

information

Thanksgiving closures

Most City of Portland offices will be closed Thursday, Nov. 28, and Friday, Nov. 29, for the Thanksgiving holiday.



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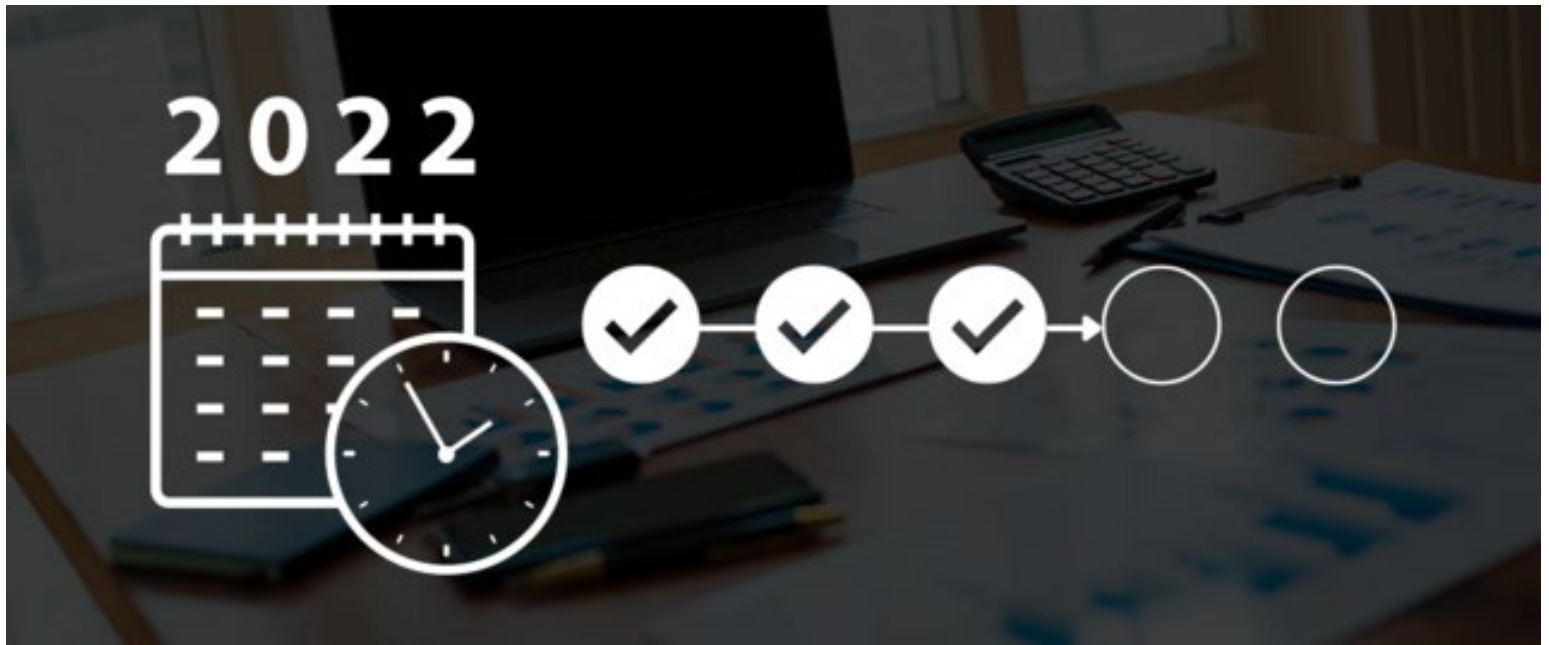
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Annual Status Report 2022

Information



In 2022, we were tracking 40 audits with 226 recommendations. Topics ranged from internal financial focused subjects, such as payment card use and construction costs, to programs that impact Portlanders directly, such as the City's approach to policing gun violence and cleaning up homeless camps.



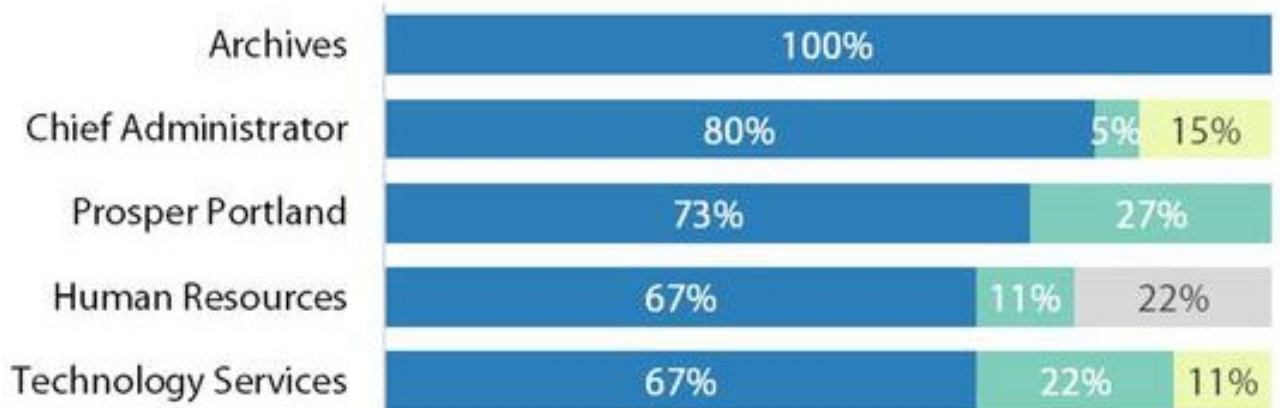
We are monitoring recommendations that apply to 19 different city bureaus and to all city commissioners. This report includes recommendation status as of December 31, 2022.

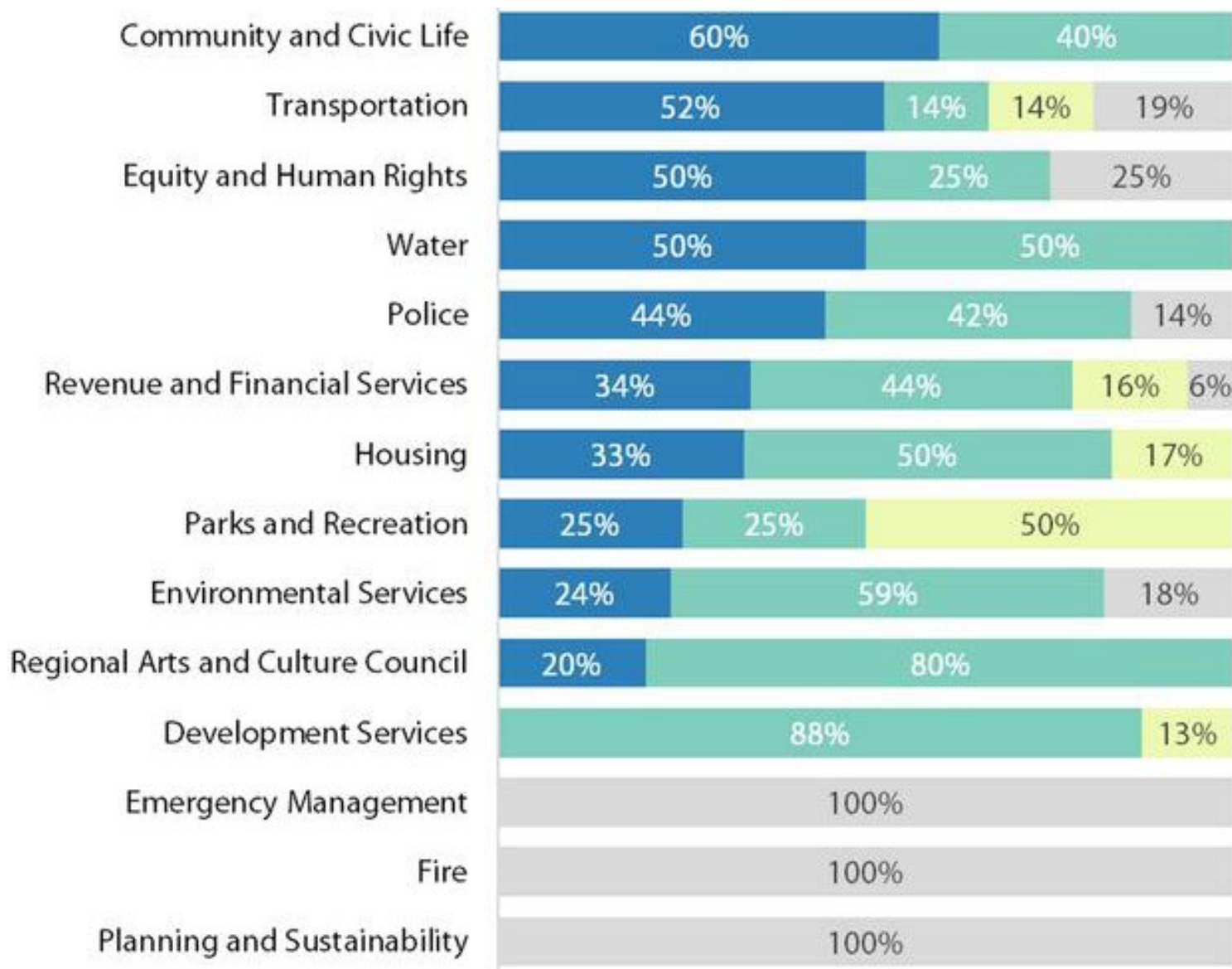
Summary

The Archives, Chief Administrative Officer, and Prosper Portland topped the list of percentage of recommendations implemented with 100, 80, and 73 percent. For the second year, the Parks and Recreation Bureau topped the list of not implemented recommendations with 50 percent. These were related to the recreation program scholarship audit.

As of the end of 2022, most Bureaus had implemented or begun to implement audit recommendations

Key: **Implemented** **In Process** **Not Implemented** **Pending**



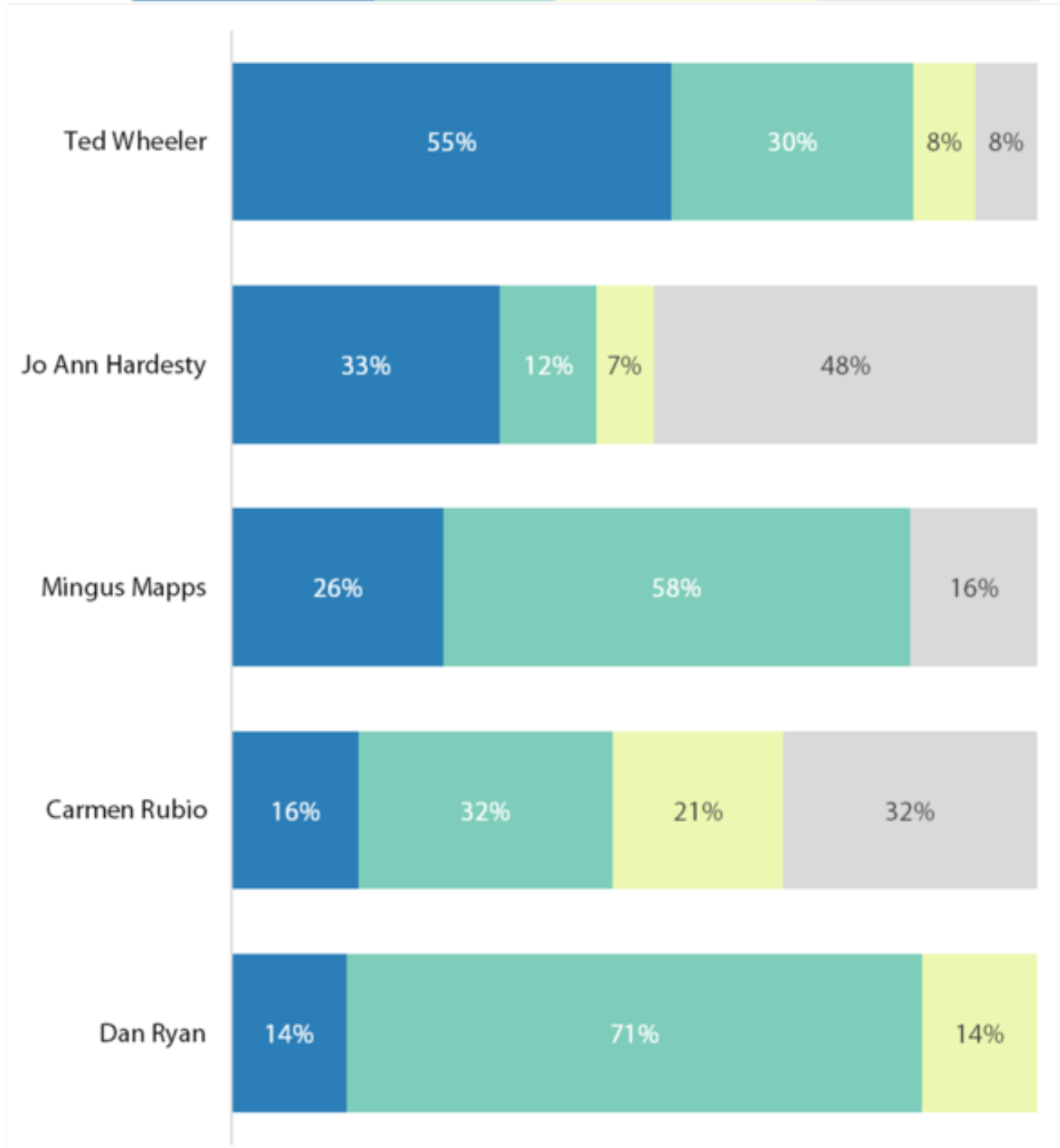


The Bureaus assigned to Ted Wheeler implemented the highest percentage of recommendations: 55 percent. Bureaus assigned to Carmen Rubio had the highest percentage of not implemented recommendations: 21 percent. These were all related to recommendations made to the Parks and Recreation Bureau from the recreation program scholarship audit. Bureau assignments below reflect assignments as of the end of 2022, since then, the Mayor has [reassigned bureaus to align with common service areas](#).

Bureaus assigned to Mayor Wheeler had the highest percentage of implemented recommendations.

Percentage of Recommendations by Status

Key: **Implemented** **In Process** **Not Implemented** **No Flw-Up Yet**



In 2022 we produced four new audits:

- [Collection of Taxes, Fines, and Fees](#)
- [Portland Clean Energy Fund](#)

- [Police Intelligence Gathering](#)
- [Portland Fire and Rescue Accountability System](#)

We'll follow up on recommendations for those audits starting in 2023.

Archives

We are tracking one Archives and Records Management audit: Data Loss Prevention. The audit focused on Bureau of Human Resources practices but made two recommendations to Archives because some Human Resources records are archived. Archives implemented our recommendation to monitor user permissions immediately after the audit. In 2021, Archives implemented our second recommendation to promptly test and apply updates.

► [View details from specific audits and recommendations about Archives](#)

Chief Administrator

We are tracking four audits that made 20 recommendations to the Chief Administrative Officer. Two audits addressed the renovation of the Portland Building, one involved homeless camp cleanups, and one assessed City-issued credit card use. Most of the recommendations are internally focused and suggest procedures to tighten up construction and credit card use monitoring. However, the homeless camp clean-up recommendations involve a high priority issue of public concern. The Chief Administrative Officer has implemented 16 recommendations, one is in process, and three are not implemented.

► [View details from specific audits and recommendations about the Chief Administrative Officer](#)

Community and Civic Life

We are tracking two audits within the Office of Community and Civic life related to the City's new Cannabis Program. The audits made five recommendations to Civic Life to improve regulation of the cannabis industry and the allocation of cannabis tax funds. We reported in 2020 that Civic Life had implemented our recommendation to work with City Council to improve transparency and accountability in the allocation of cannabis tax funds. Civic Life has implemented three recommendations, and two are in process.

[▶ View details from specific audits and recommendations about Community and Civic Life](#)

Development Services

We are tracking two audit reports and eight recommendations within the Bureau of Development Services. The reports assessed short-term rental regulation and the building permits system. Development Services has seven recommendations in process, and one is not implemented.

[▶ View details from specific audits and recommendations about Development Services](#)

Emergency Management

We are tracking one audit that made seven recommendations to Emergency Management. The audit was about disaster planning for people with disabilities. All seven recommendations are pending follow-up.

[▶ View details from specific audits and recommendations about Emergency Management](#)

Environmental Services

We are tracking three reports and 17 recommendations at Environmental Services. Our 2018 audits of stormwater management on private property and green infrastructure found that improved data administration and program evaluation would bring these assets to the same standard as more traditional infrastructure assets. An audit in 2021 focused on the Bureau's arrangement with the Transportation Bureau to maintain sewer systems. Environmental Services has implemented four recommendations, 10 are in process, and three are pending.

[▶ View details from specific audits and recommendations about Environmental Services](#)

Equity and Human Rights

We are tracking two audits and three recommendations at the Equity and Human Rights Office. One audit was about implementation of requirements in the Americans with Disabilities Act and the other was about preparation for emergencies. The Office has implemented two recommendations, one is in process, and one is pending.

▶ [View details from specific audits and recommendations about Equity and Human Rights](#)

Fire

We are tracking one audit that made nine recommendations to the Fire Bureau. All nine recommendations are pending.

▶ [View details from specific audits and recommendations about Fire](#)

Housing

We are tracking three audits that made six recommendations to the Portland Housing Bureau. The audits assessed short-term rental regulation, the housing bond, and urban renewal in the Lents neighborhood. We reported in 2020 that Housing implemented our recommendation to provide specific information about the underlying rationale for housing bond decisions. Housing has implemented two recommendations, three are in process, and one is not implemented.

▶ [View details from specific audits and recommendations about Housing](#)

Human Resources

We are tracking two audits that made nine recommendations to Human Resources. Our 2018 data loss prevention audit made seven recommendations to the Bureau of Human Resources. A second audit was about Human Resources' role in increasing accountability in the Fire Bureau. Human Resources has implemented six recommendations, one is in process, and two are pending.

▶ [View details from specific audits and recommendations about Human Resources](#)

Parks and Recreation

We are tracking two audits and eight recommendations at the Parks Bureau. Audit topics include need-based financial aid for recreation programs and the financial stability of the golf program. Parks and Recreation has implemented two recommendations, two are in process, and four are not implemented. The Bureau did not implement any of the recommendations related to financial aid due to budget constraints. The Bureau should work with City Council to reconsider these recommendations which will increase access to recreation programs.

[▶ View details from specific audits and recommendations about Parks and Recreation](#)

Planning and Sustainability

We are tracking one audit that made six recommendations to Planning and Sustainability. All six recommendations are pending.

[▶ View details from specific audits and recommendations about Planning and Sustainability](#)

Police

We are tracking five audits and 36 recommendations at the Police Bureau. Two reports are related to the former Gang Enforcement Team, one is related to training, one is related to overtime, and one is related to intelligence gathering. The Police Bureau has implemented 16 recommendations, 15 are in process, and five are pending. The Bureau disbanded the Gang Team but is developing a successor program to investigate and proactively interrupt gun crimes and the recommendations still apply.

[▶ View details from specific audits and recommendations about Police](#)

Prosper Portland

We are tracking three audit reports and 11 recommendations within Prosper Portland. The audits assessed property management practices, urban renewal in the Lents neighborhood, and pandemic relief grants for small business. Prosper Portland has implemented eight recommendations, and three are in process.

[▶ View details from specific audits and recommendations about Prosper Portland](#)

Regional Arts and Culture Council

We are tracking one audit that made five recommendations to Regional Arts and Culture Commission. One recommendation has been implemented, and four are in process.

[▶ View details from specific audits and recommendations about the Regional Arts and Culture Council](#)

Revenue and Financial Services

We are tracking six audits that made 32 recommendations to the Bureau of Revenue and Financial Services. The audits assessed risk management, short-term rental regulation, Enhanced Service Districts, contracting equity programs, use of purchase cards, and collections. The Bureau has implemented 11 recommendations, 14 are in process, five are not implemented, and two are pending.

[▶ View details from specific audits and recommendations about Revenue and Financial Services](#)

Technology Services

We are tracking one Technology Services audit, Data Loss Prevention, with 18 recommendations. The audit focused on practices used by Human Resources but included Technology Services because it is responsible for managing some aspects of data maintenance. We are keeping details about “in process” recommendations confidential because of the sensitivity of information about potential computer or system weaknesses. These sensitive details are exempt in state law from public disclosure. Technology Services has implemented 12 recommendations, four are in process, and two are not implemented.

[▶ View details from specific audits and recommendations about Technology Services](#)

Transportation

We are tracking four reports and 21 recommendations at the Transportation Bureau. Report topics include regulation of transportation network companies (such as Uber and Lyft), consideration of neighborhood impacts when planning for transportation projects, implementation of accountability commitments for projects funded by the City gas tax and heavy vehicle tax, and the partnership with the Environmental Services Bureau to maintain sewer infrastructure. The Bureau has implemented 11 recommendations, three are in process, three are not implemented, and four are pending.

[▶ View details from specific audits and recommendations about Transportation](#)

Water

We are tracking one audit within the Portland Water Bureau. Our 2020 audit of groundwater

management recommended that Water formalize the groundwater program’s decision-making roles and organizational structure and develop a long-term plan to prioritize groundwater system needs. The Bureau has implemented one recommendation, and one is in process.

► [View details from specific audits and recommendations about Water](#)

Translated reports

Most reports are available in four languages: Spanish, Vietnamese, Chinese, and Russian. We are translating new reports as they’re released, but older reports may not be available in a language other than English. If you would like to request a translated version of a report, please contact [KC Jones](#).

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Archives and Records Management Division 2022 Audit Status Report

Information

We are tracking one Archives and Records Management audit: Data Loss Prevention.

Elected-in-charge: Mary Hull Caballero

Bureau or Office Director: Diana Banning

We are tracking one Archives and Records Management Audit: Data Loss Prevention

The audit focused on Bureau of Human Resources practices but made two recommendations to Archives because some Human Resources records are archived. Archives implemented our recommendation to monitor user permissions immediately after the audit. In 2021, Archives implemented our second recommendation to promptly test and apply updates.



Highlight from Last Year

There was no activity in 2022.

To Do

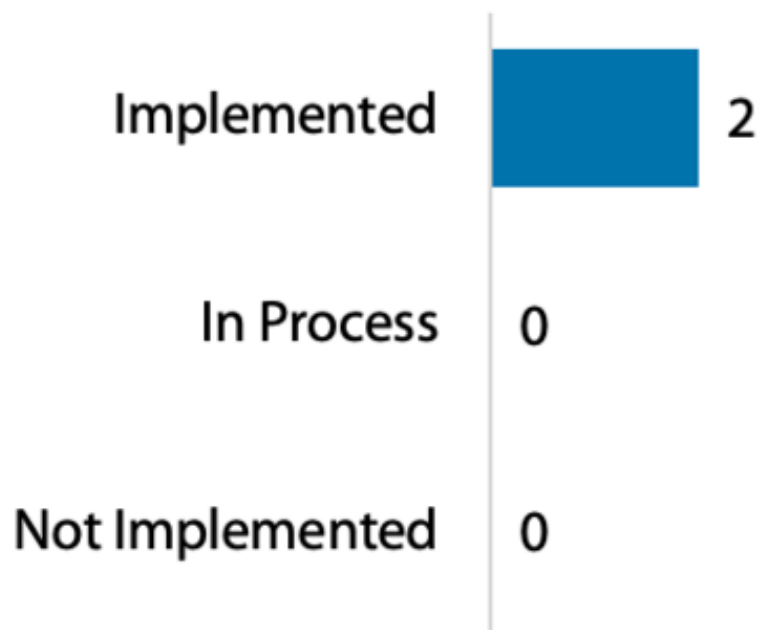
There are no outstanding Archives recommendations.

Data Loss Prevention Archives

[Report](#) published October 29, 2018 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

In 2018, we reported that the City's steps to prevent data loss was relatively sound but needed to be strengthened. The purpose of the audit was to assess if the Bureau of Technology Services' approach to data loss prevention was well-designed and implemented effectively. Testing centered on practices used by Human Resources and other bureaus and offices to manage and protect data they create and use in a variety of formats, including paper, electronic, and removable media. We kept the details of the report confidential because of the sensitivity of information about potential computer or system weaknesses, which is exempt in state law from public disclosure. Recommendations we found to be "in process" remain confidential. We made a total of 27 recommendations. Three years later, most of them have been implemented, and the City's Data Loss Prevention Program is stronger.

On this audit there were two recommendations implemented.



Implemented Recommendation Details

We recommended Archives perform regular monitoring of system user permissions to ensure independence within security roles.

Archives said it is now reviewing system permissions with each upgrade. (Data Loss Prevention Archives)



We recommended Archives test and apply software updates as they were released. Archives said that it updated its system every two years when major upgrades were deployed. Archives reported that it takes a risk-based approach for minor patches, considering factors such as compatibility requirements and new features. (Data Loss Prevention Archives)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

- City Council can use it to identify bureaus that may need additional resources or support in order to implement recommendations.
- Bureau directors can use it to assess bureau performance and to determine if any changes in policy or procedure are necessary.

- Bureau management and staff can use it to track recommendation status across audits to develop work plans and priorities.
- General public can use it to monitor the status of recommendations related to topics of interest and to compare performance across bureaus.

This report includes recommendation status as of December 31, 2022.

Translated reports

Most reports are available in four languages: Spanish, Vietnamese, Chinese, and Russian. We are translating new reports as they're released, but older reports may not be available in a language other than English. If you would like to request a translated version of a report, please contact [KC Jones](#).

Links

- **Data Loss Prevention Archives**

- Report <https://www.portland.gov/sites/default/files/2021/data-loss-prevention-10-29-2018.pdf>
- Follow-up <http://www.portland.gov/year3data-loss-prevention>

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Chief Administrator 2022 Audit Status Report

Information

We are tracking four audits that made 20 recommendations to the Chief Administrative Officer. Two audits addressed the renovation of the Portland Building. One audit involved homeless camp cleanups and the other audit assessed City-issued credit card use.

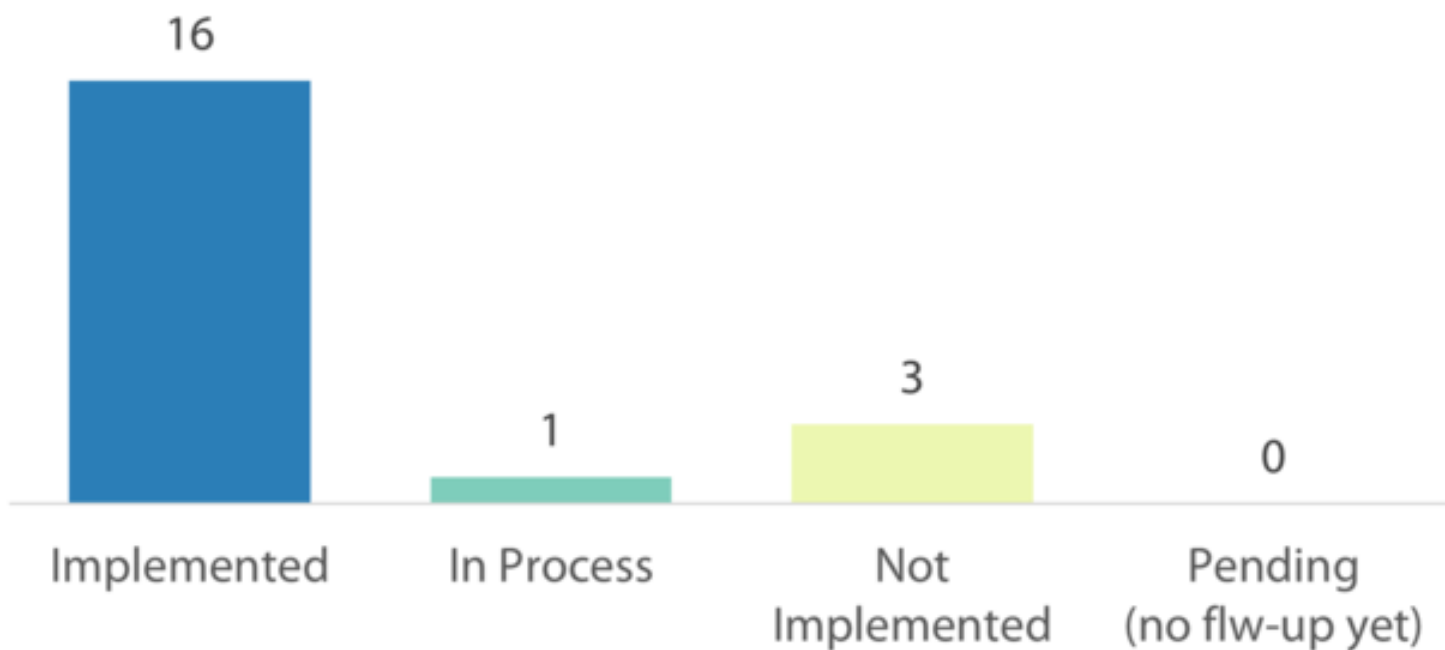
Elected-in-charge: Mayor Ted Wheeler

Bureau or Office Director: Chief Administrative Officer Mike Jordan

We are tracking four reports and 20 recommendations

Recommendations

The Chief Administrative Officer has implemented 16 recommendations, one is in process, and three are not implemented.



Most of the recommendations are internally focused and suggest procedures to tighten up construction and credit card use monitoring. However, the homeless camp clean-up recommendations involve a high priority issue of public concern.

Highlight from Last Year

We recommended that the Chief Administrative Officer complete the remaining State and local historic preservation requirements for the Portland Building. The City and the State Historic Preservation Office signed a mitigation agreement in March 2021 that is in effect through June 2025. As part of that agreement, the City completed mitigation tasks including an exterior interpretive display, interior history wall, a monograph, and a web-based panel discussion.

