**Internal Audit Report on**

**OFFICE ADMINISTRATION, HEAD OFFICE, BARODA**

|  |  |
| --- | --- |
| **Head of the Department** | bob\_head\_dept |
| **Reporting Head** | bob repot head |
| **Address** | dadar |

**A) Staff Strength**

|  |  |  |  |
| --- | --- | --- | --- |
| **Designation** | **Previous to previous Audit** | **previous Audit** | **Present Audit** |
| General Manager | pppp2 | wddww3 | ho\_test\_2 |
| Deputy Gen. Manager | pppp3 | dwdw2 | ho\_test\_3 |
| Asstt. Gen. Manager | ppp4 | JKLLKJ | ho\_test\_4 |
| Chief Manager | pp5 | JLL | ho\_test\_5 |
| Senior Manager | pp6 | KL | ho\_test\_6 |
| Manager | pp7 | HKJ | ho\_test\_7 |
| Officers | pp8 | K | ho\_test\_8 |
| Clerks | pp9 | H | ho\_test\_9 |
| Sub-staff | pp10 | e3344 | ho\_test\_10 |
| **TOTAL** |  |  |  |

**B) Detail of Audit:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Particulars** | **Previous to Previous Audit** | **Previous Audit** | **Present Audit** |
| Name of Internal Auditor | Auditor\_ MUMBAI | Auditor\_ MUMBAI | Auditor\_ MUMBAI |
| Assisted By | AM AHMEDABAD | AM Betul1 | AM Ashta1 |
| Date of commencement of audit | 01-FEB-23 | 03-FEB-23 | 13-APR-23 |
| Date of Completion of audit | 06-FEB-23 | 06-MAR-23 | 17-APR-23 |
| Man days Taken | 44 | 22 | 111 |
| Due Date of RC |  |  |  |
| Date of submission of RC |  |  |  |

**C) Risk Perception:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Particulars** | **Previous to Previous Audit** | **Previous Audit** | **Present Audit** |
| RCM – Risk Control Matrix (Score) |  | 442.85 | 408.33 |
| Percentage Score |  | 88.57 | 81.67 |
| Risk Perception |  | Low | Low |

**1. FUNCTIONS OF OA DEPARTMENT:** ABC\_1 @
  
  
 **A) List of Banks owned premises:** ABC\_1 @
  
  
 **B) AMC for banks assets:**ABC\_1 @
  
  
 **C) E-TDS in Form 26Q has been submitted up to the quarter ended. Quarter 4**

|  |  |
| --- | --- |
| **FY** | **Date of filling** |
| Quarter 1 | fmg |
| Quarter 2 | fmklfg |
| Quarter 3 | rmgmr |
| Quarter 4 | remklgmlkr |

**D) Dead Stock Items:**

(Amt. Rs. In Lakhs)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Parameter** | **2020-2021** | | **2021-2022** | | **2022-2023** | |
|  | **Block of FF** | **Depreciation** | **Block of FF** | **Depreciation** | **Block of FF** | **Depreciation** |
| Furniture and Fitting | 4 |  |  |  | 3 | 3 |
| Group A | 4 |  |  |  | 3 | 3 |
| Group B | 4 |  |  |  | 3 | 3 |
| Group C | 4 |  |  |  | 3 | 3 |
| Group D |  |  |  |  | 3 | 3 |
| Group E |  |  |  |  | 3 | 3 |
| **TOTAL** |  |  |  |  | 3 | 3 |
| Computers | 4 |  |  |  | 3 | 3 |
| **TOTAL** | 4 |  |  |  | 3 | 3 |

**E. Destruction of old records and disposal of obsolete items:** fref44444
  
  
 **F. Help Desk (IT) for the departments of Head Office:** bob help desk
  
  
 **G. Budget of IT Dept:** efefe55555
  
  
**H. Reconciliation:**
  
  
 **i. OD account detail with the base branch:** drfr0000
  
  
 **ii. Suspense General A/c:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Sr.**  **No.** | **Date** | **Particulars** | **Amount**  **(Rs)** |
| 1 | rgrege | ffrg | 434 |
| 2 | erer | eerer |  |

**iii. Sundry Creditors account:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Sr.**  **No.** | **Date** | **Particulars** | **Amount**  **(Rs)** |
| 1 | rgrege | ffrg | 434 |
| 2 | erer | eerer |  |

**iv. Suspense a/c Refundable Deposits:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Sr.**  **No.** | **Date** | **Particulars** | **Amount**  **(Rs)** |
| 1 | fdgfgfgfd | 464fdgdfh | 45 |

**v. Other o/s of GL (detail)**

**I) Detail of Various AMCs:** testing\_6

**J) RC position of concurrent auditor’s report:**

**(2) DISPATCH and SALARY DEPARTMENT:**

**a. Function: ABC\_1 @**  
  
 **b. Interest free Deposit to landlords:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **sr no** | **Date of Entry** | **Name of Officer** | **EC No of the employee attached to HO** | **Amount (RS) of Advance to landlord** |
| 1 | rgreg | fdgrg | rgre | greg |

**(3) BUSINESS CONTINUITY PLANNING**

**Functions: ABC\_1 @**   
  
**(4) HRM**

a) STAFF POSITION OF H.O   
b) POSITION OF PENDING JOB ROTATION:   
c) MAINTENANCE OF ATTENDANCE REGISTER   
d) MAINTENANCE OF LEAVE   
e) PAYMENT OF OVERTIME TO DRIVERS OF EXECUTIVES   
f) MOVEMENT REGISTER   
g) GEMS AND PASAS   
h) ASSETS and LIABILITIES STATEMENT:   
i) RECORD OF FURNITURE PROVIDED TO OFFICERS:

**K) Observation/Suggestion of IA**

|  |  |  |  |
| --- | --- | --- | --- |
| **Sr. No.** | **Particulars** | **Responses** | **Remarks** |

**L) Additional Issues**

**K) Additional Observations:**

|  |  |  |
| --- | --- | --- |
| **Sr No.** | **Issue Title** | **Issue Description** |
| 1 | Head Office - COBOM - Compliance - Q1 - 2023 - 2024 - | ISSUE\_AK\_1 |
| 2 | Head Office - COBOM - Compliance - Q1 - 2023 - 2024 - | ISSUE\_AK\_2 |
| 3 | Head Office - COBOM - Compliance - Q1 - 2023 - 2024 - | ISSUE\_AK\_3 |
| 4 | Head Office - COBOM - Compliance - Q1 - 2023 - 2024 - | ISSUE\_AK\_4 |

**G) Executive Summary of Marks:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sr. No.** | **Process** | **Maximum Marks** | **Applicable Marks** | **Marks Obtained** | **Percentage Obtained** |
| 1 | Compliance Policy | 10 | 10 | 10 | 100 |
| 2 | Compliance Testing | 28 | 15 | 15 | 100 |
| 3 | Compliance Monitoring | 68 | 68 | 53 | 77.94 |
| 4 | Compliance Reporting | 37 | 27 | 20 | 74.07 |
|  | **Total** | **143** | **120** | **98** | **81.66** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Normalized Marks(out of 500) | | 408.33 | | | |
| Risk Categorization | | Low | | | |
| Score Range | Above 350 | Above 250 and Below 350 | Less than 250 |
| Risk Rating | LOW | MEDIUM | HIGH |