

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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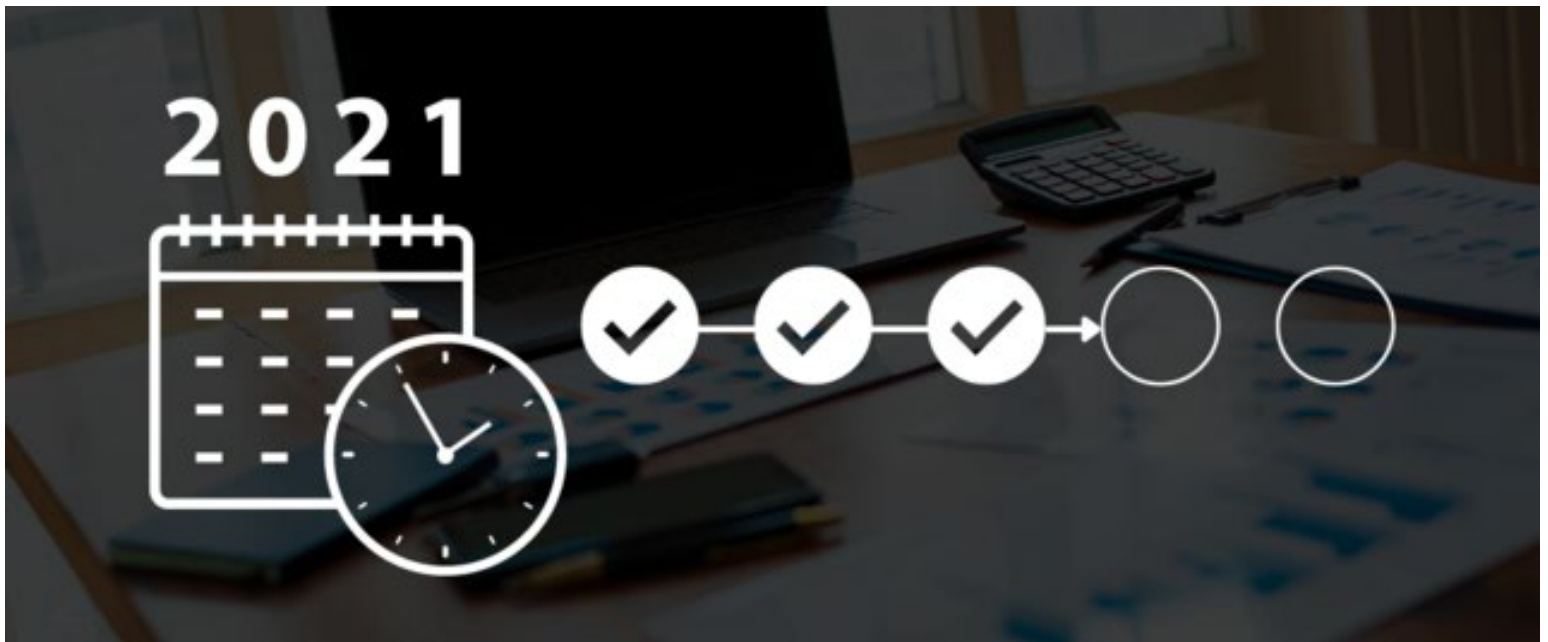
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# Annual Follow-up Status Reports 2021

Information

In 2021, we were tracking 37 audits with 205 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.

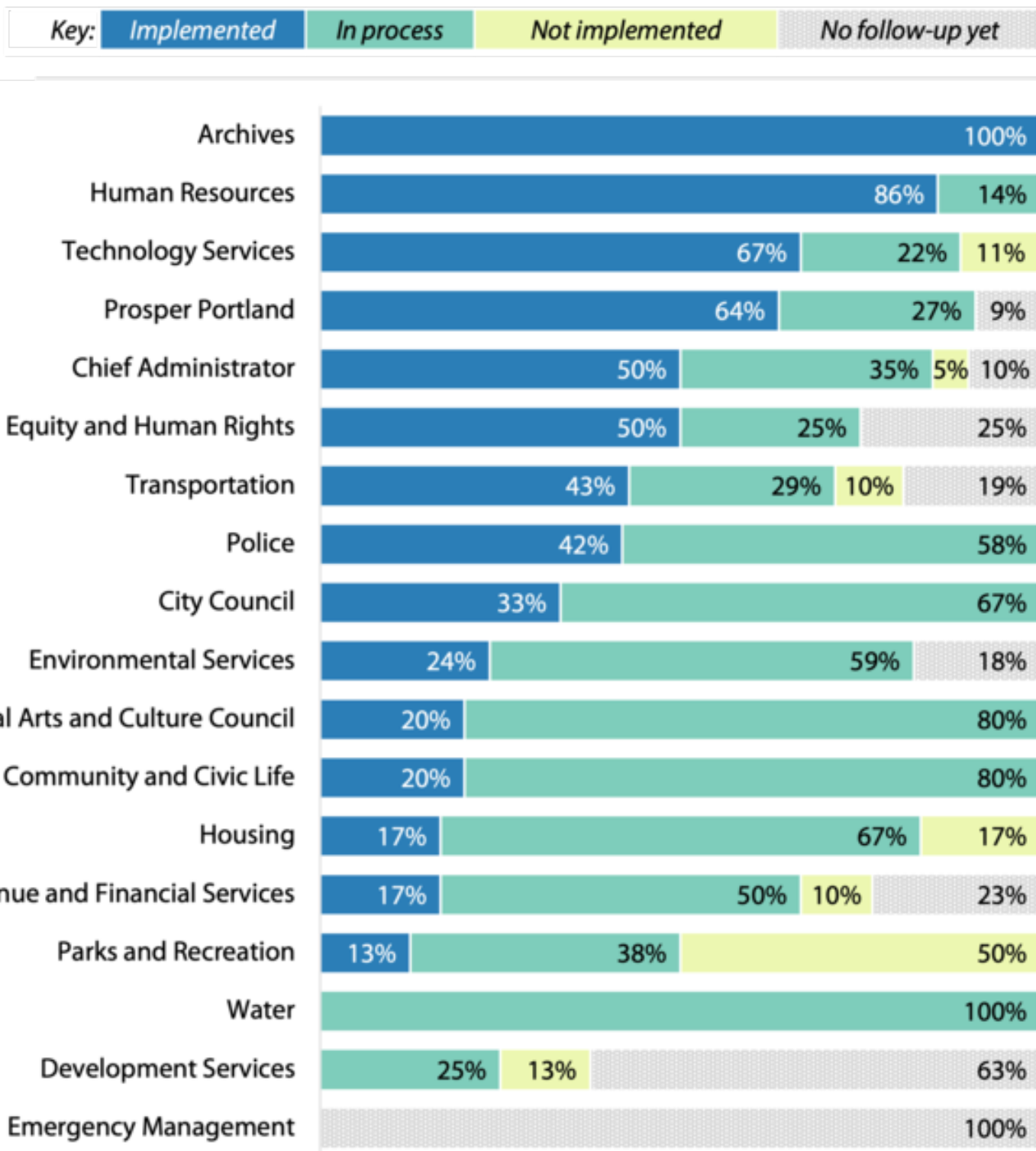


**We are monitoring recommendations that apply to 19 different city bureaus and to all city commissioners. This report includes recommendation status as of December 31, 2021.**

## Summary

Human Resources and Technology Services topped the list of percentage of recommendations implemented with 86 and 67 percent. These bureaus, along with the Archives division of the Auditor's Office, all participated in the data loss prevention audit. The Parks and Recreation Bureau topped the list of not implemented recommendations with 50 percent. These were related to the recreation program scholarship audit. We hope that Parks will be able to address these recommendations now that it has access to a new levy funding source.

Archives, Human Resources, and Technology Services topped the list of recommendations implemented

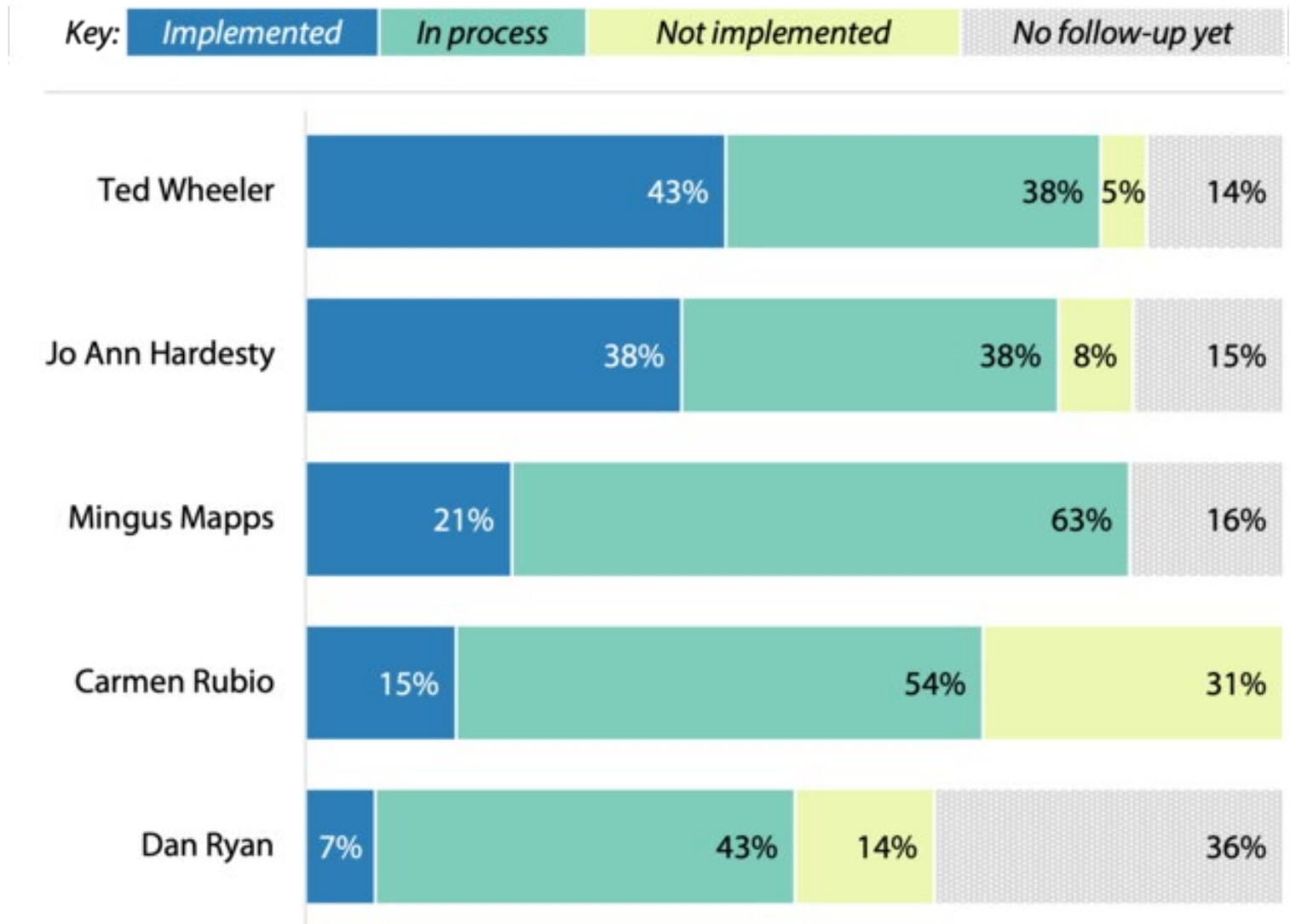


Archives, Human Resources, and Technology Services were a part of the data loss prevention audit which was performed by an outside consultant and results may not be comparable to other audits.

The Bureaus assigned to Ted Wheeler implemented the highest percentage of recommendations: 41 percent. The largest portion of Mayor Wheeler’s implemented recommendations were related to work done by the Bureau of Technology Services for the data loss prevention audit. Bureaus assigned to Carmen Rubio had the highest percentage of not implemented recommendations: 31 percent. These were all related to recommendations made to the Parks and Recreation Bureau from the recreation

program scholarship audit.

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



In 2021 we produced five new audits:

- [Building Permit Review](#)
- [Credit Card Use](#)
- [Prosper Portland Emergency Grants](#)
- [Sewer Maintenance](#)
- [Emergency Management for People with Disabilities](#)

We'll follow up on recommendations for those audits starting in 2022.

## 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. We will follow up on the 2021 credit card use audit in 2022.

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

## City Council

We are tracking one audit report and three recommendations made to the Portland City Council. The report assessed follow through on accountability promises Council made to voters when approving City-referred ballot measures.

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

## 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 is in the process of implementing the

other four recommendations.

▶ [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.

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

## Emergency Management

We are tracking one report with seven recommendations at Emergency Management. The audit was about disaster planning for people with disabilities. This was a new audit in 2021 and we will follow-up on recommendations in 2022.

▶ [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. A new audit in 2021 focused on the Bureau's arrangement with the Transportation Bureau to maintain sewer systems.

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

## Equity and Human Rights

We are tracking one audit and three recommendations at the Equity and Human Rights Office. The audit was about implementation of requirements in the Americans with Disabilities Act. Two of the recommendations have been implemented and one remains outstanding.

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

## 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. The Bureau is in the process of implementing the other five recommendations.

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

## Human Resources

Our 2018 data loss prevention audit made seven recommendations to the Bureau of Human Resources. The Bureau has implemented six recommendations and is in the process of implementing the seventh recommendation.

► [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. 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](#)

## Police

We are tracking four reports and 31 recommendations at the Police Bureau. 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.

[▶ 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.

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

## Regional Arts and Culture Council

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

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

## Revenue and Financial Services

We are tracking five audit reports and 30 recommendations at the Bureau of Revenue and Financial Services. The audits assessed risk management, short-term rental regulation, Enhanced Service Districts, contracting equity programs, and use of purchase cards.

[▶ 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. Four recommendations are “in process.”



► [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.

► [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. Water is in the process of implementing both recommendations.

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

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### Translated reports

Reports from this year and most of 2021 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 the [Audit Services Division](#).

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## Thanksgiving closures

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# Archives and Records Management Division 2021 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**

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## 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

We recommended that Archives test and apply updates as they are released. Archives implemented our recommendation in 2021. Archives said that it updates its system every two years when major upgrades are deployed. Archives also reported that it takes a risk-based approach for minor patches, considering factors such as compatibility requirements and new features.

### To Do

There are no outstanding Archives recommendations.

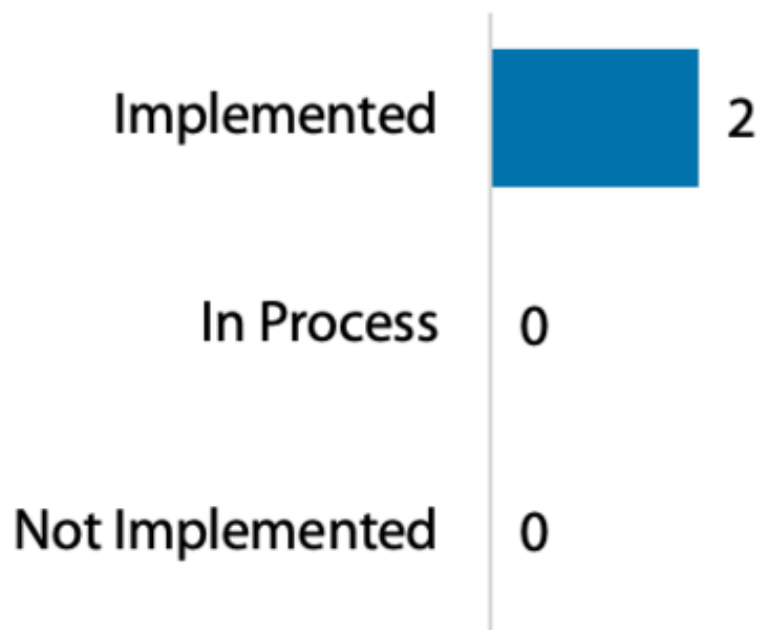
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## Data Loss Prevention Archives

[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 it creates and uses 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, 2021.

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## Translated reports

Reports from this year and most of 2021 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 [Leslie Chaires](#).

