**QUESTIONNAIRE**

**ICSI BEST SECRETARIAL AUDIT REPORT AWARD, 2025**

The ICSI National Awards for Best Secretarial Audit Report is bestowed on the basis of the decision of the Jury relying on the information provided by the participating company secretary in practice (applicant) and analysis made by the ICSI after evaluation of the information gathered. The authenticity and veracity of the information provided by the applicant provided are taken in good faith by the ICSI.

**It is assured that the data provided by the applicant shall be used only for ascertaining and evaluating the Best Secretarial Audit Report Award, 2025. The data furnished and other details will be kept confidential with ICSI. The applicant may mask/blur the information not desired to be shared. The decision of ICSI, based on the recommendations of the Jury, will be final and binding on all participants.**

**Eligibility:**

* The nominated Secretarial Audit Report should relate to the financial year 2024-25. For companies following a different financial year, the Secretarial Audit Report should relate to the latest financial year.
* A Secretarial Auditor firm can nominate only one Secretarial Audit Report, for the Audits conducted by the Firm.
* Participants should have active Certificate of Practice (COP) on date of application.

**Cooling Off:**

Secretarial Auditor signing the Secretarial Audit Report in individual capacity or as a partner of a firm, receiving the award, shall remain in cooling off for a period of five years. During these five years, the said Secretarial Auditor and the firm with which he/she has been associated at the time of the award is not eligible to apply for the award.

**Instructions:**

1. Please fill in the Questionnaire on the basis of the facts of the audit conducted.
2. Please furnish all the documents indicated in the Questionnaire for fair evaluation. Lack of documents/supporting evidence will lead to deduction of marks. Please also provide the link to annual reports of the company to which the nominated Secretarial Audit Report relates.
3. 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 applicant shall abide by the decision of the Jury in all respect.
4. The information mentioned in this application may be verified through other sources.
5. Use of AI-generated content in responses to the questionnaire is not permitted and shall lead to disqualification.
6. The credentials of your client may be asked for further process.
7. In case of any query in filling the Questionnaire, please email your query at [sarawards@icsi.edu](mailto:sarawards@icsi.edu)
8. Canvassing of any kind shall disqualify the applicant.
9. The printed copy of the application along with all relevant documents shall be submitted/ posted to Joint Director, Directorate of Sustainability and Governance, ICSI HOUSE, 22 Institutional Area, Lodi Road, New Delhi – 110003 and carry a subject line **“Participation to the ICSI Best Secretarial Audit Report Award, 2025”**.
10. The soft copy of the application along with all relevant documents shall also be submitted at [sarawards@icsi.edu](mailto:sarawards@icsi.edu) and shall carry a subject line **“Participation to the ICSI Best Secretarial Audit Report Award, 2025”**. Soft copy of the Annual Reports for FY 2024-25, 2023-24, and 2022-23 shall also be attached.

***The ICSI reserves the right to withdraw the Award if the Awardee is convicted of any offence which resulted in detriment to the interest of stakeholders and public at large.***

**PART I**

**GENERAL INFORMATION**

|  |  |  |
| --- | --- | --- |
|  | Name of the Proprietorship firm/ Partnership firm/LLP |  |
|  | Name of Proprietor/all Partners along with COP No. and Membership No. |  |
|  | Name of Secretarial Auditor who has signed the Report |  |
|  | Number of years for which firm has been the Secretarial Auditor |  |
|  | Details of previously received ICSI Best Secretarial Audit Report Award, if any, by the Secretarial Auditor / firm |  |
|  | ICSI Registration No. |  |
|  | ICSI Peer Review No |  |
|  | Website address (if any) |  |
|  | Office Address |  |
|  | Telephone No. |  |
|  | Contact No. of proprietor / signing partner |  |
|  | E-mail ID |  |

**No. of Secretarial audits conducted in last 3 financial years ended on March 31st, 2025 by the applicant**

|  |  |  |  |
| --- | --- | --- | --- |
| **Segment** | **2022-23** | **2023-24** | **2024-25** |
| Equity listed |  |  |  |
| Debt listed |  |  |  |
| Unlisted |  |  |  |

**PART II**

1. **Did the Secretarial Auditor, before accepting the assignment on Secretarial Audit, communicated in writing to the previous incumbent?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| NA |  |