To Do

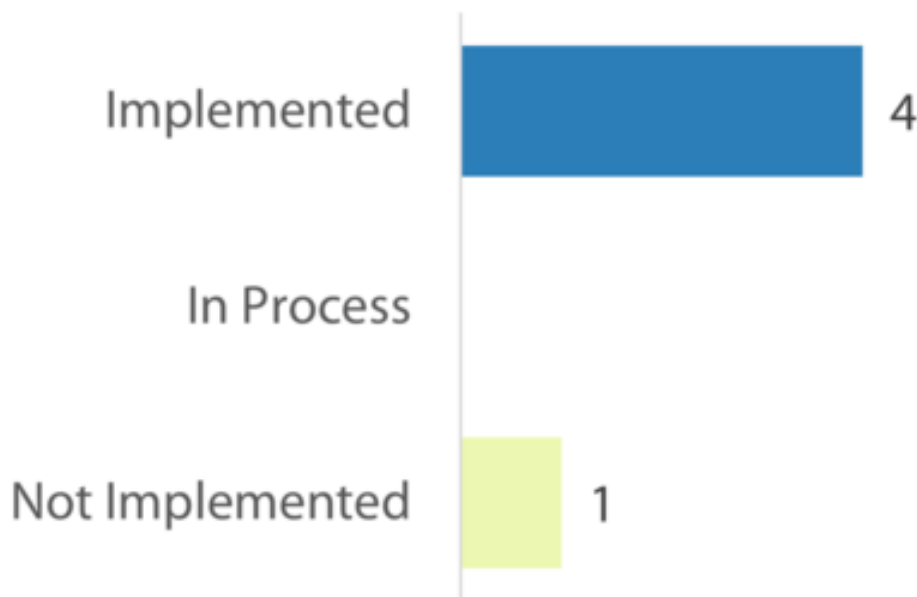
We recommended the Office of Management and Finance determine who is responsible for monitoring compliance with rules throughout the purchase cycle and ensure they have the appropriate authority to enforce them. The draft of the new manual outlines the positions responsible for monitoring compliance and what they are expected to do. The manual references a separate matrix that further clarifies compliance responsibilities throughout the purchase cycle. Procurement Services should include the matrix in the new manual. The Accounting Division plans to assign some support duties for the Procurement Card Program to a new position. It estimated that the new position will add about 2,000 hours a year to improve internal controls and monitoring. The draft manual includes a "three-strikes" model with escalating consequences for policy violations. The manual states that the Procurement Card Administrator has the right to suspend or terminate cards at any time.

Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success

[Report](#) published December 29, 2016 | [Follow-up report](#) | Contact [Tenzin Gonta](#)

The City decided to renovate the iconic Portland Building in 2015. We identified risks during early renovation planning in 2016. Since then, the City implemented the recommendations related to equity grants and historic preservation. The City did not implement our budget transparency recommendation but made progress in its compliance with the Americans with Disabilities Act.

On this audit there were four recommendations implemented and one not implemented.



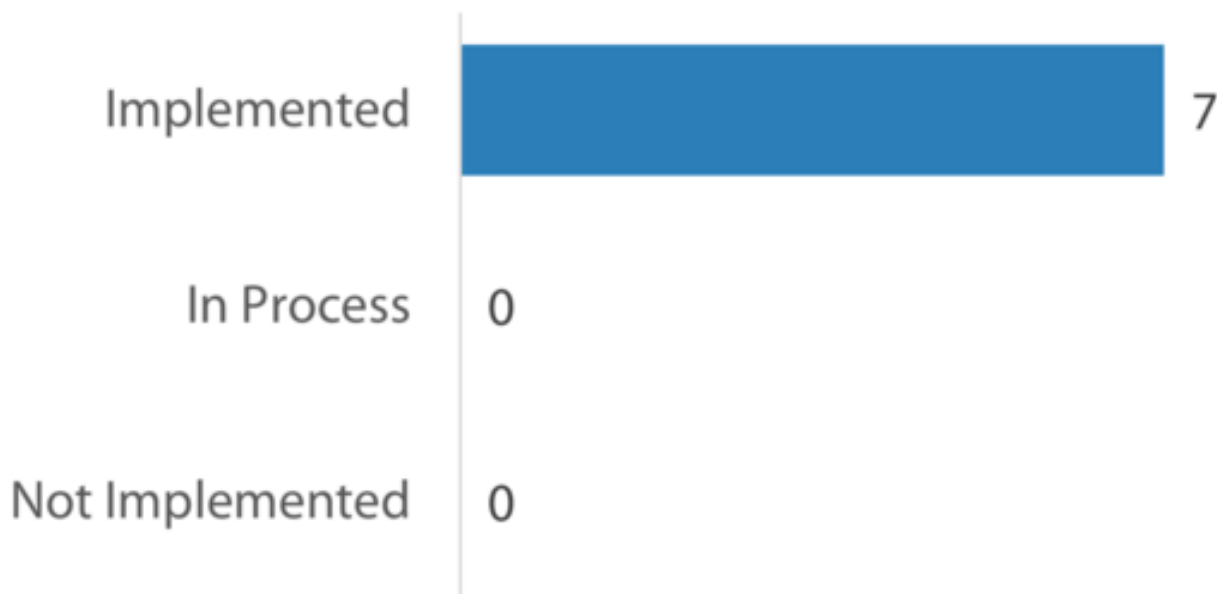
Cleanups of Homeless Camps: Improved communications and data needed

[Report](#) published March 31, 2019 | [Follow-up report](#) | Contact [Minh Dan Vuong](#)

The City's Homelessness and Urban Camping Impact Reduction Program is responsible for coordinating clean up and abatement of areas where people live in tents and makeshift shelters on City property. It takes complaints, assesses campsites, removes trash, and sometimes displaces camp residents. Our 2019 audit found that the City's program needed to improve public information, data analysis, and some internal policies. In the first year after the audit, the program improved how it takes care of the property of people displaced from camps and began to build a web application to better track its work. The Program implemented recommendations related to improving communication with

people living outside, contractors, and people submitting complaints, storage procedures, data systems and analysis, and risk assessments for clean-up sites. In late 2022, the Program created an online dashboard to provide real time information on site clean-up status.

On this audit there were seven recommendations implemented.

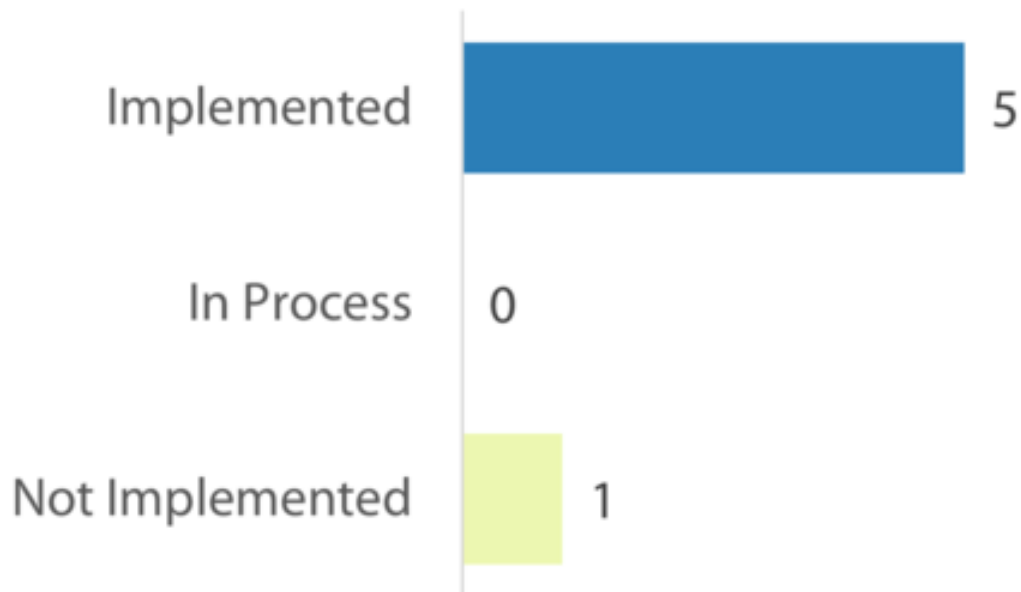


Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now

[Report](#) published October 3, 2019 | [Follow-up report](#) | Contact: [Tenzin Gonta](#)

Our 2019 report found the Portland Building renovation costs reviewed were consistent with the construction contract, although key tasks remained to prepare for final payment. The City Auditor hired construction audit experts to review the City’s compliance with the Portland Building construction contract. That audit focused on how the contractor was compensated for costs, submitted contract changes, and selected subcontractors. The City approved final payment of \$159.7 million to the contractor in November 2021. The final value of the construction contract was \$161 million, which reflects a \$2.5 million increase from what we reported last year. The final payment included a City-approved \$1.7 million performance incentive. The City has implemented all but one of the recommendations. The exception is delivery of a report documenting lessons learned throughout the project.

On this audit there were five recommendations implemented and one not implemented.

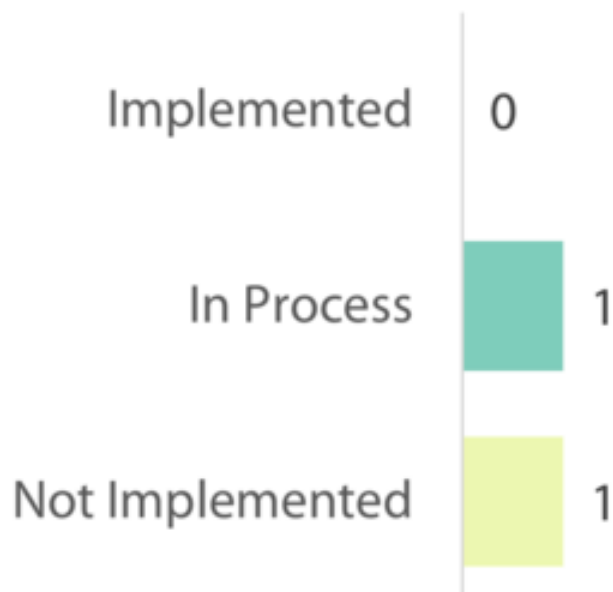


City credit card use slowed during pandemic but exposed underlying risks

[Report](#) published April 14, 2021 | [Follow-up Report](#) | Contact: [Jenny Scott](#)

We identified risks during the pandemic when employees began working from home and using City-issued credit cards outside of the usual safeguards. Procurement Services is on track to address most of the risks by updating its manual and initiating cardholder testing later this year. A Citywide policy on gift cards and volunteer compensation still needs to be developed.

On this audit there was one recommendation not implemented and one in process.



Not Implemented Recommendation Details

We recommended that the Chief Administrative Officer present budget-to-actual reports that reflect the complete Portland Building renovation costs that tied to the original \$195 million budget for the main project as well as approved side

projects that in 2019 were expected to collectively total \$214 million, less financing costs. The City did not implement this recommendation during the project. Reports to Council and the Oversight Committee focused only on the main project. Other public reports presented this information in piecemeal. As a result, the total renovation costs were not clear or transparent to decision-makers or the public. As of November 2022, the new Chief Administrative Officer intends to provide Council with the final accounting of all projects related to the Portland Building reconstruction by February 2023. (Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success)



We recommended the City identify lessons learned and distribute this information to bureaus that manage large-scale capital construction projects. The City created a project playbook with lessons learned but it did not address the areas of concern mentioned in the recommendation including the need for clear and specific contract language, better cost identification and linkages to project documents, preventive controls to ensure timely billing, monthly contractor billings in a sortable electronic format to allow for in-depth review, written procedures for bill approval for specific cost types, formal project management procedures to best control cost/scope/schedule, and an audit function

early in the project to allow for detailed testing of cost allowability. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

We recommended the Office of Management and Finance develop a Citywide policy to address the purchase, documentation, safeguarding, and appropriate use of gift cards, including guidance specific to rewarding volunteers. The Office of Management and Finance had not dedicated the resources to develop a policy about gift cards. A Procurement Services manager agreed a policy is necessary to address inconsistency and improve understanding of sound financial practices across the City. In the absence of a Citywide policy, the Bureau of Financial Services has prohibited bureaus from purchasing gift cards without the approval of the Accounting Division. It has directed bureaus to work with the City Treasurer to buy them. The manager acknowledged this practice is allowing the continued inconsistent use of gift-cards. (City credit card use slowed during pandemic but exposed underlying risks)

In Process Recommendation Details

We recommended the Office of Management and Finance determine who is responsible for monitoring compliance with rules throughout the purchase cycle and ensure they have the appropriate authority to enforce them. The

draft of the new manual outlines the positions

responsible for monitoring compliance and what they are expected to do. The manual references a separate matrix that further clarifies compliance responsibilities throughout the purchase cycle.

Procurement Services should include the matrix in the new manual. The Accounting Division plans to assign some support duties for the Procurement Card Program to a new position. It estimated that the new position will add about 2,000 hours a year to improve internal controls and monitoring. The draft manual includes a "three-strikes" model with escalating consequences for policy violations. The manual states that the Procurement Card Administrator has the right to suspend or terminate cards at any time. (City credit card use slowed during pandemic but exposed underlying risks)



Implemented Recommendation Details

We recommended grant reporting to Council as required by the original Portland Building Resolution and informing applicants of City's grantmaking status. Council's direction to disburse these funds in a timely manner during the Portland Building project was not met.



Planned grants to support disadvantaged workers and businesses were not disbursed prior to construction completion. However, after our audit report, City Council adopted a January 2020 ordinance that supersedes the 2016 resolution about the Portland Building grants and transfers responsibilities to Prosper Portland for grant administration. Prosper Portland and a nonprofit partner made the first awards to grant recipients in July 2020. The Chief Administrative Officer reported to City Council in August 2019 and June 2020 with updates about grant administration preparations. While the timeliness requirement was not met, our recommendation - based on Council's 2016 resolution - to disburse and report on grants is now implemented. Applicants that applied for grants in August 2018 were notified in July 2019 that the City had cancelled those planned awards. (Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success)

We recommended removing ratepayer funds from the Portland Building project community benefits budget if future grants are not reasonably related to the provision of water and sewer services. The project team reports it removed about \$364,000 in ratepayer funds from the community benefits budget. To make up the difference, tenant bureaus that use other City funding will increase their contributions to keep the budget at \$1 million. The increase impacts bureaus funded by General and Transportation Funds most significantly. (Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success)

We recommended that the Chief Administrative Officer complete the remaining State and local historic preservation requirements for the Portland Building. The City and the State Historic Preservation Office signed a mitigation agreement in March 2021 that is in effect through June 2025. As part of that agreement, the City completed mitigation tasks including an exterior interpretive display, interior history wall, a monograph, and a web-based panel discussion. (Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success)

We recommended the Chief Administrative Officer report on the status of accessibility barriers at the Portland Building. The project team has continued to consult with City staff with expertise with the Americans with Disabilities Act. The project team said that that it has an approach to address reasonable accommodations for the public as well as City employees. The City plans to finish this work now that the building is open to the public and occupied by employees. (Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success)

We recommended improving communication to people experiencing homelessness about when crews will most likely clear the camp and improving the durability of the notices. In addition to posting notices, crews go to cleanup locations one day ahead to tell people of the upcoming cleanup. Crews also give people at least one hour to pack their belongings. (Cleanups of Homeless Camps: Improved communications and data needed)

We recommended ensuring that contractors have a common understanding of what the City considers personal property. Crews changed their processes. Crews pack property in clear plastic

bags and warehouse staff photograph and inventory property. Crews receive on-going training. The program website describes what property will be stored and what will be discarded. (Cleanups of Homeless Camps: Improved communications and data needed)

We recommended ensuring that contractors improve storage policies and procedures, including extra safeguards for sensitive property. The program uses a larger warehouse and has eased access for people picking up their property. Sensitive property, such as identification cards, are now stored indefinitely in a secure room. (Cleanups of Homeless Camps: Improved communications and data needed)

We recommended clarifying the assessment risk factors and scoring, identifying what risk factors require photographic documentation, and establishing a common understanding of the criteria among the crews who carry out the assessments. The program said it improved the consistency of assessments and put quality controls in place. Photos are required of all materials and debris at campsites. (Cleanups of Homeless Camps: Improved communications and data needed)

We recommended that the program use data to analyze and improve the effectiveness of cleanups. The program is now using system data to adapt to changing conditions caused by the pandemic. Improved data allows the program to be more responsive to requests for information from policy makers. (Cleanups of Homeless Camps: Improved communications and data needed)

We recommended the program establish data systems to improve data quality and reduce manual processes. In 2022, the program began using a new system which automates many processes. (Cleanups of Homeless Camps: Improved communications and data needed)

We recommended that the program give status updates to people making complaints. The program resumed developing a web application in spring 2022 after an interruption due to the COVID-19 pandemic. In late 2022, the program published a public dashboard for community members to see real-time status updates. (Cleanups of Homeless Camps: Improved communications and data needed)

We recommended that the City classify costs into categories that determined which documentation the City could review. The classification was a missing piece of information needed by the City to assess contract compliance, evaluate reasonableness of costs, and help calculate final payment to its contractor. The City completed the cost classification that aligned with the contract amount as of December 2020. The completed classification confirmed estimates in the 2019 audit report that the City had the right to audit detailed invoices and actual costs for about half of the contract amount. The remainder of the costs were not eligible to be audited because, for example, the price was fixed for an agreed upon scope of work. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

We recommended the City use a construction auditor to assist with cost reconciliations and help identify any questionable costs or potential cost savings. The City used an owner's

representative to help manage the Portland Building renovation. The owner's representative contract included a provision for audit services and an audit subconsultant started working for the City's owner team in January 2020. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

We recommended that the City develop a plan for the work leading up to the calculation of final payment to the contractor. This is because cost reconciliations for large construction projects can be time consuming. For example, it is critical for the City to compare estimates billed to actual costs paid by the contractor. The City developed a two-part audit plan and identified the parties involved, role, responsibilities, and timeframes for completion. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

We recommended the City reconcile costs in phases during the project rather than wait until construction closeout. The construction auditor reviewed billed costs through August 2020 when the project was about 97 percent complete. The City has since addressed the items identified by the construction audits, published in July and December 2020. For example, the City pursued credits for instances when it was overcharged. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

We recommended that the City scrutinize contractor rates for personnel costs other than salary or wages, such as health benefits and unemployment taxes. Personnel costs is one of the largest areas for potential cost savings during construction audits. During last year's audit, the construction auditor hired by the City found the contractor accurately calculated rates for their personnel costs and did not recommend more work. The construction auditor did recommend more work after their initial examination of subcontractor personnel costs. The project team has since addressed those items the City decided to pursue. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

- City Council can use it to identify bureaus that may need additional resources or support in order to implement recommendations.
- Bureau directors can use it to assess bureau performance and to determine if any changes in policy or procedure are necessary.
- Bureau management and staff can use it to track recommendation status across audits to develop

work plans and priorities.

- General public can use it to monitor the status of recommendations related to topics of interest and to compare performance across bureaus.

This report includes recommendation status as of December 31, 2022.

Translated reports

Most reports are available in four languages: Spanish, Vietnamese, Chinese, and Russian. We are translating new reports as they're released, but older reports may not be available in a language other than English. If you would like to request a translated version of a report, please contact [KC Jones](#).

Links

- **Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success**
 - **Report** <https://www.portland.gov/audit-services/Portland-Building-Reconstruction>
 - **Follow-up** <https://www.portland.gov/year2PortlandBuilding>
- **Cleanups of Homeless Camps: Improved communications and data needed**
 - **Report** <https://www.portland.gov/audit-services/news/2019/3/20/clean-ups-homeless-camps-improved-communications-and-data-needed>
 - **Follow-up** <http://www.portland.gov/year2campscleanups>
- **Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now**
 - **Report** <https://www.portland.gov/audit-services/news/2019/10/3/portland-building-contract-costs-reviewed-were-consistent-contract>
 - **Follow-up** <https://www.portlandoregon.gov/auditservices/article/779486>
- **City credit card use slowed during pandemic but exposed underlying risks**
 - **Report** <https://www.portland.gov/pcard-audit>
 - **Follow-up** <http://www.portland.gov/year1pcard>

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Office of Community and Civic Life 2022 Audit Status Report

Information

We are tracking two audits within the Office of Community and Civic life related to the City's Cannabis Program.

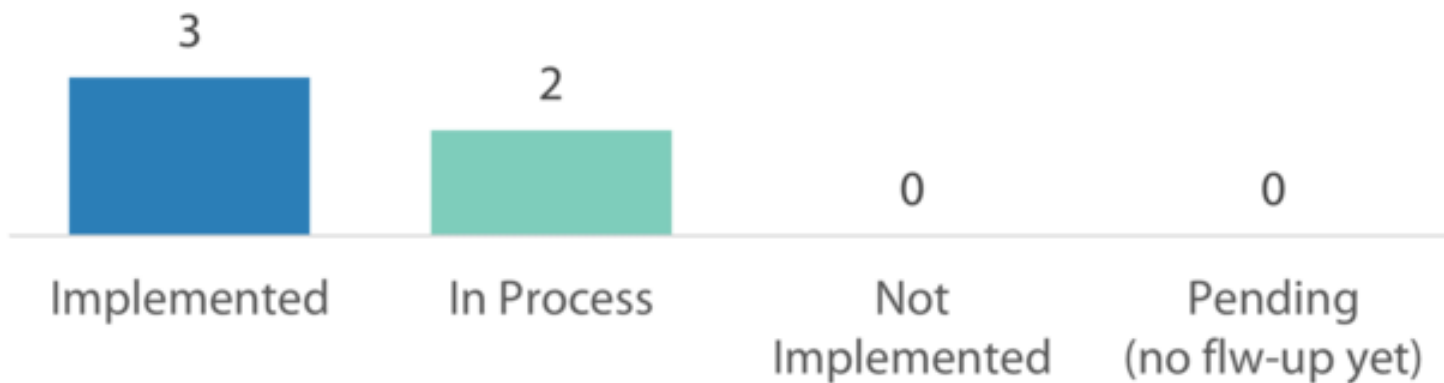
Elected-in-charge in 2022: Jo Ann Hardesty

Bureau or Office Director: Michael Montoya

We are tracking two reports and five recommendations

The audits made five recommendations to Civic Life to improve regulation of the cannabis industry and the allocation of cannabis tax funds. We reported in 2020 that Civic Life had implemented our recommendation to work with City Council to improve transparency and accountability in the allocation of cannabis tax funds. Civic Life is in the process of implementing two recommendations.

Three recommendations were implemented and two were in process.



Highlight from Last Year

We recommend that the Office of Community & Civic Life develop a grant process, which includes clarifications for how the grants will be awarded and managed, what outcomes will be achieved, and how outcomes will be reported to City Council. Civic Life improved its process by developing goals and a timeline. A community panel reviews proposals for grant funding. Civic Life aligned the grants process in 2021 with the City's fiscal year and allocated \$1.8 million in Social Equity and Educational Development (SEED) grants, which is more than the three previous years combined. The initiative's goals are to rectify past racially biased cannabis policies and disparate cannabis-related arrests and to repair the lasting legal, social, economic, and inter-generational consequences past cannabis prohibition had on Black and brown communities. Civic Life reported the grant allocations to the public and made it easily accessible to potential grantees.

To Do

We recommended that Civic Life inform Council and the public about cannabis regulation through a monitoring report or other communication tools that include information on program performance and the cannabis industry. This information should be used to revise and update program strategy as needed. The program developed fact sheets and presentations and redesigned its website to share information about cannabis rules and regulations, the Cannabis Program, and available grant and emergency funding. The Cannabis Policy Oversight Team, an advisory body to the Office of Community & Civic Life, released three annual reports with insights about the evolving cannabis industry and policy recommendations for the City and state. When Civic Portal is fully operational, the program manager anticipates having additional performance information. The manager would like future reports to include program and industry performance measures. The program hired a limited-

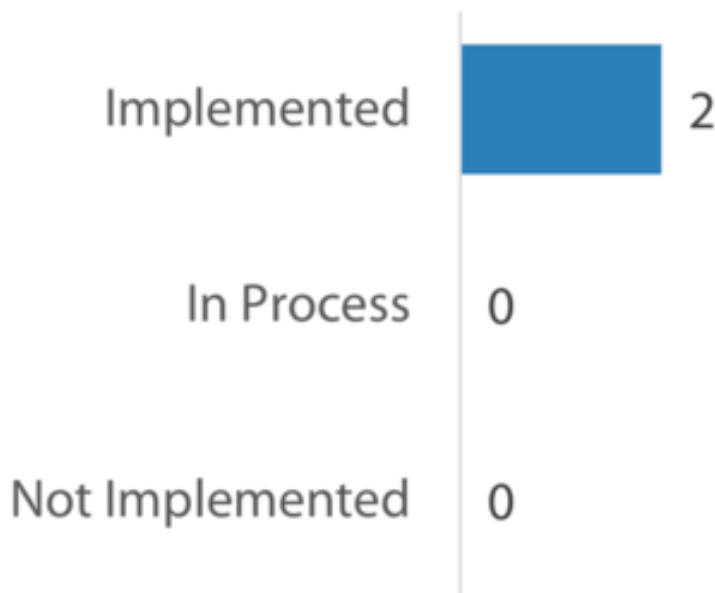
term Research & Data analyst to help with measurement and reporting.

Recreational Cannabis Tax: Greater transparency and accountability needed

[Report](#) published May 2, 2016 | [Follow-up report](#) | Contact [Jenny Scott](#)

This is our second follow up on our 2019 audit Recreational Cannabis Tax: Greater transparency and accountability needed. In that report, we found that most of the taxes had been used for police and transportation programs, even though the tax had been promoted to benefit individuals and cannabis businesses owners who had been adversely affected when cannabis was illegal. We made two recommendations to improve the transparency of tax allocation decisions and results, including improving the grants process. The Office of Community and Civic Life has implemented both recommendations. It worked with City Council to change the decision-making process, increase transparency of the tax allocation, and improve the grants process.

On this audit there were two recommendations implemented.



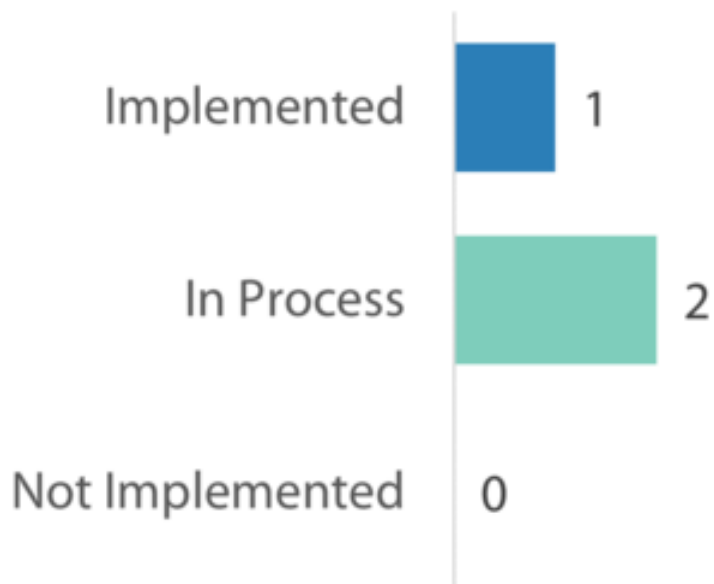
Cannabis Program: Management fundamentals needed to improve regulation

[Report](#) published January 30, 2020 | [Follow-up report](#) | Contact [Jenny Scott](#)

Our 2020 audit found that the City's new Cannabis Program did not have basic management

fundamentals to effectively regulate the cannabis industry in Portland. Since then, the Cannabis Program launched a licensing system to track information and report program and industry information and developed a three-year strategy.

On this audit there was one recommendation implemented and two were in process.



In Process Recommendation Details

We recommended Civic Life implement a data management system to track data consistently and accurately on licensing, complaints, and enforcement. This data should be used to manage program resources, adjust licensing fees, and report program performance.



Civic Life launched a beta version in April of Civic Portal, an online system where cannabis business owners can initiate and manage licenses. The Cannabis Program was using the system to track its compliance and enforcement activity. The program manager planned to tailor the system to help with performance reporting and anticipated the new technology would be fully implemented by the end of 2022. Complaints about cannabis businesses have dropped since the early days of recreational cannabis legalization, so tracking complaints from the public has not been a high priority, according to the program manager. Most complaints currently are received by email. The program manager wants to allow public access to Civic Portal for comments and complaints in the future. (Cannabis Program: Management fundamentals needed to improve regulation)

We recommended that Civic Life inform Council and the public about cannabis regulation

through a monitoring report or other communication tools that include information on program performance and the cannabis industry. This information should be used to revise and update program strategy as needed. The program developed fact sheets and presentations and redesigned its website to share information about cannabis rules and regulations, the Cannabis Program, and available grant and emergency funding. The Cannabis Policy Oversight Team, an advisory body to the Office of Community & Civic Life, released three annual reports with insights about the evolving cannabis industry and policy recommendations for the City and state. When Civic Portal is fully operational, the program manager anticipates having additional performance information. The manager would like future reports to include program and industry performance measures. The program hired a limited-term Research & Data analyst to help with measurement and reporting. (Cannabis Program: Management fundamentals needed to improve regulation)

Implemented Recommendation Details

We recommended that the Office of Community & Civic Life work with Council to develop a tax allocation framework that includes tax allocation and oversight committee input on how tax revenue should be allocated. Civic Life worked with Council to

change the allocation process by making it transparent and including the public in the allocation decisions. Civic Life convened and worked with the Cannabis Policy Oversight Team, adopted the team's recommendations, and provided input to Council. Council discussed tax allocations in budget work sessions, and City bureaus requested funding generated by the tax. Civic Life reported cannabis tax allocations to the oversight committee and publicly on its website. (Recreational Cannabis Tax: Greater transparency and accountability needed)



We recommend that the Office of Community & Civic Life develop a grant process, which includes clarifications for how the grants will be awarded and managed, what outcomes will be achieved, and how outcomes will be reported to City Council. Civic Life improved its process by developing goals and a timeline. A community panel reviews proposals for grant funding. Civic Life aligned the grants process in 2021 with the City's fiscal year and allocated \$1.8 million in Social Equity and Educational Development (SEED) grants, which is more than the three previous years combined. The initiative's goals are to rectify past racially biased cannabis policies and disparate cannabis-related arrests and repair the lasting legal, social, economic, and inter-generational consequences past cannabis prohibition had on Black and brown communities. Civic Life reported the grant allocations to the public and made it easily accessible to potential grantees. (Recreational Cannabis Tax: Greater transparency and accountability needed)

We recommended Civic Life develop and communicate a strategy for the Cannabis Program,

including coordination with other City bureaus to streamline the licensing and enforcement process and focus the work of the Cannabis Program. The Cannabis Program developed a three-year strategic plan in 2020. It focuses the work of the program on the restorative and reparative potential of cannabis decriminalization and equitable regulation. The program reorganized the following year to align resources with its new strategy. The reorganization helped staff increase communication and collaboration with the Oregon Liquor and Cannabis Commission and other City bureaus and launch its online licensing and compliance system. Program staff next plan to develop objectives and strategy for 2023-2026. (Cannabis Program: Management fundamentals needed to improve regulation)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

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Links

- **Recreational Cannabis Tax: Greater transparency and accountability needed**
 - **Report** <https://www.portlandoregon.gov/auditservices/article/730292>
 - **Follow-up** <https://www.portlandoregon.gov/auditservices/article/766691>

Cannabis Program: Management fundamentals needed to improve regulation

- **Report** <https://www.portlandoregon.gov/auditservices/article/752527>
- **Follow-up** <http://www.portland.gov/year1cannabisprogram>

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Development Services Bureau 2022 Audit Status Report

Information

We are tracking two audit reports and eight recommendations within the Bureau of Development Services. The reports assessed short-term rental regulation and the building permits system.