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## 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 2021 Audit Status Report

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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.

**Elected-in-charge: Mayor Ted Wheeler**

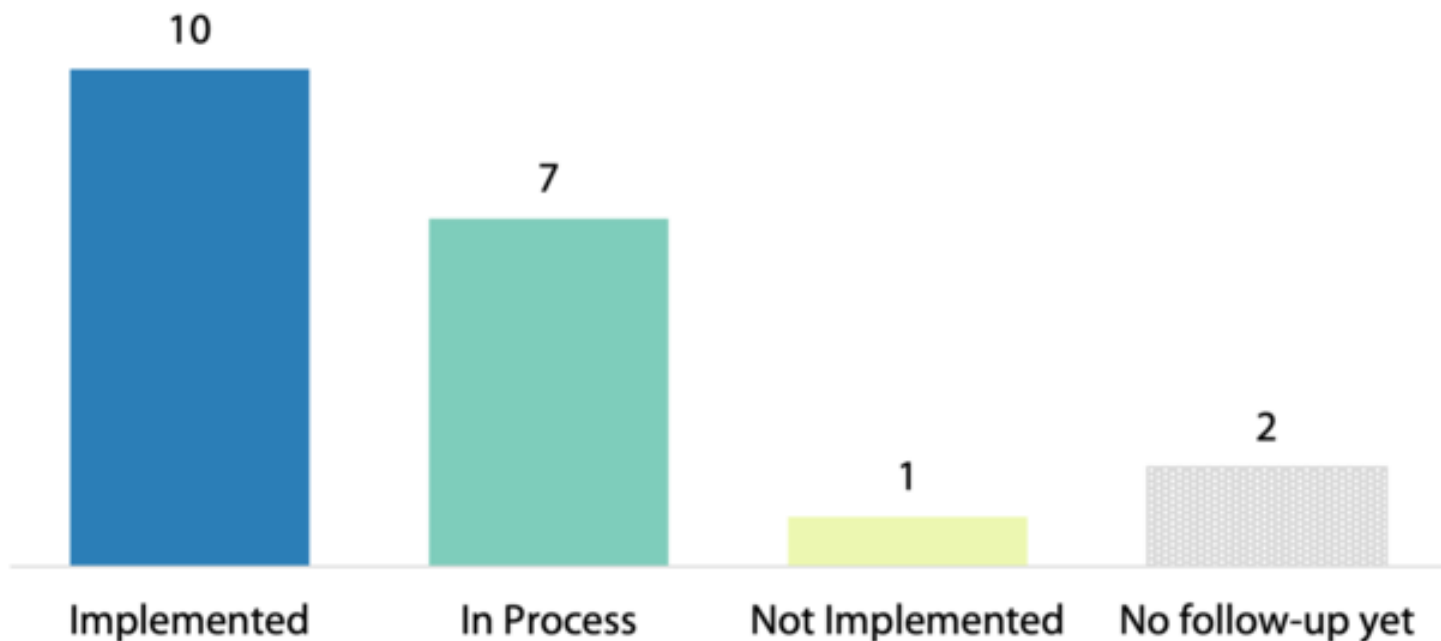
**Bureau or Office Director: Chief Administrative Officer Tom Rinehart**

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## We are tracking four reports and 20 recommendations

### Recommendations

The Chief Administrative Office had 10 implemented recommendations, seven in process recommendations, one not implemented recommendation, and two pending recommendations that we have not yet followed-up on because they were less than a year old.



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. We will follow up on the two recommendations from the 2021 credit card use audit in 2022.

### Highlight from Last Year

We recommended that the Homelessness and Urban Camping Impact Reduction 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.

### To Do

We recommended that the Homelessness and Urban Camping Impact Reduction Program establish systems to improve data quality and reduce manual processes. The program worked with the Bureau of Technology Services to develop a web application which is now largely implemented. The last step will be to set up contractors to report conditions in the field. Once the web application is complete, people filing complaints will be able to check report status online.

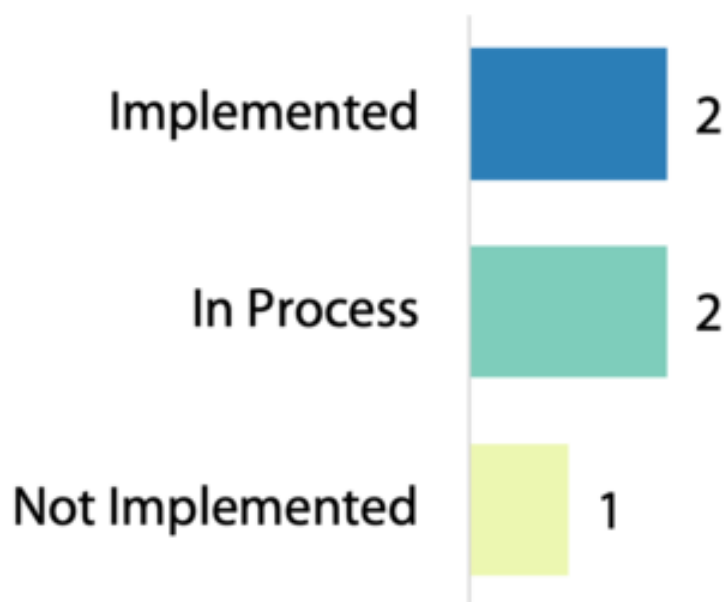
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## Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success

[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. Three years later, we highlighted unresolved issues the City had time to address. The City implemented the recommendations related to equity grants last year, but other improvements remained underway. Because of the pandemic, the Portland Building is still not yet open to the public and there is little use by City employees. This year, we found the City did not implement our budget transparency recommendation but made progress in its compliance with the Americans with Disabilities Act and historic preservation requirements.

On this audit there were two recommendations implemented, two in process, one not implemented, and none pending.



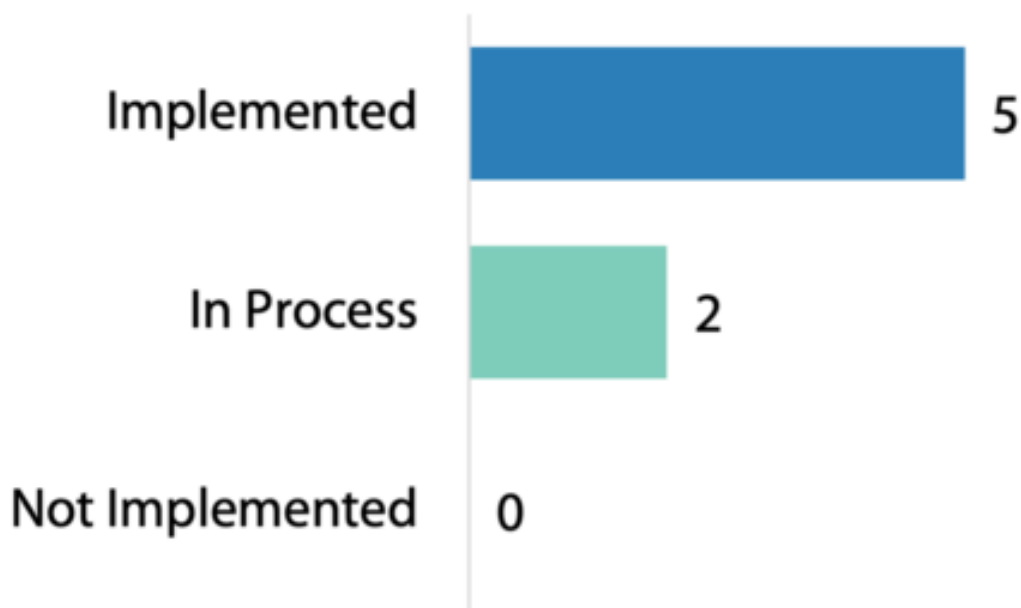
## Cleanups of Homeless Camps: Improved communications and data needed

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

Progress on recommendations continues during pandemic. 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. In the second year, the pandemic stalled some work on the web application, but progress on other recommendations

continued.

On this audit there were five recommendations implemented, two in process, and none not implemented or pending.

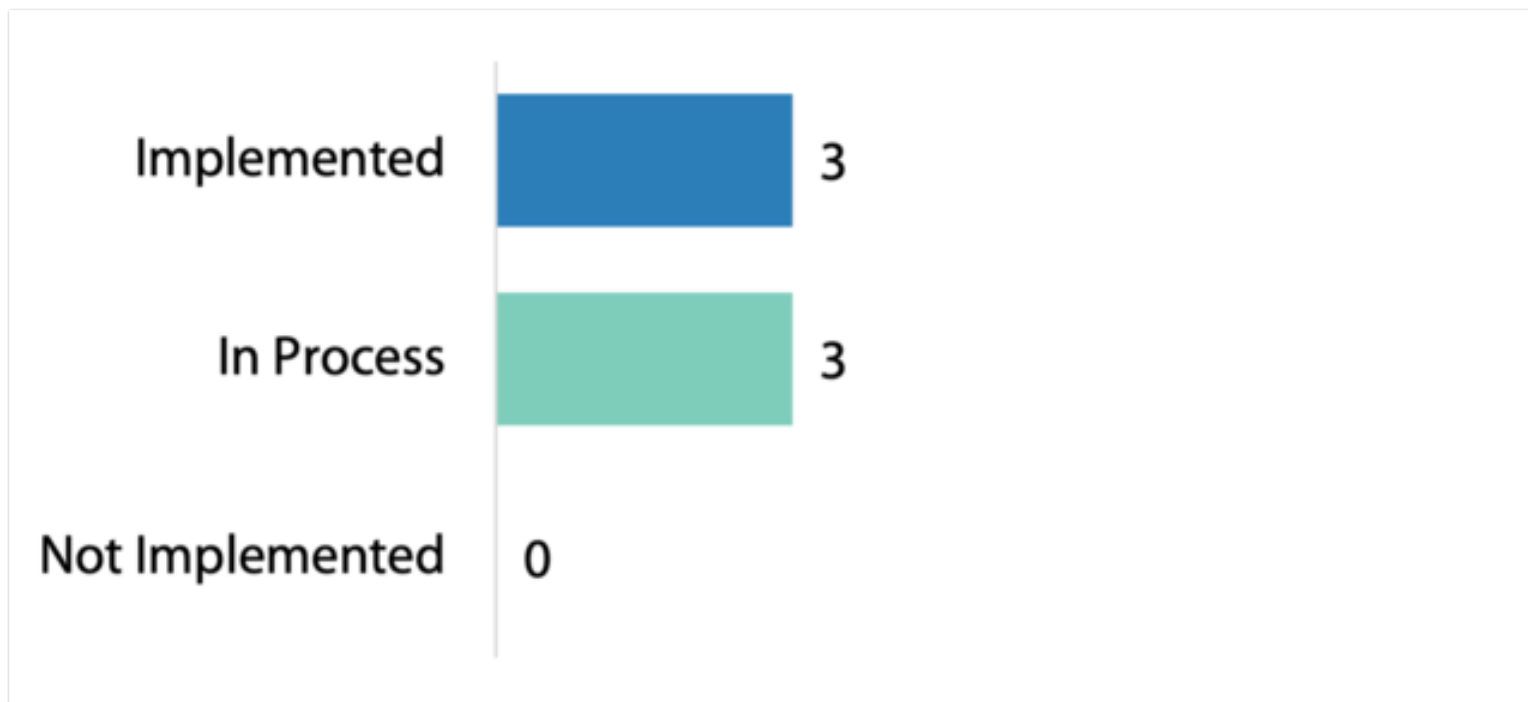


**Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now**

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

Our 2019 report found the Portland Building renovation costs reviewed by auditors were consistent with the construction contract, although key tasks remained to prepare for final payment. Since then, the City has affirmed which construction costs are subject to audit, added the skills of a construction auditor, and developed a plan for remaining work. We will monitor progress over the next year as the City completes its final cost reconciliations and a report on lessons learned from the Portland Building renovation.

On this audit there were three recommendations implemented, three in process, and none not implemented or pending.



## City credit card use slowed during pandemic but exposed underlying risks

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

New risks for City-issued credit card misuse emerged when employees began working from home due to COVID-19. We asked: How did compliance with rules, management, and card spending change? We found some issues the City should shore up to prevent misuse.

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

### 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. Reports to Council and the Oversight Committee continue to focus only on the main project. Other public reports present this information in piecemeal. As a result, the total renovation costs are not clear or transparent to decision-makers or the public.



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

## In Process Recommendation Details

**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 once 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 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 committed to mitigation tasks and completed one so far - an exterior interpretative display. The City has yet to complete the remaining three tasks, which include an interior history wall, monograph, and a web-based panel discussion. (Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success)

**We recommended that the program give status updates to people making complaints about homeless camps.** Once the web application is complete, people filing complaints will be able to check report status online. In addition, the City's 311 call system provides new capacity to answer questions related to campsites. (Cleanups of Homeless Camps: Improved communication and data needed)

**We recommended the homeless camp program establish systems to improve data quality and reduce manual processes.** The program is working with the Bureau of Technology Services to develop a web application. Implementation stalled because of changes in pandemic-related priorities in Technology Services. The system is now largely implemented, with the last step being to get contractors fully set up and able to report conditions in the field. (Cleanups of Homeless Camps: Improved communication and data needed)

**We recommended the City begin phased cost reconciliations for the Portland Building contract immediately rather than wait until construction closeout.** The City has completed Part One of its plan. The construction auditor reviewed billed costs through September 2019 when the project was at about 87 percent completion. The report concluded that "it was a fairly clean audit" with "instances of potential overbilling, inadequately supported charges, and other areas for improvement." The City reports that Part Two of the plan has been underway since October 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 particularly scrutinize Portland Building contractor rates for personnel costs other than salary or wages, such as health benefits and unemployment taxes.**

Last year's audit report found these contractor rates were based on estimates and found some examples where these rates were higher than actual costs. Personnel costs is one of the largest and most consistent areas with cost savings during construction audits. The City has begun its reviews. The Part One report found the contractor's rates for these personnel costs were calculated accurately, however, it did question this area for subcontractors and made plans for further work during Part Two. (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 identify lessons learned from the Portland Building renovation and distribute this information to bureaus that manage large-scale capital construction projects.**

The City has started drafting a "playbook" for lessons learned. This report will also include improvement areas identified in last year's audit report, such as clearer contract language about cost documentation and completed project management plans. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

## 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 improving communication to people experiencing homelessness about when crews will most likely clear homeless camps, 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 communication and data needed)

**We recommended ensuring that contractors have a common understanding of what the City considers personal property at homeless camps.** 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 communication and data needed)

**We recommended ensuring that homeless camp cleanup 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 communication and data needed)

**We recommended clarifying the homeless camp cleanup 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 communication and data needed)

**We recommended that the homeless camp cleanup 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. (Audit: Cleanups of Homeless Camps: Improved Communication and Data needed. (Cleanups of Homeless Camps: Improved communication and data needed)

**We recommended that the City classify Portland Building contract costs into the categories that determine what documentation the City can 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 has since completed the cost classification that aligns with the contract amount as of December 2020. The completed classification confirmed estimates in last year's audit report that the City has the right to audit detailed invoices and actual costs for about half of the contract amount. (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 Portland Building cost reconciliations and help identify any questionable costs or potential cost savings.** The City is using an owner's representative to help manage the Portland Building renovation. The owner's representative contract includes 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 Portland Building contractor.** That 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 has since identified a two-part plan, and identified the parties involved, role, responsibilities, and timelines for the remaining work to be completed in mid-2021. (Portland Building Contract: Costs reviewed were consistent with contract, although required cost classification and calculations for final payment need to start now)

## Pending Recommendation Details

**The Office of Management and Finance should determine who is responsible for monitoring compliance with payment card rules throughout the purchase cycle and ensure they have the appropriate authority to enforce them.** (City credit card use slowed during pandemic but exposed underlying risks)



**The Office of Management and Finance should develop a Citywide policy to address the purchase, documentation, safeguarding, and appropriate use of gift cards, including guidance specific to rewarding volunteers.** (City credit card use slowed during pandemic but exposed underlying risks)

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## Data Notes

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### Links

- **Portland Building Reconstruction: City faced with important post-planning decisions to ensure project success**
  - **Report** <https://www.portland.gov/audit-services/news/2016/12/29/portland-building-reconstruction-city-faced-important-post-planning>
  - **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>

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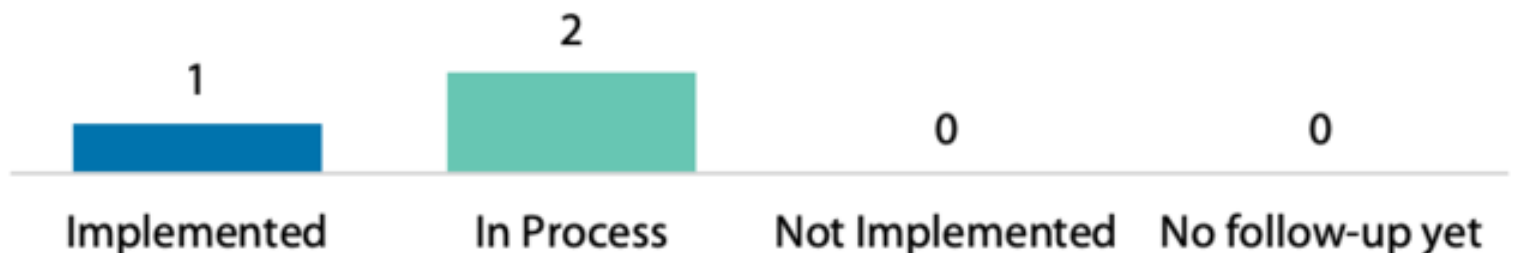
# City Council 2021 Audit Status Report

Information

We are tracking one audit report and three recommendations made to the Portland City Council.

