Organizational Placement **Schedule number:** 2013-0003
Agency: Metro
Department: Finance and Regulatory Services
Section: Director's Office

Program Description
The Director's Office provides strategic direction and central management of the Finance and Regulatory Services Department, which includes the following divisions: Accounting Services, Financial Planning, Procurement Services, Property Services, and Risk Management. These divisions provide infrastructure and business services to Metro elected officials and departments.

The Director's Office also provides overall management of significant agency-wide projects such as preparation of the annual budget and Capital Improvement Plan (CIP), debt issuance and debt management.

In addition, program staff performs research and analysis for projects related to the operations and funding of Metro and inter-governmental relationships issues.

Records Description:
The work performed by Metro staff to study and make recommendations regarding the organizational structure of Metro is documented by the **Business Design Team Records**. The negotiation and administrative oversight of the contract for services provided to the Metropolitan Exposition and Recreation Commission (MERC) by Metro are documented by **MERC Services Contract Development and Administration Records**.

Program Records
M02-01-06 Business Design Team Records
Minimum retention: 5 years
M02-01-02 Metropolitan Exposition and Recreation Commission Services Contract Development and Administration Records
Minimum retention: 6 years after contract termination

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Activity reports, budget preparation records, correspondence, legislative tracking records, mailing lists, organizational records, postal records, project records, seminar and conference records, and staff meeting records.

Databases
NONE

Organizational Placement **Schedule number:** 2013-0003

Agency: Metro
Department: Finance and Regulatory Services
Division: Accounting
Program: Accounting Administration

Program Description

The Accounting Administration program provides oversight and management of the Accounting Division which includes the following programs: Accounts Payable, Accounts Receivable, Contractor's Business License Program, Financial Reporting and Control, and Investments. These programs provide financial accounting and reporting, and related activities and services for Metro.

Administration also provides overall management of agency-wide and division-wide financial activities and projects such as the PeopleSoft system implementation, issuance of policies and procedures, inventory and accountability of the agency's capital assets, investment, and certain debt activities. Administration provides advice and assistance to department managers and staff and performs research and analysis related to accounting and financial management.

Records Description:

Records describing the organization of Metro's accounting structure are **Accounting Structure Organizational Hierarchy Records (Chart of Accounts)** and the PEOPLESOFT database. Records documenting the agency's ownership of vehicles are **Vehicle Title and Registration Records**.

Program Records

M02-02-01 Accounting Structure Organizational Hierarchy Records (Chart of Accounts)
Minimum retention: 4 years after superseded or obsolete

M02-02-03 Vehicle Title and Registration Records
Minimum retention:
(a) Retain titles until vehicle is sold or disposed of
(b) Retain registration records until superseded or disposition of vehicle

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Activity reports, budget preparation records, correspondence, legislative tracking records, mailing lists, organizational records, policy and procedure guidelines and manuals, seminar and conference records, and staff meeting records.

Databases

PEOPLESOFT

Organizational Placement **Schedule number:** 2013-0003

Agency: Metro
Department: Finance and Regulatory Services
Division: Accounting
Program: Accounts Payable

Program Description

The Accounts Payable program processes all expenditures, excluding payroll, for Metro. It issues payments to all providers of goods and services except those paid for by the Metropolitan Exposition and Recreation Commission (MERC). Specific functions include processing of source documents such as invoices, statements, vouchers, purchase orders, receiving documents, payment authorizations, travel authorizations, receipts, check registers, check runs, W-9s and W-8s (vendor tax identification number forms), and electronic funds transfers.

Most payment information is received and transmitted by hardcopy source documents but increasingly divisions transmit information to Accounting electronically. Accounts Payable uses the PeopleSoft system, and associated automated systems, to process electronic data transfers, banking transactions, checks, and electronic fund transfers for payments. Examples of electronic payment processing are purchasing card transactions and online purchase order matching. Hardcopy and electronic data is processed in similar ways, e.g., account coding, journal entries, and general ledger posting.

Accounts Payable also maintains files on individual vendors. It transfers unclaimed property (checks issued but not cashed) to the Division of State Lands.