Elected-in-charge in 2022: Dan Ryan

Bureau or Office Director: Rebecca Esau

We are tracking two reports and eight recommendations

Recommendations

Development Services had seven in process recommendations and one not implemented.

Highlight from Last Year

We recommended the adoption of a performance management system capable of achieving consistent fulfillment of the City's comprehensive performance goals. At the time of our audit, the City assessed its performance for reviewing building permit applications with a single benchmark: time to finish the initial plan review. The Task Force has since adopted overarching goals to improve performance management and reduce permit time by one-third. The latter is a key shift to scrutinize the permitting process holistically – from submitted application to issued permit – that reflects a partnership between the City and customer. As part of measuring the duration of the overall permit process, the City also addressed a critical reporting gap that we identified in our audit: the City began examining recheck

data – reviews after an applicant makes corrections – and now reports on the timeliness of the second round of plan reviews. Because of the Task Force, the City began reporting average times from submitted application to issued permit in its new performance dashboard, which was launched in April 2022. The public dashboard – a subset of more extensive internal reports – showed the City was unable to meet its timeliness goals over the last year. The knowledge that in recent months the City has been taking roughly twice as long as stated goals may help customers set more realistic expectations about permit duration. As we reported last year, timeliness remains the only measure the City uses to evaluate building permit reviews. The Task Force is researching other important areas of performance that we highlighted in the audit – customer service and quality – with the intention of adopting measurable goals in the future. The City has dedicated new staff resources to help sustain this work within Citywide performance management.

To Do

We recommended the City follow its policy for resolving and reporting customer complaints about plan review delays or propose an alternative that provides the same level of accountability to the customer, the Development Review Advisory Committee, and Council. The City intends to replace the existing policy with an alternative and to develop reporting functionality. A new position adopted by Council in the Fiscal Year 2022-23 budget will be assigned to work on customer complaint accountability. In the interim, the City has chosen to strengthen existing informal practices we reported on last year that do not fulfill the accountability elements in the audit recommendation. For example, the practices do not have clear timeframes for resolving delays and Development Services still is not fulfilling its complaint-reporting responsibilities. The Task Force has been laying the groundwork to reduce customers' complaints by improving their experience with the process. Commissioners Ryan and Mapps convened in December 2021 the first Town Hall for the staff across the City's permitting bureaus. Alongside permitting directors, they announced the adoption of a consistent Citywide review and customer communication policy. The City also developed a foundational customer experience training course for permitting staff. While the new policy does not address complaints, these activities established baseline expectations for a customer service culture at the City.

Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown

[Report](#) published August 8, 2018 | [Follow-up report](#) | Contact [KC Jones](#)

Our 2018 audit of Portland's short-term rental regulation found that only about 22 percent of units were registered and the effect on housing availability and affordability was unknown. We made recommendations to improve data collection and enforcement and to monitor the effect of short-term rentals on the housing market. In 2019, the City reported that it reached a data-sharing and registration

agreement with a key rental agent and passed an ordinance requiring compliance from all agents. In 2020, the City made progress using publicly available rental data to enforce restrictions on hosts with multiple listings and hosts in commercial areas. However, the Bureau of Development Services was still developing software that will be used to analyze the data and enforce the rental registrations. The Housing Bureau started reporting on short-term rental activity but still needs to work on measuring its impact on the housing market.

On this audit there were two recommendations in process and one not implemented.

Building Permit Review Audit

[Report](#) published March 23, 2021 | [Follow-up](#) | Contact [Tenzin Gonta](#)

In our 2021 report, we called for Council-level leadership because no one bureau was authorized to solve long-standing problems with Portland's building permits system. Commissioner Ryan took up that mantle with Commissioner Mapps as co-chairs of a Permit Improvement Task Force established in April 2021. They hired a manager dedicated to support the work and engaged Council colleagues during a January 2022 work session. The Task Force - which includes representation from Council offices, permitting bureaus, and the development community - adopted three overarching goals: 1) reduce permitting timelines; 2) improve the customer experience; and 3) improve performance management. The City made substantive progress across the five audit recommendations. Less progress was made on the speed of building permit reviews and the City still does not follow its own customer complaint policy to resolve delays. As we noted last year, sustained, focused leadership remains necessary for these long-term reforms to result in a noticeable change for Portland's customers.

On this audit there were five recommendations in process.

Not Implemented Recommendation Details

We recommended that Development Services revise the short-term rental permitting process to meet safety and neighborhood livability goals. The Bureau says it cannot implement this recommendation until City Council changes the zoning code to expand the scope of safety inspections. (Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown)



In Process Recommendation Details

We recommended that the Revenue Division and Bureau of Development Services obtain data on active short-term rental hosts, listings, and occupancy from booking agents or from other publicly available sources and use it to enforce the City's zoning and tax



code. City Council passed an ordinance in June 2019 requiring all booking agents that did not enter into an approved data-sharing agreement with the City to include only rental addresses that are in the City's Short-Term Rental Registry and were permitted by the City. The City and Airbnb signed a data-sharing and registration agreement in August 2019 and the City now receives host and booking information directly from that company. The Revenue Division is using this registration information and other data to enforce the City's short-term rental regulations. The Revenue Division is reporting non-compliant listings to the booking agents to have them removed from their websites. Bureau of Development Services is still developing an application system for registration data and hasn't developed software to analyze rental transaction data. The Bureau prioritized other work during the pandemic and related economic downturn, which affected its staffing. Management said it was unlikely technology would be available anytime soon. (Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown)

We recommended that the City use proactive, risk-based enforcement to target short-term rental hosts with multiple listings and potential commercial activities in residential zones. Both the Revenue Division and Development Services now have data to identify hosts that may be operating illegally. Revenue uses data from the booking agents and the City's Short-Term Rental Registry to identify hosts with multiple listings. The findings are then reported to Development Services for enforcement as needed. The Revenue Division works with Development Services staff to verify that hosts in commercial locations are operating legally. Development Services has work to do to finalize the enforcement process. (Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown)

We recommended the adoption of a performance management system capable of achieving consistent fulfillment of the City's comprehensive performance goals. At the time of our audit, the City assessed its performance for reviewing building permit applications with a single benchmark: time to finish the initial plan review. The Task Force has since adopted overarching goals to improve performance management and to reduce permit time by one-third. The latter is a key shift to scrutinize the permitting process holistically – from submitted application to issued permit – that reflects a partnership between the City and customer. As part of measuring the duration of the overall permit process, the City also addressed a critical reporting gap that we identified in our audit: the City began examining recheck data – reviews after an applicant makes corrections – and now reports on the timeliness of the second round of plan reviews. Because of the Task Force, the City began reporting

average times from submitted application to issued permit in its new performance dashboard, which was launched in April 2022. The public dashboard – a subset of more extensive internal reports – showed the City was unable to meet its timeliness goals over the last year. The knowledge that in recent months the City has been taking roughly twice as long as stated goals may help customers set more realistic expectations about permit duration. As we reported last year, timeliness remains the only measure the City uses to evaluate building permit reviews. The Task Force is researching other important areas of performance that we highlighted in the audit – customer service and quality – with the intention of adopting measurable goals in the future. The City has dedicated new staff resources to help sustain this work within Citywide performance management. (Building Permit Review Audit)

We recommended the City follow its policy for resolving and reporting customer complaints about plan review delays or propose an alternative that provides the same level of accountability to the customer, the Development Review Advisory Committee, and Council. The City intends to replace the existing policy with an alternative and to develop reporting functionality. A new position adopted by Council in the Fiscal Year 2022-23 budget will be assigned to work on customer complaint accountability. In the interim, the City has chosen to strengthen existing informal practices we reported on last year that do not fulfill the accountability elements in the audit recommendation. For example, the practices do not have clear timeframes for resolving delays and Development Services still is not fulfilling its complaint-reporting responsibilities. The Task Force has been laying the groundwork to reduce customers' complaints by improving their experience with the process. Commissioners Ryan and Mapps convened in December 2021 the first Town Hall for the staff across the City's permitting bureaus. Alongside permitting directors, they announced the adoption of a consistent Citywide review and customer communication policy. The City also developed a foundational customer experience training course for permitting staff. While the new policy does not address complaints, these activities established baseline expectations for a customer service culture at the City. (Building Permit Review Audit)

We recommended Council dedicate resources and hold permitting bureaus collectively accountable to the full and timely implementation of City improvement initiatives related to governance, business process improvement, and bureau agreements. At the time of our audit, there were three improvement initiatives underway to address substantive coordination and process recommendations from studies in 2017 and 2018. The City has since completed work with its consultants on these projects. However, the projects require additional phases of critical work to effect a change in the customer experience. 1) A new City governance committee is piloting ways to improve decision-making among bureaus. The City's permitting directors adopted the recommendations from the Governance Structure Initiative in July 2021. Those recommendations included creation of a new committee as well as the new structure for reviewing, approving, and prioritizing proposed changes to development reviews and for resolving conflicts. The City plans to share results with Council after the pilot is complete. 2) Development Services will work with other City bureaus to address the next steps for the Business Process Initiative. The report from December 2021 identified suggestions to streamline the building permit process for new commercial construction projects, including action plans

to address four problem areas. 3) Development Services is working on a comprehensive update of bureau agreements to refine expectations for areas of deeper collaboration. It signed updated agreements with Environmental Services, Fire and Rescue, and Housing. It is still working with Parks, Planning and Sustainability, Transportation, and Water. We highlighted in our audit the slow progress for each initiative, even before the pandemic, and these latest milestones missed anticipated published deadlines. Staff also do not have clear timeframes for completing the next phases of work. Staffing capacity remains a challenge when the same key employees and workgroups across City permitting bureaus are responsible for and involved in these concurrent initiatives in addition to their regular and other assigned duties. In light of that reality, employees said they were trying to align, coordinate, and streamline across initiatives where possible. (Building Permit Review Audit)

We recommended that the Commissioner should ensure that City Council follows City policies and implement the 2018 recommendations – or adopt alternatives – to address Citywide regulatory improvements that also involve other bureaus, such as the Bureau of Planning and Sustainability and the Office of Management and Finance. The Task Force discussed regulatory challenges with Council at the January 2022 work session after reviewing and vetting improvement alternatives to those mentioned in the audit. Council adopted in May 2022 the first legislative reform area: aligning effective dates of Code and fee changes across the City to minimize disruption and delays experienced by customers. The Task Force will address the other two reform areas – greater inter-bureau coordination and earlier Council direction – in the future. The City decided these two areas will require more time to develop and implement across bureaus and may be impacted by the permitting structure design changes. (Building Permit Review Audit)

We recommended that the Commissioner should ensure that City Council holds the directors of their individually assigned bureaus accountable to the implementation of this set of audit recommendations intended to improve Citywide performance. The Task Force discussed potential changes to Citywide system design with Council at the January 2022 work session and, with Council's support, has been researching a new structure to achieve defined goals. The Task Force adopted in April 2022 the permitting structure design change recommendations from its work group. One notable change is a new Infrastructure Development Services team to consolidate reviewers from Environmental Services, Parks, Transportation, and Water. The Task Force anticipates further research, discussion, and implementation of these structural changes over the next two years. (Building Permit Review Audit)

Data Notes

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Links

- **Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown**
 - **Report** <https://www.portlandoregon.gov/auditservices/article/693466>
 - **Follow-up** <https://www.portland.gov/year2shorttermrentals>
- **Building Permit Review Audit**
 - **Report** <https://www.portland.gov/building-permit-review-audit>
 - **Follow-up** <http://www.portland.gov/year1BuildingPermitAudit>

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Emergency Management 2022 Audit Status Report

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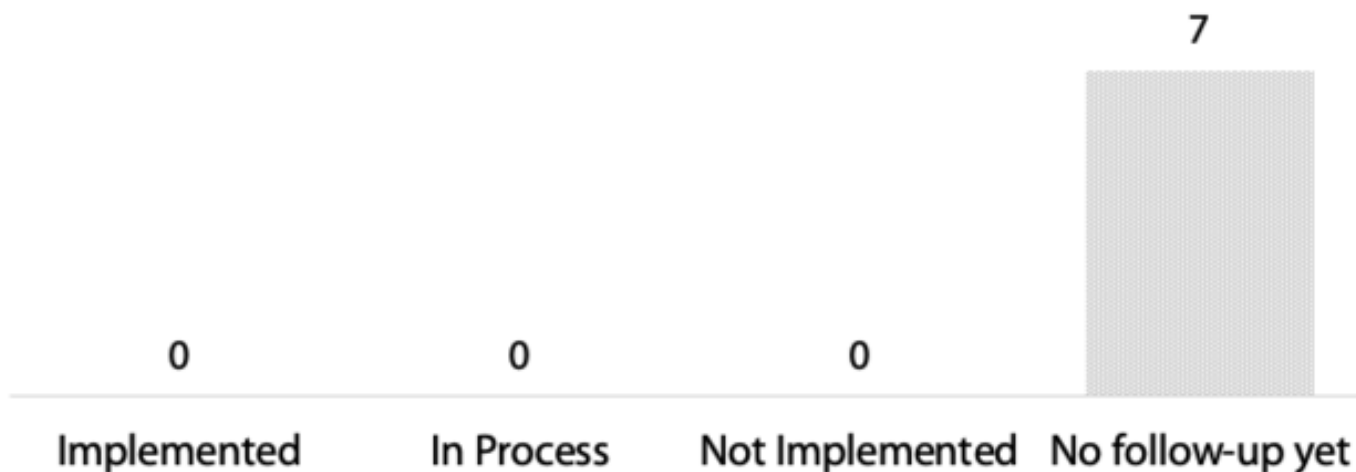
We are tracking one audit that made seven recommendations to Emergency Management.

Elected-in-charge in 2022: Jo Ann Hardesty

Bureau or Office Director: Shad Ahmed

Summary: We are tracking one report and seven recommendations

We are tracking one report with seven recommendations at Emergency Management. The audit was about disaster planning for people with disabilities. All seven recommendations are pending follow-up.



Highlight from Last Year

There was no activity in 2022.

To Do

We recommended that Emergency Management develop a plan with performance measures and milestones for achieving compliance with the Americans with Disabilities Act in emergency management.

Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities

[Report](#) published December December 12, 2021 | Contact [Jennifer Amriott](#)

Under the Americans with Disabilities Act, the City is required to provide equal access to all services, including emergency services. We found that the City was not prepared to meet the needs of people with disabilities during the COVID-19 pandemic much less a more physically destructive emergency.

This was a new audit and all recommendations are pending.

Pending Recommendation Details

We recommended that Emergency Management lead work with other bureaus and partner agencies to reevaluate the Additional Needs Registry and determine whether the registry should be discontinued.

If the City and County decide to keep it,

Emergency Management should ensure that the updated registry carries out its stated purposes and complies with Department of Justice guidance, including the ADA Best Practices Tool Kit for State and Local Government. (Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities)

We recommended that Emergency Management develop a plan with performance measures and milestones for achieving compliance with the Americans with Disabilities Act in emergency management. (Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities)



We recommended that Bureau ensures that staff understand how to meet guidelines listed in ADA Best Practices Tool Kit for State and Local Government. (Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities)

We recommended that the Bureau hire or designate Emergency Management staff to cultivate Americans with Disabilities Act expertise and compliance and ensure they have the authority and resources needed to carry out their duties. (Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities)

We recommended that the Bureau formalize the inclusion of a disability advisor in the Emergency Coordination Center command structure and operating procedures. The disability advisor should have Americans with Disabilities Act and emergency management expertise and the authority needed to address disability concerns. (Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities)

We recommended that the Bureau use the authority of the Disaster Policy Council and Emergency Management Steering Committee to ensure that citywide emergency management planning and response complies with the Americans with Disabilities Act. It should also coordinate with City Council to formalize a disability advisor role for both oversight bodies. (Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities)

We recommended that the Bureau take responsibility for coordinating emergency preparedness outreach to people with disabilities on behalf of the City and develop a strategy that includes long-term and short-term goals for emergency preparedness education and outreach to people with disabilities. (Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities)

Data Notes

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Links

- Emergency Management: Pandemic highlights City's long-standing neglect of people with disabilities
 - Report Link: <https://www.portland.gov/audit-services/emergency-management-report>

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Environmental Services Bureau 2022 Audit Status Report

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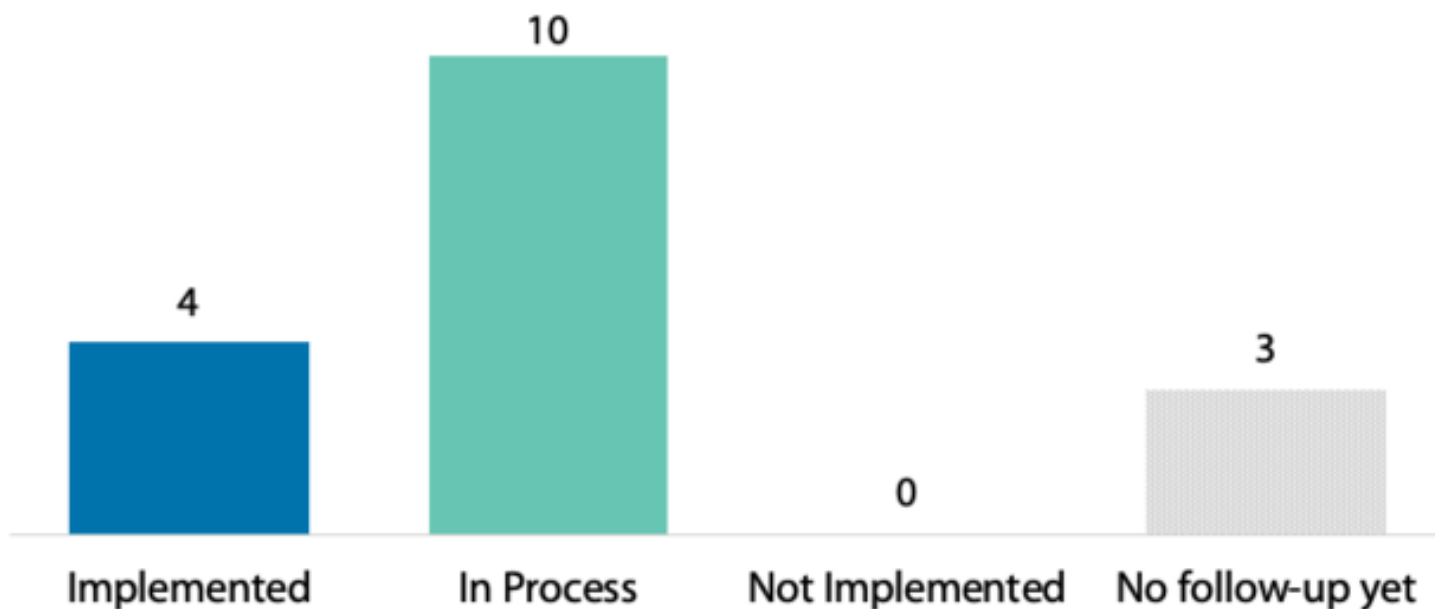
We are tracking three reports and 17 recommendations at Environmental Services.

Elected-in-charge: Mingus Mapps

Bureau or Office Director: Dawn Uchiyama

We are tracking three reports and 17 recommendations

Our 2018 audits of stormwater management on private property and green infrastructure found that improved data administration and program evaluation would bring these assets to the same standard as more traditional infrastructure assets. An audit in 2021 focused on the Bureau's arrangement with the Transportation Bureau to maintain sewer systems. Environmental Services has implemented four recommendations, 10 are in process, and three are pending.



Highlight from Last Year

There was no activity in 2022.

To Do

We recommended developing a single information system to inventory private stormwater structures. The Bureau created a list of about 140 types of data used across the Bureau and eventually will assign stewards for each type of data. The Bureau was also in the process of adding data on permitted structures to the same asset management database it used to track maintenance for public stormwater structures. The Bureau has not yet provided an update about tracking assets across the three systems identified in the initial audit: permitting, maintenance, and Clean River Rewards.

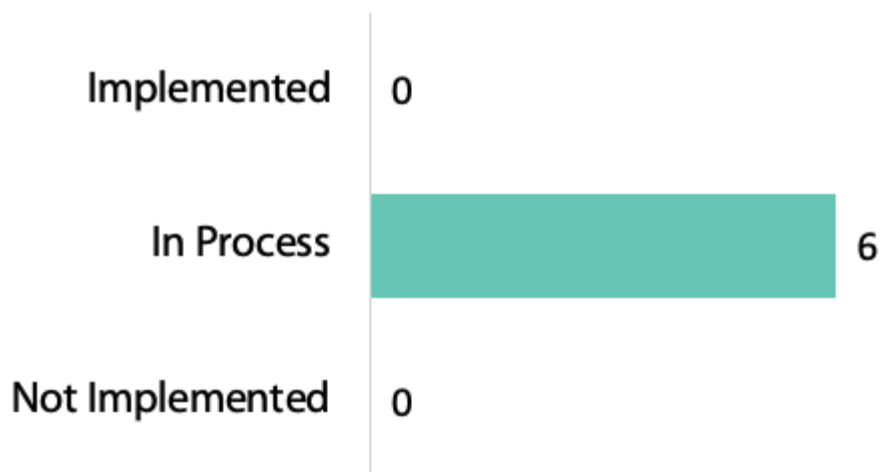
Private Stormwater Management: City reliance on property owners requires review of risks and results

[Report](#) published July 20, 2018 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

Our 2018 audit of Bureau of Environmental Services' approach to managing stormwater on private property found shortcomings with data collection and management, inspections, and program evaluation. We recommended that the Bureau make data available for system planning by streamlining information systems and increasing monitoring. We also recommended that the Bureau regularly assess its approaches to encouraging private stormwater management. At year two, the Bureau continued to make slow progress on data systems and inspecting stormwater structures at single family residential properties. It was in the process of evaluating Clean River Rewards through a

Comprehensive Rate Study and evaluating and making changes to the permitting program based on risk assessments in a new stormwater and sewer system plan.

On this audit there were six recommendations in process.

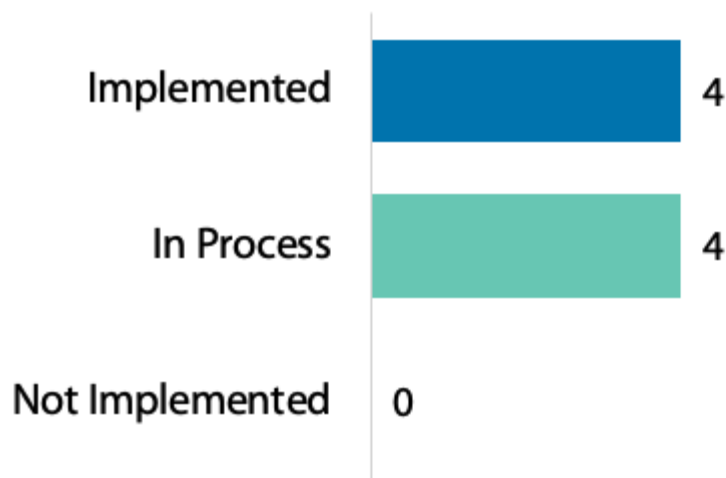


Restoration Projects and Green Streets: Planning and evaluation needed to confirm success

[Report](#) published December 4, 2018 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

Our 2018 audit of Bureau of Environmental Services' green streets and restoration projects found that without formal methods to select projects and document outcomes, the City risked not meeting water quality goals. We recommended that the Bureau commit to a date for completion of the stormwater systems plan to ensure that restoration projects and green streets were located in the highest priority places. We also recommended improved monitoring and reporting. At year two, the Bureau was continuing its progress toward using an asset management approach to selecting green street and restoration projects. It completed risk assessment maps, continued work on an asset register, and was developing a new process for selecting priority capital projects across the stormwater, sanitary, and natural systems. The Bureau was close to publishing data on restoration project outcomes. It implemented recommendations related to green streets in 2019 and should be able to ensure that they are maintained on schedule and kept in functioning condition.

On this audit there were four recommendations implemented and four in process.



Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers

[Report](#) published September 14, 2021 | Contact: [Bob MacKay](#)

Wastewater goes through pipes owned by the Bureau of Environmental Services but the bureau pays another - the Bureau of Transportation - to maintain these pipes. This longstanding agreement has had mixed results. We make recommendations for both bureaus in our audit report.

This is a new audit with three recommendations pending follow-up.

In Process Recommendation Details

We recommended developing a single information system to inventory private stormwater structures. The Bureau created a list of about 140 types of data used across the Bureau and eventually will assign stewards for each type of data. The Bureau was also in the process of adding data on permitted structures to the same asset management database it used to track maintenance for public stormwater structures. The Bureau did not provide an update about tracking assets across the three systems identified in the initial audit: permitting, maintenance, and Clean River Rewards. (Private Stormwater Management: City reliance on property owners requires review of risks and results)



We recommended developing additional risk-based monitoring programs for single-family residential stormwater permit structures and all Clean River Rewards structures like the

existing program used to monitor non-single-family residential permit structures. The Bureau continued the practice of not inspecting residential properties and instead sent educational mailers. However, staff said that it was continuing work on a stormwater and sewer system plan, which will identify and prioritize business process improvements based on risk assessments for the entire collection system. The next phase of the plan will include an analysis of whether the Bureau should begin monitoring single family residential permits. (Private Stormwater Management: City reliance on property owners requires review of risks and results)

We recommended creating a schedule and assigning staff to periodically evaluate outcomes of the private stormwater permitting program against stated goals. The Bureau identified three goals for the program: increase the equity and fairness of stormwater management charges; advance City environmental policies and commitments; and protect and enhance the long-term financial stability of the stormwater utility. The Bureau is evaluating progress towards these goals through its Comprehensive Rate Study, which has been delayed due to COVID-19 but is expected to be available in 2021. Management said that gathering meaningful data and investing in staff to evaluate outcomes or actual stormwater removed due to the program is a high-effort, high-cost activity. (Private Stormwater Management: City reliance on property owners requires review of risks and results)

We recommended using the results of private stormwater permitting program evaluations to ensure the achievement of goals and expectations. The Bureau planned to propose an increase in the threshold for the square footage of impervious surface that will trigger the need for a stormwater permit from 500 square feet to 1,000. The Bureau said it plans to request the increase in its comments on the next permit application with the Oregon Department of Environmental Quality. If the state approves the change, the Bureau can consider it in the next version of the Stormwater Management Manual. (Private Stormwater Management: City reliance on property owners requires review of risks and results)

We recommended creating a schedule and assigning staff to periodically evaluate outcomes of the Clean River Rewards program against stated goals. The Bureau said that it would continue to evaluate business processes, such as requirements in the Stormwater Management Manual, as part of the continuing work on a stormwater and sewer system plan mentioned above. The Bureau is also tracking the percentage of participants in the utility financial assistance program who are also enrolled in Clean River Rewards. The Bureau will not evaluate Clean River Rewards impact on diverted stormwater. (Private Stormwater Management: City reliance on property owners requires review of risks and results)

We recommended using the results of evaluations of the Clean River Rewards program to ensure the achievement of program goals and expectations. The status of this recommendation depends on the completion of the rate study, which is still in process. Because the Bureau is not meeting its goal for the percentage of participants in the utility financial assistance program also participating in Clean River Rewards, it increased targeted outreach about Clean River Rewards. Outreach includes a direct mail campaign and translated registration materials. (Private Stormwater

Management: City reliance on property owners requires review of risks and results)

We recommended that the Bureau commit to an implementation schedule for components of the Stormwater System Plan, including risk assessments, asset registry, and condition assessment. The Bureau completed a stormwater risk assessment mapping project and used it to support several planning projects. It was also implementing a new process to perform consistent assessments across all systems, which it planned to complete in mid-2021. The Bureau continued to refine its stormwater asset register and expected to define data needs, establish protocols, and prepare a data repository over the next couple of years. The asset register will include data on the condition of assets. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

We recommended that the Bureau create a method to use the risks identified in the Stormwater System plan to evaluate capital projects. The Bureau drafted a set of selection criteria for stormwater and restoration projects but use of the criteria has been delayed due to COVID-19. The Bureau is also developing a new integrated planning process that will allow it to prioritize projects across sanitary, stormwater, and natural systems. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

We recommended that the Bureau ensure that all projects have quantifiable goals that are tied to the Portland Watershed Management Plan or that reduce risks identified in the Stormwater System Plan. The Bureau developed guidelines in 2019 for developing monitoring plans that included quantifiable targets. Since then, staff were required to establish monitoring plans at the start of each restoration project. The Bureau was developing a matrix of benchmarks to assist project teams with setting project objectives and targets. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

We recommended that the Bureau regularly report project results to ratepayers in a way that explains the connection between projects and outcomes. The Bureau was working on a web-based map to display data gathered during project monitoring. The timeline for implementation was pushed back due to delays with the City's new website, but the Bureau expected the report to be available in January 2021. The Bureau also updated its Watershed Report Cards so that conditions in 2019 could be compared to conditions in 2015. The report cards are located online. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

Implemented Recommendation Details

We recommended that the Bureau develop an inventory of restoration projects and track information, such as cost, location, project goals, and outcomes. The Bureau developed a



spreadsheet to inventory projects and track data, including location, cost, goals, and performance

metrics. The spreadsheet included a project number that linked back to City financial systems so that the inventory could be checked for completeness. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

We recommended defining quantifiable standards to describe functioning condition for green streets. The Bureau modified the number of inspection categories and applied quantitative measurements to report overall condition and to identify assets needing maintenance. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

We recommended updating Operation and Maintenance guidelines to support functioning condition for green streets. The Bureau updated the Stormwater Operations and Maintenance Manual. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

We recommended creating oversight procedures to ensure that staff follow Operation and Maintenance guidelines. The Watershed Revegetation Program created a new report to flag assets that have not been inspected or are due for maintenance. (Restoration Projects and Green Streets: Planning and evaluation needed to confirm success)

Pending Recommendation Details

We recommended the Bureau develop and implement alternatives to use sewer maintenance staffing and vehicles to their full budgeted potential. (Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers)



We recommended that the Bureau review and approve sewer maintenance billings for any inventory discrepancies. (Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers)

We recommended that the Bureau re-evaluate the pros and cons of the agreement for sewer maintenance. (Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers)

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- **Private Stormwater Management: City reliance on property owners requires review of risks and results**
 - Report <https://www.portlandoregon.gov/auditservices/article/691508>
 - Follow-up <https://www.portlandoregon.gov/auditservices/article/766499>
- **Restoration Projects and Green Streets: Planning and evaluation needed to confirm success**
 - Report <https://www.portlandoregon.gov/auditservices/article/705164>
 - Follow-up <https://www.portlandoregon.gov/auditservices/article/779589>
- **Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers**
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Equity and Human Rights Bureau 2022 Audit Status Report

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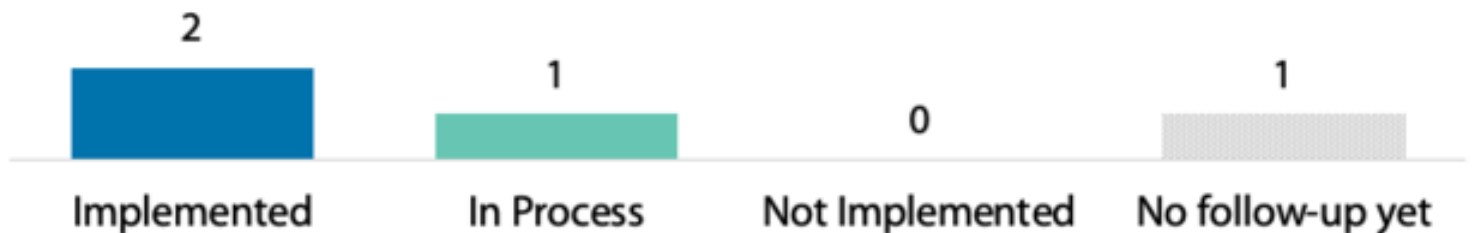
We are tracking two audits and four recommendations at the Equity and Human Rights Office.

