GUIDELINES AND PROCEDURES

Retention and Disposal rules for Documents with Personal Data
(Service Application and Billing - Related Document)

Manila Electric Company

I. INTRODUCTION

A. Background

In August 15, 2012, the Data Privacy Act of 2012 (RA 10173 or DPA), which created the National Privacy Commission (NPC), was signed into law to protect personal data in information & communications systems.

- Personal Data includes: (i) personal information; (ii) sensitive personal information; and (iii) privileged information.
- Sec. 39 provides that within 90 days from effectivity thereof, IRR shall be promulgated.

In August 25, 2016, NPC transmitted copy of the DPA IRR for registration in the UP-ONAR and for publication in the Official Gazette. The DPA IRR took in effect 15 days after the publication and all businesses were mandated to comply with the DPA initially by one year after effectivity, but later extended to 1st Quarter 2018.

The rules for retention, custodianship, accessibility, and disposal of documents with personal data were among the requirements for compliance to the DPA, hence these rules were developed, validated and approved for implementation by all concerned.

B. Objective

The objectives of this document are:

1. To serve as a standard reference guide in management of retention and disposal of documents containing customer's personal data that would prevent unauthorized further processing, unauthorized access, or disclosure to any other party or the public.
2. To define retention period that considers a) the fulfilment of the declared, specified, and legitimate purpose, b) the establishment, exercise or defense of legal claims, or c) other business purposes that are consistent with the standards established or approved by regulatory agencies governing the company.
3. To enable efficient disposal of records and document in compliance to the Data Privacy Act of 2012.

C. Scope and Limitations

The document shall cover retention and disposal activities of each affected offices, from retention of printed and electronic files of documents related to billing, billing adjustment, service irregularity, customer assistance, and service application, containing customers' personal data to initiation of disposal activities.

This document will not cover archiving rules for system files such as CMSv10 data, Meralco Online and Salesforce – DMS.

Lastly, the document will serve as supplementary to the existing Information Security Policies (**PL-ICIO-100 Rev. Code 03**).

D. Definition of Terms

Authorized personnel – Employees assigned to perform specific duties whose access to files are pertinent to be able to do their duties.

Billing Adjustment – Refers to the amount charged to the consumer for the unbilled electricity consumed resulting from a stoppage or defect, conspicuous or otherwise, in the meter, provided that there is no tampering thereon

Electronic document – A kind of information asset that is an electronic media content (other than computer programs or system files) that are intended to be used in either electronic form or a printed output.

Habitual Pilferer – is an actual user who is apprehended for at least the third time, benefitting from the illegal use of electricity under the circumstances mentioned under Sections 2 and 4 (I, ii, iii, iv, v, vi and vii) of Republic Act 7832 and other circumstances analogous thereto.

Records Custodian – a regular employee of the company responsible for the following:

- Keeping documents secure from loss, damage, tampering, and/or unauthorized access.
- Maintaining a record tracing system of files added, removed, and /or returned, and destroyed.
- Providing secure transmittal/transport of information assets in custody.

- Ensuring that all documents will be accessible **only** to authorized personnel.
- Ensuring that records containing personal information do not go beyond the specified retention period.
- Preparing a register of records containing the name of physical document/record, former location of physical file, date of destruction, person authorizing the disposal, and the person assigned to destroy and dispose the record.
- Recommending the documents eligible for disposal, and for creating a register (list) of all the documents that will be disposed.
- Regular monitoring of stored electronic files to ensure encryption has not been compromised and maturity of documents to determined which are for disposal.
- Sorting, boxing, and filing of documents recommended for disposal in a designated pick-up point.
- Ensuring that all paper documents for recycling do not have personal information printed on them

II. GUIDELINES

A. Retention Period of Records

1. **RETENTION OF DOCUMENTS.** Documents shall be kept in storage for a minimum period prescribed for retention.

   The prescribed minimum retention periods differ for each document. Retention period is primarily based on regulatory rules and regulations and ensuring that records are available as references in addressing customer complaints.

