

# APPRAISAL LOG

Energy and Water Ombudsman Queensland retention and disposal schedule

Energy and Water Ombudsman Queensland

Date: 06 March 2018

Title	Scope Note
<b>ENERGY AND WATER DISPUTE RESOLUTION</b>	<i>The function of managing enquiries, complaints, allegations and investigations made to EWOQ for energy, water or gas customers in accordance with the Energy and Water Ombudsman Act 2006.</i>

**Activity****Enquiries**

*The activity of managing enquiries made to EWOQ that are not electricity, gas or water related or where EWOQ has no jurisdiction*

**Investigations**

*The activity of managing complaints or allegations made which are within the jurisdiction of the EWOQ.*

**Media Relations**

*The activity of establishing a relationship between the Energy and Water Ombudsman Queensland and the media for dispute related media interactions.*

**Research**

*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.*

Ref. No	Description of record and retention period	Justification for retention period
2086	<p><b>No jurisdiction</b></p> <p>Records relating to enquiries made to EWOQ which are outside of its jurisdiction in accordance with the <i>Energy and Water Ombudsman Act 2006</i>.</p> <p><b>Disposal action –</b></p> <p>Retain for 1 year after enquiry</p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p> <p>Existing class (changed disposal authorisation number only)</p> <p>An energy and water customer can make an enquiry to EWOQ by a series of methods: phone, email, fax, online complaint system, face to face. Some enquiries are outside the jurisdiction of EWOQ as indicated by the <i>Energy and Water Ombudsman Act 2006</i> and cannot proceed. The customer is not obliged to provide any detail, therefore some calls may have no contact details.</p> <p>An “enquiry” is captured in RESOLVE (Dispute Management System) which is managed by the Corporate</p>

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	is finalised.	<p>Administration Agency</p> <p><b>Regulatory Requirements:</b></p> <p><i>Energy and Water Ombudsman Act 2006</i></p> <p>s.19A indicates a matter cannot be visited or revisited after 12 months unless specifically approved by the Ombudsman.</p> <p>s.12, s.12A, s.12B, and s.19A indicate the restrictions of what the EWOQ is responsible for and what can and cannot be referred.</p> <p><b>Business requirements:</b></p> <p>The information contained within these enquiries is of minimal ongoing value to the organisation.</p> <p>Statistical information is gathered on these types of enquiries and is included as part of the annual report. The annual report is completed for a financial year and released prior to 30 September of the following financial year.</p> <p><b>Consistency with other schedules:</b></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 — 1.1.4 - Complaints – out of jurisdiction (or referred) – Retain for 1 year after last action.</i></p> <p><i>Public Record Office Victoria – Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01 — 1.4.0 – No Jurisdiction (or referred) Destroy 2 years after file closed.</i></p>
2087	<p><b>Referrals to another organisation</b></p> <p>Records relating to enquiries made to EWOQ that are referred to another organisation.</p> <p>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</li> </ul>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p> <p>Existing class (changed disposal authorisation number only)</p> <p>For complaints lodged with EWOQ where:</p> <ol style="list-style-type: none"> <li>a) The complainant has not contacted their provider in the first instance</li> <li>b) There is an existing MOU for certain agreements with other agencies</li> </ol> <p>The complainant has the obligation to raise their concern with their energy and/or water provider before making a complaint with EWOQ. Should this not have occurred the Investigation and Conciliation Officer (ICO) and/or Enquiry and Referral Officer (ERO) within EWOQ can refer the complainant immediately to their provider or the organisation with which an existing MOU is in place.</p>