Elected-in-charge in 2022: Mayor Ted Wheeler

Bureau or Office Director: Jeff Selby

We are tracking two reports and four recommendations

Both audits were about implementation of requirements in the Americans with Disabilities Act. Two of the recommendations have been implemented, one remains outstanding, and one is pending until follow-up next year.



Highlight from Last Year

There was no update in 2022.

To Do

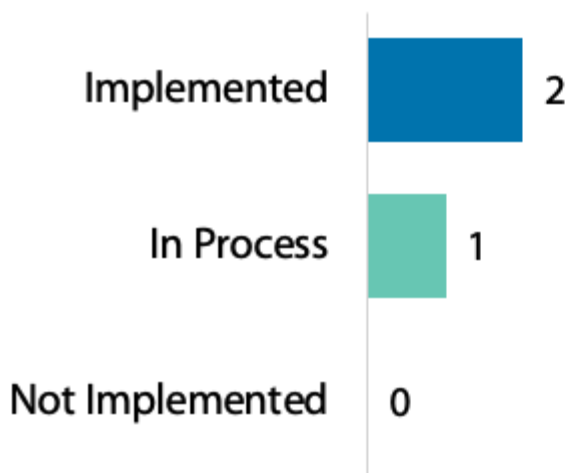
We recommended that the Office improve its website, so it is more useful to individuals with disabilities. The City's transition to a new website held up progress on putting the Office's newly created resources online. The Office is working to make its new website accessible to individuals who use screen readers or who have cognitive or learning disabilities.

Americans with Disabilities Act: Coordination gaps complicate City response

[Report](#) published December 13, 2016 | [Follow-up report](#) | Contact [Jennifer Amriott](#)

The Americans with Disabilities Act's purpose is to ensure that individuals with disabilities have the same access and opportunities as those without disabilities. Our 2016 audit found that the City makes accommodation requests difficult for individuals with disabilities and the process varies by bureau. More consistent data collection and analysis would improve the City's response to requests and complaints submitted by individuals with disabilities. The Office of Equity and Human Rights made progress last year to improve the consistency of the City's response to accommodation requests. City Code and policy were updated, and a dedicated coordinator works with staff across City bureaus. The coordinator educates bureaus on their responsibilities under the Americans with Disabilities Act and provides resources to help staff improve accessibility of City documents and events. These new initiatives should help individuals with disabilities achieve better access to City services.

On this audit there were two recommendations implemented and one in process.



City does not ensure Americans with Disabilities Act compliance

[Report](#) published December 8, 2021 | Contact [Jennifer Amriott](#)

We noted compliance risks for the City related to the Americans with Disabilities Act during an audit of emergency preparedness but the risks were outside of the audit's scope. We are calling attention to them here so City Council and the public can act with urgency to address them.

This is a new audit with one recommendation pending follow-up.

In Process Recommendation Details

We recommended that the Office improve its website, so it is more useful to individuals with disabilities.

The City's transition to a new website has held up progress on putting the Office's newly created resources online. The Office is working to make its new website

accessible to individuals who use screen readers or who have cognitive or learning disabilities. (Americans with Disabilities Act: Coordination gaps complicate City response)



Implemented Recommendation Details

We recommended that the Office identify and document roles, responsibilities, and processes.

The City Council passed a resolution in Fall 2019 directing the Office of Equity and Human Rights to establish overall City plans and policies for the Americans with Disabilities Act

and directed all City bureaus and offices to implement the plans. The Office of Equity and Human Rights adopted a rule governing Americans with Disabilities Act complaint procedures defining the roles, responsibilities, and processes. A dedicated Americans with Disabilities Act Policy Coordinator works with bureau coordinators to educate them about the Act and their roles. (Americans with Disabilities Act: Coordination gaps complicate City response)



We recommended that the Office improve the ADA Coordinator Program Guide to ensure consistency and continuity in bureau policies and practices and to identify documentation and data needs. The Office developed a complaint guidance manual for City bureau staff. In addition to the complaint manual, the Office has developed guidance on making documents, meetings, and other City

services more accessible. (Americans with Disabilities Act: Coordination gaps complicate City response)

Pending Recommendation Details

We recommended that the Office work with City Council to develop a plan to ensure compliance with the American with Disabilities Act and allocate resources to ensure the plan is implemented. (City does not ensure Americans with Disabilities Act compliance)



Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

- City Council can use it to identify bureaus that may need additional resources or support in order to implement recommendations.
- Bureau directors can use it to assess bureau performance and to determine if any changes in policy or procedure are necessary.
- Bureau management and staff can use it to track recommendation status across audits to develop work plans and priorities.
- General public can use it to monitor the status of recommendations related to topics of interest and to compare performance across bureaus.

This report includes recommendation status as of December 31, 2022.

Translated reports

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Links

- **Americans with Disabilities Act: Coordination gaps complicate City response**

- **Report:** <https://www.portlandoregon.gov/auditservices/article/620521>
- **Follow-up:** <https://www.portlandoregon.gov/auditservices/article/757665>
- **City does not ensure Americans with Disabilities Act compliance**
 - **Report:** <https://www.portland.gov/audit-services/city-does-not-ensure-americans-disabilities-act-compliance>

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Fire Bureau 2022 Audit Status Report

Information

We are tracking one audit within the Portland Fire Bureau.

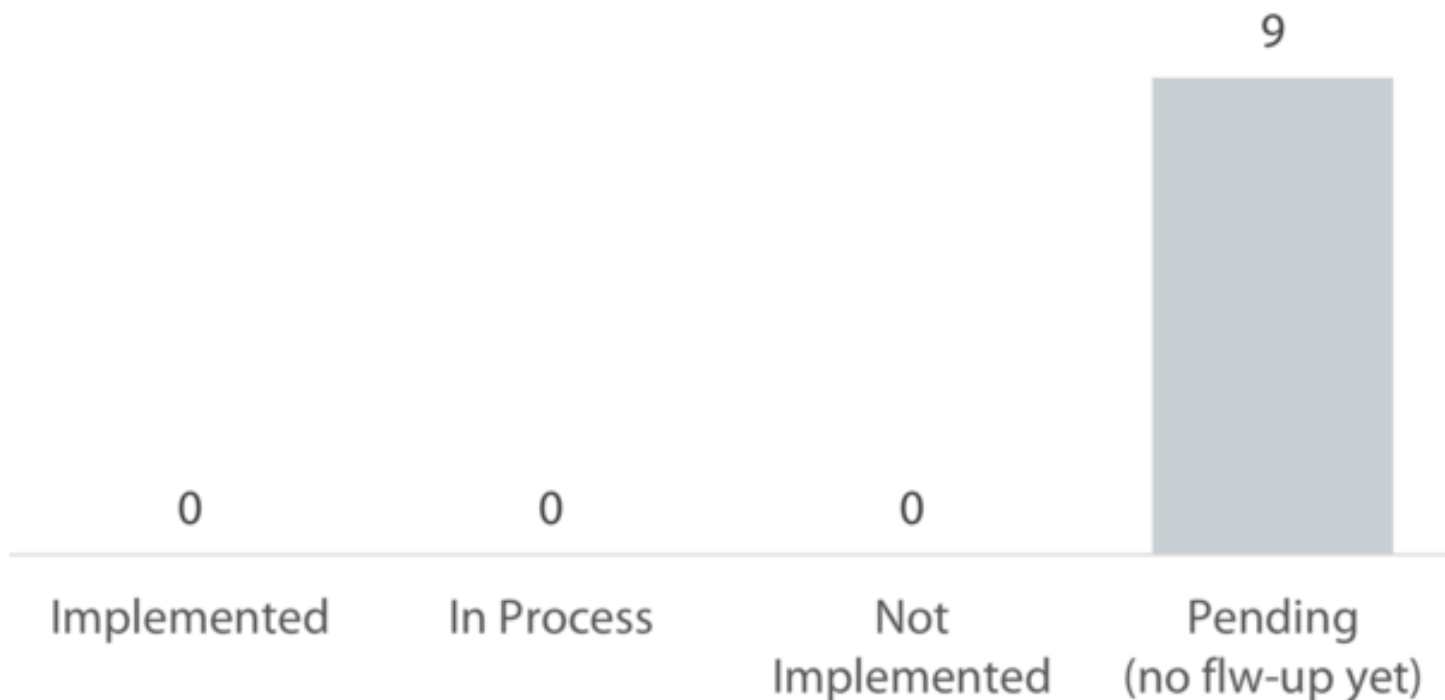
Elected-in-charge in 2022: Jo Ann Hardesty

Bureau or Office Director: Chief Sara Boone

We are tracking one report and nine recommendations

Our 2022 Fire Bureau audit examined the Bureau's accountability systems.

All recommendations are pending.



Highlight from Last Year

There was no activity in 2022.

To Do

We recommended developing methods and guidance to ensure that investigations into employee misconduct are consistent, impartial, and timely. The Bureau should adopt guidance for investigations that: outlines clear instructions on how to conduct investigations; documents Human Resources’ role in investigations; ensures investigators are trained and have the time needed to conduct investigations; addresses possible issues unique to the Fire Bureau, such as familiarity bias; sets timeliness benchmarks for key investigative steps; includes instructions to help investigators streamline the process; requires investigations to be periodically reviewed to identify inconsistencies or missed benchmarks; and requires complainants and investigated employees to be notified when investigations are completed.

Portland Fire & Rescue does not have a coherent accountability system

[Report](#) published June 29, 2022 | Contact [Jenny Scott](#)

We found that the Portland Fire Bureau has not invested the time, attention, and resources needed for a coherent employee accountability system. We make recommendations for training, complaint investigation, and discipline processes to help ensure that the Bureau achieves its diversity goals.

This is a new audit with nine recommendations pending follow-up.

Pending Recommendation Details

We recommended implementing the Portland State University workplace culture study recommendations on training and norm-setting. (Portland Fire & Rescue does not have a coherent accountability system)



We recommended verifying that all employees complete training on prohibited conduct in the workplace, as required by City rules. (Portland Fire & Rescue does not have a coherent accountability system)

We recommended developing methods and guidance to ensure that employees and the public understand how to file complaints and have access to multiple reporting options, including one for anonymous complaints. (Portland Fire & Rescue does not have a coherent accountability system)

We recommended developing methods and guidance to ensure that managers and supervisors know procedures for complaint-handling, including how they are documented, routed, and tracked. (Portland Fire & Rescue does not have a coherent accountability system)

We recommended developing methods and guidance to ensure that complaints are centrally and accurately recorded in a format that enables trends to be identified and evaluated for intervention, training, and policy changes, and that this analysis is performed. (Portland Fire & Rescue does not have a coherent accountability system)

We recommended developing methods and guidance to ensure that investigations into employee misconduct are consistent, impartial, and timely. The Bureau should adopt guidance for investigations that: outlines clear instructions on how to conduct investigations; documents Human Resources' role in investigations; ensures investigators are trained and have the time needed to conduct investigations; addresses possible issues unique to the Fire Bureau, such as familiarity bias; sets timeliness benchmarks for key investigative steps; includes instructions to help investigators streamline the process; requires investigations to be periodically reviewed to identify inconsistencies or missed benchmarks; and requires complainants and investigated employees to be notified when investigations are completed. (Portland Fire & Rescue does not have a coherent accountability system)

We recommended developing methods and guidance to ensure that discipline decisions are predictable, fair, consistent, and prompt. (Portland Fire & Rescue does not have a coherent

accountability system)

We recommended developing methods and guidance to ensure that improvements to the workplace made as a result of complaints, investigations, and discipline are periodically communicated to employees to show that the accountability system is working. (Portland Fire & Rescue does not have a coherent accountability system)

We recommended encouraging employees to report harassment, discrimination, racism, and retaliation. The option to report directly to Human Resources should be clear and promoted in case employees are not comfortable reporting up the chain-of-command. Supervisors and managers who fail to forward such complaints to Human Resources should be disciplined, as required by City rule. (Portland Fire & Rescue does not have a coherent accountability system)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

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Links

- **Portland Fire & Rescue does not have a coherent accountability system**

Report: <https://www.portland.gov/fire-discipline-audit>

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Housing Bureau 2022 Audit Status Report

Information

We are tracking three audits that made six recommendations to the Portland Housing Bureau.

Elected-in-charge in 2022: Dan Ryan

Bureau or Office Director: Molly Rogers

We are tracking three reports and six recommendations

We are tracking three audits that made six recommendations to the Portland Housing Bureau. The audits assessed short-term rental regulation, the housing bond, and urban renewal in the Lents neighborhood. We reported in 2020 that Housing implemented our recommendation to provide specific information about the underlying rationale for housing bond decisions. Housing has implemented two recommendations, three are in process and one is not implemented.

Highlight from Last Year

We recommended the Housing Bureau obtain short-term rental data from booking agents or from other publicly available sources, monitor and report data, and evaluate effects on housing. Housing obtained short-term rental data from a company that tracks listings of various booking agents and began reporting on the inventory of long-term rental housing in the 2019 State of Housing report. Housing said that it will work to add analysis of the effects of short-term rentals on long-term rentals in future State of Housing reports.

To Do

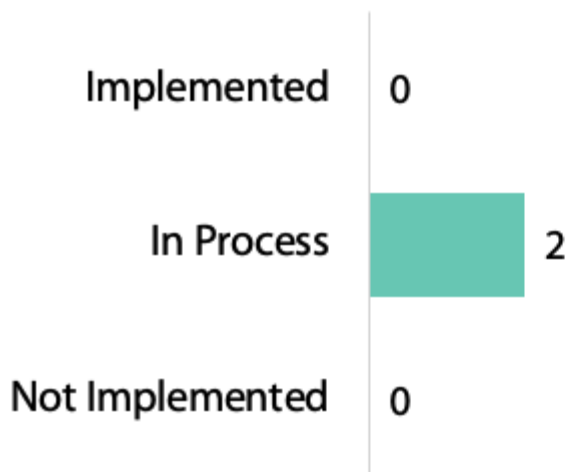
We recommended that the Housing Bureau emphasize ballot measure commitments and report on service to the priority communities. Initial information from the two completed projects showed they were serving seniors and people with disabilities, although those communities were not specifically targeted for help during project development. The Bureau said it plans to serve seniors, veterans, and people with disabilities in an upcoming project.

Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown

[Report](#) published August 8, 2018 | [Follow-up report](#) | Contact [KC Jones](#)

Our 2018 audit of Portland’s short-term rental regulation found that only about 22 percent of units were registered, and the effect on housing availability and affordability was unknown. We made recommendations to improve data collection and enforcement and monitor the effect of short-term rentals on the housing market. In 2019 the City reported that it reached a data-sharing and registration agreement with a key rental agent and passed an ordinance requiring compliance from all agents. In 2020, the City made progress using publicly available rental data to enforce restrictions on hosts with multiple listings and hosts in commercial areas. However, the Bureau of Development Services was still developing software that will be used to analyze the data and enforce the rental registrations. The Housing Bureau started reporting on short-term rental activity but still needs to work on measuring its impact on the housing market.

On this audit there were two recommendations in process.



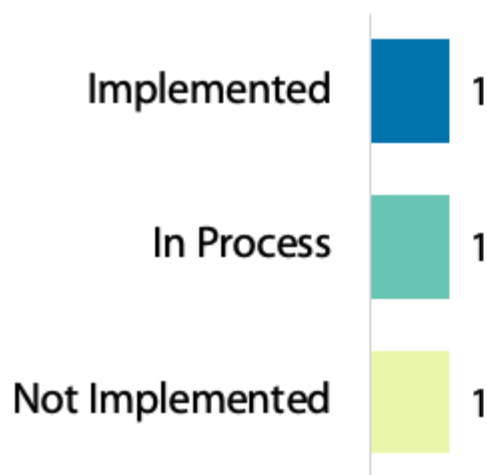
Portland Housing Bond: Early implementation results mostly

encouraging

[Report](#) published June 19, 2019 | [Follow-up report](#) | Contact [Martha Prinz](#)

The City promised voters in 2016 that a \$258.4 million housing bond would serve seniors, veterans, and people with disabilities. Our 2019 audit found that the Portland Housing Bureau didn't adequately include those groups in project selection criteria, but the project selection criteria it used appeared to be applied consistently. We also found that outreach aimed at getting tenants into City-owned affordable units used a targeted approach, with early data showing two completed bond projects serving diverse populations. We followed up on two outstanding recommendations the Bureau said were in process at the one-year mark. The Bureau did not encourage developers and property owners to attract seniors, veterans, and people with disabilities, but said that one project was slated to serve those populations.

On this audit there was one recommendation implemented, one in process, and one not implemented.



Lents Urban Renewal: 20 years of investment with minimal evaluation

[Report](#) published February 12, 2020 | [Follow-up report](#) | Contact: [Minh Dan Vuong](#)

Our 2020 audit found that Prosper Portland's and the Housing Bureau's investments in Lents had mixed results when compared against the City's ambitious goals. Prosper Portland had not comprehensively assessed or reported how its investments, totaling more than \$200 million since 2001, changed Lents.

On this audit there was one recommendation implemented.

Not Implemented Recommendation Details

We recommended the Housing Bureau evaluate the effectiveness of actions to reach housing bond target populations for non-City-owned projects.

This was important because the City was transitioning away from owning housing and counting on other entities to meet

the bond's goals. At the time of the audit, the Bureau had not developed a plan to ensure groups the bond was intended to serve received housing. The Bureau said it planned to require potential developers and property owners to do outreach to seniors, veterans, and people with disabilities, but it did not do so. Additional documents prepared by the Bureau as projects moved along also did not include each of the populations prioritized by the bond measure. (Portland Housing Bond: Early implementation results mostly encouraging)



In Process Recommendation Details

We recommended the Housing Bureau work with Council to add measuring the effects of short-term rentals on its housing goals to City Code and regulations.

Housing began reporting on the inventory of long-term rental housing in the 2019 State of Housing report and continued

to report it annually since then. Staff said that they would continue to work with Council to create goals related to short-term rentals. (Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown)



We recommended the Housing Bureau obtain short-term rental data from booking agents or from other publicly available sources, monitor and report data, and evaluate effects on housing. Housing obtained short-term rental data from a company that tracks listings of various booking agents and began reporting on the inventory of long-term rental housing in the 2019 State of Housing report. Housing said that it will work to add analysis of the effects of short-term rentals on long-term rentals in future State of Housing reports. (Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown)

We recommended that the Housing Bureau emphasize bond ballot measure commitments and report on service to the priority communities. Initial information from the two completed projects showed they were serving seniors and people with disabilities, although those communities were not specifically targeted for help during project development. The Bureau said it plans to serve seniors, veterans, and people with disabilities in an upcoming project. (Portland Housing Bond: Early implementation results mostly encouraging)

Implemented Recommendation Details

We recommended providing specific information about the underlying rationale for housing bond decisions.

The Housing Bureau produced an annual report, quarterly newsletters, and a press release to inform the public and other stakeholders of bond activities. The

Bureau's project descriptions on the housing bond website make the rationale for each project clearer than we found in our 2019 audit. The Bureau also developed new reporting templates to be used in quarterly reporting to its Bond Oversight Committee. (Portland Housing Bond: Early implementation results mostly encouraging)



We recommended that the Housing Bureau continue to periodically measure economic results for the goals they have set, update goals as needed, and report progress to the public.

The Housing Bureau regularly measures and reports on all city policies and goals in the annual state of housing report, including the tangible Lents Tax Increment Financing affordable housing goals. Housing is spending down the remainder of Lents urban renewal funds and is unlikely to make changes to goals and projects funded. Housing has not reported updated progress against economic goals. (Lents Urban Renewal: 20 years of investment with minimal evaluation)

Data Notes

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Links

- **Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown**
 - **Report** <https://www.portlandoregon.gov/auditservices/article/693466>
 - **Follow-up** <https://www.portland.gov/year2shorttermrentals>
- **Portland Housing Bond: Early implementation results mostly encouraging**
 - **Report** <https://www.portlandoregon.gov/auditservices/article/734894>
 - **Follow-up** <https://www.portland.gov/year2housing-bond>
- **Lents Urban Renewal: 20 years of investment with minimal evaluation**
 - **Report** <https://www.portlandoregon.gov/auditservices/article/753641>
 - **Follow-up** <http://www.portland.gov/year2Lents>

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Human Resources Bureau 2022 Audit Status Report

Information

We are tracking two audits that made nine recommendations to Human Resources.

Elected-in-charge: Mayor Ted Wheeler

Bureau or Office Director: Cathy Bless

We are tracking two reports and nine recommendations

Our 2018 data loss prevention audit made seven recommendations to the Bureau of Human Resources. A second audit was about Human Resources' role in increasing accountability in the Fire Bureau. Human Resources has implemented six recommendations, one is in process, and two are pending.

Highlight from Last Year

There was no activity in 2022.

To Do

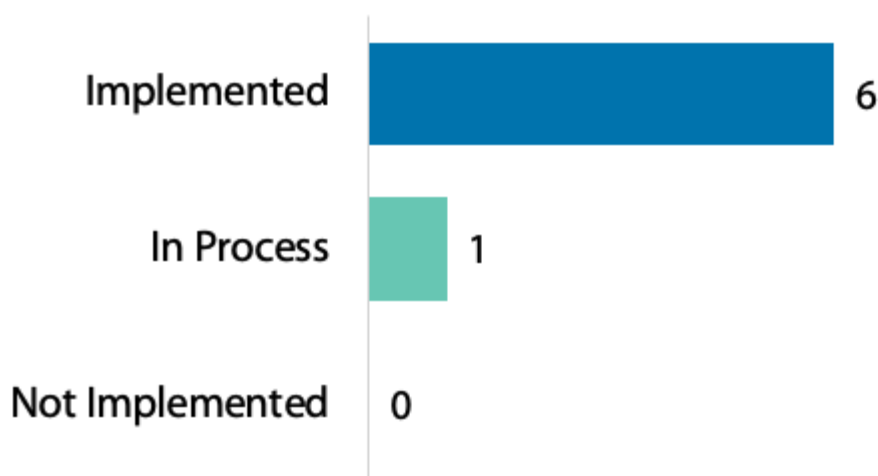
We recommended accurately documenting and monitoring complaints, investigations, and discipline to enable the data to be analyzed for risks, interventions, policy changes, and training needs.

Data Loss Prevention Human Resources

[Report](#) published October 29, 2018 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

In 2018, we reported that the City's steps to prevent data loss was relatively sound but needed to be strengthened. The purpose of the audit was to assess if the Bureau of Technology Services' approach to data loss prevention was well-designed and implemented effectively. Testing centered on practices used by Human Resources and other bureaus and offices to manage and protect data they create and use in a variety of formats, including paper, electronic, and removable media. We kept the details of the report confidential because of the sensitivity of information about potential computer or system weaknesses, which is exempt in state law from public disclosure. Recommendations we found to be "in process" remain confidential.

On this audit there were six recommendations implemented and one in process.



Portland Fire & Rescue does not have a coherent accountability system

[Report](#) published June 29, 2022 | Contact [Jenny Scott](#)

We found that the Portland Fire Bureau has not invested the time, attention, and resources needed for a coherent employee accountability system. We make recommendations for training, complaint investigation, and discipline processes to help ensure that the Bureau achieves its diversity goals.

This is a new audit with two recommendations pending follow-up.

In Process Recommendation Details

Confidential Recommendation. (Data Loss

Prevention Human Resources)



Implemented Recommendation Details

We recommended the Bureau configure applications to comply with appropriate password change requirements. The Bureau said it reconfigured its applications to require password changes after 90 days. (Data Loss Prevention Human Resources)



We recommended monitoring of closets containing cable connections at the Bureau's temporary workspace, development of a physical access control policy, and updated policies for terminating access when employees leave the City. The Bureau moved out of its temporary workspace. Closets in the new workspace are secure. The Bureau worked with Facilities to update access controls in the new workspace. The Bureau worked with Technology Services to develop a report to immediately notify Facilities when an employee leaves the City. (Data Loss Prevention Human Resources)

We recommended that the Bureau continue the development and implementation of information security awareness training. The Bureau reported that it worked with the City Archivist to develop a training, which is currently offered to employees. (Data Loss Prevention Human Resources)

We recommended the Bureau develop formal policies and procedures to address security of laptops, Universal Serial Bus drives, and hard copy documents. The Bureau said it developed a set of written expectations for the storage of sensitive data. It also planned to conduct spot checks. (Data Loss Prevention Human Resources)

We recommended the Bureau finalize its Continuity of Operations Plan and update it annually. The Bureau said it finalized its plan and was committed to updating it every six months. (Data Loss Prevention Human Resources)

We recommended the Bureau review third-party contracts and amend them to include requirements for protection of data. The Bureau said it modified its contracts. (Data Loss Prevention Human Resources)

Pending Recommendation Details

We recommended improving Human Resources' investigation guidance to ensure that necessary investigation steps are performed and documented, and that notice is given to employees when investigations are completed. The updated guidance should

include timeliness benchmarks for key investigative steps. (Portland Fire & Rescue does not have a coherent accountability system)



We recommended accurately documenting and monitoring complaints, investigations, and discipline to enable the data to be analyzed for risks, interventions, policy changes, and training needs. (Portland Fire & Rescue does not have a coherent accountability system)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

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Links

- **Data Loss Prevention Human Resources**

- **Report Link** <https://www.portland.gov/audit-services/news/2018/10/29/data-loss-prevention-citys-approach-sound-its-practices-should-be>
- **Follow-up Link** <http://www.portland.gov/year3data-loss-prevention>

- **Portland Fire & Rescue does not have a coherent accountability system**

- **Report Link** <https://www.portland.gov/fire-discipline-audit>

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Parks and Recreation Bureau 2022 Audit Status Report

Information

We are tracking two audits and eight recommendations at the Parks Bureau.

Elected-in-charge in 2022: Carmen Rubio

Bureau or Office Director: Adena Long

We are tracking two reports and eight recommendations

Audit topics include need-based financial aid for recreation programs and the financial stability of the golf program. Parks and Recreation has implemented two recommendations, two are in process, and four are not implemented. The Bureau did not implement any of the recommendations related to financial aid due to budget constraints. The Bureau should work with City Council to reconsider these recommendations which will increase access to recreation programs.

Highlight from Last Year

We recommended the golf program improve monitoring to ensure contract provisions were followed. The program continues to monitor the existing contracts while the request for proposal is being developed. Recent examples include identifying maintenance issues and repairing the driving range nets at Eastmoreland Golf Course and a pro-active removal of an underutilized deck at Colwood Golf Center.

To Do

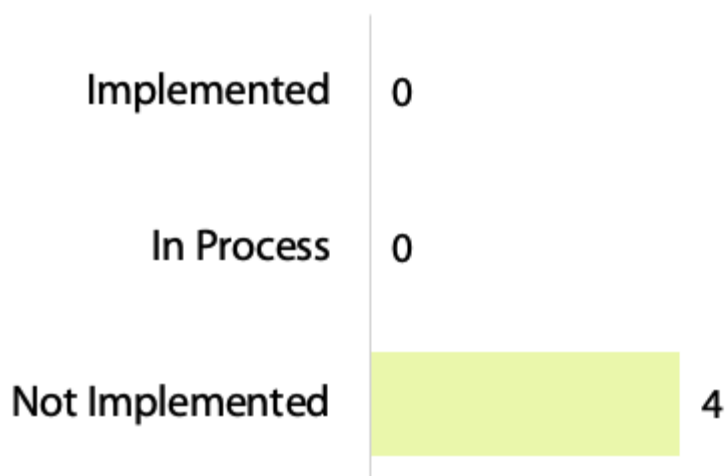
We recommended that the golf program define the mission for golf in contracts and make operators accountable partners in that mission. Operators should share in both risks and rewards. In the spring of 2021, the program contracted with a consultant to develop a comprehensive solicitation for proposals. The scope of work includes research and financial assessment of the Golf Program and local market. Provisions in the request for proposals are intended to help define the new operating contracts.

