Office of Portland City Auditor

LaVonne Griffin-Valade

FY 2014-15 Requested Budget

OFFICE OF THE CITY AUDITOR
ENSURING OPEN AND ACCOUNTABLE GOVERNMENT

CITY OF PORTLAND, OREGON 1851

CITY OF PORTLAND

Office of City Auditor LaVonne Griffin-Valade

1221 SW 4th Avenue, Room 320
Portland, OR 97204
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web: www.portlandoregon.gov/auditor

Date: February 3, 2014

To: Mayor Charlie Hales
Commissioner Nick Fish
Commissioner Amanda Fritz
Commissioner Steve Novick
Commissioner Dan Saltzman
City Budget Office

From: LaVonne Griffin-Valade, City Auditor

Re: FY 2014-15 Requested Budget

2014 marks my final year as the City of Portland's Auditor. I have made it a priority to complete a number of significant projects that have been underway during my administration, and to address some of the ongoing needs of the City's accountability and transparency infrastructure. Some of these initiatives have required increased funding, as was the case when more investigators were added to the Independent Police Review division to comply with the Department of Justice agreement. Others, such as the expansion of TRIM Citywide, will require increased financial support going forward. Our approach is consistent with the mission and values of the Auditor's Office and is aligned with the recommendations made by our Budget Advisory Committee.

Summary of Requested Budget

My base requested budget does not anticipate any significant programmatic changes: the Auditor's Office is a bureau with a wide range of responsibilities and divisions, many of which are already minimally staffed, and does not have the flexibility to shift resources between programs. The stabilization budget allows us to generally retain our core services at current service levels. On the revenue side, we anticipate service fees in the Hearings Office to be lower than over the past few years, reflecting a decrease in Land Use hearings cases and TriMet exclusion hearings. The fluctuation in revenues that support the bare-minimum staffing levels continues to be an operational challenge.

Decision Packages

Improving Records Management and Expanding TRIM Citywide

In 2001, Council made a down payment towards making the City's most widely sought records available to the public electronically, ensuring that the electronic documents that comprise our City's history are preserved, and providing funding for software (TRIM) to manage electronic records. After 12 years of slowly trying to scale up implementation of TRIM and improve electronic recordkeeping practices across the City, my office is bringing forward a package to make TRIM available Citywide and to provide the training and implementation resources necessary to assist bureaus in the transition. This is a companion package to the proposal introduced by the City Attorney's Office that would make improvements to the City's responses to public records requests and litigation holds. Council has been

briefed on the work of the TRIM Steering Committee and the recommendations it made to improve compliance with public records laws and regulations; this package is our effort to put those recommendations into practice. The TRIM expansion project falls within the category of "Critical Need" add packages and would benefit all bureaus in the City with better compliance and efficiency. The package has an initial price tag of $1.14 million in the first year, with a five year projection of $4.24 million.

Request for Budget Note

I am formally requesting a budget note from the City Budget Office to be applied to the TRIM expansion proposal, should Council choose to fund it. This is a multi-year project with varying budget amounts in each of the five years, requiring an adjustment to the Auditor's Office CAL target in the out years. A spreadsheet including our estimates for project costs in the out years, along with other descriptive information, is included in the Supplemental Materials section of the Requested Budget. One time costs include expenditures on license purchases, storage and servers, training development, and limited term staffing to help with implementation in bureaus. It should be noted that we have included all license purchase costs as a one time request for FY 2014-15, but the vendor has given the City the option of spreading that cost out over three years. Council may opt to break up the license purchase cost of $512,400 into three installments of $170,800 each.

	TRIM Expansion/ Electronic Recordkeeping Improvements 5 Year Budget Estimates					
	Year 1 (FY14/15)	**Year 2 (FY15/16)**	**Year 3 (FY16/17)**	**Year 4 (17/18)**	**Year 5 (FY18/19)**	**TOTAL**
Ongoing 5 Year Costs	$453,898	$460,687	$467,680	$474,883	$482,302	$2,339,450
One Time 5 Year Costs	$690,473	$304,870	$351,104	$212,428	$341,303	$1,900,177
Total Project Costs	*$1,144,371*	*$765,557*	*$818,784*	*$687,311*	*$823,605*	*$4,239,627*

Assessments-Related Funds

As the managing agency, the Auditor's Office oversees the administrative, financial and operational functions for the Local Improvement District Fund, the Bancroft Bond Interest and Sinking Fund, and the Assessment Collection Fund. These funds provide long-term financing to property owners for infrastructure improvements, system development charges, property improvements, etc. They also pay for the processing, billing, and collection of liens as well as bond financing and the Foreclosure program. These funds are included in my overall budget, but do not represent operating costs of the bureau. The management of these funds is located in the Auditor's Office to ensure neutral, objective administration and provide a buffer between property owners and the bureaus that are charging them.

My office is currently soliciting bids to replace the Lien Accounting System (LAS). Because we do not yet have responses to the solicitation, we will bring the budget for the project to Council during the Fall BMP. The project will be funded by the LID Fund. It is of critical importance that this project move forward as quickly as possible to ensure a new system is in place when the City's mainframe is decommissioned next year. The Auditor's Office has been trying to address replacement of the LAS for many years, but OMF requested that we take additional time to consider an SAP option; there was a failed attempt at rewriting the existing system by BTS; and we hired a consultant to study replacement options on OMF's recommendation. These delays have added years to the project timeline and have put the Auditor's Office in a position of facing a 400% (from $19,000 to nearly $80,000) increase in charges for mainframe support in FY 2014-15, despite assurances that we would not be held liable for additional charges resulting from the delays. This increase in cost is unprecedented and takes a significant portion of the budget we have flagged for replacement of the system.

Auditor's Office
Budget Advisory Committee Report

OFFICE OF THE CITY AUDITOR
ENSURING OPEN AND ACCOUNTABLE GOVERNMENT

CITY OF PORTLAND

Office of City Auditor LaVonne Griffin-Valade

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Summary of FY 2014-15 Auditor's Office Budget Advisory Committee

BAC Community Members:
Alando Simpson, City of Roses Disposal & Recycling Inc.
Brian Evans, Metro Auditor's Office
Brian Wilson, Kalberer Co.

BAC Auditor's Office Members:
Drummond Kahn, Audit Services
Kelsey Lloyd, Independent Police Review

The Auditor's Office coordinated three Budget Advisory Committee (BAC) meetings from November 2013 to January 2014 to gather feedback on the Requested Budget submission. The BAC consisted of five members including three community members, one division director, and one program staff member.

At the introductory meeting, the BAC discussed the Auditor's Office functions and purpose and reviewed operational and budget changes over the past year. The committee heard about internal and external factors creating the status quo budget production, guidance on limited one-time resources, and directions for aligning add-packages to Council priorities. Specifically, the BAC discussed the increasing workload and demand in the Council Clerk/Contracts division and unpredictable revenue funding for the Hearings Office. As it is a prominent part of the Auditor's Requested Budget, the BAC also learned of efforts leading to a TRIM expansion decision package based on the TRIM Steering Committee report and recommendations and asked questions about the breakdown of the ongoing versus one time costs of the request.

During the second meeting the group had the opportunity to review the distributed CAL amounts and discussed priorities for the office amidst limited available funding. The TRIM expansion request was discussed at length in terms of the associated risk of the current limited implementation as well as the goal of achieving increased transparency, efficiency, compliance, and the value of electronic records retention. The group asked questions about these and other priorities, such as the lack of business operations manager in the bureau; the fluctuating Hearings Office caseloads and deeper funding structure issues; increasing the staffing of the Ombudsman's Office in light of the higher profile and breadth of cases, and system issues requiring considerable legal research; and an additional archivist to assist with the back-log of records, among others. With regard to questions about how we considered equity in building our budget, it was noted that the Independent Police Review program

budget, staff and diversity have been increased to better represent and respond to complaints and historically marginalized communities within Portland. There was also brief discussion about how issues related to systemic poverty affect the work of IPR in terms of cases it sees, outreach efforts, strengthened oversight, and long- term work to increase public trust and accountability.

The committee was also tasked with completion of the program ranking exercise. At the last meeting, the BAC discussed the results of the ranking (results listed at the end of this report), followed by general budget discussion.

Regarding the ranking of divisions and services within the Auditor's Office, members of the committee had the following comments:

- One member noted that it was a challenge linking services to divisions given that some are not as clear to the public as others; one result of this is that the most visible and newsworthy divisions continually rise to the top of the ranking.

- The BAC noted that internal service divisions ranking in the middle and lowest positions create a foundation to make the more public facing programs possible.

During the course of the meetings, the Auditor's priorities narrowed to the TRIM expansion and Council Clerk staffing requests for add packages in the FY 2014-15 Requested Budget. The BAC was given this scenario for add packages and opportunity for feedback on potential impacts. The budget scenario included the following:

- A status quo budget maintaining core programs and services at FY 2013-14 levels across all divisions
- TRIM expansion request totaling $4.2 million over 5 years, with $1.1 million requested the first year
- A realignment of external materials and services resources, including funds for professional services, operating supplies, and staff training to assist with increasing a .5 Office Support Specialist II to in the Council Clerk/Contracts division to 1.0 FTE ($13,548). The other portion of this request will be for new funding for this position ($13,548).

During the final meeting, the BAC discussed Council's established priorities, the Mayor's priorities, and alignment with Auditor's Office divisions and goals. BAC members agreed the above scenario was reasonable and in line with appropriate priorities and current funding levels of the office.

Additionally, in a discussion about the five year financial plan and equity within the budget, there was consensus among BAC members that is should be a high priority to create a funding structure in the Hearings Office that allows members of the public consistent and affordable access to the appeals process.

As each member on the committee agreed with the Auditor's general direction for the FY 2014-15 budget, there were no minority report submissions.

