**1.0 Understand Human Resource Management, its development, purpose and organisation**

Competence Criteria	Skills and Knowledge
1.1 understand the meaning and purpose of 'Human Resource Management	<ul style="list-style-type: none"> <li>• meaning: Human Resource Management as the process for creating and maintaining relationships between the people who work for and with them, and between organisations</li> <li>• purpose: providing the right mix of skills, controlling the costs of employment (to include wages, salaries, support costs and social costs); ensuring the organisation has the ability to react effectively and efficiently to change</li> </ul>
1.2 understand the distinction between the operational and strategic purposes of Human Resource Management	<ul style="list-style-type: none"> <li>• operational purpose: providing and deploying the right mix of skills, knowledge and experience; controlling the costs of employment (wages and salaries, support (Admin) costs, social costs); maintaining systems for motivating and developing individuals and resolving conflict; replenishing the organisation's human resources over time</li> <li>• strategic purpose: contributing specialist expertise to the medium and long term development of the organisation; creating the ability to react effectively to change; handling growth efficiently</li> </ul>
1.3 describe and evaluate different approaches to the management of human resources	<ul style="list-style-type: none"> <li>• centralised vs. de-centralised; division of responsibilities between line managers and Human Resources (HR) specialists; different specialist roles in HR (e.g. Management Development, Employee Relations, Recruitment and Selection); HR representation at Senior and Board level</li> </ul>
1.4 understand how Human Resource Management has developed into its current form	<ul style="list-style-type: none"> <li>• development: as a welfare activity; as a workforce centred activity, mediating between the organisation and the people it employs; as a management centred activity, supplying the organisation with one of the many types of resource which it needs to operate effectively</li> </ul>

**2.0 Understand how the employment market, and the frameworks within which an organisation operates, affect the management of people**

Competence Criteria	Skills and Knowledge
2.1 describe the significance of the main features of the employment market.	<ul style="list-style-type: none"> <li>• sectors of employment (primary, secondary and tertiary); age and gender; full-time vs. part-time vs. self-employment; employment and unemployment rates; skill levels and types of skills; regional variations; to include the trends of all the above</li> </ul>
2.2 understand the effect of other organisations or groups on HRM	<ul style="list-style-type: none"> <li>• trade unions; employer's associations; government agencies; professional bodies (e.g. British Medical Association; American Society of Training and Development; Hong Kong Management Association; International Maritime Organisation); customers and competitors</li> </ul>
2.3 describe and evaluate the influence of technical change on human resource management	<ul style="list-style-type: none"> <li>• the creation of needs for new skills; the implications for career development, the implications for training, continuing professional development and lifelong learning; the threat of redundancy; how technology influences the way people's work is organized</li> </ul>
2.4 understand the influence of the legal environment on how people are managed	<ul style="list-style-type: none"> <li>• pay-related legislation (e.g. sick pay, minimum wages); employment protection and employee rights; equal opportunities; health and safety; maternity/paternity; job creation</li> </ul>



**3.0 Understand how organisations plan and meet their human resource requirements**

Competence Criteria	Skills and Knowledge
3.1 outline approaches to human resource planning	<ul style="list-style-type: none"> <li>analysis of current strengths and weaknesses (e.g. turnover and retention rates; absenteeism; length of service; job satisfaction; health and safety records; exit interview data); methods for forecasting supply and demand; succession planning</li> </ul>
3.2 describe and evaluate different types of employment contracts	<ul style="list-style-type: none"> <li>permanent; fixed term; temporary; part-time; contracts for specific tasks, jobs or services; contracting out to employment agencies</li> </ul>
3.3 understand the recruitment and selection process	<ul style="list-style-type: none"> <li>recruitment: purpose (finding the right person, avoiding discrimination, presenting a positive image of the organisation); job descriptions and person specifications; application forms; methods for attracting candidates (formal vs. informal, internal vs. external, choosing the right media); using agencies (public and private sector)</li> <li>selection: letters of application and Curriculum Vitae (CVs)/ Resumes; application forms; references; tests (aptitude, psychometric and practical); assessment centres; interviews (group and individual)</li> </ul>
3.4 understand how the contract of employment can end	<ul style="list-style-type: none"> <li>resignation; retirement; redundancy; dismissal; mutual agreement; end of fixed term contract/task/service</li> </ul>