Records Description:

Records documenting payment of agency bills for goods and services are **Accounts Payable Records** and the PEOPLESOFT database. Record documenting vendor bank account information (authorizing Metro to transmit payments to them electronically rather than by check) are **Automated Clearing House (ACH) Enrollment Records**. Records documenting the processing of vendor tax identification number forms and Foreign Vendor ID Numbers are **W-9 and W-8 Records**. The issue, tracking, and return of purchasing cards and the administration of the Purchasing Card program are documented by **Purchasing Card Program Records**. Records documenting purchases (orders and evidence of receipt of goods and services) are **Purchasing Records** and the PEOPLESOFT database.

Program Records

M02-03-01 Accounts Payable Records
Minimum retention: 3 years

M02-03-03 Automated Clearing House (ACH) Enrollment Records
Minimum retention: until account is closed

M02-03-04 W-9 and W-8 Records
Minimum retention: 5 years after last action

M02-03-06 Purchasing Card Program Records
Minimum retention: 4 years after card returned or invalidated

M02-03-07 Purchasing Records
Minimum retention: 4 years

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, correspondence, grant records, and mailing lists.

Databases: PEOPLESOFT

Organizational Placement **Schedule number:** 2013-0003

Agency: Metro
Department: Finance and Regulatory Services
Division: Accounting
Program: Accounts Receivable

Program Description

The Accounts Receivable program is responsible for processing all revenue transactions for Metro including recording cash and invoicing customers. Revenue is received from sources such as solid waste disposal fees, cemetery plot sales, contractor business licenses, publication and product sales, grants, and Parks, MERC, and the Zoo.

Payments are received at various locations operated by Metro departments and deposited in banks or turned over to Accounting. Departments send hard copy source documents and electronic reports to Accounting. Accounts Receivable posts transactions in the PeopleSoft system, and associated automated systems, and posts to subsidiary journals, ledgers, and registers.

The Accounts Receivable program receives and evaluates requests for credit approval from Metro's customers. It evaluates the creditworthiness of firms, and periodically reviews the credit standing of firms with approved credit and active accounts. Unclaimed credit balances are transferred to the Unclaimed Property program in the Division of State Lands.

The program also performs credit management and collection activities. These activities include determining amounts due and past due, preparing and mailing bills and statements of account, issuing demands for payment, preparing liens, filing proof of claims in bankruptcy cases, and preparing accounts for litigation. The program also determines accounts to be charged off as bad debts, notifying the Metro Council of write-offs up to $10,000, and requesting Council approval to write off amounts over $10,000.

Records Description:

Records that document revenues owed, granted, or donated to the agency, billing and collection of monies, and posting to accounts are **Accounts Receivable Records** and the PEOPLESOFT database. Records that document receipt of credit applications and financial statements from individuals and firms and checking of credit worthiness of applicants are **Credit Applications**. Continual review of the credit standing of firms with approved credit, tracing of delinquent accounts, monitoring collection efforts, transferring unclaimed credit balances to the Division of State Lands and related activities are **Revolving Credit Account Records** and the PEOPLESOFT database. Notifications to the Metro Council of the write off of uncollectable debts up to $10,000 and requests for approval to write off amounts over $10,000 are documented by **Uncollectable Debt Write-Off Notifications**.

Program Records

M02-04-01 Accounts Receivable Records

Minimum retention:
(a) Records related to grants: 4 years after annual or final expenditure report or as specified in agreement, whichever is longer
(b) All other records: 4 years after collected or deemed uncollectible

M02-04-04 Credit Applications

Minimum retention:
(a) Denied applications: 1 year after denied
(b) Approved applications: 4 years after account closed and collected or deemed uncollectible
Some information may be restricted from public disclosure as authorized by Oregon Revised Statutes, for life of the records.

M02-04-05 Credit Account Review Records

Minimum retention:
(a) Records relating to unclaimed credit balances: 4 years after balance transferred to Division of State Lands, Unclaimed Property Program
(b) All other records: 4 years after collected or deemed uncollectible

M02-04-07 Uncollectable Debt Write-Off Notifications

Minimum retention: 4 years after written off or approved by Metro Council.

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, correspondence, and mailing lists.

Databases

None

Organizational Placement **Schedule number:** 2013-0003

Agency: Metro
Department: Finance and Regulatory Services
Division: Accounting
Program: Contractor's Business License Program

Program Description

The Contractor's Business License Program consolidates multiple city business licenses required by residential contractors operating within Metro's urban growth boundary. Twenty cities participate, but the City of Portland does not. The program also includes registered landscape contractors and commercial contractors as well as residential contractors. Revenue from license sales is disbursed back to participating cities the year after received.