2. **SECURITY OF RECORDS WHILE IN STORAGE**

   a. RECORD CUSTODIAN

   Each office must have a designated record custodian or custodians depending on the volume of stored files. A designated record custodian shall be responsible for safekeeping and security of the documents while

in storage during the retention period. Record custodian's responsibilities include the following:

- Keep documents secure from loss, damage, tampering, and/or unauthorized access.
- Maintain a record tracing system of files added, removed, and /or returned, and destroyed.
- Provide secure transmittal/transport of information assets in custody.
- Ensure that all documents will be accessible **only** to authorized personnel.
- Ensure that records containing personal information do not go beyond the specified retention period.

The record custodian will be designated by respective office's Officer which shall be approved by the respective office's Manager and/or Area Head or its equivalent. The record custodian shall be given full authority and access to manage storage of all documents.

b. STORAGE FACILITY

The storage facility should comply with the security standards prescribed in the Information Security policy and Privacy Manual.

The storage facility must be of aid in preventing unauthorized access, and unwanted damages or loss to the documents. If possible, storage facility should be protected against natural disasters, mechanical destruction, and other similar threats.

Temporarily authorized personnel, personnel whose job description does not include access to storage facility but have been granted temporary authorization to access the facility on a per need basis, shall be recommended by the Manager/Officer in Charge. As much as possible, temporarily authorized personnel should be accompanied by authorized personnel when accessing the storage facility.

There should be sufficient storage dedicated for two types of file, soft (electronic) and hard (printed) copies. (*Examples of storage facilities for electronic files are CPUs, USBs, external and internal hard disc drives,*

laptops and many others. For printed files, samples are storage rooms, cabinets, drawers and vaults.)

The following must be observed for the safekeeping of the keys and passwords

- **For printed files**: Keys to the storage facility, filing cabinets, and vault passcodes must be kept in secure places. The keys' whereabouts and any vault passcodes shall be available only to the designated custodian. Keys shall not be easily accessible by unauthorized personnel.

- **For electronic files:** Passwords for encrypted files, application logins, compressed (or "zipped") files and other electronic and digital files of the company shall be kept secure by the personnel storing the data. Disclosing it to other personnel for official business reason shall be upon the approval of the record custodian's immediate supervisor. Passwords must be changed regularly and must comply with standards for "strong and heavily encrypted" passwords.

c. FILING AND INVENTORY

The documents and storage facilities should be clearly identified, and an inventory of all documents stored shall be maintained. Also, movement of the documents such as addition, removal and/or returned, and disposal shall be accounted and logged for traceability.

It is recommended to compile related documents per appropriate categories. Example, all documents related to an SI case should be stored and properly logged together.

3. RECORDS with PERSONAL DATA INFORMATION

The prescribed retention period, assigned custodian, and personnel who are authorized to have access to documents containing personal data/information are summarized in the table below.

Table 1.0

Retention Period of Internal/Operational Documents with Personal Data/Information			
Document/Record/Form	**Retention Period**	**Custodian**	**Authorized Personnel**
SI Related Documents - SI Routing Slip - Computation Sheet - Inspection Report (MFIR[1], PMFO[2], PMIR[3], ISCIR[4]) - Outright Disconnection Form - Notice of Flying Connection - SI Demand Letter (copy and receipt) - Photo and video evidence - ERC Electric Watthour Meter Test Report - MSAM Meter Laboratory Polyphase Meter Test Report - Meter and Device Laboratory Test Request	***Printed documents:*** **For SI cases with Deterred status:** 10 years from the latest Demand Letter receipt date **For SI cases with cancelled, dropped, or closed status:** 5 years from cancellation/dropping/settled date ***Electronic documents (digitized):*** 20 years from date of digitization	BOA Staff, Record Custodian	BOA Personnel, Customer Care Team, Business Segment Head, Biz Partner personnel, CBG personnel, BCOS personnel
BA Related Documents - Rebilling Routing Slip - Bill Simulation - List of Estimated Accounts	**For BA cases with Explanation Letter received by customer status:**	BOA Staff, Record Custodian	BOA Personnel, Customer Care Team, Business Segment Head,

[1] Metering Facilities Inspection Report
[2] Power Metering Field Order
[3] Power Metering Inspection Report
[4] Illegal Service Connection Inspection Report