Prepared by Deborah Scroggin, Management Analyst

BAC Results from Program Ranking Exercise

PART I: Core Program

	Total	Rank
Audit Services	50	**1**
Independent Police Review	47*	**2**
Ombudsman	47*	**3**
Council Clerk/Contracts	44	**4**
Archives & Records	42	**5**
Hearings Office	41	**6**
Assessments, Finance & Foreclosure	38	**7**
Management Services	37	**8**

PART II: Value to the Community

	Total	Rank
Audit Services	50	**1**
Independent Police Review	49	**2**
Ombudsman	47	**3**
Hearings Office	44	**4**
Council Clerk/Contracts	42	**5**
Archives & Records	41	**6**
Assessments, Finance & Foreclosure	36	**7**
Management Services	31	**8**

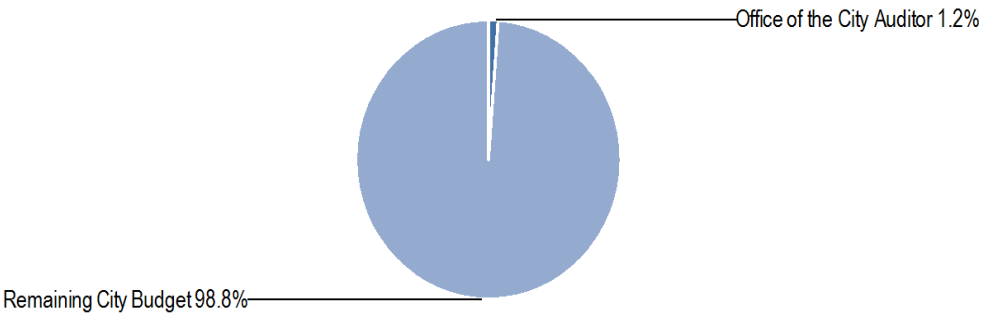
*Rank order for those programs tied for second under “Core Program” was determined by the order of scoring in the “Value to the Community” exercise.

Auditor's Office
FY 2014-15 Requested Budget

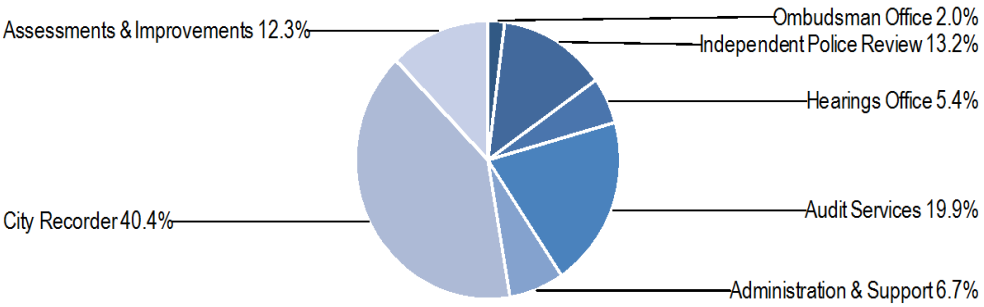
Office of the City Auditor

Elected Officials Service Area
LaVonne Griffin-Valade, City Auditor

Percent of City Budget

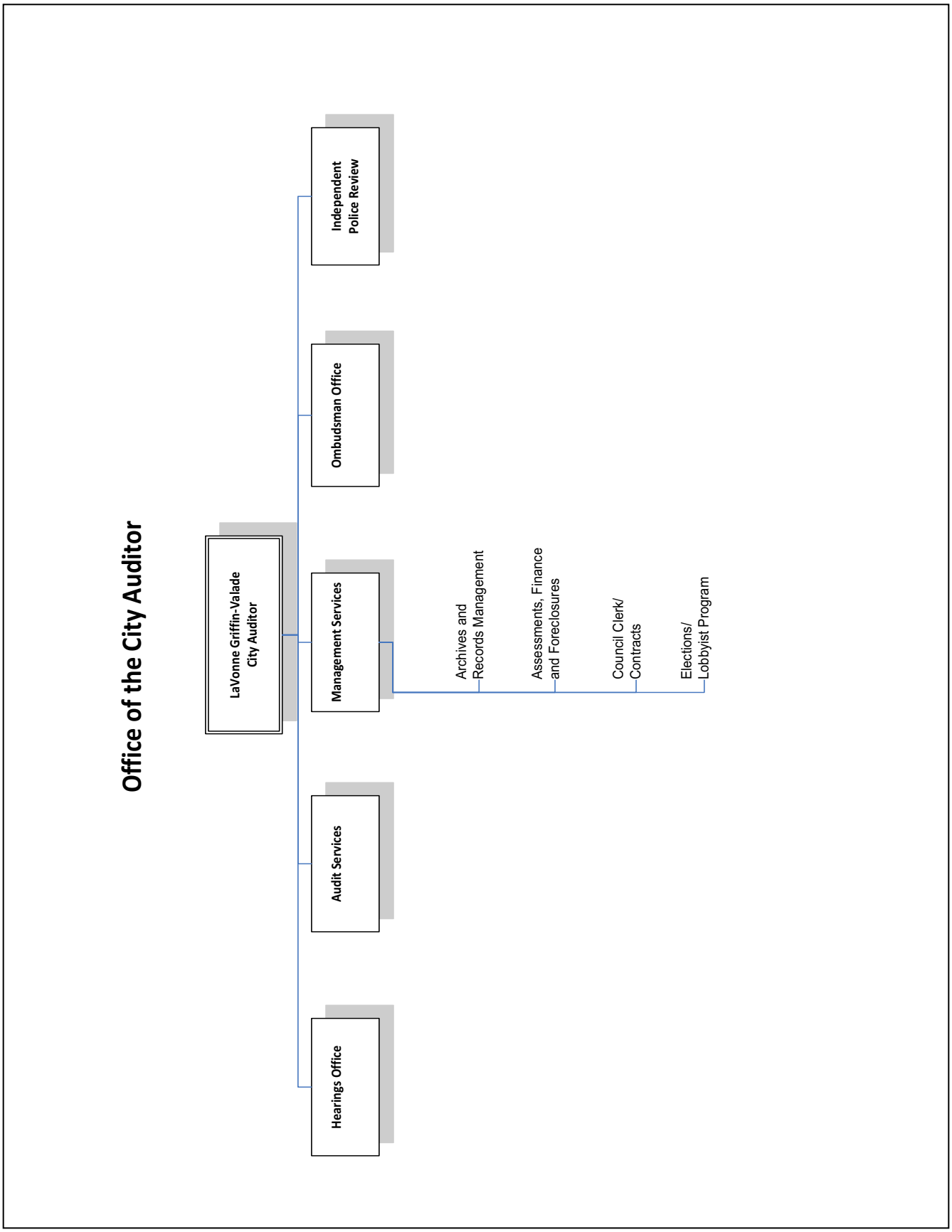


Bureau Programs



Bureau Overview

Expenditures	Revised FY 2013-14	Requested FY 2014-15	Change from Prior Year	Percent Change
Operating	61,371,182	41,421,635	(19,949,547)	(32.51)
Capital	0	0	0	0.00
Total Requirements	**61,371,182**	**41,421,635**	**(19,949,547)**	**(32.51)**
Authorized Positions	49.62	53.12	3.50	7.05


Office of the City Auditor
LaVonne Griffin-Valade
City Auditor
Independent
Police Review
Ombudsman Office
Management Services
Archives and
Records Management
Assessments, Finance
and Foreclosures
Council Clerk/
Contracts
Elections/
Lobbyist Program
Audit Services
Hearings Office

Bureau Summary

Bureau Mission

The mission of the City Auditor's Office is to ensure open and accountable government. This is accomplished by conducting independent and impartial reviews that promote efficient, effective, and equitable services and by providing access to City information.

Bureau Overview

The elected City Auditor provides accountability for the use of public resources. City Charter requires the Auditor to be professionally certified and assigns the Auditor a variety of responsibilities, including conducting performance audits, administering City elections, maintaining all official records of the City, overseeing the Council agenda and meetings, and other accountability functions. City Code also authorizes the Auditor to provide civilian oversight of the Portland Police Bureau, impartial hearings of appeals of City decisions, and independent investigations of complaints.

The Assessments, Finance & Foreclosure program in the Auditor's Office manages several funds, totaling approximately $31.5 million in FY 2014-15, which finance both large and small local improvement projects. These figures are displayed as part of the Auditor's Office budget; however, the requested operating budget for the Office in FY 2014-15 totals $9.48 million.

Strategic Direction

Improve records management and expand TRIM Citywide

In 2001, Council made a down payment towards making the City's most widely sought records available to the public electronically, ensuring that the electronic documents that comprise the City's history are preserved, and providing funding for software (TRIM) to manage electronic records. After 12 years of slowly trying to scale up implementation of TRIM and improve electronic recordkeeping practices across the City, the Auditor's Office is leading an effort to make TRIM available Citywide and to provide the training and implementation resources necessary to assist bureaus in the transition.

The Auditor's Office is bringing forward a companion package to a proposal introduced by the City Attorney's Office that would make improvements to the City's responses to public records requests and litigation holds. The TRIM Steering Committee has recommended that Council improve the City's compliance with public records laws and regulations. The TRIM expansion project will benefit all bureaus in the City with better compliance and efficiency.

Replace the Lien Accounting System

The City Auditor's Office recently issued a Request for Proposals to replace the Lien Accounting System (LAS) used in the Assessments, Finance & Foreclosure division. The LAS is a highly specialized, legacy software system that resides on the City's mainframe, which is scheduled to be decommissioned within the next year. The Auditor's Office has experienced years of setbacks to replace the system, including requests for additional time from OMF to study a potential SAP solution and an unsuccessful effort by BTS to rewrite the system.

This tight timeframe means that the project is a high priority for the Auditor. Because responses to the solicitation have not yet been received, the Auditor plans on bringing the budget for the project to Council during the Fall BMP. The budget for the project will come from the LID fund.

Stabilizing the funding and staffing of the Hearings Office

The Auditor's Office continues to wrestle with how to best fund and staff the Hearings Office and plans to complete an analysis and make recommendations to Council regarding funding by the end of FY 2014-15. The issues involve both stability of revenue and equitable access to the appeals process:

- Funded partially by various fees for service established in interagency and intergovernmental agreements, revenues tend to fluctuate from year to year based on the number of cases. Caseload at the Hearings Office is driven by a number of factors, such as revisions or additions to City policies, changes in development activity, or changes in practice that result in fewer citations or car tows. Both the instability of a fee-funded model and the lack of ability to predict the level of General Fund dollars needed for backfill each year have created an uncertain situation.
- An unintended consequence of the fee-based funding model is that some bureaus that have cases adjudicated in the Hearings Office charge a fee, sometimes as high as $1300, to recover the cost of the hearing. Often the fee is more than many members of the public can afford and often more than the original citation. Such fees are disincentives that limit access to justice and can represent a barrier to due process rights.

Replacing fee-based revenues for City code appeals with General Fund dollars could help stabilize the ongoing funding of this important function. It would also relieve participating bureaus of the problem of cost recovery through appeal fees. As significant, using General Fund dollars to pay for the Hearings Office would allow members of the public wishing to bring forward an appeal of a City decision to do so, no matter what their income might be.

Audit Services

Description

The mission of the Audit Services Division is to promote honest, efficient, effective, and fully accountable City government. The division conducts independent audits in accordance with government auditing standards that provide objective information and recommendations to City elected officials, managers, and the public.