The program receives initial applications and annual renewals with license fees from applicants. It verifies each applicant's compliance with state and city regulations on bonding and insurance requirements, and issues licenses. Annual renewal notices are sent to contractors. Monthly listings of active and inactive contractors are sent to the participating cities. The program also mails promotional material and corresponds with minority contractors, trade associations, and other organizations to encourage use of the program.

Records Description:

Receipt and processing of applications and license fees and all other functions related to the sale of Contractor's Business Licenses are documented by **Contractor Business License Records** and **Contractor Business License/City Agreement Records**.

Program Records

M02-05-01 Contractor Business License Records

Minimum retention: 4 years after expiration, revocation, or denial

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, correspondence, and mailing lists.

Databases

None

Organizational Placement **Schedule number:** 2013-0003

Agency: Metro
Department: Finance and Regulatory Services
Division: Accounting
Program: Financial Reporting and Control

Program Description

The Financial Reporting and Control program is responsible for maintaining controls over all financial information and producing routine and requested financial reports including the Comprehensive Annual Financial Report (CAFR). It is also responsible for capital asset accounting.

Maintaining financial controls involves monthly account reconciliations, reviews of procedural controls over financial transactions, and developing new systems. Bank statements and cash accounts are reconciled. Monthly and ad-hoc hard copy and electronic reports are generated for internal use and for Metro managers and staff. The reports are used for a variety of purposes including monitoring and verifying revenues and expenditures, monitoring the status of funds and accounts, managing capital assets, reconciling account statements, analysis, and decision-making.

Financial Reporting and Control prepares audit work papers and works with Metro's external auditors in accordance with ORS 297.405 through 555. In addition, the program performs and/or coordinates periodic inventory of Metro's capital assets and expendable property such as property, and equipment. It also reconciles bank statements and balances cash accounts.

Records Description:

Records documenting the reconciliation of agency funds and accounts are **Account Reconciliation Records** and the PEOPLESOFT database. Records documenting the status and transaction activities of agency funds held by banks are **Bank Transaction Records** and the PEOPLESOFT database. Records documenting the acquisition, inventory, and disposition of the agency's fixed assets and expendable property and equipment are **Capital Asset Accounting Records**. The records reflecting Metro's financial position and operation are **Financial Reports** and the PEOPLESOFT database. Records documenting the summary of all accounts are the **General Ledger** records and the PEOPLESOFT database. Records documenting original entry of financial transactions into the accounting system are **Journal Entry Records** and the PEOPLESOFT database. Records that provide backup documentation to the General Ledger are **Subsidiary Ledgers, Journals, and Registers** and the PEOPLESOFT database.

Program Records

M02-06-01 Account Reconciliation Records
Minimum retention: 4 years

M02-06-02 Bank Transaction Records
Minimum retention: 4 years

M02-06-06 Capital Asset Accounting Records
Minimum retention: 4 years after superseded or obsolete

M02-06-05 Financial Reports, 3 c.f.
Minimum retention:
(a) Comprehensive Annual Financial Reports (CAFR): Permanent
(b) All other reports: 5 year

M02-06-07 General Ledger
Minimum retention:
(a) Year end ledgers: 10 years
(b) All other ledgers: 5 years

M02-06-08 Journal Entry Records
Minimum retention: 4 years

M02-06-09 Subsidiary Ledgers, Journals, and Registers
Minimum retention: 4 years

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, correspondence, and mailing lists.

Databases
None

Organizational Placement **Schedule number:** 2013-0003

Agency: Metro
Department: Finance and Regulatory Services
Division: Accounting
Program: Investments

Program Description

The Investments program manages and invests Metro cash balances in order to produce investment earnings to enhance revenues for Metro operations. It is also responsible for coordination of certain debt management activities such as revenue and general obligation bonds payment.

The program evaluates, selects, purchases, and sells specific investments for Metro, and monitors investment performance. It coordinates with the State Treasury regarding Metro's participation in the Local Government Investment Pool and about specific investment activity by the Treasury on behalf of Metro. It purchases and sells specific investments. The program also prepares quarterly reports for the Metro Council and the Investment Advisory Board, year-end investment history reports, and the investments section of the Comprehensive Annual Financial Report (CAFR).

The Investments program, in cooperation with the Finance and Administrative Services Department, Financial Planning Division, coordinates the redemption of revenue and general obligation bonds, Certificates of Participation (COP's), and other debt payments made from the investment pool. It remits funds to paying agents for payments due on revenue bonds, general obligation bonds, and other Metro indebtedness. It also monitors bank deposits to insure adequacy of Certificates of Participation.

