

**Retention and Disposal Authority for Records of the Energy Safety  
Function**

Authority number: PROS 22/01



PROS 22/01

**Retention and Disposal  
Authority for Records of the  
Energy Safety Function**

Status Date: 12/01/2022

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Authority number: PROS 22/01

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## Retention and Disposal Authority for Records of the Energy Safety Function

Authority number: PROS 22/01

## Retention and Disposal Authority for Records of the Energy Safety Function

<b>Retention and Disposal Authority No</b>	PROS 22/01
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<b>Scope</b>	<p>This RDA authorises the disposal of records of the Energy Safety function. Includes the electricity and gas safety functions performed by Energy Safe Victoria.</p> <p>It replaces PROS 99/06 RDA for Office of Gas Safety and PROS 07/07 RDA for Records of the Electrical Safety Function.</p>
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<b>Status</b>	Issued by Keeper
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<b>Issue Date</b>	12/01/2022
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# Retention and Disposal Authority for Records of the Energy Safety Function

Authority number: PROS 22/01

List of Functions and Activities covered
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Reference	Function	Activity	Page
1	Program Development & Management		9
2	Regulation Management		13
3	Electrical Worker Registration and Licensing Management		19
4	Compliance Management		23

# Retention and Disposal Authority for Records of the Energy Safety Function

Authority number: PROS 22/01

## Introduction

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### Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*.

The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

### Context of this Authority

#### Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from [www.prov.vic.gov.au](http://www.prov.vic.gov.au). These documents set out the procedures that must be followed by Victorian public offices.

#### Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

# **Retention and Disposal Authority for Records of the Energy Safety Function**

## **Authority number: PROS 22/01**

For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

## **Normal Administrative Practice**

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

# **Retention and Disposal Authority for Records of the Energy Safety Function**

**Authority number: PROS 22/01**

## **Transfer of records to Public Record Office Victoria**

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

## **Use of Other Authorities**

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

## **Explanation of Authority Headings**

### **Class Number**

The class number or entry reference number provides citation and ease of reference.

### **Description**

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

### **Status**

This entry provides the archival status of each class - either permanent or temporary.

### **Custody**

This entry specifies whether the records are to be retained by the public office or transferred to Public Record Office Victoria. Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format. The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 20/02 Storage.

# **Retention and Disposal Authority for Records of the Energy Safety Function**

**Authority number: PROS 22/01**

## **Establishment of Standard**

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to Energy Safe Victoria. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked.

[Approved]

**Justine Heazlewood**, Keeper of Public Records

Date of Issue: 12/01/2022



# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
1.0	<p><b>Program Development &amp; Management</b></p> <p>The development and management of programs to protect the community, businesses and industry from the dangers of electricity and gas. Includes programs which may be long-term, run over a specific time period in response to a particular issue or event, or the implementation of national programs in Victoria.</p> <p>Energy safety programs include those which:</p> <ul style="list-style-type: none"> <li>• provide guidance to industry, the community, practitioners or other stakeholders on regulated activities e.g. guidance to agencies or businesses on the registration of systems to protect underground assets from corrosion; instructions to electricians about the completion and issuing of certificates of electrical safety etc.</li> <li>• plan emergency response activity e.g. internal guidelines for staff to follow, or a program to assess energy risks that might arise in the event of an emergency e.g. if a power station was in the path of a bushfire, or strong winds were predicted to bring down powerlines across the state, or the rupture of a major gas pipeline; and preparing technical advice on how to manage these risks for provision to the lead department or State Control Centre</li> <li>• receive and respond to reports of a safety concern or incident e.g. setting up and implementing a 24 x 7 emergency incident reporting service to receive reports of powerlines down, traffic accidents which have damaged power or gas infrastructure, fatalities or accidents which require an inspector to attend etc.</li> <li>• protect health and safety, including programs which alert the public to high risk situations e.g. campaigns to alert the public about working under powerlines, or digging in the vicinity of underground electricity or gas services.</li> </ul> <p>Includes the development of new programs, or changes to existing programs arising from/responding to recommendations made by inquiries or reviews.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• program design, including the design of services, eligibility criteria for the program (if applicable), and decisions regarding the mode of delivery of services i.e. in-house vs outsourced</li> <li>• planning and implementation, including</li> </ul>		

