**QUESTIONNAIRE**

**ICSI BEST PCS FIRM AWARD, 2022**

The ICSI Best Practicing Company Secretaries (PCS) Firm Award is bestowed on the Practicing Company Secretaries Firms following best of the practices and attained reputation with value they created in promoting good Corporate Governance. The Award is based on the decision of the Jury relying up on the information provided by the PCS Firm in response to the questionnaires, the information available in public domain and as gathered from various accessible sources and analysis made by the ICSI of the information so gathered. The authenticity and veracity of the information provided by the PCS Firm and as available at the website, if any and other documents of the PCS Firm are taken in good faith by the ICSI.

It is assured that the data provided by the PCS Firm shall be used only for ascertaining and evaluating Best Practices of the PCS Firm for ICSI Best PCS Firm Award, 2022. The data furnished and the identity of the respondent will be kept confidential. The decision of ICSI, based on the recommendations of the Jury, will be final and binding on all participating PCS Firms.

Eligibility: A Proprietor/Partnership Firm/LLP registered and having a Unique Code Number issued by the Institute of Company Secretaries of India is eligible to participate.

*Instructions:*

1. Please fill in the Questionnaire on the basis of the facts of the PCS Firm.
2. All Questions in Part II will be evaluated. Please answer all questions. In case any question is not applicable to the PCS Firm, please tick ‘not applicable’ or write the same. In case of wrong or misleading response, negative weightage will be given.
3. Along with the Questionnaire, please furnish the relevant documents, if asked for. Not enclosing the documents will lead to deduction of marks.
4. The information provided in the questionnaire should relate to financial year 2021-22 or period of one year ending in that year, unless otherwise asked for
5. The covering letter/e-mail to the duly filled in Questionnaire should contain a statement to the effect that the responses to the Questions in the Questionnaire and the information given in supporting documents are true to the best of knowledge, information and belief. The Firm shall abide by the decision of the Jury in all respect.
6. Canvassing of any kind shall lead to disqualification.
7. In case of any query in filling the Questionnaire, please email your query to the ICSI at pcsfirmaward@icsi.edu.
8. The soft copy of the application along with all relevant documents shall be submitted at pcsfirmaward@icsi.edu and carry a subject line “Participation to the ICSI Best PCS Firm Award, 2022”.

**PART I GENERAL INFORMATION**

1. Name of the PCS Firm ………………………………………………………
2. Firm Unique Code Number (issued by the Institute)...................................................................
3. Status: (Please Tick) Sole Proprietorship / Partnership / LLP

4. Date of establishment of the Firm / LLP Registration (dd/mm/yyyy)................................

1. Address of the firm:

 Professional address ………………………………………………………………...

…………………… City ……………. State ……………… PIN ………...

1. Details of PCS Firm
2. Telephone Number with STD code …………………………………………….
3. Name of the Partners along with Mobile Number(s) ………………………………………………………………
4. Email ID ………………………………………………………………………...
5. Website Address ………………………………………………………………...
6. Number of partners including self ………………………………

7. Particulars of the proprietor/ partners of the PCS firm / LLP as on last day of the financial year under review, to provide their information:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name(s) | Membership Number | COP Number  | Years of Practice/ Association with the firm (in years) | Total Experience (in years) |
|  |  |  |  |  |
|  |  |  |  |  |

8. Particulars of Company Secretaries employed in the PCS Firm:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name(s) | Membership Number | eCSin No.  | Association with the firm (in years) and responsible for what task | Experience (in years) |
|  |  |  |  |  |
|  |  |  |  |  |

9. Furnish details of change in constitution (partners), if any, during the year(s) under review:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name(s) | Membership Number | COP Number | Date of joining the firm | Date of leaving the firm |
|  |  |  |  |  |
|  |  |  |  |  |

10. Number of other staff employed

* Other Professionals (specify qualifications) …………………………
* Trainees ……………………..
* Other than above …………….

