

# Office of the City Auditor

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FY 2020-21  
Requested Budget



PORTLAND  
**CITY AUDITOR**  
Mary Hull Caballero



**Operations Management**

**Lobbyist Registration & Political Consultant Programs**

**Council Clerk & Contracts**

**Independent Police Review**

**Ombudsman**

**Elections**

**Archives & Records Management**

**Audit Services**



PORTLAND  
**CITY AUDITOR**  
Mary Hull Caballero

29 January 2020

To: Mayor Ted Wheeler  
Commissioner Chloe Eudaly  
Commissioner Amanda Fritz  
Commissioner Jo Ann Hardesty  
City Budget Director Jessica Kinard

<b>Request</b>	\$ 11.5 million
<b>Budget Note</b>	\$ 170,888
<b>Cuts</b>	\$ 0
<b>Staff</b>	51 full-time

From: Auditor Mary Hull Caballero

*Mary Hull Caballero*

Re: Fiscal Year 2020-21 Requested Budget

City Council demonstrated its commitment to a more independent Auditor's Office when it referred a ballot measure to amend the Charter in 2017. Voters resoundingly supported it, adding critical safeguards to our independence and providing administrative separation from the bureaus that are subject to our oversight.

Yet, the independence of the Auditor's Office remains incomplete. Our budget is still subject to line-item control by City Council through the City's budget process. A budget is an expression of values, and it is essential that the budget of the Auditor's Office be an expression of the elected Auditor's goals, values, and priorities. Without budgetary independence, even the independence safeguards now in Charter may be undermined.

**Request for Budget Note:**

I am asking Council to again reaffirm its commitment to accountability and transparency by adopting a budget note to pilot a framework for setting the Auditor's Office's budget. The framework establishes a funding cap that the Auditor must operate within and provides for modest growth over a five-year horizon. There is a process to adapt the model in case of an economic downturn that affects City revenue. As a pilot, City Council is only committing to a test period, which may be revised if it does not work as intended or supplanted if a better model emerges.

The framework protects the Auditor's independence by rightfully vesting control over line-item decisions in the elected Auditor, while also still ensuring that Council meets its fiduciary obligations under State Law. More information about the budget note request, including a spending cap forecast and detail, are available in this document.

# PORTLAND CITY AUDITOR

MARY HULL CABALLERO

FY 2020-21 REQUESTED BUDGET

ACCOUNTABILITY

TRANSPARENCY

SUPPORT

## HEARINGS OFFICE

Provide public hearings and objective decisions based on City Code on matters over which City Council grants it jurisdiction

## NOTABLE CHANGE

The Auditor transferred responsibility for administrative support to the City Hearings Office back to City Council, effective July 1, 2020.

## AUDIT SERVICES

Promote equitable, efficient, effective, and fully accountable City government

## INDEPENDENT POLICE REVIEW

Improve police accountability, promote higher standards of police services, and increase public confidence

## OMBUDSMAN

Resolve complaints and make recommendations to improve administrative practices and procedures

## ARCHIVES AND RECORDS

Provide record retention schedules, records storage, confidential records destruction, and historical records preservation

## COUNCIL CLERK/CONTRACT

Administrator of Council sessions, final approval of City contract documents, and disburse payments

## ELECTIONS/LOBBYIST REGISTRATION

Manage elections processes for the City, administer the Lobbyist Registration program and Political Consultants Registration program

## OPERATIONS MANAGEMENT

Provide leadership, accountability, and support for all activities of the office

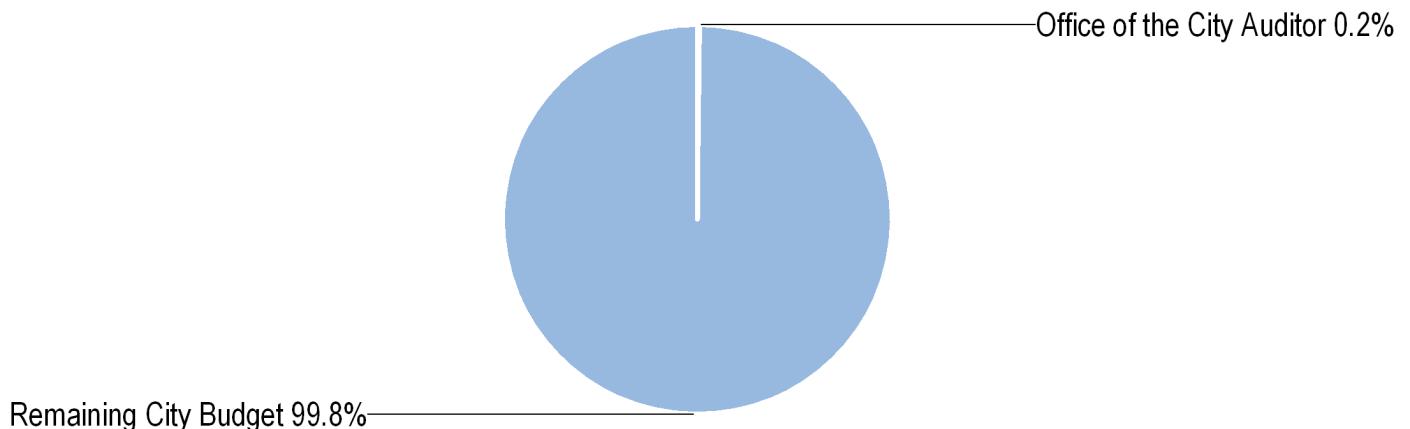
Requesting a **budget note** for a pilot to fund the Auditor's Office in a way that preserves its independence from those who are subject to its oversight.

