

# Legal Services Audit

FA&A Committee – Monday March 04, 2019

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# Today's Presentation

- Audit Objective, Scope and Methodology
- Audit Conclusion
- Audit Observations
- Management Action Plans
- Next Steps
- Questions



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# Audit Objective

- To evaluate the adequacy and effectiveness of the internal controls, processes and procedures in place to mitigate the business risks associated with the administration and use of legal services.



# Audit Scope & Methodology

- Review of strategic goals, objectives, policies and procedures and management oversight
- Use of technology
- Staff interviews
- The scope of the audit covered department activities for the period of January 2017 to December 2018.

**Not in Scope:** → Real Estate Department



# Audit Conclusion

- Improvements are required to ensure risks related to the execution of Legal Services activities are efficiently and effectively mitigated, while better supporting the City's strategic plan and corporate initiatives.





# Issues and Observations

The following opportunities were identified:

1. Reevaluating the strategic vision, mission, roles and responsibilities, and organizational placement of the department to better align with and to advance corporate objectives.
2. Determining the optimal level of resources, staff complement and composition of the Legal Services department.



# Issues and Observations

3. Acquiring the appropriate tools and resources to improve department planning, business processes and service delivery.
4. Establishing Key Performance Indicators (KPIs) to measure department performance.



# Management Action Plans

- A competency-based recruitment process for the City Solicitor is currently underway.
- Corporate Services is actively supporting the Office of the City Solicitor by ensuring business continuity. We are currently recruiting for key vacant legal positions.
- The previous City Solicitor had retained a consultant to review workflows and workloads for the department. Management will refresh the consultant's report to current state and integrate the audit observations. Our focus is to have ready to implement recommendations for the new City Solicitor.





# Next Steps

- Action plans have been developed.
- Implementation is underway.
- Internal Audit will follow up and report on the status of these action plans.



# Questions?



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