## We are tracking one audit report and three recommendations made to the Portland City Council

Our report to City Council concerned follow through on accountability promises Council made to voters when approving City-referred ballot measures. City Council implemented one of our recommendations and there are three still in process.



### Highlight from Last Year

In 2021, Portland Parks & Recreation and the Portland Bureau of Transportation made progress

including accountability information in ballot titles and explanatory statements provided to voters. We had recommended the materials include specific, measurable, achievable, realistic and when appropriate, time-bound commitments. The bureaus included commitments that were specific and measurable and appeared to be achievable and realistic.

### To Do

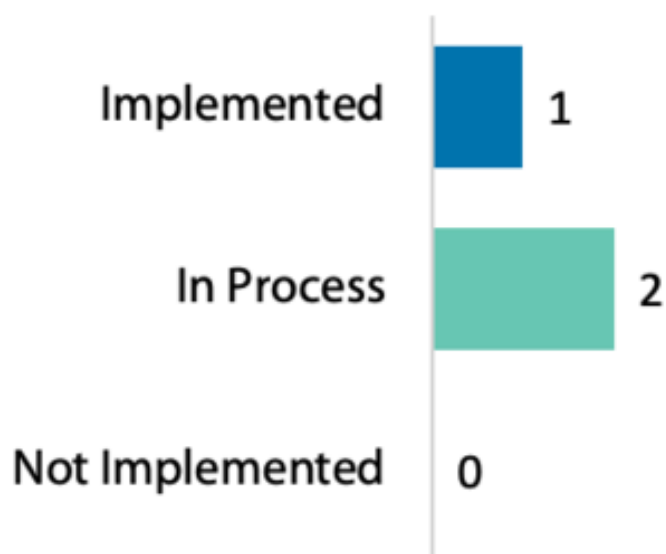
Council has more work to do to implement two recommendations. One was to specify the position or body responsible for monitoring accountability commitments and include accountability functions in their duties. The other was to direct bureaus to assess and document administrative burdens and costs to implement accountability measures to ensure they are feasible. Results in 2021 were mixed here and we hope Council does more to fully implement these recommendations.

## The City needs to make realistic commitments to voters and ensure they are delivered

[Report](#) published December 17, 2019 | [Follow-up report](#) | Contact [Jenny Scott](#)

Our 2019 audit found that the City was not always delivering the accountability measures it promised to voters. We directed three recommendations to City Council because it approves all measures the City places on the ballot. Since we issued our report, Council referred two funding measures to voters: Fixing our Streets Two and the Parks Operating Levy. We asked the Commissioners-in-Charge of Portland Parks and Recreation and the Portland Bureau of Transportation to report how their bureaus implemented the recommendations when preparing the new funding measures. We found the City is making progress towards implementing the recommendations.

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



## In Process Recommendation Details

**We recommended that Council direct bureaus to assess and document the administrative burdens and costs to implement planned accountability measures to ensure that they are feasible.** Portland Parks and Recreation assessed and documented the administrative

burdens and costs for annual reports, a public oversight committee, and independent audits for the Parks Operating Levy based on what it cost to implement the same accountability protections for the 2014 Parks Replacement Bond. Parks also estimated and documented the costs for the staff positions needed to coordinate the new levy and administer the new services it funded. Staff from the Portland Bureau of Transportation said that Council did not direct it to assess the administrative costs and burdens of the accountability measures for Fixing Our Streets Two. Staff believed this was because the Bureau had implemented similar accountability measures in the first iteration of Fixing our Streets from 2016-2019. (The City needs to make realistic commitments to voters and ensure they are delivered)



**We recommended that Council specify the position or body responsible for monitoring accountability commitments, and that early verification and ongoing monitoring of the measures be included in their duties.** We also recommended that public reporting include this information. Parks specified in the ballot title that an oversight committee will review levy expenditures and provide annual reports. In a recruitment for committee members, Parks added that the committee is responsible for reviewing the levy's progress, outcomes, and independent audit. Transportation specified in the ballot title and explanatory statement that a public oversight committee could oversee spending, review audits, and report annually. In a description of the oversight committee, Transportation added that the committee would monitor project implementation. (The City needs to make realistic commitments to voters and ensure they are delivered)

## Implemented Recommendation Details

**We recommended that Council make commitments in the ballot title and explanatory statement to voters that are specific, measurable, achievable, realistic and when appropriate, time-bound.** Parks included specific commitments in the explanatory

statement about what services the levy would fund. The commitments were measurable and appeared to be achievable and realistic. Transportation included specific commitments in the ballot title about



what improvements the tax would fund. The commitments were measurable and appeared to be achievable and realistic. The bureau omitted the percentage split between paving and safety improvements that proved difficult to implement during the first iteration of Fixing our Streets. (The City needs to make realistic commitments to voters and ensure they are delivered)

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## Data Notes

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## Links

- **The City needs to make realistic commitments to voters and ensure they are delivered**
  - **Report** <https://www.portlandoregon.gov/auditservices/article/749724>
  - **Follow-up** <http://www.portland.gov/year1tax-accountability>

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# Office of Community and Civic Life 2021 Audit Status Report

Information

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

**Elected-in-charge: Jo Ann Hardesty**

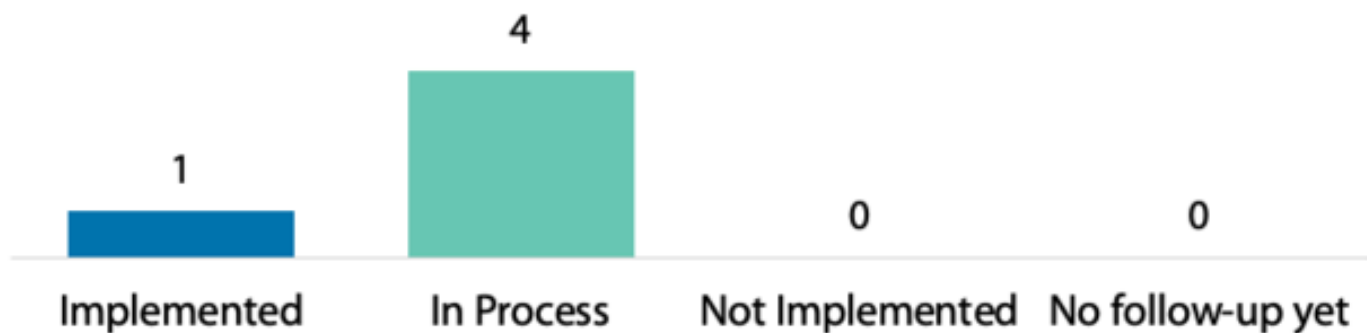
**Bureau or Office Director: Michael Montoya**

## 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 the other four recommendations.

One recommendation was implemented and four were in process.





### Highlight from Last Year

We recommended that Civic Life use the Cannabis Program's vision and goals to develop and communicate a strategy for the program to streamline the licensing and enforcement process and focus program work. Civic Life has hired a new Cannabis Program supervisor, developed a strategic framework for Fiscal Year 2020-21 and shared it with stakeholders, and started incorporating Cannabis Policy Oversight Team recommendations into the program.

### To Do

We recommended that Civic Life implement a data management system to consistently and accurately track data on cannabis licensing, complaints, and enforcement. We also recommended that this data be used to manage Cannabis Program resources, adjust licensing fees, and report program performance. Civic Life reported that it is working to finalize the purchase of a new data system.

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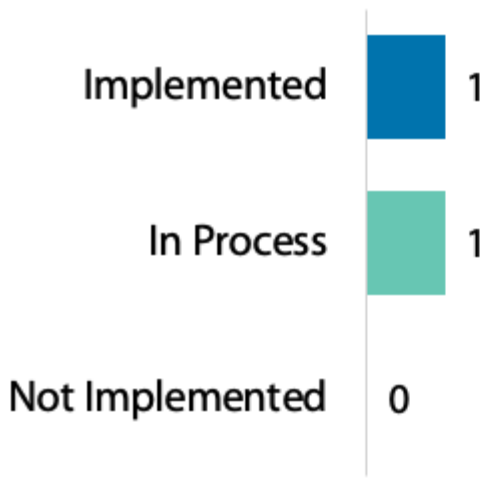
## Recreational Cannabis Tax: Greater transparency and accountability needed

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

The Office of Community and Civic Life improved accountability and transparency of the recreational cannabis tax since our 2019 audit. The office worked with Council to change the decision-making process, increase transparency of the tax allocation, and improve the grants process. Public reporting of tax allocations still needs to be finalized. Our 2019 audit found that most of the recreational cannabis taxes had been used for police and transportation programs even though the tax has been promoted to produce funds that would benefit and support individuals and cannabis businesses owners who were adversely affected when cannabis was illegal. While those uses are allowed, community members, cannabis businesses, or others affected by past cannabis policies had not been involved in the overall

budget decisions, and the City did not report on how it used the tax revenues. We recommended the City improve the transparency of tax allocation decisions and results.

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

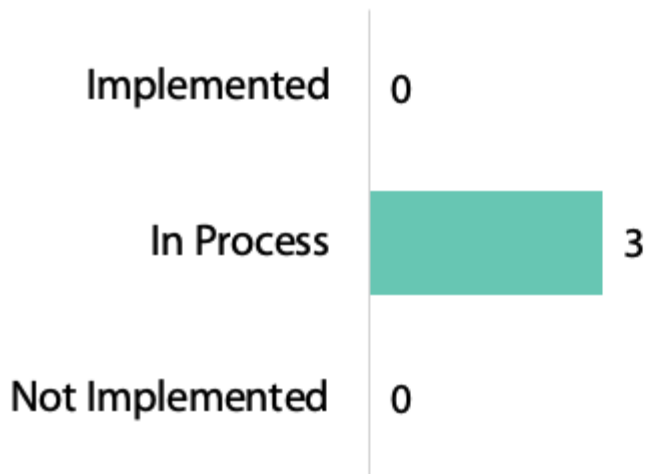


## Cannabis Program: Management fundamentals needed to improve regulation

[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 our audit, the Office of Community & Civic Life hired a new Cannabis Program supervisor, developed a strategic framework, and worked on purchasing a new data management system and creating performance communication tools.

On this audit there were three recommendations in process.



## In Process Recommendation Details

**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.** For the cannabis tax



funds allocated to Civic Life, the bureau improved the grant process by developing goals and a timeline for the process. A community panel is in place and has reviewed proposals for grant funding. Grantees who will receive funding this fiscal year have been selected. We will follow-up in May 2021 to determine whether grants were allocated timely, what outcomes were achieved, and how Civic Life reported outcomes to Council. (Recreational Cannabis Tax: Greater transparency and accountability needed)

**We recommended that Civic Life use the Cannabis Program's vision and goals to develop and communicate a strategy for the program, including coordination with other City bureaus to streamline the licensing and enforcement process and focus work of the program.** In May 2020, Civic Life hired a new Cannabis Program supervisor, and the program developed a strategic framework for Fiscal Year 2020-21. Civic Life reported that it shared the program's framework with City bureaus and other stakeholders, such as the Oregon Liquor Control Commission and Oregon Cannabis Commission. The Cannabis Policy Oversight Team issued a report in 2020 outlining goals and policy recommendations, including prioritizing data collection and analysis of legalization impacts, and developing a cannabis equity framework. Civic Life started incorporating these recommendations into the program. Civic Life still needs to develop a bureau-wide strategic plan, which will align and inform the Cannabis Program's strategy. (Cannabis Program: Management fundamentals needed to improve regulation)

**We recommended that Civic Life implement a data management system to consistently and accurately track data on Cannabis Program licensing, complaints, and enforcement.** This data should be used to manage program resources, adjust licensing fees, and report program performance. Civic Life reported it has researched various technological solutions and obtained approval for purchasing a new system. The program is working with the Office of Management and Finance's Procurement Services and the City Attorney's Office to finalize the purchase of a new system to manage the program's data and activities. (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 Cannabis Program worked with Civic Life's Strategic Communications Officer to develop a communication strategy. Civic Life said it was creating reports highlighting various areas of the program, including Licensing & Compliance, the Cannabis Policy Oversight Team, and Social Equity & Education Development Initiatives. (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 Cannabis tax allocation framework that includes: tax allocation and oversight committee input on how tax revenue should be allocated.**



City Council decides and authorizes the allocation of cannabis tax as part of the annual budget process. The Office of Community and Civic Life worked with Council over the last year 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, which provides recommendations on public policy. Civic Life adopted the team's recommendations and provided input to Council. Council held budget work sessions in May 2019 and March 2020 to discuss the tax allocation and hear from City bureaus that requested funding from the cannabis tax. After significant public input in June 2020, Council decided against an allocation to the Portland Police Bureau Traffic Division and increased funding for community grants awarded through Civic Life. Civic Life reported cannabis tax allocations to the oversight committee but it still needs to ensure the total annual Recreational Cannabis Tax allocations are reported to the public in an accessible format. (Recreational Cannabis Tax: Greater transparency and accountability needed)

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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 2021 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: Dan Ryan**

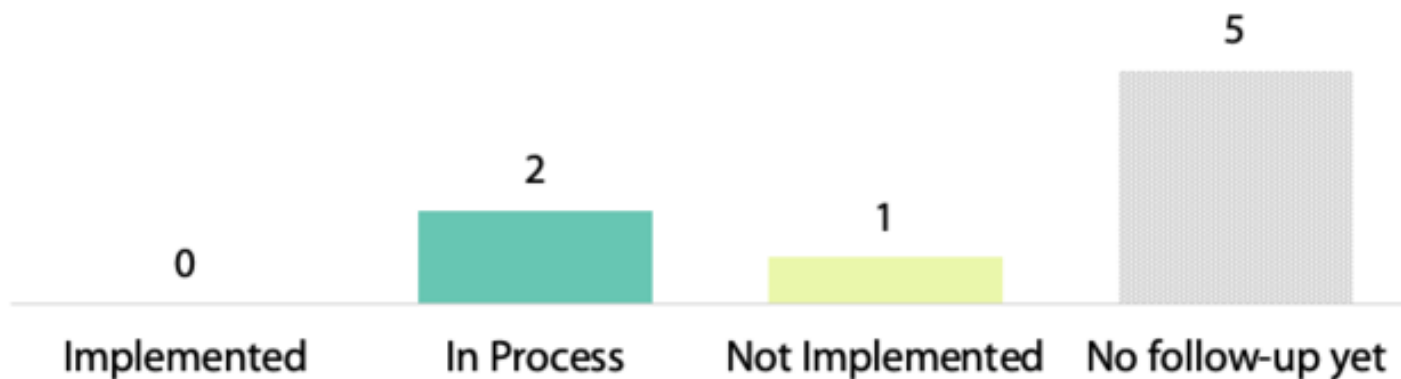
**Bureau or Office Director: Rebecca Esau**

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## We are tracking two reports and eight recommendations

### Recommendations

Development Services had two in process recommendations, one not implemented recommendation, and five pending recommendations that we have not yet followed-up on because they were less than a year old.