# Office of the City Auditor

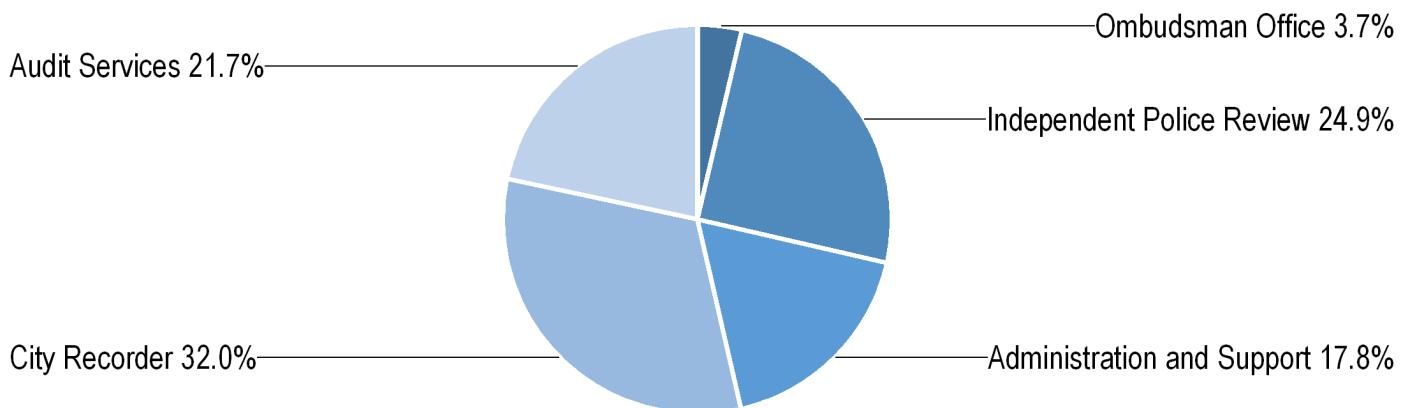
Elected Officials Service Area

Mary Hull Caballero, City Auditor

**Percent of City Budget Graph**



**Bureau Programs**

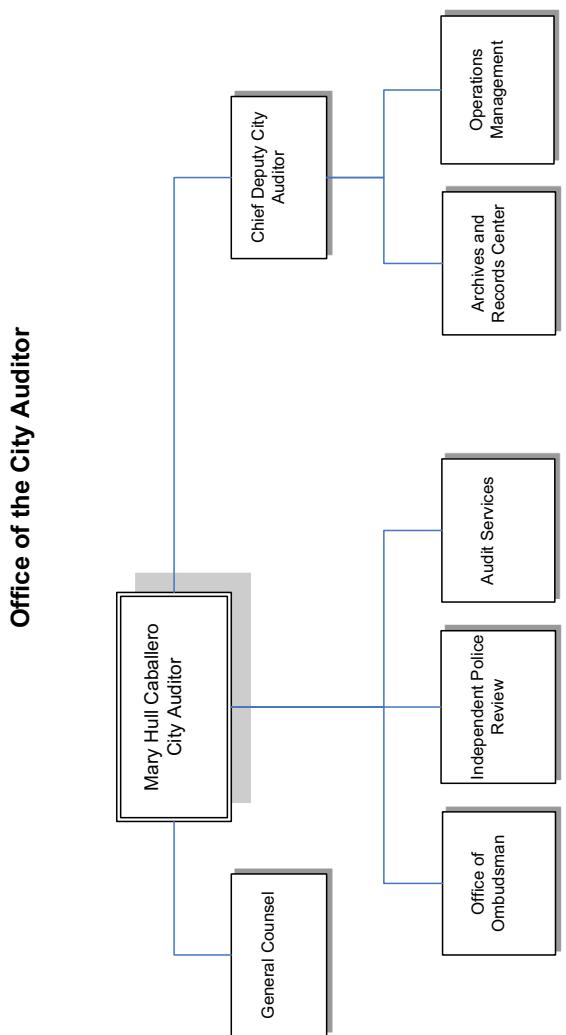


## Bureau Overview

Requirements	Revised FY 2019-20	Requested FY 2020-21	Change from Prior Year	Percent Change
Operating	\$11,806,586	\$11,499,676	\$(306,910)	(3)%
Capital	\$0	\$0	\$0	0%
<b>Total</b>	<b>\$11,806,586</b>	<b>\$11,499,676</b>	<b>\$(306,910)</b>	<b>(3)%</b>
Authorized Positions	55.00	51.00	(4.00)	(0)%

# **Office of the City Auditor**

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## Bureau Summary

### Mission

To promote open and accountable government by providing independent and impartial reviews, access to public information, and services for City government and the public.

### Overview

Portland has had a City Auditor since 1865 and an elected City Auditor since 1891. As the sixth elected official in Portland's government, the Auditor is functionally independent of City Council and accountable only to the public.

The Auditor's Office has fifty-one employees carrying out their work in five divisions. The divisions primarily responsible for holding the City accountable are Audit Services, Independent Police Review, and the Ombudsman. The divisions responsible for ensuring the City remains transparent are Archives and Records Management and staff in the newly-formed Operations Management division, which provides officewide operational support and includes the Council Clerk, City Elections, and the Lobbyist and Political Consultants Registration Program.

The Auditor transferred responsibility for administrative support to the City Hearings Office back to City Council, effective July 1, 2020. A decision on its new administrative location had not been made by this budget's deadline. Information about the transfer can be found in the Supplemental Information section.

The FY 2020-21 Requested Budget for the Auditor's Office is about \$11.5 million.

### Strategic Direction

#### **Resolve Structural Conflicts in Setting the Auditor's Budget**

A Charter amendment approved by voters in 2017 to protect the independence of the Auditor's Office took a step toward improving the likelihood that the Auditor's budget would be based on the Auditor's responsibilities rather than Council priorities. The broad language in the Charter, however, requires a framework for how it will be implemented. We are renewing a similar proposal for setting the Auditor's budget that mitigates the structural conflict that exists when those we audit and investigate control our line-item resource levels, ensures Council can meet its fiduciary duty, and enables the Auditor to plan and direct predictable resources to the Auditor's priorities. If the requested budget note is adopted by Council, the Auditor's Office would develop a five-year planning horizon to meet its obligations and achieve strategic goals. If it is not, we will explore other avenues to protect the independence of the Auditor's Office from budgetary control by those we audit and investigate.

## Office of the City Auditor

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<b>Improve Awareness Among Underserved Communities</b>	We will continue implementing an outreach plan to raise awareness among underserved communities about the information and services provided by the Auditor's Office. One goal is to develop reciprocal relationships with various organizations to learn what their constituent communities think about City services and programs and use the information to prioritize audit and policy review topics. We also want to raise the profile of the City Ombudsman and Independent Police Review as sources of help when an issue with the City needs to be investigated. The Auditor's Office plans to fill an existing vacant position by the end of the current fiscal year with a coordinator to manage officewide outreach activities. This move will help the Auditor's Office achieve its equity and operational goals.
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### Summary of Bureau Budget

	Actuals FY 2017-18	Actuals FY 2018-19	Revised FY 2019-20	Requested No DP FY 2020-21	Requested FY 2020-21
<b>Resources</b>					
<b>External Revenues</b>					
Charges for Services	1,339,634	1,517,694	100,665	100,665	100,665
Bond & Note	815,833	15,342,104	0	0	0
Miscellaneous	7,779,483	7,850,656	6,500	6,500	6,500
<b>External Revenues Total</b>	<b>9,934,950</b>	<b>24,710,454</b>	<b>107,165</b>	<b>107,165</b>	<b>107,165</b>
<b>Internal Revenues</b>					
General Fund Discretionary	5,450,562	6,712,074	6,898,210	6,875,587	6,875,587
General Fund Overhead	4,454,893	4,467,741	4,590,251	4,516,924	4,516,924
Interagency Revenue	339,565	149,415	210,960	0	0
<b>Internal Revenues Total</b>	<b>10,245,020</b>	<b>11,329,230</b>	<b>11,699,421</b>	<b>11,392,511</b>	<b>11,392,511</b>
Beginning Fund Balance	18,453,937	0	0	0	0
<b>Resources Total</b>	<b>38,633,907</b>	<b>36,039,684</b>	<b>11,806,586</b>	<b>11,499,676</b>	<b>11,499,676</b>
<b>Requirements</b>					
<b>Bureau Expenditures</b>					
Personnel Services	6,614,763	7,116,439	7,370,296	7,273,229	7,273,229
External Materials and Services	1,193,259	1,416,659	1,647,342	1,466,505	1,466,505
Internal Materials and Services	3,745,285	3,509,083	2,788,948	2,759,942	2,759,942
<b>Bureau Expenditures Total</b>	<b>11,553,307</b>	<b>12,042,180</b>	<b>11,806,586</b>	<b>11,499,676</b>	<b>11,499,676</b>
<b>Fund Expenditures</b>					
Debt Service	6,491,309	11,893,353	0	0	0
Fund Transfers - Expense	1,626,096	12,104,151	0	0	0
<b>Fund Expenditures Total</b>	<b>8,117,406</b>	<b>23,997,504</b>	<b>0</b>	<b>0</b>	<b>0</b>
Ending Fund Balance	18,963,194	0	0	0	0
<b>Requirements Total</b>	<b>38,633,907</b>	<b>36,039,685</b>	<b>11,806,586</b>	<b>11,499,676</b>	<b>11,499,676</b>
<b>Programs</b>					
Administration & Support	1,605,206	1,555,240	1,853,022	2,046,349	2,046,349
Assessments & Improvements	1,346,538	1,341,213	—	—	—
Assessments, Finance & Foreclosure	(0)	543	—	—	—