**4.0 Describe and evaluate the methods to enable individuals and groups to work together effectively and resolve conflict**

Competence Criteria	Skills and Knowledge
4.1 describe and evaluate different ways of organising work	<ul style="list-style-type: none"> <li>different working patterns (e.g. day work, shift systems, flexitime; working at home, casual employment)</li> <li>different working structures (e.g. functional, product, territorial, matrix; permanent and temporary project teams and task groups)</li> </ul>
4.2 describe and evaluate how organisations measure and monitor people's performance at work	<ul style="list-style-type: none"> <li>standards, targets, key accountabilities; key competencies; appraisal systems (types; strengths and weaknesses); individual vs. team performance; Performance Management</li> </ul>
4.3 describe and evaluate the use of different systems for communication and conflict resolution	<ul style="list-style-type: none"> <li>information based systems (e.g. briefing structures, newsletters; bulletin boards; emails, company website, electronic notice boards, staff surveys)</li> <li>individual problem-solving mechanisms (e.g. discipline procedures and grievance procedures)</li> <li>improvement initiatives (e.g. Total Quality Management, Kaizen - (continuous improvement), mission statements)</li> <li>formal consultation and negotiation systems (e.g. Works Councils, worker directors, committee structures (e.g. safety, consultation), collective agreements)</li> </ul>

**5.0 Explain and analyse how organisations reward, motivate and develop employees**

Competence Criteria	Skills and Knowledge
5.1 explain the use of different methods of payment and reward	<ul style="list-style-type: none"> <li>financial reward - salaries, wages; fixed rates; piece-work; payment by results; annualised hours; productivity and annual bonuses; profit-sharing systems; share option schemes; non-contributory pensions</li> <li>fringe benefits (e.g. holidays, company cars, cheap loans, subsidized food and accommodation, health care, social activities; preferential access to the organisation's products or services, company discounts)</li> </ul>

5.2 explain how organisations identify the type and level of reward they offer employees	<ul style="list-style-type: none"> <li>influence of the marketplace for particular skills/qualifications; legal constraints; regional variations; bargaining strength of individuals/groups; differentials; the need for rewards to fit the organisation's structure, technology and objectives</li> </ul>
5.3 understand and analyse how the nature of work contributes to motivation	<ul style="list-style-type: none"> <li>working conditions; job satisfaction; promotion; working relationships (both with colleagues and managers); recognition; variety; levels of responsibility; leadership style</li> </ul>
5.4 understand and evaluate the main features of training and development	<ul style="list-style-type: none"> <li>objectives of training and development (individual vs. organisational); training needs analysis; line managers' responsibilities; induction training; internal training; the use of external trainers; training on and off the job; skills qualifications and certification; government supported initiatives, continuing professional development</li> </ul>




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## DUAL PROGRAMME

### FAMILY MANAGED BUSINESS (FMB)

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#### Semester I

- Business & Indian Business Environment
- Learning from Family Business in India
- Understanding Family Business
- Entrepreneurship in Family Business
- Law in Family Business

#### Semester II

- Leadership in Family Business
- Business Cycle
- Communication in Family Business
- Decision making in Family Business
- Strategies in Family Business

#### Semester III

- Production and Operations in Family Business
- Marketing & Accounting in Family Business
- Finance in Family Business
- H R in Family Business
- Information Technology in Family Business

#### Semester IV

- Negotiations in Family Business
- Sales in Family Business
- International Trade in Family Business
- Handling Conflicts in Family Business
- Succession Planning in Family Business

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**DUAL PROGRAMME** 

DIPLOMA IN ENTREPRENEURSHIP & BUSINESS MANAGEMENT FROM EDI  
(Govt. of India)

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**COURSE CONTENT**

The contents of the course are in the form of self instructional study material divided into 11 units:

**Unit 1: All about Entrepreneurship:**

- What is Entrepreneurship
- Importance & Relevance of Entrepreneurship
- Charms of being an Entrepreneur
- Factors influencing Entrepreneurship.

**Unit 2: Information in Support System:**

- Industrial Terminology
- Planning a small scale Enterprise
- Information on sources of support
- Important Financial Institutions
- Other important Agencies.

