

Office of Sustainable Development Record Retention Schedule

4302 SOLID WASTE & RECYCLING

4302-01 FRANCHISE RECORDS

Series is created to document who owns each franchise for residential waste hauling within the City of Portland, including franchise transfers and renewals, and periodic evaluation of the franchise system. Records may include copies of ordinances, maps, copies of acceptance forms, agreements and amendments, correspondence, maps, performance measures, and other related data.

Confidential? Consult City Attorney's Office
Vital Record? No
Record Copy? Yes

RETENTION: 4302-01(A) Original development and adoption of franchise system: Permanent
4302-01(B) Records related to specific franchise companies and agreements: 6 years after expiration of current franchise agreement

AUTHORITY: OAR 166-200-0135(9)

4302-02 COMMERCIAL PERMIT AND INDEPENDENT RECYCLER REGISTRATION RECORDS

Series documents the city's system of registration and permits for the hauling of waste and recyclables from businesses and multi-family complexes. Record includes company name, contact person, principals involved, mailing address, facility address, etc. May include specific information on equipment, trucks, number of commercial/multifamily customers, and other related data.

Confidential? Consult City Attorney's Office
Vital Record? No
Record Copy? Yes

RETENTION: 3 years after permit expiration, revocation, or denial

AUTHORITY: OAR 166-200-0010(20)

4302-03 WASTE REDUCTION AND RECYCLING PROGRAM RECORDS

Records are used to documents various Solid Waste and Recycling programs and projects. Records include program descriptions, budgets, work plans, goals, reports, studies, special projects, correspondence and memos that document policies, etc. Transfer one copy of policy decisions, annual reports and other significant program findings and reports to schedule 4300/1000-01 for permanent retention.

Confidential? No
Vital Record? No
Record Copy? Yes

RETENTION: 4302-03(A) Retain general administrative and financial records: 5 years
4302-03(B) Retain brochures, pamphlets, and leaflets until superseded or obsolete

AUTHORITY: OAR 166-200-0010 (2); (3); (24)

4302-04 QUARTERLY FINANCIAL AND WASTE TONNAGE RECORDS

Series is used to gather information on tonnage of waste collected in Portland, and to collect fees due the city as required by the franchise agreement and commercial permit. Series is used to create statistical reports for various programs, and provide information for the residential rate review process. Series is created to verify that permittees and franchisees are paying fees that are due to the city, to track quantities

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of waste being disposed and recovered at certain facilities. Records include company name, date, monthly totals, quarterly totals, calculations, and other related data. Examples include hauler tonnage reports, residential revenue reports, minican reports, billing system reports and tonnage reports provided by Metro.

Confidential? Consult City Attorney's Office
Vital Record? No
Record Copy? Yes

RETENTION: 6 years after expiration of current franchise agreement

AUTHORITY: OAR 166-200-0135(9)

4302-05 CUSTOMER SERVICE AND COMPLIANCE RECORDS

Series is created to document complaints and violations regarding customer services, and compliance with City Code Chapter 17.102, Chapter 9.28 (Ban of Polystyrene Foam Food Containers), and the Solid Waste and Recycling Administrative Rules. Series is used to track complaints, and respond to questions and disputes, to impose penalties and assess fines for violation. Records include complaints, tallies of incoming calls, investigative material, correspondence, intake records, information submitted to investigate complaint, resolution, notices of violations, invoices, tabulations, summaries and analysis of complaints, etc. Series includes billing disputes of complaints about residential and commercial haulers.

Confidential? Consult City Attorney's Office
Vital Record? No
Record Copy? Yes

RETENTION: 5 years after matter closed or date of last action

AUTHORITY: OAR 166-200-0075(12); 166-200-0010(25)

4302-06 RECYCLING REPORTS

Series is created to summarize the amount of recycled material picked up by franchisees, permittees and Independent Commercial Recyclers, and is based on data submitted by them. Series is used as a program monitoring tool to determine effects of the program. Records may contain information about the collector, dates, customer participation, type of material, tonnage, disposition of recyclables, report logs and other related data. Includes electronic version of data, tabulations and summaries. Records documenting performance by individual franchisees, permittees and independent commercial recyclers are maintained in 4302-01 and 4302-02.) Transfer annual reports to 4300/1000-01 for permanent retention.