**Summary of Bureau Budget**

	<b>Actuals FY 2017-18</b>	<b>Actuals FY 2018-19</b>	<b>Revised FY 2019-20</b>	<b>Requested No DP FY 2020-21</b>	<b>Requested FY 2020-21</b>
Audit Services	2,078,885	2,255,234	2,534,900	2,490,539	2,490,539
City Recorder	3,410,469	3,501,534	3,533,174	3,674,428	3,674,428
Hearings Office	703,164	628,566	897,841	—	—
Independent Police Review	2,064,310	2,391,661	2,600,617	2,865,249	2,865,249
Ombudsman Office	344,735	368,190	387,032	423,111	423,111
<b>Total Programs</b>	<b>11,553,307</b>	<b>12,042,180</b>	<b>11,806,586</b>	<b>11,499,676</b>	<b>11,499,676</b>

# Office of the City Auditor

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## FTE Summary

Class	Title	Salary Range		Revised FY 2019-20		Requested No DP FY 2020-21		Requested FY 2020-21	
		Min	Max	No.	Amount	No.	Amount	No.	Amount
30003201	Auditor - Administrative Specialist II	48,277	93,018	3.00	251,347	3.00	251,347	3.00	251,347
30003204	Auditor - Administrative Specialist III	53,290	102,648	1.00	84,968	1.00	84,968	1.00	84,968
30003205	Auditor - Analyst I	53,290	102,648	2.00	171,537	2.00	171,537	2.00	171,537
30003211	Auditor - Analyst II	63,336	109,491	1.00	106,766	1.00	106,766	1.00	106,766
30003218	Auditor - Analyst III	69,805	131,248	1.00	84,784	1.00	106,080	1.00	106,080
30003202	Auditor - Archives&RecordsCoordinator I	48,277	93,018	2.00	135,803	2.00	135,803	2.00	135,803
30003206	Auditor - Archives&RecordsCoordinator II	53,290	102,648	1.00	92,206	1.00	92,206	1.00	92,206
30003212	Auditor - Archives&RecordsCoordinatorIII	63,336	109,491	2.00	193,876	2.00	193,876	2.00	193,876
30003228	Auditor - Audit Services Director	92,851	168,834	1.00	133,952	1.00	133,952	1.00	133,952
30003213	Auditor - Business Systems Analyst II	63,336	109,491	1.00	95,888	1.00	95,888	1.00	95,888
30003225	Auditor - City Archivist	80,205	145,808	1.00	112,528	1.00	112,528	1.00	112,528
30003229	Auditor - City Auditor Chief Deputy	92,851	168,834	1.00	116,272	1.00	116,272	1.00	116,272
30003226	Auditor - City Ombudsman	80,205	145,808	1.00	126,235	1.00	126,235	1.00	126,235
30003208	Auditor - Clerk to City Council	53,290	102,648	1.00	96,283	1.00	96,283	1.00	96,283
30003209	Auditor - Coordinator II	53,290	102,648	1.00	83,054	1.00	83,054	1.00	83,054
30003214	Auditor - Coordinator III	63,336	109,491	1.00	100,942	1.00	100,942	1.00	100,942
30003354	Auditor - Coordinator IV	69,805	131,248	1.00	72,530	1.00	101,889	1.00	101,889
30003232	Auditor - General Counsel	111,696	197,246	1.00	128,731	1.00	128,731	1.00	128,731
30003230	Auditor - Hearings Officer, Chief	92,851	168,834	1.00	114,566	0.00	0	0.00	0
30003215	Auditor - Investigator I	63,336	109,491	8.00	674,969	8.00	700,378	8.00	700,378
30003222	Auditor - Investigator II	69,805	131,248	1.00	106,766	1.00	106,766	1.00	106,766
30003231	Auditor - IPR Director	92,851	168,834	1.00	114,896	1.00	125,341	1.00	125,341
30003227	Auditor - Manager I	80,205	145,808	2.00	212,540	2.00	228,072	2.00	228,072
30003210	Auditor - Performance Auditor I	53,290	102,648	2.00	123,857	2.00	163,218	2.00	163,218
30003216	Auditor - Performance Auditor II	63,336	109,491	5.00	508,678	5.00	508,678	5.00	508,678
30003223	Auditor - Performance Auditor III	69,805	131,248	3.00	266,768	3.00	296,127	3.00	296,127
30003224	Auditor - Supervisor II	69,805	131,248	1.00	72,530	1.00	101,889	1.00	101,889
30000003	Auditor, City	114,254	125,694	1.00	125,694	1.00	125,694	1.00	125,694
30000028	Hearings Clerk	48,173	72,899	2.00	139,610	0.00	0	0.00	0
30000012	Office Support Specialist II	34,798	57,510	1.00	55,890	1.00	55,890	1.00	55,890
30000013	Office Support Specialist III	44,512	67,870	2.00	125,881	2.00	130,747	2.00	130,747
<b>Total Full-Time Positions</b>				<b>53.00</b>	<b>4,830,347</b>	<b>50.00</b>	<b>4,781,157</b>	<b>50.00</b>	<b>4,781,157</b>

**FTE Summary**

Class	Title	Salary Range		Revised FY 2019-20		Requested No DP FY 2020-21		Requested FY 2020-21	
		Min	Max	No.	Amount	No.	Amount	No.	Amount
30003203	Auditor - Coordinator I	48,277	93,018	1.00	50,170	1.00	71,594	1.00	71,594
	<b>Total Limited Term Positions</b>			<b>1.00</b>	<b>50,170</b>	<b>1.00</b>	<b>71,594</b>	<b>1.00</b>	<b>71,594</b>
30003221	Auditor - Hearings Officer	69,805	131,248	1.00	65,277	0.00	0	0.00	0
	<b>Total Part-Time Positions</b>			<b>1.00</b>	<b>65,277</b>	<b>0.00</b>	<b>0</b>	<b>0.00</b>	<b>0</b>
	<b>Grand Total</b>			<b>55.00</b>	<b>4,945,794</b>	<b>51.00</b>	<b>4,852,751</b>	<b>51.00</b>	<b>4,852,751</b>



# Operations Management

## Program Description & Goals

Operations Management was created in December 2019 and merged the Council Clerk/Contracts division with the Management Services division. The division serves as the Auditor's executive office, providing accountability, transparency, and administrative support internally and for City Council.

Internally, the division provides business operations and communications, legal counsel, budget, accounting, timekeeping, procurement, human resources, and other administrative services. The office also supports City Council by preparing weekly agendas, recording meeting minutes, and maintaining objective documentation of City Council business. The City Elections Office, and the lobbyist and political consultant registration program, and Citywide contract review functions also operate within Operations Management. The division acts as liaison for responsibilities that need Citywide coordination and is the Auditor's Office contact point for other offices throughout the City government.

In FY 2019-20, the division focused on supporting the Auditor's office independence in human resources and procurement, developing an electronic agenda filing system, and identifying other administrative efficiencies. In FY 2020-21, the division will focus on deploying the electronic filing system, meeting performance goals for publicly posting Council meeting minutes, and cross training staff from both divisions to create a cohesive unit.

The goal for posting Council meeting minutes is three months from the date of a meeting, but limited staffing has contributed to a backlog. The Auditor has taken steps to streamline operations by delegating non-Council related tasks, such as vendor and payroll payments, to other City bureaus. Once the transfer of duties is completed, staff will have additional capacity to ensure minutes are publicly available in a timely manner. To measure and improve internal and external customer service, the Elections Office has begun tracking response times to all ethics, elections, and other inquiries to its office. The office has thus far responded to 99 percent of all requests for assistance, information, filings, or advice within two business days.

A dashboard of Auditor's office performance measures, including additional detail and trends for each measure, are available from the "About Us" section of the Auditor's web page.

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## Explanation of Services

The Auditor's executive support helps implement the Auditor's priorities and ensures that each division provides consistent and timely services to the public and other City offices. Services include business operations, project management, legal counsel, communications, and administrative support.

