

Appendix 1

Details of Audits Contained in the Audit Plan approved in June 2019 which have been cancelled.

Auditable Area	Reason for Cancellation
Adults Financial Services Team – Deferred Payment Agreements	There is on-going audit oversight through the task and finish group and regular reporting up to the Director of Health & Care. As a result, this audit should be deferred to allow time for new processes to be embedded.
Adult & Community Learning - Commissioning and Monitoring of Provider Contracts (performance data)	The scope of this work was to undertake a verification exercise on data prior to the end of year data submission to the Education and Skills Funding Agency (ESFA). As the service has put in place their own verification checks and management sign-off processes, this audit is no longer required.
Children's Commissioning	Due to delays to the children's transformation programme, the service is just beginning to scope out the work required to progress the Children's Commissioning Work. It is noted that some aspects of this work are already in motion mainly relating to the workforce elements associated with bringing a new team together and ensuring that they have the skills required to perform their tasks in a way that ensures compliance. To ensure the audit is meaningful, time is required to allow the new systems and processes to embed and therefore the audit is required to be deferred to next year.
Brokerage	There is a planned redesign and new processes associated with Care Director scheduled to go live in February 2020. Therefore, the audit is required to be deferred to next year to allow the new structure design and care director changes to be embedded.
CM2000 Finance Manager	No longer going ahead with the purchase of the CM2000 Finance Manager until a decision is made on the new home care contract which is due in 2021.
Deprivation of Liberty Safeguards (DoLs)	The scope of work in 2019/20 was to look at how the new legislation has been embedded and applied. The legislation changes have not come in yet and as such the audit review should be deferred to 2020/21.