

**Records Disposal Schedule  
Customer Service Records  
Power and Water Corporation**

**Disposal Schedule No. 2004/7**

**April 2004**

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## **ABOUT THIS DISPOSAL SCHEDULE**

### **Purpose**

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of records of information management functions and activities of NT Government public sector organisations.

### **Scope**

Application of this Disposal Schedule is mandatory for franchise customer services and contestable customer management records of the Power and Water Corporation. This Disposal Schedule applies to all franchise customer services and contestable customer management records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

### **Regulatory Framework**

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Information Act 2002
- ▶ Australian Standards AS ISO 15489:2002-Records Management

### **Related Documents**

This Disposal Schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal

- ▶ policies and procedures of Power and Water Corporation
- ▶ current authorised disposal schedules for Power and Water Corporation
- ▶ Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).
- ▶ Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- ▶ Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).
- ▶ Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).
- ▶ NT Archives Guidelines on Normal Administrative Practice for Records Disposal

### **Responsibility**

The Managing Director Power and Water Corporation is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

### **Authority**

This Disposal Schedule was approved by the Director of the Northern Territory Archives Service and the Managing Director Power and Water Corporation April 2004 and is effective immediately.

### **Explanation**

This schedule has been developed using a functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the records.

### **NT Government Disposal Schedules**

There are two types of records disposal schedules:

- ▶ “general” disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- ▶ records disposal schedules specific to an NT Government public sector organisation or function.

There are presently four disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records and the General Disposal Schedule for Information Management Records. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

### **Sentencing Records**

Sentence records with this records disposal schedule using the following five steps:

- ▶ Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
- ▶ Identify the disposal class.
- ▶ From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.
- ▶ If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
- ▶ If the trigger event has not occurred (eg. the record is still in active use), set a review date for the future.

### **Normal Administrative Practice**

Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:

- ▶ duplicate (eg information or reference copy)
- ▶ obviously unimportant (eg telephone message slips)
- ▶ of short term facilitative value (eg compliment slips)
- ▶ a combination of these

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should not be destroyed as normal administrative practice unless the class of records has been identified in a disposal schedule and reason for their destruction is recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system)

### **Notification of Destruction**

Provide formal notification of destruction of all records to NT Archives Service.

### **Acknowledgment**

The NT Archives Service wishes to acknowledge the use of material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia were used in the development of this schedule.

The schedule was drafted principally by the Power and Water Corporation in consultation with Northern Territory Archives Service.

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission of the Northern Territory Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, Northern Territory Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998, and are produced under a licence agreement between the Northern Territory Archives Service and the State Records Authority of New South Wales.)

Compliance

**Compliance Checklist**

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format
- Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system
- Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record
- Implement review or quality control procedures in electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Stop applying sentences from previous schedules that have been revoked or amended
- Retain all records in good order and condition to be available for retrieval during the retention period.
- Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
- Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form migration to new systems conversion to long term medium
- Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Transfer records of permanent value to NT Archives Service not later than 30 years after creation for retention as archives
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify NT Archives Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule unless they are ephemeral documents that are obviously duplicate and/or unimportant

## 1. CONTESTABLE CUSTOMER MANAGEMENT

The function of maintaining current market share and increasing the commercial worth of the contestable electricity market through:

- marketing and sales of products to new and existing customers,
- enhancing customer relationships and improving commercial results,
- maintaining market power and customer services, including accountability for pricing, collections, marketing, billing, product management for electricity and maintaining a premium customer relationship.

Customers who have the ability to choose their retail supplier are known as Contestable Customers.

Note: Contestability was established in 1999 to services the new Tranches which became contestable on the 1st April 2000 under the Electricity Reform Act 2001. Tranches are calculated from levels of electricity consumption from a single site.