Council Clerk staff develops, facilitates, and maintains accurate and objective documentation of City Council business. As the administrator of Council sessions, Council Clerk staff prepares the agenda, processes ordinances and resolutions, compiles official minutes, and provides easy access to Council proceedings. Staff also produces the official versions of City Charter and Code, and gives final approval of contracts.

The Elections Officer provides procedural information and determines whether candidates and initiatives are eligible for the ballot. Lobbyists and political consultants also must register and report activity to Operations Management.

## Equity Impacts

Operations Management coordinates and supports progress on the office's five-year racial equity plan. Staff strategizes with divisions to align equity goals with strategic or work plans and provides technical assistance to streamline collection of demographic data, develop partnerships, integrate an equity lens and evaluate progress. All divisions are implementing plans related to the office's overall goals, which were developed in conjunction with the Auditor, management, staff, and the Diversity and Equity Committee.

Operation Management's division equity plan includes improving equitable access to the hiring process and City Council meetings; identifying disparities in employee retention, evaluation, and discipline; and conducting outreach and communication that reaches traditionally underrepresented populations. A dashboard of progress on these and other equity goals will be published on the Auditor's Office website for public review.

The division's Title II Americans with Disabilities Act and Title VI Civil Rights Act liaison assists with periodic review of vital documents requiring translation as well as acting as the recipient of public complaints about access, accommodation, and compliance.

## Changes to Program

The Management Services and Council Clerk/Contracts divisions merged in December 2019 to form the Operations Management division. The merger intends to streamline administrative support to both City Council and other Auditor's Office divisions, providing greater efficiency to both operations and securing appropriate backup to critical functions.

In addition to the merger, in FY 2019-20, the division developed and implemented internal policies, procedures, and administrative rules to increase the Auditor's Office's independence from other City bureaus. The division also expects to have completed development of an electronic filing system for the Council Clerk, to be implemented in early FY 2020-21.

## Program Budget

	FY 2017-18 Actuals	2018-19 Actuals	2019-20 Revised	2020-21 Requested
<b>Bureau Expense</b>				
External Materials and Services	65,345	82,629	180,132	407,484
Internal Materials and Services	640,400	392,697	367,351	479,865
Personnel	899,460	1,079,914	1,130,663	1,752,797
<b>Sum:</b>	<b>1,605,206</b>	<b>1,555,240</b>	<b>1,678,146</b>	<b>2,640,146</b>
	FTE	6.5	8	9
				16

**Resources:** This program is funded through the City's General Fund; revenues are split between discretionary and overhead and total approximately \$2.6 million

**Expenses:** The division has stable and predictable spending related to Personnel and Internal Materials and Services.

External Materials and Services spending is more variable. Use of these funds are tied to transcription of Council videos, the Auditor's priorities and strategic plans for professional development for managers, consulting services, special projects, and other officewide services and materials.

**Staffing:** Operations Management has 16 full-time equivalent employees, including the elected Auditor. Personnel in the division are administrative and professional staff that facilitate officewide operations in five divisions, provide support for management, and administer a variety of Council Clerk functions.

**Assets and Liabilities:** N/A

## Program Information

<b>Bureau:</b>	Office of the City Auditor	<b>Program Contact:</b>	Joshua McNeal IV
<b>Website:</b>	<a href="http://www.portlandoregon.gov/auditor/">www.portlandoregon.gov/auditor/</a>	<b>Contact Phone</b>	503-823-3610

# Audit Services

## Program Description & Goals

The mission of the Audit Services division is to promote equitable, efficient, effective, and fully accountable City government. To accomplish this mission, the division conducts independent audits in accordance with Government Auditing Standards to provide objective information and recommendations to City elected officials, managers, and the public.

In FY 2018-19 the division completed 71 percent of the annual audit plan, below the goal of 75 percent. This is attributed to two positions being vacant for part of the year.

In FY 2018-19, City management implemented, or was in the process of implementing, 86 percent of audit recommendations, a slight increase from the prior year's implementation rate of 85 percent and above the goal of 85 percent.

A dashboard of Auditor's Office performance measures, including additional detail and trends for each measure, are available from the "About Us" section of the Auditor's web page.

## Explanation of Services

Portland's form of government and Charter mandate accountability in the form of an elected auditor. Charter and Code specify that the Auditor shall conduct and coordinate audits according to Government Auditing Standards. Staff also manages a contract with an accounting firm to audit the City's financial statements and a fraud hotline.

A performance audit is an independent examination of the how the government is operating. Auditors assess evidence against objective criteria to develop recommendations for improvement. Performance audits can introduce new perspectives, tools, and approaches to deal with challenges. Objective assessments of performance may prompt a new course of action, recognize achievements, and identify areas for improvement.

Performance audits benefit the City by increasing the transparency of City operations through improved performance when audit recommendations are implemented. Audit Services now reports publicly on implementation of recommendations.

The division undergoes peer review for quality control every three years, a process that helps ensure its work is conducted in accordance with professional standards. The Audit Services division successfully passed reviews beginning in 1993, and its next review is scheduled for 2020.

## Equity Impacts

Audit Services takes steps in the audit process to evaluate the impact of City services on all residents and any disparate impacts on communities of color.

First, the division is soliciting audit topic ideas online, attending public meetings to listen to community concerns, and expanding community outreach with the intent to prioritize audit topics that matter to the community.

Second, early in each project auditors brainstorm potential equity impacts to determine whether the program being audited adversely affects vulnerable communities, whether the bureau tracks and is addressing those disparities, and who in the community should be consulted during audit fieldwork. In many cases data is not readily available to identify disparate impacts. In that case, auditors consider whether additional audit fieldwork is needed to assess potential disparities.

Finally, in each audit, the division is working to reach out to community members impacted by the program. Auditors do this through interviews, surveys, and outreach to community groups.

In the past year, the division created a cross-team equity lead. This lead will track and assess efforts to improve equity analysis in audits and serve as a resource for all audit teams for outreach to underrepresented groups.

## Changes to Program

The division restructured staffing within existing levels to create two Performance Auditor III positions and two Performance Auditor I positions. The changes are intended to provide experienced auditors with lead responsibilities to improve succession planning and to attract and train new, highly-qualified staff to the Auditor's Office.

The division also began issuing public reports on bureau implementation of audit recommendations and now investigates reports to the Auditor's Office Fraud Hotline.

## Program Budget

	FY 2017-18 Actuals	2018-19 Actuals	2019-20 Revised	2020-21 Requested
<b>Bureau Expense</b>				
External Materials and Services	464,633	609,185	710,036	585,508
Internal Materials and Services	212,140	236,786	258,503	298,200
Personnel	1,402,112	1,409,263	1,566,361	1,606,831
<b>Sum:</b>	<b>2,078,885</b>	<b>2,255,234</b>	<b>2,534,900</b>	<b>2,490,539</b>
	FTE	11.8	10.9	11

**Resources:** This program is funded through the City's General Fund; revenues are split between discretionary and overhead and total approximately \$2.5 million.

**Expenses:** The division has stable and predictable spending related to Personnel and Internal Materials and Services.

External Materials and Services spending varies. Most of these funds pay for services provided by an accounting firm to audit the City's financial statements. The remaining funds (approximately \$100,000) pay for annual training required by Government Auditing Standards and technical expertise. Spending on consultants varies based on the annual audit schedule developed by the City Auditor. In FY 2019-20, Audit Services used an outside firm to conduct a construction audit of payment controls for the Portland Building renovation.

**Staffing:**

The division includes nine full-time auditors and one director. All auditors meet continuing professional education requirements, and many have professional certifications, including Certified Internal Auditor, Certified Government Auditing Professional, and Certified Fraud Examiner. All auditors are members of the Association of Local Government Auditors.