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Program Development &amp; Management</i>			
	<p>approvals for the acquisition of equipment or services</p> <ul style="list-style-type: none"> <li>• evaluation and review of programs to assess and/or ensure quality, efficiency and efficacy is maintained or improved</li> <li>• the development of performance criteria, and reporting against those criteria</li> <li>• decommissioning of programs no longer required to deliver services</li> </ul> <p>Also includes reporting on energy safety program performance and service statistics.</p> <p>See Records of the Accredited Training Function for records of developing and maintaining tools (coursework and examinations) for licence assessments e.g. curriculum design for pre-apprenticeship electrician training, TAFE/registered training organisations, gas plumbing examinations etc.</p>		
1.1	<p><b>Records of Continuing Value</b></p> <p>Records of continuing value documenting the development, management and review of energy safety programs.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• final approved program design documentation and implementation plans, including approved performance targets for a program</li> <li>• approved eligibility criteria for a program where external parties are invited to apply/participate e.g. eligibility criteria for community applicants for grants to upgrade or replace ageing or unsafe gas or electrical equipment, apprenticeship award programs, scholarships for the regional assessment centre for licensed electrician assessments</li> <li>• summaries of public and stakeholder consultation conducted during the design and/or review of programs e.g. review of the licensed electrical inspectors program</li> <li>• submissions from the public or stakeholders which significantly alter the scope, content and/or purpose of a program, including those which set precedent for the design of subsequent programs</li> <li>• reports and recommendations arising from the review and evaluation of programs, including the</li> </ul>	Permanent	Retain as State Archives, Transfer to PROV

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Program Development &amp; Management</i>			
	<p>measurement of program performance and the identification of factors affecting program outcomes e.g. fire mitigation program reports on the progress of installation of spark prevention technology across above ground power networks in rural areas</p> <ul style="list-style-type: none"> <li>• annual reports generated by programs to track use/success/issues within a program e.g. the annual Safety Management Report, Bushfire Mitigation Regime report</li> <li>• decisions to decommission a program, including project plans, communication strategies and other documentation of the finalisation, removal and/or transfer of program services to other organisations e.g. transfer of responsibility for environment management plans for pipelines to another agency. Includes formal notifications to any industry partners who may have had responsibility for the delivery of program services.</li> </ul>		
1.2	<p><b>Short-term Records</b></p> <p>Records of short-term value documenting energy safety programs and their delivery.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• operational project plans setting out the next tasks to be achieved and other task management documentation</li> <li>• procedural documentation covering operational variations for the delivery of a program within a locality to tailor the activities to be undertaken to reflect local conditions, circumstance or parameters e.g. a strategy for monitoring gas pipeline safety in remote or rural areas vs urban or metropolitan areas</li> <li>• plans, development of surveys and other evaluation methods, the collection of service statistics, monitoring results and other data, analysis and collation of results in order to conduct reviews</li> <li>• audits, reports and other performance data prepared and submitted to commissioning parties where Energy Safe Victoria (ESV) is engaged or required to implement and/or manage a program on behalf of another agency or body e.g. the introduction of the Electrical Equipment Safety Scheme developed by the Electrical Regulatory</li> </ul>	Temporary	Destroy 10 years after action completed.

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Program Development &amp; Management</i>			
	<p>Authorities Council</p> <ul style="list-style-type: none"> <li>• input reports and other performance data received from industry partners contracted to deliver program services e.g. agents that supply Certificate of Electrical Safety forms, partners that deliver training, that will be summarised as part of an internal program review report</li> <li>• submissions from the public or stakeholders which do not alter the scope, content and/or purpose of a program, or set a precedent for the design of subsequent programs</li> <li>• summary records of grant programs which summarise applications received and decisions made</li> <li>• detailed records of successful applications for grants and other financial assistance (including rebates) made under a program.</li> </ul>		
1.3	<p><b>Administrative Records</b></p> <p>Administrative records documenting the delivery of energy safety programs. Includes:</p> <ul style="list-style-type: none"> <li>• drafts and other operational or facilitative records supporting the design of a program, planning of its implementation or decommissioning, or the design of its review/evaluation e.g. identification of resources required, mail-out lists and delivery tracking of communications with staff and other stakeholders requesting participation or updating on progress etc.</li> <li>• performance information prepared for delivery to the public e.g. information made available on the website or other communication channels about current service levels, including statistics</li> <li>• unsuccessful applications for grants or other financial assistance (including rebates) made under a program.</li> </ul>	Temporary	Destroy 2 years after action completed.