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	<p>Memorandum of Understanding may or may not exist.</p> <p><b>Disposal action –</b> Retain for 12 months after the matter has been referred.</p>	<p>The complaint is captured within RESOLVE as either an Enquiry (where there is a referral without a MOU) or a Referral.</p> <p>The information captured within these types of complaints is minimal.</p> <p><b>Regulatory Requirements:</b> <i>Energy and Water Ombudsman Act 2006</i> s.12, s.12A, s.12B, s.19 and s.19A all indicate restrictions on what the EWOQ is responsible for and what can and cannot be referred.</p> <p><b>Business requirements:</b> Similar to the Enquiries, the statistics and information pertaining to these complaints are included as part of the annual report. The annual report is completed on a financial year basis and released prior to 30 September of the following financial year.</p> <p>Should the customer make another complaint after discussing their issue with their provider, a new complaint will be lodged to which the appropriate class will then be assigned.</p> <p><b>Consistency with other schedules:</b> <i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.4 - Complaints – out of jurisdiction (or referred) – Retain for 1 year after last action.</i> <i>Public Record Office Victoria – Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01 – 1.2.2 - General Enquiry Files including referred to another agency – Destroy 5 years after file closed.</i></p>
2088	<p><b>Cancelled, withdrawn or declined.</b></p> <p>Records related 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><b>Disposal action –</b></p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b> Existing class (changed disposal authorisation number only)</p> <p>An energy and water customer can make a complaint to EWOQ by a series of methods: phone, email, fax, online complaint system, face to face. If the complaint is within the relevant jurisdiction in accordance with the <i>Energy and Water Ombudsman Act 2006</i> an investigation can result.</p> <p>At any point in time a complainant can withdraw or cancel the dispute/complaint or the ombudsman can choose to decline an investigation or further investigation.</p> <p>The decision to decline can include (s.22 of the <i>EWOQ Act</i>):</p>

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	Retain for 5 years after investigation is cancelled, withdrawn or declined.	<ul style="list-style-type: none"> <li>• the subject of the relevant dispute is trivial</li> <li>• the dispute referral is frivolous or vexatious or has not been made in good faith</li> <li>• the referrer does not have a sufficient direct interest in the subject of the relevant dispute</li> <li>• the relevant entity has not been given a reasonable opportunity to resolve the relevant dispute</li> <li>• the referrer has a right of appeal, reference or review, or another remedy, that the referrer has not exhausted</li> <li>• the referral relates to an energy entity function, under an energy Act, the regulator or QCA has the power to give appropriate relief to the non-entity party</li> <li>• because of a preliminary inquiry, the relevant dispute should not be investigated</li> <li>• the subject of the relevant dispute is unnecessary or unjustifiable</li> <li>• referrals not made in the approved form under section 82.</li> </ul> <p><b>Regulatory requirements:</b></p> <p>s.18 and s.18A indicate what energy and water complaints can be managed by EWOQ.</p> <p>s.22 indicates that the ombudsman can refuse to investigate a dispute lodged.</p> <p>s.24 indicates a preliminary investigation to determine relevance and if an investigation will begin.</p> <p>s.25 indicates that an dispute can be withdrawn at any time.</p> <p>s.29 provides the ability to request documents.</p> <p>s.30 indicates that documents provided to EWOQ to facilitate an investigation must keep them “for a reasonable period to carry out the investigation”</p> <p>s.32 provides the ability to make an interim order</p> <p>s.38 indicates notification must be provided on decisions of investigations.</p> <p><b>Business requirements:</b></p> <p>As the investigation can be cancelled or withdrawn at any stage, the level of detail captured, provided or developed can be substantially different. It is relevant to maintain these records as they can provide ongoing benefit to the department for quality and improvements.</p> <p>The recommended retention period of 5 years after the investigation is finalised is consistent with or exceeds other jurisdictions and is suitable for EWOQ’s needs. The information that could be captured will provide EWOQ with the ability to record statistical information and better help in managing complaints into the future</p>

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		<p><b>Consistency with other schedules:</b></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.5 - Complaints – Withdrawn - Retain for 2 year after last action.</i></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.6 - Complaints – Declined- Retain for 2 year after last action.</i></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.7 - Complaints – Discontinued - Retain for 5 year after last action.</i></p> <p><i>State Records Authority of New South Wales - Functional Retention and Disposal Authority DA205 New South Wales Ombudsman – 1.5.4 - Complaints or allegations where no action is taken – Retain minimum 5 years after last action then destroy.</i></p>
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><b>Disposal action –</b> Retain permanently</p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p> <p>Existing class (changed disposal authorisation number only)</p> <p>Once a complaint has been made to EWOQ, it is initially assessed and if it is deemed to be in the jurisdiction of EWOQ then an investigation proceeds. The investigation is allocated to an Investigation and Conciliation Officer (ICO) who will manage the investigation with the customer and/or the scheme provider (energy or water). The ICO will determine the path of the investigation and either:</p> <ol style="list-style-type: none"> <li>1. refer to a higher level (see 1.4.2);</li> <li>2. investigate the matter;</li> <li>3. escalate within EWOQ as required.</li> </ol> <p>Where an agreement has been reached the investigation is then closed. Should the scheme provider/retailer not meet the conditions of the agreement a new investigation is then conducted, resulting in the process starting again.</p> <p><b>Regulatory Requirements:</b></p> <p>s.18 and s.18A indicate what energy and water complaints can be managed by EWOQ.</p> <p>s.24 indicates a preliminary investigation to determine relevance and if an investigation will begin.</p> <p>s.29 provides the ability to request documents.</p> <p>s.30 indicates that documents provided to EWOQ to facilitate an investigation must keep them “for a</p>

