

SARDAR PATEL UNIVERSITY
Programme: Bachelor of Vocation (Banking and Financial Services)
Semester: IV

Course Type	New Course Code	Name Of Paper	T/P	Credit	Exam Duration in hrs	Contact Hrs Per Week	Component of Marks			Evaluation Responsibility
							Internal	External	Total	
							Total/Passing	Total/Passing	Total/Passing	
General Component	UB04FBVB21	Human Resource Management-II	T	3	2	3	30/12	70/28	100/40	University /College
	UB04FBVB22	Insurance Laws & Practice	T	3	2	3	30/12	70/28	100/40	University /College
	UB04FBVB23	Financial Markets-II	T	3	2	3	30/12	70/28	100/40	University /College
	UB04FBVB24	Banking & Financial services-II	T	3	2	3	30/12	70/28	100/40	University /College
Skill Component	UB04CBVB01	Compliance officer	–	8	2	120 hours in semester	30/12	70/28	100/40	University /College
	UB04CBVB02	On the job Training Project Report-IV	–	12	–	180 hours in semester	–	–	–	Covered in Viva voce

Bachelor of Vocation
(Banking and Financial Services)
Semester: II
Course Outcome

Human Resource Management-II

- To understand about performance appraisal and compensation
- How to maintaining and retaining of Human Resources?
- To know about industrial relations and industrial disputes
- Learn about occupational Health and Safety related to employees

Insurance Laws and Practices

- To learn the basic general Principles and Concepts of Insurance
- To know in depth about Life Insurance
- To understand in brief about Fire Insurance
- Learn about documentation and claim procedure related to General Insurance

Financial Markets-II

- How Indian Financial System Works
- To know services of Indian Financial System
- To understand various aspects of Mutual Fund
- How Financial Derivative Works

Banking & Financial services-II

- To learn about Innovative Schemes like SEP,MFA,SFDA,MFAL
- To know about new issue market and its functions.
- How secondary market works? Its functions, methods of trading
- To understand about Non banking financial institutions and its services

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BACHELOR OF VOCATION
BANKING & FINANCIAL SERVICES
SEMESTER – IV

Syllabus with effect from: JUNE 2022

Paper Code: UB04FBVB21	Total Credit: 3
Title of Paper: Human Resource Management- II	

Unit	Description in detail	Weighting (%)
1	<p><u>Managing Performance and Compensation</u> <u>Performance Appraisal:</u> Concept of Performance Appraisal Objectives of Performance Appraisal Importance of Performance Appraisal Techniques of Performance Appraisal- a) MBO b) BARS a) Checklist b) Paired Comparison Limitations of Performance Appraisal</p> <p><u>Compensation:</u> Concept of Compensation Types of Compensation Factors affecting Compensation</p>	25%
2	<p><u>Maintaining and Retaining Human Resources</u> <u>Promotion:</u> Concept & Basis for Promotion Promotion Policy</p> <p><u>Transfer:</u> Concept of Transfer Need & Objectives of Transfer Types of Transfer Transfer Policy</p>	25%
3	<p><u>Integrating Human Resources</u> <u>Industrial Relations:</u> Concept of Industrial Relations Objectives of Industrial Relations Approaches to Industrial Relations Causes of poor Industrial Relations Measures for improving Industrial Relations</p> <p><u>Industrial Disputes:</u> Meaning & Definition of Industrial Disputes Causes of Industrial Disputes Prevention of Industrial Disputes</p>	25%

4	<p><u>Occupational Health and Safety</u></p> <p>Concept of Occupational Health Significance of Occupational hazards and diseases Issues in Employee Health & Safety Employee safety Significance of Industrial Safety</p>	25%
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Basic Text & Reference Books:

1. K. Aswathappa, "Human Resource Management – Text & Cases", Tata McGraw Hill, Companies, New Delhi, 7th Reprint 2008.
2. L. M. Prasad, "Organisational Behaviour", Sultan Chand and Sons, New Delhi, 4th Edition – Reprint 2008.
3. P. Subba Rao, "Personnel and Human Resource Management – Text and Cases", Himalaya Publishing House, Mumbai, 5th Edition 2010.
4. S. S. Khanka, "Human Resource Management- Text and Cases", Sultan Chand and Sons, New Delhi, First Edition – Reprint 2008.
5. S. V. Ganakar and C. B. Mamoria, "Personnel Management: Text and Cases," Himalaya Publishing House, Mumbai, 28th Edition 2008.
6. Vikas Arora & Seema Arora, " Human Resource Management", Global Vision Publishing House, New Delhi, First Edition – 2011.