**Assets and Liabilities:** N/A

**Program Information**

<b>Bureau:</b>	Office of the City Auditor	<b>Program Contact:</b>	Kari Guy
<b>Website:</b>	www.portlandoregon.gov/auditor/ auditservices	<b>Contact Phone</b>	503-823-3544

# Archives & Records Management

## Program Description & Goals

The mission of Archives & Records Management is to ensure an open and accountable government through public records, which supports the Auditor's mission to promote transparency and accountability. The division accomplishes this through records policies, training, managing the Archives & Records Center, and administering the City's electronic records management and retention system, known as TRIM.

In FY 2018-19, division staff assisted 809 researchers and estimate that number for FY 2019-20. Public and employee demand for access to historical records is difficult to anticipate.

Use of the public portal for accessing City business and historical records continues to increase. That is an indicator of the division's success in providing a centralized repository for City records. The goal for FY 2018-19 was 90,000 visits and the actual number of visitors was 98,829, just above the 90,000-visitor estimate. The target for FY 2019-20 is 100,000 visits.

A dashboard of Auditor's Office performance measures, including additional detail and trends for each measure, are available from the "About Us" section of the Auditor's web page.

## Explanation of Services

All City records must be maintained in accordance with public records laws, and the City Charter gives the Auditor responsibility for maintaining all official records. Archives & Records Management provides Citywide services for records management and retention, administration of the electronic records management system, and archives.

The City's records are critical to the operations of the City and they document how the City fulfills its public responsibilities. Archives and Records Management provides records retention and management training to ensure employees meet their legal responsibilities and encourage access to greater number of records for the public. The City's archival records represent the deep history of city policies, projects, and operations, but also continue to serve as valuable business records for bureaus.

The community's interests in government archives are diverse. They range from documenting property history influencing current development to identifying actions that impact a community. While the City's archives are bureaucratic records, they also contain rich social history of the communities of Portland.

The division targets outreach to underserved communities so they know the resources available to them and serves as a clearinghouse to help guide people to the information they need. Staff uses its deep and broad knowledge of City government to connect employees and the public to needed information.

## Equity Impacts

Community access, engagement, and partnerships are the primary tenets of the Auditor's Office equity plan. Archives and Records Management's contribution to the plan is (1) documenting current communities that use services and identifying gaps in service with the goal of improving engagement with underserved communities; (2) determining records that reflect communities of color and other traditionally underserved communities and making them more available through focused digitization and database functionality; and (3) partnering with City bureaus to help them fulfill their own equity goals through public records access. Moving the plan forward, Archives has started collecting zip code data to identify gaps in active service usage; digitized and made publicly available records reflecting early Chinese history and the Black Panther Party; and revised the TRIM implementation project work form that asks if the project helps to fulfill the bureau's equity plan.

## Changes to Program

As interest in public records increases, more City employees and community members are accessing TRIM and E-Files (the public portal to TRIM). Assisting with public records requests and research continues at a level that is often impacted by the public's interest in City activities and by current bureau projects. The division is also engaged in partnerships and initiatives to build public awareness of City information resources in underrepresented communities. Recent efforts include partnering with Don't Shoot PDX to connect equity work with family and community history, promoting and making it easier to find historical collections documenting the experiences of communities of color, and collaborating with professional organizations specializing in supporting secondary teachers by providing information and records about civics and equity topics.

Archives and Records Management is working with Technology Services to launch an email management pilot with employees from around the City. If successful, it may result in Citywide adoption. City offices continue to request assistance with electronic records management and implementing TRIM in their bureaus. Most implementation requires analysis of bureau record-keeping practices.

In FY 2019-20, the division is expected to implement the new software system CORE (Capture, Organize, and Retain Email). It's a technical solution for managing email that reduces the burden for City employees yet meets legal records retention requirements. Archives and Records Management is partnering with Technology Services to pilot CORE to a group of City employees. If the pilot is successful, the division will work to implement CORE City-wide.

## Program Budget

	FY 2017-18 Actuals	2018-19 Actuals	2019-20 Revised	2020-21 Requested
<b>Bureau Expense</b>				
External Materials and Services	109,027	137,514	240,741	239,265
Internal Materials and Services	1,573,706	1,569,410	1,520,670	1,454,185
Personnel	842,896	899,894	887,659	963,663
<b>Sum:</b>	<b>2,525,629</b>	<b>2,606,818</b>	<b>2,649,070</b>	<b>2,657,113</b>
FTE	7	7	7	7

**Resources:** This program is funded through the City's General Fund; revenues are split between discretionary and overhead and total approximately \$2.7 million.

**Expenses:** The division has stable and predictable spending related to Personnel and Internal Materials and Services. Rent and debt service for the Portland Archives and Records Center accounts for most of the expenditures, followed by costs associated with the enterprise server for TRIM. External Materials and Services spending varies. Spending is mostly focused on outreach and events connected to the division's workplan and equity goals, fixed TRIM license maintenance costs, staff training and education, materials and equipment for Portland Archives and Records Center operations, and contracted professional services.

**Staffing:** Archives and Records Management is made up of seven full-time-equivalent employees whose focus is managing, preserving, and making accessible public records according to local, state, and federal laws and to professional standards. In addition to having the educational degree requirements established by the Society of American Archivists, most employees are certified through the Association of Certified Archivists. A number of student and part-time casual workers assist staff with projects associated with Archives and Records Center operations.

Creating an additional staff position to keep up with bureau demands for electronic records management assistance is a future priority.

**Assets and** N/A

**Liabilities:**

#### Program Information

**Bureau:** Office of the City Auditor

**Program Contact:** Diana Banning

**Website:** [www.portlandoregon.gov/auditor/archives](http://www.portlandoregon.gov/auditor/archives)

**Contact Phone** 503-865-4110

# Independent Police Review

## Program Description & Goals

Independent Police Review (IPR) 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, conducts investigations, reviews and participates in ongoing police administrative investigations, and monitors and reports on complaint status.

IPR received 408 complaints from community members in 2019, which follows trends from recent years.

One of IPR's main functions is serving as the intake point for community member complaints about the Police Bureau. IPR's goal is to complete intake investigations within 21 days. The median number of days it took IPR staff to complete an intake investigation was 21 in 2019, down from 26 days in 2018. IPR also has the authority to conduct full independent investigations of alleged police misconduct, with the goal of completing administrative investigations in 70 days. The median number of days for independent investigations was 60 days, down from 76 days in 2018. This decrease in intake and investigation time is due to an increased focus on and tracking of internal deadlines for different phases of investigations and continued work on a process for referring complaints that seem to be best resolved by management intervention rather than disciplinary action to Police Bureau supervisors for further investigation.

A dashboard of Auditor's Office performance measures, including additional detail and trends for each measure, are available from the "About Us" section of the Auditor's web page.

## Explanation of Services

Independent Police Review is the sole City agency authorized to accept complaints about sworn members of the Portland Police Bureau. It independently investigates allegations of misconduct, provides system reviews of police bureau policies, and initiates its own administrative investigations.

A U.S. Justice Department investigation found in 2012 that Portland Police Bureau used excessive force against individuals experiencing mental illness. In 2014, the City negotiated a settlement with the Department of Justice that called for sweeping changes to the way Portland's police accountability system operates. The settlement agreement calls for IPR to have the ability to conduct independent investigations of alleged officer misconduct. Additionally, Oregon revamped its anti-police profiling statute (HB 2002 passed in 2015). Both federal and state requirements led IPR to expand its investigative resources to include allegations involving high-ranking Police Bureau officers, allegations of bias, and street protests. IPR has increased the number of investigations it conducts, from none in 2012 to 24 in recent years.

IPR centers its outreach program on reaching historically marginalized communities, such as communities of color, recent immigrants, and people experiencing homelessness. Recent outreach efforts have focused on these communities that are underrepresented in IPR's complaint data.