### 1.1 AUDIT

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly recorded the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits and quality assurance audits.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.1.1            | Records relating to internal or external audit of financial management transactions for contestable customers. Includes meter readings, recommendations, outage also includes tariff rates, advice to customer and reports on the consumption of electricity from a single site. | TEMPORARY<br>Destroy 6 years after action completed |
| 1.1.2            | Records relating to energy audits conducted for contestable customers to monitor electricity consumption. Includes consumption history readings, tariff rates, customer and property details, account details.   | TEMPORARY<br>Destroy 6 years after action completed |
|                  | Use FRANCHISE CUSTOMER SERVICES – AUDIT for the activities associated with energy audits to determine electricity to establish contestability.   |   |

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## 1.2 CLIENT SERVICE

The activities associated with the planning, delivering, monitoring and evaluating services provided to clients by the organisation.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.2.1            | Records relating to the monitoring and evaluating services provided to franchise customers. Including business improvements, survey findings and final reports. | TEMPORARY<br>Destroy 6 years after action completed |
| 1.2.2            | Survey data including questionnaires in relation to services provided by Franchise Customer Services.   | TEMPORARY<br>Destroy 1 year after report produced   |

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### 1.3 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                  |
|------------------|--|--|
| 1.3.1            | Records of committees convened to assess improvements to contestable customer management. Includes agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions. | TEMPORARY<br>Destroy 6 years after action complete |
| 1.3.2            | Records relating to the administration of committees for contestable Customer Services. Includes draft agenda, distribution lists, invitations to attend, organising of venue.                         | TEMPORARY<br>Destroy 2 years after action complete |

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### 1.4 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the Records Management Standard AS ISO 15489 2002. Includes ISO 9000 series.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                    |
|------------------|--|--|
| 1.4.1            | Records relating to breaches of non-compliance or failure to meet compliance requirements. Monitoring and audit of serious breach and recommendations for investigation, outcomes and reporting actions for serious breaches. Can include legislation requirements, cross subsidy occurrence, failing to comply with codes, advancing credit, engaging in discriminatory arrangements, use market power to damage competitor, interference with customer account, non compliance with ring – fencing code and privacy requirements.  | TEMPORARY<br>Destroy 20 years after action completed |
| 1.4.2            | Records relating to Contestable Customer Management's compliance with mandatory or optional standards, including compliance, with legislation and with national and international standards ISO 9000 series, quality assurance for the electricity consumer, account management, customer billing system, privacy requirements, information handout, retail licences, customer contract, price fixing, misuse of market power, tariff fees and charges as set by the regulator. Can include advice, audits, monitoring defects, reports and interpretation of regulations. | TEMPORARY<br>Destroy 10 years after action completed |
| 1.4.3            | Records relating to minor breaches, can include incorrect domestic tariffs, connection to wrong service, comprehensive customer details not obtained.  | TEMPORARY<br>Destroy 5 years after action completed  |
| 1.4.4            | Records relating to compliance with requirements to remain a contestable customer. Includes evidence that a customer may cease to be contestable.  | TEMPORARY<br>Destroy 5 years after action completed  |

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| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b> |
|------------------|---|-----------------------------------|
|                  | Use FRANCHISE CUSTOMER SERVICES – COMPLIANCE for the activities associated with issuing certificate to customers who comply with requirements to become contestable |                                   |

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### 1.5 CONTRACT MANAGEMENT

The process of managing all aspects of the contract, including contract supervision and contract administration.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.5.1            | Contestable customer contracts, original signed contracts and / or contracts under seal held in safe custody in support of contestable customers' functions. Auditing the contractor to ensure completion of the project is within terms and requirements of the contract, monitoring the financial performance of the contract including electricity supply and indemnities. Includes sealed and unsealed contracts. Includes contestable customer management. | TEMPORARY<br>Destroy 7 years after contract expires |
| 1.5.2            | Supervisor's Copies of signed contracts between Power and Water Corporation and the contestable customer.   | TEMPORARY<br>Destroy 7 years after contract expires |

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### 1.6 CUSTOMER TRANSACTIONS

The activity in responding to customer transactions for water, power and sewerage services. Includes accounts, payments, applications, bank accounts, billing, data collection, complaints from domestic and commercial customers, direct debit, electricity connection/ disconnection, failures, methods of payments, metering, petty cash, electricity and water special read, property settlement statements, reconciliation, requests for information, order, sales and dissemination of tokens, tariffs, vouchers, receipts, sale of bulk tokens and call centre. Provides advice, education and information in relation to consumption and accounts, negotiate time to pay with customers, analysis and pre-emptive role for customer billing. The Customer Billing Financial Management System must comply with the privacy legislation and the corporate governance policy on privacy.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                        |
|------------------|---|--|
| 1.6.2            | Electronic records in the customer billing systems relating to contestable customers billing transactions for water, sewerage and electricity accounts. Includes electronic records of customer details and interactions, data entry of records, data corrections within the system. Includes new accounts, disconnections, changes of address, reporting such as reminder notices, faults advice, error logs and specialised reports relating to contestable customers and business functions. This system generates the paper base records. Electronic records to be destroyed at the same time as paper based. | TEMPORARY<br>Destroy 6 years after date of disconnection |