Note: Latest Edition of Text books may be used.

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SEMESTER – IV
Syllabus with effect from: JUNE 2022

Paper Code: UB04FBVB22	Total Credit:3
Title Of Paper: Insurance Laws and Practices	

Unit	Description in detail	Weighting (%)
I	General Principles and Concepts of Insurance Insurable interest Indemnity Unberrimae fide Nature of Insurance Contract, Features of insurance contract, types of insurance Market players and their roles-Agents , brokers, surveyors & loss Assessors	25%
II	Life Insurance Application of principles in life insurance contract, Representation Assignment and nomination, Tax law implications Stamp duties, role and Function of life insurance companies.	25%
III	Fire Insurance The Standard Fire & Special Perils Policy. Terrorism Cover. Tariff System. Special Policies.	25%
IV	General Insurance Application of principles in General Insurance contacts, structure of the policy Insurance documentation, Underwriting and Rating Claims Procedures, Underinsurance, condition of Average, Salvage.	25%

Basic Text & Reference Books

- Kuchhal, M C and Vivek K kuchhal, *Busniess Law*, Vikas Publishing house, New Delhi
- Maheshwari & Maheshwari, *Buniess Law*, National publishing House, New Delhi
- Gowar, LCB, *Principles of Modern Company Law*, Stevens and sons, London
- Avtar Singh, *Introduction to Company Law*, Eastern Book company

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SEMESTER – IV
Syllabus with effect from: JUNE 2022

Paper Code: UB04FBVB23	Total Credit: 3
Title Of Paper: Financial Markets-II	

Unit	Description in detail	(%)
I	The Financial System in India Functions of the financial system Classification of Financial Assets Financial intermediaries Financial instruments Development of Financial in India	25%
II	Leasing Introduction, Concepts Steps involved in leasing transaction Types of lease Factors Affecting lease decision	25%
III	Mutual Funds Meaning, Concept, scope Types of Mutual funds, Importance of Mutual Funds Organization of Mutual Fund, facilities available to Investors Selection of Mutual Funds Merits & Demerits of Mutual funds Mutual funds in India	25%
IV	Derivatives Meaning and definition Kinds of Financial Derivates, Features of Financial Derivates Forward v/s Futures Contract Importance of Derivates Advantageous of forward, future and option derivatives Indian Scenario	25%

Basic Text & Reference Books

- ❖ Principles and Practice of Bank Management by P. Subba Rao (Himalaya Pub. House)
- ❖ Principles of Management for Bankers by Dr.C, B.Gupta (Sultan Chand & Sons)
- ❖ Bank Management by V.S.P.Rao
- ❖ Financial Markets and Services by Gordan & Natarajan
- ❖ Financial Services by M Y Khan

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Practical's Exposure of Subjects Arrangement s will be taken care by Concerned Subjects Teacher

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BANKING & FINANCIAL SERVICES
SEMESTER – IV
Syllabus with effect from: JUNE 2022

Paper Code: UB04FBVB24	Total Credit:3
Title Of Paper: Banking & Financial service-II	

Unit	Description in detail	Weighting (%)
Unit: 1	Commercial Banks & Economical Development Meaning Role of banks Economic growth and Indian banks Innovative Schemes SEP,MFA,SFDA,MFAL	25%
Unit: 2	New issue market Meaning Stock exchange Difference between new issue market & stock exchange Functions,General guideline Principal steps Anchor investor	25%
Unit: 3	Secondary Market Introduction Functions of market Functions of brokers Methods of trading Online trading,Types of stock markets	25%
Unit: 4	Non banking financial institutions Meaning,Leasing Hire purchase Housing finance Investment company Non banking financial institutions directions, 1998 Non banking financial institutions & RBI	25%