### Highlight from Last Year

The Bureau of Development Services made progress obtaining data to enforce short-term rental regulations. It is also developing an application system to collect additional data and is working to analyze rental transaction data. The bureau also works to verify hosts in commercial locations operate legally, but work remains to finalize the enforcement process.

### To Do

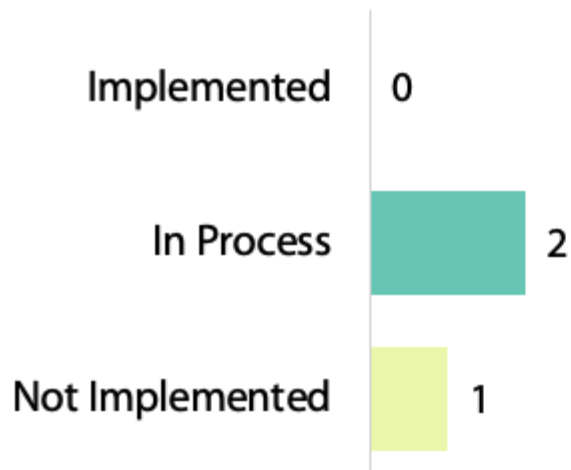
The Bureau of Development Services still has not implemented our recommendation to revise the permitting process to meet safety and neighborhood livability goals. It said it cannot do this until City Council changes the zoning code to expand the scope of safety inspections.

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

[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 were two recommendations in process and one not implemented.



## Building Permit Review Audit

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

Getting a building permit in Portland can be a frustratingly slow process. Delays can affect the economy and motivate property owners to skirt the permitting system altogether. Our audit recommends ways to address persistent problems as the City strives for economic recovery from COVID-19.

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

### 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)

## Pending Recommendation Details

**We recommended that the Bureau develop and adopt a Citywide performance management system capable of achieving consistent fulfillment of the City's comprehensive building permit performance goals.** (Building Permit Review Audit)



**We recommended that the Bureau follow City policy for resolving and reporting building permit customer complaints about plan review delays or propose an alternative that provides the**

**same level of accountability to the customer, Development Review Advisory Committee, and Council.** (Building Permit Review Audit)

**We recommended that the Commissioner should ensure that City Council dedicates resources and holds permitting bureaus collectively accountable to the full and timely implementation of City improvement initiatives related to governance, business process improvement, and bureau agreements.** (Building Permit Review Audit)

**We recommended that the Commissioner should ensure that City Council follows City permitting 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.** (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 Building Permit Review Audit recommendations intended to improve Citywide performance.** (Building Permit Review Audit)

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## Data Notes

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This report includes recommendation status as of December 31, 2021.

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report, please contact [Leslie Chaires](#).

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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>

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# Emergency Management 2021 Audit Status Report

Information

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

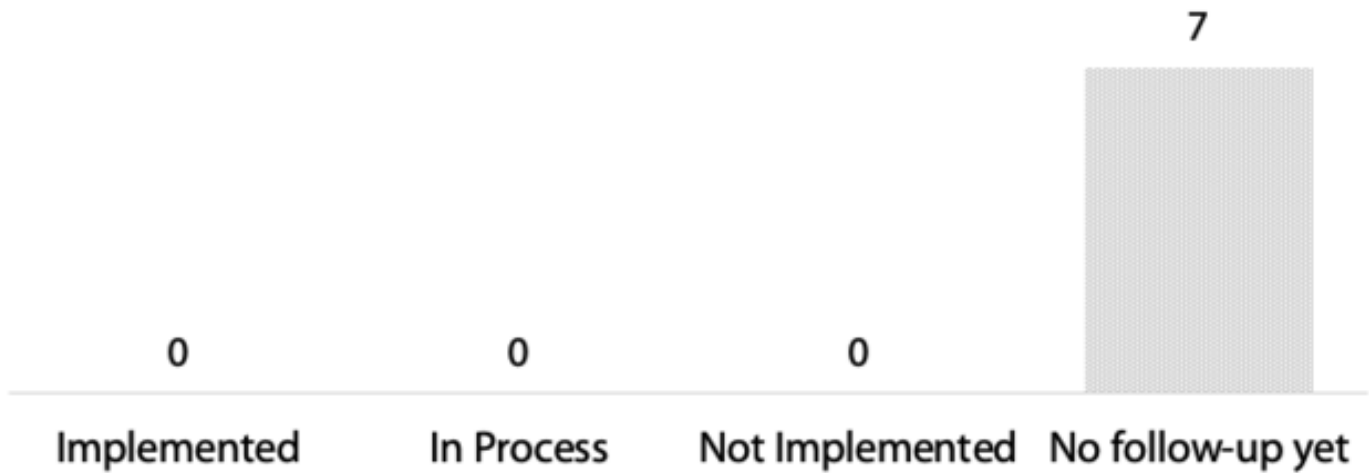
**Elected-in-charge: Mayor Ted Wheeler**

**Bureau or Office Director: Shad Ahmed**

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## 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. This was a new audit in 2021 and we will follow-up on recommendations in 2022.



**Highlight from Last Year**

No activity in 2021

**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 in 2021 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)

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## 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 2021 Audit Status Report

Information

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

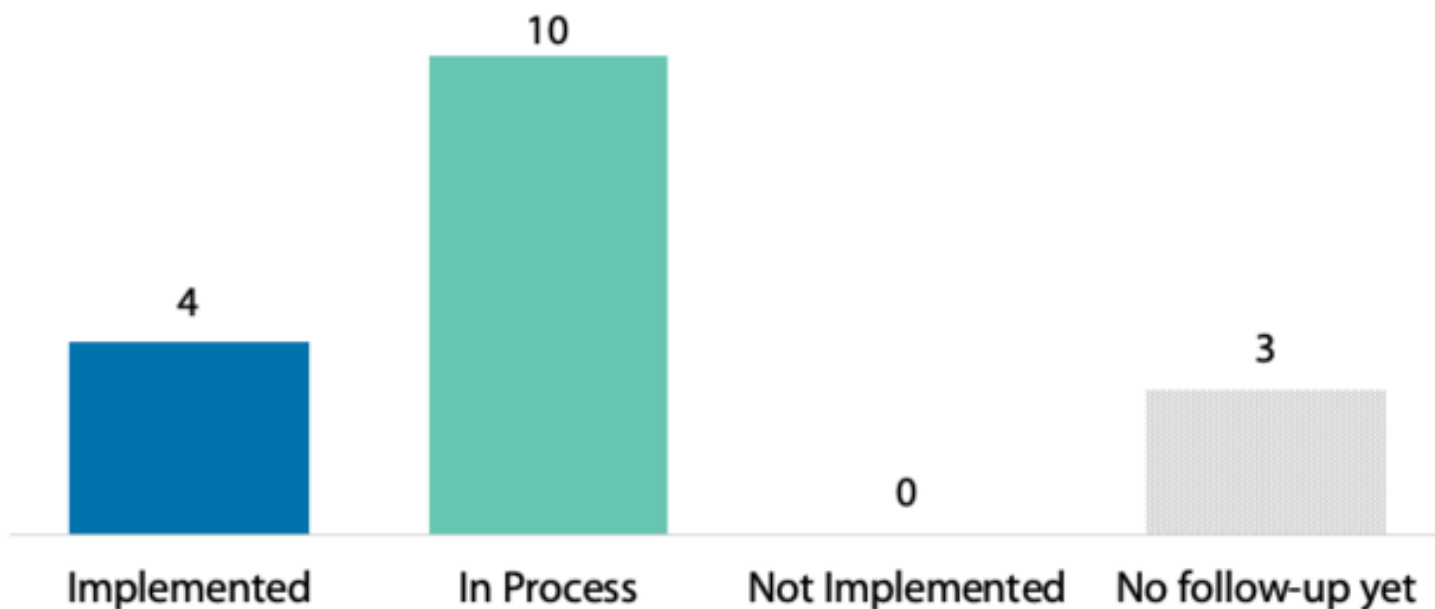
**Elected-in-charge: Mingus Mapps**

**Bureau or Office Director: Michael Jordan**

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## 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. A new audit in 2021 focused on the Bureau's arrangement with the Transportation Bureau to maintain sewer systems.



### Highlight from Last Year

No activity in 2021.

### 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.

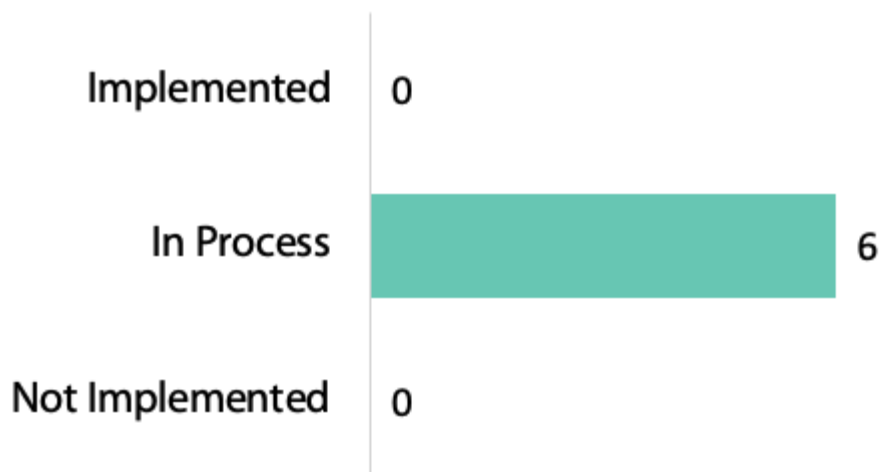
## Private Stormwater Management: City reliance on property owners requires review of risks and results

[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.

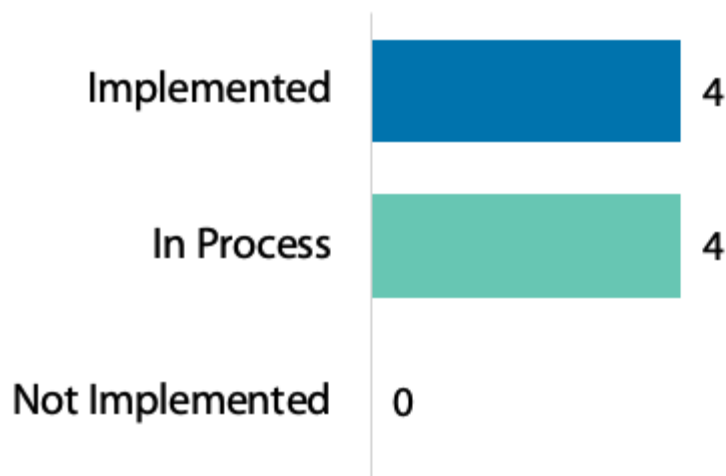


## Restoration Projects and Green Streets: Planning and evaluation needed to confirm success

[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 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, including a direct mail campaign and translated registration materials. (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 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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### Links

- **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**
  - **Report** <https://www.portland.gov/audit-services/sewer-maintenance>

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# Equity and Human Rights Bureau 2021 Audit Status Report

Information

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

**Elected-in-charge: 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

No update in 2021.

## To Do

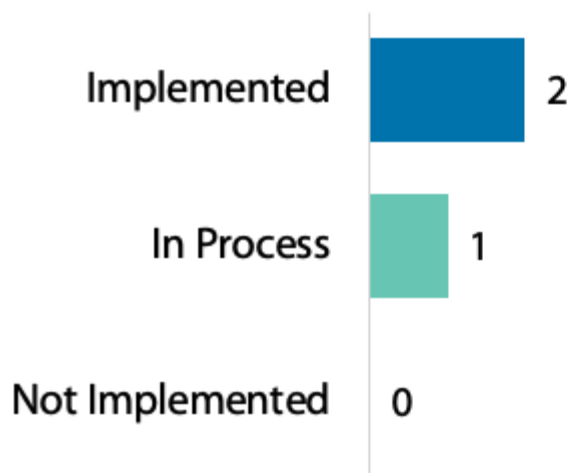
We recommended that the Office improve its website, so it is more useful to individuals with disabilities. The City's transition to a new website held up progress on putting the Office's newly created resources online. The Office is working to make its new website accessible to individuals who use screen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



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## Data Notes

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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/ADA-compliance>

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# Housing Bureau 2021 Audit Status Report

Information

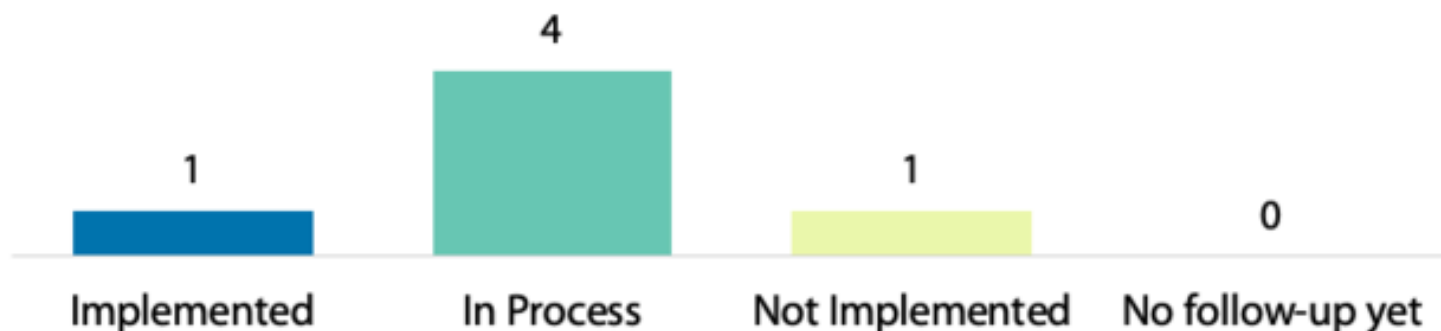
We are tracking three audits that made six recommendations to the Portland Housing Bureau.

**Elected-in-charge: Dan Ryan**

**Bureau or Office Director: Shannon Callahan**

## We are tracking three reports and six recommendations

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. The Bureau implemented one recommendation, is in the process of implementing four recommendations, and has not implemented one.



### Highlight from Last Year

We recommended that Housing obtain short-term rental data from booking agents or from other publicly available sources, develop a process to monitor the market, and evaluate the effects of short-term rentals on housing. The Bureau has made progress on collecting the data it needs to measure the effects of short-term rentals on the housing market.

### To Do

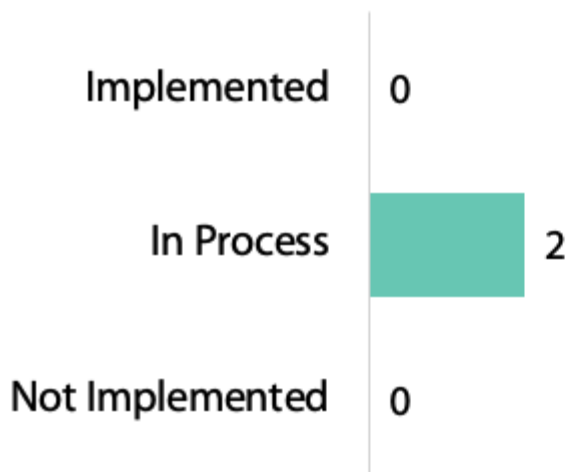
We recommended that the Bureau include housing bond ballot measure commitments in its project selection criteria for future projects and report on service to those priority communities. Housing had not solicited any new projects during our initial follow up period, but Bureau management said future solicitations and reporting will explicitly include all communities identified in the ballot measure.

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

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

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 were two recommendations in process.