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## 1.7 INVESTIGATIONS

The acts and processes involved in ascertaining facts by inquiry or examination.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                        |
|------------------|--|--|
| 1.7.1            | Investigations into contestable customer complaints. Includes original documents of customer correspondence, consumption usage, audits, monitoring and evaluation, research findings, copies of outgoing correspondence and outcomes of investigation. | TEMPORARY<br>Destroy 6 years after last action completed |

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## 1.8 LIAISON

The activities associated with maintaining regular general contact between the organisation and others, including professional associations; professionals in related fields; private sector organisations; community groups and individuals. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.8.1            | Records relate to liaison between contestable customer management and major customers. Includes account management, applications, client profiles, commercial customers, customer charter and major customers. | TEMPORARY<br>Destroy 6 years after action completed |

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### 1.9 MARKETING & PROMOTION

The process of analysing, creating, promoting and/or selling products and services, including corporate image. Includes market research, sales forecasting, advertising, media releases, pricing, product evaluation and product development.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.9.1            | Records relating to the marketing and promotion of product development for contestable customers to promote the corporations activities, image, services or products. May include design of brochures, publications, distribution list and advertising material. | TEMPORARY<br>Destroy 5 years after action completed |

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### 1.10 MEETINGS

The activity associated with gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                        |
|------------------|--|--|
| 1.10.1           | Records relating to regular section meetings for contestable customers unit regarding the administrative arrangements, agenda, attendance briefings and discussion papers and reports.<br><br>Use COMMITTEES for meetings of committees, task forces and any other formal group that meets on a regular basis. | TEMPORARY<br>Destroy 3 years after last action completed |

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### 1.11 PERFORMANCE MANAGEMENT

The process of identifying, evaluating and developing corporate and employee work performance so that the organisation's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.11.1           | Records relating to the development of performance management in contestable customer management, including determination and evaluation of performance indicators, preparation of performance indicators, reports, assessments, evaluation and monitoring of activities and data collection. | TEMPORARY<br>Destroy 5 years after action completed |

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### 1.12 PLANNING

The process of formulating ways in which objectives can be achieved. Includes determination of services and solutions of those needs.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.12.1           | Records relating to customers in the development of planning sessions, draft plans, objectives, strategies and final plans for contestable customers. | TEMPORARY<br>Destroy 6 years after action completed |
| 1.12.2           | Copies of contestable customers business functions, corporate or strategic plans held for reference.  | TEMPORARY<br>Destroy when reference ceases          |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 1. CONTESTABLE CUSTOMER MANAGEMENT

The function of maintaining current market share and increasing the commercial worth of the contestable electricity market through:

- marketing and sales of products to new and existing customers,
- enhancing customer relationships and improving commercial results,
- maintaining market power and customer services, including accountability for pricing, collections, marketing, billing, product management for electricity and maintaining a premium customer relationship.

Customers who have the ability to choose their retail supplier are known as Contestable Customers.

Note: Contestability was established in 1999 to services the new Tranches which became contestable on the 1st April 2000 under the Electricity Reform Act 2001. Tranches are calculated from levels of electricity consumption from a single site.

### 1.13 POLICY

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>   |
|------------------|--|---|
| 1.13.1           | Records relating to the formulation of contestable customers policy on functional activities, including consultation papers, drafts, policy proposals, research papers, master copies of policies and master set of comments received for contestable customer management. | PERMANENT<br>Transfer to NT Archives Service<br>6 years after last action on file |
| 1.13.2           | Records relating to comments from other business units policy or whole of government policy regarding contestable customer management.   | TEMPORARY<br>Destroy 6 years after action completed                               |
| 1.13.3           | Duplicate copies of contestable customer policy documents held for research or reference.  | TEMPORARY<br>Destroy when reference ceases  |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 1. CONTESTABLE CUSTOMER MANAGEMENT

The function of maintaining current market share and increasing the commercial worth of the contestable electricity market through:

- marketing and sales of products to new and existing customers,
- enhancing customer relationships and improving commercial results,
- maintaining market power and customer services, including accountability for pricing, collections, marketing, billing, product management for electricity and maintaining a premium customer relationship.

