

CAIIB ABM Syllabus

Advance Bank Management is one of the compulsory papers of the CAIIB 2023. ABM Paper consists of four modules each having a number of units. Candidates should be aware of the detailed topic-wise syllabus for the ABM. We have mentioned below the brief syllabus of the Advance Bank Management for all the aspiring candidates.

Statistics: Module A

Units

Definition of Statistics, Importance & Limitations & Data Collection, Classification & Tabulation

Sampling Techniques

Topics

Importance of Statistics
Functions of Statistics
Limitation or Demerits of Statistics
Definitions; Collection of Data; Classification and Tabulation;
Frequency Distribution

Random Sampling
Sampling Distributions
Sampling from Normal Populations
Sampling from NonNormal Populations Central Limit Theorem
Finite Population Multiplier

Measures of Central Tendency &
Dispersion, Skewness, Kurtosis

Arithmetic Mean
Combined Arithmetic Mean
Geometric Mean
Harmonic Mean
Median and Quartiles
Mode
Introduction to Measures of
Dispersion
Range and Coefficient of
Range;
Quartile Deviation and
Coefficient of Quartile
Deviation
Standard Deviation and
Coefficient of Variation
Skewness and Kurtosis

Correlation and Regression

Scatter Diagrams
Correlation
Regression
Standard Error of Estimate

Time Series

Variations in Time Series
Trend Analysis
Cyclical Variation
Seasonal Variation
Irregular Variation
Forecasting Techniques

Theory of Probability

Mathematical Definition of Probability
Conditional Probability
Random Variable
Probability Distribution of Random Variable
Expectation and Standard Deviation
Binomial Distribution
Poisson Distribution
Normal Distribution
Credit Risk
Value at Risk
Option Valuation

Estimation

Estimates
Estimator and Estimates
Point Estimates
Interval Estimates
Interval Estimates and Confidence Intervals
Interval Estimates of the Mean from Large Samples
Interval Estimates of the Proportion from Large Samples

Linear Programming

Graphic Approach
Simplex Method

Simulation

Simulation Exercise
Simulation Methodology

Human Resource Management in Bank: Module B

Units

Topics

Fundamentals of Human Resource Management	<ul style="list-style-type: none"> The Perspective Relationship between HRM & HRD and their Structure and Functions Role of HR Professionals Strategic HRM Development of HR Functions in India
Development of Human Resources	<ul style="list-style-type: none"> HRD and its Subsystems Learning and Development – Role and Impact of Learning Attitude Development Career Path Planning Self-Development Talent Management Succession Planning
Human Implications of Organisations	<ul style="list-style-type: none"> Human Behaviour and Individual Differences Employees Behaviour at Work Diversity at Workplace and Gender Issues Theories of Motivation and their Practical Implication 'Role' : Its Concept & Analysis
Employees' Feedback and Reward System	<ul style="list-style-type: none"> Employees' Feedback Reward and Compensation System
Performance Management	<ul style="list-style-type: none"> Appraisal Systems Performance Review and Feedback Counselling Competency Mapping and Assessment of Competencies Assessment Centres Behavioural Event Interview (BEI)
Conflict Management and Negotiation	<ul style="list-style-type: none"> Conflict: Concept & Definition Characteristics of Conflict; Types of Conflicts Reasons for Conflict Different Phases of Conflict Conflict Resolution Conflict Management Negotiation Skills for Resolution of Conflicts

HRM and Information
Technology

Role of Information Technology in HRM
HR Information and Database Management
Human Resource Information System
(HRIS)
Human Resource Management System
(HRMS)
e–HRM
HR Research
Knowledge Management
Technology in Training
HR Analytics

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Credit Management- Module C

Units

Overview of Credit Management

Topics

Importance of Credit
Historical Background of Credit in
India
Principles of Credit
Types of Borrowers
Types of Credit
Components of Credit
Management
Role of RBI Guidelines in Bank's
Credit Management

Analysis of Financial Statements

Which are the Financial Statements
Users of Financial Statements
Basic Concepts Used in Preparation of Financial Statements
Accounting Standards (AS)
Legal Position Regarding Financial Statements
Balance Sheet
Profit and Loss Account
Cash Flow Statement
Funds Flow Statement
Projected Financial Statements
Purpose of Analysis of Financial Statements by Bankers
Rearranging the Financial Statements for Analysis
Techniques used in Analysis of Financial Statements
Creative Accounting
Related Party Transactions