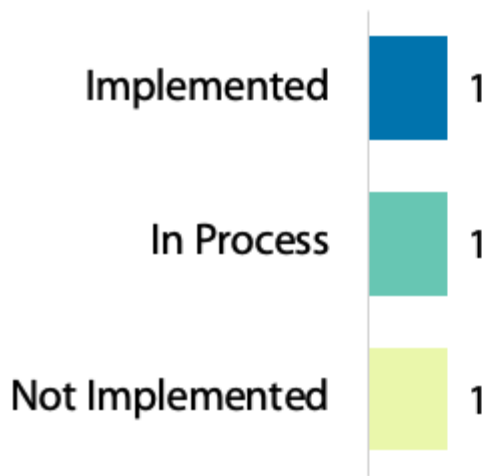


## Portland Housing Bond: Early implementation results mostly encouraging

[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 in process.



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## 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.**

Council adopted an ordinance in 2018 requiring all residential long-term rental housing units to register with the

City's Revenue Division. The data will be used by Housing to establish a baseline inventory of long-term rental units. This inventory will be used to compare to inventory of short-term rentals operating in the city. Housing managers said they will use the data to inform policy and decision-making. (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. Housing incorporated descriptive statistics from this dataset in the 2019 State of Housing report and said it will be included in the 2020 report. Housing said it will monitor changes in the long-and short-term rental markets. (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)

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



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## 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/year1Lents>

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# Human Resources Bureau 2021 Audit Status Report

Information

We are tracking one report that made seven recommendations to Human Resources

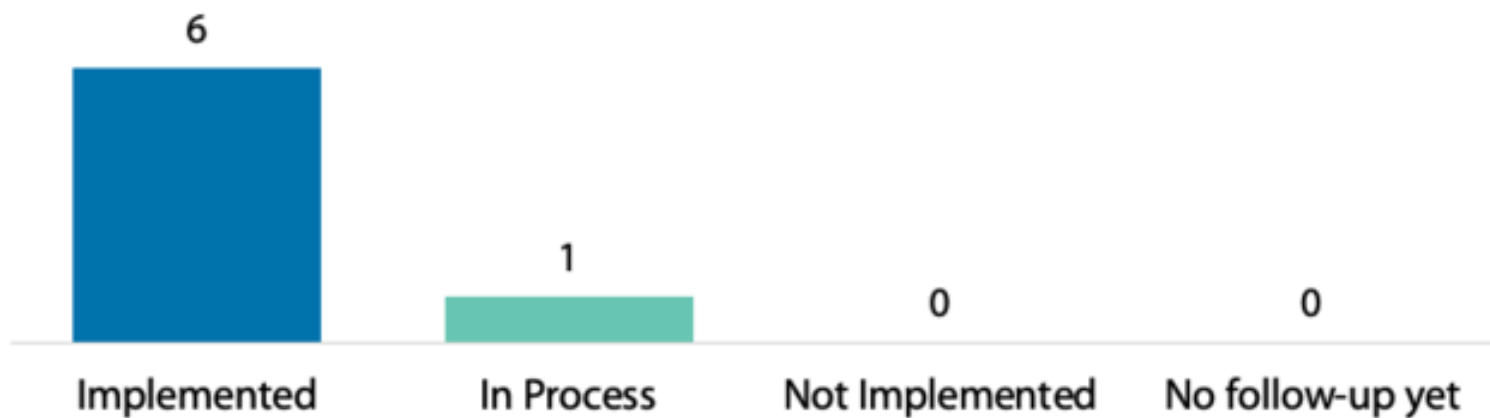
**Elected-in-charge: Mayor Ted Wheeler**

**Bureau or Office Director: Cathy Bless**

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## We are tracking one report and seven recommendations

Our 2018 data loss prevention audit made seven recommendations to the Bureau of Human Resources. The Bureau has implemented six recommendations and is in the process of implementing the seventh recommendation.



### Highlight from Last Year

Human Resources has implemented six data loss prevention recommendations, including recommendations to require password changes, improve physical security, and train all City staff on data and information technology security.

### To Do

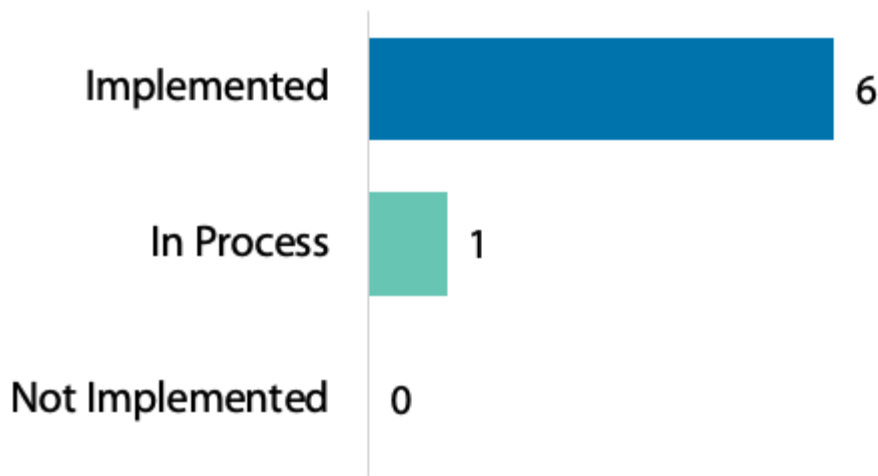
Human Resources should finalize implementation of our seventh recommendation, which remains confidential because of the sensitivity of information about potential computer or system weaknesses.

## 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 it creates and uses 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 Data Loss Prevention Program is stronger.

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



## 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)

## 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)

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## Data Notes

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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>

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# Parks and Recreation Bureau 2021 Audit Status Report

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

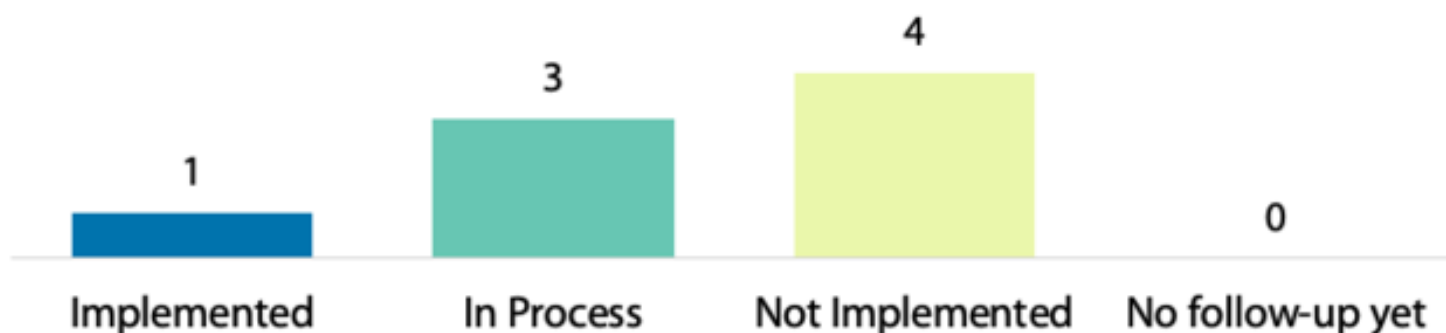
**Elected-in-charge: Carmen Rubio**

**Bureau or Office Director: Adena Long**

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## 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. 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

No activity in 2021.

### To Do

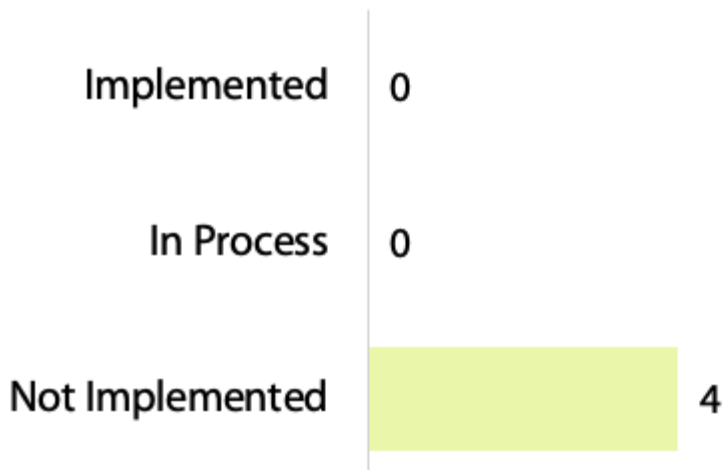
We recommended clarifying and updating the Bureau's scholarships policy and implement it consistently across the centers. The Bureau's proposed policy revision has not yet been implemented.

## 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 and underscore the need for a clear policy and budget for scholarships.

On this audit there were four recommendations not implemented.

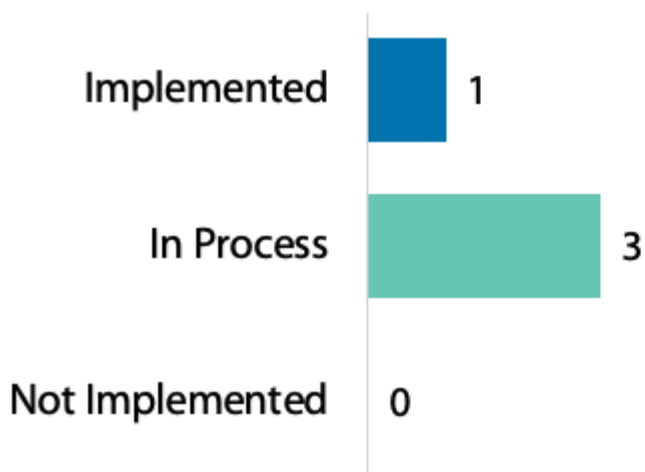


## Portland Parks Golf: Changes needed to ensure long-term sustainability

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

In 2017 the City's golf program needed an \$800,000 bailout to remain solvent. This prompted our 2019 audit, Portland Parks Golf: Changes needed to ensure long-term sustainability, which looked at whether the golf program is positioned to be financially sustainable and if the program is managed to meet that objective. We found that while Parks had made progress in some areas since the bailout, many of the factors that led to the 2017 funding shortfall remained. We made four recommendations to help ensure the program is viable for the long term. Portland Parks and Recreation's golf program took steps to address all the recommendations from our 2019 audit. Many of the steps, however, depend on implementing a new contract for clubhouse operations of the four Eastside courses. The current contracts are set to expire in 2021; Parks plans to take the new contract to Council in the fall of that year.

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

Parks prepares a five-year financial forecast for the golf program each fiscal year but has not presented alternative financial forecast scenarios

to Council. Since the audit was released, Parks drafted an asset management plan for the golf program to address the backlog of deferred maintenance. The total of identified repairs is almost \$43 million plus an ongoing annual maintenance cost of \$1.9 million. The plan includes a prioritized list of repairs to help guide the use of funds in the next 20 years. (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.** A draft request for proposals for the operation of the City's four Eastside golf courses contains language to address this recommendation. This includes increasing diversity, equity, and inclusion in both staff and customers through marketing and outreach, along with creating welcoming facilities that will be financially self-sustaining. These provisions and others included in the recommendation will need to appear in the final contract. The golf program has expanded outreach to underrepresented groups since the audit's publication, creating a golfing community program targeted to young adults. Although they had almost 350 members signed up, all planned events were cancelled because of Covid 19 restrictions. (Portland Parks Golf: Changes needed to ensure long-term sustainability)

**We recommended increased monitoring to ensure contract provisions are followed.** The program collected many of the documents required by the current contracts, such as marketing plans. A five-year course review was also completed at RedTail Golf Center. Roofs and gutters were cleaned at two other clubhouses, fulfilling a contractual obligation. (Portland Parks Golf: Changes needed to ensure long-term sustainability)

## Implemented Recommendation Details

**We recommended presenting contracts to City Council for approval and renewal.** Council agreed to extend the management contract at Heron Lakes in August 2019 to coincide with the expiration of the other Eastside course contracts. The golf program plans to bring one contract, for all four of the Eastside courses, to Council in fall of 2021. (Portland Parks Golf: Changes needed to ensure long-term sustainability)



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## 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

- **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.portlandoregon.gov/auditservices/article/765333>

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# Police Bureau 2021 Audit Status Report

Information

We are tracking four reports and 31 recommendations at the Police Bureau.

**Elected-in-charge: Mayor Ted Wheeler**

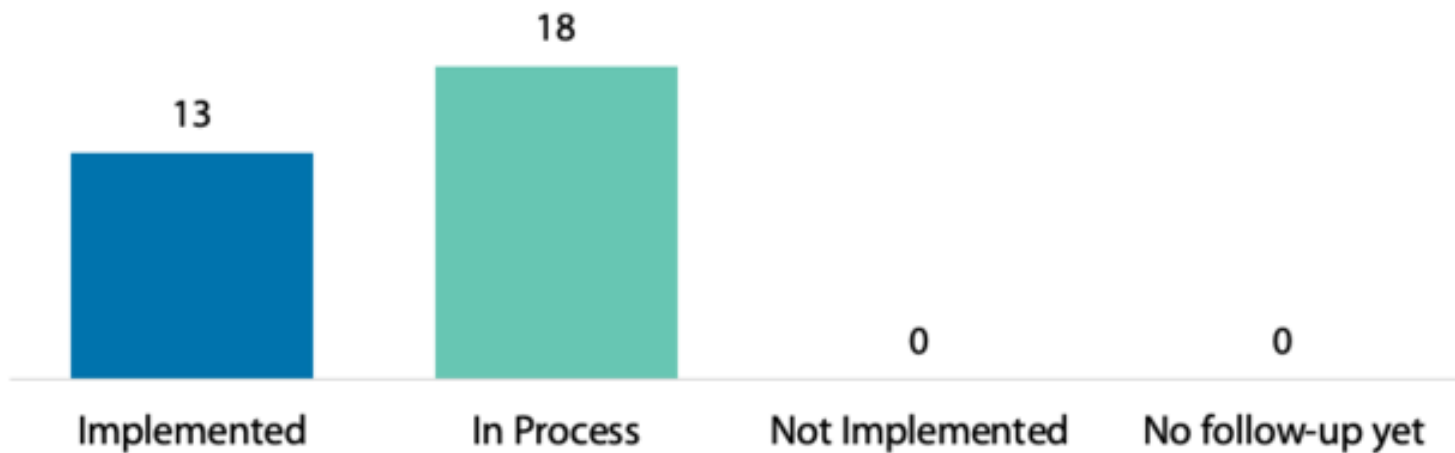
**Bureau or Office Director: Chief Chuck Lovell**

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## 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 13 recommendations and 18 are in process.



### Highlight from Last Year

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.

### To Do

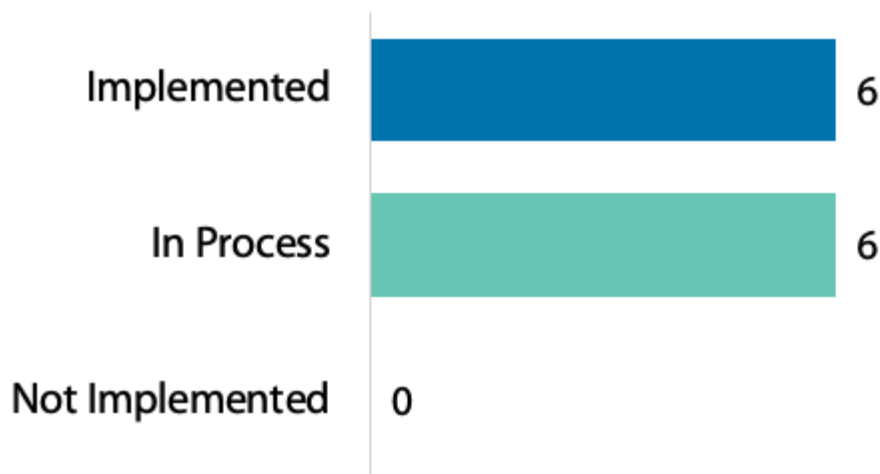
We recommended ensuring that policies related to collecting information about people's gang relationships included certain information. The October 2018 draft directive included a requirement for reasonable suspicion, safeguards for completeness and accuracy, access and security safeguards, records retention, and regular review, as we recommended. The draft did not include a statement of purpose or a description of the type of information to be gathered. Three years after circulating the draft directive, the Bureau it has yet to adopt it.

## 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, and to improve weapons check-out procedures. The Bureau is still working to implement some recommendations, including to provide more roleplaying scenarios as part of training, to not use profanity or demeaning language, 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 six recommendations implemented and six in process.