In addition, the program coordinates the activities and meetings of the Investment Advisory Board. A Metro Council Ordinance created the board in 1987. It is composed of five members of the community who are appointed by the Chief Operating Officer and confirmed by the Metro Council for three-year terms. Their responsibility is to advise Metro regarding investment strategies, banking relationships, the legality and probity of investment activities, and the development of written procedures for investment operations.

Records Description:

Records consisting of daily summaries of bank information downloaded from Metro's bank and the spreadsheets used to manage the movement of cash among accounts to meet Metro's daily cash requirements are **Daily Cash Management Records**. Records documenting the investment of revenue and general obligation bonds are **Debt Management Records.** Records documenting the meetings and the recommendations of the Investment Advisory Board are **Investment Advisory Board Records**. Records documenting all aspects of selecting, purchasing, and monitoring the performance of investments such as transactions with the State Treasury through the Local Government Investment Pool, and monitoring deposit levels with separate banks to maintain the adequacy of COP's, are **Investment Manager Records**.

Program Records

M02-07-04 Daily Cash Management Records
Minimum retention: 4 years

M02-07-01 Debt Management Records
Minimum retention: 4 years after debt retired
Some information may be restricted from public disclosure as authorized by Oregon Revised Statutes for life of the records.

M02-07-02 Investment Advisory Board Records
Minimum retention:
(a) Investment Advisory Board Reports: 10 years
(b) All other records: 4 years

M02-07-03 Investment Manager Records
Minimum retention: 5 years after investment sold

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, correspondence, and mailing lists.

Databases
None

Organizational Placement **Schedule number:** 2013-0003
Agency: Metro
Department: Finance and Regulatory Services
Division: Budget and Financial Management

Program Description
The Budget and Financial Management Division is responsible for Metro's annual budget, Capital budget, bonded debt, and long-range financial planning. The Division works with departments to develop Metro's budget. Financial Planning issues instructions to departments and coordinates the entire budget development process. Specific activities include analysis of department budget requests, preparation of the cost allocation plan and federal indirect cost rate proposals, and development of excise tax forecasts. The program coordinates approval of Metro's budget with the Tax Supervising and Conservation Commission, an independent panel that encourages efficiency and economy of local governments operating in Multnomah County. The Council President presents the final budget to the Council for review and approval. During the fiscal year, the division monitors budget implementation and processes requests for amendments.

The Budget and Financial Management Division also works with departments to develop and present Metro's Capital budget. This plan is central to Metro's ability to forecast its future financial needs and anticipate major funding requirements. The Capital Budget projects the agency's financial needs over a five-year period. The division analyzes stated needs, makes recommendations to the Chief Operating Officer and Council President, prepares the annual Capital Budget, and submits it to the Metro Council for review and approval.

The Budget and Financial Management Division also manages the issuance and administration of bonded debt and is responsible for ensuring that Metro maintains the highest possible credit rating for its bonds and other debt instruments. It analyzes the need for debt, coordinates with the Bond Council, and develops documentation for ballot measures describing the purpose and impact of issuing bonds. After issue, it manages bond covenants, monitors payments and bond performance. In addition, it ensures compliance with all federal, state, and local regulations and with bond instruments; maintains ongoing relationships with the State Treasury, rating agencies, and the municipal debt community; and works with Metro departments to structure new debt issues to achieve the lowest borrowing costs.

In addition, the division supports Metro departments by conducting special research and analyses, developing new financial policies, and providing analytical and policy advice and assistance. It also performs long-range forecasts of revenues and expenditures.

Records Description:
The final annual financial plans approved by the Metro Council for all agency expenditures are documented by **Adopted Budgets**. Records documenting preparation of the entire Metro budget, monitoring of budget implementation, and processing requests for amendments are **Budget Preparation Records**. The preparation and approval of forecasts of Metro's future financial needs over succeeding five-year periods is documented by **Capital Budget Records**. Preparation of cost allocation plans and federal indirect cost rate proposals is documented by **Cost Allocation and Indirect Cost Rate Proposal Records**. All activities related to bonded debt including analysis of need, authorizations to incur debt, issue, and management of bonded debt are **Bonded Debt Management Records**. Analysis of the financial impacts of Metro's business practices as well as a wide variety of external events with possible impact on Metro's revenues and/or expenditures is documented by **Financial Impact Analysis Records**. Monitoring Metro's revenue and expenditures in relation to the Approved Budget and Capital Improvement Plan is documented by **Financial Reports**.

