

Attachment #1:

Legal Services Management Action Plan – Workplan in response to Internal Audit Recommendations

Internal Audit Recommendations		Management Action Plan	Timeline
1.	Reevaluate the Strategic Role of Legal Services to Better Support Corporate Objectives and Decision Making		
	<ul style="list-style-type: none"><li>Reevaluate the strategic role, objectives, responsibilities and accountability of Legal Services to better support corporate objectives, client departments and informed decision making.</li><li>Operationally position the Legal Services department in a manner that will allow it to best support the City's strategic vision, client departments and corporate objectives.</li></ul>	<ul style="list-style-type: none"><li>City Solicitor recruitment completed; new City Solicitor started on May 6, 2019.</li></ul>	Q2 2019 Completed
		<ul style="list-style-type: none"><li>City Solicitor now reports directly to the City Manager position.</li></ul>	
		<ul style="list-style-type: none"><li>City Solicitor is a member of the corporate management team and therefore integrally involved in strategic planning, strategic priority setting and decision-making.</li></ul>	
		<ul style="list-style-type: none"><li>Develop and implement a new strategic vision.</li></ul>	Q2 - Q4 2019 In Progress
		<ul style="list-style-type: none"><li>Develop and implement a new service delivery model.</li></ul>	
		<ul style="list-style-type: none"><li>Develop and implement the 2020 Business Plan.</li></ul>	
		<ul style="list-style-type: none"><li>Develop and implement new client relationship management protocols with clarified roles and responsibilities.</li></ul>	
<ul style="list-style-type: none"><li>Develop and implement a Legal Services governance framework to guide the work of the department.</li></ul>			

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2.	<b><i>Determine the Optimal Level of Resources, Staff Complement and Composition of the Legal Services Department</i></b>		
	<ul style="list-style-type: none"> <li><b><i>Develop formal forecasting mechanisms to help establish what the anticipated needs will be for Legal Services.</i></b></li> </ul>	<ul style="list-style-type: none"> <li>City Solicitor to engage with client departments to gain deeper understanding of current and future client needs.</li> </ul>	<b>Q2 – Q3 2019 In Progress</b>
		<ul style="list-style-type: none"> <li>Develop a forecasting mechanism based on client needs.</li> </ul>	<b>Q2 – Q4 2019 In Progress</b>
	<ul style="list-style-type: none"> <li><b><i>Determine what the ideal composition of the Legal Services department should be in order to effectively and efficiently achieve its corporate mandate and develop and implementation plan, if required.</i></b></li> </ul>	<ul style="list-style-type: none"> <li>Conduct current state analysis to understand the existing composition and budget requirements of the Legal Services department and the present use of external counsel.</li> </ul>	<b>Q2 – Q4 2019 In Progress</b>
		<ul style="list-style-type: none"> <li>Assess optimal levels of resourcing, organization composition, skill requirements, workload requirements and client needs.</li> </ul>	
		<ul style="list-style-type: none"> <li>Review the organizational structure, resource requirements, skills and competencies</li> </ul>	
		<ul style="list-style-type: none"> <li>Update job descriptions where applicable.</li> <li>Vacancies will be filled according to the identified needs from this review.</li> </ul>	
	<ul style="list-style-type: none"> <li><b><i>Conduct an analysis regarding the nature and reoccurrence of the work being assigned to external counsel to</i></b></li> </ul>	<ul style="list-style-type: none"> <li>Develop a rationalized approach to efficiently and effectively optimize internal resources as well as the appropriate utilization of external resources.</li> </ul>	<b>Q2 – Q4 2019 In Progress</b>

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	<p><i>ensure that the City is getting best value for money.</i></p> <ul style="list-style-type: none"> <li><i>Coordinate the use of all external counsel through the Legal Services department</i></li> </ul>	<ul style="list-style-type: none"> <li>Establish protocols and criteria for use of external counsel.</li> <li>Manage utilization of external counsel centrally through the Legal Services department.</li> <li>Issue Request for Proposal (RFP) for external legal services.</li> <li>Create a roster of highly qualified external legal counsel/law firms to provide legal services to the City at locked down, competitive rates</li> </ul>	Q2 – Q4 2019 In Progress
3.	<b>Acquire Appropriate Tools &amp; Resources to Improve Department Planning, Business Processes and Service Delivery</b>		
	<ul style="list-style-type: none"> <li><i>Implement a time docketing system to manage and track resources within the Legal Services department.</i></li> </ul>	<ul style="list-style-type: none"> <li>Procure time docketing system.</li> </ul>	Q4 2019
		<ul style="list-style-type: none"> <li>Implement time docketing system.</li> </ul>	Q1 2020
	<ul style="list-style-type: none"> <li><i>Work with corporate partners to submit a proposal to obtain the resources necessary to acquire and implement an appropriate case management information system, based on a comprehensive needs assessment.</i></li> </ul>	<ul style="list-style-type: none"> <li>Develop business requirements for a legal services Document Management System (DMS).</li> </ul>	Q2 – Q4 2019 In Progress
		<ul style="list-style-type: none"> <li>Procure and implement DMS, subject to Council's approval of budget.</li> </ul>	Q1 – Q4 2020
	<ul style="list-style-type: none"> <li><i>Develop file documentation standards outlining templates, naming conventions, checklists and supporting procedures for each practice group.</i></li> </ul>	<ul style="list-style-type: none"> <li>Review current file management processes (classification, naming conventions, access, retrieval, permissions) to optimize clarity in current file management approaches.</li> <li>Utilize existing technologies within the corporation (e.g. SharePoint sites, Teams Sites) in the interim.</li> </ul>	Q2 – Q4 2019 In Progress

