

**COVER NOTE**  
**(गोपनीय/ Confidential)**  
**आंतरिक**  **लेखा परीक्षा रिपोर्ट**  
**INTERNAL AUDIT REPORT OF REGIONAL OFFICE Mumbai Reg (Name of the Auditee unit Region)**

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| --- | --- |
| **लेखा** **परीक्षा** **की** **तिथि/ Date of Audit** |  |
| **लेखा** **अवधि/Period of Audit** | - |
| **कार्यालय/ Office** | Mumbai Reg1 |
| **सोल आइ डी/SOL ID** | 2021 |
| **क्षेत्र/** **Region** | Mumbai Reg |
| **अंचल/ Zone** | MUMBAI |
| **आंचलिक**  **आंतरिक**  **लेखा**  **परीक्षा** **प्रभाग/**  **Zonal Internal Audit Division** | MUMBAI |
| **आंतरिक**  **लेखा**  **परीक्षक**  **का**  **नाम/**  **Name of the Internal Auditor** | AM Baroda |

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|  |
| **Name of the Auditee Unit** | Mumbai Reg | **Date of opening** | 07-FEB-73 |
| **Address** | "Mittal Avenue 7/9 | **Lead/ Non Lead** |  |
| **Phone Number** | 022-22662985,61646601-19 | **Distance from the nearest branch** |  |
| **Email ID** | balbom@bankofbaroda.com | **Business Hours** |  |

**Details of Audit:**

|  |  |  |  |
| --- | --- | --- | --- |
| **A) Details of Audit and Risk perception:** | | | |
|  | **For Previous to Previous Audit** | **For Previous Audit** | **For Present Audit** |
| Date of commencement of Audit |  |  |  |
| Date of completion of Audit |  |  |  |
| Name of Auditor | AM\_ MUMBAI |  | AM Baroda |
| Assisted by | - | - | - |
| Review Period | - | - | - |
| No. of Mandays |  |  |  |
| Normalized Marks (out of 500) |  |  | **278** |
| Percentage obtained (%) |  |  | 91 |
| Risk Perception |  |  | Low |
| Name of Head of the Auditee unit |  |  |  |
| Designation of the Head |  |  |  |
| Date of Special Letter if any |  |  |  |
| Date of RC |  |  |  |

**Name of Regional Head and Deputy Regional Head (During Review Period**):

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sr. No. | Name | Designation | Period | |
| From | To |

**C E R T I F I C A T E**

I report having carried out audit of Mumbai Reg1 Office. The audit commenced on 28-MAR-23 and was completed on

I certify that the working of the Zone has been thoroughly checked by me in accordance with the procedures laid down in the Inspection Manual, instructions given by the Central Inspection Division from time to time and general instructions conveyed vide Book of instructions, Circulars, etc. Observations on the basis of check list on special observations in respect of major irregularities as also Audit programme sheets submitted to the Zonal Internal Audit Division, Mumbai Reg ( for eg if it is Baroda zone we have to bring only Baroda not zone)In this connection will hold good and are appropriately detailed in the Audit Report. The Audit report is divided into three parts as under:

|  |  |
| --- | --- |
| PART (A) | : Executive Summary of the report. |
| PART (B) | : RBIA Report and Risk rating |
| PART (C) | : Statistical data. |

I confirm having discussed the irregularities noticed during the course of Audit and the discussion pertaining to major irregularities has been formalized by addressing a note / letter to the Zone with copies to all concerned, for necessary action.

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|  |  |
| Place: MUMBAI | AM Baroda |
|  |  |
| Date: | Sr. Manger / Chief Manager, (IA) |

**Region wise Number of Branches as on date of Audit**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Sr No** | **Name of the Region** | **Metro** | **Urban** | **Semi Urban** | **Rural** | **TOTAL** |
| 4 | MUMBAI REG | 45 | 0 | 0 | 0 | 45 |
|  | **Total** | **45** | **0** | **0** | **0** | **45** |
|  | | | | | | |

**Important Information as on date of Audit**

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| **#** | **Particulars** | **Number of Unit** |

**Organizational Chart**

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| --- | --- | --- |
| **Department** | **Name** | **Designation** |

**STAFF POSITION OF THE REGION**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Category**  **Grade / Scale** | **Branches** | | **At ZO-RO** | | **Others** | | **Total** | |
|  |  |  |  |  |  |  |  |

**SWOT ANALYSIS**



**PERFORMANCE HIGHLIGHTS OF THE REGION FOR FY -**

Deposit

Credit

Profitability

Non-Performing Assets (NPA)

Highlights of Zone in other Parameters

Campaigns and Business Initiatives of the Zone

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| --- | --- |
|  |  |
| Place: MUMBAI | AM Baroda |
|  |  |
| Date: | Chief/Sr. Manager (IA) |