In 2019, IPR used its policy review and recommendation function to examine the Police Bureau's role in responding to Portland's homeless crisis. The Police Bureau agreed to several IPR recommendations on how it can improve data collection and transparency as well as strengthen existing policies and procedures.

## Equity Impacts

IPR serves a critical function in meeting the City's equity goals. IPR's accountability function disproportionately serves historically marginalized communities. African Americans are six percent of Portland's population but account for 20 percent of IPR's complaints. Additionally, a significant percentage of IPR complaints come from community members who live in North and East Portland, areas in which the City has historically struggled to provide adequate services.

IPR's outreach efforts are aimed at communities where institutional or cultural barriers inhibit reporting of alleged officer misconduct. For example, our data shows the Latinx community and recent immigrants file complaints at lower levels than other members of the community. IPR conducts outreach events in underserved areas in partnership with community stakeholders to hear culturally specific concerns about police accountability.

## Changes to Program

In FY 2019-20, IPR hired a new management team and adjusted its management structure. The new structure is comprised of a Director, Deputy Director, Investigations Coordinator, and Policy and Outreach Coordinator. The Investigations Coordinator supervises the eight complaint investigators and ensures quality and timeliness of investigations. The Director and Deputy Director review both IPR and Internal Affairs investigations and focus on community outreach and policy issues related to oversight of the Police Bureau.

## Program Budget

	FY 2017-18 Actuals	2018-19 Actuals	2019-20 Revised	2020-21 Requested
<b>Bureau Expense</b>				
External Materials and Services	113,628	137,418	154,981	170,648
Internal Materials and Services	266,366	317,391	327,125	470,138
Personnel	1,684,316	1,936,853	2,118,511	2,224,463
<b>Sum:</b>	<b>2,064,310</b>	<b>2,391,661</b>	<b>2,600,617</b>	<b>2,865,249</b>
FTE				
	14.5	16	16	16

**Resources:** This program is funded through the City's General Fund; revenues are fully discretionary and total approximately \$2.9 million.

**Expenses:** The division has stable and predictable spending related to Personnel and Internal Materials and Services. External Materials and Services spending is used for staff education and training, professional expertise needed for reviews of officer involved shootings and in-custody deaths, translation and interpretation services, and other special projects. There also will be a joint expense with the Police Bureau to purchase a new complaint and accountability database, which will allow the City to better meet its reporting requirements under the Department of Justice settlement agreement.

**Staffing:** IPR has 16 full-time-equivalent employees. There are seven investigators, one lead investigator, one analyst, one outreach coordinator, and two administrative support staff. Management consists of a division director, deputy director, policy & outreach coordinator, and investigations coordinator.

**Assets and**

**Liabilities:** N/A

## Program Information

**Bureau:** Office of the City Auditor

**Website:** [www.portlandoregon.gov/auditor/  
ipr](http://www.portlandoregon.gov/auditor/ipr)

**Program Contact:** Ross Caldwell

**Contact Phone** 503-823-2815

# Ombudsman's Office

## Program Description & Goals

The Ombudsman's Office is an independent advocate for a fair, equitable, and just City government. In response to complaints from the public about City services, the Ombudsman conducts impartial investigations and resolves problems informally. If a complaint is substantiated, the Ombudsman will work with the complainant and the bureau to find a fair and equitable solution and may advocate for improvements to policies or procedures.

There were 439 requests for assistance in calendar year 2019. A key goal for calendar year 2019 was for bureaus to accept at least 85 percent of the Ombudsman's recommendations; the actual acceptance rate was 95 percent.

A dashboard of Auditor's Office performance measures, including additional detail and trends for each measure, are available from the "About Us" section of the Auditor's web page.

## Explanation of Services

The Ombudsman's Office is uniquely situated to independently and impartially review complaints from community members who feel wronged by City government. Even the best functioning bureaucracy will sometimes make mistakes, treat people unfairly, or simply reach the wrong decision. The Ombudsman's role is to help correct those errors, seek redress for people who have been treated unjustly, and improve trust in City government. The option of having an independent third party assess complaints is of particular importance in a commission form of government, where legislators also serve as administrative leaders.

The Ombudsman is meant to complement – not replace or duplicate – traditional modes of resolving differences between the public and City agencies. Distinguishing features of the Ombudsman's Office include:

- The Ombudsman is independent from the bureaus it investigates and is responsible only to the elected City Auditor and the public interest;
- The Ombudsman does not represent the complainant or the bureaus; rather, the Ombudsman is a neutral intermediary and advocate for good government;
- The Ombudsman conducts thorough, apolitical investigations of City bureau administrative acts and recommends appropriate changes; and
- As the central repository for complaints, the Ombudsman is positioned to discern complaint trends, observe any patterns of administrative unfairness, and approach problem-solving from a Citywide perspective.

The Ombudsman's Office is staffed by two full-time employees. To make the most of its limited resources, the Ombudsman prioritizes complaints where there is a potential for the highest impact. This means the Ombudsman often takes on difficult, complex issues where the potential for an unjust result is acute, that suggest a systemic problem, or involve an important principle of good government.

The community seeks out the Ombudsman as a last resort. The Ombudsman's resolution of a complaint can determine whether they remain in their home, keep the water from being shut off, or stay in business. Where complaints are unfounded, the Ombudsman explains why the City's actions were reasonable and fair.

## **Equity Impacts**

The Ombudsman includes equity as part of the administrative fairness analysis for individual complaint investigations and builds equity into recommendations to bureaus. The Ombudsman also continues to work on developing its capacity to conduct data-driven systemic reviews that assesses the equity-related impacts of specific City programs and practices.

In 2019, the Ombudsman started tracking disaggregated quantitative data about complainant racial/ethnic heritage. The Ombudsman will analyze this data on a yearly basis to determine whether its services are equitably rendered, make any needed programmatic adjustments, and continue to gather demographic data to ensure continual improvement.

The Ombudsman continues efforts to implement the Auditor's Office's strategic communications and outreach plan that focuses on improving access to services by historically underrepresented communities.

## **Changes to Program**

None.

## Program Budget

	FY 2017-18 Actuals	2018-19 Actuals	2019-20 Revised	2020-21 Requested
<b>Bureau Expense</b>				
External Materials and Services	13,705	15,791	22,294	18,565
Internal Materials and Services	33,893	41,182	43,953	57,554
Personnel	297,137	311,217	320,785	346,992
<b>Sum:</b>	<b>344,735</b>	<b>368,190</b>	<b>387,032</b>	<b>423,111</b>
	FTE	2	2	2

**Resources:** This program is funded through the City's General Fund; revenues are split between discretionary and overhead and total approximately \$420,000.

**Expenses:** The Ombudsman has stable and predictable spending related to Personnel and Internal Materials and Services.

External Materials and Services spending is used for the Ombudsman's priorities for professional development, public awareness of and access to services, and occasional special projects. The program is expected to increase spending on targeted outreach and strategic communications.

**Staffing:** The Ombudsman's Office consists of two full-time employees: the Ombudsman and a Deputy Ombudsman. Staff responsibilities include intake of the public's complaints; investigation or facilitation; recommendations for resolution of individual complaints; and policy recommendations to City management and legislative bodies. The Ombudsman is also responsible for program administration, performance management, budgeting, and strategic planning.

No staffing changes are forecasted for the near future; however, additional staff capacity is needed so that the Ombudsman can conduct adequate outreach and undertake additional systemic reviews.

**Assets and Liabilities:** N/A

## Program Information

<b>Bureau:</b>	Office of the City Auditor	<b>Program Contact:</b>	Margie Sollinger
<b>Website:</b>	www.portlandoregon.gov/ombudsman	<b>Contact Phone</b>	503-823-4503



## Auditor's budget-setting proposal protects independence

The Auditor's Office requests that City Council approve a budget note to create this pilot to test a different approach in setting its budget over a five-year period.