Performance and financial audit reports identify savings and revenue enhancements, strengthen management controls, and improve the efficiency and effectiveness of City government operations. Since 1985, Audit Services has issued more than 250 audit reports. Recent audits assessed the Bureau of Transportation's street maintenance practices; examined City financial trends and fiscal sustainability; recommended Council attention to key issues the City faces; reviewed parks maintenance practices; and assessed emergency communications supervision. Bureaus have implemented, or are in the process of implementing, 93% of audit report recommendations

Goals

Audit Services supports the City goal of delivering efficient, effective, and accountable City services and the Auditor's Office goal of improving City accountability and performance by reporting impartial audit results and recommendations to decision-makers and the public.

Performance

Audit Services issued 12 audit reports in FY 2012-13. The goal for FY 2014-15 is 12 reports. In FY 2012-13, the cost per audit hour was $110; the projected cost for FY 2013-14 is $115. In FY 2012-13, City management implemented or was in the process of implementing 93% of audit recommendations, exceeding the current goal and industry standard of 85%. The goal for FY 2014-15 remains at 85%.

The percentage of recommendations implemented by bureaus reflects Audit Service's value to City management, as well as the real ability for management to make the suggested improvements. The measure of cost per audit hour shows the City's cost to provide an hour of audit time, which can be reviewed against other audit providers' costs as well as used in forecasting the total audit costs. The number of audits issued is an important measure of office activity and productivity and can be compared year-to-year, as well as measured against other offices and against the number of auditors on staff.

Changes to Services and Activities

The division continues to provide high value to the public and to City government and is consistently the highest ranked of the Auditor's Office programs by the bureau Budget Advisory Committee. No significant changes to staffing or activity level are planned. In FY 2013-14, the division changed its practice of paying for the Portland Development Commission's external financial audit and receiving reimbursement for this charge. PDC is now directly paying for its external audit, causing a decrease in revenues and expenditures of approximately $100,000 in this division.

Office of the City Auditor

Elected Officials Service Area

FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
FTE	12.80	12.80	12.12	12.12	12.12
Expenditures					
Audit Services	1,738,409	1,624,679	1,747,749	1,728,499	1,728,499
CAFR Audit	306,335	302,823	386,670	396,723	396,723
PDC Audit	81,715	124,204	0	0	0
Single Audit	121,365	90,675	99,379	101,963	101,963
Total Expenditures	**2,247,824**	**2,142,381**	**2,233,798**	**2,227,185**	**2,227,185**

Performance	Actual FY 2011-12	Actual FY 2012-13	Yr End Est. FY 2013-14	Base FY 2014-15	Target FY 2014-15
Effectiveness					
Percentage of audit report recommendations implemented	99%	93%	85%	85%	85%
Efficiency					
Full cost per audit hour	$107	$110	$115	$118	$118
Workload					
Number of audit reports issued	12	12	12	12	12

Independent Police Review

Description

The Independent Police Review (IPR) division is an impartial oversight agency under the authority of the independently elected City Auditor. IPR was created to improve police accountability, promote higher standards of police services, and increase public confidence. IPR receives complaints, reviews and participates in ongoing police administrative investigations, and monitors and reports on complaint status. It also has the authority to conduct joint or independent investigations when necessary. IPR participates as a voting member of the Police Review Board, which is the body that reviews allegations of police misconduct and recommends discipline. Through IPR's code authority, the City Auditor hires outside experts to review officer-involved shootings and in-custody deaths. Staff in IPR provide assistance to the Citizen Review Committee, which reviews and rules on appeals of investigation findings and advises the Portland Police Bureau.

Goals

The City Auditor's goal is to ensure that IPR carries out its civilian oversight responsibilities in a manner that is professional, unbiased, responsive, and fair. The work of IPR supports the City goal of delivering efficient, effective, and accountable services.

Performance

In FY 2012-13, IPR received 361 complaints; 450 complaints are projected for FY 2014-15. In FY 2012-13, the Auditor's annual community survey reported that 35% of respondents rated IPR's efforts to regulate police conduct as good or very good; the goal for FY 2014-15 is 40%. In FY 2012-13, the median number of days to complete intake investigations was 38, and IPR has set a target of 30 days for FY 2014-15.

Changes to Services and Activities

In November 2012, the City of Portland entered into an agreement with the United States Department of Justice (DOJ) that requires IPR conduct more in-depth investigations in a much shorter time period. In February 2013, City Council authorized funding to hire additional investigators. As of August 2013, IPR has five highly qualified investigators, all of whom have considerable experience working with individuals experiencing a mental health or emotional crisis.

The intensified investigations and abbreviated timelines required by the DOJ agreement increased the workload of IPR investigators, management, and administrative staff. IPR has worked to streamline practices and broaden opportunities for investigators to be available out in the community to take complaints. In addition, IPR hired an additional support staff member, also a result of Council approving more funding for the division in response to the DOJ agreement. IPR has also expanded second-language access to Mandarin and Vietnamese speakers, in addition to Spanish and Russian speakers.

Additional code changes approved by Council on January 8, 2014 further strengthened IPR's authority and the police oversight system. Now, IPR can directly interview officers; deadly use of force reports will be more transparent; disciplinary guidelines will facilitate consistent discipline; and abbreviated timelines for investigations are in place.

Office of the City Auditor

Elected Officials Service Area

FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
FTE	9.00	9.80	11.50	11.50	11.50
Expenditures					
Independent Police Review	1,245,938	1,182,063	1,570,564	1,472,297	1,472,297
Total Expenditures	**1,245,938**	**1,182,063**	**1,570,564**	**1,472,297**	**1,472,297**

Performance	Actual FY 2011-12	Actual FY 2012-13	Yr End Est. FY 2013-14	Base FY 2014-15	Target FY 2014-15
Effectiveness					
Percentage of residents rating Independent Police Review's regulation of Portland Police as good or very good	33%	35%	33%	40%	40%
Efficiency					
Median number of days to complete Independent Police Review intake investigations	39	38	32	30	30
Workload					
Number of citizen complaints to Independent Police Review	451	361	401	450	450

Ombudsman Office

Description

The Ombudsman's Office is an independent, impartial office that receives complaints from the public and City employees about administrative acts of the City. The Ombudsman has the authority to investigate complaints to determine whether the City has acted fairly and reasonably. If a complaint is justified, the Ombudsman will work with the complainant and the bureau to find a fair, just solution and may issue a report recommending changes in policies or procedures to avoid subsequent problems. If a complaint is not justified, the Ombudsman will explain the reasoning and the implications to the complainant. This process helps protect City bureaus from unfounded criticism.

The Ombudsman plays a significant role in addressing public concerns, thus avoiding more costly conflicts. The Ombudsman is committed to ensuring government accountability through oversight, increasing trust in government, continuing outreach efforts to members of the public who might be reluctant to bring their complaints forward, and investigating and managing reports received from the Auditor's anonymous tip line, www.opencitytipline.com.

Goals

The Ombudsman's Office supports the City goal of delivering efficient, effective, and accountable municipal services and the Auditor's goal of improving City accountability. By facilitating communications between citizens and government and making recommendations to improve administrative practices and procedures, the Ombudsman promotes responsiveness and quality in government.

Performance

The Ombudsman's Office responds to about 400 complaints and requests per year and has initiated additional outreach and enhanced reporting methods. More targeted outreach, a shift in the scope of investigations, and efforts to expand awareness of the Auditor's anonymous tip line have increased the program's exposure and profile. A goal was set to have at least 60% of the Ombudsman's recommendations implemented by bureaus in FY 2013-14 and the Office estimates it will reach an actual implementation rate of 85% by the end of the year. For FY 2014-15 the goal remains 60%.

Changes to Services and Activities

The office has been able to increase and target its efforts at outreach and prioritize complaints that may be indicative of a systemic problem. This effort will continue in FY 2014-15 and no other significant changes to services are planned.

FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
FTE	2.00	1.50	1.50	1.50	1.50
Expenditures					
Ombudsman Office	239,200	197,694	222,585	227,598	227,598
Total Expenditures	**239,200**	**197,694**	**222,585**	**227,598**	**227,598**

Performance	Actual FY 2011-12	Actual FY 2012-13	Yr End Est. FY 2013-14	Base FY 2014-15	Target FY 2014-15
Effectiveness					
Percentage of Ombudsman's Office recommendations implemented by bureaus	NA	NA	85%	60%	60%
Workload					
Number of complaints and requests to the Ombudsman	332	420	420	370	370

Hearings Office

Description

The Hearings Office provides a forum for public hearings and renders objective decisions based on City Code on matters over which City Council grants it jurisdiction. The Office hears cases initiated by a government body against a person or property and cases brought by parties who believe that a governmental determination is not legally or factually correct, offering a venue for the public to appeal where allowed by City Code.

The Office provides appeal hearings for City bureaus, conducts hearings on certain types of land use applications, and hears cases pursuant to intergovernmental agreements with other agencies, such as Multnomah County, the Port of Portland, and TriMet.

Goals

The Office supports the City goal of delivering efficient, effective, and accountable municipal services and the Auditor's goal of improving City accountability and performance by reporting its independent and impartial reviews, findings, conclusions, and recommendations.

Performance

In FY 2012-13, the Hearings Office determined 887 cases; the projection for FY 2014-15 is 700 cases. The decline is due to fewer land use, code appeal, and TriMet exclusion cases, which are difficult to project form year to year.

Changes to Services and Activities

Land use and TriMet exclusion cases have declined overall, but tow cases have increased. In addition, a number of recent code cases and appeals have required time-intensive research which increased the decision-writing process. The decline in the number of certain cases has allowed staff to concentrate on important activities and projects, such as revising internal polices, attending intensive training for working with disabled individuals, and updating informational documents for the public.

FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
FTE	3.50	3.90	3.50	3.50	3.50
Expenditures					
Hearings Office	530,535	514,156	648,426	605,109	605,109
Total Expenditures	**530,535**	**514,156**	**648,426**	**605,109**	**605,109**

Performance	Actual FY 2011-12	Actual FY 2012-13	Yr End Est. FY 2013-14	Base FY 2014-15	Target FY 2014-15
Workload					
"Number of code, appeal, land use, and tow Hearings Office cases"	959	887	700	700	700

City Recorder

Description

The City Recorder program consists of two divisions that develop and maintain accurate and objective documentation of City business and records. These are the Council Clerk/Contracts and the Archives and Records Management divisions.

Council Clerk/Contracts

As the administrator of Council sessions, the Council Clerk staff prepares the agenda, processes ordinances and resolutions, compiles official minutes, and provides easy access to these proceedings. The staff also produces the official versions of City Charter and Code, gives final approval of City contract documents, approves claims for payment against the City, and disburses payments.

