

AUDIT PLAN APPROACH: OVERVIEW

PERFORMANCE AUDIT OF STRUCTURAL, ORGANIZATIONAL, AND BUSINESS PROCESSES OF THE DISTRICT COUNSEL'S OFFICE

KEY AUDIT QUESTION

Are potential structural, organizational and process improvement opportunities present for the District Counsel's Office?

SCOPE

Functions to evaluate:

- Claims & risk management, performance monitoring
- Information sharing
- Professional Services Agreements
- Use of Subject Matter Experts

Structural and Organizational

- Staff roles and responsibilities
- Succession planning
- Staff assignments

Key Auditee

District Counsel Office

Secondary Stakeholders

Purchasing and Contracts
Clerk of the Board

AUDIT TEAM

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AUDIT APPROACH

Methodologies/Functional Areas to Examine:

- Evaluation of claims, risk management and contract review activities.
 - Review of documented policies and procedures for claims, risk management (including NDA management) and contract review activities
 - Interviews of District Counsel staff, management and major process stakeholders to discuss activities.
 - Gap analysis of current processes compared to documented policies and best practices.
- Structural and organizational analysis:
 - Interview staff and review documentation to determine roles, responsibilities, authority levels, oversight, succession and reporting structure in the District Council office.
 - Review policy and procedures documentation and interview staff to determine how and what performance measurement metrics are record and reported within the District Counsel's office.
 - Interview staff and stakeholders to assess information sharing and communication activities.
 - Identify gaps in organizational structure and performance metrics compared to best practices and stakeholder needs.

TIMELINE

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| PROJECT KICKOFF MEETING: (TENTATIVE) | 8/8/2019 |
| DATA COLLECTION AND ANALYSIS: | 8/8/19-9/30/2019 |
| RESULTS MEETING/EXIT CONFERENCE | 9/30/2019 |
| DRAFT REPORT | 10/21/2019 |
| AGENCY FEEDBACK | 11/11/2019 |
| DRAFT REPORT TO BAC | 12/11/2019 |
| FINAL DRAFT REPORT | 5 DAYS LATER |
| AGENCY COMMENT | 15 DAYS LATER |
| FINAL REPORT | 20 DAYS LATER |

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