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		<ul style="list-style-type: none"> <li>Implement interim file documentation standards and enhanced processes as an interim solution until a new Document Management System is procured (subject to Council's approval of funding).</li> </ul>	<b>Q1 2020</b>
<b>4.</b>	<b><i>Establish Department Policy and Procedures and Update Job Descriptions</i></b>		
	<ul style="list-style-type: none"> <li><b><i>Comprehensive policies, procedures and related internal controls should be clearly documented, periodically reviewed and updated.</i></b></li> </ul>	<ul style="list-style-type: none"> <li>Undertake a review of policies and procedures and internal controls.</li> <li>Prioritize revisions/updates to policies, procedures and internal controls based on assessment and levels of risk.</li> <li>Ensure all policies and procedures are documented and communicated.</li> <li>Ensure internal controls are appropriate to mitigate risks.</li> </ul>	<b>Q2 2019 – Q4 2020</b>
	<ul style="list-style-type: none"> <li><b><i>Job descriptions be updated to reflect appropriate roles and responsibilities.</i></b></li> </ul>	<ul style="list-style-type: none"> <li>In conjunction with the optimization of resourcing levels and organizational design identified in Recommendation #2, conduct current state review and assessment of all job descriptions.</li> <li>Revise / update job descriptions to reflect and align with the results of the new departmental strategy, service delivery model and client requirements.</li> </ul>	<b>Q2 – Q4 2019 In Progress</b>

5.	<b><i>Develop Key Performance Indicators (KPIs)</i></b>		
	<ul style="list-style-type: none"> <li><b><i>Develop quantifiable KPIs that reflect the critical success factors of the department.</i></b></li> </ul>	<ul style="list-style-type: none"> <li>In conjunction with corporate-wide new business planning and corporate performance measurement program, develop Legal Services business plan, identify key performance measures and develop a set of relevant key performance indicators (KPIs) to help guide the department's work and provide data for better governance and decision making.</li> <li>Legal Services staff participating in corporate performance measurement working sessions and training to develop performance measures and KPIs which are aligned to business planning objectives.</li> </ul>	<b>Q2 – Q3 2019 In Progress</b>
		<ul style="list-style-type: none"> <li>Based on the business plan priorities and corporate performance measures and KPIs developed in 2019, collect data in 2020.</li> <li>Provide full scorecard reporting by the end of 2020.</li> </ul>	<b>Q4 2020</b>
6.	<b><i>Develop a Formal Intake Process and Service Level Agreements with Client Departments</i></b>		
	<ul style="list-style-type: none"> <li><b><i>Implement a formal intake process to assist with internal resource assignment and case management.</i></b></li> </ul>	<ul style="list-style-type: none"> <li>Conduct an in-depth review, taking into account the specific nature of the business requirements for each department, to identify the most suitable intake format and processes to support those requirements (e.g. development of checklists where appropriate). This is done in conjunction with Recommendation #1 service delivery model and Recommendation #4 (policies, procedures, internal controls).</li> </ul>	<b>Q3 – Q4 2019 In Progress</b>

		<ul style="list-style-type: none"> <li>• Implement a portfolio based resourcing structure to better service client needs, optimize intake approach and effectively allocate resources.</li> <li>• Provide each department with a main point of contact for all matters.</li> <li>• Establish the City Solicitor as the main point of contact for Mayor and Members of Council and the corporate management team.</li> </ul>	<b>Q3 – Q4 2019 In Progress</b>
	<ul style="list-style-type: none"> <li>• <b>Develop risk-based service level agreements with the client department which defines:</b> <ul style="list-style-type: none"> <li>○ The services the Legal Department will provide and the required level or standard for those services.</li> <li>○ An ongoing reporting mechanism for measuring the expected performance standards.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• In conjunction with the new corporate-wide enterprise risk management program, utilize a risk-based approach to assess priorities and legal services requirements to meet client needs.</li> <li>• Develop new Portfolio Assignment strategy to address the intake of requests coming into the Legal Services department.</li> </ul>	<b>Q3 – Q4 2019 In Progress</b>
<b>7.</b>	<b>Establish Guidelines for Penalty Negotiations and Reductions</b>		
	<ul style="list-style-type: none"> <li>• <b>Establish guidelines for penalty negotiations based on consultation with By-law &amp; Compliance, Licensing &amp; Permit Services and an analysis of trends in previous cases.</b></li> <li>• <b>Reporting should be developed to analyze trends in Penalty Notices issues versus penalties paid</b></li> </ul>	<ul style="list-style-type: none"> <li>• Conduct current state analysis and benchmarking of approaches by other GTA municipalities with respect to their administrative penalty systems. Align the analysis with the discussions with client departments on business needs and forecasting.</li> </ul>	<b>Q4 2019</b>
		<ul style="list-style-type: none"> <li>• Develop an action plan to address the administrative penalty processes based on legal requirements, existing practices and best practices across the GTA and implement accordingly.</li> </ul>	<b>Q4 2020</b>