Archives and Records Management

Archives and Records Management is responsible for records retention schedules, records storage and confidential destruction, preservation of historical records, and reference and retrieval services for the public and City employees at the Portland Archives and Records Center (PARC). The staff assists elected officials and bureaus in managing their public records legally and efficiently. They help bureaus to develop records retention schedules that meet bureau needs, and give guidance and instruction on public records issues. Archives and Records Management also administers the Efiles/TRIM electronic records management and retention system to ensure that the City's electronic records comply with retention regulations and are easily accessible.

Goals

This program supports the City goal of delivering efficient, effective, and accountable services and the Office's goal of ensuring open and transparent Council deliberations and access to records.

Performance

To better measure their workload and efficiency, the Council Clerk/Contracts division created two new performance measures. In FY 2013-14, the division will begin measuring the average time it takes to make Council meeting minutes available to the public as well as the total hours the Clerk spends in Council meetings. For FY 2014-15, the target for the average time to make Council meeting minutes available to the public is 6 months. The target for the length of hours spent in Council, based on current meeting lengths, is 163 hours in FY 2014-15.

In FY 2012-13, the number of Efiles records viewed by the public was 1,265,589 and the target for FY 2014-15 is increased to 1,393,532. In FY 2012-13 the division assisted 1,048 researchers and expects 1,080 in FY 2014-15. The division also tracks the cost per TRIM transaction: costs were about 14 cents for FY 2012-13 and the goal is 8 cents in FY 2014-15.

Changes to Services and Activities

City employee and public use of services has more than doubled since the opening of PARC at Portland State University campus in May 2010. Continued efforts to deploy Efiles/TRIM to additional bureaus have increased the workload in Archives and Records Management. If Council approves the request for funding of full deployment of TRIM Citywide, this will increase the number of FTE and overall workload. Staff reductions in Council Clerk/Contracts will continue to strain its ability to produce council documents in a timely manner. The Auditor has requested a combination of realignment and new funding to restore a half-time OSS II position to full time in order to alleviate this workload issue.

FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
FTE	14.50	14.00	13.50	13.50	17.00
Expenditures					
Archives & Records Management	2,428,984	2,441,604	2,528,627	2,547,369	3,691,740
Council Clerk & Contracts	848,762	726,640	770,569	794,056	821,152
Total Expenditures	**3,277,746**	**3,168,244**	**3,299,196**	**3,341,425**	**4,512,892**

Performance	Actual FY 2011-12	Actual FY 2012-13	Yr End Est. FY 2013-14	Base FY 2014-15	Target FY 2014-15
Effectiveness					
Number of electronic documents viewed through Efiles	809,020	1,265,589	1,393,532	1,534,410	1,534,410
Efficiency					
TRIM transaction cost per record	NA	$0.1370	$0.1100	$0.0800	$0.4600
Average number of months to make Council meeting minutes available to public	NA	NA	6	6	3
Workload					
Number of researchers assisted by Portland Archives & Records Center staff	NA	1,048	1,062	1,080	1,080
Number of hours Clerk spends in Council meetings	NA	NA	163	163	163

Assessments, Finance & Foreclosure

Description

The Assessments, Finance & Foreclosure (AFF) program provides a wide range of services to property owners through special assessments. The program helps plan and finance local improvement projects, such as sewer, street, and sidewalk improvements. The program also assists with code enforcement efforts, such as nuisance abatements and demolitions, and assesses penalties and provides property owners with a variety of financing mechanisms to pay off their assessments. The program oversees the Local Improvement District (LID) Fund, the Bancroft Bond Fund, and the Assessment Collection Fund, which total $31.5 million and are included in the Auditor's Office budget.

The primary objective of the Foreclosure Program is to protect the interest of bondholders and taxpayers by recovering costs incurred by the City. The program staff works closely with the Bureaus of Transportation, Development Services, Environmental Services, Water, and Parks and Recreation in providing counseling and assistance to property owners regarding their assessments. Staff investigates and conducts research to see if individuals qualify for financial assistance, prepares individual payment plans, and contacts other agencies for assistance as needed.

Goals

AFF supports the City goal of improving the quality of life in neighborhoods and the bureau goal of providing accurate assessment recordings, financing, and information to protect the interest of City bureaus, bondholders, and taxpayers.

Performance

In FY 2012-13, there were 1,533 new assessments; 1,306 are projected for FY 2014-15. In FY 2012-13, there were 767 assessments per staff person; there are 653 projected for FY 2014-15. Activity level is based on the number, size, scope and timing of projects brought by other bureaus for assessment.

Changes to Services and Activities

Funding activity will decrease in FY 2014-15 with completion and final assessment of the Portland Streetcar Loop Extension LID projects. Significant budget changes can occur with the sale of the special assessment bonds to finance large LID projects and the increased use of system development charges to pay for City infrastructure. Per the CBO's recommendation, a change was made in internal accounting that eliminates the interagency agreement between the LID Fund and the Auditor's Office, using an internal overhead account instead. Program costs now show as $0 for FY 2014-15. Instead, the program costs are now captured under the Assessments and Improvements section of the Auditor's Office budget.

FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
FTE	3.00	3.00	3.00	3.00	3.00
Expenditures					
Assessments, Finance & Foreclosure	705,426	656,566	682,496	0	0
Total Expenditures	**705,426**	**656,566**	**682,496**	**0**	**0**

Performance	Actual FY 2011-12	Actual FY 2012-13	Yr End Est. FY 2013-14	Base FY 2014-15	Target FY 2014-15
Efficiency					
Number of assessments per staff person	697	767	1,718	653	653
Workload					
Number of new liens assessed	1,394	1,533	3,435	1,306	1,306

Assessments & Improvements

Description

This service area shows the funding for the Assessments, Finance & Foreclosure program. The funding source for this program is the Local Improvement District (LID) Fund. Expenditures are for staffing, management, and materials and services in the Auditor's Office ($749,655); an interagency agreement with the Revenue Bureau for lien collection services ($522,786) and materials and services ($90,336), primarily for debt management and enterprise business solutions, with a small amount ($1,543) from the Assessment Collection Fund.

Goals

The Assessment and Improvements program supports the City's goal of improving the quality of life in the neighborhoods and the bureau goal of providing accurate assessment recordings, financing, and information to protect the interest of City bureaus, bondholders, and taxpayers.

Performance

As primarily a financing mechanism, the Assessments and Improvements program does not have performance measures. Rather, the performance of the Assessment, Finance, and Foreclosure division best capture the effectiveness and efficiency of the program.

Changes to Services and Activities

There are no significant changes in FY 2014-15.

FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
Expenditures					
Assessments & Improvements	1,384,510	1,313,765	1,383,347	1,369,321	1,369,321
Total Expenditures	**1,384,510**	**1,313,765**	**1,383,347**	**1,369,321**	**1,369,321**

Administration & Support (Management Services)

Description

Administrative Support

The Management Services Division is the Auditor's executive office, providing leadership, accountability, and support for all activities of the bureau. These functions include policy analysis, budgeting, accounting, human resources, timekeeping, maintenance of online presence, purchasing, and information technology projects and systems. This division serves as a contact point for other bureaus and offices in the City.

Direct Public Support

Management Services also provides direct support to the public. This division houses the City Elections program, which is responsible for managing elections processes for the City. It also administers the Lobbyist Program, registers lobbying entities, receives and publishes lobbying reports, and maintains the online reporting applications. Management Services administers and maintains the repository of the Portland Policy Documents. Staff members review documents that add, delete, and/or amend Citywide policies and makes them available online.

Goals

Management Services helps attain the City's goal of delivering efficient, effective, and accountable municipal services, as well as the Auditor's goal of providing leadership and accountability.

Performance

In FY 2013-14, administrative costs were 8.8% of the total Auditor's budget, meeting the goal of being under 10%. The FY 2014-15 target is 7%. In FY 2012-13, the Elections Officer processed 4 elections filings, including one referendum petition and one initiative petition. The Elections Office expects 4 filings in FY 2014-15, an off-election year.

Changes to Services and Activities

A new City Auditor will take office mid FY 2014-15, and this could prompt changes to this division and the bureau. Significant software-related projects, support for the growing demand for resources in the other divisions of the Auditor's Office, and the number of election filings and reviews continue to impact the workload of the Management Services division.

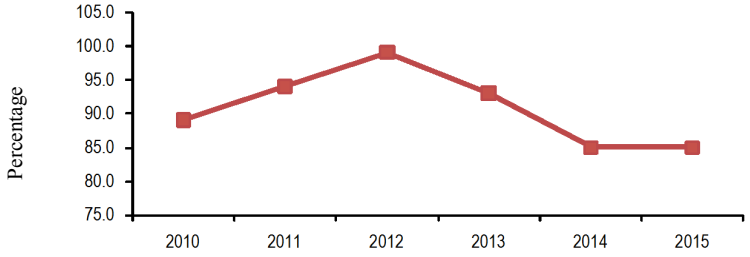
FTE & Financials	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
FTE	4.50	4.50	4.50	4.50	4.50
Expenditures					
Administration & Support	561,160	761,634	725,651	764,905	751,357
Total Expenditures	**561,160**	**761,634**	**725,651**	**764,905**	**751,357**

Performance	Actual FY 2011-12	Actual FY 2012-13	Yr End Est. FY 2013-14	Base FY 2014-15	Target FY 2014-15
Efficiency					
Administrative costs as a percentage of total budget: goal is 10% or less	6.4%	8.8%	7.0%	7.0%	7.0%
Workload					
Number of election filings	50	4	13	3	3

Performance Measures

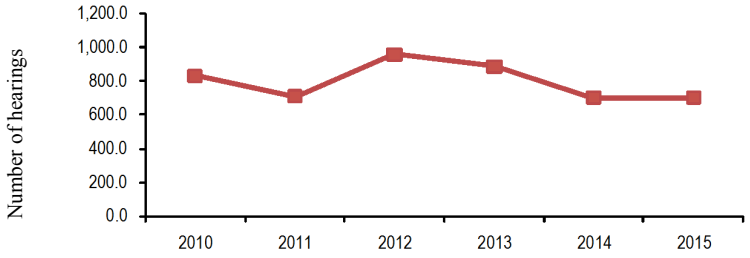
Percent of Audit Recommendations Implemented

In FY 2012-13, 93% of the Audit report recommendations were implemented, exceeding the goal of 85%. The goal for FY 2014-15 remains at 85%, the industry standard.