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Regulation Management</i>			
2.0	<p><b>Regulation Management</b></p> <p>The function of managing the regulatory responsibilities of ESV, including:</p> <ul style="list-style-type: none"> <li>• development and review of functional procedures for fieldwork such as inspections or site visits, investigation and assessment</li> <li>• acceptance (as defined by legislation) the operation of electricity supply networks</li> <li>• appointment of certification bodies to assess and certify that gas equipment (products for sale) is safe to use and supply</li> <li>• assessment of complex (as defined by legislation) gas appliances and components and certification that they are safe to use in instances where a certification body does not have the expertise to assess e.g. a boiler that is custom designed to service a particular manufacturing process</li> <li>• acceptance of complex (as defined by legislation) gas equipment installations as being fit and safe for use</li> <li>• registration of cathodic protection systems (systems prescribed by legislation that protect metallic structures from corrosion) and their modification</li> <li>• certification of electrical equipment</li> <li>• energy efficiency approvals and audits of equipment</li> <li>• the issue of safety alerts and product recalls</li> <li>• exemption approvals</li> <li>• gas and pipeline infrastructure safety</li> <li>• electrical line clearance management and bushfire mitigation planning</li> <li>• approval of licensing assessment bodies, equipment and assessors</li> <li>• reports from the public</li> <li>• regulatory audits/compliance assessments*</li> <li>• monitoring programs**.</li> </ul> <p><b>*Regulatory audits/compliance assessments</b> are carried out to assess the processes in place for the performance of regulatory duties to determine whether the governance of a particular activity yields consistent</p>		

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Regulation Management</i>			
	<p>and appropriate regulatory results. The audit seeks to identify any performance issues and address them before they become entrenched or cause issues i.e. incorrect regulatory decisions are being made because processes are incorrectly interpreted or not followed closely. Regulatory audits/compliance assessments may be conducted by external auditors/assessors.</p> <p><b>**Monitoring programs</b> are in place for a number of regulated activities, including monitoring:</p> <ul style="list-style-type: none"> <li>• the performance of gas distribution and pipeline infrastructure safety checks and patrols using quarterly reports submitted by gas infrastructure companies of their own checks and patrols, augmented by visits by ESV staff to audit field work performed by the companies</li> <li>• supplier response activity to safety alerts and product recalls e.g. the testing and modification of certain open flue gas space heaters to ensure carbon monoxide levels produced are within the regulated limits</li> <li>• the receipt and issue of blank Certificates of Electrical Safety (CoES) by agents (to ensure all have been accounted for/uncover fraudulent copies)</li> <li>• incidents and complaints received to identify new and emerging trends or patterns of non-compliance within the industry that may require general action (as opposed to specific action to deal with non-compliance by an individual)</li> <li>• significant risks to health and safety that required detailed investigation and action.</li> </ul> <p>See Records of Common Administrative Functions <b>COMMITTEES</b> for records of committees and subcommittees convened by ESV e.g. Victorian Electrolysis Committee.</p> <p>See Records of the Standard Setting and Organisational Performance Monitoring Functions <b>DEVELOPMENT OF STANDARDS AND CODES</b> for records of industry standards, guidelines, guidance notes and codes of practice.</p>		
2.1	<p><b>Records of Continuing Value</b></p> <p>Records of continuing value documenting the regulation management function, including:</p> <ul style="list-style-type: none"> <li>• summary records of safety acceptances and approvals for the operation of electricity supply</li> </ul>	Permanent	Retain as State Archives, Transfer to PROV

