

# ENERGY AND WATER OMBUDSMAN QUEENSLAND RETENTION AND DISPOSAL SCHEDULE

Authorised 06/03/2018

An authorisation under s.26 of the *Public Records Act 2002* for the disposal of dispute resolution records, including the receipt and investigation of energy issues in Queensland and water issues in South-east Queensland created by Energy and Water Ombudsman Queensland (EWOQ).

Where printed, this reproduction is only accurate at the time of printing.  
The [Queensland Government \(For Government\) website](#) should always be referred to for the current, authorised version.

## Using this schedule

The Energy and Water Ombudsman Queensland retention and disposal schedule authorises the disposal of dispute resolution records, including the receipt and investigation of energy issues in Queensland and water issues in South-east Queensland created by Energy and Water Ombudsman (EWOQ). It applies to records created in any format, unless otherwise specified in the class description.

The Energy and Water Ombudsman Queensland retention and disposal schedule can be used in conjunction with the [General retention and disposal schedule](#) (GRDS). Record classes in the Common Activities section of the GRDS can be applied to any function undertaken by the agency, provided the retention period meets all of the agency's specific regulatory requirements and there are no exclusions listed.

Any references to repealed legislation may be taken as a reference to current legislation if the context permits.

Any previously authorised retention and disposal schedule covering record classes described in this schedule is now superseded and previous versions should be removed from use. It is the agency's responsibility to maintain the current approved schedule within their business practices and systems.

Revoked schedules include:

- QDAN 700v.1 Energy and Water Ombudsman Queensland

Schedules should be reviewed at least every 5 years.

## When this schedule should not be used

It is an offence under the *Criminal Code Act 1899* (s.129) 'for a person, who knowing something is or may be needed in evidence in a judicial proceeding, damages it with intent to stop it being used in evidence'. A duty of care exists for agencies to ensure records that may be needed in evidence in a judicial proceeding, including any legal action or a Commission of Inquiry, are not disposed of. Internal processes should be implemented to meet this obligation, which may include consultation with your legal or Right to Information area or issuing an internal records disposal freeze if it is reasonably expected that a judicial proceeding may occur e.g. retaining property files that may contain information on the use of asbestos in buildings.

Additionally, any group of records covered by a disposal freeze issued by the State Archivist cannot be disposed of while the freeze is in place. Disposal freezes generally relate to a particular topic or event which has gained prominence or provokes controversy. Further information about current disposal freezes and whether they affect the use of this schedule is available from the [Queensland Government \(For Government\) website](#).

Records which are subject to a request for access under the *Right to Information Act 2009*, the *Information Privacy Act 2009* or any other relevant Act must not be destroyed until the action, and any applicable appeal period, has been completed.

## Schedule layout

Each class has been allocated a unique number to aid with the disposal of records. Further implementation information is available on the [Queensland Government \(For Government\) website](#).

## Disposal

No further authorisation is required from the State Archivist for the records disposed of under this schedule. However, disposal must be appropriately documented in accordance with *Information Standard 31: Retention and Disposal of Public Records*. Approval from your CEO or authorised delegate is also required prior to disposal.

Any disposal of public records without authorisation from the State Archivist may be a breach of the *Public Records Act 2002* (s.13).

### **How we can help?**

More information on implementing schedules is available on the [Queensland Government \(For Government\) website](#). Any enquiries about this schedule or recordkeeping should be directed in the first instance to your Records Manager. If further information is required, please contact Queensland State Archives on (07) 3037 6630 or via the [Queensland Government \(For Government\) website](#).

**Approved by State Archivist: Mike Summerell**

**Date: 06/03/2018**

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## ENERGY AND WATER DISPUTE RESOLUTION

*The function of managing enquiries, complaints, allegations and investigations made to the Energy and Water Ombudsman (EWOQ) for energy, water or gas customers in accordance with the Energy and Water Ombudsman Act 2006.*

Disposal Authorisation	Description of records	Retention period & trigger	Date authorised
<p><b>ENQUIRIES</b>  <i>The activity of managing enquiries made to EWOQ that are not electricity, gas or water related, where EWOQ has no jurisdiction or which are referred to another agency or referred back to the energy or water provider in accordance with the Energy and Water Ombudsman Act 2006.</i></p>			
2086	<p><b>No jurisdiction</b>            Records relating to enquiries made to the Energy and Water Ombudsman Queensland which are outside of its jurisdiction in accordance with the <i>Energy and Water Ombudsman Act 2006</i>.            Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• case or file notes.</li> </ul> <p><i>See disposal authorisation <a href="#">2093</a> for records relating to unsolicited external reference information</i></p>	1 year after the enquiry is finalised.	6 March 2018
2087	<p><b>Referrals to another organisation</b>            Records relating to enquiries made to EWOQ that are referred to another organisation.            Includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• matters referred back to providers; and</li> <li>• matters referred to another agency or authority where a Memorandum of Understanding may or may not exist.</li> </ul> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• case or file notes</li> <li>• letters</li> <li>• notices</li> <li>• supporting documentation.</li> </ul>	1 year after the matter has been referred.	6 March 2018