***PART II***

1. **AREA OF SERVICES & CAPACITY OF THE PCS FIRM AND ITS PROPRIETOR/PARTNERS:**
	1. Does the Firm has any branch offices as at the end of financial year? If yes, please provide details (Please also provide the proof of intimation sent to ICSI about the Branch office)

 None

 between 1- 2

 between 2-7

 more than 7

If yes, please give the details:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sr. No. | Member In charge | M. No. | Location | Address | Whether the Branch is registered with the ICSI?  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

1.2 Provide the particulars of the services rendered by Firm during previous 2 financial years:

|  |  |  |
| --- | --- | --- |
| **Sl. No.** | **Nature of Services** | **Financial years** |
| **2021-2022** | **2020-2021** |
| 1 | Number of Annual Returns Certified / Signed |  |  |
| 2 | No. of Certificates Issued under Regulation 40 (9) of SEBI (LODR) Regulations, 2015 |  |  |
| 3 | No. of Annual Secretarial Compliance Reports issued |  |  |
| 4 | No. of Internal Audits under Section 138 of the Companies Act, 2013 |  |  |
| 5 | No. of Audit Reports under Clause 76 of SEBI (Depositories & Participant Regulations) 2018 issued |  |  |
| 6 | No. of Certificate issued under Regulation 56 of LODR Regulation 34(3) read with Schedule V, Para C, Clause (b) (i) |  |  |
| 7 | No. of Compliance Certificates issued under Clause E, Schedule V of SEBI (LODR) Regulations, 2015 |  |  |
| 8 | Internal Audit of Registrar and Share Transfer Agent (RTA) under SEBI Circular No. SEBI/HO/MIRSD/CIR/P/2018/73 |  |  |
| 9 | Certification of Compliance to Registrars to an Issue and Share Transfer Agents (RTA) under SEBI Circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/65.  |  |  |
| 10 | Internal Audit of Credit Rating Agencies under SEBI Circular No. SEBI/MIRSD/CRA/Cir-01/2010 |  |  |
| 11 | Issuance of Internal Audit Certificate for operations of the Depository Participants |  |  |
| 12 | Number of half yearly bank due diligence certificates issued |  |  |
| 13 | Due Diligence and Certification under the Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2021 |  |  |
| 14 | Certification under the Securities and Exchange Board of India (Share Based Employee Benefits and Sweat Equity) Regulation, 2021  |  |  |
| 15 | No. of Compliance Certificates Issued under SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018, Regulation 163 (2) |  |  |
| 16 | Certification of form CSR-1 under the Rule 4 of The Companies (Corporate Social Responsibility Policy) Rules, 2014 under the Companies Act, 2013  |  |  |
| 17 | Certification under International Financial Services Centres Authority (Registration of Insurance Business) Regulations, 2021 |  |  |
| 18 | Certification of net worth of IFSC insurance intermediary office (IIIO) on half yearly basis under the International Financial Services Centres Authority (Insurance Intermediary) Regulations, 2021 [Regulation 13 (6)]  |  |  |
| 19 | No. of Annual Audit conducted of the registered capital market intermediary in respect of compliance with IFSCA (Capital Market Intermediaries) Regulations, 2021  |  |  |
| 20 | No. of Certification of the average annual turnover and net worth of the entity which is required to fulfil the conditions as mentioned in the said circular to act as “Qualified Jeweller under International Financial Services Centres Authority (IFSCA) [Circular 329/IFSCA/DPM/TS/QJ/2021-22/1]  |  |  |
| 21 | No. of Certification of the paid-up capital and net-worth requirements of the Insurance Web Aggregator under the International Financial Services Centres Authority (Insurance Web Aggregator) Regulations, 2022 [Regulation 8(5)]  |  |  |
| 22 | Certification under Consumer Protection (Direct Selling) Rules, 2021 [Rule 5 (1) (g)]  |  |  |
| 23 | Certifications under FEMA Regulations |  |  |
| 24 | Others |  |  |

1.3 Provide the details of Major Areas of Practice

|  |  |
| --- | --- |
| 1. Advisory Services
 |  |
| 1. Audit Services
 |  |
| 1. Attestation Services
 |  |
| 1. Representation services
 |  |
| 1. Other value added services
 |  |

1.4 Are there any induction procedures established for new employees/ trainees like:

1. Orientation about the profession

  Yes  No

1. Familiarization of office procedures including:
	* + Distribution of reference material

  Yes  No

* + - Briefing about ICSI guidelines relating to PCS

  Yes  No

* + - Significance of Continuing Professional Education

  Yes  No

* + - Allocation of work profile

  Yes  No

 (Please provide policy, if any)

1.5 Provide the details of implementation of best practices & innovative methodology with the impact such practices have created in the firm.

