



Alberta Justice and Solicitor General

November 2018

Summary

- 11 Total Recommendations
- 0 New Recommendations
- 11 Outstanding Recommendations
- 5 Outstanding Recommendations Older than 3 Years
- 7 **READY** for Follow-up Audit
- 4 **NOT READY** for Follow-up Audit

We issued unqualified independent auditor’s reports on the 2017–2018 financial statements for the Ministry of Justice and Solicitor General, the Department of Justice and Solicitor General, Victims of Crime Fund, and the Human Rights Education and Multiculturalism Fund. The ministry annual report also includes the financial statements of the Office of the Public Guardian and Trustee (OPGT).

There are no new recommendations to the department or the OPGT in this report. The department has 11 outstanding recommendations, five of which have been outstanding for more than three years.

In our *Contracting for External Services Follow-up* audit (see “Performance Audit Reports”), we report that the department implemented our two prior-year recommendations.

Recommendations

WHAT	WHEN	STATUS
<p>DEPARTMENT FUNDING SUSTAINABLE AND COST-EFFECTIVE LEGAL AID SERVICES: Determine the type and scope of services a public legal aid system can sustain</p> <p>We recommend that the Department of Justice and Solicitor General determine, through analysis, the type and scope of services Alberta’s publicly funded legal aid system can provide and sustain.</p>	May 2017, no. 1, p. 39	NOT READY
<p>DEPARTMENT FUNDING SUSTAINABLE AND COST-EFFECTIVE LEGAL AID SERVICES: Ensure the performance measures in place for legal aid services</p> <p>We recommend that the Department of Justice and Solicitor General ensure there are processes in place to measure, monitor and report on the quality, efficiency and cost effectiveness of publicly funded legal aid services.</p>	May 2017, no. 2, p. 42	NOT READY
<p>DEPARTMENT VICTIMS OF CRIME FUND: SYSTEMS TO MANAGE SUSTAINABILITY AND ASSESS RESULTS: Develop and publicly report on a plan for the Victims of Crime Fund program</p> <p>We recommend that the Department of Justice and Solicitor General:</p> <ul style="list-style-type: none"> • develop and approve a business plan with measurable desired results for the Victims of Crime Fund • publicly report on the results of this business plan 	February 2016, no. 5, p. 46	NOT READY

WHAT	WHEN	STATUS
<p>DEPARTMENT VICTIMS OF CRIME FUND: SYSTEMS TO MANAGE SUSTAINABILITY AND ASSESS RESULTS: Determine best use of Victims of Crime Fund accumulated surplus</p> <p>We recommend that the Department of Justice and Solicitor General, supported by sufficient analysis, determine an appropriate use of the Victims of Crime Fund accumulated surplus</p>	<p>February 2016, no. 6, p. 49</p>	<p>NOT READY</p>
<p>DEPARTMENT AND OFFICE OF THE PUBLIC GUARDIAN AND TRUSTEE SURPLUS MANAGEMENT AND RESULTS REPORTING: Improve results analysis processes and reporting</p> <p>We recommend that the Public Trustee and Ministry of Justice and Solicitor General improve the performance reporting for the operations of the Public Trustee.</p>	<p>February 2016, no. 4, p. 40</p>	<p>READY</p>
<p>OFFICE OF THE PUBLIC GUARDIAN AND TRUSTEE SURPLUS MANAGEMENT AND RESULTS REPORTING: Determine and manage surplus</p> <p>We recommend that the Public Trustee develop processes to effectively manage the growth and use of the accumulated surplus in the Common Fund.</p>	<p>February 2016, no. 3, p. 36</p>	<p>READY</p>
<p>OFFICE OF THE PUBLIC GUARDIAN AND TRUSTEE OFFICE OF THE PUBLIC TRUSTEE: Supervisory review of client files</p> <p>We recommend that the Office of the Public Guardian and Trustee improve its file management processes to ensure all client files are subject to adequate supervisory review.</p>	<p>February 2013, no. 2, p. 42</p>	<p>READY</p>
<p>OFFICE OF THE PUBLIC GUARDIAN AND TRUSTEE OFFICE OF THE PUBLIC TRUSTEE: Internal audit role</p> <p>We recommend that the Office of the Public Guardian and Trustee strengthen the role of its internal audit, ensuring it has adequate authority and independence to effectively perform its function.</p>	<p>February 2013, no. 3, p. 42</p>	<p>READY</p>
<p>OFFICE OF THE PUBLIC GUARDIAN AND TRUSTEE OFFICE OF THE PUBLIC TRUSTEE: Improve and follow policies</p> <p>We recommend that the Office of the Public Guardian and Trustee:</p> <ul style="list-style-type: none"> • review and assess whether its policies are appropriate, and procedures are adequate to mitigate the risk that client assets could be misappropriated or otherwise mismanaged • improve its processes for ensuring compliance with policies and procedures 	<p>February 2013, no. 4, p. 45</p>	<p>READY</p>
<p>OFFICE OF THE PUBLIC GUARDIAN AND TRUSTEE OFFICE OF THE PUBLIC TRUSTEE: Segregation of duties</p> <p>We recommend that the Office of the Public Guardian and Trustee strengthen its processes for the approval and payment of client expenses or disbursements.</p>	<p>February 2013, no. 5, p. 47</p>	<p>READY</p>
<p>OFFICE OF THE PUBLIC GUARDIAN AND TRUSTEE OFFICE OF THE PUBLIC TRUSTEE: Documentation</p> <p>We recommend that the Office of the Public Guardian and Trustee improve its processes for ensuring client files are appropriately documented, including adequate documentation of supervisory review and internal audit.</p>	<p>February 2013, no. 6, p. 48</p>	<p>READY</p>