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# CaseWare AuditAdvanced

*Building AuditAdvanced into  
AccountsAdvanced files*



CASEWARE

[www.caseware.co.uk](http://www.caseware.co.uk)

V1.0

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## Adding AuditAdvanced content to an existing file

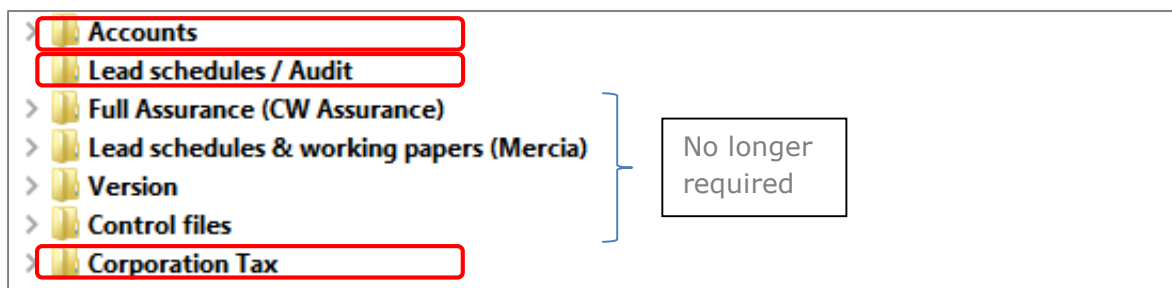
There are a number of steps in the process which must be followed closely, but this method preserves the current set of financial statements and adds an audit pack to the engagement.

This procedure will normally be carried out at the start of the engagement, after rolling forward the engagement file from the previous period.

Open the file that is to receive the new audit documents and make sure the 'Document Manager' is on screen.

### Step 1 – Tidy up of the Document Manager

The engagement file may already contain a set of lead schedules and other working papers, and the user should decide which of these they want to retain and which to delete. To retain the Accounts Preparation and Corporation Tax components of the file, the following documents must remain:



Any existing Audit content **MUST** be deleted.

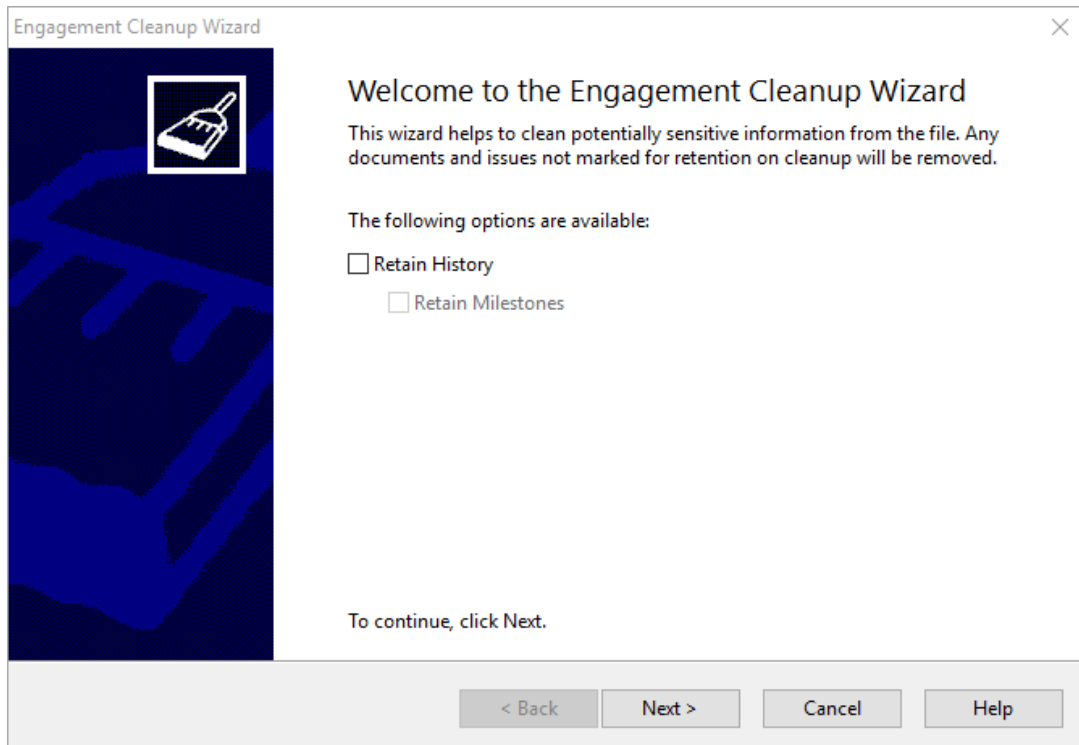
### Preserving additional working papers

To preserve any existing working papers, create a new folder and move any additional working papers including Excel, Word and PDF documents into this folder. These can be redistributed into the new folder structure later in the process.

