

Document Includes:

Record Retention Requirements

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Notes

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How To Best Use This Document:

This guide details the state commission requirements for retention of customer-related information as the rules vary by jurisdiction and type of document.

Your Company

Company Name:

Date:

SAMPLE



AGENT TRAINING RECORDS

Document	Description	Time Period	Source
Agent Training Documentation	Electric supplier must document and maintain the training of all agents.	Must maintain agent-training documents for 3 years from the date the training was completed.	20.53.08.03 B
Training Records Available To Staff & Office of People's Counsel	Electric supplier must document and maintain the training of all agents.	Make training materials and training records available to Staff & Office of People's Counsel upon request.	20.53.08.03 C
Independent Contractor or Vendor Training Records	When an electric supplier contracts with an independent contractor or vendor to perform marketing or sales activities on the electric supplier's behalf, the electric supplier must have a process to confirm that the contractor or vendor has provided electric supplier-approved training to agents and independent contractors in accordance with this section.	Must maintain independent contractor or vendor agent-training documents for 3 years from the date the training was completed.	20.53.08.03 B & D

CRIMINAL BACKGROUND CHECK AUDIT DOCUMENTATION

Document	Description	Time Period	Source
Electric Supplier Criminal Background Check Audit on Independent Contractor or Vendor	Electric suppliers must have process in place to audit at least every 12 months whether the criminal background checks written affirmation statement has been completed by the independent contractor or vendor in accordance with this requirement.	Electric supplier is required to perform self-audit on an annual basis and must provide the Commission notice within 30 days if the audit results demonstrate that the independent contractor or vendor did not complete the criminal background checks in accordance with this section.	20.53.08.02 C & D