Retention Period of Internal/Operational Documents with Personal Data/Information			
Document/Record/Form	**Retention Period**	**Custodian**	**Authorized Personnel**
- Rebilling Executive Summary - BA Letter Signing Memo - BA Letter Approval Memo - BOA Adjustment Memo - Billing Adjustment Executive Summary - Inspection Report - Billing Adjustment Letter - BA Approval Worksheet - BA Analysis Table - ERC Electric Watthour Meter Test Report - MSAM Meter Laboratory Polyphase Meter Test Report - Meter and Device Laboratory Test Request	10 years from the latest Explanation Letter receipt date **For BA cases with dropped or settled:** 5 years from dropping/settled date **For BA cases with cancelled status:** 1 year from cancellation date **BA cases documents with original bill NOT received by the customer** 1 year from generation date		Biz Partner personnel, CBG personnel
Customer Concerns Related Documents General - Acknowledgement Letter receipt - Feedback Letter receipt SA Related Concerns Documents - Letter of Request from Customers (Power Installation/Interruption, Rubber Hose Installation, Line Cover Installation, etc) - Accomplished Application Form - Photocopy of IDs - Proof of Ownership	**For concern cases with closed status:** 5 years from closing date for documents that already exceeded their individual retention period. For documents that are still within their retention period even after five years after closing, retention will be based on the longest retention period of the individual documents.	BOA Staff, Record Custodian	BOA Personnel, Customer Care Team, Business Segment Head, Biz Partner personnel, CBG personnel

Retention Period of Internal/Operational Documents with Personal Data/Information			
Document/Record/Form	**Retention Period**	**Custodian**	**Authorized Personnel**
- Notarized Contract of Lease Billing Related Concerns Documents[5] - Billing Adjustment documents (differential billing or cancel/replace billing) - Letters, receipts provided by customers Service Irregularity Concerns Documents - Letters, receipts provided by customers - SI Routing Slip - Computation Sheet - SI Demand Letter (copy and receipt) - Photo and video evidence Payments Related Concerns Documents - Automatic Payment Arrangement Form (original and scanned copy) - Returned Checks - Refund – Application form - Refund – Identification Document and Official Receipt - Refund – Authorization Outage Report - Pictures			

[5] Includes high billing, low billing, vacant with consumption complaints, etc

Retention Period of Internal/Operational Documents with Personal Data/Information			
Document/Record/Form	**Retention Period**	**Custodian**	**Authorized Personnel**
Manually Generated Bills - BOA Routing Slip - Printed consumption - Bill (printed copy)	1 year from generation/invoicing of bill	BOA Staff	BOA Personnel
SA Documentary Requirements - For Individuals (e.g. Barangay Certificate, Driver's License) - For Business/Corporations (e.g. DTI/LGU Business Permit) - Tax Identification Documents (e.g. BIR Certificate of Registration, Income Tax Return, Tax Identification Number (TIN) ID) - Correction of Name Documents - Affidavit of Self – Adjudication (Sole Heir) - Occupancy Documents (e.g. Contract to Sell, Property Deed of Sale, Transfer Certificate of Title) - Tax Privileges Documents (e.g. Contract of Lease, DFA Certification)	**For Identification Documents:** Original copy returned after scanning; photocopy of document is PERMANENTLY stored if the service is still active. **For SA Occupancy and Tax Privileges Documents:** 5 years after date of Service Application processing **For Transfer Certificate of Title document:** 10 years after date of Service Application processing	Record Custodian	Business Segment Head
SA Connection Requirements For Electric Service: - Authorization Letter to transact with MERALCO - Letter of Request for Electric Service	**For Letter of Request for Electric Service document:** 5 years after date of Service Application processing **For Electric Plan and Load Schedule:**	Record Custodian	Business Segment Head