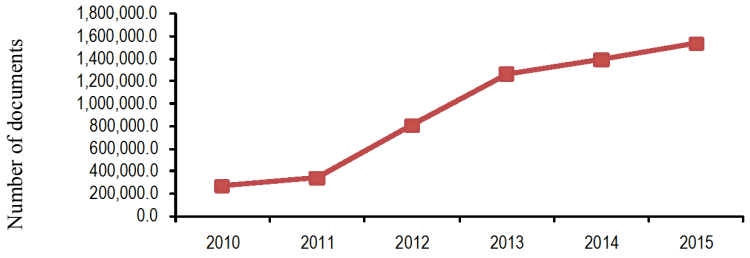
Number of Total Hearings Office Cases

In FY 2012-13, the Hearings Office processed 887 cases, down from the projection of 950 cases for that year. The target for FY 2014-15 is 700 cases based on current trend data. The drop in certain types of cases results in an unpredictable level of revenue to help fund critical Hearings Office staff.



Number of Documents Viewed Through Efiles (Public Portal)

In FY 2012-13, 1,265,589 electronic documents were viewed through Efiles. The goal for FY 2014-15 is 1,534,410 documents viewed, reflecting the increase in Citywide use of the electronic records management system,TRIM. This projection is more than a five-fold increase from FY 2009-10 actuals.



	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15
Resources					
External Revenues					
Charges for Services	1,369,166	1,401,238	1,187,612	1,050,775	1,050,775
Bond & Note	11,831,953	965,208	19,439,912	4,377,260	4,377,260
Miscellaneous	9,256,406	8,595,500	13,392,310	7,313,966	7,313,966
Total External Revenues	**22,457,525**	**10,961,946**	**34,019,834**	**12,742,001**	**12,742,001**
Internal Revenues					
General Fund Discretionary	3,817,338	3,210,048	3,139,069	3,857,204	4,391,814
General Fund Overhead	3,737,201	4,122,089	4,999,159	4,497,147	5,120,456
Fund Transfers - Revenue	23,022	229	60	64,237	64,237
Interagency Revenue	829,973	816,257	840,476	115,750	115,750
Total Internal Revenues	**8,407,534**	**8,148,623**	**8,978,764**	**8,534,338**	**9,692,257**
Beginning Fund Balance	16,517,008	19,057,312	18,372,584	18,987,377	18,987,377
Total Resources	**$47,382,067**	**$38,167,881**	**$61,371,182**	**$40,263,716**	**$41,421,635**
Requirements					
Bureau Expenditures					
Personnel Services	5,080,266	4,915,738	5,570,785	5,472,183	5,725,587
External Materials and Services	1,214,684	1,276,496	1,436,460	1,483,021	2,308,940
Internal Materials and Services	3,900,342	3,744,269	3,758,818	3,052,636	3,131,232
Total Bureau Expenditures	**10,195,292**	**9,936,503**	**10,766,063**	**10,007,840**	**11,165,759**
Fund Expenditures					
Debt Service	9,867,327	7,887,767	27,016,021	9,433,487	9,433,487
Contingency	0	0	3,128,670	3,255,869	3,255,869
Fund Transfers - Expense	8,262,136	1,013,404	5,240,869	1,916,594	1,916,594
Debt Service Reserves	0	0	15,219,559	15,649,926	15,649,926
Total Fund Expenditures	**18,129,463**	**8,901,171**	**50,605,119**	**30,255,876**	**30,255,876**
Ending Fund Balance	19,057,312	19,330,207	0	0	0
Total Requirements	**$47,382,067**	**$38,167,881**	**$61,371,182**	**$40,263,716**	**$41,421,635**
Programs					
Administration & Support	561,160	761,634	725,651	764,905	751,357
Assessments & Improvements	1,384,510	1,313,765	1,383,347	1,369,321	1,369,321
Assessments, Finance & Foreclosure	705,426	656,566	682,496	0	0
Audit Services	2,247,824	2,142,381	2,233,798	2,227,185	2,227,185
City Recorder	3,277,746	3,168,244	3,299,196	3,341,425	4,512,892
Hearings Office	530,535	514,156	648,426	605,109	605,109
Independent Police Review	1,245,938	1,182,063	1,570,564	1,472,297	1,472,297
Ombudsman Office	239,200	197,694	222,585	227,598	227,598
Progress Board	2,953	0	0	0	0
Total Programs	**10,195,292**	**$9,936,503**	**$10,766,063**	**$10,007,840**	**$11,165,759**

Class	Title	Salary Range Minimum	Salary Range Maximum	Revised FY 2013-14 No.	Revised FY 2013-14 Amount	Requested No DP FY 2014-15 No.	Requested No DP FY 2014-15 Amount	Requested FY 2014-15 No.	Requested FY 2014-15 Amount
30000434	Administrative Assistant	46,571	71,739	1.00	59,616	1.00	62,052	1.00	62,052
30000433	Administrative Specialist, Sr	43,368	66,768	1.00	60,711	1.00	57,924	1.00	57,924
30000545	Archivist & Records Center Supervisor	65,478	87,422	1.00	87,420	1.00	87,420	1.00	87,420
30000544	Archivist, Assistant	56,534	75,338	2.00	139,104	2.00	141,732	4.00	254,796
30000551	Audit Services, Director of	89,710	121,576	1.00	121,572	1.00	121,572	1.00	121,572
30000558	Auditor, Chief Deputy City	89,710	121,576	1.00	114,480	1.00	118,781	1.00	118,781
30000003	Auditor, City	106,933	106,933	1.00	103,524	1.00	106,932	1.00	106,932
30000448	Business Systems Analyst	59,342	79,123	1.00	76,044	1.00	78,864	1.00	78,864
30000546	Clerk to City Council	59,342	79,123	1.00	79,128	1.00	79,128	1.00	79,128
30000491	Community Outreach & Informtn Assistant	46,571	71,739	1.00	50,010	1.00	52,056	1.00	52,056
30000492	Community Outreach & Informtn Rep	56,534	75,338	2.00	149,700	2.00	150,672	2.00	150,672
30000553	Complaint Investigator	59,342	79,123	5.00	339,826	5.00	350,302	5.00	350,302
30000547	Council Support & Contracts Supervisor	65,478	87,422	1.00	87,420	1.00	87,420	1.00	87,420
30000568	Financial Analyst, Sr	65,478	87,422	1.00	87,420	1.00	87,420	1.00	87,420
30000552	Foreclosure Program Manager	65,478	87,422	1.00	87,420	1.00	87,420	1.00	87,420
30000028	Hearings Clerk	45,074	59,280	2.00	114,069	2.00	117,264	2.00	117,264
30000598	Hearings Officer	89,710	121,576	1.00	121,572	1.00	121,572	1.00	121,572
30000556	IPR Program Manager	89,710	121,576	1.00	106,009	1.00	110,355	1.00	110,355
30000555	IPR Program Manager, Assistant	72,134	96,928	1.00	84,528	1.00	87,707	1.00	87,707
30000451	Management Analyst	59,342	79,123	2.00	145,788	2.00	148,068	2.00	148,068
30000452	Management Analyst, Sr	65,478	87,422	1.00	87,420	1.00	87,420	1.00	87,420
30000450	Management Assistant	46,571	71,739	2.00	122,030	2.00	127,034	2.00	127,034
30000548	Management Auditor	59,342	79,123	3.00	234,408	3.00	236,895	3.00	236,895
30000550	Management Auditor, Principal	72,134	96,928	2.00	193,848	2.00	193,848	2.00	193,848
30000549	Management Auditor, Sr	65,478	87,422	4.00	327,121	4.00	336,394	4.00	336,394
30000012	Office Support Specialist II	32,552	46,758	1.00	39,084	1.00	39,084	1.25	47,220
30000013	Office Support Specialist III	41,642	55,203	2.00	101,533	2.00	104,011	2.00	104,011
30000554	Ombudsman, City	77,584	103,355	1.00	92,334	1.00	96,120	1.00	96,120
30000542	Records Center Assistant	37,690	58,011	2.00	94,056	2.00	96,861	3.00	134,553
30000543	Records Management Specialist	59,342	79,123	1.00	79,128	1.00	79,128	1.00	79,128
TOTAL FULL-TIME POSITIONS				47.00	3,586,323	47.00	3,651,456	50.25	3,810,348
30000598	Hearings Officer	89,710	121,576	0.50	43,416	0.50	44,856	0.50	44,856
30000555	IPR Program Manager, Assistant	72,134	96,928	0.50	39,396	0.50	41,010	0.50	41,010
30000548	Management Auditor	59,342	79,123	0.50	36,756	0.50	38,006	0.50	38,006
30000549	Management Auditor, Sr	65,478	87,422	0.62	47,916	0.62	49,720	0.62	49,720
30000012	Office Support Specialist II	32,552	46,758	0.50	16,272	0.50	18,270	0.75	26,406
TOTAL PART-TIME POSITIONS				2.62	183,756	2.62	191,862	2.87	199,998
TOTAL LIMITED TERM POSITIONS				0.00	0	0.00	0	0.00	0
GRAND TOTAL				49.62	3,770,079	49.62	3,843,318	53.12	4,010,346

CITY OF PORTLAND OREGON
1851

Assessment Collection Fund

Community Development Service Area

	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15	Proposed FY 2014-15
Resources						
Miscellaneous	2,620	614	1,000	850	850	
Total External Revenues	**2,620**	**614**	**1,000**	**850**	**850**	
Fund Transfers - Revenue	0	81	28	14	14	
Total Internal Revenues	**0**	**81**	**28**	**14**	**14**	
Beginning Fund Balance	79,013	80,060	79,053	78,269	78,269	
Total Resources	**81,633**	**80,755**	**80,081**	**79,133**	**79,133**	
Requirements						
Internal Materials and Services	1,532	1,508	1,531	1,543	1,543	
Total Bureau Expenditures	**1,532**	**1,508**	**1,531**	**1,543**	**1,543**	
Contingency	0	0	78,550	77,590	77,590	
Fund Transfers - Expense	41	0	0	0	0	
Total Fund Expenditures	**41**	**0**	**78,550**	**77,590**	**77,590**	
Ending Fund Balance	80,060	79,247	0	0	0	
Total Requirements	**81,633**	**80,755**	**80,081**	**79,133**	**79,133**	

Fund Overview

The Assessment Collection Fund is largely inactive, with a minimal number of accounting transactions being posted to the fund. The City Charter allows for replenishment of this fund by selling up to $1.5 million in bonds. Those resources would then be used to pay off delinquent accounts in other funds. Collection activity on the delinquent liens, up to and including foreclosure, would then be handled by the fund.