Working Capital Finance

Concept of Working Capital
Working Capital Cycle
Importance of Liquidity Ratios
Methods of Assessment of Bank Finance
Working Capital Finance to Information Technology and Software Industry
Bills/Receivables Finance by the Banks
Guidelines of RBI for Discounting/Rediscounting of Bills by Banks
Trade Receivables Discounting System (TReDS)
Non-Fund Based Working Capital Limits

Other Issues Related to Working
Capital Finance

Term Loans

Important Points about Term Loans
Deferred Payment Guarantees
(DPGs)
Difference between Term Loan
Appraisal and Project Appraisal
Project Appraisal
Appraisal and Financing of
Infrastructure Projects

Credit Delivery and Straight
Through Processing

Documentation
Third-Party Guarantees
Charge over Securities
Possession of Security
Disbursal of Loans
Lending under Consortium/Multiple
Banking Arrangements
Syndication of Loans
StraightThrough Loan Processing
or Credit Underwriting Engines

Credit Control and Monitoring

Importance and Purpose
Available Tools for Credit
Monitoring/Loan Review
Mechanism (LRM)

Risk Management and Credit
Rating

Meaning of Credit Risk
Factors Affecting Credit Risk
Steps taken to Mitigate Credit
Risks
Credit Ratings
Internal and External Ratings
Methodology of Credit Rating
Use of Credit Derivatives for Risk
Management
RBI guidelines on Credit Risk
Management
Credit Information System

Restructuring/Rehabilitation and Recovery	Credit Default/Stressed Assets/NPAs Wilful Defaulters Non-cooperative borrowers Options Available to Banks for Stressed Assets RBI Guidelines on Restructuring of Advances by Banks Available Frameworks for Restructuring of Assets Sale of Financial Assets
Resolution of Stressed Assets under Insolvency and Bankruptcy Code 2016	Definition of Insolvency and Bankruptcy To Whom the Code is Applicable; Legal Elements of the Code Paradigm Shift Corporate Insolvency Resolution Process Liquidation process Pre-packed Insolvency Resolution Process for stressed MSMEs

Compliance in Banks and Corporate Governance - Module D

Units	Topics
Compliance Function in Banks	Compliance Policy Compliance Principles Process and Procedures Compliance Programme Scope of Compliance Function Role & Responsibilities of Chief Compliance Officer (CCO)
Compliance Audit	Role of Risk Based Internal Audit and Inspection Reporting Framework and Monitoring Compliance Disclosure Requirements; Accounting Standards

	Disclosures under Listing Regulations of SEBI
Compliance Governance Structure	<ul style="list-style-type: none"> Organisational Structure Responsibility of the Board and Senior Management Compliance Structure at the Corporate Office Functional Departments Compliance Structure at Field Levels Internal Controls and its Importance
Framework for Identification of Compliance Issues and Compliance Risks	<ul style="list-style-type: none"> Compliance Issues Compliance Risk Inherent Risk and Control Risk Independent Testing and Effective Audit Programme Reporting Framework and Monitoring Compliance Role of Inspection and Audit Loan Review Mechanism/Credit Audit What is Good Compliance
Compliance Culture and GRC Framework	<ul style="list-style-type: none"> How to Create Compliance Culture Across the Organisation Governance Risk and Compliance – GRC Framework; Benefits of an Integrated GRC Approach Whistle-blower Policy The Components of a Whistle-blower Policy Reasons for Compliance Failures
Compliance Function and Role of Chief Compliance Officer in NBFCs	<ul style="list-style-type: none"> Framework for Scale Based Regulation for Non-Banking Financial Companies Transition Path Framework for Compliance Function and Role of Chief Compliance Officer in Non-Banking Financial Companies in Upper Layer and Middle Layer (NBFC-UL & NBFC-ML)

Fraud and Vigilance in
Banks

Definition of Fraud
Definition of Forgery
Areas in which Frauds are committed in Banks
Banking and Cyber Frauds
Fraud Reporting and Monitoring System
Vigilance Function in Banks
RBI Guidelines for Private Sector and Foreign