Customers who have the ability to choose their retail supplier are known as Contestable Customers.

Note: Contestability was established in 1999 to services the new Tranches which became contestable on the 1st April 2000 under the Electricity Reform Act 2001. Tranches are calculated from levels of electricity consumption from a single site.

### 1.14 PROCEDURES

Standard methods of operating laid down by an organisation according to formulated policy.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                                  |
|------------------|---|--|
| 1.14.1           | Records relating to the development and implementation of procedures and guidelines associated with contestable customer management function. Includes master copies and procedure manuals. | TEMPORARY<br>Destroy 6 years after procedures have been superseded |
| 1.14.2           | Duplicate copies of procedure manuals for contestable customers.  | TEMPORARY<br>Destroy when reference ceases                         |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 1. CONTESTABLE CUSTOMER MANAGEMENT

The function of maintaining current market share and increasing the commercial worth of the contestable electricity market through:

- marketing and sales of products to new and existing customers,
- enhancing customer relationships and improving commercial results,
- maintaining market power and customer services, including accountability for pricing, collections, marketing, billing, product management for electricity and maintaining a premium customer relationship.

Customers who have the ability to choose their retail supplier are known as Contestable Customers.

Note: Contestability was established in 1999 to services the new Tranches which became contestable on the 1st April 2000 under the Electricity Reform Act 2001. Tranches are calculated from levels of electricity consumption from a single site.

### 1.15 REPORTING

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 1.15.1           | Reports submitted by contestable customers unit. Also includes about consumer consumption, tariffs and current issues  | TEMPORARY<br>Destroy 6 years after action completed |
| 1.15.2           | Records relating to periodic reports on a specific project or supply a summary of information on all current projects. The records include briefings, discussion papers, comments received in relation to report, drafts, returns and reviews. | TEMPORARY<br>Destroy 6 years after action completed |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 1. CONTESTABLE CUSTOMER MANAGEMENT

The function of maintaining current market share and increasing the commercial worth of the contestable electricity market through:

- marketing and sales of products to new and existing customers,
- enhancing customer relationships and improving commercial results,
- maintaining market power and customer services, including accountability for pricing, collections, marketing, billing, product management for electricity and maintaining a premium customer relationship.

Customers who have the ability to choose their retail supplier are known as Contestable Customers.

Note: Contestability was established in 1999 to services the new Tranches which became contestable on the 1st April 2000 under the Electricity Reform Act 2001. Tranches are calculated from levels of electricity consumption from a single site.

### 1.16 REVIEWING

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.16.1           | Records relating to reviews of contestable customer management functions, program and activities, including research material, findings, survey or questionnaires outcomes, draft proposals, recommendations, working papers, final report and action plan. | TEMPORARY<br>Destroy 6 years after action completed |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.1 AGREEMENTS

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and /or exchange of letters between parties, as well as informal agreements.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                    |
|------------------|---|--|
| 2.1.1            | Service level agreements between Franchise Customer Services and other parties. Records relating to the development, negotiation, maintenance and review of agreements for the connection or disconnection, maintenance and works of water, electricity and sewerage supplies, meter reading, sale of tokens. | TEMPORARY<br>Destroy 6 years after agreement expires |

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## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

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### 2.2 AUDIT

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 2.2.1            | Records relating to internal and external audits for financial accounting transactions, customer billing transactions. Includes advice, recommendations and reports.   | TEMPORARY<br>Destroy 6 years after action completed |
| 2.2.2            | Records relating to energy audits conducted for-customers to determine electricity consumption to establish contestability. Includes consumption history readings, tariff rates, customer and property details, account details. | TEMPORARY<br>Destroy 6 years after action completed |
|                  | Use CONTESTABLE CUSTOMER MANAGEMENT – AUDIT for the activities associated with monitoring electricity consumption of contestable customers.  |   |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

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### 2.3 CLIENT SERVICE

The activities associated with the planning, delivering, monitoring and evaluating-services provided to clients by the organisation.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 2.3.1            | Records relating to the monitoring and evaluating services provided to franchise customers. Including business improvements and call centre arrangements, survey findings and final reports. | TEMPORARY<br>Destroy 6 years after action completed |
| 2.3.2            | Letters of application sent or received by Franchise Customer Services.  | TEMPORARY<br>Destroy 2 years after action completed |
| 2.3.3            | Survey data including questionnaires in relation to services provided by Franchise Customer Services.  | TEMPORARY<br>Destroy 1 year after report produced   |