Significant Changes from Prior Year

None

Managing Agency

Office of the City Auditor

Bancroft Bond Interest and Sinking Fund

	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15	Proposed FY 2014-15
Resources						
Bond & Note	1,502,512	0	0	0	0	
Miscellaneous	8,827,355	8,053,930	7,499,887	6,888,053	6,888,053	
Total External Revenues	**10,329,867**	**8,053,930**	**7,499,887**	**6,888,053**	**6,888,053**	
Total Internal Revenues	**0**	**0**	**0**	**0**	**0**	
Beginning Fund Balance	11,871,718	14,775,233	14,668,389	15,275,069	15,275,069	
Total Resources	**22,201,585**	**22,829,163**	**22,168,276**	**22,163,122**	**22,163,122**	
Requirements						
Total Bureau Expenditures	**0**	**0**	**0**	**0**	**0**	
Debt Service	7,426,352	7,640,099	6,948,717	6,513,196	6,513,196	
Debt Service Reserves	0	0	15,219,559	15,649,926	15,649,926	
Total Fund Expenditures	**7,426,352**	**7,640,099**	**22,168,276**	**22,163,122**	**22,163,122**	
Ending Fund Balance	14,775,233	15,189,064	0	0	0	
Total Requirements	**22,201,585**	**22,829,163**	**22,168,276**	**22,163,122**	**22,163,122**	

Fund Overview

The Bancroft Bond Interest and Sinking Fund is used to achieve a proper matching of revenues and expenditures related to financing public infrastructure improvements requested by property owners. Specifically, this fund accounts for resources and the allocation thereof, to pay principal and interest on outstanding indebtedness related to financing these improvements.

Significant Changes from Prior Year

None

Managing Agency

Office of the City Auditor

Local Improvement District Fund

Community Development Service Area

	Actual FY 2011-12	Actual FY 2012-13	Revised FY 2013-14	Requested No DP FY 2014-15	Requested FY 2014-15	Proposed FY 2014-15
Resources						
Charges for Services	954,111	947,606	789,100	788,500	788,500	
Bond & Note	10,329,441	965,208	19,439,912	4,377,260	4,377,260	
Miscellaneous	416,266	522,921	5,885,923	419,563	419,563	
Total External Revenues	**11,699,818**	**2,435,735**	**26,114,935**	**5,585,323**	**5,585,323**	
Fund Transfers - Revenue	23,022	148	32	64,223	64,223	
Total Internal Revenues	**23,022**	**148**	**32**	**64,223**	**64,223**	
Beginning Fund Balance	4,566,277	4,202,019	3,625,142	3,634,039	3,634,039	
Total Resources	**16,289,117**	**6,637,902**	**29,740,109**	**9,283,585**	**9,283,585**	
Requirements						
External Materials and Services	2,950	2,677	5,000	5,000	5,000	
Internal Materials and Services	1,381,078	1,312,257	1,376,816	1,362,777	1,362,777	
Total Bureau Expenditures	**1,384,028**	**1,314,934**	**1,381,816**	**1,367,777**	**1,367,777**	
Debt Service	2,440,975	247,668	20,067,304	2,920,291	2,920,291	
Contingency	0	0	3,050,120	3,078,923	3,078,923	
Fund Transfers - Expense	8,262,095	1,013,404	5,240,869	1,916,594	1,916,594	
Total Fund Expenditures	**10,703,070**	**1,261,072**	**28,358,293**	**7,915,808**	**7,915,808**	
Ending Fund Balance	4,202,019	4,061,896	0	0	0	
Total Requirements	**16,289,117**	**6,637,902**	**29,740,109**	**9,283,585**	**9,283,585**	

Fund Overview

The Local Improvement District Fund accounts for the activities of the Assessments, Finance & Foreclosure division of the Auditor's Office. The fund finances local infrastructure improvements. The Assessments, Finance & Foreclosure division records assessments for local improvements financed by the fund and also for sidewalk repairs, code enforcement violation fee revenue, and system development charges for Portland Parks & Recreation, the Bureau of Environmental Services, Portland Water Bureau, and the Portland Bureau of Transportation. The division provides property owners with a variety of financing mechanisms to pay off their assessments.

Significant Changes from Prior Year

The size of the LID Fund budget is primarily driven by the number of LID construction projects in process and under consideration at any one time. It is anticipated that the budget will decrease significantly in FY 2014-15 as a result of the completion and final assessment of the Portland Streetcar Loop Extension projects in FY 2013-14.

Managing Agency

Office of the City Auditor

CITY OF PORTLAND OREGON
1851

Auditor's Office
Decision Packages

Decision Package Summary

Bureau: Office of the City Auditor **Priority:** 01 **Type:** Critical Needs

Decision Package: AU_01 - TRIM Expansion **Program:** Archives and Records Management

	FY 2014-15 Requested 1 Time DP	FY 2014-15 Requested Ongoing DP	FY 2014-15 Requested Budget	FY 2015-16 Estimated Budget	FY 2016-17 Estimated Budget	FY 2017-18 Estimated Budget	FY 2018-19 Estimated Budget	
EXPENDITURES								
Personnel Services	0	226,308	226,308	413,421	425,825	247,294	254,712	0
External Materials and Services	649,000	190,467	839,467	212,067	212,067	212,067	212,067	0
Internal Materials and Services	41,473	37,123	78,596	140,069	180,893	227,941	356,826	0
TOTAL EXPENDITURES	**690,473**	**453,898**	**1,144,371**	**765,557**	**818,785**	**687,302**	**823,605**	**0**
REVENUES								
General Fund Discretionary	318,791	209,564	528,355	353,457	378,033	317,327	380,259	0
General Fund Overhead	371,682	244,334	616,016	412,100	440,752	369,975	443,346	0
TOTAL REVENUES	**690,473**	**453,898**	**1,144,371**	**765,557**	**818,785**	**687,302**	**823,605**	**0**
FTE								
Full-Time Positions	0.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE	0.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00

Description:

This decision package provides funding for implementation of the City Auditor's 5 year plan to improve electronic records management and deploy the City's electronic records management tool, TRIM, to all City employees. It is aligned with the City Attorney's package to improve the City's response to public records requests. The plan in this decision package addresses all of the recommendations made by the Citywide TRIM Steering Committee and presented to Council in August 2013. Specific expenditures include: purchasing additional TRIM licenses and maintenance on those licenses; rolling current license maintenance paid by Police and BES into the Auditor's Office budget; increasing staffing by 3 FTE ongoing and 3 limited term FTE in years 2 and 3 to support bureaus in developing classification schedules, training, and implementing TRIM; contracted training development and general integration support; purchasing and maintenance of supporting software; BTS project and infrastructure costs; and storage. Further detail on the budget and a summary of the 5 year plan are provided in the "Supplemental Materials" section of the Auditor's Requested Budget.

Realignment/Delay Options: The Auditor's Office has delayed putting this package forward for Council consideration for a number of years, due to prior years' fiscal environment and to give the Steering Committee time to finalize its recommendations. Further delaying a solution that reaches all bureaus and employees will have a compounding effect on the poor state of much of the City's electronic records management and further put the City at risk for catastrophic loss, mounting storage costs, and litigation. This request seeks to increase staffing and purchase 2,300 new TRIM licenses, which cannot be achieved within the Auditor's Office budget through realignment without eliminating or crippling other bureau programs to the point where they could no longer continue to serve the public or meet the requirements of City Charter or code.

Expected Results:

The expected result of this package will be a transformation in the way the City manages, retains, and makes available its electronic records. City records and information will be managed and protected as appropriate to any critical asset. Employees at all levels will have the necessary training and tools to properly manage the electronic records and email in compliance with public records laws, City rules and archival preservation standards. These practices will become ingrained in the City culture.

With increased control and organization over electronic records and email, bureaus will be able to more quickly access current information and will begin to see a reduction in the amount of duplicative and useless information stored on City servers. Bureaus will be able to respond efficiently to public records requests and litigation related document production. Disaster recovery will be aided by ensuring the preservation of all documents and allowing ease of access to important legal and operational documents. Long-term and permanent digital assets will be managed in an environment that will ensure their preservation. The system will allow bureaus both to apply robust security and access controls to confidential documents as well as to make frequently requested records and reports available to the public as a PortlandOnline link or through Efiles.

Decision Package Summary

Bureau: Office of the City Auditor **Priority:** 02 **Type:** Realignments

Decision Package: AU_02 - Realignment: Council minutes support staff **Program:** Council Clerk/Contracts Division

	FY 2014-15 Requested 1 Time DP	FY 2014-15 Requested Ongoing DP	FY 2014-15 Requested Budget	FY 2015-16 Estimated Budget	FY 2016-17 Estimated Budget	FY 2017-18 Estimated Budget	FY 2018-19 Estimated Budget	
EXPENDITURES								
Personnel Services	0	13,548	13,548	0	0	0	0	0
External Materials and Services	0	(13,548)	(13,548)	0	0	0	0	0
TOTAL EXPENDITURES	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**
FTE								
Part-Time Positions	0.00	0.25	0.25	0.00	0.00	0.00	0.00	0.00
TOTAL FTE	0.00	0.25	0.25	0.00	0.00	0.00	0.00	0.00

Description:

This realignment package moves $13,548 from External Materials and Services to Personnel Services and increases the FTE of the Office Support Specialist II (OSS II). It is a companion package with AU_03 to restore the half-time OSS II position in the Council Clerk/Contracts Division to full time after last year's budget reduction. This position performs critical tasks for the program, including scanning and processing Council documents, assistance with Council minutes, front desk coverage, assistance with check and payment processing, and review of contract documents for processing and archiving.

Expected Results:

Reduction of this position last year from full time to half time significantly affected the division's ability to produce timely minutes of Council proceedings and ensure adequate coverage for all division functions. Restoration of this position to full time will allow the office to make progress toward its goal of making minutes available to the public within three months of Council meetings.

Decision Package Summary

Bureau: Office of the City Auditor **Priority:** 02 **Type:** Critical Needs

Decision Package: AU_03 - New .25 OSS II for Council minutes support **Program:** Council Clerk/Contracts Division

	FY 2014-15 Requested 1 Time DP	FY 2014-15 Requested Ongoing DP	FY 2014-15 Requested Budget	FY 2015-16 Estimated Budget	FY 2016-17 Estimated Budget	FY 2017-18 Estimated Budget	FY 2018-19 Estimated Budget	
EXPENDITURES								
Personnel Services	0	13,548	13,548	0	0	0	0	0
TOTAL EXPENDITURES	**0**	**13,548**	**13,548**	**0**	**0**	**0**	**0**	**0**
REVENUES								
General Fund Discretionary	0	6,255	6,255	0	0	0	0	0
General Fund Overhead	0	7,293	7,293	0	0	0	0	0
TOTAL REVENUES	**0**	**13,548**	**13,548**	**0**	**0**	**0**	**0**	**0**
FTE								
Full-Time Positions	0.00	0.25	0.25	0.00	0.00	0.00	0.00	0.00
TOTAL FTE	0.00	0.25	0.25	0.00	0.00	0.00	0.00	0.00

Description:

This add package requests new funding of $13,548 and .25 FTE to fully restore the Office Support Specialist II (OSS II) position in Council Clerk/Contracts. It is a companion package with AU_02, which also adds .25 FTE through realignment of existing Auditor's Office resources. This position performs critical tasks for the program, including scanning and processing Counci documents, assistance with Council minutes, front desk coverage, assistance with check and payment processing, and review of contract documents for processing and archiving.