Recreation Scholarships: Conflicting policy direction and communication barriers limit access

[Report](#) published March 1, 2018 | [Follow-up report](#) | Contact [Bob MacKay](#)

The Bureau of Parks & Recreation provides financial assistance to those eligible to help make recreation accessible to all Portlanders. Our 2018 audit found the City had contradictory goals to increase access to recreation services while also increasing fee revenues from recreation centers. This revenue pressure caused inequitable access to scholarships. Improved policies, dedicated funding, and better communication would help address the conflict and improve access to services for those eligible. While the Bureau of Parks & Recreation agreed with the original audit recommendations, it has not implemented them. Since the audit was released, the Bureau has changed directors and discovered a structural budget gap that may lead to significant reductions in recreation programs. These challenges will exacerbate the tension between access and cost recovery. This underscores the need for a clear policy and budget for scholarships.

On this audit there were four recommendations not implemented.



Portland Parks Golf: Changes needed to ensure long-term sustainability

[Report](#) published May 23, 2019 | [Follow-up report](#) | Contact [Bob MacKay](#)

This is our second follow up on our 2019 report, Portland Parks Golf: Changes needed to ensure long-term sustainability. In that report, we found that although the golf fund was intended to be self-supporting, it required an additional \$800,000 to remain solvent. With dwindling reserves, basic maintenance needs were being met, but a backlog of larger deferred projects increased at course facilities. We also found lax contract management. Two of four recommendations have not been implemented yet, and the golf program is addressing them with the help of a consultant. Full implementation is dependent on finalizing a contract for a comprehensive clubhouse operator, which is scheduled to be out for bid in mid-2022. The two remaining recommendations have been implemented.

On this audit there were two recommendations implemented, and two in process.

Not Implemented Recommendation Details

We recommended clarifying and updating the Bureau's scholarships policy and implement it consistently across centers. The Bureau's proposed policy revision had not been implemented. (Recreation Scholarships: Conflicting policy direction and communication barriers limit access)



We recommended budgeting for scholarships and establishing funding sources. The Bureau had not moved forward because of budget constraints. (Recreation Scholarships: Conflicting policy direction and communication barriers limit access)

We recommended reporting to the Council periodically on the cost and performance of the scholarship program. The Bureau had not implemented this because of budget constraints. (Recreation Scholarships: Conflicting policy direction and communication barriers limit access)

We recommended developing a strategic outreach plan for scholarship information that overcomes language and other barriers and is consistent with the budget and revised scholarship policies. The Bureau had not implemented this because of budget constraints. (Recreation Scholarships: Conflicting policy direction and communication barriers limit access)

In Process Recommendation Details

We recommended presenting alternative financial forecast scenarios to Council for direction on the future of the golf program.

The golf program is working with a consultant to compile information, analyze the program's financial future, and identify opportunities for

programmatically improvement. The consultant will also provide support for the comprehensive golf clubhouse operator request for proposal, which was rescheduled for release in mid-2022. To help address its maintenance backlog, the program said it would develop a capital sub-fund for planning and tracking purposes. Recent strong performance of the fund has allowed the program to develop reserves to weather future downturns and begin creating a plan for capital improvements. (Portland Parks Golf: Changes needed to ensure long-term sustainability)



We recommended defining the mission for the golf program in contracts and making operators accountable partners in that mission.

Operators should share in both risks and rewards. In the spring of 2021, the program contracted with a consultant to develop a comprehensive solicitation for proposals. The scope of work includes research and financial assessment of the Golf Program and local market. Provisions in the request for proposals are intended to help define the new operating contracts. (Portland Parks Golf: Changes needed to ensure long-term sustainability)

Implemented Recommendation Details

We recommended presenting contracts to City Council for approval and renewal.

Parks asked Council to extend the management contracts for Heron Lakes and Colwood Golf Center to the fall of 2022. They now will expire at the same time as those for the Eastmoreland and

Rose City Golf courses. The contract for the comprehensive clubhouse operator will cover clubhouses at all four eastside courses. (Portland Parks Golf: Changes needed to ensure long-term sustainability)



We recommended the golf program improve monitoring to ensure contract provisions were followed. The program continues to monitor the existing contracts while the request for proposal is being developed. Recent examples include identifying maintenance issues and repairing the driving range nets at Eastmoreland Golf Course and a pro-active removal of an underutilized deck at Colwood Golf Center. (Portland Parks Golf: Changes needed to ensure long-term sustainability)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

- City Council can use it to identify bureaus that may need additional resources or support in order to implement recommendations.
- Bureau directors can use it to assess bureau performance and to determine if any changes in policy or procedure are necessary.
- Bureau management and staff can use it to track recommendation status across audits to develop work plans and priorities.
- General public can use it to monitor the status of recommendations related to topics of interest and to compare performance across bureaus.

This report includes recommendation status as of December 31, 2022.

Translated reports

Most reports are available in four languages: Spanish, Vietnamese, Chinese, and Russian. We are translating new reports as they're released, but older reports may not be available in a language other than English. If you would like to request a translated version of a report, please contact [KC Jones](#).

Links

- **Recreation Scholarships: Conflicting policy direction and communication barriers limit access**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/674791>
 - **Follow-up Link** <https://www.portlandoregon.gov/auditservices/article/729570>
- **Portland Parks Golf: Changes needed to ensure long-term sustainability**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/732560>
 - **Follow-up Link** <https://www.portland.gov/year2Golf>

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Planning and Sustainability Bureau 2022 Audit Status Report

Information

We are tracking one audit that made six recommendations to Planning and Sustainability.

Elected-in-charge: Carmen Rubio

Bureau or Office Director: Donnie Oliveira

We are tracking one report and six recommendations

Our 2022 Planning and Sustainability audit examined the Portland Clean Energy Fund.

All recommendations are pending.

Highlight from Last Year

There was no activity in 2022.

To Do

We recommended that the Commissioner-in-charge and the Bureau Director work with the Portland Clean Energy Fund to propose to Council guidelines for the purpose, qualifying activities, and desired outcomes of capacity-building spending for the program.

Portland Clean Energy Fund: Additional steps needed to implement voter-approved program

[Report](#) published March 10, 2022 | Contact [Tenzin Gonta](#)

Voters approved a tax to create the Portland Clean Energy Fund in 2018 as an ambitious way to tackle climate change and social inequities. This audit found that the program began putting management systems in place, but other elements were not yet implemented or needed direction from City Council.

This is a new audit with six recommendations pending follow-up.

Pending Recommendation Details

We recommended that the Commissioner-in-charge and the Bureau Director work with the Portland Clean Energy Fund to set timeframes and publicly present plans to Council for: reporting on funding allocations by category; setting program performance goals and developing reporting systems; and completing their workforce and contractor equity plan. (Portland Clean Energy Fund: Additional steps needed to implement voter-approved program)



We recommended that the Commissioner-in-charge and the Bureau Director work with the Portland Clean Energy Fund to propose to Council a plan for how the program will proceed with the legislation's climate initiatives given that the Climate Action Plan has expired. (Portland Clean Energy Fund: Additional steps needed to implement voter-approved program)

We recommended that the Commissioner-in-charge and the Bureau Director work with the Portland Clean Energy Fund to propose to Council guidelines for the purpose, qualifying activities, and desired outcomes of capacity-building spending for the program. (Portland Clean Energy Fund: Additional steps needed to implement voter-approved program)

We recommended that the Commissioner-in-charge and the Bureau Director work with the Portland Clean Energy Fund to evaluate oversight responsibilities and, if needed, seek input and propose legislative changes to Council. (Portland Clean Energy Fund: Additional steps needed to implement voter-approved program)

We recommended that the Commissioner-in-charge and the Bureau Director work with the Portland Clean Energy Fund to clarify and communicate to Council which expenses are included as administrative costs subject to the cap. (Portland Clean Energy Fund: Additional steps

needed to implement voter-approved program)

We recommended that the Commissioner-in-charge and the Bureau Director work with the Portland Clean Energy Fund to continue to work with the Revenue Division to obtain timely revenue reports to improve budgeting and administrative cost management. (Portland Clean Energy Fund: Additional steps needed to implement voter-approved program)

Data Notes

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Links

- **Portland Clean Energy Fund: Additional steps needed to implement voter-approved program**
 - Report: <https://www.portland.gov/pcef-audit>

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Police Bureau 2022 Audit Status Report

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We are tracking five audits and 36 recommendations at the Police Bureau.

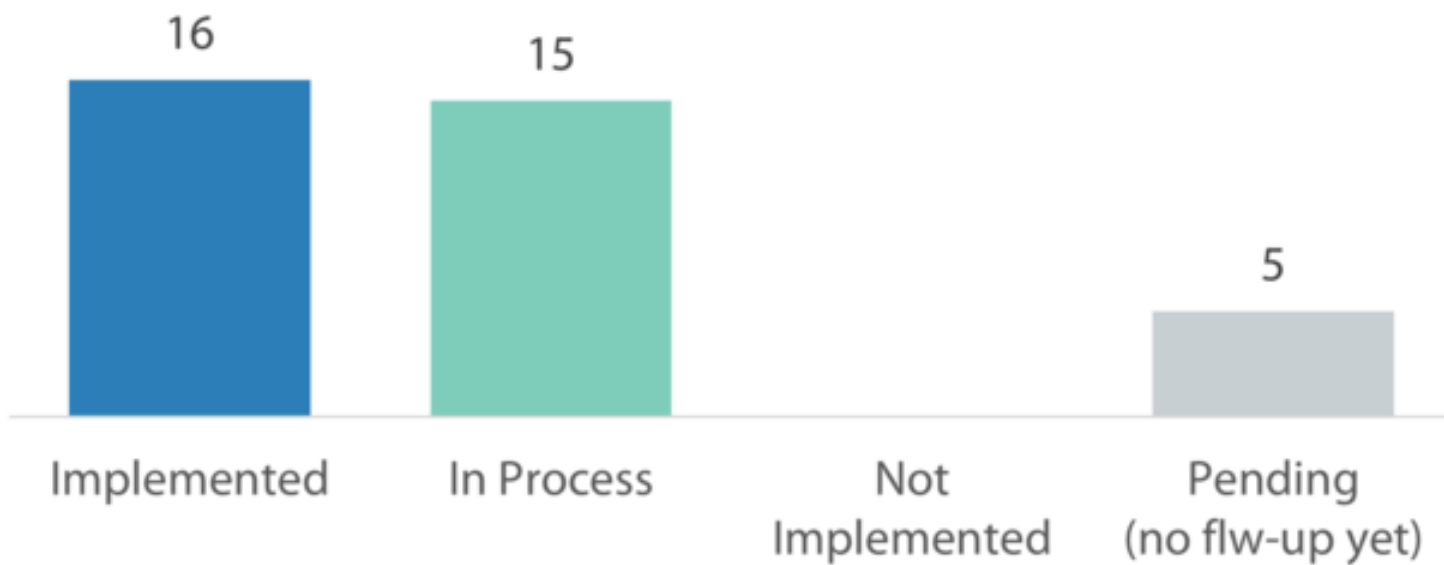
Elected-in-charge: Mayor Ted Wheeler

Bureau or Office Director: Chief Chuck Lovell

We are tracking four reports and 31 recommendations

Two reports are related to the former Gang Enforcement Team, one is related to training, and one is related to overtime. The Bureau disbanded the Gang Team but is developing a successor program to investigate and proactively interrupt gun crimes and the recommendations still apply.

Police have implemented 16 recommendations, 15 are in process, and five are pending follow-up.



Highlight from Last Year

Although there is no training solely focused on avoiding profanity, demeaning labels, and inappropriate comments, the Bureau now provides training on Procedural Justice, which includes the concept of engaging people respectfully. The Bureau also provides Active Bystandership for Law Enforcement training, which teaches officers to intervene if another officer is engaging in harmful behavior toward members of the public.

To Do

The Bureau should adopt a technology directive that includes Council authorization of surveillance technology, advice from a privacy commission, and requirements for policies and reporting.

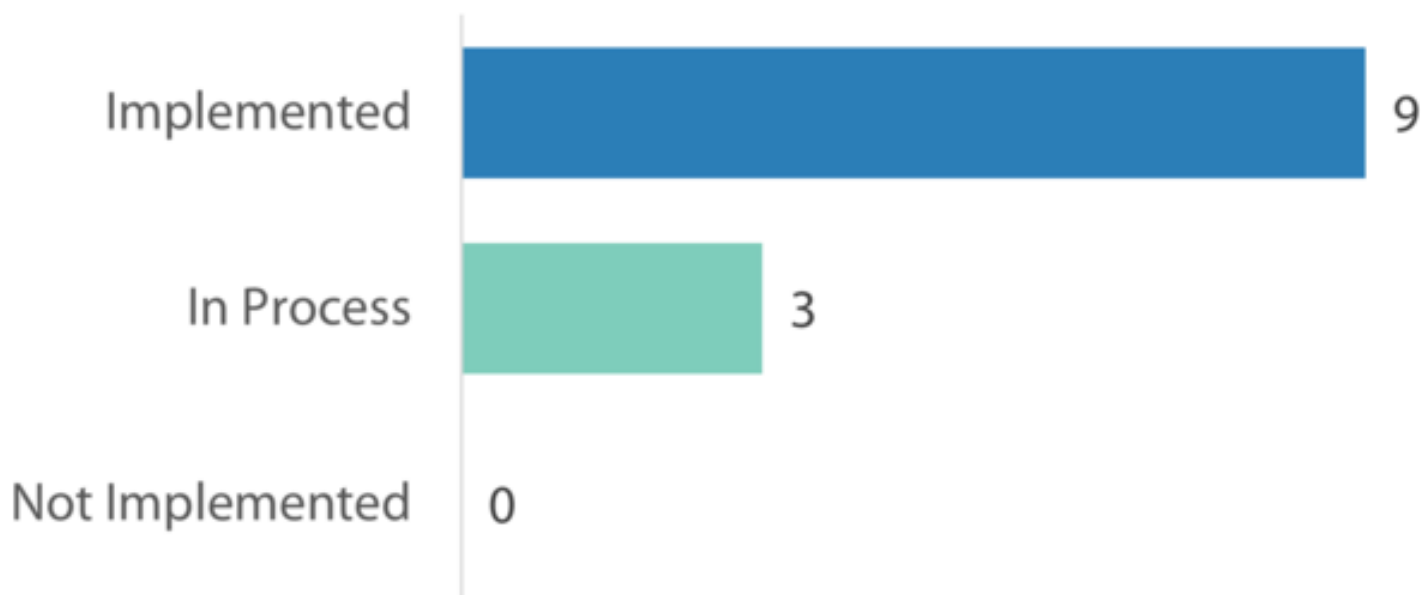
Police Training Division: Progress made, but evaluating impacts on officer performance must be improved

[Report](#) published March 3, 2015 | [Follow-up report](#) | Contact [Martha Prinz](#)

Since 2015, the Portland Police Bureau has fully implemented recommendations to have the Training Division play a bigger role in assessing policy changes and effects, to implement training related to treating people respectfully and intervening if another officer behaves disrespectfully, and to improve weapons check-out procedures. The Bureau is still working to implement some recommendations, including to provide more role-playing scenarios as part of training and to use more actual cases as

part of ongoing officer training. A recommendation on less lethal weapon ammunition storage was no longer relevant due to an operational change made by the Bureau.

On this audit there were nine recommendations implemented, and three in process.

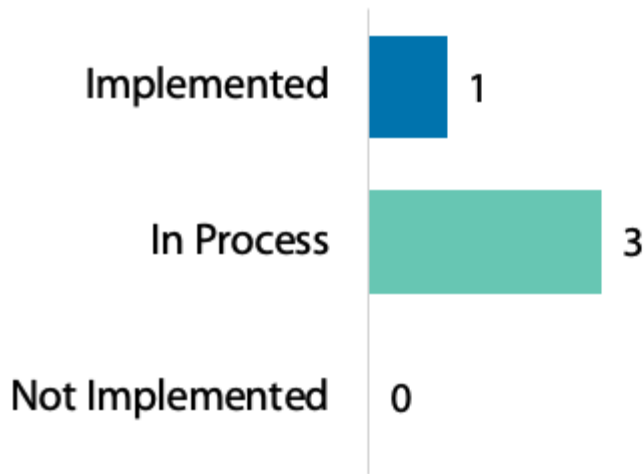


Gang Crime Investigations: Lack of accountability and transparency reduced the community's trust in police

[Report](#) published March 28, 2018 | [Follow-up report](#) | Contact [Minh Dan Vuong](#)

Our audit of gang crime investigations found that the Gang Enforcement Team was collecting and sharing information about people's gang associations, but these practices were not accountable. We recommended the Bureau adopt a policy for information collection and publicly report results. In the year since our audit of the Gang Enforcement Team, the Police Bureau has made some progress in implementing our four recommendations for investigations. The Bureau discontinued the most active list, for which it had no policy and few safeguards. The Gang Enforcement Team also improved its case management but needs to publicly report results. We will follow up again in one year to check if the remaining recommendations are implemented. In early 2019, the Bureau restructured the Gang Enforcement Team as the Gun Violence Reduction Team.

On this audit there was one recommendation implemented, and three in process.

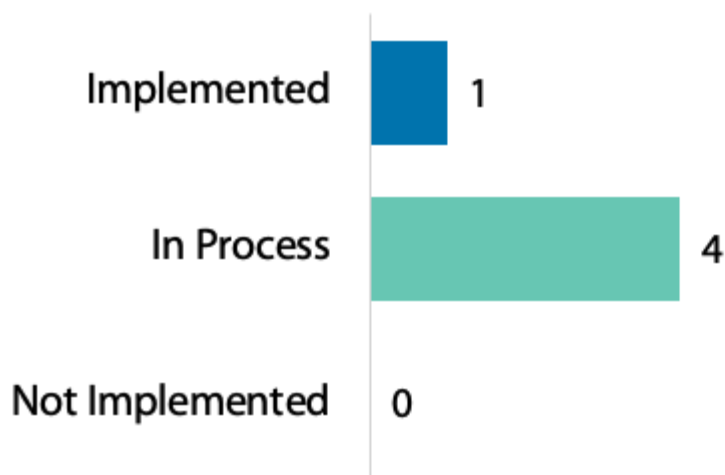


Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective

[Report](#) published March 28, 2018 | [Follow-up report](#) | Contact: [Minh Dan Vuong](#)

Our audit of gang enforcement patrols found the team was carrying out traffic stops that disproportionately affected African Americans, while community members were concerned that the stops were too broad and not limited to criminal gang suspects. The Bureau could not demonstrate that these stops were effective. We recommended the Bureau analyze stops data, set goals for effectiveness, and publicly report results. In the year since our audit of the Gang Enforcement Team, the Police Bureau has made some progress in implementing our five recommendations for patrol. Substantial work remains in documenting the investigative reasons for traffic stops and setting goals for the effectiveness of stops. We will follow up again in one year to check if the remaining recommendations are implemented. In early 2019, the Police Bureau restructured the Gang Enforcement Team as the Gun Violence Reduction Team.

On this audit there was one recommendation implemented, and four in process.

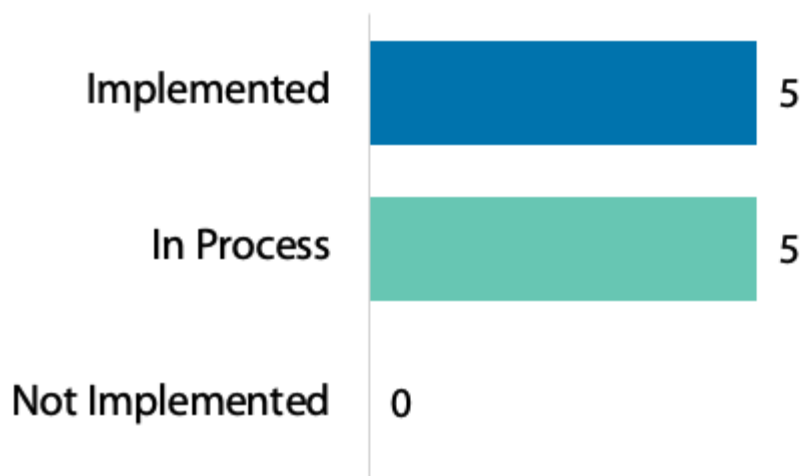


Police Overtime: Management is lax despite high overtime use

[Report](#) published October 1, 2019 | [Follow-up report](#) | Contact: [Elizabeth Pape](#)

Our police overtime audit found high overtime use in 2018: nearly 250,000 extra hours at a cost of \$15.7 million. But the costs of overtime were not just financial. Long hours lead to more accidents, injuries, and burnout for officers. Secondary employment, which is off-duty contract work, also taxed a system that relied on overtime to meet minimum staffing needs. The program had a low public profile and inconsistent procedures despite risks it posed for the City. We recommended that the Bureau improve overtime data collection and reporting, change the approval process for off-duty work, and report publicly about contracts, hours worked at second jobs, and finances. Since 2019, the Bureau improved the secondary employment program by considering equity in contract approvals and creating a rationale for overhead charges. The Bureau also improved overtime data collection, oversight, and reporting. But it is still working to add important pieces of information, such as which supervisors authorized overtime and whether training attendance that caused overtime was discretionary.

On this audit there were five recommendations implemented, and five in process.



Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights

[Report](#) published April 6, 2022 | Contact: [Elizabeth Pape](#)

Keeping information about political activity and using surveillance technology without safeguards infringes on First Amendment rights. Police need direction about what to collect and a process to manage records when there is no criminal activity. The Bureau also needs improved technology policies.

This is a new audit with five recommendations pending follow-up.

In Process Recommendation Details

We recommended the Bureau improve the format of semiannual reports to include an assessment of how the training delivered during that period furthers Bureau policy, goals, and objectives, not just how many classes were offered and who attended. The



Bureau is in the process of adding information to the training database about how each training course furthers Bureau policy, goals, and objectives. That work is ongoing, and the information is expected to be reflected in future semiannual reports. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended the Bureau be mindful of the need to consistently provide role-playing scenarios (particularly disengagement and confrontation management), especially for handling persons in mental crisis. Over the past five years, the Bureau provided fewer hours of scenario-based trainings, on average, per year, than the average for the three prior years. Trainings provided in 2020 were excluded from this calculation because the Bureau told us they offered fewer scenarios that year due to the COVID-19 pandemic. Many of the scenarios offered involved opportunities to practice disengagement and confrontation management. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended that the Bureau expand efforts at training program evaluation to all important policy changes and Bureau initiatives that become part of training division responsibilities. The Training Division has a more extensive training needs assessment process than in the past and also evaluates more types of training. The Division told us they are doing more to link training to outcomes than in the past and plan to expand on that work. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended adopting official policies and procedures for collecting and disseminating information about people with gang relationships. Instead of adopting a new standard operating procedure for the Gang Enforcement Team, the Bureau began developing a directive on managing criminal intelligence files that will apply to all divisions. The Bureau circulated a draft of the directive for public comment in October 2018. It anticipated completion in October 2019. (Gang Crime Investigations: Lack of accountability and transparency reduced the community's trust in police)

We recommended ensuring that policies related to collecting information about people's gang relationships included certain information. The October 2018 draft directive included a requirement

for reasonable suspicion, safeguards for completeness and accuracy, access and security safeguards, records retention, and regular review, as we recommended. But the draft did not include a statement of purpose and description of the type of information to be gathered and analyses and documentation of reasonable suspicion. (Gang Crime Investigations: Lack of accountability and transparency reduced the community's trust in police)

We recommended that the Bureau track the clearance rate for gang team investigations, set a goal for the clearance rate, and publicly report outcomes. The team revised a standard operating procedure in April 2018 to address this recommendation. It had a clearance rate goal of 30 percent for 2018 and 2019. Investigators said they cleared 41 of 140 cases (29 percent) in 2018. Caseload appears more balanced among detectives. The Bureau has not yet publicly reported the clearance goals and actual results for the team. (Gang Crime Investigations: Lack of accountability and transparency reduced the community's trust in police)

We recommended that the gang team require its officers to document the investigative reason for their traffic stops. The Police Bureau should regularly analyze the data and publish the results. The team still does not document investigative reasons for most stops. The Bureau said it plans to write a new directive to address this recommendation. (Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective)

We recommended that the gang team set goals to measure the effectiveness of patrol stops, and record whether a stop resulted in contacting a criminal gang suspect. The Bureau should regularly analyze the data and publish the results. The Bureau has not set effective goals for the Gun Violence Reduction Team's traffic stops. The Bureau wants to hire a consultant to analyze Fiscal Year 2018-19 data. The Bureau said it cannot track if stops resulted in contact with criminal gang suspects because gang designations no longer exist. (Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective)

We recommended that the gang team regularly monitor stops data and the percentage of encounters recorded as "mere conversations" and provide training to officers on when this classification should be used. The team has not monitored data on mere conversations, which are interactions in which a person has not been detained. Gang Enforcement officers received training on how to enter stops data. The Bureau still has no comprehensive data on mere conversations, because some interactions are captured as such and some are not. Mere conversations coded as such decreased: The Bureau reported 637 in 2016 and 191 in 2017. The Bureau said it was reviewing the feasibility of capturing more data on mere conversations in the future. (Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective)

We recommended that the Bureau evaluate the effectiveness of suppression operations by the Gang Enforcement Team by continuing review of crime trends and by reviewing arrest outcomes. Since March 2017, the team has carried out five suppression operations. The Bureau has a draft analysis of three operations. It does not, however, review whether those targeted by the

operations were arrested. The Bureau said it was committed to reviewing the effect of future operations on crime. (Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective)

We recommended that the Bureau improve overtime data collection. It developed a new overtime dashboard with a publicly viewable version online and an internal version that supervisors could use to monitor individual officers' hours. It included the shifts during which overtime was worked, a unique code for tracking overtime for street protests, and the sergeant who approved overtime. The Bureau was still working to track whether training attendance that caused overtime was discretionary and which supervisor authorized overtime. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau develop useful reports so that supervisors could identify officers who worked and sergeants who authorized extraordinary amounts of overtime. The new overtime dashboard included total hours worked by officers within relevant periods and the ability to break down hours indicating when it was caused by report-writing and calls that came toward the end of the officers' shifts. The Bureau could not develop reports about sergeants who authorized extraordinary amounts of overtime because shift scheduling is performed collectively by all sergeants assigned to a shift. However, the Bureau developed a report to show which shifts had extra leave and overtime. It also plans to develop a report about overtime used to backfill discretionary training after it creates a way to track it. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau limit the number of overtime hours an officer could work. This recommendation should be addressed in ongoing contract negotiations with the Portland Police Association. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau revise and document the approval process for off-duty work so that the Chief's Office conducts the primary review of contracts instead of precinct commanders or the Portland Police Association. The change was intended to ensure consistency and that contracts met Bureau standards. The Assistant Chief of Operations reviewed all secondary employment contracts starting in September 2019. The Bureau said the new procedure would be included in a pending update to the secondary employment directive. The Bureau does not plan to revise this directive until contract negotiations with the Portland Police Association have concluded. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau track contracts that were not approved and record the reason why. The Bureau didn't yet have a policy for tracking denied contracts but said that the new secondary employment directive would include one. The Bureau provided an example of a contract that had been denied. (Police Overtime: Management is lax despite high overtime use)

Implemented Recommendation Details

We recommended that the training database be upgraded to include query capabilities for training that does not fit neatly into State and Police Bureau-mandated training or for classes not directly developed by the Training Division.

The training database can now be

queried for other trainings besides State and Police Bureau-mandated trainings as well as for trainings not developed by the Training Division. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)



We recommended providing additional refresher training on officer responsibilities to procure medical care for a subject who is injured.

The Bureau provided more medically-focused training than in the past. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended the Bureau provide training on not using profane language, demeaning labels, and making inappropriate comments.

Although there is no training solely focused on avoiding profanity, demeaning labels, and inappropriate comments, the Bureau now provides training on Procedural Justice, which includes the concept of engaging people respectfully. The Bureau also provides Active Bystandership for Law Enforcement training, which teaches officers to intervene if another officer is engaging in harmful behavior toward members of the public. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended providing additional refresher training on less lethal weapon ammunition storage.

The recommendation is no longer relevant. The Bureau changed to a different less lethal launcher which cannot be loaded with lethal ammunition, making the problem the recommendation was meant to address something that can no longer happen. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended the Bureau provide In-Service use-of-force training that is more focused on lessons to be learned from actual cases as well as Bureau policy.

The Bureau is using more real-world examples and Bureau policy for use-of-force in-service training than in the past. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended instituting the Training Division as a key player in the feedback loop when policy changes and effects are evaluated.

The policy development team had a better process to get information from the Training Division and a bigger staff to do so. The Training Division was included in the recent directive updating process. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended improved internal procedures for checking out weapons from armories and make them consistent across precincts.