Retention Period of Internal/Operational Documents with Personal Data/Information			
Document/Record/Form	**Retention Period**	**Custodian**	**Authorized Personnel**
(w/ authorization letter if applicable) - Standard Electric Service Contract - Customer's Service Application Warranty - Certificate of Final Electrical Inspection - Electric Plan - Load Schedule (Signed by Engineer) - Connection Agreement - Right of Way	1 year after date of Service Application processing Others: Original copy of document is PERMANENTLY stored		
Special Documents: - Distribution Asset Study (DAS) Document - Meter Socket or Cabinet Issuance Form - NHA Certification - Agreement for Extension of Lines and/or Additional Facilities (CA Agreement) - Distribution Impact Study (DIS) Document - DPA Consent Statement Form - Fixed Asset Boundary Document (FABD) - Net Metering Agreement - HLURB Certification (if applicable)	**For DAS Document, Meter Socket/Cabinet Issuance Form, and NHA Certification:** 5 years after date of Service Application processing **Others:** Original copy of document is PERMANENTLY stored		

Retention Period of Internal/Operational Documents with Personal Data/Information			
Document/Record/Form	**Retention Period**	**Custodian**	**Authorized Personnel**
- Supplemental Agreement for Multi Metering per Floor			

* For a complete list of SA documents, please see *SA Documentary Requirements* and *G&P Receipt of Service Application*

B. Disposal of Records

General Disposal Rules

1. **Recommend for Disposal**
   The process of disposal for physical files should be consistent with the provisions in the Company's Privacy Manual and Information Security Policy Manual **(PM-DGO-002 10.2.5 a Disposal of Documents with Personal Data; PL-ICIO-100 11.1.5 Retention of Information Assets),** given that the following criteria have been met:

   a. The duration of records storage has already reached the prescribed retention period and were recommended for disposal by the records custodian.
   b. Records for disposal have already been inspected and approved for disposal by the Manager. For SA documents, the record custodian should seek clearance from the Manager before proceeding with the disposal. For SI, BA, and CA (SI and BA related) documents, the record custodian should seek clearance from Litigation Services before proceeding with the disposal. A memorandum should be sent to Litigation Head, copy furnished to Litigation Teams' Managers.
   c. A register of records has already been prepared containing the name of physical document/record, former location of physical file, date of destruction, person authorizing the disposal, and the person assigned to destroy and dispose the record. This register of records should be retained perpetually. The record custodian shall be responsible for recommending the documents eligible for disposal, and for creating a register (list) of all the documents that will be disposed.

d. All documents recommended for disposal have already been sorted out by the record custodian, boxed and filed in a designated pick-up point.

The record custodian is responsible for regularly monitoring stored electronic files to ensure encryption has not been compromised and maturity of documents to determined which are for disposal.

The record custodian, as well as other employees, shall ensure that all paper documents for recycling do not have personal information printed on them.

2. **Fill out Request for Disposal of Records Form**
   Once documents have been cleared for disposal, the records custodian should prepare the Request for Disposal of Records form and have it signed by the following office heads:
   - Budget Resource Unit Manager
   - Tax Management and Reporting (for Finance related documents such as OR, etc)
   - Data Protection Officer

   For SI/BA/CA documents, an addendum enumerating the SIN, Customer Name, SI/BA and associated CA number cleared by Litigation team should be included. If possible, a copy of the memorandum clearing the SI and BA cases should be included.
3. **Set a schedule with Supply Chain and Logistic Management for an appointment for onsite shredding of documents.**
   Shredding of documents will be done within Meralco premises (Business Centers, Meralco Center) and will be done in the presence of the Record Custodian. Ensure that a Certificate of Document Destruction is issued by the disposal team after every shredding activity.
   Follow the procedures stated in *Guidelines and Procedures for Secure Disposal of Documents.*

Disposal Rules for SI Related Documents

Cancelled, Dropped, and Closed SI case printed documents may be recommended for disposal if all the following conditions are met:

- There are no pending concerns affecting the SI case/bill.
- There is no pending court case concerning the customer.
- The SI case was closed, dropped, or cancelled for at least 5 years.

- The SI bill was already paid or cancelled.
- For Dropped and Closed SI case, digital copy has already been made and already authenticated by designated authorized personnel and the authentication document[6] is duly notarized.
- Cancelled SI due to duplication may be cancelled immediately

SI cases printed documents, whose status is already Deterred, may be recommended for disposal if all conditions below are met:

- The latest Demand Letter was last sent at least 20 years ago
- The SI Status is "Deterred".
- There are no pending concerns affecting the SI case/bill.
- There is no pending court case concerning the customer.
- The service of the actual user is already terminated.
- A digital copy has already been made and already authenticated by designated authorized personnel and the authentication document is duly notarized.