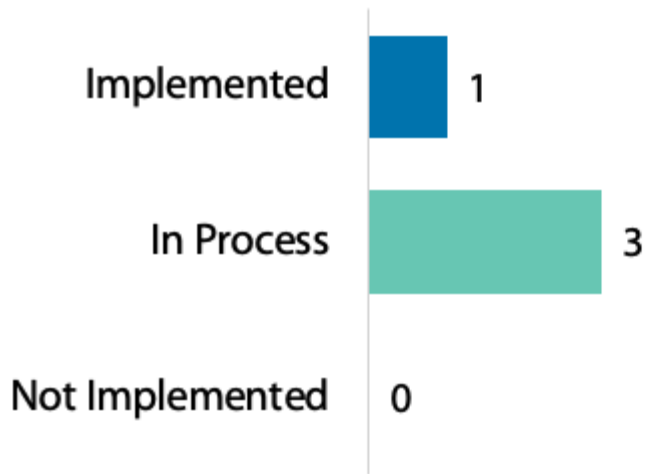


## Gang Crime Investigations: Lack of accountability and transparency reduced the community's trust in police

[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.

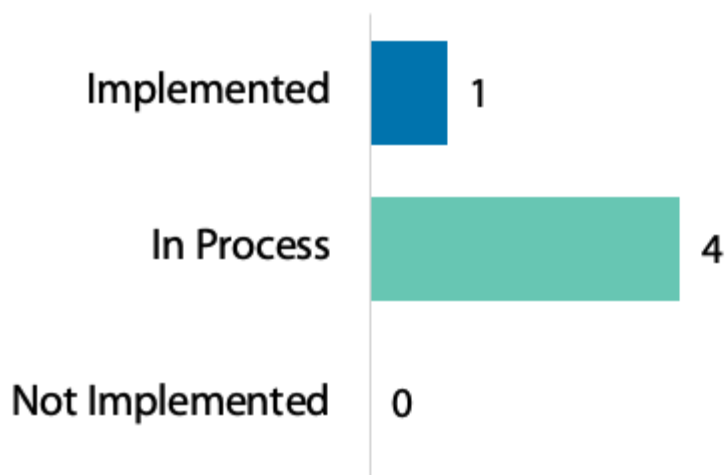


## Gang Enforcement Patrol: The Police Bureau must show that traffic stops are effective

[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.



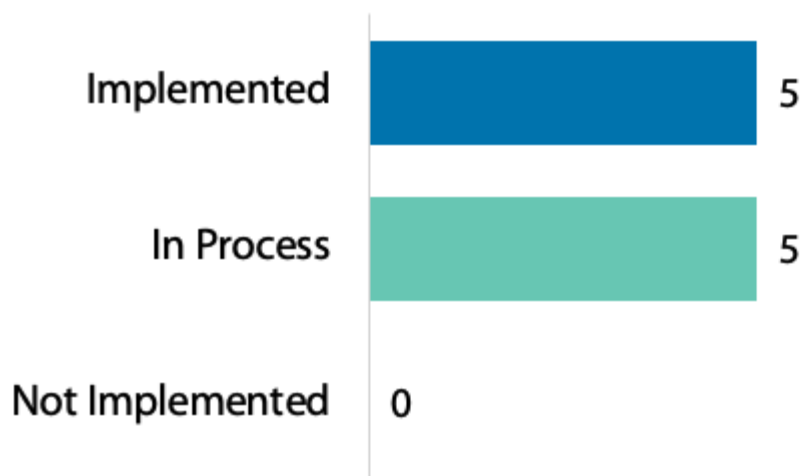


## Police Overtime: Management is lax despite high overtime use

[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 and 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 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.



### In Process Recommendation Details

**We recommended upgrading query capabilities in the training database.** The Bureau had a new database, but there were still some kinks to be worked out. It was only minimally customizable, so there were some work-arounds anticipated, and it was unclear

whether all types of training would be reflected there. (Police Training Division: Progress made, but



evaluating impacts on officer performance must be improved)

**We recommended improving the formatting of semiannual training reports.** The Bureau published their first formal Needs Assessment in 2015. The substance and timing of reports to the Chief were not well documented and needed improvement. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

**We recommended that the Bureau be mindful of the need to consistently provide role-playing scenarios for training.** Scenario-based training was limited for some of the time period since the audit. No specific training on disengagement, although the topic was covered elsewhere to some degree. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

**We recommended providing training on not using profane language, demeaning labels and making inappropriate comments.** We could not find evidence that this topic was addressed other than indirectly, especially profanity. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

**We recommended providing 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 said they would like to do more of this but there was so much required material to cover that it was difficult. (Police Training Division: Progress made, but evaluating impacts on officer performance must be improved)

**We recommended expanding efforts at training program evaluation to all important policy changes and Bureau initiatives that become part of training division responsibilities.** Training Division said they did not have the staff to do more evaluations, but wanted to do more. The Chief wanted them to do more. (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 of them. 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 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 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 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)

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## 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**
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- **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>
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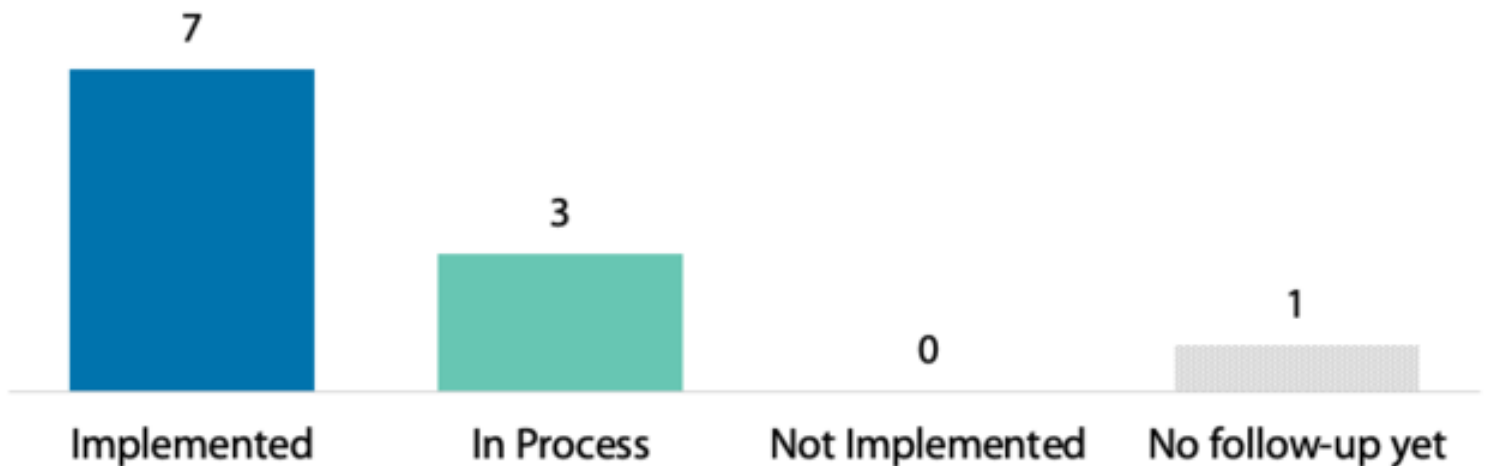
We are tracking three audit reports and 11 recommendations within Prosper Portland.

**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.



## Highlight from Last Year

We recommended Prosper Portland improve how it measures and reports progress on urban renewal activities in the Lents neighborhood. The agency took some steps to improve reporting and is in the process of hiring a contractor to provide updates on economic indicators at the city and neighborhood level. However, the agency said it does not expect its work to affect economic outcomes and delayed some work due to the pandemic.

## To Do

Two recommendations remain open from our audit of property management practices. Prosper Portland has not yet finished renegotiating the operating agreement for Union Station to include reporting requirements and a compensation structure. It also has not yet upgraded its parking control system at Station Place Garage.

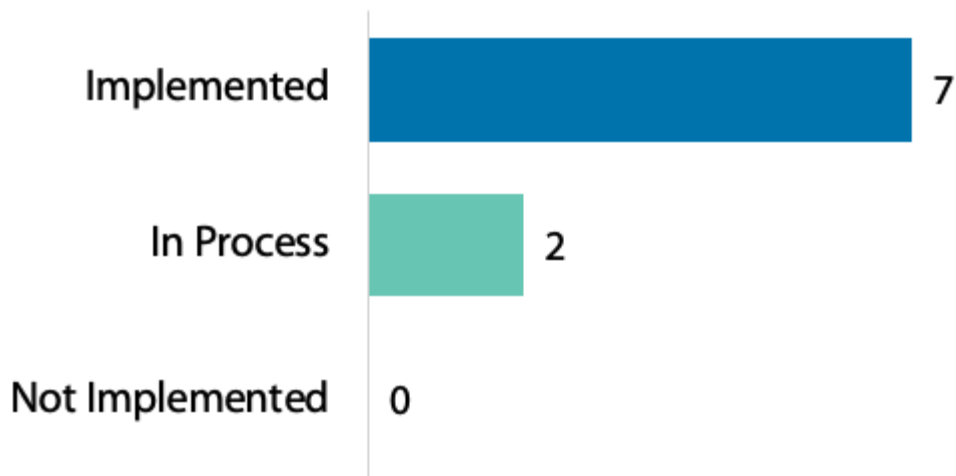
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# Prosper Portland: Disciplined property management needed to achieve future revenue goals, equitable outcomes

[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 | 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 make recommendations for building a stronger program the next time disaster strikes.

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

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## 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 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 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)

## Pending Recommendation Details

**We recommend that Prosper Portland create procedures for future Prosper grant programs that will ensure that staff implement adopted program standards or officially change them prior to implementation.** (Prosper Portland Emergency Grants: Standards needed to ensure program integrity)



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## 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, 2021.

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### Translated reports

Reports from this year and most of 2021 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 [Leslie Chaires](#).

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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/year1Lents>
- **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 2021 Audit Status Report

Information

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

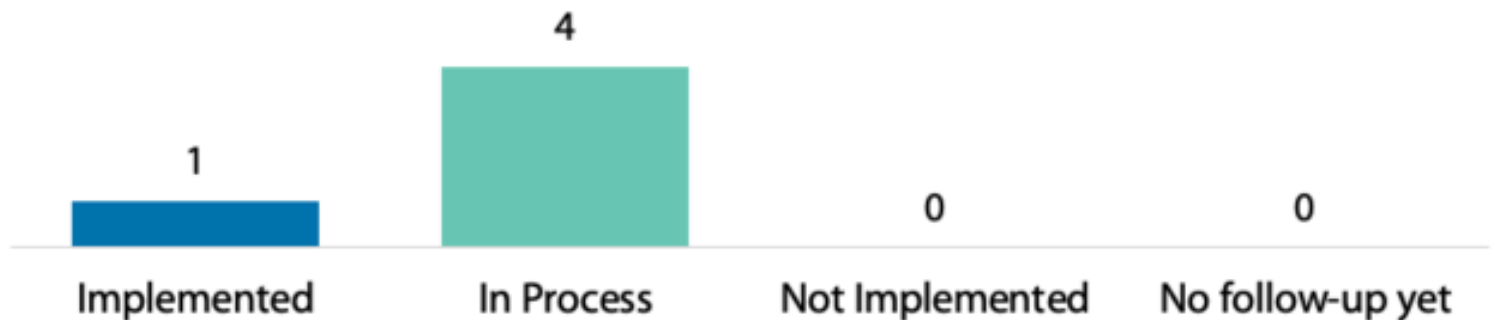
**Elected-in-charge: Carmen Rubio**

**Bureau or Office Director: Madison Cairo**

We are tracking one report and five recommendations

### Recommendations

The Chief Administrative Office had one implemented recommendation and four in process recommendations.



## Highlight from Last Year

No activity in 2021.

## To Do

Our audit recommended the Regional Arts and Culture Council set clear goals for arts and culture, meet contract obligations, and have effective oversight. The agency has made modest progress but the pandemic has delayed its work. It has work left to do to assess the state of arts and culture, identify needs, develop clear goals, conduct a strategic planning process, and revise an intergovernmental agreement and contract.

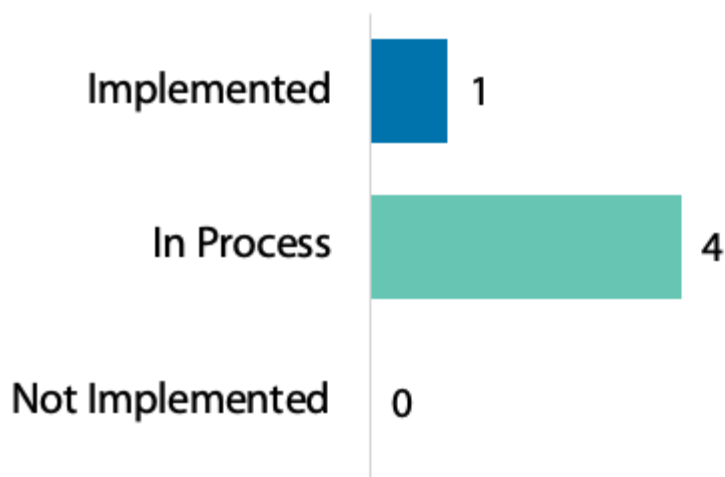
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## Regional Arts and Culture Council: Clear city goals aligned with strong Arts Council strategy will improve arts and culture services

[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

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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 2021 Audit Status Report

Information

We are tracking five audit reports and 30 recommendations at the Bureau of Revenue and Financial Services.

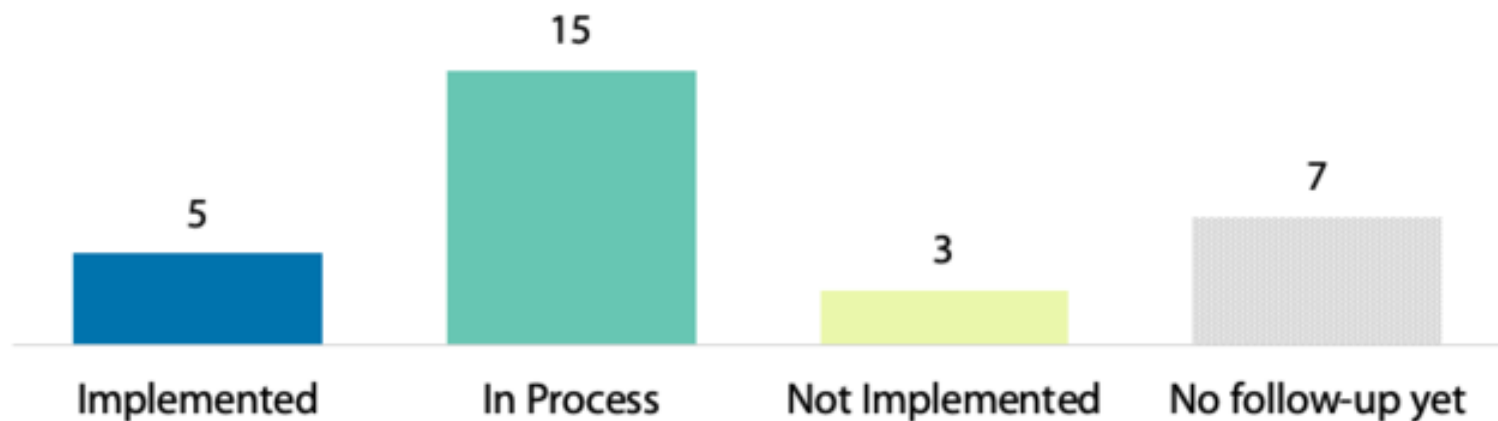
**Elected-in-charge: Mayor Ted Wheeler**

**Bureau or Office Director: Michelle Kirby**

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## We are tracking five reports and 30 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 five implemented recommendations, 15 in process recommendations, three not implemented recommendation, and seven pending recommendations that we have not yet followed-up on because they were less than a year old.



### Highlight from Last Year

The Bureau began enforcing short-term rental regulations. It now uses data from Airbnb, the Short-Term Rental Registry, and other sources to assess compliance with City Code. If listings appear out of compliance, the Bureau advises agents to remove the listing and can impose penalties.