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Regulation Management</i>			
	<p>networks or gas facilities and installations (e.g. pipelines), including supporting documentation such as construction plans and specifications</p> <ul style="list-style-type: none"> <li>• the issue of safety alerts and product recalls led by ESV</li> <li>• final reports on monitoring programs</li> <li>• summary records of the registration of cathodic protection systems (systems prescribed by legislation that protect metallic structures from corrosion) - includes summary data of all applications</li> <li>• detailed records of the successful registration of cathodic protection systems including the records of the registration of any subsequent modifications</li> <li>• maps, charts and position records of underground structures and pipelines.</li> </ul>		
2.2	<p><b>Long-term Records</b></p> <p>Records of long-term value documenting the regulation management function. Includes:</p> <ul style="list-style-type: none"> <li>• exemptions for non-standard gas installations (as defined in legislation), including the installation of appliances and components</li> <li>• exemptions for non-standard electrical installation work (as defined in legislation), including supporting documentation</li> <li>• exemptions for non-standard electrical equipment (as defined in legislation), including supporting documentation, test results and decisions</li> <li>• exemptions to install electric lines on public land e.g. by a leaseholder, or on private land</li> <li>• functional procedures that support regulatory outcomes e.g. procedures for testing the safe installation of electrical and gas appliances</li> <li>• de-identified datasets covering the energy safety regulation management function and its activities collated for the purposes of ongoing analysis and research.</li> </ul>	Temporary	Destroy 99 years after action completed.
2.3	<p><b>Medium-term Records</b></p> <p>Records of medium-term value documenting the regulation management function, including records of:</p>	Temporary	Destroy 25 years after action completed.

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Regulation Management</i>			
	<ul style="list-style-type: none"> <li>• the assessment of energy efficiency ratings for equipment and any follow up audits pre-2009 (before becoming a Commonwealth function)</li> <li>• electricity safety management schemes, including nomination of responsible officers, and supporting documentation required to be submitted in connection to large-scale, complex or high-voltage installations e.g. power stations, or voluntarily submitted by employers of electrical workers</li> <li>• the appointment of certification bodies for gas appliances and components, including applications and supporting documentation.</li> <li>• the assessment and certification of complex (as defined by legislation) gas appliances and components</li> <li>• accepted applications for complex (as defined by legislation) gas installations, including non-standard installation of appliances</li> <li>• safety documentation and regular performance reporting submitted as required by the Act by gas and pipeline infrastructure companies, including risk mitigation and repair plans</li> <li>• management system audits of gas and pipeline and electricity infrastructure including recommendations for improvement and responses from the company</li> <li>• electrical line clearance management and bushfire mitigation plans submitted by local councils, electricity distribution companies, train or tram companies and any other body responsible for the safety of an electrical line. Includes reports on progress towards installing electrical system protection devices (such as those which act to cut the circuit in the event a power pole falls over, or a fault is detected in the line), or progress on other regulated bushfire risk mitigation work, such as covering lines or installing them underground in areas of high consequence in the event of a bushfire. Also includes records of time extensions or exemptions granted</li> <li>• approvals of the installation of overhead electrical lines on private property that do not require an exemption.</li> </ul>		
2.4	<b>Short-Term Records</b>	Temporary	Destroy 10



## Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Regulation Management</i>			
	<p>Records of short-term value documenting the regulation management function, including:</p> <ul style="list-style-type: none"> <li>• submitted copies of prescribed and non-prescribed certificates of electrical safety issued by an electrical contractor for installation or maintenance work completed at a site, including periodic certificates issued for all work undertaken on large sites (e.g. factory or hospital) within a three month period</li> <li>• inspections of prescribed electrical installation work prior to connection to supply</li> <li>• administrative processes which track the supply and issue of numbered certificates to agents (from which electrical contractors may purchase them)</li> <li>• certification of prescribed electrical equipment, including summary records, applications, decisions and certificates issued</li> <li>• records relating to the audit of certification bodies who certify gas appliances and components</li> <li>• records relating to the approval of licence assessment bodies</li> <li>• receipt and registration of standard gas appliance installation certificates</li> <li>• responses to enquiries from the public about the location, owner, and other details of cathodic protection systems (systems prescribed by legislation that protect metallic structures from corrosion)</li> <li>• unsuccessful applications to register a cathodic protection system or an unsuccessful application for a modification to an existing registered system</li> <li>• detailed responses to technical enquiries</li> <li>• declined applications for exemptions to gas and electrical installation standards</li> <li>• audits and inspections to ensure electrical line clearance management activities are in place and being followed</li> <li>• inspections, reporting, and other regulatory services provided on behalf of other regulatory bodies where responsibility for the primary record is with the commissioning body e.g. greenhouse and energy minimum standards</li> </ul>		years after action completed.

