

TITLE SHEET
(TO BE SUBMITTED ALONG WITH DRAFT INSPECTION REPORT)

SI NO	PART - A Summary of Audit Results	
1	Name of the organization audited	
2.	Name of party personnel	
	(i) Sr. Audit Officer	
	(ii) Asst. Audit Officer	
	(iii) Senior Audit/Auditor	
3	Last audited with period of audited	
4	Dates of commencement and completion of audit (extension of time, if any, granted may be separately indicated.)	
5	Whether Entry Conference was held with the Audited Entity? If yes, enclose Minutes/Record of discussion. If no, provide reasons	
6	Number of potential paras (drawing reference to Para nos included in Part-IIA of the Inspection Report	
7	Number of paras (drawing reference to Para nos) relating to fraud or misappropriation, presumptive fraud and leakage of revenue etc	
8	Paras relating to persistent irregularities etc that needs to be brought to the notice of HOD through Management Letter.	
9	Briefly mention the challenges faced during audit (non-production of records, manpower of resource constraints, scope limitation etc) and how they were addressed during the course of audit.	
10	Suggestions for overcoming such challenges in future audits	
11	Whether Exit Conference was held and draft Inspection Report discussed with the Head/Nodal Officer of the Audited Entity. If no reasons may be indicated.	
12	Date of submission of Draft Inspection Report and all working papers to Hqrs. (may be submitted within a period of 7 working days from the date of conclusion of audit)	
13	Reasons for delay in submission of draft IR etc. to Hqrs with reference to the allotted time period, if any	
14	General remarks, if any	
	Part B (Details of Audit Process followed)	
1	Whether the allocation of duties amongst each member of the Audit Team (SAO/AO/AAO/Sr. Auditor/Auditor) was prepared in line with the planned broad assignment plan and acknowledge by the respective party members? If no reasons and justification may be provided.	

2	Sampling methodology adopted (Use as many rows as needed)					
	SI N O	Section/Wing being audited	Nature of document	No selected for review		
		Purchase/Works/ Establishment etc	Files/Vouchers etc	(indicate actual number selected)		
3	Whether focus areas identified and procedures applied were as planned (with reference to the plan as approved by Group Officer before commencing the audit)? If no, reasons and justification may be provided.					
4	Whether all issues marked for examination by Group Officer on supervision/Hqrs section have been addressed?					
5	Whether all works assigned as per allocation of duties were completed? If no, provide whether the reasons and justification are provided.					
6	Briefly indicate the potential focus areas for next audit.					
7	Whether daily diaries indicating the documents/records checked by team members of the Audit Team have been prepared, signed and enclosed?					
8	Whether a certificate of obtaining sufficient and appropriate evidence (key documents) for the audit observations included in the Draft Inspection Report has been provided?					
9	Whether the key documents have been referenced in the Para and the source of evidence has been provided as footnotes?					
10	Please indicate the position of outstanding paras of previous Inspection Report as under					
	Period of Inspection Report	No of paras outstanding (opening)	No. of paras outstanding (closing)			
	1	2	3			
11	Whether a certificate that the audit was conducted in accordance with the CAG's Auditing Standards 2017 has been provided?					
12	Whether a certificate that the audit party has complied with the Audit Quality Framework and Code of Ethics has been provided?					

Date:

Sr. Audit officer