### To Do

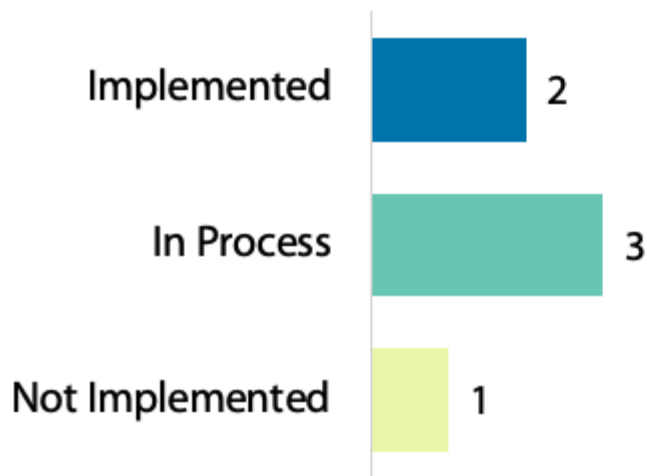
We recommended that Procurement Services take steps to improve its contracting equity programs, but progress was slow. An equity grants program still had not confirmed its funding sources or reported on the program's effects. Another program still did not follow City rules and had not worked to eliminate barriers to working with diverse contractors.

## 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. At year one all action on recommendations was stalled and the Risk Manager had retired. Under a new Risk Manager, the Division implemented a key data-sharing recommendation and updated the Loss Prevention Code, but significant work remains.

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

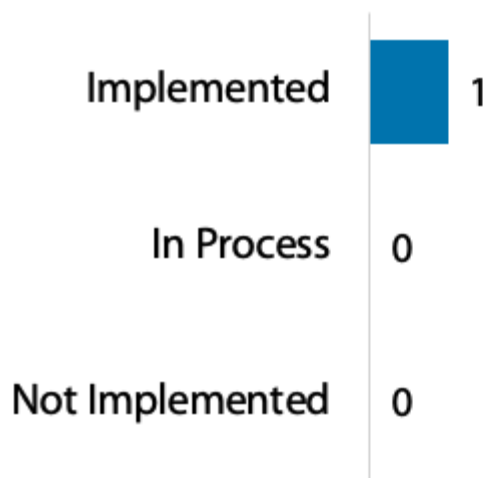


## Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown

[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 | Contact: [Bob MacKay](#)

The City of Portland's hands-off approach to overseeing enhanced services districts prioritizes the interests of some over the costs to others. Portland has three Enhanced Services Districts, which are privately funded zones authorized by the City to pay for services that supplement those already provided by the City. Once authorized, the City provides little oversight of the services delivered or how they may affect people. We recommend the City review the districts' purpose and the City's responsibility for them and revisit the district agreements. If the districts continue to provide services in public spaces, the City should develop guidelines for district formation, governance, and management that ensures public input, transparency and accountability by the districts and their service providers.

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

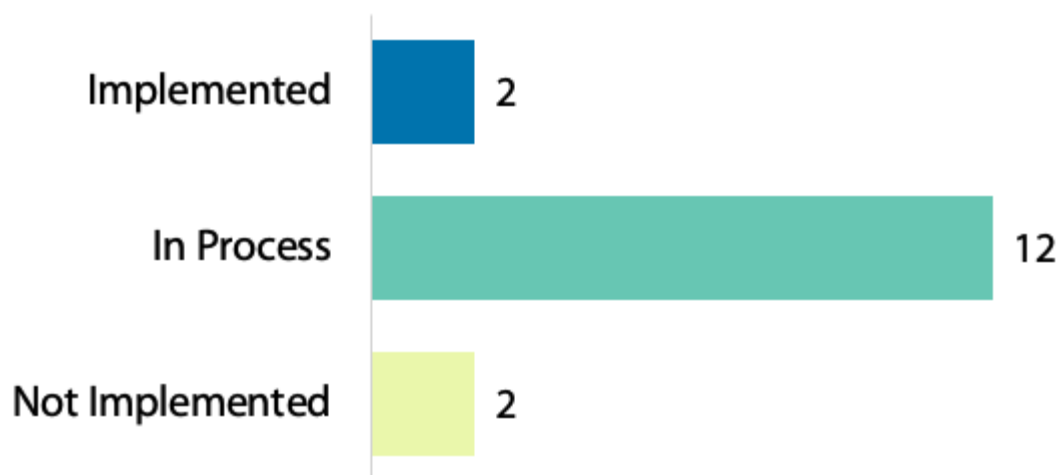
## Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship

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

The Procurement Division of the Bureau of Revenue and Financial Services made little progress toward implementing the audit's recommendations. Management said its progress was slowed while a new Chief Procurement Officer was hired and its intention to solicit community input on how to implement the audit recommendations. The issues identified in the audit are long standing and have persisted for years through numerous Bureau and Procurement leadership changes. Most recommendations were in progress but Procurement decided not to pursue two that were intended to

shore up the integrity of the programs. Two recommendations have been implemented: one related to advertising upcoming projects and one to report progress toward equity goals.

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



## City credit card use slowed during pandemic but exposed underlying risks

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

New risks for City-issued credit card misuse emerged when employees began working from home due to COVID-19. We asked: How did compliance with rules, management, and card spending change? We found some issues the City should shore up to prevent misuse.

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

### Not Implemented Recommendation Details

**We recommended providing bureau access and training for the Risk Management Information System.**

Risk Management does not intend to provide access to bureaus. Instead it reports claims information monthly in the liability claims dashboard and provides special reports to bureaus on request. System access was a priority for bureau safety managers we interviewed in 2017; we encourage Risk Management to confirm with bureaus that this access is no longer needed before we close this recommendation. (Risk Management: City loss prevention needs a





proactive approach)

**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 on prices, the Chief Procurement Officer said he will develop an accountability system and report issues to the Chief Financial Officer. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

**We recommended that Procurement appoint a procurement inspector to monitor, investigate, report on, and make recommendations to the authorities about (a) the sufficiency of procurement regulations, (b) project-specific or citywide compliance with procurement regulations, (c) bid collusion, (d) questionable certifications, or (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 staff said they could not investigate. Instead of dedicating staff to monitor the integrity of equity programs, the Chief Procurement Officer said he will develop an accountability system and report issues to the Chief Financial Officer. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

## In Process Recommendation Details

**We recommended either re-introducing biennial service agreements with the eight bureaus with the most claims or more clearly defining the services Risk Management will provide and how they will be provided.** The

Risk Manager said they do not plan to

reintroduce service agreements, but that the City Code and policy revisions they are currently developing should help better define and communicate Risk's role. (Risk Management: City loss prevention needs a proactive approach)



**We recommended updating the general and fleet liability claims policies and procedures manual.** Risk Management made minimal progress improving and documenting the claims management process. Staff is still in the process of drafting a proposal. (Risk Management: City loss prevention needs a proactive approach)

**We recommended requesting the next City Charter Review Commission consider raising the dollar limit for Council approval of claims.** In the meantime, document and get Council approval for the current split-payment approach. The Risk Manager said they are committed to developing proposed limits for the next Commission review in 2021. (Risk Management: City loss prevention needs a proactive approach)

**We recommended that Procurement evaluate the results of grants associated with construction on growth in the construction market.** The office said that because the program has only been in place for one year, not enough time has passed to evaluate its effect on the construction market. It said that it will be assessing the grant program but did not provide an evaluation plan. Instead, it provided documentation that it required grantees to develop performance criteria for individual grants. Evaluation of individual grant performance does not replace management's responsibility for overall program evaluation. (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 added this to a list of program changes to consider but is behind schedule in prioritizing options and making recommendations to Council. (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.** Procurement added this to a list of program changes to consider but is behind schedule in prioritizing options and making recommendations to Council. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

**We recommended that Procurement eliminate technical assistance offerings, which we found to be disorganized, wasteful, and in conflict with Procurement's role.** Procurement said it was working with stakeholders and the Fair Contracting Forum to develop a strategy to respond to this recommendation and address it in a future workplan. (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.** Procurement added this to a list of program changes to consider but is behind schedule in prioritizing options and making recommendations to Council. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

**We recommended that Procurement implement the oversight processes outlined in the agreement with Prosper Portland to administer the Community Opportunities and Enhancement Program.** Procurement said Prosper Portland is completing its assessment of data collected as a part of the oversight process. Prosper's initial reports describe the businesses and workers that received technical assistance. The reports include details such as participant demographics, success stories, and challenges. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

**We recommended that Procurement confirm funding sources for the Community Opportunities**

**and Enhancement Program.** The City has asked the Multnomah County Circuit Court to confirm it can use ratepayer funds for this program and expects a decision from the court before the end of 2021 that will inform the Fiscal Year 2022-23 budget. In the meantime, Procurement said it will not spend ratepayer funds. (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 tracking exemptions and said it is following applicable rules. It did not follow the rule, however, that exemptions be requested by bureaus – not Procurement – and be signed by the director of the requesting bureau. Procurement said that it would revise its procedures to comply with the rule. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

**We recommended that Procurement centralize and formalize outreach to ensure fairness.** The Bureau moved the role of the Supplier Diversity Officer back to Procurement from the Grants Office. It also created a new Inclusive Contracting Manager position that will be responsible for ensuring supplier diversity and inclusion. Procurement said that it would develop additional strategies to implement the recommendation. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

**We recommended that Procurement formalize tracking of communications between staff and vendors.** Procurement said that the new Inclusive Contracting Manager would develop an outreach strategy to ensure fairness, increase 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 continued to conduct post-project assessments as part of the contract close-out process. Staff considered the evaluation information during the subsequent contractor pre-qualification process. Procurement said that it would develop a workplan to examine the need for a new policy to use the information to identify overall trends and lessons learned. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

## Implemented Recommendation Details

**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 either following the City Code and Loss Prevention Policy or developing and follow 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 that the Revenue Division use short-term rental 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 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 produce reports on the City's progress toward contracting equity goals.** Procurement's Fiscal Year 2019-2020 annual report and contracting data dashboards fulfilled this recommendation. The annual report includes narratives and data that explain outcomes on equity goals. The dashboards allow users to explore disaggregated contracting equity data. (Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship)

## Pending Recommendation Details

**We recommended that Revenue review the status of districts, their purposes, and City's responsibility for them.** If the review determines that districts continue to provide services in public spaces, propose City Code for Council approval governing: a. District formation; b. Scope of allowed services in public spaces; c. Inclusive district governance; d. Accountable and transparent reporting. (Enhanced Service Districts: City provides little oversight of privately funded public services)



**We recommended that Revenue revise agreements between the City and each district to align them with the City Code related to enhanced service districts.** (Enhanced Service Districts: City provides little oversight of privately funded public services)

**We recommended that Revenue 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. (Enhanced Service Districts: City provides little oversight of privately funded public services)

**We recommended that Procurement Services update the manual to ensure that the rules about payment cards are accurate and enforceable.** (City credit card use slowed during pandemic but exposed underlying risks)

**We recommended that Procurement Services implement certification and recertification testing to ensure cardholders can demonstrate knowledge of rules.** (City credit card use slowed during pandemic but exposed underlying risks)

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

**We recommended that Procurement Services update its manuals to incorporate the responsible parties.** (City credit card use slowed during pandemic but exposed underlying risks)

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## 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>
  - Follow-up Link <https://www.portlandoregon.gov/auditservices/article/736656>
- **Short-Term Rental Regulation: Enforcement is lax and effect on housing is unknown**
  - Report Link <https://www.portlandoregon.gov/auditservices/article/693466>
  - Follow-up Link <https://www.portland.gov/year2shorttermrentals>
- **Enhanced Service Districts: City provides little oversight of privately funded public services**
  - Report Link <https://www.portlandoregon.gov/auditservices/article/764910>
- **Equity In Construction Contracting: Some goals achieved despite mismanagement, waste, and gamesmanship**
  - Report Link <https://www.portlandoregon.gov/auditservices/EquityContracting>
  - Follow-up Link <http://www.portland.gov/year1-construction-contracting>
- **City credit card use slowed during pandemic but exposed underlying risks:**
  - Report Link <https://www.portland.gov/pcard-audit>

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# Technology Services 2021 Audit Status Report

Information

We are tracking one Technology Services audit with 18 recommendations.

**Elected-in-charge: Mayor Ted Wheeler**

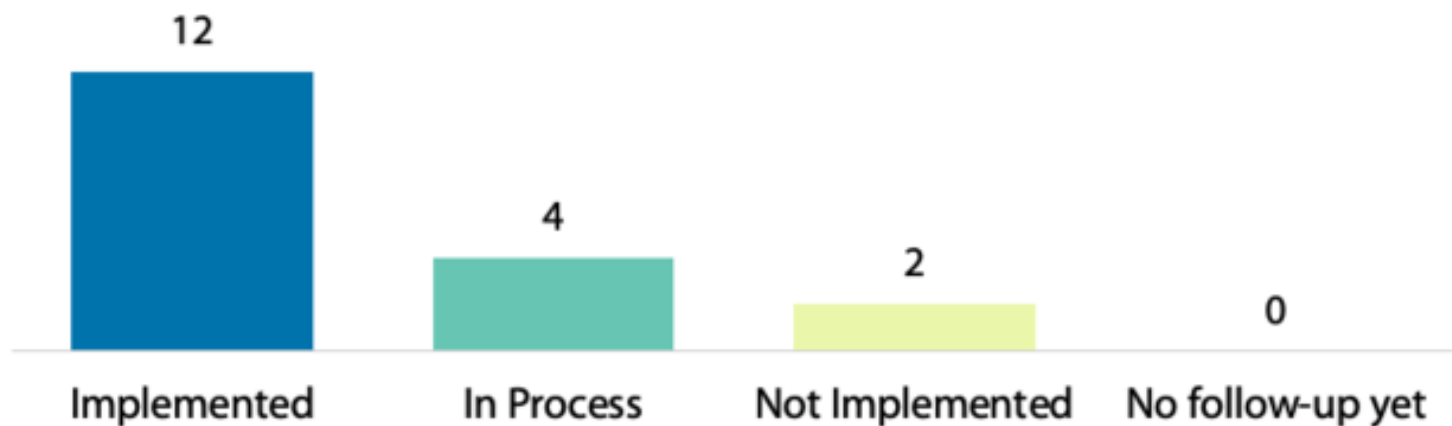
**Bureau or Office Director: Jeff Baer**

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## 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

We recommended the Bureau develop a policy for removable media. The Bureau reported it developed a new policy which it anticipated posting to the City's website in 2021.

### To Do

Recommendations "in Process" are confidential.