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## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

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### 2.4 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

Tip: This descriptor is used for those committees that are NOT classified under INQUIRIES.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                  |
|------------------|--|--|
| 2.4.1            | Records of committees convened to assess improvements to customer billing and client services delivery. Includes agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions. | TEMPORARY<br>Destroy 6 years after action complete |
| 2.4.2            | Records relating to the administration of committees for Franchise Customer Services. Includes draft agenda, distribution lists, invitations to attend, organising of venue.   | TEMPORARY<br>Destroy 2 years after action complete |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.5 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the Records Management Standard AS ISO 15489 2002. Includes ISO 9000 series.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                    |
|------------------|---|--|
| 2.5.1            | Records relating to major breaches of non-compliance or failure to meet compliance requirements. Monitoring and audit of serious breach and recommendations for investigation, outcomes and reporting actions for serious breaches. Can include legislation requirements, cross subsidy occurrence, failing to comply with codes, advancing credit, engaging in discriminatory arrangements, use market power to damage competitor, interference with customer account, non compliance with ring – fencing code and privacy requirements. | TEMPORARY<br>Destroy 20 years after action completed |
| 2.5.2            | Records relating to Franchise Customer Services compliance with mandatory or optional standards, legislation and with national and international standards ISO 9000 series quality assurance for the electricity consumer, account management, customer billing system, privacy requirements, information handout, retail licences, customer contract, price fixing, misuse of market power, tariff fees and charges as set by the regulator. Can include advice, audits, monitoring defects, reports and interpretation of regulations.  | TEMPORARY<br>Destroy 10 years after action completed |
| 2.5.3            | Records relating to minor breaches can include incorrect domestic tariffs, connection to wrong service, comprehensive customer details not obtained.  | TEMPORARY<br>Destroy 5 years after action completed  |
| 2.5.4            | Records relating to the issue of certificate to a customer who is found to comply with the requirements of becoming contestable. Includes consumption levels as evidence that customer may become contestable, applications from customers who request contestability, results of applications and research material related to the determination and outcome, disputes, reports, recommendation and confirmation with contestable customers.   | TEMPORARY<br>Destroy 5 years after action completed  |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.5 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the Records Management Standard AS ISO 15489 2002. Includes ISO 9000 series.

| <b>Class No.</b> | <b>Description of Records</b> | <b>Status and Disposal Action</b> |
|------------------|-------------------------------|-----------------------------------|
|------------------|-------------------------------|-----------------------------------|

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|  |   |  |
|--|---|--|
|  | Use CONTESTABLE CUSTOMER MANAGEMENT – COMPLIANCE for the activities associated with evidence that a customer may cease to be contestable. |  |
|--|---|--|

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## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.6 CONTRACT MANAGEMENT

The process of managing all aspects of the contract, including contract supervision and contract administration.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 2.6.1            | Records relating to original signed contracts for franchise customer services can include consultancy services, fees and charges for services on metering, essential services operations, Outstations, customer contracts, sale of bulk tokens and contracts with services providers for the connection or disconnection of electricity, water and sewerage services. | TEMPORARY<br>Destroy 7 years after contract expires |
| 2.6.2            | Supervisor's copy of contract for the sale of bulk tokens and contracts with service providers for the connection or disconnection of electricity, water and sewerage services, meter reading.  | TEMPORARY<br>Destroy 7 years after contract expires |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.7 CUSTOMER TRANSACTIONS