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		<p>reasonable period to carry out the investigation”</p> <p>s.32 provides the ability to make an interim order</p> <p>s.38 indicates notification must be provided on decisions of investigations.</p> <p><b>Business requirements:</b></p> <p>While records of investigations are generally required to be kept only for 7 years, those that are of significant value because they set a precedent or attract public interest or controversy have been deemed of permanent retention value.</p> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Characteristic 1 - Authority, Foundation &amp; Structure of Government                      Characteristic 2 – Primary Functions and Programs of Government</p> <p><b>Consistency with other schedules:</b></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.1 – Investigated complaints – retain permanently.</i></p> <p><i>Public Record Office Victoria – Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01 – Ombudsman Victoria – 1.2.1 – General Enquiry Precedent Files – Permanent - Retain as State Archives.</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 been deemed significant or attract public interest or controversy</p> <p><b>Disposal action –</b></p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p> <p>Existing class (changed disposal authorisation number only)</p> <p>Once a complaint has been made to EWOQ, it is initially assessed and if it is deemed to be in the jurisdiction of EWOQ then an investigation proceeds. The investigation is allocated to an Investigation and Conciliation Officer (ICO) who will manage the investigation with the customer and/or the scheme provider (energy or water). The ICO will determine the path of the investigation and either:</p> <ol style="list-style-type: none"> <li>1. refer to a higher level (see 1.4.2);</li> <li>2. investigate the matter;</li> <li>3. escalate within EWOQ as required.</li> </ol> <p>Where an agreement has been reached the investigation is then closed. Should the scheme provider/retailer not meet the conditions of the agreement a new investigation is then conducted, resulting in</p>

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	Retain for 7 years after investigation is finalised	<p>the process starting again.</p> <p><b>Regulatory Requirements:</b></p> <p>s.18 and s.18A indicate what energy and water complaints can be managed by EWOQ.</p> <p>s.24 indicates a preliminary investigation to determine relevance and if an investigation will begin.</p> <p>s.29 provides the ability to request documents.</p> <p>s.30 indicates that documents provided to EWOQ to facilitate an investigation must keep them “for a reasonable period to carry out the investigation”</p> <p>s.32 provides the ability to make an interim order</p> <p>s.38 indicates notification must be provided on decisions of investigations.</p> <p><b>Business requirements:</b></p> <p>Records are deemed relevant for a period of time once the investigation is closed. This fulfils continual improvement opportunities for the agency and staff. During the requirement gathering workshops, ICO and Enquiry and Referral Officer (ERO) staff advised that 7 years after the investigation is finalised provides sufficient time as there are instances where a customer can call several years later regarding the same issue or a different complaint. The retention period also allows EWOQ continually to review and improve their processes whilst providing the community with continual support and access to information for a reasonable time period.</p> <p><b>Consistency with other schedules:</b></p> <p>Tasmanian Archive and Heritage Office <i>Disposal Schedule for Ombudsman and Health Complaints Commissioner DA28 – 2.3.2</i> – Records relating to complaints which have proceeded to an investigation. – Destroy 5 years after last case action.</p> <p>Public Record Office Victoria – <i>Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01</i> – Ombudsman Victoria – 1.2.2 – General Enquiry Files – Destroy 5 years after file closed.</p> <p>State Records Authority of New South Wales - <i>Functional Retention and Disposal Authority DA205 New South Wales Ombudsman – 1.5.3</i> – Complaints and notifications acted on – Retain min 10 years after last action then destroy.</p>
2091	<p><b>Resulting in an order</b></p> <p>Records associated with managing investigations where</p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p>