*(If yes, kindly share the document of communication)*

1. **Did the Secretarial Auditor have an audit team for the assignment? Please provide details of the audit team involved in preparing the subject Audit Report.**

|  |  |
| --- | --- |
| **Particulars** | **Number** |
| Partners (if any) |  |
| Qualified Company Secretaries |  |
| Other Professionals (specify qualifications) |  |
| Trainees |  |
| Other than above |  |

1. **Whether a pre-audit team briefing was conducted? Please provide details.**

(150-200 words)

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1. **Does the Auditor follow a standardized checklist for the purpose of Secretarial Audit?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |

*(Please provide a copy of sample check list)*

1. **Did the Secretarial Auditor prepare an audit schedule before starting the audit process?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |

*(Please provide a copy of audit schedule submitted to the client)*

1. **Provide details of the pre-audit meeting conducted with the management.**

(150-200 words)

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1. **Has the Secretarial Auditor ensured receipt of engagement letter before commencing the assignment?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |

*(If yes, please provide the copy of engagement letter)*

1. **(a) What was the periodicity of conducting the Audit?**

|  |  |
| --- | --- |
| Quarterly or concurrently |  |
| Half yearly |  |
| Once a Year |  |

*(Please provide the copies of supporting communications/correspondence)*

**(b) What steps were followed to carry out the periodic audit, communicate the findings, and obtain feedback in response?**

(150-200 words)

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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1. **What was the process followed in finalizing the draft Secretarial Audit Report and whether the same was discussed with the Management?**

(150-200 words)

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(a) Management (other than secretarial team)

|  |  |
| --- | --- |
| Yes |  |
| No |  |

1. Audit Committee/Independent Directors

|  |  |
| --- | --- |
| Yes |  |
| No |  |

*(Provide details of the management personnel with whom the discussion was held)*

1. **Does the Secretarial Auditor maintain the Audit Trail of the assignment?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |

(If yes, please share the process of maintaining the audit trails)

(150-200 words)

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1. **Does the Firm have a practice to retain records with regard to the assignment undertaken?**

Yes No

If yes,

|  |  |
| --- | --- |
| For 8 years or more |  |
| For 5 years |  |

1. **Whether the opinion formed on the qualification/reservation/adverse remark if any, mentioned in the Audit Report has been highlighted in bold or italics?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| NA |  |

1. **Whether the events having major bearing on the company’s affairs are reflected in the Secretarial Audit Report?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| NA |  |

**If yes, what processes were followed for capturing the major events?**

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

1. **Any unresolved observations from the previous year’s audit were reflected in Secretarial Audit Report?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| NA |  |

1. **Has the Secretarial Auditor been providing non-audit services other than certifications to the Auditee?**

|  |  |
| --- | --- |
| Yes |  |
| No |  |

*(Please provide details)*

1. **What were the essential inclusions in the audit plan? What factors were considered while structuring the audit plan?**

(150-200 words)

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1. **Was the audit conducted in accordance with the pre-approved audit plan? How did the plan assist in deriving material observations/frauds, non-compliances or material weaknesses in the system for ensuring compliance, if any?**

(150-200 words)

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1. **How did the Secretarial Auditor verify the compliance of the Secretarial Standards by the Auditee?**

(150-200 words)

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1. **How did the Secretarial Auditor arrive at a reasonable basis for evaluating the corporate conduct/statutory compliances? What was the mode of evaluation adopted by the Secretarial Auditor to evaluate the corporate conduct?**

(150-200 words)

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1. **What was the methodology adopted by the Secretarial Auditor to verify the information provided by the management for MR-3 including management representation letter? Elaborate with sources of verification.**

(150-200 words)

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1. **How did the Secretarial Auditor arrive at the conclusion that the company has proper board- processes and compliance-mechanism?**

(150-200 words)

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1. **How did the Secretarial Auditor verify the adequacy of system in place for the purpose of compliance of other laws generally applicable to the company? What was the sample size of examination of relevant documents?**

(150-200 words)

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

1. **How did the Secretarial Auditor verify the compliance of laws and regulations applicable specifically to the company?**

(150-200 words)

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1. **How are you maintaining confidentiality in case of access to Unpublished Price Sensitive Information?**

(150-200 words)

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1. **How did the Secretarial Auditor evaluate high risk areas of the Auditee for systems and processes of compliance?**

**(**150-200 words)

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1. **As the Secretarial Auditor, share your comments about various policies framed by the Auditee. [under corporate laws] How have you checked compliance w.r.t. these policies adopted by the Company?**

(150-200 words)

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

1. **Why do you feel your Secretarial Audit Report should be considered for this Award?**

(Not more than 500 words)

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