The Bureau improved the relevant directive and also

updated precinct-specific standard operating procedures to make them consistent with each other. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended developing a procedure, or improving supervisory oversight, to ensure that supervisors and dispatch operators are aware of the weapons each officer is carrying into the field for each shift. The standard operating procedure was changed to spell out supervisor requirements for this oversight. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended making changes to the manner in which the Training Division conducts analyses for use-of-force reviews which incorporate the recommendations made in the October 2012 Auditors Report. The Bureau modified the relevant operating procedures to satisfy this recommendation. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

We recommended reviewing current practices for creating the most active list against legal requirements. The Bureau said it discontinued the most active list. (Gang Crime Investigations: Lack of accountability and transparency reduced the community's trust in police)

We recommended the Police Bureau regularly analyze and publish demographic data regarding Gang Enforcement Team traffic stops. The Police Bureau analyzed the demographics of people stopped by Gang Enforcement officers in 2016 and 2017. The Bureau reported that 61 percent of people in 2016 and 56 percent in 2017 were Black. The Bureau compared the demographics of people stopped to the demographics of gang crime victims. This benchmark showed that the percentage of Black people stopped was below the percentage of Black people that the Bureau considered as victims of gang crime (71 percent in 2016 and 63 percent in 2017). This comparison differs from those in our audit, which compared the demographics of those stopped to the demographics of people injured in traffic crashes and crime victims. A good benchmark reflects who's at risk of being stopped, assuming no bias. We encourage the Bureau to include these comparisons in its analyses. The Bureau committed to including stops data for the Gun Violence Reduction Team in future reports. (Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective)

We recommended that the Bureau report publicly on contracts approved, hours worked, and finances. The Bureau began posting information on secondary employment contracts on its website, but the report only included new contracts and will be incomplete until all previous contracts expire. The information can be viewed online. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau improve oversight of officers working secondary employment to ensure compliance with labor agreement requirements. The Bureau said that staff would review the internal overtime dashboard for compliance. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau consult with its equity manager and consider the equity effects involved in proposed secondary employment contracts. The Bureau finalized its equity lens and said the Assistant Chief for Operations uses it when considering contracts for approval. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau create a rationale for secondary employment overhead charges that include the cost of payroll processing and billing to organizations that use off-duty officers. The Bureau developed a model to calculate the full cost of secondary employment and said it would phase in customer price increases over the next four to five years. (Police Overtime: Management is lax despite high overtime use)

We recommended that the Bureau track the name of organizations that use off-duty officers or an identification number in the system officers used to record secondary employment overtime or payroll to ensure that all hours worked could be traced back to a specific contract. The Bureau created tracking numbers in its accounting system for all new contracts. (Police Overtime: Management is lax despite high overtime use)

Pending Recommendation Details

The Bureau should adopt a directive related to investigating First Amendment activity that provides guidance for the appropriate collection of information to protect people's civil rights. (Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights)



The Bureau should create a procedure that limits access to sensitive information and promotes compliance with state law about collecting and maintaining political, religious, and social information that is not associated with criminal activity. (Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights)

The Bureau should adopt a technology directive that includes Council authorization of surveillance technology, advice from a privacy commission, and requirements for policies and reporting. (Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights)

The Bureau should add to the social media directive guidance for its use for investigations and a requirement to document the law enforcement purpose for searching individuals and groups. (Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights)

The Bureau should publish public reports on the Bureau's use of surveillance technology to ease the public's concerns about inappropriate intelligence-gathering and how devices are managed to prevent it. (Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

- City Council can use it to identify bureaus that may need additional resources or support in order to implement recommendations.
- Bureau directors can use it to assess bureau performance and to determine if any changes in policy or procedure are necessary.
- Bureau management and staff can use it to track recommendation status across audits to develop work plans and priorities.
- General public can use it to monitor the status of recommendations related to topics of interest and to compare performance across bureaus.

This report includes recommendation status as of December 31, 2022.

Translated reports

Most reports are available in four languages: Spanish, Vietnamese, Chinese, and Russian. We are translating new reports as they're released, but older reports may not be available in a language other than English. If you would like to request a translated version of a report, please contact [KC Jones](#).

Links

- **Police Training Division: Progress made, but evaluating impacts on officer performance must be improved**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/520697>
 - **Follow-up Link** <https://www.portlandoregon.gov/auditservices/article/688515>
- **Gang Crime Investigations: Lack of accountability and transparency reduced the community's trust in police**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/677594>
 - **Follow-up Link** <https://www.portlandoregon.gov/auditservices/article/732267>

- **Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/677598>
 - **Follow-up Link** <https://www.portlandoregon.gov/auditservices/article/732266>
- **Police Overtime: Management is lax despite high overtime use**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/743069>
 - **Follow-up Link** <http://www.portland.gov/year2policeOT>
- **Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights**
 - **Report Link** <https://www.portland.gov/police-intelligence-gathering>

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Prosper Portland 2022 Audit Status Report

Information

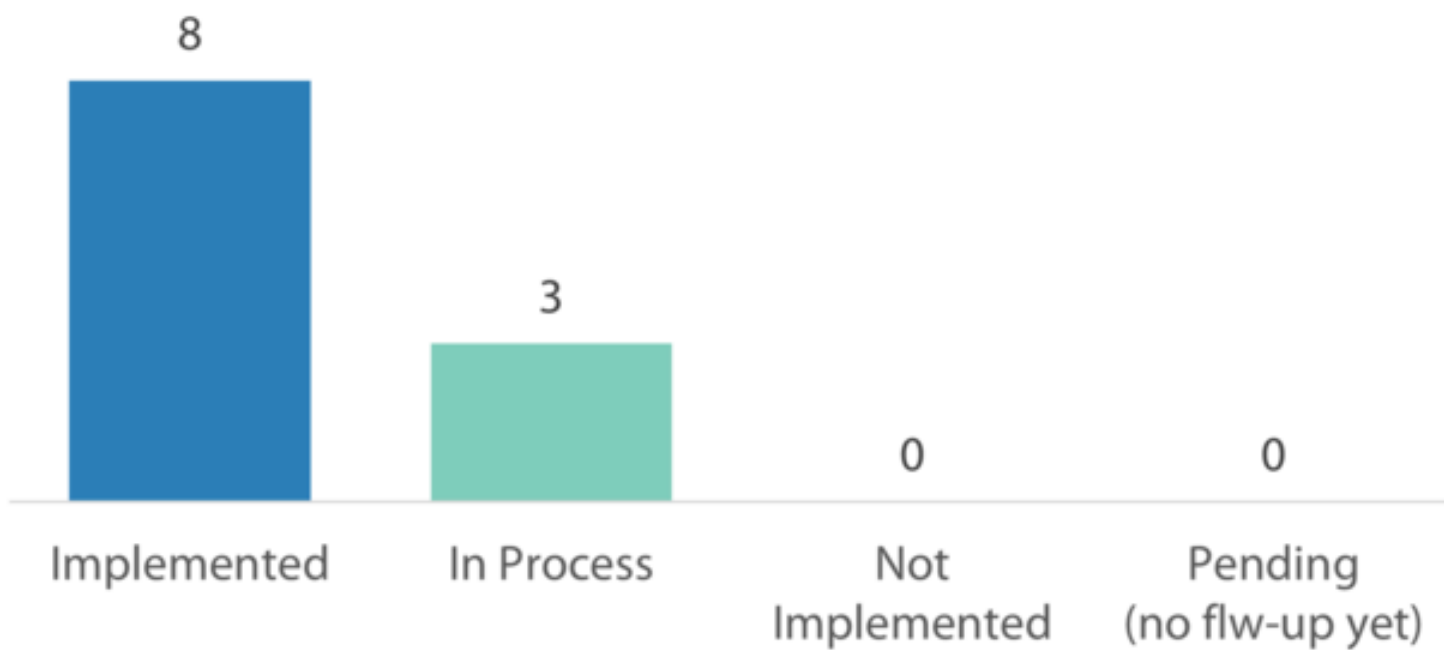
We are tracking three audit reports and 11 recommendations within Prosper Portland.

Elected-in-charge: Mayor Ted Wheeler

Bureau or Office Director: Kimberly Branam

We are tracking three reports and 11 recommendations

The audits assessed property management practices, urban renewal in the Lents neighborhood, and pandemic relief grants for small business. Prosper Portland has implemented eight recommendations, and three are in process.



Highlight from Last Year

We recommended that Prosper Portland use lessons-learned from the emergency grant program to create procedures that will ensure staff follow program standards when implementing grant programs. Prosper adopted a new grant program management procedure that includes director approval of program guidelines and deviations from them. The procedure also requires periodic analysis of the demographics of grant recipients to ensure the intent of awards are met.

To Do

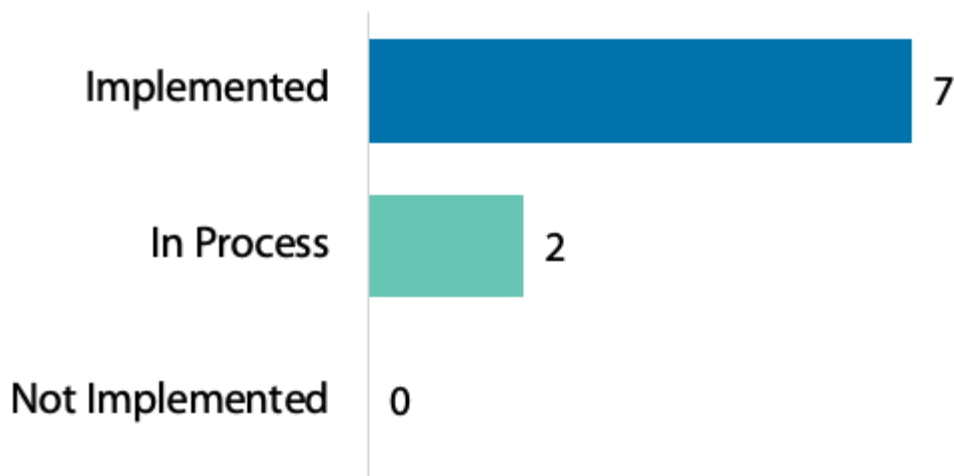
We recommended that Prosper Portland begin to periodically measure economic results for the goals they have set, update goals as needed, and report progress to the public. Prosper is spending down the remainder of Lents urban renewal funds and is unlikely to make changes to goals and projects funded. The Covid-19 pandemic affected Prosper Portland's plans. Prosper intended to hire a contractor this fiscal year to provide regular updates on economic indicators at the city and neighborhood level, but now intends to shift this work to Prosper staff. Prosper's Board of Commissioners received an update on development plans for the Bakery Block and 92nd & Harold in December 2021. Prosper has not reported updated progress against economic goals.

Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes

[Report](#) published November 28, 2017 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

Our 2017 audit of Prosper Portland found that without income goals or equity plans, the agency had limited ability to rely on property management as a major source of income or overcome a legacy of gentrification and displacement. We recommended that Prosper Portland create financial and strategic goals for each property, document equity considerations, perform risk assessments, and adequately monitor third-party operated properties. After the audit, Prosper Portland improved fiscal management by documenting strategic purposes for each property, conducting risk assessments, and requiring more detailed contract provisions. It also documented equity assessments for each property. It performed a competitive solicitation for an operator of the Inn at the Convention Center and was in the process of upgrading parking and renegotiating an operating agreement at Union Station.

On this audit there were seven recommendations implemented, and two in process.

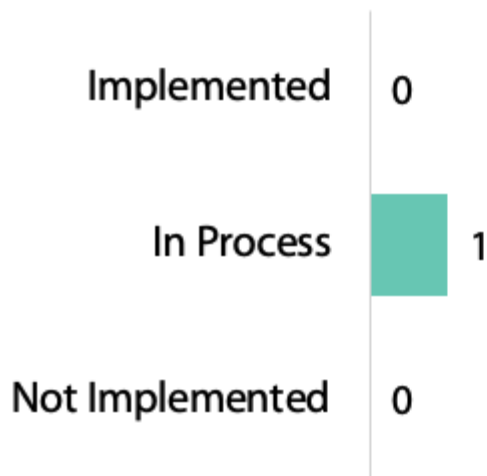


Lents Urban Renewal: 20 years of investment with minimal evaluation

[Report](#) published February 12, 2020 | [Follow-up report](#) | Contact [Minh Dan Vuong](#)

Our 2020 audit found that Prosper Portland's and the Housing Bureau's investments in Lents had mixed results when compared against the City's ambitious goals. Prosper Portland had not comprehensively assessed or reported how its investments, totaling more than \$200 million since 2001, changed Lents.

On this audit there was one recommendation in process.

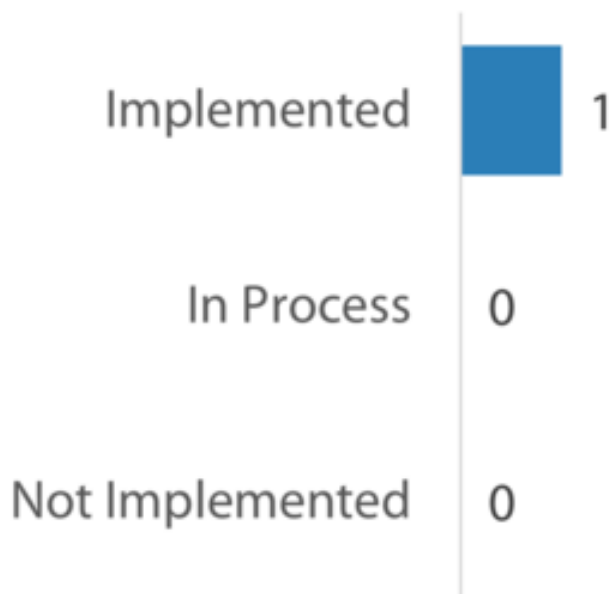


Prosper Portland Emergency Grants: Standards needed to ensure program integrity

[Report](#) published May 12, 2021 | [Follow-up](#) | Contact [Elizabeth Pape](#)

Prosper Portland's Small Business Relief Fund provided a lifeline during the early days of the pandemic. Staff successfully delivered dollars to struggling businesses but, in haste, short-changed program integrity. We made recommendations for building a stronger program for the next time disaster strikes.

On this audit there was one recommendation implemented.



In Process Recommendation Details

We recommended renegotiating the operating agreement for Union Station to include reporting requirements and a compensation structure.

Prosper Portland delayed signing a new agreement with the City until finalizing a new lease with Amtrak. The new lease may change

the scope of work for the City if Amtrak becomes responsible for security. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)



We recommended upgrading the parking control system at Station Place Garage. Prosper Portland solicited proposals to upgrade the system in November 2019 and anticipated installation by June 2020. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)

We recommended that Prosper Portland begin to periodically measure economic results for the goals they set, update goals as needed, and report progress to the public. Prosper Portland took steps to improve reporting, but the pandemic put some work on hold. In the past year, the bureau took some steps to meet our audit recommendation but stressed that they do not expect their programs to affect broad economic results. Prosper postponed the reevaluation of goals and economic analysis to prioritize emergency relief to businesses due to the Covid-19 pandemic. Prosper is now seeking a contractor to begin in Fiscal Year 2021-22 to provide regular updates on economic indicators at the city and neighborhood level. The agency plans to engage with Lents stakeholders in summer 2021 to determine future priorities. Prosper and Housing published a Lents Five Year Action Plan Close-Out Report and presented it to various groups before the shutdown began in 2020. (Lents Urban Renewal: 20 years of investment with minimal evaluation)

Implemented Recommendation Details

We recommended developing strategic purposes for each property and income goals as outlined in the draft business plan.

Prosper Portland's Board approved property plans for real estate in September 2019. The plans include strategic purposes and income goals. (Prosper

Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)



We recommended amending the financial investment policy to require the committee to

regularly review all real estate holdings for potential financial return, even those without pending decisions. Prosper Portland's Board directed the financial investment committee to review the financial performance of properties at least twice per year. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)

We recommended performing and documenting risk assessments for each income generating property. Prosper Portland conducted market risk analysis on 10 of its income-generating properties and determined all to be low risk except for one medium-risk property. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)

We recommended competitively soliciting an operator for the Inn at the Convention Center if Prosper Portland decided to continue ownership. Prosper Portland solicited proposals for an operator for the Inn at the Convention Center in the Fall of 2018. The Agency reviewed three proposals and selected the operator it considered to provide the most value. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)

We recommended developing contract provisions related to budgeting, reporting, and protecting physical assets that reflect the level of risk. Prosper Portland is amending contracts to add these provisions, including a new parking management contract and a draft property management contract. Existing contracts have not been amended, but contracts drafted since March 2018 have included the provisions. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)

We recommended creating a monitoring program for each income generating property tailored to contract provisions. Prosper Portland has begun to monitor properties in compliance with contract provisions. Adoption of a new module in its asset management system in March 2020 will allow it to monitor properties more closely and routinely. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)

We recommended documenting equity assessments for each property in the portfolio. Prosper Portland conducted equity assessments and provided documentation. (Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes)

We recommended that Prosper Portland use lessons-learned from the emergency grant program to create procedures that will ensure staff follow program standards when implementing grant programs. Prosper adopted a new grant program management procedure that includes director approval of program guidelines and deviations from them. The procedure also requires periodic analysis of the demographics of grant recipients to ensure the intent of awards are met. (Prosper Portland Emergency Grants: Standards needed to ensure program integrity)

Data Notes

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Links

- **Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/663741>
 - **Follow-up Link** <https://www.portlandoregon.gov/auditservices/article/752235>
- **Lents Urban Renewal: 20 years of investment with minimal evaluation**
 - **Report Link** <https://www.portlandoregon.gov/auditservices/article/753641>
 - **Follow-up Link** <http://www.portland.gov/year2Lents>
- **Prosper Portland Emergency Grants: Standards needed to ensure program integrity**
 - **Report Link** <https://www.portland.gov/emergency-grants-audit>
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Regional Arts and Culture Council 2022 Audit Status Report

Information

We are tracking one audit report and five recommendations within the Regional Arts and Culture Council.

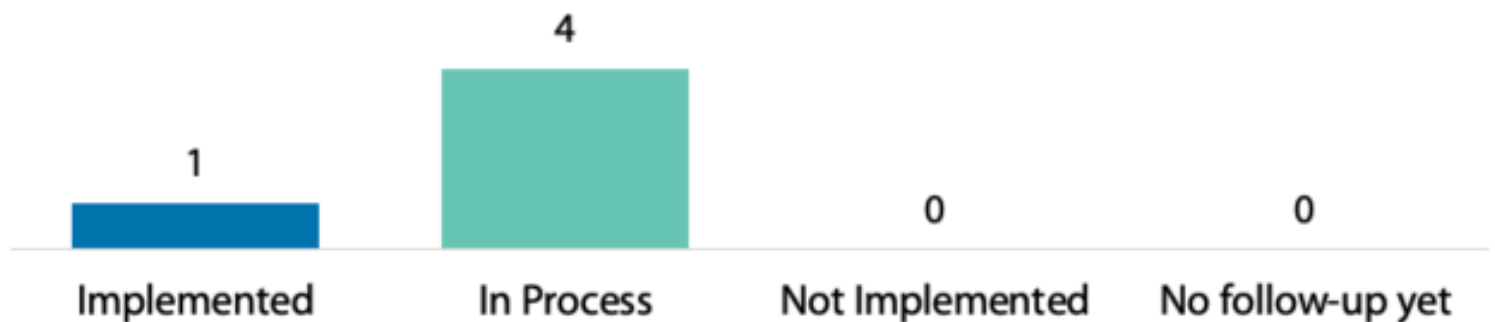
Elected-in-charge in 2022: Carmen Rubio

Bureau or Office Director: Jeff Hawthorne

We are tracking one report and five recommendations

Recommendations

The Regional Arts and Culture Council had one implemented recommendation and four in process recommendations.



Highlight from Last Year

There was no activity in 2022.

To Do

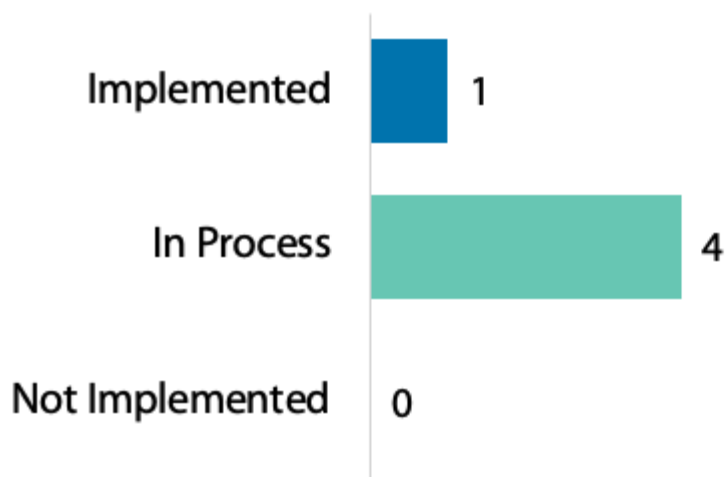
We recommended that the Arts Commissioner and the Mayor work with stakeholders to assess the state of arts and culture; identify needs; and develop clear goals, vision, and strategy for arts and culture. The City Arts Manager synthesized goals from past plans to create current arts and culture draft goals, and City Council allocated \$35,000 for the initial phase of a cultural mapping project last year. The City and Arts Council said in 2019 that, based on the mapping project, a community-driven cultural planning process to identify needs and to articulate a strategy for arts and culture would begin in 2021. Phase one of the cultural mapping project was completed in December 2019. The Arts Council created an interactive map with locations of Arts Council funded organizations, arts venues, and City and County-owned public art. The Arts Council delayed the two remaining elements of the mapping project to address the effects of COVID-19 on the arts community. The City rejected a budget request for one-time funding for the community-driven cultural planning project slated to start in 2021. The City Arts Manager and the Arts Council still plan to start the cultural arts plan development in 2021 by identifying funding and assessing the effects of COVID-19 on local artists, venues, and audiences.

Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services

[Report](#) published May 22, 2018 | [Follow-up report](#) | Contact [Jenny Scott](#)

The City has contracted with the Regional Arts and Culture Council for more than 20 years for services. In 2018, we audited to determine if the City had clear goals for arts and culture, if the Arts Council's services met City goals and contract obligations, and if City oversight was effective. The City and the Arts Council have continued to make modest progress in implementing our five audit recommendations from two years ago. The cancelations, closures, and physical distancing requirements of COVID-19 have affected Portland's artists and stalled or changed the Arts Council's and City's work to address recommendations. The City reduced funding to the Arts Council as part of pandemic-related budget cuts. Additionally, the Arts Council halted projects related to arts and culture planning and long-term strategic planning to help address the effects of the pandemic on the arts community. Work remains for the City to assess needs and goals for arts and culture, and for the Arts Council to complete its strategic planning process.

On this audit there was one recommendation implemented, and four in process.



In Process Recommendation Details

We recommended that the Arts Commissioner and the Mayor work with stakeholders to assess the state of arts and culture; identify needs; develop clear goals, vision, and strategy for arts and culture. The

City Arts Manager synthesized goals from past

plans to create current arts and culture draft goals, and City Council allocated \$35,000 for the initial phase of a cultural mapping project last year. The City and Arts Council said in 2019 that, based on the mapping project, a community-driven cultural planning process to identify needs and articulate a strategy for arts and culture would begin in 2021. Phase one of the cultural mapping project was completed in December 2019. The Arts Council created an interactive map with locations of Arts Council funded organizations, arts venues, and City and County-owned public art. The Arts Council delayed the two remaining elements of the mapping project to address the effects of COVID-19 on the arts community. The City rejected a budget request for one-time funding for the community-driven cultural planning project slated to start in 2021. The City Arts Manager and the Arts Council still plan to start the cultural arts plan development in 2021 by identifying funding and assessing the effects of COVID-19 on local artists, venues and audiences. (Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services)



We recommended that the Arts Council conduct a strategic planning process. The Arts Council completed strategic planning research in 2019, and as a result, reorganized in early 2020. The

Arts Council plans to complete a two-year strategic plan by the end of June 2020, as opposed to the long-range plan originally envisioned. The Arts Council intends to set short-term priorities and understand the effect of COVID-19 on local arts before completing its long-range strategic plan. (Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services)

We recommended that City Council review the intergovernmental agreement with the Arts Council and recommend changes. The City Arts Manager and the Arts Commissioner reviewed the agreement last year. They decided to revise the intergovernmental agreement as part of the cultural planning process, because that may help identify changes needed to the agreement. The City Arts Manager confirmed that this is still their plan, but the timeline will be extended. The City and the Arts Council intend to revisit the intergovernmental agreement with the other jurisdictions later this year, after they secure funding and City Council support for the Cultural Arts Plan. In the interim, the Arts Council updated its bylaws to reflect the addition of two non-voting board members representing the City. (Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services)

We recommended that the Arts Commissioner, Mayor, and the Arts Council's Executive Director update the contract consistent with the City's goals for arts and culture. The contract between the City and the Arts Council reflects work done in 2019 to define current services, performance measures, and reporting requirements, and to restructure the Arts Council's largest grant program to be more equitable. Work that the Arts Council and City Arts Manager have done to define arts education and arts valuation responsibilities have not been included in the City's contract with the Arts Council. Doing so will help ensure that parties to the agreement are clear on their responsibilities over time. (Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services)

Implemented Recommendation Details

We recommended that the Arts Commissioner and Mayor appoint a contract administration professional. The City created a Project Manager position in 2018 responsible for administration of the City's contract with the Arts Council and program oversight. The City Arts

Manager is working with the Arts Council to delineate and track funding and Arts Council time spent on City programs to help align services with contract requirements. The Arts Council has not yet submitted their FY2020-21 budget, but the Arts Manager said they review the Arts Council's financial statements regularly. All City Percent for Art projects are now routed through the Arts Manager, and the City is creating a cost center for bureaus to use for these projects. Additionally, the Arts Manager and the Arts Council anticipate having streamlined the Arts Council's performance reporting to the City by August 2020. (Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services)



Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

- City Council can use it to identify bureaus that may need additional resources or support in order to implement recommendations.
- Bureau directors can use it to assess bureau performance and to determine if any changes in policy or procedure are necessary.
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This report includes recommendation status as of December 31, 2022.

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Links

- **Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services**
 - Report Link <https://www.portlandoregon.gov/auditservices/article/684866>
 - Follow-up Link <https://www.portlandoregon.gov/auditservices/article/763185>

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Revenue and Financial Services Bureau 2022 Audit Status Report

Information

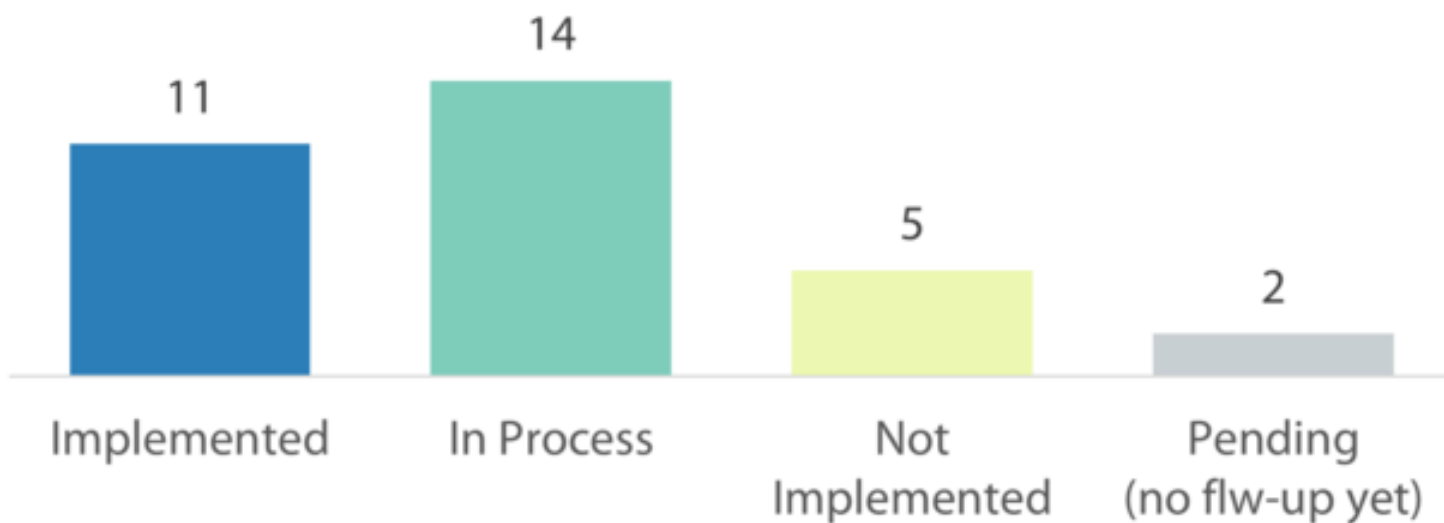
We are tracking six audits that made 32 recommendations to the Bureau of Revenue and Financial Services. The Bureau has implemented 11 recommendations, 14 are in process, and five are not implemented.

Elected-in-charge: Mayor Ted Wheeler

Bureau or Office Director: Michelle Kirby

We are tracking six reports and 32 recommendations

The audits assessed risk management, short-term rental regulation, Enhanced Service Districts, contracting equity programs, and use of purchase cards. Revenue and Financial Services had 11 implemented recommendations, 14 in process recommendations, five not implemented recommendations, and two pending recommendations that we have not yet followed-up on because they were less than a year old.



Highlight from Last Year

We recommended that Procurement centralize and formalize outreach to contractors, certified firms, and suppliers to ensure consistency and fairness. Procurement created a new position, the Inclusive Contracting Manager, to build relationships with vendors and identify sourcing opportunities for equitable contracting.

To Do

We recommended that Procurement evaluate the results of grant awards on growth in the construction market and whether the City's costs to administer them were justified. Procurement collected anecdotal information about successful businesses from Prosper Portland's progress reports but did not understand the effect of the grants on the overall construction market. Procurement said it planned to conduct a disparity study to measure baseline participation by certified contractors in the market.

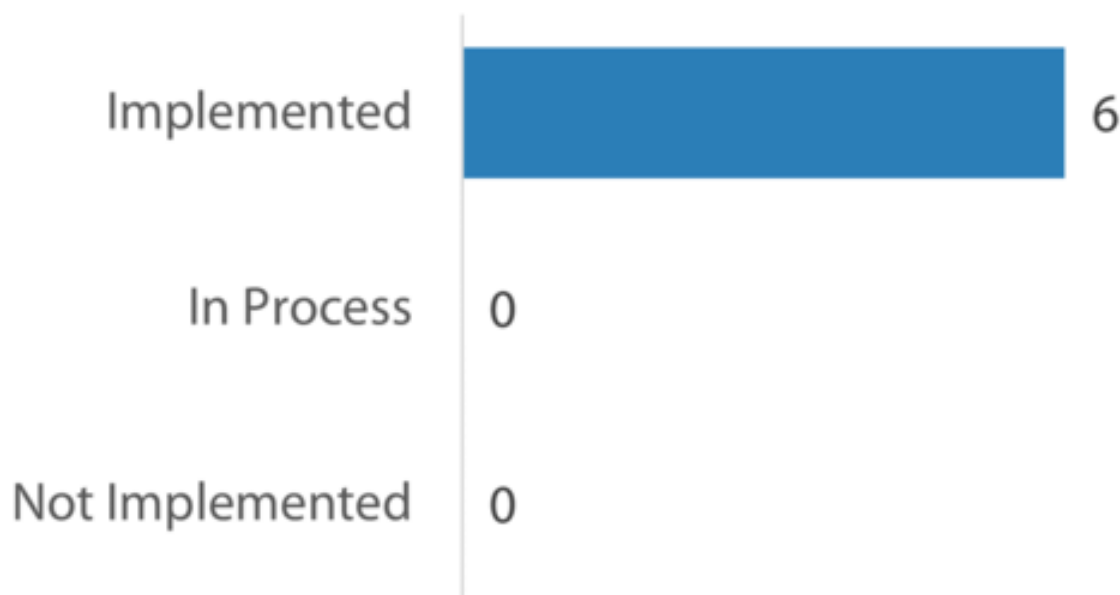
Risk Management: City loss prevention needs a proactive approach

[Report](#) published June 22, 2017 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

Our 2017 audit of Risk Management found that the Division did not have a proactive approach to helping City bureaus reduce injuries and loss and did not follow City Code requirements for information sharing and annual reporting. In addition, Risk Management had an inconsistent approach to managing liability claims against the City. Progress to strengthen the City's safety and loss prevention programs or improve liability claims management has been slow. The Division implemented all of our

recommendations including a key data-sharing recommendation, an updated Loss Prevention Code, and a recommendation to better define the services it offers other City programs.