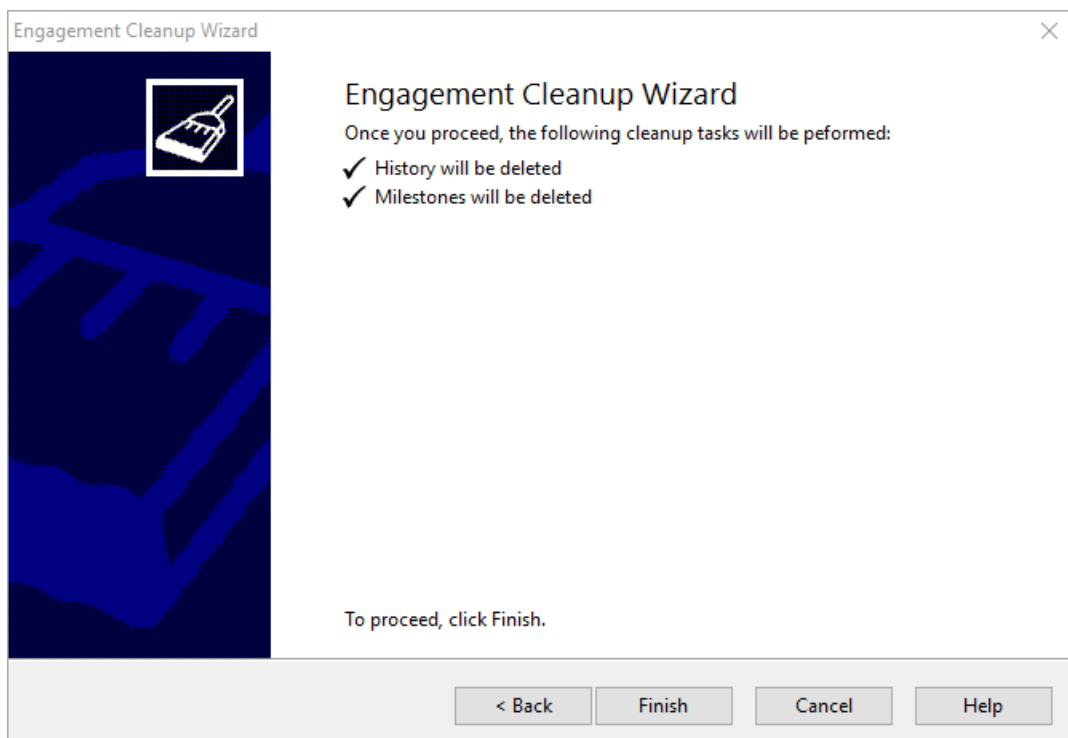
Alternatively, you may decide to simply copy such documents from the prior year engagement file once the process is finished.

## Step 2 – Run the 'Engagement – Cleanup' function

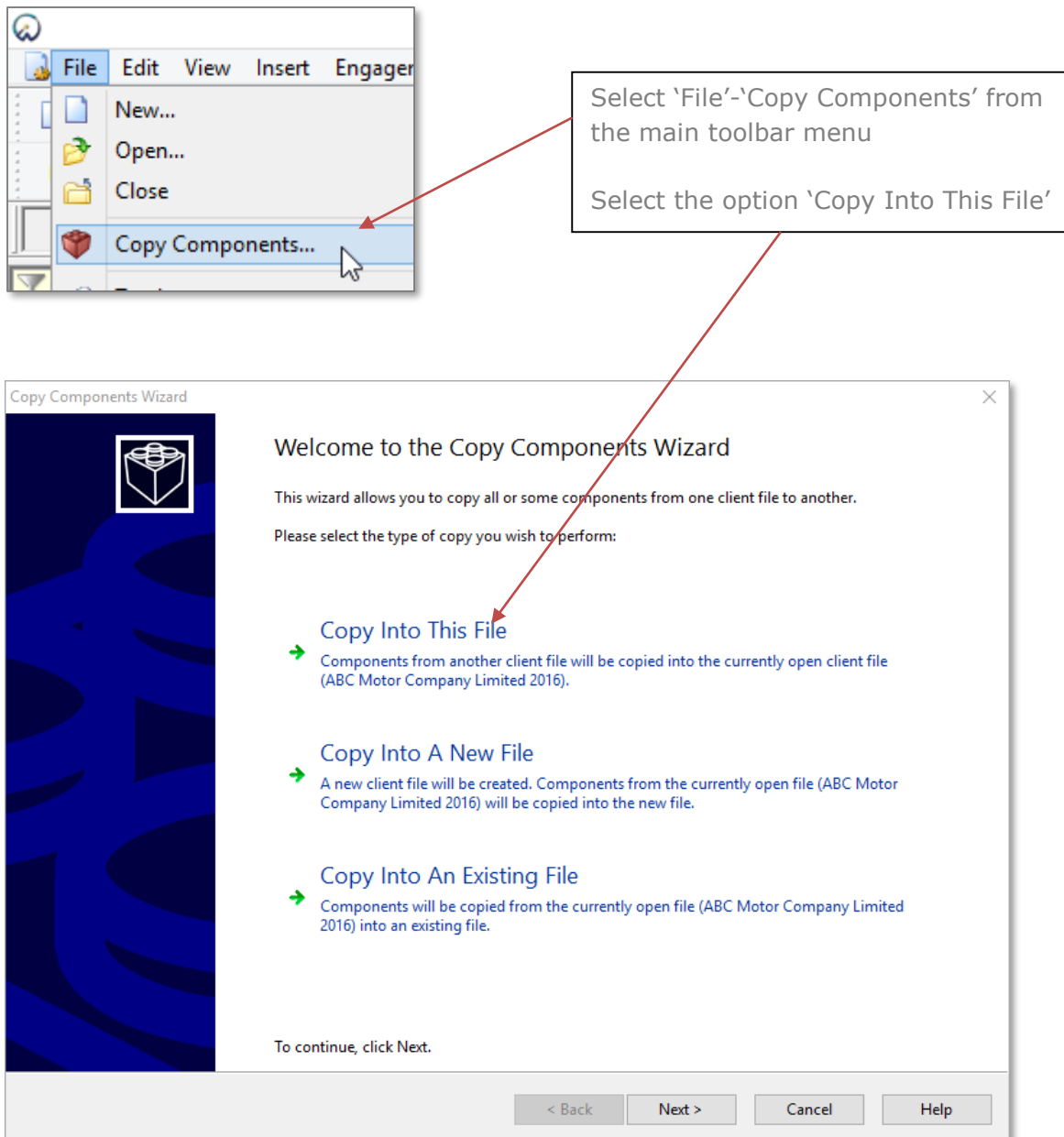
This function will help to remove any potentially sensitive information from your engagement. Use 'Cleanup' to remove any legacy history and milestones from your engagement file before you start on the current year's audit:



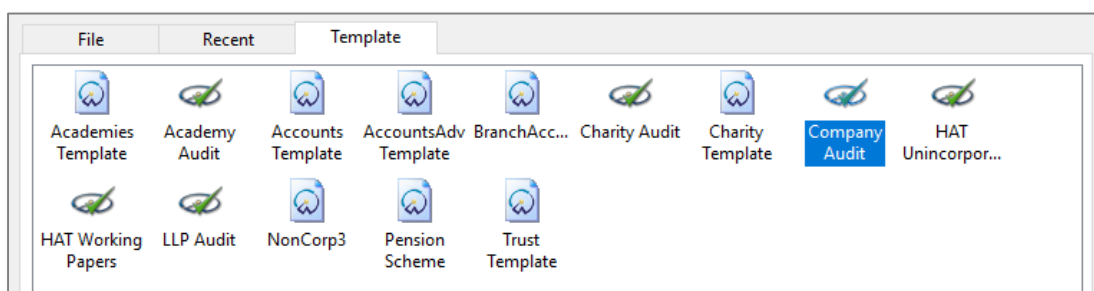
Once you have chosen which areas you would like to retain during the 'Cleanup' process, select 'Finish':



### Step 3 – Run the 'Copy Components' function

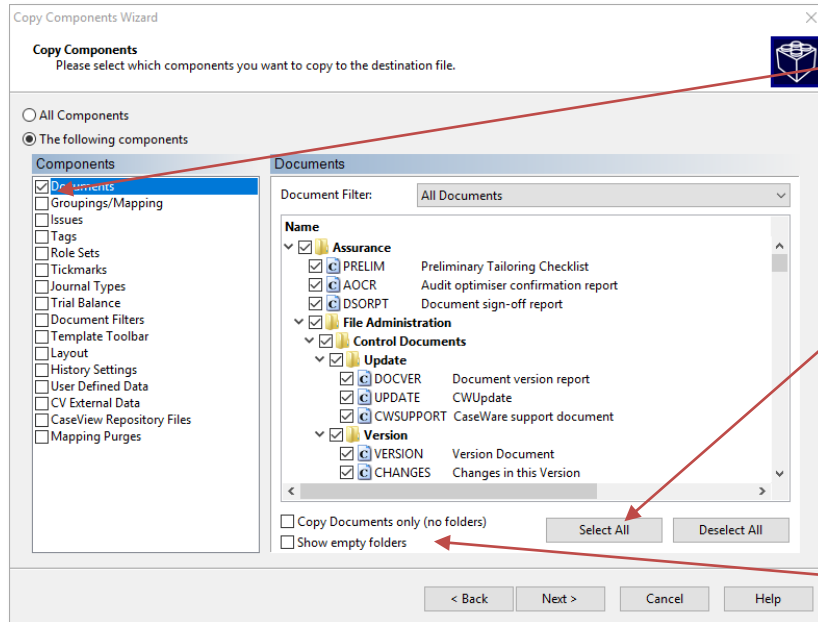


Then select the appropriate AuditAdvanced template based on the entity type:



## Step 4 – Select the documents to be added

Select the documents that you wish to add to the current accounts file. For the purposes of this exercise that will mean every schedule.



Click on the  
'Documents' checkbox

Click the 'Select All'  
button, to ensure that  
every master audit  
document is going to  
be included in this file

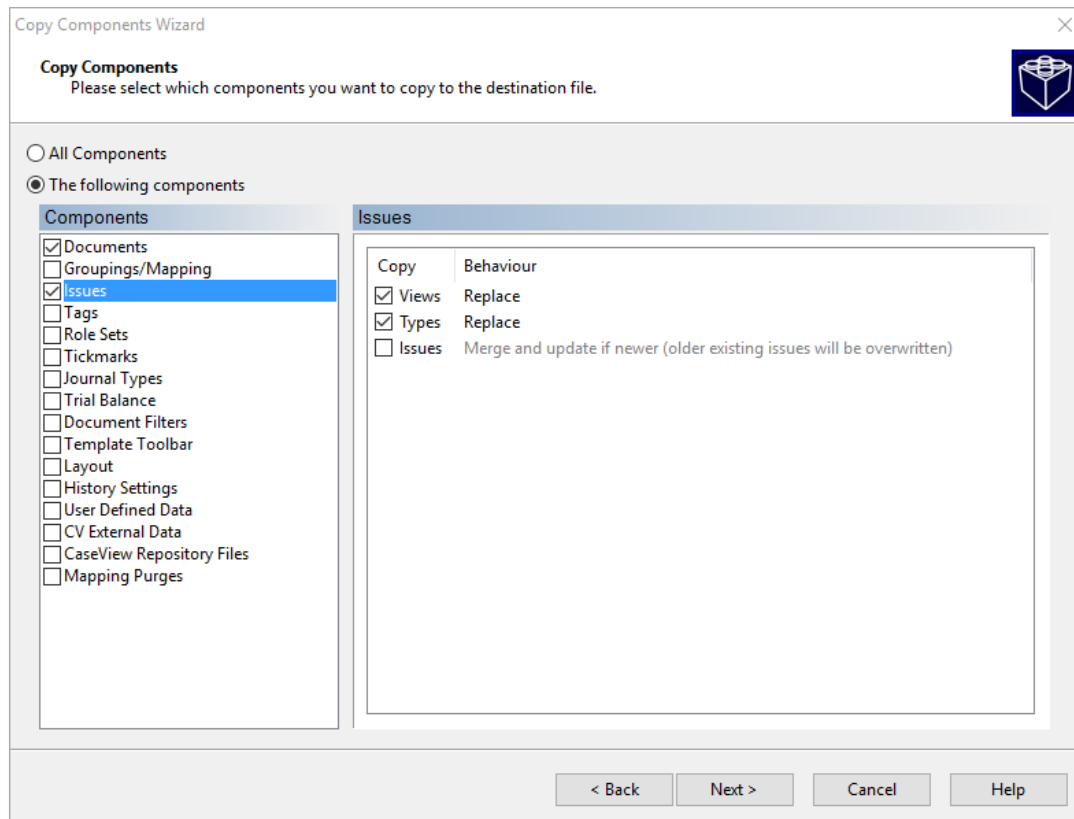
Ensure that the 'Copy  
Documents...' and  
'Show empty folders'  
checkboxes are  
**unticked**, as shown  
here

**DO NOT SELECT 'NEXT' AT THIS STAGE**

## Step 5 – Issues

The existing accounts files will be structured to manage Issues (review points) in accordance with the previous Mercia file structure and these will need to be replaced with the new Issues formats.