(150-300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1.6 Provide the details of systems in place in the firm to ensure effectiveness of adherence to timelines vis-a –vis commitment.

(150-300 words)

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1.7 (a) Whether the firm is auditing any Nifty 500 companies?

  Yes  No

 (Please provide copy of the audit report)

 (b) How many Secretarial Audits have been conducted by the Firm last year? Provide the partner-wise details on number of Secretarial Audits conducted by the firm last year?

|  |  |
| --- | --- |
|  Name of the Partner | Number of Secretarial Audits |
|  |  |
|  |  |

1.8 Does the Firm engage with other PCS/ PCS Firm on revenue sharing basis or any other mode, please specify?

 Yes  No

1.9 Whether ICSI guidelines are being followed by the members with respect to:

1. Engaging apprentices

 Yes  No

1. Reporting to ICSI about the change in constitution and address as per the ICSI Guidelines

 Yes  No

1. Compliance of Limits prescribed for Signing and Certification of Documents

 Yes  No

1. Advertisement guidelines

 Yes  No

1.10 Whether ICSI guidelines are being followed by the Firm related to UDIN with respect to -

(a) Registration of all partners on UDIN portal

  Yes  No

(b) Whether UDIN is being generated for issuance of any report or certificate, where generation of UDIN is voluntary

  Yes  No

1.11 Provide the details of roles held by partner(s)[[1]](#footnote-1) / members employed in the firm as Non-Executive Directors /Chairpersons of companies/arbitrators/other positions of eminence:

 Part A – Non Executive Director/ Chairpersons of companies

|  |  |  |
| --- | --- | --- |
| Sl. No. | Name of the partner(s) / member | Name of the Companies  |
|  |  |  |
|  |  |  |
|  |  |  |

 Part B – Arbitrators/ other positions of eminence

|  |  |  |  |
| --- | --- | --- | --- |
| Sl. No. |  | Name of the partner(s) / member | Details  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1.12 Provide the details of articles/papers published in the leading journals/magazines / newspapers by any partner/proprietor/ cs in employment.

(150-300 words)

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1. **INFRASTRUCTURAL CAPACITY OF THE PCS FIRM**
	1. Whether the Firm has its own website?

  Yes  No

2.2 Whether the Firm is having its own email domain?

  Yes  No

* 1. Brief description about the data storage facility and Data Privacy system in the Firm

(150-300 words)

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2.4 Whether the Firm has provided workstations and computer/ laptop to all eligible employees/manpower in the Firm?

  Yes  No

2.5 Does the Firm maintain a repository / library / e-library containing case studies, Journals, magazines, books of interest for reference?

  Yes  No

2.6 Does the Firm maintain records in a manner that they are easily retrievable, as and when required?

  Yes  No

2.7Briefly explain the employees oriented facilities provided by the PCS Firm such as Health-care facility/arrangement with a hospital/ arrangement of doctor visit/ health insurance coverage/ Child care facility/ Refreshments etc.?

 (150-300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.8 What is the percentage of -

|  |  |  |  |
| --- | --- | --- | --- |
| Particulars  | Less than 10% | 10% to 25% | More than 25% |
| Women employees |  |  |  |
| Disabled |  |  |  |
| LGBTQIA |  |  |  |
| Persons with special needs as partners/ employees in the firm |  |  |  |
| Total |  |  |  |

2.9What initiatives were undertaken by the firm to ensure smooth functioning during COVID-19 pandemic?

(150-300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.10Is there any mechanism adopted by the Firm for prevention of Sexual Harassment at workplace, wherever applicable?

  Yes  No  NA

(If yes, please provide a copy of the policy)

2.11 Does the Firm have any policy or process for rewarding the employees for their innovative skills or functional excellence?

 Yes No

(Please attach the policy. If no policy attached then, no marks)

2.12 Does the Firm identify Training and Developmental needs of employees? How are the identified needs addressed by the firm? Elaborate the details of courses/programs/ workshops held during the year.

(150-300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.13 Does the Firm have any grievance redressal mechanism in place for employees? Give details.