Program Records

M02-09-01 Adopted Budgets, 1974- [ongoing]
Minimum retention:
(a) Final budget: Permanent
(b) All other records: 10 years

M02-09-02 Budget Preparation Records
Minimum retention: 5 years

M02-09-03 Capital Budget Records, 1997 - 2004
Minimum retention:
(a) Final adopted plans: Permanent
(b) Preparation records: 5 years

M02-09-04 Cost Allocation and Indirect Cost Rate Proposal Records
Minimum retention: 10 years

M02-09-05 Bonded Debt Management Records
Minimum retention:
(a) Public statements, calculations, correspondence, copies of bond ordinances, and other records related to specific bond issues: 5 years after final payment
(b) Monthly trustee statements and other records: 4 years

M02-09-06 Financial Impact Analysis Records
Minimum retention: 5 years

M02-09-08 Financial Reports
Minimum retention:
(a) Quarterly excise tax reports: 3 years
(b) All other records: 4 years

M02-09-10 Metro Tax Study Committee Records [No longer in use]
Minimum retention:
(a) Agendas, meeting packets, minutes, and exhibits: Permanent
(b) Audio tapes: 1 year after minutes summarized and verified
(c) All other materials: 5 years

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, correspondence, and seminar and conference records.

Databases

CAPITAL BUDGET

Organizational Placement **Schedule number:** 2013-0003

Agency: Metro
Department: Finance and Regulatory Services
Division: Procurement
Program: Contracting

Program Description

The Contracting program provides professional and technical support and advice and assistance to Metro Departments in the development of standard contracts and procurement policies and procedures. The program is responsible for assuring Metro's compliance with state laws and regulations, federal requirements, and meeting Metro goals to insure open, competitive and impartial contracting by Metro departments. The program facilitates opportunities for disadvantaged, minority, women-owned, emerging small businesses, and qualified rehabilitation facilities. It also coordinates the Metro-wide Purchasing Committee in contracting and purchasing products and services having agency-wide impact.

Contracting reviews contracts, Requests for Bids (RFB), and Requests for Proposals (RFP), for completeness and compliance with Metro procedural requirements, and state and federal law prior to their release for vendor signature. Contracting assists department and Council staff with documents needing Metro Council review and approval, advertises public contracting opportunities and official public notices for RFBs and RFPs prior to release, and assists and monitors pre-bid and formal bidding processes. The program acquires and maintains information on contractor's performance bonds and liability insurance certificates. It verifies Construction Contractor's Board numbers, monitors compliance with laws regarding federal and state prevailing wage requirements on contractors performing public works and construction contracts for the agency, and reports the results to the Bureau of Labor and Industries (BOLI).

The program uses electronic systems for tracking and reporting and to record payments to vendors. An Access database has been used to log RFB's and RFP's by title, to assign numbers, and to track the review and approval of draft documents prior to advertisement and release. The Access database also has stored basic contractual information and tracks the contract and subsequent amendments through the approval process. The PeopleSoft database holds detailed vendor information about the contractor, payments made to the vendor, amendments to the contract value or termination date. In the future all contract information will be stored in PeopleSoft.

In addition, Contracting coordinates Metro's efforts to obtain grants from federal, state, and local government agencies and other sources, and files the resulting grant documentation as a part of the standard contract processing procedures.

Records Description:

Advertising and public notices of opportunities to bid for or propose Metro contracts are documented by **Advertisement/Public Notice Records**. Records documenting the publicizing, evaluation, and award of bids to vendors and other organizations or individuals, and provides evidence of accepted and rejected bids are **Competitive Solicitation Records**. Records may include RFP's, RFB's, and RFI's and provide recorded evidence of accepted and rejected bids. May include bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, correspondence, and related records. Records used to summarize by department and report contract data to departments and the Metro Council are **Contract Reports** and the PARADOX and PEOPLESOFT databases. Tracking of incoming contract documents and the review and approval process prior to filing as an executed contract, assignment of contract numbers, the assignment of RFP and RFB numbers, draft contract