From the Copy Components screen select 'Issues' and then select the checkbox options for 'Views' and 'Types', ensuring the 'Behaviour' settings are set to 'Replace', as seen below:



## Step 6 – Tags

Simply select the checkbox, no further settings are required.

## Step 7 – Role Sets

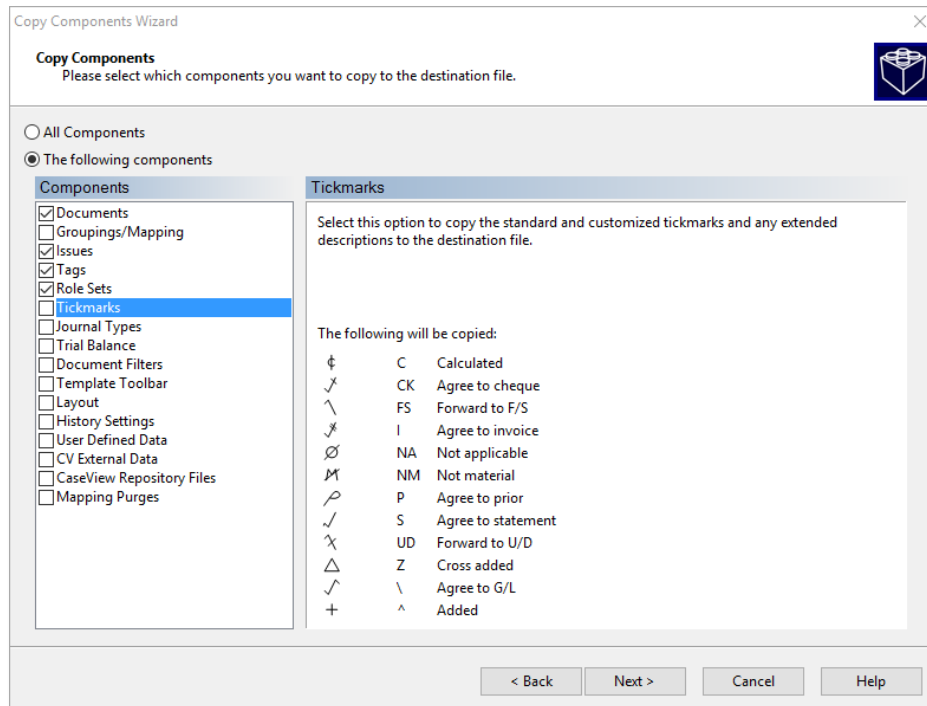
Simply select the checkbox, no further settings are required.

## Step 8 – Tickmarks

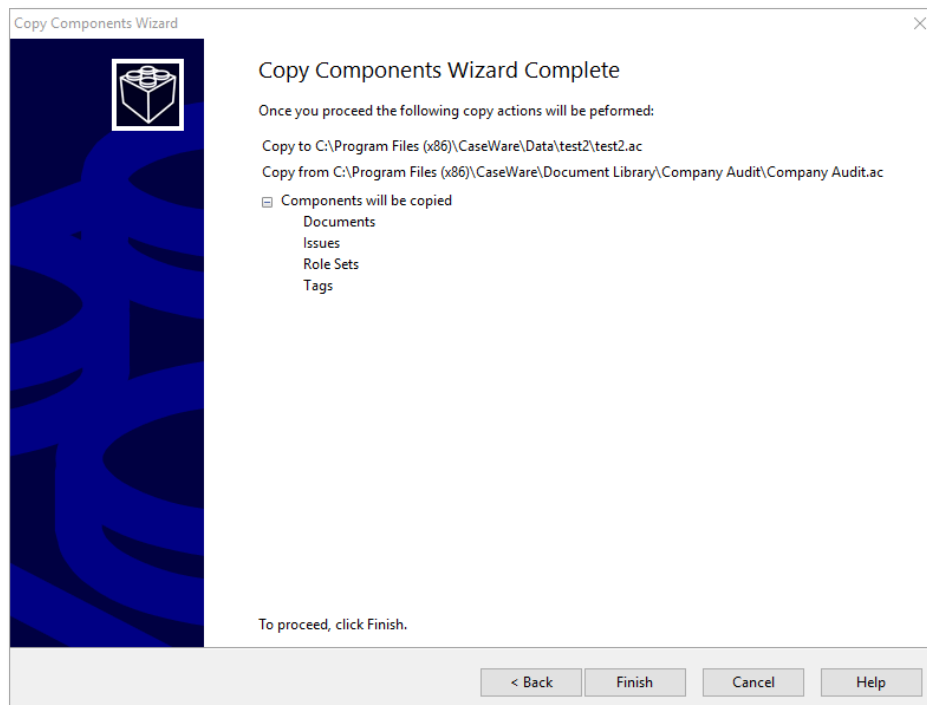
The AuditAdvanced templates comes with a selection of predefined 'Tickmark' options. If custom Tickmarks have already been configured in the file at hand, this option may be ignored. To accept the new Tickmarks, simply select the checkbox, no further settings are required.

## Step 9 – Review and Complete

At this stage the Copy Components wizard should display the following choices:



Hit 'Next' to confirm, to move on to the next screen, leave this screen untouched and hit 'Next' again to arrive at the summary screen:



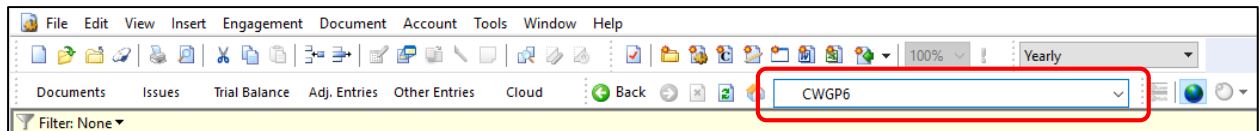
Hit 'Finish' to complete the process. You may be asked to login at this point if security has been enabled on the template.