On this audit there were six recommendations implemented.

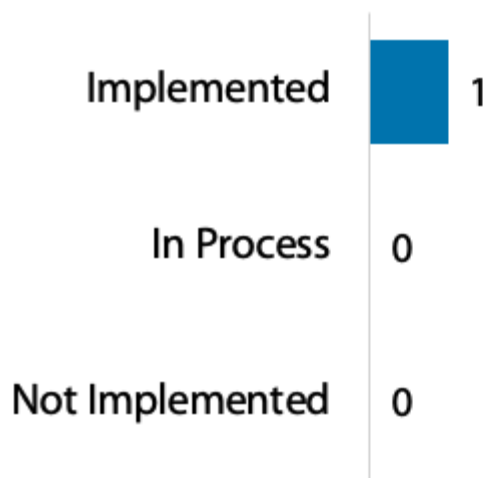


Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown

[Report](#) published August 8, 2018 | [Follow-up report](#) | Contact [KC Jones](#)

Our 2018 audit of Portland's short-term rental regulation found that only about 22 percent of units were registered, and the effect on housing availability and affordability was unknown. We made recommendations to improve data collection and enforcement and monitor the effect of short-term rentals on the housing market. In 2019 the City reported that it reached a data-sharing and registration agreement with a key rental agent and passed an ordinance requiring compliance from all agents. In 2020, the City made progress using publicly available rental data to enforce restrictions on hosts with multiple listings and hosts in commercial areas. However, the Bureau of Development Services was still developing software that will be used to analyze the data and enforce the rental registrations. The Bureau did not prioritize enforcement during the pandemic. The Housing Bureau started reporting on short-term rental activity but still needs to work on measuring its impact on the housing market.

On this audit there was one recommendation implemented.

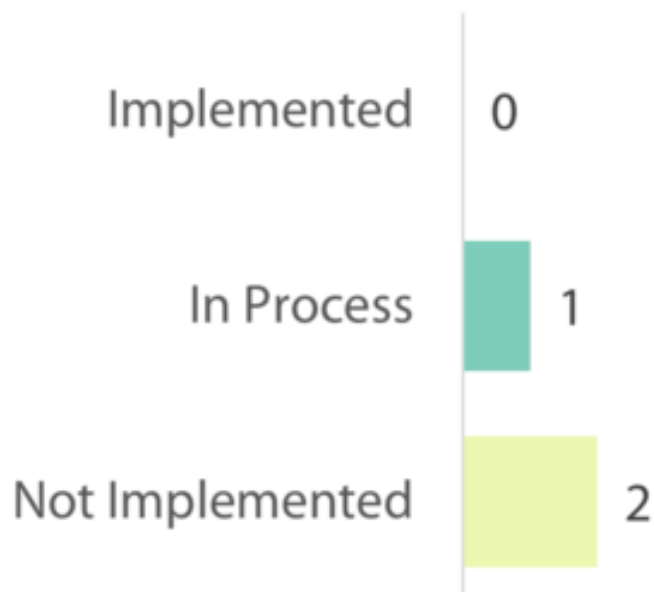


Enhanced Service Districts: City provides little oversight of privately funded public services

[Report](#) published August 13, 2020 | [Follow-up](#) | Contact: [Bob MacKay](#)

This is our first follow-up on the recommendations from our 2020 audit Enhanced Services Districts: City provides little oversight of privately funded public services. In that report we assessed the City's role in creating the districts and monitoring their activities. We found its hands-off approach may contribute to disparate law enforcement outcomes within districts and limits community members' ability to influence activities and monitor the results. We found limited City oversight of services in the districts and no guidelines for their formation or governance. We recommended the Office of Management and Finance work with City Council to review the purpose and the City's responsibility for the districts and revisit the agreements. If the districts continue to provide services in public spaces, the City should develop guidelines for formation, governance, and management that ensures public input, transparency and accountability by the districts and their service providers. The Office of Management and Finance hired a coordinator to review governance and oversight. The coordinator expected to complete the review by September 2022 and make recommendations for changes to City Code and district agreements.

On this audit there was one recommendation in process and two not implemented.

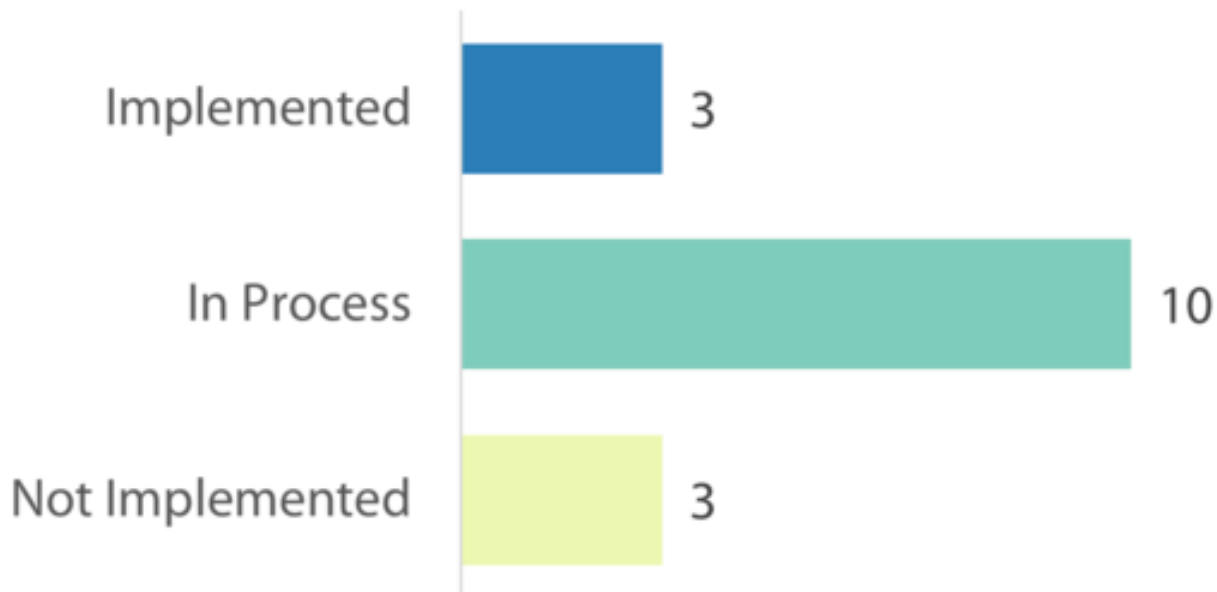


Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship

[Report](#) published September 2, 2020 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

Contracting opportunities for private firms are one of Portland's fundamental tools to achieve its goal of ending racial disparities in City government. Our 2020 audit found that Portland's contracting initiatives reduced disparities, but also suffered from design flaws and mismanagement, and were vulnerable to gamesmanship. We made 16 recommendations to improve program design, oversight, transparency, and accountability. Procurement Services has begun implementing some recommendations but not others, notably two intended to shore up the integrity of the initiatives. It also continued using the Prime Contractor Development Program, which we found disorganized, wasteful, and beneficial to few contractors. Procurement is implementing ten recommendations, including developing and reporting on program goals and conducting a disparity study to gather baseline data on the number of construction firms owned by women and people of color in Portland. Procurement implemented recommendations to confirm that programs could use ratepayer funds, centralize communications with contractors, and post project forecasts online.

On this audit there were three recommendations implemented, 10 in process, and three not implemented.

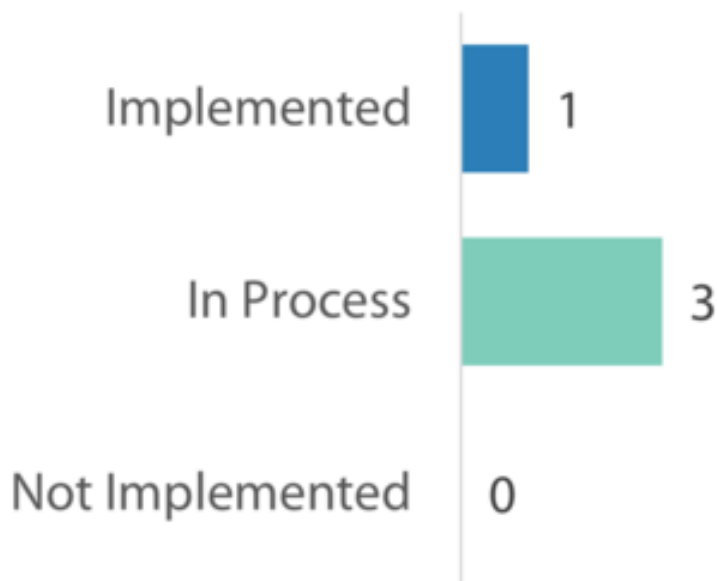


City credit card use slowed during pandemic but exposed underlying risks

[Report](#) published April 14, 2021 | [Follow-up](#) | Contact: [Jenny Scott](#)

We identified risks during the pandemic when employees began working from home and using City-issued credit cards outside of the usual safeguards. Procurement Services is on track to address most of the risks by updating its manual and initiating cardholder testing later this year. A Citywide policy on gift cards and volunteer compensation still needs to be developed.

On this audit there was one recommendation implemented, and three in process.



Taxes, fines, and fees: Customers who owe caught in a maze of inconsistent and uncoordinated collection strategies

[Report](#) published February 2, 2022 | Contact [Martha Prinz](#)

The City’s decentralized way of collecting taxes, fines, and fees requires Portlanders to navigate different approaches that may cause harm, especially to people with limited English proficiency or means. We recommend improvements to this disjointed experience for City residents and businesses.

This is a new audit with two recommendations pending follow-up

Not Implemented Recommendation Details

We recommended the City revise district agreements between the City and each district to align them with revisions to Code.

Implementation of this recommendations is dependent on the results of the review scheduled for completion in September. (Enhanced Service Districts: City provides little oversight of privately funded public services)



We recommended the City develop a process for effective City oversight of district agreements.

It should include a project manager or a liaison over the districts and reporting of district activities to Council and the public, including reporting of security and law enforcement activities. Implementation

of this recommendations is dependent on the results of the review scheduled for completion in September. (Enhanced Service Districts: City provides little oversight of privately funded public services)

We recommended that Procurement appoint a procurement inspector to monitor, investigate, report on, and make recommendations about: (a) the sufficiency of procurement regulations; (b) project-specific or citywide compliance with procurement regulations; (c) bid collusion; (d) questionable certifications; and (e) other procurement matters as appropriate, based on self-initiation or complaint. We made this recommendation because we observed potential issues, such as problematic certifications, that Procurement staff said it did not have the authority to investigate. Procurement said it instead works with the City Attorney's Office and contracting bureaus to monitor and investigate non-compliant activity. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement eliminate the Prime Contractor Development Program's technical assistance offerings, which we found to be disorganized, wasteful, and in conflict with Procurement's role. These were long-standing problems, some of which were addressed in a 2010 audit. Procurement continued to offer technical assistance by contracting the work out to trade organizations. That may have addressed the conflict involved with Procurement both enforcing contract compliance and providing technical assistance, but a Procurement project manager continued to oversee and support the participating firms. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement collect data on prices submitted for bid items to protect against collusion and bid-rigging. This risk is higher when equity programs limit the eligible pool of potential contractors. Instead of collecting data and monitoring for collusion, Procurement said it provides a list of prices to bureaus after project bids are submitted. This method does not allow for analysis to identify collusion across projects or bureaus, so the risk remains unaddressed. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

In Process Recommendation Details

We recommended the City review the status of districts, their purposes, and the City's responsibility for them. If the review determines that districts continue to provide services in public spaces, then propose City Code for Council approval governing: (a)

District formation; (b) Scope of allowed services in public spaces; (c) Inclusive district governance; and (d) Accountable and transparent reporting. Revenue and Financial Services



hired a coordinator in August 2021 to review the oversight and structure of enhanced services districts. Its goal is to bring recommended Code changes to Council by September 2022. (Enhanced Service Districts: City provides little oversight of privately funded public services)

We recommended that the City implement oversight steps for the workforce and contractor diversity grant program. These were outlined in its agreement with Prosper Portland and included obtaining all required performance evaluations and progress reports. During our 2021 progress report, we noted that Prosper was reporting data, such as the businesses and workers who received technical assistance, including demographics, success stories, and challenges. These reports continued into the following year, but the reports did not include goals to define success. The initial agreement outlining the program required Prosper to report on the achievement of measurable outcomes. According to the most recent update to the agreement, August 2022, Prosper and the City were still working to identify performance goals and a plan to track and measure them. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement produce reports on the City's progress toward contracting equity goals. Procurement included the goals in its 2020 annual report but not in its 2021 report. Staff said the omission was an oversight and Procurement plans to include the goals in next year's document. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement recognize firms and bureaus that were successful at meeting goals. Procurement said it was working with stakeholders to create an online dashboard that would highlight bureau and contractor success. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement evaluate the results of grant awards on growth in the construction market and whether the City's costs to administer them were justified. Procurement collected anecdotal information about successful businesses from Prosper Portland's progress reports but did not understand the effect of the grants on the overall construction market. Procurement said it planned to conduct a disparity study to measure baseline participation by certified contractors in the market. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement set a goal for the use of certified prime contractors on construction projects. Procurement said that it could not set a goal until it commissioned a study to measure the number of available contractors in the construction market and whether there were demographic disparities present. Procurement's 2021 annual report included data on prime contractors participation but did not include a goal. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement follow rules for documenting exemptions to the Prime

Contractor Development Program. Procurement began requiring bureau directors to sign exemption forms but did not report how many there were. We recommended disclosure because our 2020 report found that more than half of eligible contracts were exempted from the program. Procurement said it was in the process of redesigning the program and would consider reporting the number of waivers as a part of the redesign. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement eliminate barriers by awarding all small contracts to certified firms without requiring participation in the Prime Contractor Development Program. As was the case last year, Procurement staff said it continued to engage with the contracting community to develop plans for the future of the program. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement create criteria to prevent project bundling, which can negatively affect minority- and women-owned firms if it is used to group projects to exceed the threshold that qualifies projects for the Prime Contractor Development Program. As was the case at the last update, Procurement said that it continues to discuss this issue with stakeholders. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement formalize tracking of communication between staff and vendors. Procurement said that the new Inclusive Contracting Manager would develop an outreach strategy to ensure fairness, increase awareness of opportunities, and remove barriers. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement use post-project reports to identify trends and lessons learned. Procurement said it plans to use post-project reports to inform future decisions, such as which resources to devote to workforce development, technical assistance, and a new contractor bonding program. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended Procurement Services update the Procurement Card manual to ensure that the rules it references are accurate and enforceable. Procurement Services drafted an update to its Procurement Card Policy manual with the goal of making rules clearer, accurate, and enforceable. The manager anticipated implementing the manual when the City transitions to a new procurement card provider in August 2022. (City credit card use slowed during pandemic but exposed underlying risks)

We recommended Procurement Services implement certification and recertification testing to ensure cardholders can demonstrate knowledge of rules. Procurement Services is working on a training for card holders to improve understanding of recent program changes, roles and responsibilities, and consequences for policy violations. It also drafted a test for existing and new cardholders to verify their understanding of rules and responsibilities. The manager anticipated rolling

out the training and testing with the transition to the new card provider. (City credit card use slowed during pandemic but exposed underlying risks)

We recommended Procurement Services update its manuals to incorporate the parties responsible for compliance. The draft manual includes information about the positions responsible for monitoring compliance. (City credit card use slowed during pandemic but exposed underlying risks)

Implemented Recommendation Details

We recommended either following the City Code and Loss Prevention Policy or developing and following an alternative. Risk Management proposed and City Council approved changes to the City's Loss Control and Prevention Code Chapter 3.54 in October 2020. (Risk Management: City loss prevention needs a proactive approach)



We recommended providing routine trend information on losses to bureaus, both bureau-specific and Citywide. Risk Management created a liability claims dashboard that is updated monthly. Bureau staff can sort data by bureau, by claim type, and by the cause of the injury or accident. (Risk Management: City loss prevention needs a proactive approach)

We recommended that Risk Management provide access and training on the Risk Management Information system to employees in other bureaus with risk management responsibilities. Risk Management said that they could not provide access because allowing more access would increase the risk of improperly disclosing confidential information and that the system was difficult to use and understand. Instead of allowing access, Risk Management shares quarterly reports with bureaus to identify claims and trends. Risk Management staff said that they would be purchasing a new information system which might be more capable of allowing access to staff in other bureaus. (Risk Management: City loss prevention needs a proactive approach)

We recommended that Risk Management either re-introduce biennial service agreements with the eight bureaus with the most claims or more clearly define the services it will provide and how they will be provided. Risk Management worked with bureau staff to revise the loss prevention code and policy to more clearly define the services it provides. (Risk Management: City loss prevention needs a proactive approach)

We recommended that Risk Management update the general and fleet liability claims manual. Risk Management said that it conducted a full review of all policies and procedures for worker's compensation and general liability claims. Risk Management published new versions of the manuals. (Risk Management: City loss prevention needs a proactive approach)

We recommended that Risk Management ask the next Charter Review Commission to raise the dollar limit for Council approval of claims. Risk Management requested that the Commission raise the threshold from \$5,000 to \$25,000. (Risk Management: City loss prevention needs a proactive approach)

We recommended that the Revenue Division use host data to enforce booking agents' compliance with City Code. Revenue uses the Airbnb and Short-Term Rental Registry and other data to determine whether booking agents comply with City Code. When listings appear that are not on the City's Short-Term Rental Registry but are included in the booking agents' data, Revenue advises the agents to remove the listing. Penalties may be imposed if the listing is not removed. (Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown)

We recommended that Procurement centralize and formalize outreach to contractors, certified firms, and suppliers to ensure consistency and fairness. Procurement created a new position, the Inclusive Contracting Manager, to build relationships with vendors and identify sourcing opportunities for equitable contracting. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement post upcoming projects on its website. Procurement has since posted quarterly construction project forecasts for Transportation, Environmental Services, Parks, and Water on the Fair Contracting Forum section of its website. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended that Procurement confirm funding sources for its workforce and contractor diversity grant programs. A Multnomah County judge ruled in March 2022 that the City could use utility ratepayer funds for the initiatives in accordance with criteria that links them to water or sewer services. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

We recommended Procurement Services ensure the Bureau of Technology Services has direct access to Citywide procurement card transaction data so it can use it to identify violations of technology purchasing rules and opportunities to maximize savings. Procurement Services provided Technology Services with direct access to procurement card transaction data. Technology Services said it has used the data to identify and address some violations of technology purchasing rules. (City credit card use slowed during pandemic but exposed underlying risks)

Pending Recommendation Details

We recommended that the Chief Financial Officer develop Citywide standards for collections by convening a City Council work session or other collective effort. The



standards should, at a minimum, include: (a) a consistent collections process, including timing and content of collection letters, how additional charges are handled, availability of payment plans and waivers, timeframe for sending accounts to a collection agency, and how long the collection agency should pursue payment; (b) a requirement and review process to write documents in plain English and translate them into other languages or provide translation information in every document; and (c) a hardship process that makes accommodations more explicit, consistent, and easier to access, while preserving flexibility where necessary. One advocate suggested the City develop a consumer protection office for people to contact with questions about their bills. The Council work session should include discussion of whether improved collections practices could best be accomplished by consolidating City collections. (Taxes, fines, and fees: Customers who owe caught in a maze of inconsistent and uncoordinated collection strategies)

The Chief Financial Officer should post a summary of citywide progress toward meeting collection standards until all bureaus are in compliance. (Taxes, fines, and fees: Customers who owe caught in a maze of inconsistent and uncoordinated collection strategies)

Data Notes

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Links

- **Risk Management: City loss prevention needs a proactive approach**
 - Report Link <https://www.portlandoregon.gov/auditservices/article/644053>
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- **Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown**
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 - Report Link <https://www.portlandoregon.gov/auditservices/article/764910>
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- **Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship**
 - Report Link <https://www.portlandoregon.gov/auditservices/EquityContracting>
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- **City credit card use slowed during pandemic but exposed underlying risks:**
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- **Taxes, fines, and fees: Customers who owe caught in a maze of inconsistent and uncoordinated collection strategies**
 - **Report Link** <https://www.portland.gov/audit-services/news/2022/2/2/taxes-fines-and-fees-customers-who-owe-caught-maze-inconsistent-and>

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Technology Services 2022 Audit Status Report

Information

We are tracking one Technology Services audit with 18 recommendations.

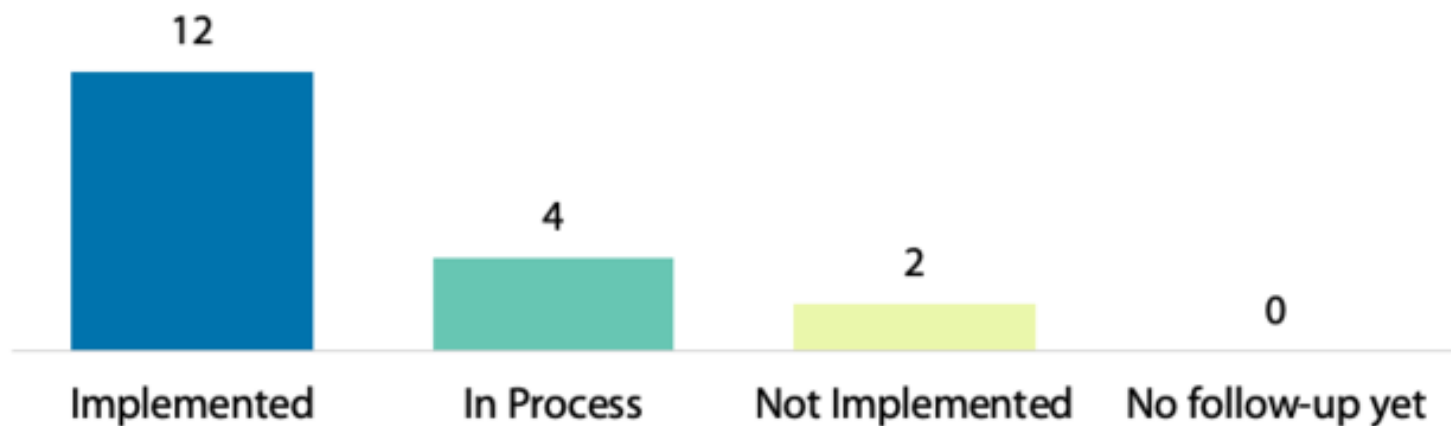
Elected-in-charge: Mayor Ted Wheeler

Bureau or Office Director: Jeff Baer

Summary: We are tracking one report and 18 recommendations

The audit focused on practices used by Human Resources but included Technology Services because it is responsible for managing some aspects of data maintenance. We are keeping details about “in process” recommendations confidential because of the sensitivity of information about potential computer or system weaknesses. These sensitive details are exempt in state law from public disclosure. Four recommendations are “in process.”

There were 12 recommendations implemented, four in process, and two not implemented.



Highlight from Last Year

There was no activity in 2022.

To Do

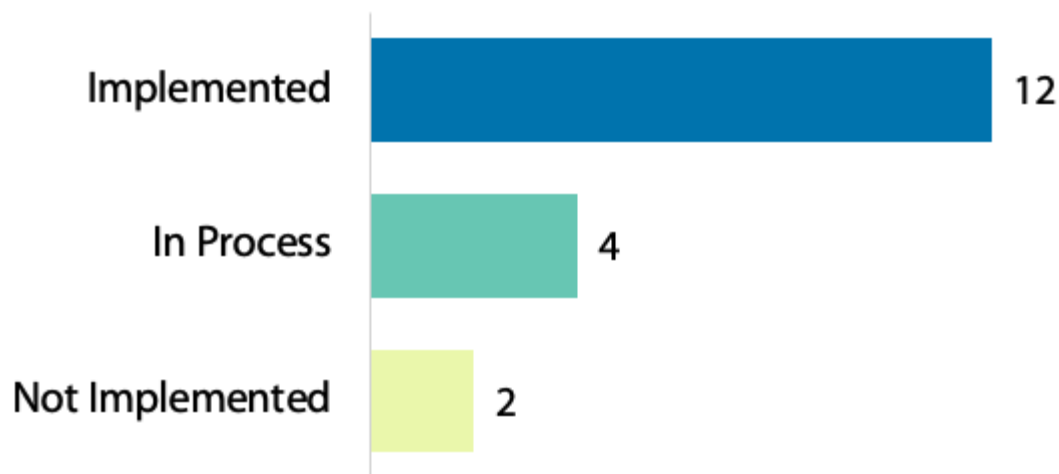
"In Process" recommendations are confidential.

Data Loss Prevention Technology Services

[Report](#) published October 29, 2018 | [Follow-up report](#) | Contact [Elizabeth Pape](#)

In 2018, we reported that the City's steps to prevent data loss were relatively sound but needed to be strengthened. The purpose of the audit was to assess if the Bureau of Technology Services' approach to data loss prevention was well-designed and implemented effectively. Testing centered on practices used by Human Resources and other bureaus and offices to manage and protect data they create and use in a variety of formats, including paper, electronic, and removable media. We kept the details of the report confidential because of the sensitivity of information about potential computer or system weaknesses, which is exempt in state law from public disclosure. Recommendations we found to be "in process" remain confidential. We made a total of 27 recommendations across bureaus. Three years later, most of them have been implemented, and the City's Data Loss Prevention Program is stronger.

On this audit there were 12 recommendations implemented, four in process, and two not implemented.



Not Implemented Recommendation Details

We recommended that the Bureau publish a System Development Lifecycle policy. The Bureau will not implement a uniform Systems Development Life Cycle program but reported that many of the components were in place. (Data Loss Prevention Technology Services)



We recommended the Bureau disable Universal Serial Bus (USB) ports and network jacks in public areas or only allow city devices to connect to the network. The Bureau said that it has evaluated the risks and will not disable the ports because they are allowed for use at the City. The Bureau said that port access will be a part of its Network Access Control project, which is expected to occur in Fiscal Year 2022-23. (Data Loss Prevention Technology Services)

In Process Recommendation Details

Confidential Recommendation (Data Loss Prevention Technology Services)

Confidential Recommendation (Data Loss Prevention Technology Services)

Confidential Recommendation (Data Loss Prevention Technology Services)

Confidential Recommendation (Data Loss Prevention Technology Services)



Implemented Recommendation Details

We recommended that the Bureau perform vulnerability scans consistently and completely. The Bureau provided us with a vulnerability scan schedule. (Data Loss Prevention Technology Services)



We recommended that the Bureau configure Windows servers and improve network device security. According to the Bureau, several privileged access processes, controls, procedures, and review processes have been adopted. (Data Loss Prevention Technology Services)

We recommended that the Bureau complete the back-up of the financial information system at its data center. As of July 2019, all financial data is backed-up at the secondary data center. (Data Loss Prevention Technology Services)

We recommended the Bureau update its incident response administrative rule and approve and test the Business Continuity of Operations Plan. The Bureau reported it now updates the plan quarterly and added a position that is assigned to oversee the plan. (Data Loss Prevention Technology Services)

We recommended that the Bureau configure security systems consistently. The Bureau reported it now regularly audits access controls and reviews security logs for the financial system. (Data Loss Prevention Technology Services)

We recommended that the Bureau regularly review user accounts to identify any with inappropriate permissions. The Bureau reported it removed stale accounts. (Data Loss Prevention Technology Services)

We recommended that the Bureau regularly review user access to the network to identify any with inappropriate permissions. The Bureau reported network access control and user account terminations have been reviewed and updated. (Data Loss Prevention Technology Services)

We recommended that the Bureau consistently implement data center access controls. The Bureau reported it relocated data centers and strengthened controls to the second highest level possible. (Data Loss Prevention Technology Services)

We recommended that the Bureau continue the development and implementation of security awareness training. All users are now required to complete an annual security awareness training. (Data Loss Prevention Technology Services)

We recommended the Bureau mask personally identifiable data when using it in testing and

development environments. The Bureau reported all data is now scrubbed before use in the testing and development environment. (Data Loss Prevention Technology Services)

We recommended the Bureau ensure Human Resources-related issues were reported using the “trouble ticketing” system. The Bureau said all incidents are reported. (Data Loss Prevention Technology Services)

We recommended the Bureau develop a policy for removable media. The Bureau reported it developed a new policy, which they anticipate posting to the City’s website in September 2021. (Data Loss Prevention Technology Services)

Data Notes

At the end of every audit report, we issue a series of recommendations intended to make programs work even better. This report includes the status of Bureau recommendations since 2018, which was the beginning of our new follow-up process. We prepared it with a few audiences in mind:

- City Council can use it to identify bureaus that may need additional resources or support in order to implement recommendations.
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Links

- **Data Loss Prevention Technology Services**
 - Report Link <https://www.portland.gov/audit-services/news/2018/10/29/data-loss-prevention-citys-approach-sound-its-practices-should-be>

- Follow-up Link <http://www.portland.gov/year3data-loss-prevention>

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Transportation Bureau 2022 Audit Status Report

Information

We are tracking four reports and 21 recommendations at the Transportation Bureau.