(150-300 words)

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2.14 Whether there is any internal mandate on the members/employees of Firm to comply with the Guidelines for Attending Professional Development Programs of ICSI and to attend:

1. ICSI National Convention

 Yes  No

1. National PCS Conference

 Yes  No

1. Other events [Please provide the details of delegates]

2.15 In how many seminar/ conferences/programs wherein partner/employees of Firm was a resource person? Does the Firm sponsor the Company Secretaries appointed by it for various Professional Development Programs organized by ICSI/ other professional bodies (Provide the details)

(150-300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2.16 Whether all the members employed/ partners are registered with CSBF? Please provide details.

(150-300 words)

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2.17 (i) Has the Firm conducted any Employee Satisfaction Survey?

  Yes  No

 (If yes, please enclose questionnaire and summary results – No attachment, no marks)

(ii) If yes, whether the suggestions received in such survey were considered?

  Yes  No

2.18 How many students of ICSI are engaged as trainees every year?

 5 or more  Less than 5

2.19 How many company secretaries are employed in the Firm apart from Partners? Please provide details with membership number and eCSIN Number?

(150 -300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **PROFESSIONAL CONDUCT**
	1. Whether the Firm has partners/employees with variety of skill sets/expertise like:
	2. Insolvency Professionals

Yes No

* 1. Registered valuers

Yes No

* 1. Trademarks Agents

Yes No

* 1. Any other, please specify

Yes No

* 1. Is there any criteria of formal annual evaluation of individual partners? Please provide the criteria of evaluation.

(150-300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

* 1. Has the firm adopted an Anti-Bribery Policy

Yes No

3.4 (a) Whether the Firm has maintained structured digital database under Regulation 3(5) of SEBI (PIT) Regulations, 2015 in case of access to UPSI of any listed Entity?

  Yes                                   No                                NA

 (b) Does the Firm has the Code of Conduct under SEBI (PIT) Regulations

  Yes  No NA

 (Provide a copy of the same)

3.5 What is the process of team briefing before starting any assignment? Please provide the details of the process.

(150-300 words)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

3.6 Please provide the details to ensure that maker-checker concept is followed while performing the assignments?

(150-300 words)

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3.7 How has your association with the client company helped in improving the corporate governance practices in that company?

(150-300 words)

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3.8 Has the Firm received any awards/ testimonials from the client companies? Provide details/copies.

(150-300 words)

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3.9 Whether the Firm has any material pecuniary interest (apart from fees) with the Client(s) for whom Attestation, Certification or Audit Services have been rendered?

 Yes  No

3.10 Is there a system for scheduling and staffing for carrying out an engagement?

 Yes  No

3.11 (a) Whether the works are assigned on the basis of the skill and competence of employee / associates?

 Yes  No

(b)Whether the progress of the Attestation and Audit Services is monitored by the service in charge and reviewed regularly?

 Yes  No

3.12 Does the Firm ensure receipt of engagement letters before commencing the assignment? (If yes, please provide the copy of engagement letters)

 Yes  No

3.13 Does the Firm obtain sufficient and appropriate audit evidence/documents in terms of auditing standards, wherever required?

 Yes  No

3.14Did the Firm before accepting the assignment on Audit communicate in writing to the previous incumbent?

  Yes  No  NA

3.15 In case of a qualified report, does the PCS Firm provide disclaimers for such qualifications?

  Yes  No

3.16 Does Firm have the process to detect and report the fraud committed against the company by its officers or employees? Please provide the copy of process.

(150-300 words)

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3.17 Does the Firm facilitate reminder for periodical compliances of applicable laws for the client? (If yes, provide the proof of reminders)

 Yes  No

3.18 Whether the Firm carry out analysis of the findings of audits in previous years? Provide details about its periodicity and process.

(150-300 words)

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3.19 Whether any partner of the Firm is under investigation from any of the Regulators?

 Yes No

3.20 What steps have been taken by the Firm towards Green Initiatives/Environment Protection or any other Social Cause? Provide details

(150-300 words)

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3.21 Is there an in-house mechanism for Continuing Professional training/grooming?

  Yes  No

3.22 Any other information about the PCS Firm.

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I / We hereby declare that the information provided in this Questionnaire are true and correct to the best of my / our knowledge.

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| --- | --- |
| Name of the Partner on behalf of PCS Firm:Membership no.:COP: | Signature Date |

1. Partner includes Designated Partner of LLP or sole proprietor, wherever required. [↑](#footnote-ref-1)