SI cases digitized documents, whose status is already Deterred, may be recommended for disposal if all conditions below are met:

- The latest Demand Letter was last sent at least 20 years ago and the digital/electronic copy was created at least 20 years ago.
- The SI Status is "Deterred".
- There are no pending concerns affecting the SI case/bill.
- There is no pending court case concerning the customer.
- The service of the actual user is already terminated.
- The actual user is not a habitual pilferer.

Disposal Rules for BA Related Documents

Settled and Dropped BA case documents may be recommended for disposal if all the following conditions are met:

- There are no pending concerns affecting the BA case/bill.
- The BA case was settled or dropped for at least 5 years.
- The BA bill was already paid or cancelled.
- There is no pending court case concerning the customer

Cancelled BA case documents may be recommended for disposal if all the following conditions are met:

[6] List of digitized documents certified by the designated authorized personnel

- There are no pending concerns affecting the BA case/bill.
- The BA case was cancelled for at least 1 year.

BA cases documents with Explanation Letter and original bill received by the customer may be recommended for disposal if both the following conditions are met:

- The latest Explanation Letter was last sent at least 10 years ago.
- The service is already terminated or cancelled.
- There is no pending court case concerning the customer.

BA cases documents with original bill not received by the customer may be recommended for disposal if all the following conditions are met:

- There are no pending concerns affecting the BA case or the replacement bill.
- The replacement bill was generated at least one year.

Disposal Rules for CA Related Documents

- Concern record is already closed for at least five years.
- Related documents' retention period has lapsed already.
- No pending court case particularly for SI and BA related concerns.

Disposal Rules for Manually Generated Bills

- Bills are already paid for at least one year
- Includes SunPower bills, Time of Use bills, and other manually computed or simulated bills

Disposal Rules for SA Related Documents

SA documents can be recommended for disposal if the following conditions are met:

For SA Documentary and Connection Requirements:

For Printed Copies:

- Documents have followed and completed the specified retention length.
- Disposal period will start once Service has already been Terminated or Cancelled
- Clearing out of SA Jackets with Documentary Requirements shall be done as part of disposal procedure

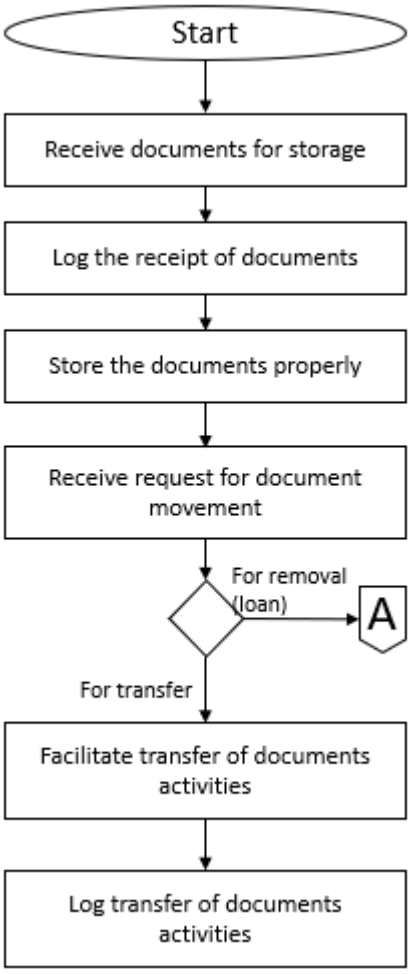
For Electronic Copies:

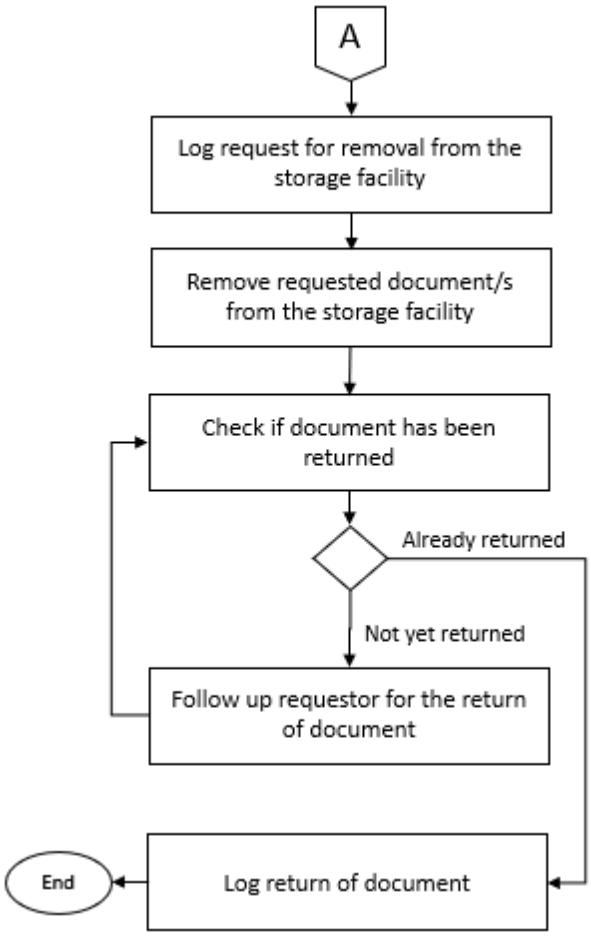
- Documents must have been stored and secured in electronic devices following the specified retention length.

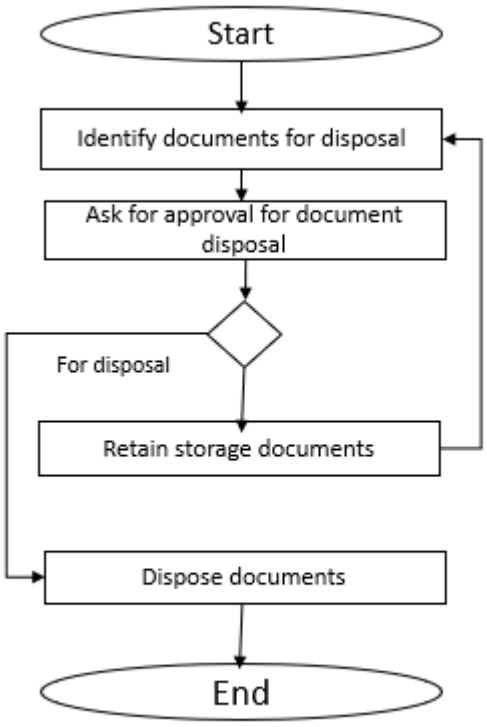
SA documents which are due for disposal shall be handled properly. No personal information shall be exposed to non-authorized personnel.

Note: Retention period for SI documents is based on Article 90 of the Revised Penal Code, while the retention period of BA documents is based on (Article 1144 (1), New Civil Code of the Philippines).

Process:

STEP ID	WORK FLOW
A.1 A.2 A.3 A.4 A.5 A.6	

STEP ID	WORK FLOW
A.7 A.8 A.9 A.10 A.11	

STEP ID	WORK FLOW
B.1 B.2 B.3 B.4	

STEP ID	DESCRIPTION	PERSON RESPONSIBLE
A.1	Ensure that the documents are properly named and classified. Inquire if the document contains customer's sensitive personal data or for company use.	Record Custodian
A.2	Log the date receipt, name of document, place of storage, owner of the document.	Record Custodian
A.3	Store the document in its proper place.	Record Custodian
A.4	Accommodate requests for document transfer/transmittal, for removal/return, and for disposal.	Record Custodian
A.5	For request for document transfer/transmittal, follow rules for document transfer/transmittal.	Record Custodian
A.6	Log the date of document transfer/transmittal, name of requestor, document name, and name of recipient.	Record Custodian
A.7	For request for removal/loan of document, ensure that the requestor is authorized to see the file. Log the name of the requestor, name of document, date of removal/loan, and expected date of return.	Record Custodian
A.8	If the requestor is not authorized to be in the storage facility, remove the file from the storage and give it to the requestor/messenger.	Record Custodian
A.9	Check if the document has been returned on or before the expected date of return.	Record Custodian
A.10	If not yet returned, follow up requestor for the immediate return of document.	Record Custodian
A.11	If already returned, log date of return, and who returned the document.	Record Custodian
B.1	Regularly check if there are documents for disposal.	Record Custodian
B.2	Once for disposal documents are identified, ask Manager for approval of disposal. Seek Litigation team's clearance for disposal.	Record Custodian
B.3	If approval is denied, log the reason for denial of disposal and retain the storage of the documents.	Record Custodian
B.4	Once approval has been obtained, follow the correct disposal rules and procedures. If there are paper materials for recycling, ensure that no customer's sensitive personal data printed anywhere in the document.	Record Custodian