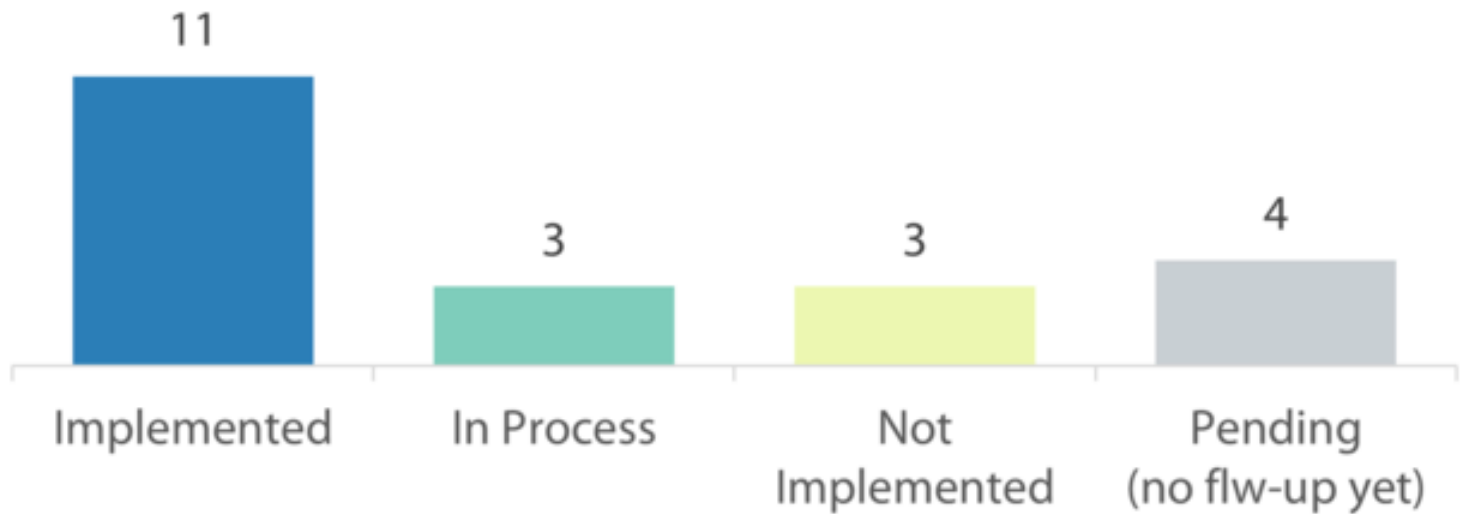
Elected-in-charge in 2022: Jo Ann Hardesty

Bureau or Office Director: Chris Warner

We are tracking four reports and 21 recommendations

Report topics include regulation of transportation network companies (such as Uber and Lyft), consideration of neighborhood impacts when planning for transportation projects, implementation of accountability commitments for projects funded by the City gas tax and heavy vehicle tax, and the partnership with the Environmental Services Bureau to maintain sewer infrastructure.

Transportation had 11 recommendations implemented, three in process, three not implemented, and four which were pending because it is too early for follow-up.



Highlight from Last Year

We recommended the Transportation Bureau educate companies about the data required and take enforcement action against companies that don't provide it. The Transportation Bureau said that both Transportation Network Companies were consistently reporting all required data, but that two small, minority-owned taxi companies continued to have data reporting challenges. The Bureau has chosen to not take enforcement actions for data reporting requirements because of the Covid-19 pandemic's financial impact on all transportation companies. The Bureau said that rides by Transportation Network Companies fell nearly 80 percent at the start of the pandemic and have been slow to recover since.

To Do

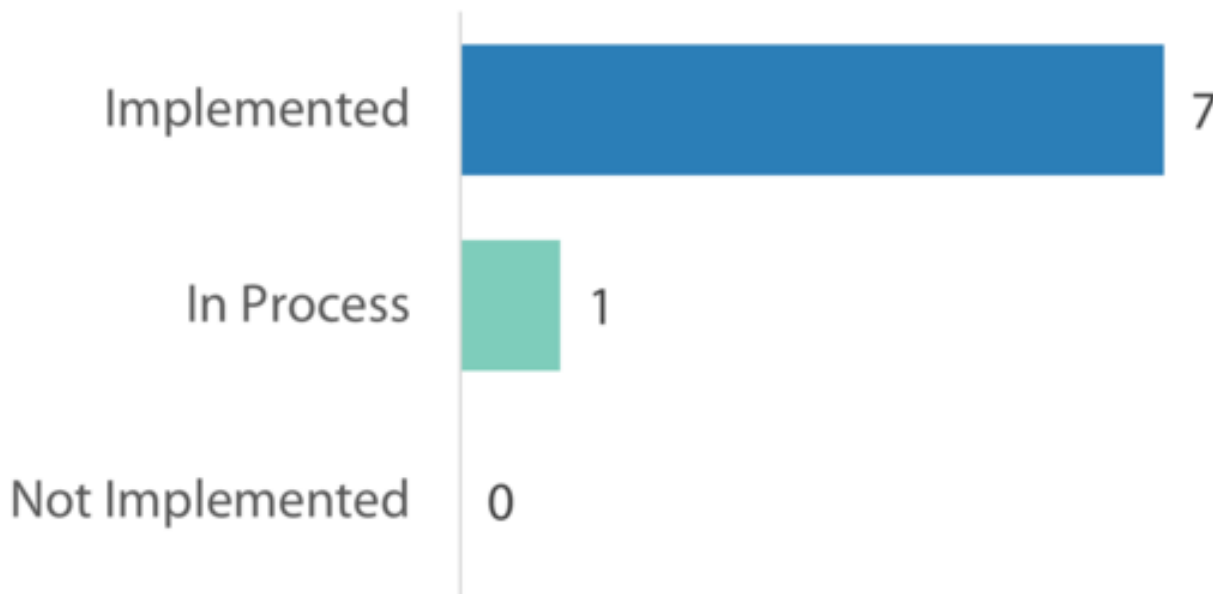
We recommended developing and funding a consistent evaluation process that includes livability and neighborhood impact assessment. Transportation completed a Project Development Checklist for capital projects to provide consistent steps for ensuring goals are met through each stage of a project. The checklist includes standard transportation measures and qualitative measures of neighborhood impact. Transportation provided us with examples of post project evaluations, but they were not consistent and not all examples included displacement and equity considerations. Transportation continued work on its Performance Management Framework, but it did not yet result in consistent evaluations across projects.

Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety

[Report](#) published October 12, 2016 | [Follow-up report](#) | Contact [Minh Dan Vuong](#)

Transportation network companies, such as Uber and Lyft, have operated in Portland since 2015. In 2016, we audited how the Portland Bureau of Transportation monitored these companies and taxicabs. In our audit, we found the Transportation Bureau had made progress towards some City Council goals, such as competition and public safety, but other goals, especially for service, could not be measured because of data collection and reliability issues. We made recommendations for the Transportation Bureau to monitor service levels and make other improvements. The Transportation Bureau has made progress in implementing our eight audit recommendations. The auditor’s office considers seven to be resolved. Some work remained in analyzing data for long wait times or disparities in wheelchair accessible service.

On this audit there were seven recommendations implemented, and one in process.



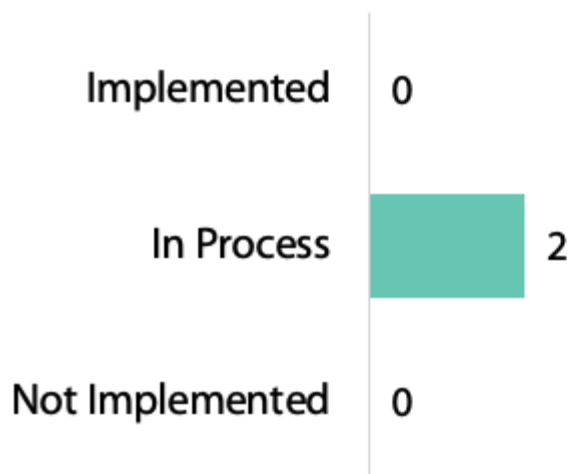
Street Improvement Projects: Bureau of Transportation has an inclusive planning process, but should improve assessment of neighborhood impact

[Report](#) published March 31, 2019 | [Follow-up report](#) | Contact [KC Jones](#)

The Portland Bureau of Transportation designs and constructs projects to improve streets for pedestrians, bicycles, and vehicles. We audited two projects in 2018 to assess the Bureau’s planning and evaluation process. We found the Bureau met expectations for the planning phase, but its evaluation of project effectiveness needed improvement. The Transportation Bureau had made

progress with project evaluation when we checked the status of the recommendations one year after the audit. Progress continued in 2020 with the completion of a project checklist to ensure project goals are met and the development of a performance management framework, but work is ongoing.

On this audit there were two recommendations in process.

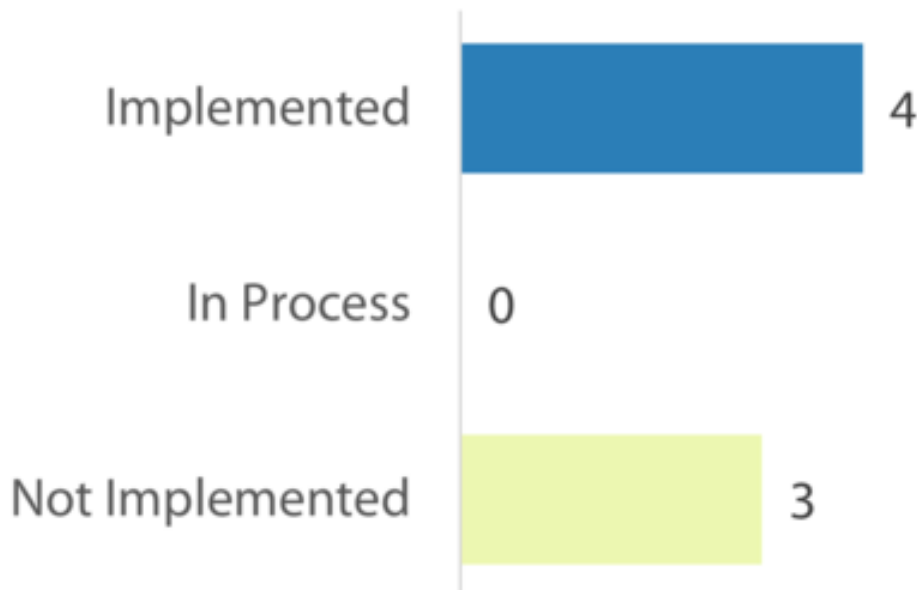


Fixing Our Streets: Some accountability commitments not fulfilled

[Report](#) published May 29, 2019 | [Follow-up report](#) | Contact: [Jenny Scott](#)

Voters approved a tax in 2016 to fund street repair and safety projects. The City promised to spend 56 percent of revenues raised by the tax on repair projects and 44 percent on safety projects. Our 2019 audit found the Transportation Bureau was not accurately tracking and accounting for costs by those categories. Projects that had spending for both repair and safety improvements were not accounted for separately, making it impossible for the City to assure the public it kept its promise to voters. The Bureau still has not changed the way it tracks and accounts for projects to maintain the spending split as promised to voters. It also has not yet shared information with the public about spending compared to its commitment.

On this audit there were four recommendations implemented, and three not implemented.



Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers

[Report](#) published September 14, 2021 | Contact: [Bob MacKay](#)

Wastewater goes through pipes owned by the Bureau of Environmental Services but the bureau pays another - the Bureau of Transportation - to maintain these pipes. This longstanding agreement has had mixed results. We make recommendations for both bureaus in our audit report.

This is a new audit with four recommendations pending follow-up.

Not Implemented Recommendation Details

We recommended that the Bureau of Transportation clarify how it would account for street repair and safety elements in projects so the oversight committee could help ensure the promised spending split was maintained. The City promised to spend 56

percent of revenues raised by voter approved gas tax on repair projects and 44 percent on safety projects. However, Bureau managers said accounting for the spending split is not realistic because many projects include both street repair and safety elements. (Fixing Our Streets: Some accountability commitments not fulfilled)



We recommended that the Bureau of Transportation clarify how it would account for street repair and safety elements in projects so the oversight committee could help ensure the promised spending split was maintained. The City promised to spend 56 percent of revenues raised by voter approved gas tax on repair projects and 44 percent on safety projects. However, Bureau managers said accounting for the spending split is not realistic because many projects include both street repair and safety elements. (Fixing Our Streets: Some accountability commitments not fulfilled)

We recommended the Bureau track and publicly report on Fixing Our Streets projects as they related to commitments made to the public. The Bureau publicly reported that it could not uphold the commitment it made to voters, as part of the first iteration of Fixing our Streets, to spend 56 percent of revenues on repair and 44 percent on safety projects. Bureau management said it eliminated the unrealistic funding commitment from the second iteration of Fixing our Streets since revenue is not split between street repair and safety by percentage. The City did, however, commit specific amounts of revenue to categories of projects, including paving on busy and neighborhood streets; potholes, gravel streets, and base repair; sidewalks and other walkways; traffic signals and crossing beacons; and basic safety improvements. The Bureau's November 2022 project report separated projects and spending into these categories. When a project funded by Fixing our Streets includes elements from multiple categories, the Bureau will need to track and account for category-level spending so it can validate its new commitments to voters. (Fixing Our Streets: Some accountability commitments not fulfilled)

In Process Recommendation Details

We recommended the Transportation Bureau analyze data regularly for service levels and disparities. The Transportation Bureau said that rides declined nearly 80 percent at the start of the Covid-19 pandemic and that it would be difficult to assess service disparities when people's travel

patterns and medical visits changed due to the pandemic. The Bureau noted that transportation companies currently struggle to hire drivers, which also impacts the availability of wheelchair-accessible vans. The Bureau plans to revisit challenges in wheelchair-accessible service in 2023 by reviewing data and engaging customers and stakeholders. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)



We recommended developing and funding a consistent evaluation process that includes livability and neighborhood impact assessment. Transportation completed a Project Development Checklist for capital projects to provide consistent steps for ensuring goals are met through each stage of a project. The checklist includes standard transportation measures and qualitative measures of

neighborhood impact. Transportation provided us with examples of post project evaluations, but they were not consistent and not all examples included displacement and equity considerations. Transportation continued work on its Performance Management Framework, but it did not yet result in consistent evaluations across projects. (Street Improvement Projects: Bureau of Transportation has an inclusive planning process, but should improve assessment of neighborhood impact)

We recommended using the results from project evaluations to inform the City's future transportation plans and priorities. The City's Transportation System Plan guides overall investment priorities. Projects included in the plan are scored against criteria, such as climate impact, economic benefits, equity, and neighborhood access. The Bureau said that it does not currently have resources to conduct a full update to the Transportation System Plan, but that it would continue working to use results from project evaluations to inform future updates. (Street Improvement Projects: Bureau of Transportation has an inclusive planning process, but should improve assessment of neighborhood impact)

Implemented Recommendation Details

We recommended the Transportation Bureau educate companies about the data required and take enforcement action against companies that don't provide it. The

Transportation Bureau said that both Transportation Network Companies were

consistently reporting all required data, but that two small, minority-owned taxi companies continued to have data reporting challenges. The Bureau has chosen to not take enforcement actions for data reporting requirements because of the Covid-19 pandemic's financial impact on all transportation companies. The Bureau said that rides by Transportation Network Companies fell nearly 80 percent at the start of the pandemic and have been slow to recover since. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)



We recommended the Transportation Bureau ensure that companies' self-reported data is accurate and complete. Accurate data is needed to collect fees and to measure service levels. The Transportation Bureau sends compliance letters monthly to companies with incomplete data, but noted that two smaller companies continue to struggle with reporting data even after the bureau provided business support. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)

We recommended using customer complaints and collision reports systemically to inform inspections, enforcement, and education actions. The Transportation Bureau reviewed customer complaints and collision reports and has updated the collision report form. Collision data informs where the Bureau inspects cars. (Transportation Network Companies and Taxicabs: Transportation Bureau

needs to monitor service, not just safety)

We recommended determining what information is needed to measure the use of and effects of dynamic pricing to best achieve Council's policy goals. The Bureau has decided not to obtain any data on dynamic pricing from transportation network companies. This determination resolves our recommendation. The Bureau said that dynamic pricing was an effective way to maintain short wait times for riders. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)

We recommended establishing goals and performance measures for its inspections. The Bureau set the following goals and performance measures: a 95-percent Code compliance rate; to randomly inspect at least 30 percent of permitted drivers each year; and to conduct 900 office compliance checks each year. The Bureau also established a Regulatory Compliance Team to bring illegal operators into compliance. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)

We recommended adjusting inspection processes, so resources are deployed to areas of highest risk. The Bureau has continued inspections in areas of risk and in the central city, where most of the transportation network companies' traffic was. For example, it has chosen to look for unpermitted drivers and companies and to check areas where bicyclists and pedestrians are at risk. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)

We recommended determining if \$.50 per ride is appropriate to recover regulation costs, as part of the annual fee-setting. The Bureau projects a budget shortfall in four to five years and says Portland's regulatory fee is among the lowest in the country. The Bureau did not identify fee changes. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)

We recommended providing the Fixing our Streets oversight committee with information needed to understand and carry out its responsibilities. The Bureau reported that staff trained oversight committee members on their roles as public officials pursuant to emerging rules from the Office of Community and Civic Life. The Bureau also provided members with committee bylaws, charter, and protocols that outline the purpose of the committee and responsibilities of members. The Bureau reseeded the committee in 2019 and now members have staggered four-year terms. The Bureau said the staggered terms will support continuity of oversight as experienced members can share knowledge with new members. The Bureau said it provides committee members with monthly project reports and detailed briefing documents on projects ahead of quarterly meetings where there may be changes in scope, schedule, or budget. The Bureau said sharing information ahead of time results in informed discussions in committee meetings where members vote on project change recommendations. The Bureau said project reports are more accurate because it fully adopted project management software that was only partially in-use at the time of our audit. (Fixing Our Streets: Some

accountability commitments not fulfilled)

We recommended exploring options to ensure that heavy vehicle owners pay their fair share for maintenance, operations and improvements of City streets. City Council approved an increase to the Heavy Vehicle Use Tax that will take effect in 2021. The Bureau estimates that the 3 percent tax will generate \$11 million over four years, which is commensurate with what experts calculated was heavy vehicle owners' share of City street maintenance, operations, and improvement costs. (Fixing Our Streets: Some accountability commitments not fulfilled)

We recommended specifying the type of audit desired and ensuring that audit commitments are fulfilled. The financial auditing firm under contract to the City performed additional procedures in 2019 to review Fixing our Streets program revenues and expenditures and to examine a sample of project-level transactions. The report from the auditors is publicly available. The Bureau paid for the work with Fixing our Streets funds. (Fixing Our Streets: Some accountability commitments not fulfilled)

We recommended making ballot item commitments clear, realistic, measurable, achievable, and time bound. The City asked voters to renew the local gas tax to fund a second iteration of the Fixing our Streets program in May 2020. In the ballot summary, the Bureau committed to spend certain dollar amounts on different project categories over the four-year life of the tax, as opposed to the percentage split they promised voters in 2016 that proved unrealistic and difficult to measure. The Bureau assigned a senior project manager to oversee the program and individual project managers are assigned to all projects scheduled for the first two years. The Bureau said it plans to publish detailed project schedules after development is complete and anticipates this will make project schedules more reliable. (Fixing Our Streets: Some accountability commitments not fulfilled)

Pending Recommendation Details

We recommended the Bureau develop and implement alternatives to use sewer maintenance staffing and vehicles to their full budgeted potential. (Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers)



We recommended that the Bureau remove expenses included in its indirect costs that could be considered direct administrative costs for a specific program or service to ensure ratepayer funds are used only on services related to and necessary for sewer maintenance. (Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers)

We recommended that the Bureau properly document materials taken by crews; increase inventory safeguards for sewer lining materials; and enforce existing procedures. (Sewer

Maintenance: Renewed attention to partnership needed to better serve ratepayers)

We recommended that the Bureau re-evaluate the pros and cons of the agreement for sewer maintenance. (Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers)

Data Notes

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Links

- **Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety**
 - Report Link <https://www.portlandoregon.gov/auditservices/article/593785>
 - Follow-up Link <https://www.portlandoregon.gov/auditservices/article/756354>
- **Street Improvement Projects: Bureau of Transportation has an inclusive planning process, but should improve assessment of neighborhood impact**

- Report Link <https://www.portlandoregon.gov/auditservices/article/676585>
- Follow-up Link <https://www.portlandoregon.gov/auditservices/article/766441>
- **Fixing Our Streets: Some accountability commitments not fulfilled**
 - Report Link <https://www.portlandoregon.gov/auditservices/article/733093>
 - Follow-up Link <https://www.portland.gov/year2FixingOurStreets>
- **Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers**
 - Report Link <https://www.portland.gov/audit-services/sewer-maintenance>

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Water Bureau 2022 Audit Status Report

Information

We are tracking one audit within the Portland Water Bureau.

Elected-in-charge: Mingus Mapps

Bureau or Office Director: Gabriel Solmer

We are tracking one report and two recommendations

Our 2020 audit of groundwater management recommended that Water formalize the groundwater program's decision-making roles and organizational structure and develop a long-term plan to prioritize groundwater system needs.

The Bureau has implemented one recommendation, and one is in process.



Highlight from Last Year

We recommended that the Water Bureau clarify and document the decision-making roles and organizational structure of the groundwater program to help ensure issues were addressed in a timely and complete manner. The Bureau completed a charter for the Groundwater Steering Committee that defines roles, responsibilities, and decision-making for the program.

To Do

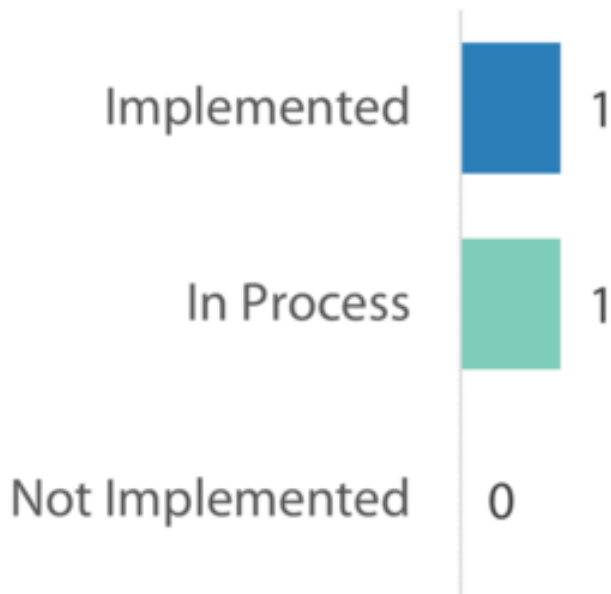
We recommended that the Bureau document all identified needs for groundwater system improvement and develop a consolidated, long-term plan to prioritize actions within limited resources. The Bureau is planning to develop a consolidated, long-term plan for groundwater.

Groundwater: City identified risks, must develop a long-term plan to address them

[Report](#) published June 30, 2020 | [Follow-up report](#) | Contact [Martha Prinz](#)

Our 2020 audit of the City’s management of the groundwater system found the Water Bureau was working on seismic and emergency preparedness, water quality and capacity planning, and asset management to address a variety of needs. The Bureau formalized decision-making roles and the organizational structure of the program. However, the Bureau still needs to document all identified system needs and to develop a consolidated, long-term plan to address those needs.

On this audit there was one recommendation implemented, and one in process.



In Process Recommendation Details

We recommended that the Bureau document all identified needs for groundwater system improvement and develop a consolidated, long-term plan to prioritize actions within limited resources. The Bureau is planning to develop a consolidated, long-term plan for groundwater. (Groundwater: City identified risks, must develop a long-term plan to address them)



Implemented Recommendation Details

We recommended that the Water Bureau clarify and document the decision-making roles and organizational structure of the groundwater program to help ensure issues were addressed in a timely and complete manner. The Bureau completed a charter for the Groundwater Steering Committee that defines roles, responsibilities, and decision-making for the program. (Groundwater: City identified risks, must develop a long-term plan to address them)



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Links

- **Groundwater: City identified risks, must develop a long-term plan to address them**
 - Report: <https://www.portlandoregon.gov/auditservices/article/763061>
 - Follow-up report: <https://www.portland.gov/audit-services/news/2022/6/27/audit-update-water-bureau-not-done-defining-roles-or-formulating-long>

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Browse our audit reports about City administration topics. This includes the Office of Management and Finance, human resources, internal business services, technology services/information technology, government relations, and the City Attorney's Office.



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Browse our audit reports about community development. This includes development services, planning and sustainability, neighborhood involvement, Prosper Portland (formerly known as Portland Development Commission) and urban renewal, equity and human rights, and housing.



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Finances

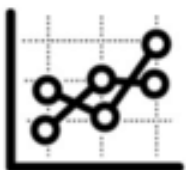
Browse our audit reports about finance topics. This includes audits about the City's budget, taxes, fees, other revenues, the City Budget Office and the Bureau of Revenue and Financial Services.



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Browse our audit reports about Portland Parks and Recreation programs, and culture services. This includes audits about the Regional Arts and Culture Council, the golf program, recreation scholarships, the Arts Tax, and the City's tree code.



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Keywords

[Help us choose what to audit!](#)

Every year, we pick about five areas of the City of Portland to audit. We'd love to hear your ideas on how we can make Portland work better for everyone.

April 9, 2024 12:01 am News article

[Audit Update: The Fire Bureau has taken steps to improve its accountability system; Human Resources made one improvement to its investigation guidelines, but disagrees others are necessary](#)

This is a one-year follow-up to our 2022 report, "Fire & Rescue does not have a coherent accountability system," that recommended Fire set clear expectations for work requirements and employee conduct, and

Human Resources improve guidance and monitoring of complaints, investigations, and discipline

December 20, 2023 12:01 am News article



[Audit Update: Momentous move by Council to consolidate permitting as City reforms continue](#)

This is a two-year follow-up to our 2021 report, Building Permit Audit: Long-standing inability to meet customers' needs won't improve without better management, sustained governance.

October 11, 2023 12:01 am News article



[Audit Update: The Office of Management and Finance has addressed most City credit card risks; purchase of gift cards prohibited until City policy is in place](#)

This is a two-year follow-up to our 2021 report, City credit card use slowed during pandemic but exposes underlying risks.

August 30, 2023 12:01 am News article



[Audit Update: Council’s legislative changes helped the Portland Clean Energy Fund put management systems in place](#)

This is a one-year follow-up to our 2022 report [Portland Clean Energy Fund: Additional steps needed to implement voter-approved program](#).

July 5, 2023 12:01 am News article



[Audit Update: Bureaus have taken initial steps to address challenges in maintaining the City’s sewers, but have not re-evaluated their overall agreement](#)

This is a one-year follow-up to our 2021 report [Sewer Maintenance: Renewed attention to partnership needed to better serve ratepayers](#).

June 12, 2023 12:01 am News article



[Audit Services Update: Police made some progress to strengthen intelligence gathering policies, but other management improvements remain](#)

This is a one-year follow-up to our 2022 report [Police Intelligence-Gathering and Surveillance: Better management needed to protect civil rights](#).

June 6, 2023 12:01 am News article



[Audit Update: No progress on Citywide collection strategies; some improvements by individual bureaus](#)

This is a one-year follow-up to our 2022 report: [Taxes, fines, and fees: Customers who owe caught in a maze of inconsistent and uncoordinated collection strategies](#).

April 27, 2023 9:00 am News article



[Fraud Hotline Update: Joint Office of Homeless Services contract managers have more training and tools, but some role conflicts have not been addressed](#)

Contract managers receive more training and guidance, but the Joint Office does not plan to separate duties as recommended.

February 21, 2024 12:00 am News article

Fraud Hotline Follow-Up

[Fraud Hotline Update: New Fire Bureau compensation package allows use of City water to wash personal vehicles, but risk of perceived waste and disregard for resource conservation remains](#)

Some progress made, but Fire Bureau changed rules to allow washing personal vehicles with City water despite Auditor's finding of government waste.

April 25, 2023 12:00 am News article

Fraud Hotline Follow-Up

[Gang Enforcement Audits Update: Police Bureau has improved patrol activities, but still needs a policy for using gang information](#)

Since our 2018 audits on the Police Bureau's Gang Enforcement Team, the Police Bureau has formed new units. This follow-up on our 2018 recommendations found the Bureau has improved patrol activities, but still needs a policy for using gang information.

March 21, 2023 12:01 am News article



[Audit Services Update: Emergency Management has made some progress toward improving emergency planning and response for people with disabilities](#)

This is a one-year follow-up to our 2021 audit of Portland Bureau of Emergency Management, in which we made seven recommendations to improve the City's emergency planning and response for people with disabilities.

March 14, 2023 12:01 am News article



[Audit Services Update: Office of Equity & Human Rights has made progress on ensuring Americans with Disabilities Act compliance](#)

This is a one-year follow-up to our 2021 report that called attention to compliance risks related to the Americans with Disabilities Act.

March 14, 2023 12:01 am News article



[Audit Update: Little progress on City review of Enhanced Services Districts](#)

This is the two-year follow-up to our 2020 report Enhanced Services Districts: City provides little oversight of privately funded public services

February 6, 2023 10:00 am News article



[Audit Update: Procurement Services made limited progress to improve construction contracting equity](#)

This is a two-year follow-up to our 2020 report, *Equity in Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship*.

December 13, 2022 8:30 am News article



[Audit Update: City advanced building permit reforms; Council and multi-bureau engagement noteworthy](#)

This is a one-year follow-up to our 2021 report, "Long-standing inability to meet customers' needs won't improve without better management, sustained governance."

June 30, 2022 12:00 am News article



[Audit Update: Water Bureau not done defining roles or formulating long-term groundwater plan](#)

This is a two-year follow-up to our 2020 report, "Groundwater: City identified risks, must develop a long-term plan to address them."

June 27, 2022 12:00 am News article



[Audit Update: Procurement Services is working to address some City credit card risks](#)

This is a one-year follow-up to our 2021 report, "City credit card use slowed during pandemic but exposed underlying risks."

June 23, 2022 12:00 am News article



[Audit Update: Cannabis Program improved data management, communication](#)

This is a two-year follow-up to our 2020 report, "Cannabis Program: Management fundamentals needed to improve regulation of emerging industry."

June 22, 2022 12:00 am News article



[Audit Update: New procedure reflects lessons learned from pandemic grants](#)

This is a one-year follow-up to our 2021 report, "Prosper Portland Emergency Grants: Standards needed to ensure program integrity."

May 31, 2022 12:00 am News article



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