The pilot will address two systemic problems. The first is the inherent conflict that exists when the subjects of audits and investigations determine which resources will be available to the office that conducts the audits and investigations. The second is the fact that the Auditor's Office is the only City entity without a vote – and therefore without a champion – when budget decisions are made.

Auditors hold the executive branch of City government accountable through audits and investigations and report their findings to the public. In most local governments, auditors formally present reports to representatives of the legislative branch, which also decides the auditors' budgets. The checks and balances in these governments protect auditors from having their budgets decided by executive branch officials, who, displeased with the outcome of an audit, may be unsupportive of the auditor's accountability role.

This is not the case with Portland's commission form of government, where the Mayor and four Commissioners are both executives and legislators. The Auditor is the sixth elected official in Portland with

distinct but equal responsibilities to promote accountability and transparency.

During the budget process, Commissioners champion their own budget priorities and have a vote to improve the likelihood they will be funded. The Auditor has no such vote. This puts the Auditor's Office in the unenviable position of competing for funds knowing a dollar for the Auditor is one Commissioners cannot spend on their own priorities.

### Proposal builds on Charter amendment

A Charter amendment approved by voters in 2017 took a step toward improving the likelihood that the Auditor's budget would be based on the Auditor's responsibilities rather than Council priorities. The broad language in the Charter, however, requires a framework for how it will be implemented.

This proposal resolves the conflict-of-interest problem, ensures the Auditor's Office has access to the resources it needs to meet its Charter and Code obligations, and provides enough flexibility to address goals set by the elected Auditor. It also aligns with the City's move this year to de-emphasize lengthy discussions about individual line-items to focus more on policy priorities over a longer planning horizon.

The model proposed is based on one used by State Legislature to set the Tax Supervising and Conservation Commission's budget. The Commission is an independent body that reviews the budgets of 28 municipal corporations in Multnomah County, including the City of Portland's, to ensure they comply with the State's local budget law before they are adopted. The Legislature sets a budget cap based on a percentage increase over 10 years, and the Commission must operate within the cap.

#### **Pilot: Auditor must operate below a spending cap**

The Auditor's Office proposes a pilot to set a funding cap over five years, starting in FY 2020-21 and ending with FY 2024-25. The pilot establishes a maximum funding level for the Auditor's Office and requires the Auditor to manage spending below the cap.

The funding cap would be the annual Current Appropriation Level plus 1.5 percent in Year 1, and the Current Appropriation Level for Years 2 through 5 plus 1.0 percent each year. For reference, the average annual increase for the Auditor's Adopted Current Appropriation Level Target since FY 2015-16 is 4.63 percent, ranging from a low of -0.5 percent to a high of 12 percent. The pilot represents modest but predictable incremental increases below the historical average.

Exceptions to the percentage increases that establish the funding cap would be permitted for budget adjustments with Council approval in cases of sizeable unanticipated expenditures, such as legal

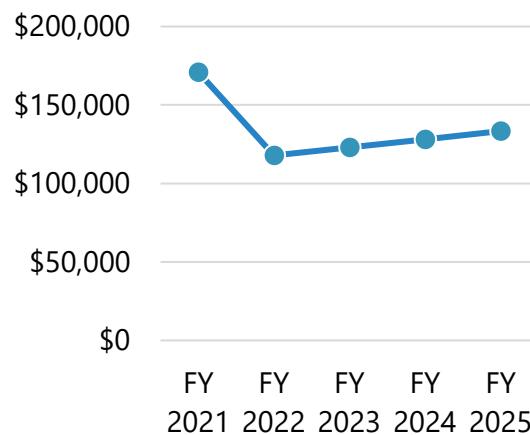
judgments or facilities repairs. Council must provide additional funds in instances in which the Auditor consents to new or expanded responsibilities through Code changes or when voter-approved Charter changes require new resources to implement.

Changes to the maximum funding level may also be necessary based on a December revenue forecast that reflects economic conditions that may result in substantial Citywide cuts. In that context, the Mayor and Auditor would negotiate an appropriate funding level to be included in the Mayor's proposed budget. Any cuts to the Auditor's Office budget would be consistent with cuts experienced across the City, but only if they also apply to other elective offices.

#### **Spending cap over five years (%)**

<b>Pilot</b>	<b>CAL +</b>
Year 1	1.5%
Year 2	1%
Year 3	1%
Year 4	1%
Year 5	1%

#### **Modest increase over five years (\$)**





P O R T L A N D  
**CITY AUDITOR**  
Mary Hull Caballero

August 16, 2019

To: Ted Wheeler, Mayor  
Commissioner Chloe Eudaly  
Commissioner Nick Fish  
Commissioner Amanda Fritz  
Commissioner Jo Ann Hardesty

From: City Auditor Mary Hull Caballero

Re: Withdrawing consent to administratively support City's Hearings Office

I have made the difficult decision to withdraw my consent to continue supporting the Hearings Office within the Auditor's Office because it is understaffed and its caseload is increasing. The risks these conditions pose to the City did not persuade you to approve a modest funding request during the budget process, and I am unwilling to continue subsidizing its operations with staff and resources assigned to other divisions in the Auditor's Office.

This decision will become effective by the end of this fiscal year, so plans for the transition should begin soon. Please provide by Sept. 16 the name of the person who will manage the move on Council's behalf.

The City's Hearings Office acts on behalf of Council. It's where people go to get an impartial decision from an independent legal expert when they have a dispute with the City. The Auditor's Office has provided it an independent home and administrative support since 1991 through Charter Section 2-507(a)(6), which says that the Auditor may take on additional duties from Council with the Auditor's consent.

I firmly support the mission of the Hearings Office and am proud that it offers an affordable and accessible way for Portlanders to seek an impartial review of City decisions that materially affect them. What began as part of the Bureau of Buildings to hear property maintenance cases, the Hearings Office has grown into a full-fledged administrative tribunal that handles land use, Code enforcement, and an array of municipal matters for which Council has created appeal avenues. Within the last year, we hired Chief Hearings Officer William Guzman, who quickly showed himself to be a consummate professional, highly capable manager, and excellent hearings officer.



Unfortunately, despite my best efforts over many years to fix the flawed funding model for the Hearings Office, I have been unable to secure the resources necessary to make it self-sufficient and stable. In the absence of appropriate funding, I repeatedly must redirect resources from other divisions in my office to ensure that statutory deadlines and critical operations needs are met. This takes away from the important accountability and transparency work that forms the mission of the Auditor's Office and interferes with my ability to achieve the objectives I have set for it.

To give Council time to reassign responsibility for City Hearing's Office, I will continue providing support for it through June 30, 2020. I suggest finding a Bureau that can both provide support and mitigate the risk posed by its increasing caseload and understaffing, which I detailed in my requested budget presentation. The key ethical consideration for its location is a Bureau that does not provide for appeal rights in Code or otherwise send cases to be heard by the Hearings Office.

My staff and I are committed to a smooth transition and will do our best to prepare the new steward of the Hearings Office for success. We look forward to meeting with your project manager to start planning the move.

## Requested Budget Equity Report

### Requested Budget & Racial Equity Plan Update:

The Auditor's Office Racial Equity Plan includes four officewide goals to:

1. Increase community access, engagement, and partnership;
2. Use data to inform racial equity decisions internally and externally;
3. Create a work environment and processes that integrate racial equity considerations; and
4. Be accountable to the racial equity plan.

In addition to an officewide effort, each division within the Auditor's Office developed an equity plan with specific goals and activities tied to officewide goals. In FY 2019-20, each division completed the planning process and began implementing their plans.