review prior to release, and resulting execution as an approved contract are documented by **Contract/ RFB/ RFP Tracking Logs** in the EXCEL, and PARADOX database. Records relating to the issuance of contracts are **Contracts, Leases, and Agreements.** These records include signed contracts, amendments, change orders, exhibits, performance bonds, certificates of required insurance, Bureau of Labor and Industries (BOLI) Notice of Award of Contracts and Certified Wage Reports, and other significant related documentation, including correspondence. Contract types include contracts for services, purchases, and construction; interagency agreements; leases and others. Compilations of contract data by fund submitted to the Financial Planning Division to provide input to the Cost Allocation Plan are **Cost Allocation Reports** and the PARADOX and PEOPLESOFT databases. The activities and meetings of the Metro Purchasing Committee are documented by **Department Purchasing Coordination Records**. Records documenting assistance to Metro departments to encourage the use of disadvantaged, minority and women-owned businesses, emerging small businesses, and state mandated use of qualified rehabilitation facilities in competition for contracts, and documenting the monitoring and reporting about the use of these types of firms are **Disadvantaged Business Enterprise Program Federal Status Reports** and **Minority, Women-Owned, and Emerging Small Business (MWESM) Program Records**, and the PEOPLESOFT database. Compilations of existing and proposed contracts presented for review by the Metro Council and adopted with the fiscal year budget are the **Metro Council Contract Review List**. Records documenting the authorization of designated employees to sign fiscal and contractual documents are **Signature Authorization Records**.

Program Records

M02-15-01 Advertisement/Public Notice Records

Minimum retention:
(a) Advertisement records for Bid, RFP, cooperative procurement notices and special procurements: 2 years
(b) All other records: transfer to contract file

M02-15-14 Competitive Solicitation Records

Minimum retention:
(a) Accepted agency improvement bids: 10 years after substantial completion [as defined by ORS 12.135(3)]
(b) Other accepted bids: 6 years after bid awarded or canceled
(c) Rejected bids and bid exemptions: 2 years
Some information may be restricted from public disclosure as authorized by ORS 192.501 (2), for life of the records.

M02-15-03 Contract Reports

Minimum retention: 1 year

M02-15-04 Contract/RFB/RFP Tracking Logs

Minimum retention: 2 years

M02-15-15 Contracts, Leases, and Agreements

Minimum retention:
(a) Construction contract records: 10 years after substantial completion [as defined by ORS 12.135(3)]
(b) Other contracts, leases and agreements: 6 years after expiration or termination

M02-15-06 Cost Allocation Reports

Minimum retention: 4 years

M02-15-13 Department Purchasing Coordination (DPC) Records

Minimum retention: 2 years

M02-15-07 Disadvantaged Business Enterprise Program Federal Status Reports
Minimum retention: 10 years after final payment

M02-15-11 Metro Council Contract Review List
Minimum retention: Until end of fiscal year

M02-15-08 Minority, Women-Owned, and Emerging Small Business (MWESB) Program Records
Minimum retention:
(a) Referrals related to construction contracts: 10 years after substantial completion [as defined by ORS 12.135(3)]
(b) Referrals related to other contracts: 6 years after expiration or termination
(c) Annual reports to Metro Council: 5 years
(d) All other records: 1 year

M02-15-16 Signature Authorization Records
Minimum retention: 6 years after authorization superseded or expired.

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Budget preparation records, calendars and scheduling records, correspondence, grant records, legislative tracking records, policy and procedure guidelines and manuals, professional membership records, and mailing lists.

Databases
CONTRACTS
LEGACY BOX LISTS
PEOPLESOFT

Organizational Placement **Schedule number:** 2013-0003
Agency: Metro
Department: Finance and Regulatory Services
Division: Risk Management
Program: Risk Management

Program Description
The Risk Management program is responsible for promoting a safe work environment for Metro employees and for the centralized management and monitoring of agency compliance with federal, state, and local safety regulations. The program plans and develops agency safety policies in conjunction with department staff. The Risk Management program administers the Risk Management Fund which supports Metro's insurance coverage for liability, property, and workers' compensation.

The program manages the agency's insurance claims activities in all areas except unemployment. Claims related activities involve investigation, evaluation, settlement, and defense. Health and Welfare premiums and unemployment claims are handled by the Human Resources Department's Benefits program (see separate program description for Benefits).

The Risk Management program coordinates the agency and department workplace Safety Committees that promote a safe work environment for Metro employees. It also provides consulting services to Metro departments on risk management, worker safety, workers' compensation, and loss control. Risk Management also prepares and exercises Metro's emergency preparedness plan and provides advice and assistance to the departments in the development and exercise of their own plans.