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	<p>the Ombudsman exercises the right to make a final order in accordance with the Energy and Water Ombudsman Act 2006.</p> <p><b>Disposal action –</b> Retain permanently</p>	<p>Existing class (changed disposal authorisation number only)</p> <p>These types of investigations are where the ombudsman must make a determination for a complaint/dispute. This could be due to an inability to come to a reasonable agreement between the provider and customer. Once a final order is made the complainant must provide an election notice (within 21 days) to either accept or not accept the final order. If the order is not accepted the order is no longer effective. There is no appeal or further challenge available for a final order. Both parties must make a reasonable effort to comply with the final order.</p> <p>Should a complainant not comply, the energy or water provider can notify EWOQ. EWOQ may investigate further and provide a compliance direction to the complainant. If the complainant does not comply with the compliance direction, the Ombudsman can notify the energy or water provider and 'declare' that the complainant has complied which binds the non-entity party.</p> <p>Should an energy or water provider not comply, the complainant can notify EWOQ. EWOQ may investigate further and provide a compliance direction (recorded in the final order and interim order). If the energy or water provider does not comply with an acceptance order or compliance direction EWOQ can refer the noncompliance to the regulator of the relevant act, e.g. the <i>Electricity Act 1994</i> or the <i>Water Act 2000</i>.</p> <p><b>Regulatory Requirements:</b></p> <p>s.18 and s.18A indicate what energy and water complaints can be managed by EWOQ.</p> <p>s.24 indicates a preliminary investigation to determine relevance and if an investigation will begin.</p> <p>s.29 provides the ability to request documents.</p> <p>s.30 indicates that documents provided to EWOQ to facilitate an investigation must keep them “for a reasonable period to carry out the investigation”</p> <p>s.32 provides the ability to make an interim order</p> <p>s.38 indicates notification must be provided on decisions of investigations.</p> <p>s.35 provides the ability to make a final order</p> <p>s.40 indicates the non-entity party can agree or not to the order.</p> <p>s.42 indicates how the final order is enforced.</p> <p>s.44 provides the ability to make inquiry and make a compliance direction for non-compliance with any order for an entity (scheme provider)</p> <p>s.45 provides the ability to make a compliance declaration for non-compliance with a compliance order for a</p>

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		<p>non-entity.</p> <p>s.46 provides the ability to escalate the non-compliance for an entity to the appropriate regulator for the Act in question.</p> <p><b>Business requirements:</b></p> <p>There have been no accepted cases for an order in the history of EWOQ, however there is the potential for this to happen in the future. Due to the rarity of the situation occurring, a permanent retention period is valid. The severity and authorisation required for this class of records is consistent with the permanent retention criteria of providing judgements and rulings which are part of the legislative jurisdiction of the ombudsman. The recommended retention period is consistent with other jurisdictions.</p> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Characteristic 1 - Authority, Foundation &amp; Structure of Government Characteristic 2 – Primary Functions and Programs of Government</p> <p><b>Consistency with other schedules:</b></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.1 – Investigated complaints – retain permanently.</i></p> <p><i>Public Record Office Victoria – Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01– 1.2.1 - General Enquiry Precedent Files – Retain as State Archives.</i></p> <p><i>State Records Authority of New South Wales - Functional Retention and Disposal Authority DA205 New South Wales Ombudsman – 1.5.1 – Ombudsman has exercised formal powers – Required as State archives.</i></p>
2092	<p><b>Referred to a higher level</b></p> <p>Records relating to records of complaints made to EWOQ where they are referred to a higher level within the energy and/or water provider</p> <p><b>Disposal action –</b></p> <p>Retain for 2 years after the referral is finalised.</p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p> <p>Existing class (changed disposal authorisation number only)</p> <p>A complaint is taken as per the normal process, if the complainant has advised that the matter has been discussed with the energy and/or water provider.</p> <p>EWOQ will determine whether multiple attempts were made to resolve the situation with the provider. This will assist in determining whether escalation is warranted</p> <p>If it is determined that a referral to a higher level is required then EWOQ will send a Refer to Higher Level (RHL) notice to the provider, who has five business days to contact the customer, be it within two days by</p>