The activity in responding to customer transactions for water, power and sewerage services. Includes accounts, payments, applications, bank accounts, billing, data collection, complaints from domestic and commercial customers, direct debit, electricity connection/ disconnection, failures, methods of payments, metering, petty cash, electricity and water special read, property settlement statements, reconciliation, requests for information, order, sales and dissemination of tokens, tariffs, vouchers, receipts, sale of bulk tokens and call centre. Provides advice, education and information in relation to consumption and accounts, negotiate time to pay with customers, analysis and pre-emptive role for customer billing. The Customer Billing Financial Management System must comply with the privacy legislation and the corporate governance policy on privacy.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                        |
|------------------|--|--|
| 2.7.1            | Paper Based records supporting records for individual contestable and franchise customer billing transactions for power, water and sewerage accounts as generated by the Customer Billing System.  | TEMPORARY<br>Destroy 6 years after action completed      |
| 2.7.2            | Electronic records in the customer billing systems relating to individual customers billing transactions for water, sewerage and electricity accounts. Includes electronic records of customer details and interactions, sale of token not under contract, data entry of records, data corrections within the system. Includes new accounts, disconnections, changes of address, reporting such as reminder notices, faults advice, error logs and specialised reports relating to individual customers and business functions. This system generates the paper base records. Electronic records to be destroyed at the same time as paper based.  | TEMPORARY<br>Destroy 6 years after date of disconnection |
| 2.7.3            | Electronic records in the facilities information mapping systems relating to franchise customer services customer details on power, water and sewerage assets set on a mapping system for locations of parcel and lots land across the Territory. Includes location and depth of infrastructure such as electricity, water and sewerage lines into, past and near the property. Notification of faults with billing for unserviceable items including street lights, bus shelter lights and traffic lights. Records supporting customer-billing transaction for Property Unit for the Corporation's owned assets. This system interfaces with the Utilities system for works orders. Electronic records to be destroyed at the same time as paper based. | TEMPORARY<br>Destroy 6 years after action completed      |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.7 CUSTOMER TRANSACTIONS

The activity in responding to customer transactions for water, power and sewerage services. Includes accounts, payments, applications, bank accounts, billing, data collection, complaints from domestic and commercial customers, direct debit, electricity connection/ disconnection, failures, methods of payments, metering, petty cash, electricity and water special read, property settlement statements, reconciliation, requests for information, order, sales and dissemination of tokens, tariffs, vouchers, receipts, sale of bulk tokens and call centre. Provides advice, education and information in relation to consumption and accounts, negotiate time to pay with customers, analysis and pre-emptive role for customer billing. The Customer Billing Financial Management System must comply with the privacy legislation and the corporate governance policy on privacy.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>   |
|------------------|--|---|
| 2.7.4            | Plans for Sewerage, Permit to Occupy, Occupancy Permit, Contractor Readings, Meter Movement Advise Reading disconnection's advice, reconnection applications, where the next reading superseded the old reading. | TEMPORARY<br>Destroy 6 months after action completed or when reference ceases |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

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### 2.8 EVALUATION

The process of determining the suitability of potential or existing personnel; programs; systems; services; or items of equipment in relation to meeting the needs of the given situation. May include detailed analysis and/or ongoing monitoring.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                        |
|------------------|---|--|
| 2.8.1            | Records relating to the evaluation, analysis, monitoring and reporting of business performance in relation to customer transactions. Includes evaluation of clients' services, billing systems and call centre. | TEMPORARY<br>Destroy 5 years after last action completed |

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

## 2.9 INVESTIGATIONS

The acts and processes involved in ascertaining facts by inquiry or examination.

| Class No. | Description of Records   | Status and Disposal Action                           |
|-----------|--|--|
| 2.9.1     | Investigations into non-compliance of financial, regulatory, standards for franchise customer transactions. Includes investigations into quality assurance for electricity consumer, account management, customer billing system, privacy requirements, information handout retail licences, customer contract, price fixing, misuse of market power, tariff fees and charges as set by the regulator, where discrepancies have occurred. Includes audits, reports, opinions, and interpretation of legislation, regulations and outcomes of investigations. | TEMPORARY<br>Destroy 20 years after action completed |
| 2.9.2     | Records relating to investigations into franchise customer services where litigation against the corporation is instigated.  | TEMPORARY<br>Destroy 20 years after action completed |
| 2.9.3     | Investigations into franchise customer complaints. Includes original documents of customer correspondence, research findings, copies of outgoing correspondence, outcomes.   | TEMPORARY<br>Destroy 5 years after action completed  |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.10 LIAISON

The activities associated with maintaining regular general contact between the organisation and others, including professional associations; professionals in related fields; private sector organisations; community groups and individuals. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 1.10.1           | Records relate to liaison between franchise customer services unit and customers about account management, applications, .. | TEMPORARY<br>Destroy 6 years after action completed |