Expected Results:

Reduction of this position last year from full time to half time significantly affected the division's ability to produce timely minutes of Council proceedings and ensure adequate coverage for all division functions. Restoration of this position to full time will allow the office to make progress toward its goal of making minutes available to the public within three months of Council meetings.

Auditor's Office
Supplementary Materials

CITY OF PORTLAND

Office of City Auditor LaVonne Griffin-Valade

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MEMORANDUM

Date: February 3, 2014

To: City Budget Office
From: LaVonne Griffin-Valade, City Auditor
Re: Five Year Financial Plan

The attached five year financial plan covers the operational portion of the Auditor's Office budget (General Fund) only; the three other funds managed by the bureau are not required to submit five year plans. Budget projections begin in FY 2014-15 and end in FY 2018-19. In determining the expenditure projections, an annual inflation factor of 4% has been assumed. The following projections are necessary to meet workload demand and strategic direction:

- The TRIM Expansion project, included as a decision package in our Requested Budget, is included in the projection beginning in FY 2014-15.

- Add .5 FTE Office Support Specialist II in the Council Clerk/Contracts Division to improve turnaround time on Council meeting minutes, improve coverage for multiple office functions, and complete special projects. This position was reduced to .5 FTE during the FY 2013-14 budget cuts and our ability to complete Council minutes has suffered significantly as a result. Included as a decision package in our requested budget.

- A study of Hearings Office funding is needed during FY 2014-15 to develop recommendations to address fluctuations in workload and revenue within this division. While the results of the study are unknown at this time and our assumptions could change, we have included projections in this plan to stabilize the Hearings Office budget beginning in year three. This establishes General Fund support for a baseline level of staffing at 1 Hearings Officer and 2 Hearings Clerks to accommodate the City's code appeal hearings. Additional staffing, through part-time or contracted Hearings Officer support, would come from outside revenue from agencies contracting with the Hearings Office (primarily TriMet), from fees collected for Land Use hearings, and from bureaus charged for tow hearings. This also addresses the equity concerns of some bureaus charging appellants for code appeal hearings, which currently cost $1,318.

- Add a .5 Deputy Ombudsman position in year two to accommodate anticipated increased workload as the Ombudsman program is strengthened.

- Add one additional position to increase activity in our Foreclosure program. This is not a General Fund supported program.

In addition, we recognize that there is a need to shore up the internal management capacity to provide better management support to the bureau. The Auditor's Office has become a more complex organization within the past decade, while the size and structure of the Management Services Division has remained essentially the same at 4.5 FTE, including the elected Auditor. The Chief Deputy Auditor serves as the Budget Manager, HR Manager, Exec, designated Bureau Director and direct supervisor for four Auditor's Office divisions. The City Elections Officer manages multiple programs and assists with bureauwide initiatives and special projects. The 1.5 FTE administrative personnel carry out all of the business processes essential to managing a bureau of 50 FTE, as well as provide frontline customer service and executive assistance for the Auditor and Chief Deputy.

We believe that the bureau could operate more efficiently and effectively with a Business Manager or similar professional position that aligns with the 21st Century needs of the Auditor's Office. However, we are acutely aware of the difficulty of increasing administrative staff while front line City service providers are stretched to meet service demands. For that reason, we did not include a new administrative position in our projections, but will continue to research, perhaps with the assistance of HR, whether adding a Business Manager to this bureau makes sense.

Office of the City Auditor

Summary of Five-Year Financial Plan

	Revised FY 2013-14	Requested FY 2014-15	Projected FY 2015-16	Projected FY 2016-17	Projected FY 2017-18	Projected FY 2018-19
RESOURCES						
General Fund Discretionary	3,139,069	4,391,814 0	4,384,151 0	4,570,709 0	4,660,790 0	4,879,931
Miscellaneous	5,500	5,500 0	5,500 0	5,500 0	5,500 0	5,500
Bureau Overhead Recovery (from LID fund)	N/A	749,657 0	859,642 0	894,028 0	929,789 0	966,981
Interagency Revenues	840,476	115,750 0	75,380 0	78,395 0	81,531 0	84,792
Charges for Service	398,512	262,275 0	272,766 0	283,677 0	295,024 0	306,825
Overhead Recovery	4,999,159	5,120,456 0	5,146,612 0	5,365,614 0	5,471,362 0	5,728,614
TOTAL RESOURCES	**$9,382,716**	**$10,645,452**	**$10,744,051**	**$11,197,923**	**$11,443,995**	**$11,972,643**
EXPENDITURES						
Personal Services	5,570,785	5,824,943	6,371,001	6,621,708	6,691,012	6,956,178
External Materials & Services	1,431,460	2,317,488	1,749,209	1,810,694	1,874,639	1,941,141
Internal Materials & Services	2,380,471	2,503,021	2,623,841	2,765,520	2,878,345	3,075,323
Total Bureau Requirements	9,382,716	10,645,452	10,744,051	11,197,923	11,443,995	11,972,643
Fund Requirements						
Total Expenditures	**$9,382,716**	**$10,645,452**	**$10,744,051**	**$11,197,923**	**$11,443,995**	**$11,972,643**
PROGRAMS						
Audit Services	2,233,798	2,253,760	2,343,910	2,437,667	2,535,173	2,636,580
Positions	12.12	12.12	12.12	12.12	12.12	12.12
Independent Police Review	1,570,564	1,495,973	1,555,812	1,618,044	1,682,766	1,750,077
Positions	11.50	11.50	11.50	11.50	11.50	11.50
Council Clerk/Contracts	770,569	833,751	867,101	901,785	937,856	975,371
Positions	6.50	7.00	7.00	7.00	7.00	7.00
Archives & Records Management	2,528,627	3,706,561	3,392,605	3,552,418	3,492,671	3,703,265
Positions	7.00	10.00	13.00	13.00	10.00	10.00
Hearings Office	648,426	612,243	636,733	662,202	688,690	716,238
Positions	3.50	3.50	3.50	3.50	3.50	3.50
Assessment, Finance & Foreclosure	682,496	749,656	859,642	894,028	929,789	966,981
Positions	3.00	3.00	4.00	4.00	4.00	4.00
Ombudsman Office	222,585	231,453	295,711	307,540	319,841	332,635
Positions	1.50	1.50	2.00	2.00	2.00	2.00
Management Services	725,651	762,055	792,537	824,239	857,208	891,497
Positions	4.50	4.50	4.50	4.50	4.50	4.50
Positions						
TOTAL PROGRAMS	**$9,382,716**	**$10,645,452**	**$10,744,051**	**$11,197,923**	**$11,443,995**	**$11,972,643**
Positions	**49.62**	**53.12**	**57.62**	**57.62**	**54.62**	**54.62**

TRIM Citywide Implementation Project Summary

Project Manager: Tim Hunt, Records Management Specialist, 503-865-4107
Project Sponsor: Sarah Landis, Chief Deputy City Auditor, 503-823-4567

OVERVIEW

The TRIM expansion project seeks to mitigate the many concerns that stem from the City's lack of consistent, deliberate, and thorough management of its electronic records. The project implements mandatory records management training for all City employees, expands the availability and use of the City's electronic records management system (TRIM), provides continued support and ongoing training, and establishes regular monitoring and reporting of compliance with electronic records management requirements. The initial five year implementation and continued support of the expanded program will require additional resources for the Archives and Records Management Division of the Auditor's Office.

OBJECTIVES

- Implement mandatory training on public records requirements and responsibilities for all City employees
- Train all City employees in proper recordkeeping practices for electronic records and email
- Provide TRIM software and training as the tool to manage electronic information in compliance with recordkeeping responsibilities and preservation standards
- Develop records management compliance monitoring and reporting mechanisms

PROJECT ACTIVITY MILESTONES

YEAR ONE

- Prior to beginning of fiscal year, convene project governance/steering committee
- Establish administrative rules to institute mandatory Citywide records management training
- Create a comprehensive online, interactive records management training and testing curriculum
- Create a baseline, standardized naming and classification structure to apply retention, preservation and access control requirements to commonly generated electronic records and email
- Acquire necessary software licenses
- Work with BTS to establish integration with Office 365
- Work with BTS to establish infrastructure requirements
- Begin ongoing project communication campaign
- Begin TRIM integration for identified pilot group

YEAR TWO

- Launch mandatory records management training through existing CityLearner system
- Conduct TRIM installation and training for Phase I workgroups as identified by governance/steering committee
- Establish ongoing helpdesk and support groups for trained workgroups
- Conduct local administrator and power user training

YEAR THREE

- Conduct TRIM installation and training for Phase II workgroups as identified by governance/steering committee
- Refine training curriculum as necessary based on Phase I implementation
- Establish ongoing end user statistics reports
- Establish ongoing reports on data storage, including impact on office file share directories

YEAR FOUR

- Conduct TRIM installation and training for Phase III workgroups as identified by governance/steering committee
- Begin electronic recordkeeping compliance monitoring and reporting: apply to workgroups that have had TRIM implemented for at least 18 months; provide implementation status updates on other workgroups
- Consider bureau requests for customized TRIM installations beyond the baseline model

YEAR FIVE

- Conduct TRIM installation and training for Phase IV workgroups as identified by governance/steering committee
- Transition governance/steering committee from project implementation focus to ongoing advisory role on major records policy issues
- Continue usage and compliance monitoring and reporting
- Conduct customer satisfaction survey for workgroups that have undergone implementation
- Transition from project implementation to program maintenance

FY 2014-15 Auditor's Office Requested Budget – TRIM Decision Package Supplementary Materials