Basic Text & Reference Books:

- 1. Banking Theory, Law & Practice -E.gordon & K. Natrajan :**
- 2. Banking and Financial System-Mithani & Gordon**
- 3. Fundamental of Banking- Dr. R S Swami**
- 4. Banking and Financial System-Vasant Desai**

Note: Latest Edition of Text books may be used.

B.Voc (Banking and Financial services)- Semester IV

Subject: Compliance officer

COURSE OUTCOME

1. Introduction to Audit
 - Concept of Audit.
 - Internal Audit vs. External Audit.
 - Statutory Audit.
 - Duties and Responsibilities of an auditor.
2. Internal Audit
3. Information Technology Audit
 - Checking Technology Dependencies.
 - Access Control Matrix.
 - Approval Matrix.
4. RBI Regulations
5. IRDA Regulations
6. SEBI Regulations
7. Reporting Knowledge
 - Knowledge of periodic reports to be submitted to RBI, SEBI and IRDA

Learning Outcome

1. Internal Audit vs. External Audit
2. Segregation of Duties, Pareto Principle
3. Information Technology Audit
4. Regulations related to RBI, IRDA & SEBI
5. Reporting Knowledge

Specific Outcome

1. Basics of Audit, role of auditor, types of audit
2. Regulations related to authorities like RBI, IRDA & SEBI
3. How to submit the report to RBI, IRDA & SEBI

B.voc (Banking and Financial Services)- semester IV**Subject: Compliance officer****COURSE OUTCOME**

Paper Code : UB04CBVB01	Total Credit : 8
Title of Paper : Compliance officer	

No.	Details	Remarks
1	Introduction to Audit <ul style="list-style-type: none">➤ Concept of Audit.➤ Internal Audit vs. External Audit.➤ Statutory Audit.➤ Responsibilities of an auditor.➤ Duties of an auditor.	
2	Internal Audit <ul style="list-style-type: none">➤ Concept of Internal Audit.➤ Segregation of Duties.➤ Maker – Checker Concept.➤ Importance of Scoping.➤ Concept of Sampling.➤ Pareto Principle.	
3	Information Technology Audit <ul style="list-style-type: none">➤ Checking Technology Dependencies.➤ Access Control Matrix.➤ Approval Matrix.➤ Establishing an audit trail.➤ Documentation and importance.	
4	RBI Regulations <ul style="list-style-type: none">➤ Regulations on Customer acquisition.➤ Regulations on Know Your Customer.➤ Regulations on Wallets, Digital Accounts and Electronic modes of Payment.	
5	IRDA Regulations <ul style="list-style-type: none">➤ IRDA Regulations on Payment of Commissions.➤ IRDA Regulations on Projection of Returns.➤ IRDA Regulations on Customer Acquisition.	
6	SEBI Regulations <ul style="list-style-type: none">➤ SEBI Regulations for Mutual Funds.➤ SEBI Regulations for Brokers.➤ SEBI Regulations for Independent Financial Advisor	
7	Reporting Knowledge <ul style="list-style-type: none">➤ Knowledge of periodic reports to be submitted to➤ RBI➤ SEBI➤ IRDA	

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Bachelor of Vocation (B.VOC)
Banking & Financial Services
Semester: II

Syllabus with effect from: JUNE 2022

Paper Code : UB04CBVB02	Total Credit : 12
Title of Paper : On the Job Training Project Report-II	

Unit	Description in Detail	Weighting (%)
1	<ul style="list-style-type: none">➤ The students have to undergo for internship/ on the job training under any Concerned Organization in the areas of QP/NOS➤ A presentation as well as report has to prepared and presented for the viva-voce and submit it to the concerned faculty.	100%