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Regulation Management</i>			
	(GEMS) inspections.		

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
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*Electrical Worker Registration and Licensing Management*

3.0	<p><b>Electrical Worker Registration and Licensing Management</b></p> <p>The function of receiving and assessing applications for licences and registrations for electrical workers. Includes the management of renewals and exemption approvals.</p> <p>Note: ESV issues licences and registrations for electrical workers only. Gas workers are licensed/registered by the Victorian Building Authority (VBA) as part of the plumbing licensing function.</p> <p>In general (this may vary in some cases):</p> <p>A <b>licence</b> is issued to enable the conduct of a scheduled activity (i.e. the ability to perform the activity is licensed under an Act) or the operation of particular infrastructure (e.g. the operation of a gas pipeline). Licences are issued to control the conduct of an activity (such as electrical work by electricians) so that risks to the health and safety of the public are minimised or eliminated. Conditions placed on a licence holder may include restrictions on the type of work that can be done, the type of premises or locations they are able to work on, the type or capacity of appliance they are able to install, etc.</p> <p>A <b>registration</b> notifies ESV that the applicant wishes to pursue a particular type of activity in relation to their licence. For example, a Registered Electrical Contractor wishes to contract out their services as a licenced electrical worker (or the services of other licenced electrical workers in their employment/subcontracted to them) for profit or reward. A Lineworker Registration notifies ESV that the applicant (a licenced electrical worker) wishes to work within the network of a Victorian major electrical company etc.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• processes for the receipt of applications and supporting documentation</li> <li>• assessment of applicants, including examination, qualification, experience and other checks</li> <li>• assessment of proposed processes, safety and incident management procedures, and any other operations that are the subject of licensing, approval or registration</li> <li>• decisions on whether an application is approved or not, including any restrictions or conditions are to be imposed on the licence, approval or</li> </ul>		
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# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Electrical Worker Registration and Licensing Management</i>			
	<p>registration</p> <ul style="list-style-type: none"> <li>• processes to manage the cancellation or suspension of a licence, approval or registration following compliance enforcement action</li> <li>• processes to manage the exclusion of a person or entity from holding, or being granted a licence, approval or registration for a period of time following compliance enforcement action</li> <li>• renewals.</li> </ul> <p>The renewal process may vary from the initial application process by:</p> <ul style="list-style-type: none"> <li>• using a condensed application process that updates details previously supplied</li> <li>• a review of restrictions or conditions on licences, approvals or registrations, including those arising from disciplinary action and/or prosecution</li> </ul> <p>The function also includes:</p> <ul style="list-style-type: none"> <li>• appeals against a refusal to grant a licence, approval or registration, or against restrictions or conditions placed on a licence, approval or registration</li> <li>• the surrender of licences, approvals or registrations by the holder</li> <li>• applications that are withdrawn before a decision is reached</li> <li>• mutual recognition assessments of licences/registrations from other Australian jurisdictions</li> <li>• management of those undergoing assessment of their training, including special consideration applications, appeals, and excessive attempts at assessment.</li> </ul> <p>See Records of Common Administrative Functions PERSONNEL MANAGEMENT for records of police and other background checks held separately to an application for registration or licensing.</p>		
3.1	<p><b>Records of Continuing Value</b></p> <p>Records of continuing value documenting the electrical worker registration and licensing function. Includes:</p> <ul style="list-style-type: none"> <li>• the approved registration and licensing requirements</li> </ul>	Permanent	Retain as State Archives, Transfer to PROV

## Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Electrical Worker Registration and Licensing Management</i>			
	<ul style="list-style-type: none"> <li>• the approved criteria for receiving special consideration when undertaking assessment, making an appeal against an assessment outcome, or for intervening and directing an examinee to remedial action if after multiple attempts they have failed to pass the assessment</li> <li>• the approved criteria for determining the suitability of an applicant</li> <li>• the approved criteria for the application of conditions or limits to a registration or licence</li> <li>• applications for registration or licencing which set precedent, lead to policy change or a major review of processes</li> <li>• reports to Parliament or the portfolio Minister including reports concerning changes to registration and licensing requirements, registration criteria, the registration history of particular individual or business practitioners, or registration characteristics of a category/class of practitioner etc.</li> </ul>		
3.2	<p><b>Long-term Records</b></p> <p>Records of long-term value documenting the function of registering and licensing electrical workers. Includes:</p> <ul style="list-style-type: none"> <li>• summary records of applications received for registration and licensing</li> <li>• detailed records of successful applications and renewals (excluding supporting documentation), including details of any exemptions granted to an applicant and/or applications made under a mutual recognition scheme</li> <li>• correspondence with electrical workers concerning changes to registration or licence status, including cancellations, and/or notice from a worker that they wish to surrender their registration or licence</li> <li>• records of appeals or disputes concerning registration or licence status</li> <li>• detailed records of conditions or restrictions placed upon registered or licensed electrical workers, including those arising from compliance management actions</li> <li>• de-identified datasets covering the registration and licensing management function and its activities collated for ongoing analysis and</li> </ul>	Temporary	Destroy 75 years after date first licence or registration issued.

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
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*Electrical Worker Registration and Licensing Management*

	<p style="text-align: center;">research purposes.</p>		
3.3	<p><b>Short-term Records</b></p> <p>Short-term administrative records supporting the electrical worker registration and licensing function. Includes:</p> <ul style="list-style-type: none"> <li>• withdrawn applications</li> <li>• records of unsuccessful applications for a registration or licence and their review</li> <li>• records of applications to surrender a registration or licence</li> <li>• statistical data produced from a registration and licence management system, or received from/reported by an assessment body, for use in administrative reporting, audits and review processes. Includes final reports on audits of assessment bodies.</li> </ul> <p>Includes evidence supporting applications and renewals (known as 'supporting documentation') such as:</p> <ul style="list-style-type: none"> <li>• records of an applicant's qualifications and training</li> <li>• licensing assessments, including examination records, special consideration, appeals and excessive attempts</li> <li>• insurance records, if applicable</li> <li>• personal identification</li> <li>• clearance results for police and other background checks</li> <li>• referee reports</li> <li>• records of registrations and/or licences held in other jurisdictions</li> <li>• evidence of business or company status, if applicable</li> <li>• evidence of employment by a business, company or network, if applicable</li> <li>• evidence of appropriate experience, technical or business knowledge and proof of skills.</li> </ul>	Temporary	Destroy 10 years after action completed.

# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
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*Compliance Management*