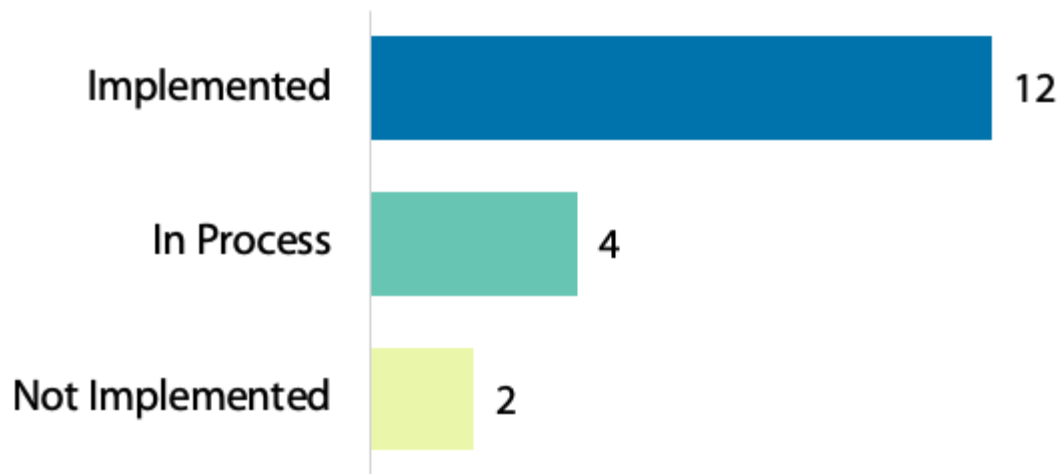
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## Data Loss Prevention Technology Services

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

In 2018, we reported that the City's steps to prevent data loss 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 it creates and uses 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 12 recommendations implemented, four in process, 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 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)

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## Data Notes

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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 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 2021 Audit Status Report

Information

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

**Elected-in-charge: Jo Ann Hardesty**

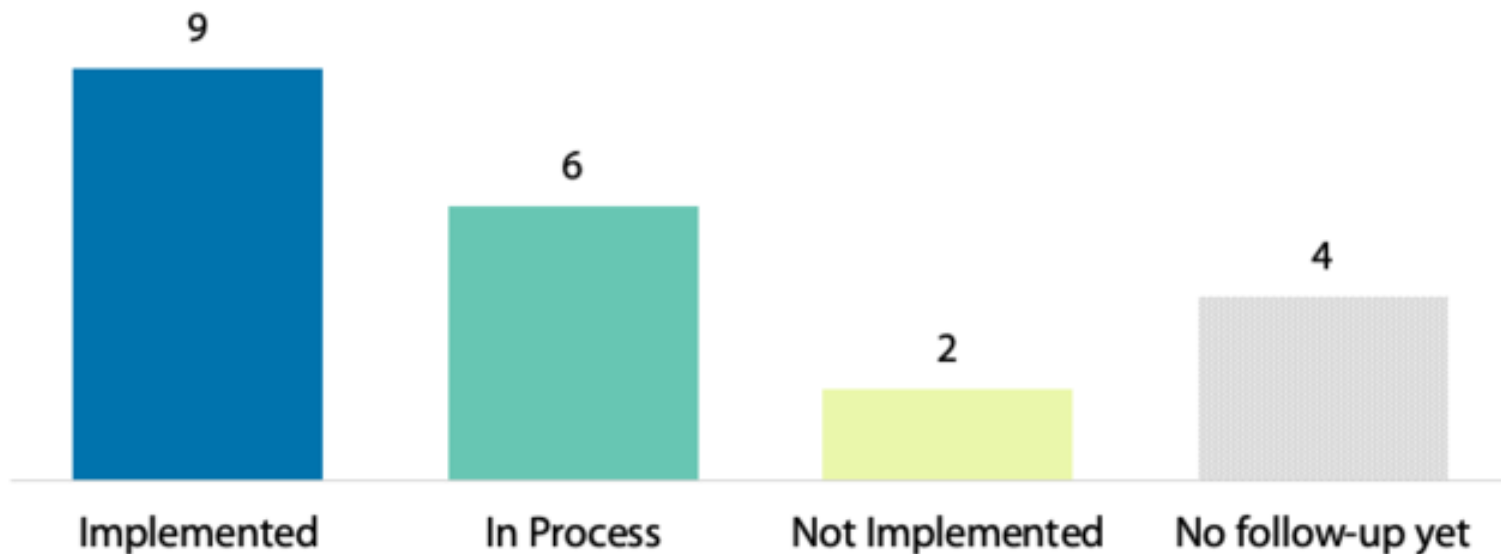
**Bureau or Office Director: Chris Warner**

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## 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 nine recommendations implemented, six in process, two not implemented, and four which were pending because it is too early for follow-up.



### Highlight from Last Year

No activity in 2021.

### To Do

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 plans to update the scoring methodology in the next Transportation System Plan to include the measures and findings resulting from the project evaluation and community stabilization work described above.

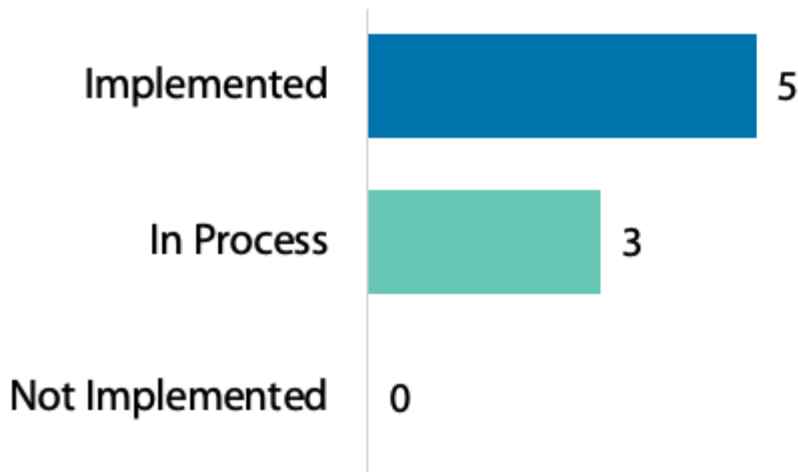
## Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety

[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. In the two years since our audit, the Transportation Bureau has made some progress in implementing our eight audit recommendations. The auditor's office considers three to be resolved, as of February 2019. Substantial work remains in analyzing data for long wait times or disparities in wheelchair accessible service. We will follow up

again in one year to check if the remaining recommendations are implemented.

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

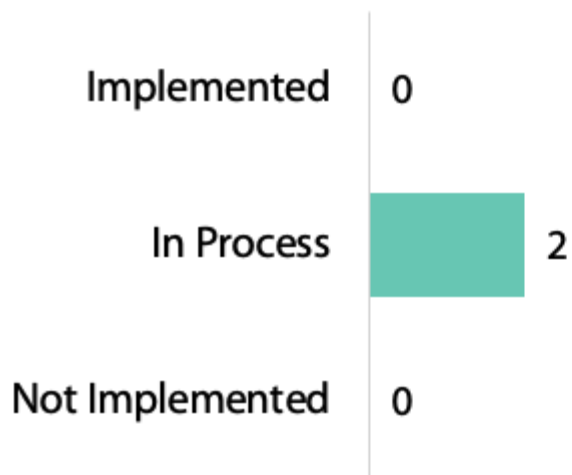


## Street Improvement Projects: Bureau of Transportation has an inclusive planning process, but should improve assessment of neighborhood impact

[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 development of a performance management framework, but work is ongoing.

On this audit there were no recommendations implemented and two in process.

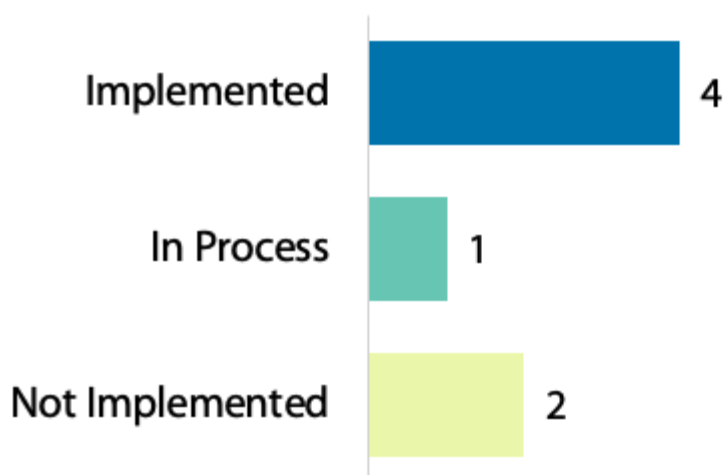


## Fixing Our Streets: Some accountability commitments not fulfilled

[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, one in process, and two 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.

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### Not Implemented Recommendation Details

**We recommended that the Bureau clarify how it would account for street repair and safety elements in Fixing Our Streets projects so the oversight committee could help ensure the promised spending split was maintained.**

Bureau managers said they told the oversight committee that the commitment to split revenue between street repair and safety projects was not realistic. (Fixing Our Streets: Some accountability commitments not fulfilled)



**We recommended that the Bureau track and account for Fixing Our Streets spending to ensure that the funding split was maintained.** Many projects included both street repair and safety elements. Managers said it was difficult to track the split because project funding may come from various sources. The Bureau's approach has not changed since our original audit. Voters approved a second iteration of Fixing Our Streets in 2020. In that measure, the City committed to spending set dollar amounts on different categories of projects, including, paving; potholes, gravel streets, and base repair; sidewalks; and basic safety improvements. The draft dashboard the Bureau prepared to track project spending does not break out paving and safety elements included in individual projects. As a result, the Bureau will likely encounter the same problems it had validating the commitment to voters from the first iteration of Fixing Our Streets. (Fixing Our Streets: Some accountability commitments not fulfilled)

### In Process Recommendation Details

**We recommended educating transportation network and taxicabs companies about the data required and taking enforcement action against companies that continue to fail to**



**provide it.** Uber and Lyft have not reported all data to the City as required by City Code since 2017; companies were not breaking out rides canceled by the company or driver versus canceled by the customer. When companies or drivers cancel rides in a pattern, this could lead to disparate service. The Bureau reached out to Uber and Lyft in February 2020 to get all required data. Smaller taxicab companies still did not have the systems to report on unfulfilled rides and wait times. The Bureau contracted to provide small business development services for these companies. The Bureau has opted not to pursue enforcement against small companies. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)

**We recommended analyzing ride share and taxicab data regularly for service levels and disparities.** The Bureau is using a new database to collect ride data and says its data analysis shows that all areas of the city are served and wait time averages are low. The Bureau continues to review data for wheelchair-accessible rides internally. No in-depth analysis of service disparities has been done since 2015 and concerns about long wait times for wheelchair accessible service persist. (Transportation Network Companies and Taxicabs: Transportation Bureau needs to monitor service, not just safety)

**We recommended ensuring that rideshare and taxicab companies' self-reported data is accurate and complete.** Some taxicab companies still reported incomplete data to the City. The Bureau is providing technical assistance to improve data collection and said smaller companies are making progress. (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 is also developing a Performance Management Framework to guide new measure development and provide a consistent approach to annual project evaluation, performance data gathering, and data analysis. The framework outlines a number of areas to measure, including economic and livability indicators. When this framework is finalized and applied, we will consider this recommendation implemented. Transportation's plan to develop a methodology for anticipating and evaluating racial equity and displacement impacts of transportation projects stalled because of COVID-19 restrictions on hiring. Staff continue to work on defining thresholds for when the City should include community stabilization and anti-displacement strategies in transportation project delivery. (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 plans to update the scoring methodology in the next Transportation System Plan to include the measures and findings resulting from the project evaluation and community stabilization work described above. Work on that plan is scheduled for Fiscal Year 2021-22. In the interim, Transportation continues to work on project scoring methodologies and incorporate them into ongoing funding decisions, including the allocation of Transportation System Development Charge funds, the application of regional infrastructure grants, and the development of the second Fixing Our Streets project list. (Street Improvement Projects: Bureau of Transportation has an inclusive planning process, but should improve assessment of neighborhood impact)

**We recommended the Bureau track and publicly report on Fixing Our Streets projects as they related to commitments made to the public.** The Bureau has yet to share information in annual reports or on its website about how project spending compares to its commitment to spend 56 percent on street repair and 44 percent on safety projects. Bureau managers said they plan to report on spending and explain why maintaining the split was difficult in an addendum to the 2021 Annual Report, which they anticipate releasing in early 2022. (Fixing Our Streets: Some accountability commitments not fulfilled)

## Implemented Recommendation Details

**We recommended making Fixing Our Streets 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)

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be available in a language other than English. If you would like to request a translated version of a report, please contact [Leslie Chaires](#).

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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 2021 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. Water is in the process of implementing both recommendations.



### Highlight from Last Year

We recommended that Water clarify and document the decision-making roles and organizational

structure of the groundwater program to help ensure that issues are addressed in a timely and complete manner. The Bureau has worked to develop a charter for its Groundwater Steering Committee and is also reviewing groundwater staffing levels.

## To Do

We recommended that the Bureau document all identified needs for groundwater system improvement and develop a consolidated, long-term work plan to prioritize actions within limited resources. Water said it is working on an assessment of five-year and long-term budgetary requirements for the groundwater system and will improve communication about groundwater projects across the Bureau. The Bureau also said it is nearing completion of an analysis of groundwater supply needs that will drive decision-making for investments in the system.

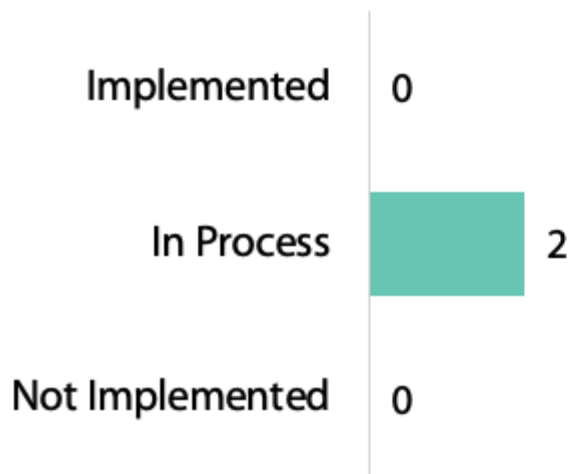
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## Groundwater: City identified risks, must develop a long-term plan to address them

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

Our 2020 audit of management of the City's groundwater found the Portland Water Bureau had work underway to meet the challenges of seismic and emergency preparedness, water quality and capacity planning, and asset management. We made recommendations to formalize decision-making roles and organizational structure for groundwater management and develop a long-term plan to prioritize groundwater system needs. One year later, the Bureau has made some progress toward implementing our recommendations. The Bureau uses a steering committee to help guide groundwater decisions and has worked to clarify roles for the members of the group. The Bureau has made slower progress toward developing a consolidated long-term work plan. The Bureau said both the COVID-19 pandemic and its focus on implementing a 2019 Strategic Plan have slowed its progress.

On this audit there were two recommendations in process.



## In Process 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 are addressed in a timely and complete manner.**

The audit found that the collaborative management structure needed to be defined and documented. Staff and managers from three divisions – Engineering, Operations, and Resource Protection – met regularly as the Groundwater Steering Committee, but it wasn't clear how decisions were made once issues had been presented to the Committee, and no one person or group had ownership of groundwater. The Bureau is developing a charter for the Groundwater Steering Committee and also reviewing groundwater staffing levels. The Bureau said the charter will be similar to charters in place for other multidisciplinary work groups at the Bureau and will spell out the members of the Groundwater Steering Committee and the roles and responsibilities for those members. The Bureau said it plans to have the Groundwater Steering Committee determine the decision-making authority for the groundwater system and assign a point person to the Committee. (Groundwater: City identified risks, must develop a long-term plan to address them)



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

The audit found the Bureau had identified risks to groundwater in the areas of seismic preparedness, emergency management, water quality and capacity, and aging infrastructure and had projects underway in each area, but did not have a comprehensive work plan that laid out a long-term approach to prioritize competing needs. The context for this recommendation was the history of groundwater as a lower priority than the higher-profile Bull Run watershed. The Bureau said it is



working on an assessment of five-year and long-term budgetary requirements for the groundwater system and will improve communication about groundwater projects across the Bureau. The Bureau also said it is nearing completion of an analysis of groundwater supply needs that will drive decision-making for investments in the groundwater system. (Groundwater: City identified risks, must develop a long-term plan to address them)

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## 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, 2021.

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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: <http://www.portland.gov/year1groundwater>

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## City Administration

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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.



## Community Development

### Community Development

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.



## Finances

### Finances

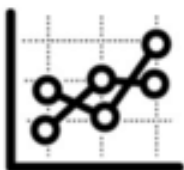
Browse our audit reports about finance topics. This includes audits about the City's budget, taxes, fees, other revenues, the City Budget Office and the Bureau of Revenue and Financial Services.



## Parks, Recreation, and Culture

### Parks, Recreation, and Culture

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.



## Performance, Community Surveys

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Browse our audit reports about government performance and our community surveys.

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## Public Safety

### Public Safety

Browse our audit reports about public safety topics. This includes audits about police, fire and rescue, emergency communications (9-1-1), and emergency management.

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## Public Utilities

### Public Utilities

Browse our audit reports about public utilities. This includes environmental services, wastewater, sewer, water, and hydroelectric power.

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## Transportation

### Transportation

Browse our audit reports about transportation topics. This includes audits about streets, Portland Streetcar, and parking.

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## [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

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## [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



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[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



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[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



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[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



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[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



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## [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



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## [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



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## [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

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## [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

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## [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





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## [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



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## [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



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## [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



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## [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



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## [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



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## [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



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## [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



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## [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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