Confidential? No
Vital Record? No
Record Copy? Yes

RETENTION: Retain monthly and quarterly reports 6 years after expiration of current franchise agreement

AUTHORITY: OAR 166-200-0135(9)

4302-07 DEVELOPMENT AND ADOPTION OF CODE AND ADMINISTRATIVE RULES

Series is used to develop and document requirements. Records include correspondence, mailing lists, responses, drafts, comments, notes, meeting records and other related data used to develop code and administrative rules. Official copies of City Code and Portland Policy Documents are maintained by the City Auditor.

Confidential? No
Vital Record? No
Record Copy? Yes

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RETENTION: Permanent

AUTHORITY: OAR 166-200-0135(15); 166-200-0135(16)

4302-08 **PROMOTION AND OUTREACH RECORDS**

Series documents efforts to increase public awareness of and promote recycling and waste prevention programs. Records include correspondence, brochures, public information pieces, surveys and other evaluations, and other similar records. Records also document coordination with haulers to distribute information and implement programs. (Transfer one copy of policy decisions, annual reports and other significant reports to schedule 4300/1000-01 for permanent retention.)

Confidential? No

Vital Record? No

Record Copy? Yes

RETENTION: 5 years

AUTHORITY: OAR 166-200-0010(24); 166-200-0010(31)

4302-09 **RECYCLABLE THEFT RECORDS**

Series is used to document and investigate possible thefts of recyclable material from customer set outs. Records include type of theft, date, location, suspect information, license number, and other related evidence.

Confidential? No

Vital Record? No

Record Copy? Yes

RETENTION: 5 years after matter closed or date of last action

AUTHORITY: OAR 166-200-0075(12)

4302-10 **NEIGHBORHOOD CLEANUP/COORDINATION AND BULKY WASTE COLLECTIONS RECORDS**

Series is created to document efforts to cleanup specific neighborhoods and areas. Records document funds provided to neighborhood organizations to develop targeted cleanup programs. Records include agreements, correspondence, funding applications, ordinances, cleanup plans, neighborhood evaluations, newspaper clippings, reimbursement requests and other related data.

Confidential? No

Vital Record? No

Record Copy? Yes

RETENTION: 3 years after annual or final expenditure report submitted and approved or as specified in agreement, whichever is longer.

AUTHORITY: OAR 166-200-0050(15)

4302-11 **RESIDENTIAL PROPERTIES WITHOUT GARBAGE SERVICE (aka LANDLORD/NO SERVICE RECORDS)**

Series is used to track residential properties without garbage service and is used to notify rental property owners of requirement to have garbage service per City Code (Title 29 as of August 2004). Records include copies of correspondence, notices, property lists, responses from haulers and property owners, referrals to the enforcing Bureau and other related records.

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Confidential? No
Vital Record? No
Record Copy? Yes (Until referred to enforcing Bureau)

RETENTION: 5 years after matter closed or date of last action

AUTHORITY: OAR 166-200-0075(12)

4302-12 **SOLID WASTE RATE REVIEW RECORDS**

Series is used to set residential rates and provides information about franchisees' costs of service. Series documents how the rates were set and is created to provide an audit trail for the rate setting process. Records include Franchisees' labor hours reports and annual Detailed Cost Reports, spreadsheets, presentations, calculations, correspondence, memos, projections, rate modeling information, samples, process used, notes, other working documents such as weight studies that are created to document fees and actual costs, and all computer records and programs required to complete the rate modeling system.

Confidential? Consult City Attorney's Office
Vital Record? No
Record Copy? Yes

RETENTION: Transfer annual reports to 4300/1000-01; Retain other materials 5 years after adoption of rates by City Council

AUTHORITY: OAR 166-200-0040(4); 166-200-0040(3)

4302-13 **INVOICE RECORDS**

Series is a copy of the invoice/bill sent to the haulers and is used to ensure that payments are received and are for the correct amounts. Series is used to answer basic reference questions about billings. Record includes copies of invoices sent to haulers. Records may also include copies of checks, authorizations numbers, amount paid, date deposited and related data.

Confidential? Consult City Attorney's Office
Vital Record? No
Record Copy? Yes

RETENTION: 3 years after fees collected or deemed uncollectible

AUTHORITY: OAR 166-200-0050(2)