In addition, this program participates in and/or coordinates work site safety compliance inspections which may involve the Fire Marshal, Oregon Occupational Safety and Health Administration (OR-OSHA), Department of Environmental Quality, and other state and local agencies.

Records Description:
Records listing claims filed for all categories of insurance are **Claim Listings**. Records documenting plans and preparations for the continuation of operations in case of disaster affecting the operations of the agency, and documenting actions taken in response to actual emergency incidents are **Disaster Preparedness Planning and Recovery Records**. Records documenting employee or non-employee accident and injury incidents which may or may not result in a claim are **Incident Reports**. Records documenting the terms and conditions of self-insurance and insurance policies between the agency and insurers are **Insurance Policy Records**. Records documenting various types of liability claims filed against the agency including personal injury, property damage, motor vehicle accident, and tort are **Liability Claims Records**. Records providing information required by the Oregon Occupational Safety and Health Administration (OR-OSHA) are **Occupational Injury and Illness Records**. The records which describe and are used to assess various risk factors for the agency, set risk management priorities, and determine appropriate insurance needs are **Risk Factor Evaluation Records**. Records documenting job-related injury and illness compensation claims filed by agency employees with the State Accident Insurance Fund (SAIF) and the resulting claim disposition are **Workers' Compensation Claim Records**. Records documenting accidents involving agency-owned or leased vehicles are **Vehicle Accident Records**.

Program Records
M02-17-01 Claim Listings
Minimum retention: 6 years

M02-17-02 Disaster Preparedness Planning and Recovery Records
Minimum retention: Until superseded or obsolete

M02-17-03 Incident Reports
Minimum retention:
(a) If incident results in a claim: transfer to Liability Claims Records
(b) If no claim results: 3 years
(c) If incident involves employee hazard exposure: 30 years after employee separation per 29 CFR 1910.1020

M02-17-04 Insurance Policy Records
Minimum retention:
(a) Liability policies and self-insurance policy manuals: 50 years after expiration if no claims pending
(b) All other policies: 6 years after expiration if no claims pending

M02-17-05 Liability Claims Records
Minimum retention:
(a) If incident involves employee hazard exposure: 30 years after employee separation per 29 CFR 1910.1020
(b) If action taken: 10 years after case closed, dismissed, or date of last action
(c) If case involves a minor child: 10 years after case closed, dismissed, or date of last action, or until child reaches age 19, whichever is longest
(d) If no action taken: 3 years

M02-17-06 Occupational Injury and Illness Records and OSHA Logs
Minimum retention: 6 years

M02-17-08 Risk Factor Evaluation Records
Minimum retention: 10 years

M02-17-10 Workers' Compensation Claim Records
Minimum retention: 6 years after final disposition of claim

M02-17-11 Vehicle Accident Records
Minimum retention:
(a) If accident results in a claim: transfer to Liability Claims Records
(b) If no claim results: 4 years

Consult the General Administrative Records for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, correspondence, legislative tracking records, mailing lists, policy and procedure guidelines and manuals, property damage records, and safety program records.

Databases
None

Organizational Placement **Schedule number:** 2013-0003
Agency: Metro
Department: Finance and Regulatory Services
Division: Solid Waste Policy

Program Description
The Solid Waste Policy and Compliance program provides a variety of financial services, including strategic fiscal management, financial planning and analysis, solid waste rate-setting, tonnage tracking and reporting, fiscal impacts of policy choices, economic and tonnage forecasting, and trend and risk analyses.

Records Description:
Records documenting the payment for the diesel fuel consumed by the direct waste hauler (CSU) to the landfill at Arlington (Columbia Ridge Landfill) are the **Fuel Payment Records**. Records documenting the remittance of Metro fees and taxes on solid waste that is generated in the Metro district and accepted at privately-owned disposal facilities are the **Regional System Fee and Metro Excise Tax Reports**. Records documenting the implementation of a "Solid Waste Tracking System" as required by Metro Code section 5.05.060, reporting the tonnage of solid waste that is generated in the Metro district and delivered to each solid waste facility, are the **Solid Waste Information System [SWIS] Reports**. Records tracking the payments and waste tonnage figures from each facility are the **Transfer, Transport, and disposal Payment History and Wasteflow History Records**.