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		<p>telephone or a further three days in writing.</p> <p>The complaint is then finalised within EWOQ.</p> <p>If the complainant does not hear back from the provider within the specified timeframe a new complaint will be lodged and an investigation will commence.</p> <p><b>Regulatory Requirements:</b></p> <p>s.12, s.12A, s.12B, s.19 and s.19A all indicate that there are restrictions on what the EWOQ is responsible for and what can and cannot be referred.</p> <p>s.19A indicates a matter cannot be visited or revisited after 12 months unless specifically approved by the Ombudsman.</p> <p><b>Business requirements:</b></p> <p>Similar to the above, information pertaining to RHL's are statistically analysed for the annual report. While the timeframe for a RHL is 5 working days, essentially a new complaint would commence within a short period of time.</p> <p><b>Consistency with other schedules:</b></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.4 - Complaints – out of jurisdiction (or referred) – Retain for 1 year after last action.</i></p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2 – 1.1.8 - Complaints – Enquiries – Retain for 2 years after last action.</i></p> <p><i>Public Record Office Victoria – Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01– 1.2.2 - General Enquiry Files including referred to another agency – Destroy 5 years after file closed.</i></p> <p><i>Public Record Office Victoria – Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01– 1.4.0 – No Jurisdiction (or referred) Destroy 2 years after file closed.</i></p> <p><i>State Records Authority of New South Wales General Retention and Disposal Authority: Local Government Records GA39 – 6.5.1 – Public Reaction – complaints with routine responses or referred to another organisation – Retain minimum 2 years after action completed then destroy.</i></p> <p><b>Other comments/factors for consideration:</b></p> <p>The information pertaining to a RHL is more detailed than that where the complainant has not contacted their provider or where there is an existing Memorandum of Understanding; therefore the recommended</p>

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		retention period of 2 years after referral is finalised is suitable.
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> <p><b>Disposal action –</b></p> <p>Retain until business action completed</p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Why are these records created:</b></p> <p>New Class</p> <p>The Energy and Water Ombudsman Queensland (EWOQ) is a free, fair and independent dispute resolution service for unresolved complaints with electricity, gas or water suppliers. They encourage disputes to be resolved with the provider before being approached to investigate and resolve complaints.</p> <p>They do not reimburse complainants if a case involves money therefore they do not require identity checks or payment details (a 100pt check is not required). However this information is frequently provided to EWOQ. Information such as bills, passports, credit card details, birth certificates etc are commonly submitted to EWOQ by the complainant even though this information is not required to undertake any function of the agency.</p> <p><b>Why the records are retained for this retention period:</b></p> <p>The storing and management of this highly sensitive and personal information places EWOQ at risk. There is no need to collect, store or manage this information after its receipt. As per the <i>Public Records Act 2002</i> this information identifies as public records therefore authorisation by the State Archivist is required for disposal.</p> <p>The Payment Card Industry Data Security Standard (PCI DSS) sets a precedent where part of a record is destroyed once actioned. EWOQ advise their clients not to submit this information and they also have updated information on their website providing clarity around the dispute resolution process and what equates to relevant information. However, they regularly receive this additional information.</p> <p><b>Applicable legislation/standards:</b></p> <p><i>Energy and Water Ombudsman Act 2006</i> – in accordance with this Act EWOQ is only required to collect relevant information.</p> <p><b>Comparison with other schedules' retention period:</b></p> <p>Qld State Archives General Retention and Disposal Schedule for records relating to:</p> <ul style="list-style-type: none"> <li>• external reference information – disposal authorisation 1273 – retain until business action completed</li> <li>• cardholder data - disposal authorisation 1102 – retain until business action completed</li> </ul>

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		<ul style="list-style-type: none"> <li>• sensitive authentication data – disposal authorisation 1103 – Do not store or capture. Destroy received data immediately after transaction authorised</li> </ul> <p><b>Other comments/factors for consideration:</b></p> <p>EWOQ will manage the disposal of this information as per their defensible process which is similar to the requirements under the Payment Card Industry Data Security Standard (PCI DSS) where part of the record may be redacted or destroyed.</p> <p>This class does not include the disposal authorisation for solicited and relevant external source information that is required by EWOQ provide free, fair and independent dispute resolution services.</p>
2094	<p><b>Media Relations</b></p> <p>Records relating to managing the release of information to the community about dispute resolution activities.</p> <p><b>Disposal action –</b></p> <p>Retain for 5 years after last action.</p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p> <p>Existing class (changed disposal authorisation number only)</p> <p>This class covers all media activities for EWOQ specifically related to Dispute Resolution.</p> <p><b>Business requirements:</b></p> <p>The content of these media releases does not fit into the categories for permanent retention. There is limited chance of any media release relating to a historically significant event or large scale community outrage.</p> <p>The information within the media releases provides short term value to the organisation. Maintaining the records for a number of years provides a history for reference purposes only.</p> <p><b>Consistency with other schedules:</b></p> <p><i>Local Government Association of Queensland Incorporated (LGAQ) Retention and Disposal Schedule QDAN 688 v.1 – 1.3.2 – Media releases – minor – Retain for 7 years after last action</i></p> <p><i>Department of Communities, Child Safety and Disability Services (Child Safety) Retention and Disposal Schedule QDAN 637 v.2 – 2.7.1 - Promotional Campaigning - Program delivery (includes Media Releases) – Retain for 5 years after last action</i></p> <p><b>Other comments/factors for consideration:</b></p> <p>The recommended retention period of retain for 5 years after last action is consistent with some other jurisdictions and meets business requirements.</p>