Disposal Authorisation	Description of records	Retention period & trigger	Date authorised
<b>INVESTIGATIONS</b> <i>The activity of managing complaints or allegations made which are within the jurisdiction of the Energy and Water Ombudsman Queensland.</i>			
2088	<p><b>Cancelled, withdrawn or declined</b></p> <p>Records relating to managing an investigation for an energy and/or water customer in accordance with the <i>Energy and Water Ombudsman Act 2006</i> that is cancelled, withdrawn or declined.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• investigation case or file notes</li> <li>• initial complaint</li> <li>• Interim orders</li> <li>• records of negotiations</li> <li>• notices to parties</li> <li>• requests for further information</li> <li>• supporting documentation</li> <li>• records of withdrawals.</li> </ul>	5 years after investigation is cancelled, withdrawn or declined.	6 March 2018
2089	<p><b>Resulting in an agreement – significant</b></p> <p>Records associated with managing investigations where an agreement or understanding is made between a Scheme Provider and an energy and/or water customer which sets a precedent, contains subject matter that has been deemed significant or attracts public interest or controversy.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• case or file notes</li> <li>• interim orders</li> <li>• records of negotiations</li> <li>• notices</li> </ul>	Permanent. Transfer to QSA after business action completed.	6 March 2018

Disposal Authorisation	Description of records	Retention period & trigger	Date authorised
	<ul style="list-style-type: none"> <li>• requests for further information</li> <li>• supporting documentation.</li> </ul> <p><i>See reference number <a href="#">2091</a> for records relating to investigations resulting in an order.</i></p>		
2090	<p><b>Resulting in an agreement – minor</b></p> <p>Records associated with managing investigations where an agreement or understanding is made between a Scheme Provider and an energy and/or water customer which does not set a precedent, contain subject matter that has not been deemed significant or does not attract public interest or controversy.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• case or file notes</li> <li>• interim orders</li> <li>• records of negotiations</li> <li>• notices</li> <li>• requests for further information</li> <li>• supporting documentation.</li> </ul> <p><i>See reference number <a href="#">2091</a> for records relating to investigations resulting in an order.</i></p>	7 years after investigation is finalised.	6 March 2018
2091	<p><b>Resulting in an order</b></p> <p>Records relating to managing investigations where the Ombudsman exercises the right to make a final order in accordance with the <i>Energy and Water Ombudsman Act 2006</i>.</p> <p>Records may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• case or file notes</li> <li>• records of determinations</li> <li>• final orders</li> <li>• interim orders</li> </ul>	Permanent. Transfer to QSA after business action completed.	6 March 2018

Disposal Authorisation	Description of records	Retention period & trigger	Date authorised
	<ul style="list-style-type: none"> <li>• records of negotiations</li> <li>• notices</li> <li>• requests for further information</li> <li>• supporting documentation.</li> </ul>		
2092	<p><b><i>Referred to a higher level</i></b></p> <p>Records relating to complaints made to EWOQ where they are referred to a higher level within the energy and/or water provider.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• appeals</li> <li>• case notes</li> <li>• escalation records</li> <li>• file notes</li> <li>• no contact letter</li> <li>• notices</li> <li>• request for further information</li> <li>• SMS messages</li> <li>• supplementary information requests</li> <li>• supporting documentation</li> <li>• records of withdrawals.</li> </ul>	2 years after the referral is finalised.	6 March 2018
2093	<p><b><i>Unsolicited external reference information</i></b></p> <p>Unsolicited information received by the agency from external sources during a dispute referral that is not requested by the agency or is necessary to complete any of their business functions. It may form part of a record required for core business but is redundant extra information that often contains highly personal and sensitive information unrelated to the functions of the Energy and Water Ombudsman Queensland.</p>	Retain until business action completed.	6 March 2018



Disposal Authorisation	Description of records	Retention period & trigger	Date authorised
	<p>See the relevant disposal authorisations in this retention and disposal schedule for solicited and relevant external source information.</p> <p>See the <a href="#">GRDS</a> disposal authorisation 1102 and 1103 for the disposal of cardholder data in accordance with the Payment Card Industry Data Security Standard (PCI DSS).</p>		
<p><b>MEDIA MANAGEMENT</b></p> <p><i>The activity of establishing a relationship between EWOQ and the media for dispute related interactions.</i></p>			
2094	<p><b>Media relations</b></p> <p>Records relating to managing the release of information to the community about dispute resolution activities of the Energy and Water Ombudsman. Including media activities associated with:</p> <ul style="list-style-type: none"> <li>• interviews</li> <li>• monitoring</li> <li>• releases</li> <li>• tracking.</li> </ul> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• records of liaison activities</li> <li>• requests</li> <li>• statements.</li> </ul>	5 years after last action completed.	6 March 2018
<p><b>RESEARCH</b></p> <p><i>The activity of identifying, collecting, analysing and researching information derived from complaints, industry standards and changes and other business, operational or administrative processes to support the Energy and Water Ombudsman in providing quality service to energy and water customers and providers.</i></p>			
2095	<p><b>Research projects</b></p> <p>Records relating to detailed analysis of the industry, trends and factors which may impact on the operation or the provision of services by EWOQ.</p> <p>Includes the following research activities:</p>	10 years after last action.	6 March 2018

Disposal Authorisation	Description of records	Retention period & trigger	Date authorised
	<ul style="list-style-type: none"> <li>• environmental scanning</li> <li>• quality assurance</li> <li>• research and background material</li> <li>• research projects</li> <li>• statistical information</li> <li>• trend analysis.</li> </ul> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• actions noted for follow up</li> <li>• assessment papers and documents</li> <li>• consultation</li> <li>• data analysis</li> <li>• decisions</li> <li>• evaluation of staff</li> <li>• implementation plans</li> <li>• notes</li> <li>• quality assurance program developments records</li> <li>• recommendations</li> <li>• reports</li> <li>• requests</li> <li>• statistics.</li> </ul>		