	Set an appointment with the disposal team for onsite disposal. Follow the procedures stated in the Guidelines and Procedures for Secure Disposal of Documents.	

Annex A: Request for Disposal of Records Form

ROUTING: 1. Tax Management - 5/F Lopez Bldg. 2. Corporate Legal - 8/F Lopez Bldg. 3. XX Business Center	(To be accomplished in duplicate) MANILA ELECTRIC COMPANY Financial Accounting REQUEST FOR DISPOSAL OF RECORDS Date:

XXX Business Center Location:

Form No.	Complete Title of Records	Fomer Location of Physical File	Number of Copies	Required Retention Period	Period Covered	
					From	To

Prepared by: _____
Record Custodian Signature over Printed Name/Date

Recommended by: _____
Manager Signature over Printed Name/Date

(To be filled-out by approving offices) DISPOSAL CLEARED BY FINANCIAL ACCOUNTING WITH: Tax Management and Reporting: _____ Signature over Printed Name/Date Data Protection Officer _____ Signature over Printed Name/Date	DISPOSAL RECEIVED BY: _____ Signature over Printed Name/Date *to be filled by the office/contracting company responsible for the disposal
REMARKS:	

*Period Covered starts from the date the document was kept in storage and not the date it was used for processing. (e.g. Indicate date when check was returned to BC and not date when it was paid by Cust.)

Annex B: Sample table for the list of SI, BA, and CA cases as addendum to the disposal of records form

Form No.	Customer Name	SIN	SI/BA/CA number	Title of Document	Required Retention Period	Years in Storage

Approvals:

Prepared By:	Validated By:
[redacted] 4/15/2019 Abegail R. Panghulan Analyst, P&S - Customer Experience	[redacted] 8-15-19 Norman D. Reyes Officer, P&S – Customer Experience
	[redacted] 8-15-19 Adrian S. Victorino Officer, Billing Operations and Analytics - GP
	[redacted] 8/14/19 Mark Marvin M. Magtanggol Officer, Billing Operations and Analytics – SI
	[redacted] 8/16/19 Lorelei M. Andan Officer, Billing Operations and Analytics – Central Non-GP
	[redacted] 9/5/19 Gerardo C. Espiridion Head, ~~Tax Management~~ Tax, Royalty, and Contract Management
	[redacted] Catherine E. Sta. Cruz Customer Care Officer, Kamuning Business Center
	[redacted] 09/10/2019 Justine Anthony R. Abila Officer, P&S – Innovation and Programs
	[redacted] Jennifer D. Gallardo Customer Care Officer, Taguig Auxiliary Business Center
	[redacted] 8/28/19 Jason B. Glamparo Officer, Central CBG
	[redacted] Bulaklak A. Vivas Manager, Corporate Process and Data Office
	[redacted] 9/3/19 Ma. Rita Constantina C. Capalad Customer Care Officer, Cainta Business Center
Name, Signature & Date	*Name, Signature & Date*

Recommended By:	Approved By:
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	[redacted] Agnes R. Macob Head, Commercial Operations
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[redacted] Atty. Lester F. Bernardo, Jr. Deputy Data Protection Officer and, Manager, Corporate Governance and Compliance Office	[redacted] William S. Pamintuan Data Protection Officer Head, Legal
	[redacted] Victor S. Genuino Vice President and Head, Customer Retail Services and Corporate Communications
Name, Signature & Date	*Name, Signature & Date*