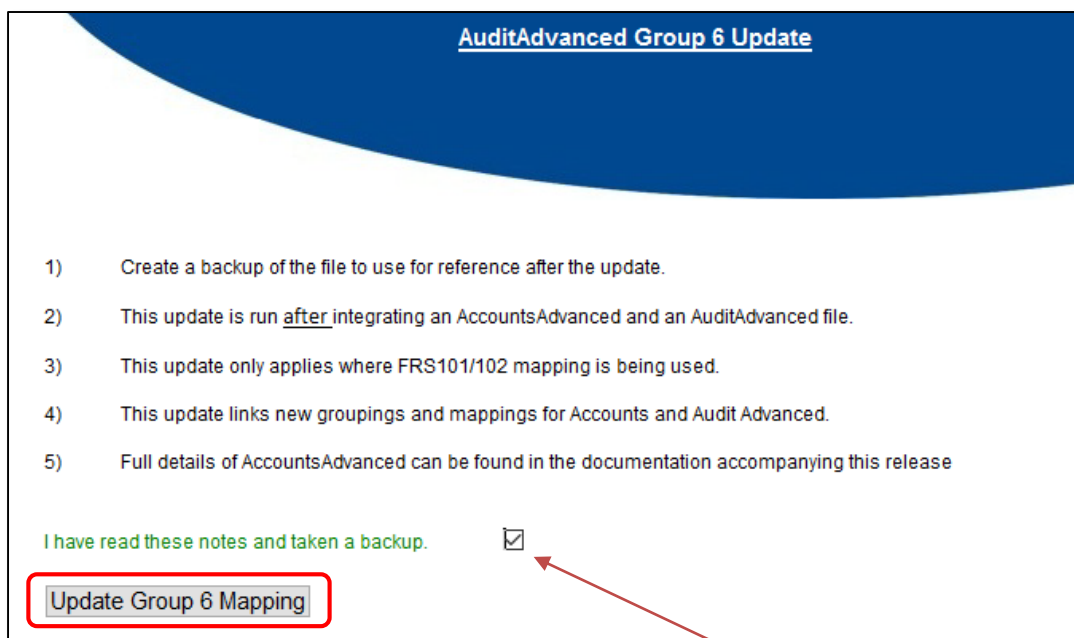
## Step 10 – Update the Group 6 properties

The AuditAdvanced system uses Group 6 TB references to populate certain schedules (e.g. the B32\_FSA). These references will not currently exist in jobs that were not originally based on an AuditAdvanced template. In order to manually populate the Group 6 references into a file, users can use the CWGP6 document.

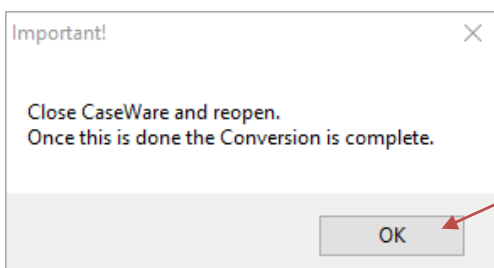
This document can be launched from the Browser bar seen below:



The following CaseView document will open:



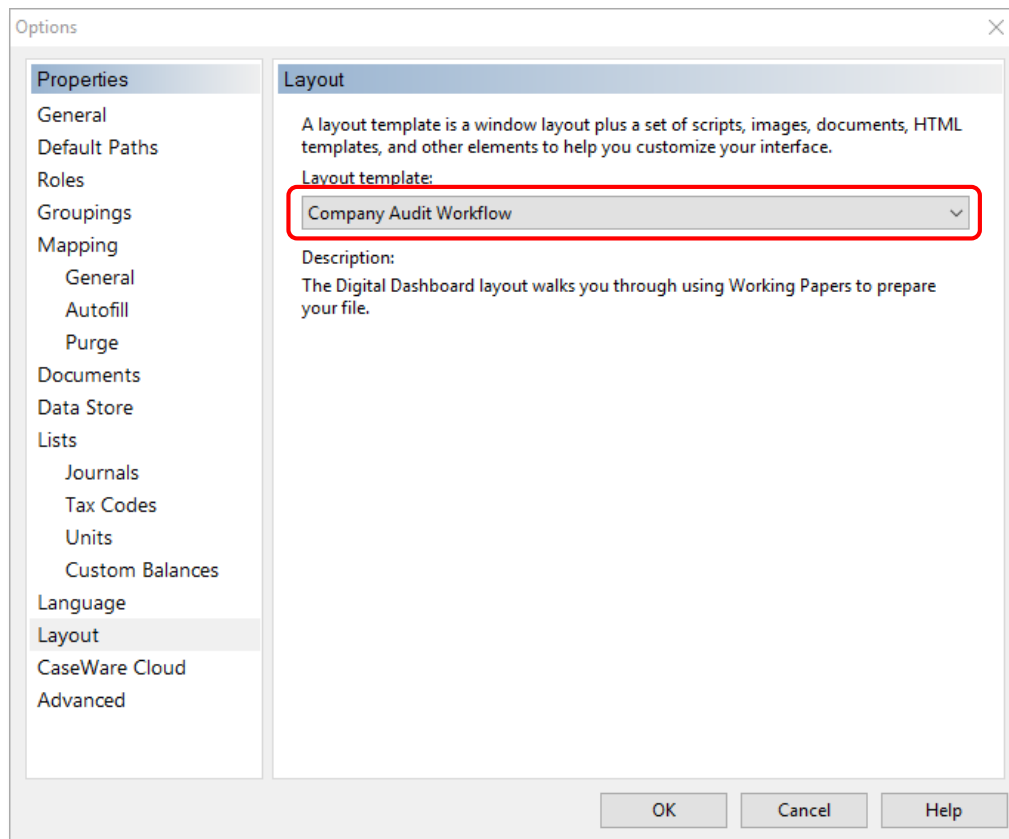
Once the user has indicated that a backup of the file has been taken, the 'Update Group 6 Mapping' button can be used to complete the process.