TRIM Expansion Costs - Five Year Implementation

	Description	FY 14/15	FY 15/16	FY16/17	FY 17/18	FY 18/19	5 Year Total
1	Staffing A/RM Assistant - limited term (@$28.90/hr. inc. 3% annual increase)[1]		$ 60,108.00	$ 61,911.24			$ 122,019.24
2	Staffing A/RM Assistant - limited term (@$28.90/hr. inc. 3% annual increase)[1]		$ 60,108.00	$ 61,911.24			$ 122,019.24
3	Staffing A/RM Assistant - limited term (@$28.90/hr. inc. 3% annual increase)[1]		$ 60,108.00	$ 61,911.24			$ 122,019.24
4	Staffing A/RM Assistant - ongoing (@$28.90/hr. inc. 3% annual increase)[1]	$ 60,108.00	$ 61,911.24	$ 63,768.58	$ 65,681.63	$ 67,652.08	$ 319,121.54
5	Staffing A/RM Assistant, Senior - ongoing (@ $39.95/hr. inc. 3% annual increase)[2]	$ 83,100.00	$ 85,593.00	$ 88,160.79	$ 90,805.61	$ 93,529.78	$ 441,189.19
6	Staffing A/RM Assistant, Senior - ongoing (@ $39.95/hr. inc. 3% annual increase)[2]	$ 83,100.00	$ 85,593.00	$ 88,160.79	$ 90,805.61	$ 93,529.78	$ 441,189.19
7	Internal Materials & Services costs for new staff (est. $20,000/ 3 FTE)	$ 20,000.00	$ 40,000.00	$ 40,000.00	$ 20,000.00	$ 20,000.00	$ 140,000.00
8	BTS Project $ - ongoing @ $103/hr	$ 20,000.00	$ 30,000.00	$ 10,000.00	$ 10,000.00	$ 10,000.00	$ 80,000.00
9	**Total staffing costs**	**$ 266,308.00**	**$ 483,421.24**	**$ 475,823.88**	**$ 277,292.86**	**$ 284,711.65**	**$ 1,787,557.63**
10							
11	TOC QA oversight[3]	$ 21,600.00	$ 21,600.00	$ 21,600.00	$ 21,600.00	$ 21,600.00	$ 108,000.00
12	PTE Contract - training development	$ 60,000.00					$ 60,000.00
13	PTE Contracts - general integration	$ 20,000.00	$ 20,000.00	$ 20,000.00	$ 20,000.00	$ 20,000.00	$ 100,000.00
14	**Total contractor costs**	**$ 101,600.00**	**$ 41,600.00**	**$ 41,600.00**	**$ 41,600.00**	**$ 41,600.00**	**$ 268,000.00**
15							
16	HP/TRIM Purchase of 2300 HP/TRIM licenses[4]	$512,400.00					$ 512,400.00
17	HP/TRIM Current Maintenance for 1700 licenses	$133,250.00	$133,250.00	$133,250.00	$133,250.00	$133,250.00	$666,250.00
18	Back out current Auditor's maintenance	($90,000.00)	($90,000.00)	($90,000.00)	($90,000.00)	($90,000.00)	($450,000.00)
19	HP/TRIM Maintenance for 2300 new licenses	$114,817.00	$114,817.00	$114,817.00	$114,817.00	$114,817.00	$574,085.00
20	Kapish TRIM Explorer 1250 licenses	$50,000.00					$ 50,000.00
21	Kapish TRIM Explorer annual maintenance	$10,000.00	$10,000.00	$10,000.00	$10,000.00	$10,000.00	$50,000.00
22	Kapish TRIM Folder Wizard site license upgrade to 4,000 users	$5,000.00					$ 5,000.00
23	Kapish TRIM Folder wizard annual maintenance	$2,400.00	$2,400.00	$2,400.00	$2,400.00	$2,400.00	$12,000.00
24	**Total software costs**	**$737,867.00**	**$170,467.00**	**$170,467.00**	**$170,467.00**	**$170,467.00**	**$1,419,735.00**
25							
26	New Server setup ($7123/unit)[5]	$ 14,246.00	$ 7,123.00	$ 7,123.00	$ 7,123.00	$ 7,123.00	$ 42,738.00
27	Annual Server Maintenance ($7123/unit)[5]		$ 14,246.00	$ 21,369.00	$ 28,492.00	$ 35,615.00	$ 99,722.00
28	Storage - BTS 50 GB disks ($405.84 per 50GB disk, Tier 1)[5]	$ 24,350.00	$ 48,700.00	$ 97,401.00	$ 162,336.00	$ 284,088.00	$ 616,875.00
29	Software - SQL upgrade			$ 5,000.00			$ 5,000.00
30	**Total server/storage costs**	**$ 38,596.00**	**$ 70,069.00**	**$ 130,893.00**	**$ 197,951.00**	**$ 326,826.00**	**$ 764,335.00**
31							
32	**Total Costs over 5 years**	**$ 1,144,371.00**	**$ 765,557.24**	**$ 818,783.88**	**$ 687,310.86**	**$ 823,604.65**	**$ 4,239,627.63**

[1] based on Grade 2 entry level
[2] based on Grade 5 entry level
[3] contingent on whether Technology Oversight Committee chooses to oversee project
[4] there is an option to spread payments over 3 years
[5] based on BTS FY 2013-14 service catalog rates

TRIM Expansion Costs Explanatory Notes

Line #	Budget Projection line item	Description
1	Staffing A/RM Assistant - limited term (@$28.90/hr. inc. 3% annual increase)	Responsibilities will include: assembling and reporting data on web-based mandatory training completion; scheduling and tracking live TRIM training for targeted user groups; supporting live TRIM instruction; surveying trained groups to identify and report problems or gaps; providing low level user support for groups that have been trained.
2	Staffing A/RM Assistant - limited term (@$28.90/hr. inc. 3% annual increase)	
3	Staffing A/RM Assistant - limited term (@$28.90/hr. inc. 3% annual increase)	
4	Staffing A/RM Assistant - ongoing (@$28.90/hr. inc. 3% annual increase)	The A/RM Assistant will, under supervision, support a range of activities necessary to successfully complete the 5-year implementation. This position will provide support in the following areas: presentation of scripted outreach content explaining the implementation process to targeted user groups; gathering user group data on existing records management and filing practices; maintaining pre-implementation checklists for groups scheduled to receive TRIM; delivering scripted classroom TRIM training material; initial following up on identified problems for trained groups; providing medium level user support.
5	Staffing A/RM Assistant, Senior - ongoing (@ $39.95/hr. inc. 3% annual increase)	There will be two A/RM Assistant, Senior positions, both working under direction. One will concentrate on the records management components of the initial and ongoing training and TRIM implementation. The other will focus on the technical administration of the TRIM system. The non-technical position will focus on activities in the following areas: creation of records management and TRIM training and reference materials; leading in-person TRIM training sessions; updating bureau record retention schedules; developing general and bureau specific TRIM classification plans; confirming that targeted user groups have completed prerequisites for implementation; evaluating training feedback; addressing identified non-technical problems for trained groups; gathering information about business systems that may maintain official City records; developing power user training and conducting user group workshops; providing high level user support. The technical position will focus on activities necessary to maintain the smooth operation of the TRIM system. These will include: running routine TRIM and SQL database maintenance scripts; monitoring storage usage; TRIM location and group administration; processing delete requests; non-routine import/export of records data from/to other systems; high level troubleshooting and user support for technical issues; development of local administrator training and reference materials; conducting local administrator training.
6	Staffing A/RM Assistant, Senior - ongoing (@ $39.95/hr. inc. 3% annual increase)	
7	Internal Materials & Services costs for new staff	Costs associated with technology, facilities, EBS, Risk, etc.

8	BTS Project $ - ongoing @ $103/hr	This figure is reserved for BTS services that may be charged back to the Auditor's Office. Services may include testing and executing integration between TRIM and other City systems; support during major TRIM software upgrades; and server/storage work not covered by standard BTS maintenance agreement.
11	TOC QA oversight	The Auditor's Office gave an informational presentation to the Technology Oversight Committee and, if funding is approved, will submit a formal request for oversight. Since TRIM is already existing proven technology and since the anticipated challenges are more likely to be related to user "change management", the actual figure may be lower than projected. If the TOC decides its oversight is not required these funds will not be expended.
12	PTE Contract - training development	This line item is for the creation of online citywide mandatory records management training. Working with a consultant who specializes in adult learning, training and testing development, A/RM will translate and adapt its current in-person training to a web-based curriculum delivered through the existing CityLearner system. The resulting work product will act as a template for training in other areas related to the project implementation, such as initial and ongoing TRIM user instruction. The projected cost is based on industry standard estimates compiled by the EBS Division Training and Development Office. Note: this portion of the project was submitted for consideration to the Innovation Fund Task Force. If funding is received, this line item will be reduced or eliminated.
13	PTE Contracts - general integration	These funds are to be used for TRIM related work that cannot be completed by existing A/RM staff alone. An example is TRIM integration with a City business application to automate the capture and preservation of records created in the application. These funds would also be used in the event that a major TRIM upgrade required external assistance.
16	HP/TRIM Purchase of 2300 HP/TRIM Licenses	This purchase will bring the number of TRIM licenses citywide to 4,000. That figure was arrived at based on the number of email accounts that are tied to individual users and takes into consideration that some users may have email accounts but never create official records. The cost per license is based on a budgetary quote from HP and requires that the licenses be purchased at one time. The total payment, however, can be spread over 3 years if requested by the City.
17	HP/TRIM Current Maintenance for 1700 licenses	The Auditor's Office portion of the annual license maintenance cost is already budgeted, and is being backed out of the existing maintenance costs, the balance of which is currently borne by BES and the Bureau of Police. This budget request will transfer the BES and Police costs back to the Auditor's Office.
18	Back out current Auditor's maintenance	
19	HP/TRIM Maintenance for 2300 new licenses	Although the initial cost of new licenses can, at the City's request, be spread over 3 years, the maintenance for the total number of licenses must be paid annually.
20	Kapish TRIM Explorer 1250 licenses	TRIM Explorer is a utility that allows users to access the system using their familiar Windows Explorer environment rather than opening the TRIM application itself. This purchase will acquire enough licenses to allow us to assess whether that functionality increases user acceptance significantly.
21	Kapish TRIM Explorer annual maintenance	

22	Kapish TRIM Folder Wizard site license upgrade to 4,000 users	TRIM Folder Wizard is a utility that is especially useful for workgroups that tend to generate similar sets of records frequently. Users create templates for different types of projects or work activities and use the templates to create a simple or complex set of record folders with the appropriate naming conventions, retention and access control properties automatically applied.
23	Kapish TRIM Folder wizard annual maintenance	
26	New Server setup ($7123/unit)	These projections are based on HP recommendations that a workgroup server be added for every 500 users in the system. Costs are based on BTS FY 2013-14 service catalog rates.
27	Annual Server Maintenance ($7123/unit)	
28	Storage - BTS 50 GB disks ($405.84 per 50GB disk, Tier 1)	This projection is the most difficult to predict. Variables include: the number of large file-size records entered, such as audio, video and drawing/design files; the proportion of short-term vs. long-term records entered; whether workgroups catalog legacy records from existing network directories or begin from a given point forward; and how effectively workgroups adopt recordkeeping best practices to reduce unnecessary duplication. The growth rate provided is based on TRIM usage over the past several years. Costs are based on BTS FY 2013-14 service catalog rates. Storage costs can be lowered by using Tier 3 storage where appropriate.
29	Software - SQL upgrade	During the course of the 5 year implementation it is expected that the Microsoft SQL license, which runs the system database, will need to be upgraded.