



CITY OF PORTLAND
OFFICE OF MANAGEMENT AND FINANCE

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REPORT TO COUNCIL

To: Mayor Sam Adams

From: Ken Rust, Chief Administrative Officer

Subject: Accept the Report on Creation of Administrative Rules for the Technology Oversight Committee (Report)

Background

On February 2, 2011, City Council approved Resolution #36844 to create an independent citizen committee for specific City of Portland technology projects and directed OMF to prepare all necessary changes to City Code and Administrative Rules.

City Council directed OMF to return to Council with City Code edits and drafts of new or edited Administrative Rules in March.

OMF had been in the process of preparing edits to the City Code for sections relating to OMF authorities and responsibilities. OMF and City Attorney have identified the edits to City Code necessary to establish the Technology Oversight Committee (TOC). These edits have been incorporated into the overall set of changes to City Code prepared by OMF.

On April 6, 2011, City Council will vote to adopt the City Code changes, including those relating to the TOC.

Report to Council on Administrative Rules for the Technology Oversight Committee

Since February, OMF staff has worked with the City Auditor, City Attorney, and Commissioner Saltzman's staff to identify the changes to the Administrative Rules necessary to outline the responsibilities and scope of the Technology Oversight Committee. OMF staff prepared a preliminary draft of edits to the existing BTS Admin Rule 4.01 and a new BTS Admin Rule 1.07 for the Technology Oversight Committee. These drafts were circulated for internal review to the City Auditor, City Attorney, and staff from the offices of commissioners Saltzman and Fish.

This group met on March 11 to discuss the edits to the City Code relevant to the Technology Oversight Committee and to discuss the preliminary edits to BTS Administrative Rules. The group also discussed the timeframe of Council action on the Code changes (April 6) at which time the latest drafts of the Admin Rules would be presented to Council in a report.

An Equal Opportunity Employer

To help ensure equal access to programs, services and activities, the Office of Management & Finance will reasonably modify policies/procedures and provide auxiliary aids/services to persons with disabilities upon request.

Based on the discussion at that meeting and follow-up conversations, OMF staff has revised the edits to BTS Admin Rule 4.01, attached as Exhibit A, and new BTS Admin Rule 1.07, attached as Exhibit B. The revised versions were distributed on Friday, March 25 to the initial review group and to an additional number of staff from "customer bureaus" for their perspective. OMF plans to revise these Admin Rules further, based on feedback from the internal review and from Council. Once that feedback is incorporated, OMF will start the Administrative Rule review, per the standard Administrative Rule development process. When this process has been completed, OMF will submit the BTS Administrative Rules for City Council adoption, as directed by Council's original resolution.

The latest drafts of BTS Admin Rules 4.01, attached as Exhibit A, and 1.07, attached as Exhibit B, are incorporated into this report.

We recommend that Council accept the report.

Ken Rust, Chief Administrative Officer

TO THE COUNCIL

The Commissioner of Finance and Administration concurs with the recommendations of the Chief Administrative Officer and

RECOMMENDS

That the Council accept the report.

Respectfully submitted,

Sam Adams
Mayor

BTS-4.01 - Technology Project Intake

TECHNOLOGY PROJECT INTAKE

Administrative Rule Adopted by Office of Management and Finance Pursuant to Rule-Making Authority ARB-BTS-4.01

Policy

New technology projects that are deemed to be significant, either in terms of scope, complexity, cost, risk or a combination of these factors, will require appropriate levels of project oversight, project management and external quality assurance. Additional requirements are described in BTS 1.07 Technology Project Oversight.

The City shall adopt a consistent, efficient, and accountable approach to accepting requests for new technology projects which will:

- Reduce the number of request intake points within Bureau of Technology Services (BTS);
- Improve handoffs between parties involved in fulfilling Advanced Service Requests;
- Create efficiencies in processing Advanced Service Requests;
- Maintain a Citywide enterprise systems perspective wherever possible;
- Communicate requirements for oversight and external quality assurance;
- Acknowledge overall project costs, including upfront expenditures and ongoing operating costs.

Importance is placed on:

- Understanding customer needs as they relate to the Advanced Service Request;
- Providing BTS Management with greater insight to current Advanced Service Request loads;
- Assigning BTS functional ownership and support roles more efficiently.

This approach will be used for all Advanced (Non-standard) Technology Service Requests (defined below).

Administrative Rule

All Advanced Service Requests, except a production failure or an emergency as determined by the CTO or designee, shall be submitted using the Request Intake Process. The Request Intake Process is described on the BTS website located at <http://www.portlandonline.com/bts/rib>.