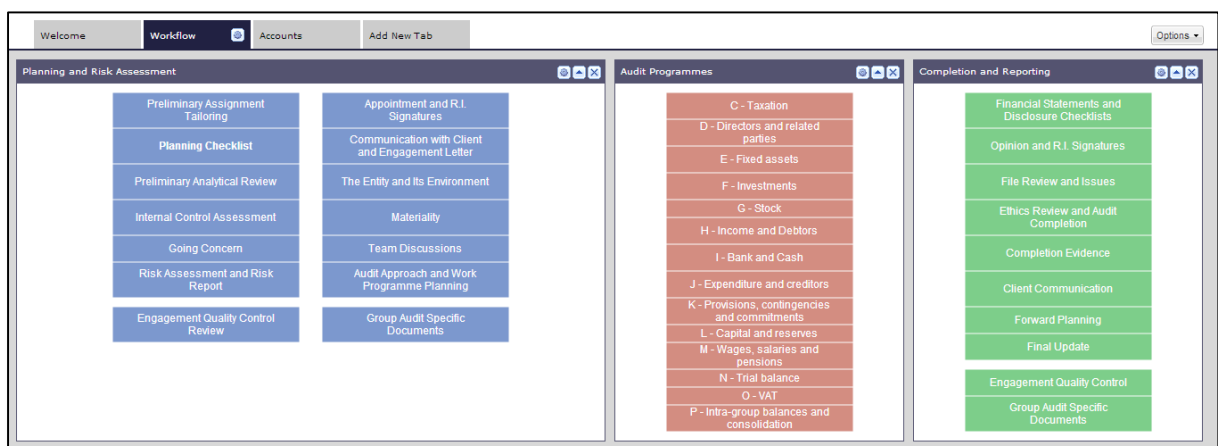
Click OK, then close the file and reopen before continuing

## Step 11 – Applying the Dashboard layout

To apply the new dashboard layout for AuditAdvanced, select Tools – Options, and on the Layout section select the Workflow for the relevant template (e.g. 'Company Audit Workflow') from the menu, as shown below.

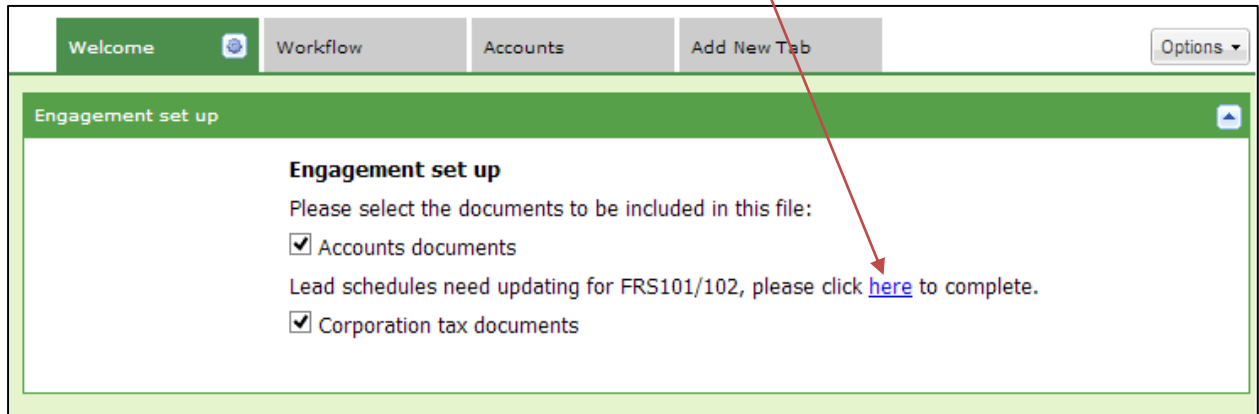


Click on 'OK' after making the selection. The file will now display the AuditAdvanced dashboard layout:



## Step 12 – Update Lead Schedule references

The AuditAdvanced dashboard should now be showing. The Welcome tab will prompt users to update the references on the newly added lead schedules:

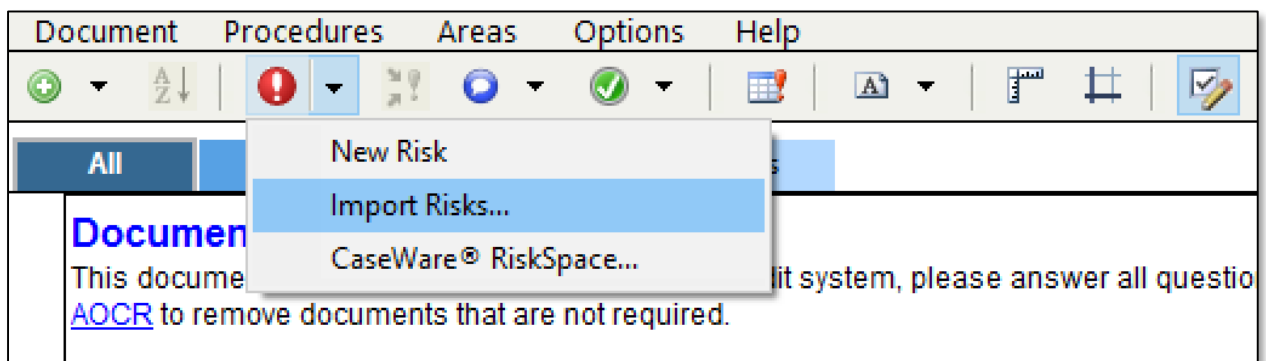


### Step 13 – Importing standard Risks from the template

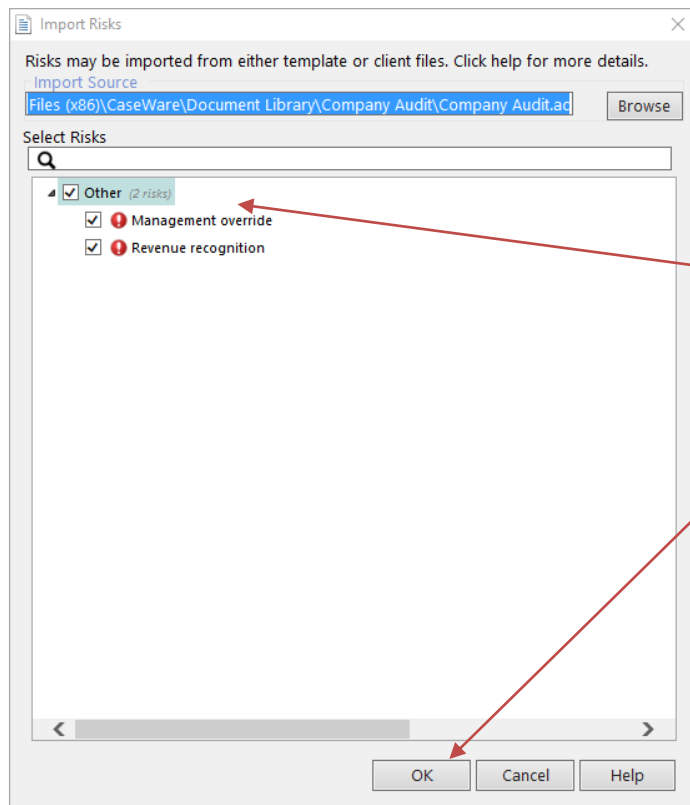
The following audit risks are built in to the AuditAdvanced templates:

- Management override
- Revenue recognition

These risks will therefore be included as standard on any files built from new based on the AuditAdvanced templates. However, any files where the AuditAdvanced content is being added manually, these risks will need to be created, or copied from the template as below:



In the next dialog, browse to and select the relevant AuditAdvanced template in the Document Library folder (typically C:\Program Files (x86)\CaseWare\Document Library):

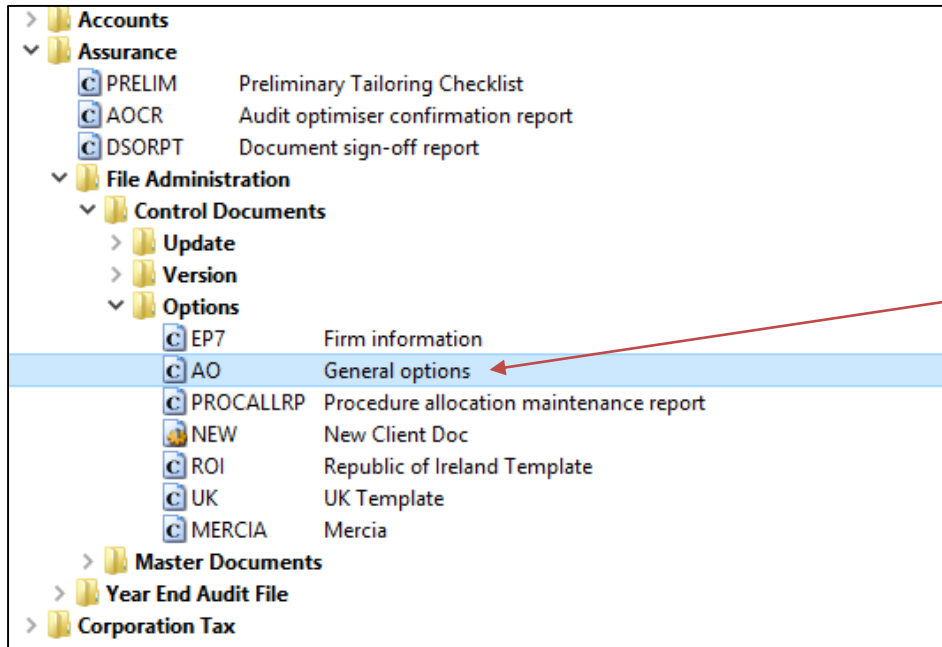


Select all risks and click OK to bring them into the current file

The risks will then be opened in the file and can be amended as necessary.

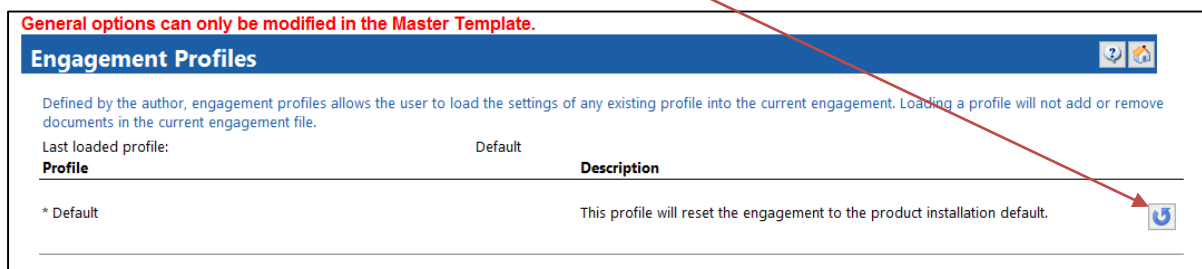
## Step 14 – Refresh the General Options document

It is good practice to refresh the General Options document. This can be found in the Document Manager in the following location:



Double click  
to open

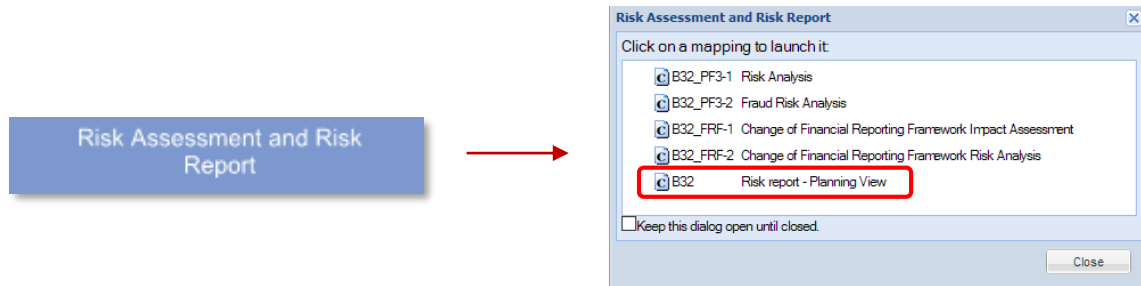
When the document opens, simply hit the 'Refresh' button:



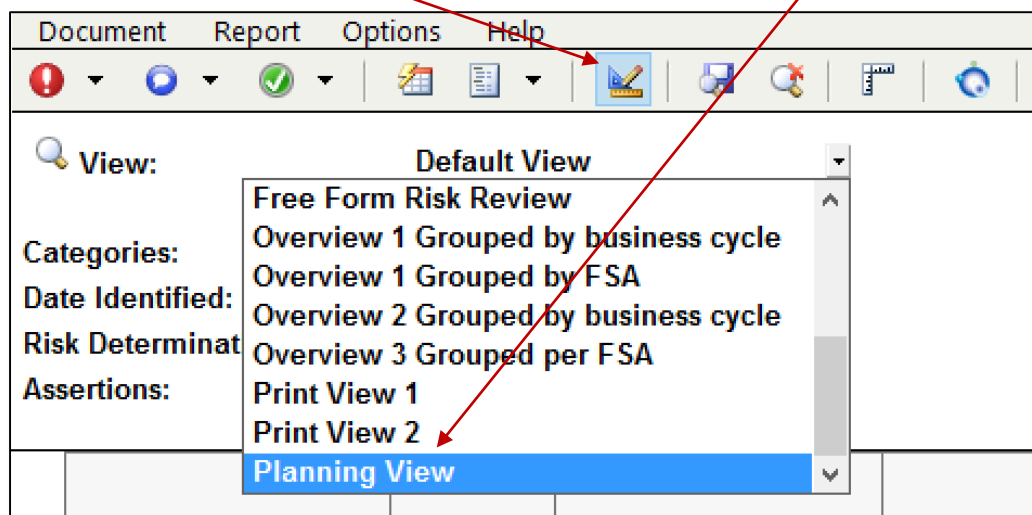
Once this has been done, the document can be closed.

## Step 15 – Configuring the B32 Risk Report

There will be a couple of minor configuration changes required for the B32 Risk Report to ensure it looks the same as any newly created file. Open this from the dashboard:



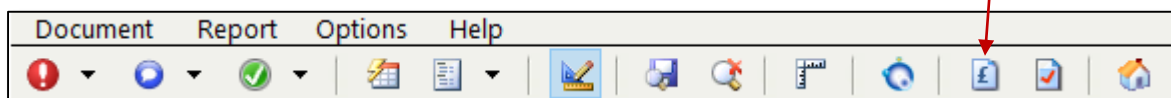
Click on the 'Filters and Views' button, then select the 'Planning View' from the 'View' menu.



If the Overall Risk column is missing in the report, please ensure step 12 has been completed.

## Step 16 – Populate Part III of the AOCR

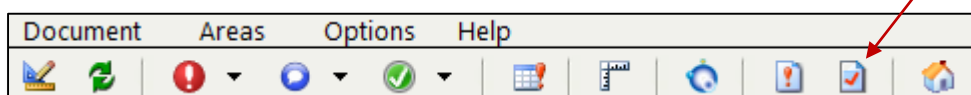
During this process, it is possible that internal links between some of the Audit System documents are temporarily lost. This will particularly be manifested in the AOCR document where non-material areas do not populate part III of this form. To re-enable this function open the B32\_FSA document. From the B32 Risk Report, users can select the currency button in the toolbar to access the B32\_FSA:



All of the Work Program links should be used to open each individual item:

Group Number	Accounts/disclosures or other matters considered significant	Financial Statement Balances			Materiality assessment	Overall Materiality		Performance Materiality		Specific Materiality by Disclosures	Relevant Assertions	Overall Risk	Summarize the reasoning for the assessed level of risk	A - General	B - Systems	C - Non-audit	D - Analytical	E - Detail	W/P ref.	Risk Ref.
		Planning Balance as of 31/12/2014	Final Balance	Prior Year		Preliminary	Final	Preliminary	Final											
	Entity level and IT general weaknesses and controls										All			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
C	Taxation	-	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CA O CO								C	
D	Directors and Related Parties	-	-	-	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CEA V RO O CL CO								D	
E1	Tangible Fixed Assets	-	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CEA V RO O CL CO								E	

Once these documents have been opened, they can then be closed and saved. This should be enough to reset the internal links. To check, from the B32\_FSA, users can select the red tick button in the toolbar to access the AOCR:



The file is now ready to be used. Any documents that were preserved in step 1 may now be redistributed to their rightful position.

Please note all Risks (except for Management override and Revenue recognition) will need to be recreated. Work programmes will need to be started from scratch. Permanent file comments will need to be copied from the old file.

## Creating a brand new file instead

Alternatively, the user may opt to create a brand new file in AuditAdvanced to continue with. The following steps can be taken to effectively get to the same position as mentioned in the previous chapter:

1. *Roll forward the old file as usual.*
2. *Create a new file based on the appropriate AuditAdvanced template.*
3. *Add in the relevant Accounts documents from the 'Welcome tab' on the Dashboard.*

*WARNING: Please ensure the documents added are the same as those currently in the old file mentioned in step 1 (i.e. if the conversion to AccountsAdvanced has not yet been performed, please select UK GAAP documents to start with and convert later)*

4. *Now delete the Accounts documents.*
5. *Use the 'Copy Components' feature to import 'Documents' (select just the Accounts folder), 'Issues', 'Trial Balance' and 'CV External Data' from the old file (from step 1) to the new file (from steps 2 & 3).*
6. *Use Tools / Options / Autofill to select 'Autofill Now' to update TB account properties.*
7. *Copy any other relevant Audit documentation from the Document Manager of the old file to the new file, using the drag and drop method.*
8. *Risks will need to be recreated.*
9. *Work programmes will need to be rewritten.*
10. *Permanent file comments will need to be copied from the old file.*