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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 service by EWOQ.</p> <p><b>Disposal action –</b></p> <p>Retain for 10 years after last action.</p>	<p><b>Date authorised:</b> 6 March 2018</p> <p><b>Background/business process:</b></p> <p>Existing class (changed disposal authorisation number only)</p> <p>To continue providing a quality, effective and efficient service to Energy and/or Water customers and providers, EWOQ conducts a series of research projects each year. These research projects provide EWOQ with the opportunity to analyse events and trends within the industry. Information is gathered from the community, RESOLVE statistics and investigation notes.</p> <p>In addition, Quality Assurance projects are conducted. The QA analyses the processes within EWOQ in relation to complaints and investigations. Each year six (6) QA projects are conducted. The nature and content of these can vary, however they are focussed on improving internal operations, the complaint process and always maintain the bigger picture. The QA aims to:</p> <ul style="list-style-type: none"> <li>• ensure that complaint staff are handling policies, procedures consistently and appropriately</li> <li>• ensure outcomes achieved by the team are consistent, high quality and fair and reasonable</li> <li>• assist Senior Management to evaluate and improve performance of staff</li> <li>• provide opportunities to identify improvements for EWOQ policies and procedures.</li> </ul> <p>Finally, systemic issues are pertinent to the ongoing management and prediction of workload for the department. A systemic issue is a problem which a person has with an energy or water entity which affects, or has the potential to affect, more than one customer. When a complaint is made that is a potential systemic issue, the complaint is flagged in RESOLVE as a “potential systemic issue”. This will provide a notification to the Policy and Research team that a potential systemic issue has been identified. A secondary investigation into the complaint is conducted which researches the industry, the complaint and the impacts that it may have on other customers and/or EWOQ.</p> <p><b>Business requirements:</b></p> <p>The information that is gathered from the research and investigation can be crucial to the operation of EWOQ. It helps identify what improvements need to be made and how EWOQ can better support the community and/or scheme providers. Current research is crucial to the management of EWOQ. Whilst EWOQ participates in and conducts a number of research projects each year, the information varies for each project.</p> <p>The information gathered can provide ongoing comparative information for EWOQ. By retaining the records, EWOQ has the ability to compare the data from previous years and make comparative</p>

Ref. No	Description of record and retention period	Justification for retention period
		<p>summations. Therefore it is recommended that these records are maintained for a minimum of 10 years after last action. This is greater than the retention period for other jurisdictions but meets the requirements of EWOQ.</p> <p><b>Consistency with other schedules:</b></p> <p>State Records New South Wales - <i>Functional Retention and Disposal Authority DA205 New South Wales Ombudsman</i> – 4.1.1 – Records relating to detailed analysis of individuals, external agencies, regions, locations and issues of interest of concern, in order to gather information to support the Intelligence function – Retain minimum of 10 years after action then destroy.</p> <p>State Records Authority of New South Wales <i>General Retention and Disposal Authority: Local Government Records GA39</i> – 6.7.1 – Service delivery review/evaluation – retain minimum of 5 years after action completed then destroy.</p> <p>Public Record Office Victoria – <i>Retention and Disposal Authority for Records of Ombudsman Victoria PROS 05/01</i>– 2.1.2 – monitoring and reviewing agency and officers (no criticism) – Destroy 5 years after matter closed.</p> <p><i>Queensland Workers' Compensation Regulatory Authority (QCOMP) QDAN 621 v.1</i> – 3.1.1 - major research conducted to support the functions of Q-COMP – Retain for 5 years after last action.</p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2</i> – 1.5.1 – Original unpublished research – summary/final reports and evaluations – Retain permanently by the Office of the Ombudsman</p> <p><i>Office of the Ombudsman Retention and Disposal Schedule QDAN 553 v.2</i> – 1.5.2 – Original research – other records – Retain permanently by the Office of the Ombudsman</p>