Advanced Service Requests will proceed according to the BTS Request Intake Process which will include, but is not limited to, the following high level steps:

- Bureaus and their Technology Business Consultants (TBC) will work collaboratively to prepare and submit Advanced Service Requests via the BTS Request Intake Document.
- Bureaus will prioritize their Advanced Service Requests prior to submission to BTS.
- The TBC will work with each bureau to identify a fiscal year work plan for Advanced Service Requests.
- All Advanced Service Requests will be reviewed by the Enterprise Business Solution (EBS) Division of the Office of Management and Finance to determine if an SAP solution option exists.
- All Advanced Service Requests will be reviewed and accepted or declined by the BTS Request Intake Board.
- Project size, complexity, cost, risk or a combination of these factors will determine the need for a BTS Project Manager, the level of oversight required and the level of external quality assurance required.
- Software development and purchases will be completed according to BTS Technology Standards and as referred to in BTS Administrative Rule 1.05.

- Hardware purchases will be made in accordance with BTS Technology Standards and as referred to in BTS Administrative Rule 1.05.

Definition

Advanced (Non-Standard) Service Request

An advanced service is a request to deliver new technology or service that is not defined as a standard service in the BTS Service Catalog. These will often be unique, one-time efforts characterized as projects. The BTS Service Catalog can be found here:
<http://www.portlandonline.com/bts/index.cfm?c=50658>

Standard Service Request

A standard service request is one for which BTS has existing mechanisms and repeatable processes for fulfilling. Standard service requests will be fulfilled with requests to the BTS Helpdesk, or the Procurement Services Division within the Bureau of Internal Business Services. Standard Services will be documented in the current BTS Service Catalog. The BTS Service Catalog can be found here:
<http://www.portlandonline.com/bts/index.cfm?c=50658>

Responsibility

Bureau Business Representatives

The BTS Technology Business Consultant (TBC) assigned to each bureau will document Advanced Service Requests for services in collaboration with bureau personnel.

Bureaus will be responsible for prioritizing their Advanced Service Requests.

The TBC will use the BTS Request Intake Document and the BTS Work Plan to maintain prioritized lists of bureau project requests.

The TBC will work with bureau representatives to ensure compliance with all BTS Administrative Rules and Standards.

All new applications and software purchases shall be documented in the BTS Application Database. This database shall be maintained by BTS and bureau staff as appropriate and can be found here:
<http://www.portlandonline.com/omf/index.cfm?c=52592&a=300023>.

Advanced Service Requests will be checked against the Application Database to ensure no comparable tools already exist. Relevant applications already in use shall be examined for applicability to the business requirements defined in the Advanced Service Request.

BTS and EBS will promote collaboration among bureaus to identify and implement enterprise technology solutions to address the business needs of more than one bureau.

Enterprise Business Solution (EBS) Review

SAP is the preferred solution

City business needs that require a new technology solution will be evaluated for opportunities to build on the City's existing SAP platform. An SAP solution will be the preferred option unless SAP does not clearly meet critical business requirements or the EBS Executive Steering Committee determines that there are other reasons that SAP is not the preferred solution.

Through the BTS Request Intake Process, all requests will be reviewed by EBS to evaluate SAP functionality against the requested critical business requirements. If an initial determination is made that an SAP solution exists, EBS, BTS and the bureau will work together through the EBS New Functionality process to further define whether SAP meets the critical business requirements and is a feasible solution. If it is determined that SAP is the solution, a recommendation for approval of a new functionality project will be presented to the EBS Executive Steering Committee. See:
<http://www.portlandonline.com/omf/index.cfm?c=50922&a=326852>

Additional information about EBS can be found here:

Administrative Rule History

Adopted by Council November 6, 2002, Ordinance No. 177048

Effective November 6, 2002

Revised March 16, 2006 , Ordinance No. 179999

Effective April 15, 2006

Revised May 7, 2007.

Revised (DATE TBD)

DRAFT

BTS-1.07 Technology Project Oversight

TECHNOLOGY PROJECT OVERSIGHT

Administrative Rule Adopted by Council
ARC-BTS-1.07

Purpose

City technology and communications projects can have widespread financial and operational implications to the City's business practices. The City will adopt an approach to these projects that applies project management, citizen oversight and external quality assurance. One component of project oversight will be addressed through a review from an independent citizen Technology Oversight Committee. One component of quality assurance will be addressed by having projects contract for services with a qualified, external quality assurance firm.

Administrative Rule

Bureaus will inform OMF of any projects that have significant technology and/or communications components, while they are in the conceptual stage and prior to a request for proposal (RFP) or request for information (RFI) being drafted, by using the project intake process described in BTS Admin Rule 4.01.