4.0	<p><b>Compliance Management</b></p> <p>The management of compliance with energy safety (and any other relevant) legislation and regulations. Includes ensuring:</p> <ul style="list-style-type: none"> <li>• the requirements of legislation, standards, and other mandatory frameworks are met for work performed and/or materials used</li> <li>• conditions and/or limitations of registration or licensing are adhered to</li> <li>• appropriate disciplinary action is taken where required to reduce/remove the risk of future non-compliance.</li> </ul> <p>Compliance management processes may be applied to:</p> <ul style="list-style-type: none"> <li>• an individual worker</li> <li>• a member of the public e.g. who is unlicensed and has installed electrical wiring etc in their own or another's property</li> <li>• a business e.g. who is directing or allowing its employees to follow unsafe practices</li> <li>• an electricity company</li> <li>• a gas company</li> <li>• the owner of a pipeline or other underground infrastructure that has regulatory obligations</li> <li>• the owner of a private aerial line (i.e. an above ground electrical line installed by an owner on private land)</li> <li>• a manufacturer or importer of an appliance.</li> </ul> <p>Compliance management processes and outcomes include:</p> <ul style="list-style-type: none"> <li>• compliance audits, including the lodgement of compliance certificates and other regulatory documentation by workers</li> <li>• resolution of non-compliance matters escalated to ESV by energy companies e.g. inspection of a private aerial line discovers non-compliance which the owner has not addressed/is not addressing</li> <li>• complaints management</li> <li>• inspections, including proactive inspections which are initiated by ESV and inspect a number of electrical or gas installation or maintenance works based on criteria such as checking changes</li> </ul>		
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# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
<i>Compliance Management</i>			
	<p>are being rolled out by workers after regulatory changes have occurred</p> <ul style="list-style-type: none"> <li>• investigations, including those arising from incidents, a coronial inquest or report, and/or a police request</li> <li>• enforcement, including warning letters, infringement notices, rectification notices, directives to achieve compliance (e.g. fix, replace, increase inspections, complete line clearance work etc.)</li> <li>• suspensions</li> <li>• prosecutions</li> <li>• cancellation of registration and/or license</li> <li>• disconnection of supply to a non-compliant private aerial line.</li> </ul> <p>See Records of Common Administrative Functions LEGAL SERVICES for records of legal advice.</p>		
4.1	<p><b>Records of Continuing Value</b></p> <p>Records of continuing value documenting the function of managing compliance. Includes:</p> <ul style="list-style-type: none"> <li>• compliance activities that lead to policy change within the electrical or gas industries. Includes compliance audits and inspections - including proactive inspections</li> <li>• disciplinary action or prosecutions which set precedent and/or change policy or processes within ESV</li> <li>• analysis of compliance risks across the electrical and gas industries, or that provide strategic advice on a compliance issue</li> <li>• investigations arising as a result of a serious incident, a request or recommendation from the coroner, or police investigation (usually into a fatality or serious injury, or serious property damage) and the outcome.</li> </ul>	Permanent	Retain as State Archives, Transfer to PROV
4.2	<p><b>Long-term Records</b></p> <p>Long-term records documenting the compliance management function, including:</p> <ul style="list-style-type: none"> <li>• summary records of all incidents reported/investigations conducted/inspections or audits</li> <li>• records of compliance activities which lead to</li> </ul>	Temporary	Destroy 75 years after action completed.



# Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
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*Compliance Management*

	<p>registration or licence suspension or cancellation, and/or prosecution, but do not set precedent or result in policy change. Includes audits, inspections, investigations, show cause requests (i.e. provide information as to why disciplinary action is not warranted/should not proceed), disciplinary action and internal or external reviews</p> <ul style="list-style-type: none"> <li>• de-identified datasets covering the compliance management function and its activities collated for the purpose of ongoing analysis and research.</li> </ul>		
4.3	<p><b>Medium-term Records</b></p> <p>Medium term records documenting the compliance management function. Includes detailed records of:</p> <ul style="list-style-type: none"> <li>• compliance audit documentation, analysis and recommendations</li> <li>• audit of compliance certificates or statements issued by workers to clients/consumers,</li> <li>• monitoring records, maps/charts and field test reports on cathodic infrastructure protection systems (systems prescribed by legislation that protect metallic structures from corrosion)</li> <li>• audit reports provided to the worker/business/company which do not result in policy change or changes to a company or individual's licence or registration</li> <li>• proactive inspections or audits and the outcomes which do not result in policy change or changes to an individual's licence or registration</li> <li>• regulatory inspections e.g. complex (as defined by legislation) gas appliance installations, private overhead electrical line inspections, electricity supply network safety inspections</li> <li>• incident investigations, inspections, and disciplinary action documentation where an infringement or warning is issued, the initial complaint/cause for concern was not substantiated, or the result is to undertake no further disciplinary or prosecution actions. Includes notices to rectify errors in compliance</li> <li>• reviews of disciplinary action</li> <li>• complaint investigations and outcomes that do not lead to registration or licence suspension or cancellation, and/or prosecution, or policy change within the electrical or gas industries -</li> </ul>	Temporary	Destroy 15 years after action completed.

## Retention and Disposal Authority for Records of the Energy Safety Function

**Authority number: PROS 22/01**

No	Function/Description	Status	Disposal Action
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*Compliance Management*

	<p>includes notices, orders, and directions</p> <ul style="list-style-type: none"><li>• field audits of protection systems and any warnings or infringement notices issued</li><li>• point of sale audits for appliance retailers.</li></ul> <p>Also includes records of the authorisation of officers to act under legislation and delegations of authority.</p>		
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