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.11 MARKETING & PROMOTION

The process of analysing, creating, promoting and/or selling products and services, including corporate image. Includes market research, sales forecasting, advertising, media releases, pricing, product evaluation and product development.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 2.11.1           | Records relating to the marketing and promotion of product development for franchise customers to promote the corporations activities, image, services or products. May include design of brochures, publications, distribution list and advertising material. | TEMPORARY<br>Destroy 5 years after action completed |

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
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Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.12 MEETINGS

The activity associated with gatherings held to formulate discuss, update or resolve issues and matters pertaining to the management of the section or organisation Includes arrangements, agenda, taking of minutes etc. May be used for staff meetings.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                        |
|------------------|--|--|
| 2.12.1           | Records' relating to franchise customer services regular section meetings regarding the administrative arrangements, agenda, attendance briefings and discussion papers and reports.<br><br>Use COMMITTEES for meetings of committees, task forces and any other formal group that meets on a regular basis. | TEMPORARY<br>Destroy 3 years after last action completed |

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.13 PERFORMANCE MANAGEMENT

The process of identifying, evaluating and developing corporate and employee work performance so that the organisation's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 2.13.1           | Records relating to the development of performance management in franchise customer services, including determination and evaluation of performance indicators, preparation of performance indicators, reports, assessments, evaluation and monitoring of activities and data collection. | TEMPORARY<br>Destroy 5 years after action completed |

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

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- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.14 PLANNING

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                   |
|------------------|--|---|
| 2.14.1           | Records relating to the development planning sessions, draft plans, objectives, strategies and final plans for franchise customer services including customer billing. | TEMPORARY<br>Destroy 6 years after action completed |
| 2.14.2           | Copies of franchise customer services or the Corporation's business, corporate or strategic plans held for reference.  | TEMPORARY<br>Destroy when reference ceases          |

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

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- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.15 POLICY

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>   |
|------------------|--|---|
| 2.15.1           | Records relating to the formulation of franchise customer services policies on functional activities, includes consultation papers, drafts, policy proposals, research papers, master copies of policies and master set of comments received for account management, billing, connections / disconnection's, access to properties, audits, and compliance. | PERMANENT<br>Transfer to the NT Archives<br>Service 6 years after last action completed |
| 2.15.2           | Records relating to comments from other business units policy or whole of government policy regarding franchise customer services.   | TEMPORARY<br>Destroy 6 years after action completed                                     |
| 2.15.3           | Copies or duplicates of original policy documents held for research and reference.   | TEMPORARY<br>Destroy when reference ceases  |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

The function of servicing non-contestable customers (residential, commercial and Government) and non consenting Contestable customers throughout the Northern Territory through:

- increasing the growth of non- contestable revenue through marketing and sales of products to new and existing customers,
- enhancing customer relationships,
- improving commercial results and maintaining market power.

Note: Franchise and non-contestable is a term used within the electricity industry and means the same type of customer.

### 2.16 PROCEDURES

Standard methods of operating laid down by an organisation according to formulated policy.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                                  |
|------------------|---|--|
| 2.16.1           | Records relating for the development and implementation of procedures and guidelines associated with to franchise customer services function. Includes master copies and procedure manuals. | TEMPORARY<br>Destroy 6 years after procedures have been superseded |
| 2.16.2           | Duplicate copies of franchise customer services procedure manuals.  | TEMPORARY<br>Destroy when reference ceases                         |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

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### 2.17 REPORTING

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Tip: This activity descriptor should only be used for formal reporting against business plans, etc. For example, reporting on an inspection of a building should be classified under INSPECTIONS not REPORTING.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 2.17.1           | Final versions of reports submitted by franchise customer services. Includes briefing and discussion papers, major drafts, returns and reviews for consumer consumption, control demands, tariffs, new customers, high / low readings, quarterly, monthly annual and RAG reports. | TEMPORARY<br>Destroy 6 years after action completed |
| 2.17.2           | Records relate to periodic reports on a specific project or supply a summary of information on all current projects (Including monthly reports). The records include briefings, discussion papers, comments received in relation to report, drafts, returns and reviews.          | TEMPORARY<br>Destroy 6 years after action completed |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 2. FRANCHISE CUSTOMER SERVICES

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### 2.18 REVIEWING

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>                   |
|------------------|---|---|
| 2.18.1           | Records relating to reviews of franchise customer services functions, program and activities, including research material, findings, survey or questionnaires outcomes, draft proposals, recommendations, working papers, final report and action plan. | TEMPORARY<br>Destroy 6 years after action completed |



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