The director of the customer bureau and the Chief Technology Officer will confer and determine whether a project should be overseen by the Technology Oversight Committee (TOC). The Chief Administrative Officer (CAO) will be the final arbiter, if needed. Projects appropriate for TOC oversight are those that would likely have widespread impact and significant risk to the City's financial and operational practices, and include some or all of the following factors:

- implication to the City and its enterprises;
- impact to City infrastructures;
- project budget, estimated and actual;
- ratio of technology costs to overall project costs;
- level of community interest;
- anticipated technical staff resources required;
- inclusion of complex hardware and software technology components;
- public safety implications;
- number of non-City partners;
- rates or fees that may be generated for City operations;
- rates or fees that may be assessed to City users or others;
- specific factors requested for consideration by Council or the Commissioner-in-Charge;
- any other factors relevant for considering significance of the project to the City's financial and operational practices.

The TOC will review the list of projects referred to them and confirm which projects they will oversee. For projects in the conceptual stage, the TOC will review these projects to ensure they are needed, reasonably scoped, adequately resourced and feasible. The TOC will monitor projects through to completion to ensure adherence to the project's scope, timeline and budget.

The TOC will be comprised of five citizens, one selected by each member of Council. Each citizen member will have professional and/or academic experience in the relevant field of information and communication technologies. In making appointments, the Mayor and Council shall strive to have a Committee which reflects the diversity of the Portland community, especially regarding cultural and ethnic identity and gender. Each member will serve two-year terms and will be eligible for reappointment.

Responsibility

The OMF Chief Administrative Officer will serve as the Council advisor to the TOC. The TOC will be staffed by the OMF Business Operations Division. BTS will provide expertise to support the TOC through the duration of projects overseen by the TOC.

Bureaus with applicable technology projects are required to include contractual services for external quality assurance (QA). Project budgets must reflect this QA expense. Applicable City projects that involve more than one City bureau as the primary customer must have a Mayoral-appointed "lead" member of Council responsible for that project's successful completion.

BTS will pre-qualify QA firms for applicable projects. QA firms will communicate status reports to project management, oversight committees and/or City Council. Bureaus are responsible for responding to QA recommendations and to comments from the TOC in a timely and thorough fashion.

OMF will schedule the TOC to participate in quarterly public Council work sessions or regular Council meetings. The TOC will provide City Council with an annual work plan detailing City technology projects under their review.

History

Adopted via Council ordinance xxx, April 6, 2011

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Agenda No.
REPORT NO.
Title

Accept the Report on Creation of Administrative Rules for the Technology Oversight Committee (Report)

<p style="text-align: center;">INTRODUCED BY Commissioner/Auditor: Mayor Sam Adams</p>	<p>CLERK USE: DATE FILED <u>APR 01 2011</u></p>
<p style="text-align: center;">COMMISSIONER APPROVAL</p> <p>Mayor—Finance and Administration - Adams <i>[Signature]</i></p> <p>Position 1/Utilities - Fritz</p> <p>Position 2/Works - Fish</p> <p>Position 3/Affairs - Saltzman</p> <p>Position 4/Safety - Leonard</p>	<p style="text-align: right;">LaVonne Griffin-Valade Auditor of the City of Portland</p> <p>By: <u><i>[Signature]</i></u> Deputy</p>
<p style="text-align: center;">BUREAU APPROVAL</p> <p>Bureau: Office of Management and Finance Bureau Head: Kenneth L. Rust, Chief Administrative Officer <i>[Signature]</i></p>	<p>ACTION TAKEN:</p> <p style="font-size: 1.2em; font-weight: bold;">APR 06 2011 ACCEPTED</p>
<p>Prepared by: Celia Heron Date Prepared: March 28, 2011</p>	
<p>Financial Impact Statement</p> <p>Completed <input type="checkbox"/> Amends Budget <input type="checkbox"/> Not Required <input checked="" type="checkbox"/></p>	
<p>Council Meeting Date April 6, 2011</p>	
<p>City Attorney Approval</p>	

AGENDA
<p>TIME CERTAIN <input type="checkbox"/></p> <p>Start time: _____</p> <p>Total amount of time needed: _____ (for presentation, testimony and discussion)</p>
<p>CONSENT <input type="checkbox"/></p>
<p>REGULAR <input checked="" type="checkbox"/> <i>20f2</i></p> <p>Total amount of time needed: 10 mins (for presentation, testimony and discussion)</p>

FOUR-FIFTHS AGENDA	COMMISSIONERS VOTED AS FOLLOWS:		
		YEAS	NAYS
1. Fritz	1. Fritz	✓	
2. Fish	2. Fish	✓	
3. Saltzman	3. Saltzman	✓	
4. Leonard	4. Leonard	✓	
Adams	Adams	✓	