To increase community access, engagement, and partnership, several divisions began by identifying barriers to access. Other actions build on completed work by implementing strategies to improve access. For example, the Audit Services division has begun integrating community outreach and community member perspectives into the audit planning process. Other community outreach activities are in the planning phases and will be implemented in FY 2020-21.

Regarding the use of data to inform equity decisions, divisions implemented strategies and processes to improve or begin collecting demographic data in order to identify areas of disparity. For example, Archives and Records Management and the Ombudsman both began collecting data related to community members who access their services, and Independent Police Review (IPR) and Operations Management improved or enhanced their data collection and analysis practices to focus specifically on potential disproportional impact. Going forward, this data and analysis will be used to reduce disproportionate impact, identify barriers to access, and inform community outreach.

Divisions have progressed in integrating racial equity in several ways. For example, Archives and Records Management and Audit Services have implemented processes to solicit feedback and input from targeted, underserved community groups, to help identify preset searches for community records and inform audit topics. Additionally, IPR and the Ombudsman have begun using data to identify disproportionality in the decision-making process. In FY 2020-21, divisions will identify lessons learned from the first year of implementation and planning and make changes to improve the effectiveness of the equity strategies.

The Auditor's Office and divisions are held accountable for progress on the racial equity plans using an online dashboard accessible to all employees internally. Currently, the dashboard tracks progress on each individual activity. In FY 2020-21, the dashboard will begin reflecting the results of data analysis conducted by divisions and allow the office to ensure progress on achieving more equitable access and outcomes. Each division also participates in an officewide Equity Plan Implementation committee, which meets monthly to share progress, lessons learned, and identify opportunities for cross-division collaboration.

## Requested Budget Equity Report

**Racial Equity Plan Link:** <https://www.portlandoregon.gov/auditor/79839>

### Requested Budget Community Engagement:

In FY 2019-20, the office contracted with a consultant to develop outreach and awareness plans officewide and for individual divisions. The plans aim to build community awareness of the Auditor's Office and how to best to incorporate public feedback and needs. Work in FY 2020-21 will build on the recommendations of the consultant's work and create more robust and systematic methods of engaging with the community. Examples include:

- Creating a community outreach committee with representatives from most divisions to implement an officewide outreach strategy. The purpose of the strategy is to develop long-term, reciprocal relationships with community members and organizations, particularly traditionally underserved communities. This work will primarily be done with existing resources.
- Converting an existing vacant position to an outreach coordinator. The role will coordinate all outreach activities across the office, including a focus on under-served populations and affinity groups, and building capacity to maintain reciprocal relationships with community groups.
- The base budget for Independent Police Review includes a full-time position dedicated to community engagement and funding to support ongoing public involvement and materials and translation services. IPR recruits and trains volunteers for two police oversight advisory groups: The Citizen Review Committee and the Police Review Board. To gain a diverse pool of applicants, the office conducts extensive outreach and attends many events where women and immigrant community leaders gather.

### Base Budget Constraints:

No. The base budget includes the capacity to strategize and implement the Office's overall Racial Equity Plan through leadership, management, and monitoring by the office's Diversity and Equity Committee. The FY 2019-20 budget incorporated the implementation of the Division Equity Plans, which will continue into FY 2020-21.

### Notable Changes:

In FYI 2020-21, the Auditor's Office will continue to integrate equity and inclusion into the work, mostly working with existing resources. Notably, the office plans to fill an existing vacant position with a coordinator to lead and stream-line activities office-wide.

## Requested Budget Equity Report

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### **ADA Title II Transition Plan:**

The Auditor's Office participates in the City's ADA Title II Program Plan, adheres to its rules, and provides meaningful access to its programs and services. The office participates in targeted trainings, such as those for online-document accessibility. The office provides translation, accommodation, and interpretation in safe harbor languages for all vital documents and services.

### **Accommodations:**

The Auditor's Office provides translation, interpretation, and ADA accommodations in several of its divisions. Council Clerk/Contracts staff within Operations Management provides for live sign language interpretation and closed-captioning for people with hearing impairments of all Council meetings and Council work sessions. Approximately \$50,000 is spent annually on the contract for captioning.

Approximately \$4,000 based on current year estimates, is anticipated for FY 2020-21 for translation and interpretation services in Auditor's Office divisions, including Independent Police Review, Ombudsman's Office, and within Operations Management for Council-related accommodations.

The Auditor's Office regularly coordinates and funds translation, interpretation, and other accommodation requests for Council-member-specific meeting items and public communications. It also coordinates all requests received to access its services on an as-needed basis and regularly has vital documents translated when they are created or updated.

### **Capital Assets & Intergenerational Equity**

The Auditor's Office does not administer any capital assets.

City of Portland  
Auditor's Office  
**Requested Budget Equity Report**

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**Data Tracking Methodology:**

As noted, the base budget funds specific efforts to use data to track program access and service outcomes, and the Office intends to expand those efforts through the implementation of the Division Equity Plans. For example:

- Nearly all divisions have begun collecting demographic data related to community members who access their services. In FY 2020-21, the data will be analyzed to identify service gaps and disparity in outcomes.
- Some divisions, including Audit Services and Independent Police Review, have begun documenting targeted community outreach efforts to ensure community engagement is integrated into the work, tied to specific goals, and/or addressing identified service gaps.
- All divisions' racial equity plans include an action to measure progress toward goals. FY 2019-20 data will be analyzed to establish a baseline, with the goal of progression on racial equity goals in FY 2020-21.

**Hiring, Retention, & Employment Outreach:**

The demographics of the Auditor's Office generally are representative of Portland's population. The Auditor has used a competitive process for all recruitments for full-time, permanent positions, with the exception of the Chief Deputy, who was promoted from within the Office. Open positions are announced broadly and through job boards that cater to specific diverse audiences and affinity professional groups, depending on the position.

The Racial Equity Plan for Operations Management (formerly Management Services) includes a goal to conduct continuous monitoring of recruitment and retention efforts, with the eye toward identifying disparities in the process. The initial data analysis will be completed in FY 2020-21, and the results will be used to identify additional actions to address disparities.

**Contracting Opportunities**

The Auditor's Office uses a limited number of contracts. However, when outside expertise is required, the Auditor's Office ensures that the opportunity is advertised, certified firms are solicited when available, and that appropriate equity-related criteria are applied to bid scoring. The Auditor's Office also enlists volunteers from the Procurement Services' diverse evaluators pool to review proposals for the larger contracts managed by the Office.

## Requested Budget Equity Report

### Engaging and Empowering Communities Most Impacted by Inequities

The base budget funds specific activities in each division and officewide that impact underserved communities and reduce disparity in outcomes. These include but are not limited to:

- The office's outreach strategy aims to develop long-term, reciprocal relationships with historically underserved communities and those most burdened by inequities.
- Identifying service delivery issues or outcomes in actions taken by City bureaus that may result in disproportionate adverse effects on individuals and underserved communities through the work of Audit Services, Independent Police Review, and the Ombudsman. These divisions make recommendations to provide more equitable services from the City or bring weaknesses to the attention of management through administrative decisions and recommendations.
- Accommodation and language translation and interpretation for accessing City Council meetings, processes, and information throughout each division in the office.
- Improving access to information housed in the Auditor's Office to increase accessibility, such as improved online access to City Council agenda and minutes, City Code and Charter, and Auditor's Office reports, specifically to improve access for community members who use assistive technology.
- Assist communities wanting to understand their histories with the help of documents in the Archives and Records Center. This can include partnering with historical societies and cultural organizations to provide professional guidance and secure storage of records. These services help organizations develop research capacity, materials for program development and outreach tools, and opportunities to connect underserved communities to historical and culturally specific resources important to them. It also develops avenues for the public to appreciate the importance of records and engaging with City government.