For records documenting the discussions and issues presented at the Rate Review Committee meetings as well as subsequent actions recommended by the committee are the Rate Review Committee Records, retention requirements can be found in the General Administrative Records (GAR) Schedule.

Program Records
M02-18-02 Fuel Payment Records
Minimum retention: 6 years
M02-18-04 Regional System Fee and Excise Tax Reports, 1989 - 2012
Minimum retention: 6 years
M02-18-05 Solid Waste Information System (SWIS) Reports, 1989 - 2004
Minimum retention: Permanent
M02-18-06 Transfer, Transport, and Disposal Payment History and Wasteflow History Records
Minimum retention: 4 years

Consult the General Administrative Records section for records series commonly retained by Metro, including but not limited to: Advisory committee records, budget preparation records, calendars and scheduling records, contracts, leases, and agreements, and correspondence.

Databases
BUDGET
CONTRACTS
GIFT CERTIFICATES
PERFORMANCE MEASURES
PERSONAL SERVICES
SYSTEM FEE

Organizational Placement **Schedule number:** 2013-0003
Agency: Metro
Department: Finance and Regulatory Services
Division: Solid Waste Compliance and Cleanup

Program Description
Solid Waste Compliance and Cleanup (Formally Regulatory Affairs) is responsible for authorizing, monitoring, and enforcing Metro's regulations and requirements at privately owned solid waste facilities within the region. Staff also investigates illegal disposal of solid waste. Investigating officers try to determine the origin of the waste and track down the parties responsible for the illegal dumping of the waste where productive evidence exists. Depending on the situation, the generators of the waste or those identified as the illegal dumpers of the waste could be fined and or cited under Metro Code as an administrative, civil offense, or under Oregon Revised Statute (ORS) as a criminal offense. The program also provides assistance to local code and law enforcement agencies in cleaning up illegal transient camps, including such camps on Metro owned property.

The program currently contracts with the Multnomah County Sheriff's Office and the Tigard Police Department for investigations of illegal disposal and clean up cases. The program also provides investigative assistance to other governmental organizations including the Oregon Department of Environmental Quality (DEQ) and the federal Environmental Protection Agency.

This program inspects and monitors privately owned solid waste facilities to monitor for compliance with their Metro issued authorizations. These authorizations stipulate the operating requirements for the facilities including the types and amounts of waste that can be accepted. The program's primary regulatory roles are to ensure that solid waste goes to properly authorized facilities and that the receiving facilities manage the waste as authorized. For out-of-district facilities, Metro ensures that waste generated inside the Metro boundary flows to a facility that is authorized by DEQ and the local government.

The program licenses yard debris compost and reload facilities, including food waste reloads, and franchise~~s~~ organics (food) waste processors. Staff preform inspections and investigate nuisance complaints (e.g. dust, noise, pests, odors, or other operating issues) at all Metro authorized solid waste facilities. The program works with facility operators to ensure that proper corrective actions are taken or referred to the appropriate regulatory agency as necessary.

Records Description:
Records, such as case files and evidence, which document complaints or other actions or incidents investigated by the agency are the **Administrative, Civil, or Criminal Investigation Case File Records**. Records documenting the activities and issues addressed by this program are the **Annual Report Records**. Records documenting facility history as well as files for illegal dumping and flow control investigations are **Facility Records**. Facility records have been set up for every regulated solid waste facility and many non-regulated or formerly authorized facilities to track information including:

- Application and issuance of any license, franchise or other authorizations from Metro and other regulators
- Inspection reports and photos
- Facility Audit and Review Records
- Correspondence to and from Metro and other regulators
- Documentation of where waste is taken if under a non-system license
- Documentation of designated facility agreements for waste managed outside the Metro region.
- Complaints about facilities operation, or illegal dumping activities

- Investigation information for flow control or illegal dumping cases and any relevant citations or case information that may follow

Program Records

M02-19-01 Administrative, Civil, or Criminal Investigation Case File Records
Minimum retention: 8 years after final case resolution

M02-19-02 Annual Report Records, 1993 - [ongoing] 1 c.f.
Minimum retention: Permanent

M02-19-03 Facility Records
Minimum retention:
(a) Disposal Sites: 30 years after facility closes and has completed post-closure care
(b) Solid Waste Facilities: 10 years after facility closes

Consult the General Administrative Records section for records series commonly retained by Metro, including but not limited to: Calendars and scheduling records, and correspondence.

Databases

ENFORCEMENT
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