**Unit 3: Business Identification:**

- Classification of Business
- Environment Scanning : Need Assessment
- Environment Scanning : Resource Assessment
- Environment Scanning : Sources of Supply Analysis.
- Environment Scanning : Policy/Economy assessment
- Environment Scanning : Sources of Information
- Project Ideas : Part-1
- Project Ideas : Part-2
- Criteria for Selection of Business Opportunity
- Project Feasibility : Part-1
- Project Feasibility : Part-2
- Final Selection of Appropriate Business Opportunity

**Unit 4: Market Assessment:**

- Market Assessment :Need and Relevance
- Market assessment :Tools and Techniques
- Method of Market Survey
- Sources of Market Information
- Preparation of Market Information
- Use of Market Survey report in Selecting the Product

**Unit 5: Entrepreneurial Motivation:**

- Entrepreneurial Motivation : Introduction
- Exploring Self
- Self Assessment : Part I
- Self Assessment : Part II
- Systematic Planning
- Entrepreneurial Competencies
- Goal Setting
- Team Building
- You Too Can Do It : Part I
- You Too Can Do It : Part II
- You Too Can Do It : Part III
- You Too Can Do It : Part IV
- You Too Can Do It : Part V

**Unit 6: Business Plan Preparation and Project Finance**

- Business Plan : Need and Relevance
- Importance and Specification of a project
- Market Feasibility : Part I
- Market Feasibility : Part II
- Market Feasibility : Part III
- Market Feasibility : Part IV
- Technical Feasibility : Part I
- Technical Feasibility : Part II
- Technical Feasibility : Part III
- Technical Feasibility : Part IV
- Financial Viability : Part I

- Financial Viability : Part II
- Financial Viability : Part III
- Financial Viability : Part IV
- Strategic Planning : Part I & II
- Implementation Schedule
- Loan Application & Disbursement Formalities
- Other relevant Procedures & Formalities

**Unit 7: Small Business Management- Part I:**

- Managerial Strategies for Small Business
- General Management in Small Business
- Managing External Environment
- Planning for success in Small Business
- Crises Management in Small Business : Part I
- Crises Management in Small Business : Part II
- Crises Management in Small Business : Part III
- Crises Management in Small Business : Part IV
- Crises Management in Small Business : Part V
- Communication Skills
- Negotiation : Strategies & Tactics
- Problem Solving and Decision Making
- Economic for Small Business : Part I & II

**Unit 8: Small Business Management – part II:**

- Production management in small business
- Quality management in small business
- Time management in small business
- Value orientation in management
- Personnel recruitment in small business
- Personnel management in small business
- Self management in small business

**Unit 9: Small Business Management – part III:**

- Marketing management in small business : Part I
- Marketing management in small business : Part II
- Marketing management in small business : Part III
- Marketing management in small business : Part IV
- Marketing management in small business : Part V
- Marketing management in small business : Part VI
- Financial management in small business : General
- Financial management in small business : Book keeping & Accounts
- Financial management in small business : Balance sheet and Profit & Loss Account
- Costing and pricing in small business
- Assessment of working capital requirement
- Management of working capital

**Unit 10: Statutory Requirements:**

- Labour Related Requirements
- Introduction of commercial laws
- Tax Related Requirements
- Industry Specific Requirement

**Unit 11: Study material on current business aspects:**

- Business Ethics
- Export Environment, Procedure & Documentation
- Venture capital financing
- Franchising
- Total Quality Management
- Intellectual Property rights, patents, copyrights, trademarks & GATT
- Strategic planning
- Information technology and new modes of communication
- Environment and pollution control
- Institutional support and sources of information

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## DUAL PROGRAMME

### EVENT MANAGEMENT

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**First Semester**

- Basic understanding of event management sector
- Basic skills-emceeing and script writing
- Introduction to various creative–newspaper ads/posters/hoardings
- Understanding various issues like cost/location/vendors
- Goal setting and time management

**Second Semester**

- Attend & understanding mega events
- Designing an event-corporate to wedding planning
- Introduction to sponsorship and issues related
- Creative part-2-radio design/TV ads/backdrops/multimedia presentations
- Production and budgeting

**Third Semester**

- Recruitment in an event management company
- Operations & logistics
- Celebrity management
- Money management /target accounts
- Brand development of an event
- Leadership & team management

**Fourth Semester**

- Module on stress management
- The candidate have to organize an event and execute it.
- At the end of the event an evaluation is done with respect to functional areas & cost and revenue.

Note: Internship in an event management company is a must from the first semester onwards till the end of two years.

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