

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1



PROS 07/07 VAR 1

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

Issued Date: 22/09/2017

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Authority number: PROS 07/07 VAR 1

Variation 1

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Electrical Safety Function

In accordance with section 12 of the *Public Records Act* 1973 (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for Records of the Electrical Safety Function, issued as Public Record Office Standard (PROS) 07/07 on 12/10/2007, as follows:

Extension of the application of this Standard until 12/10/2020.

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Director and Keeper of Public Records

Date: 22/09/2017

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

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Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

Retention and Disposal Authority for Records of the Electrical Safety Function

| | |
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| Retention and Disposal Authority No | PROS 07/07 VAR 1 |
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| | |
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| Scope | This RDA authorises the disposal of records of the Electrical Safety Function. |
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|---------------|------------------|
| Status | Issued by Keeper |
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|-------------------|------------|
| Issue Date | 22/09/2017 |
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Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

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| List of Functions and Activities covered |
|---|

| Reference | Function | Activity | Page |
|-----------|--|--|------|
| 1 | INFRASTRUCTURE SAFETY | | 10 |
| 1.1 | | Regulation of the Safety of Electricity Supply Networks | 10 |
| 1.2 | | Infrastructure Protection (Electrolysis / Stray Current Corrosion) | 12 |
| 2 | ELECTRICITY INSTALLATIONS AND EQUIPMENT SAFETY | | 14 |
| 2.1 | | Regulation of Electrical Installation Work | 15 |
| 2.2 | | Regulation of Electrical Equipment | 17 |
| 3 | LICENSING REGULATION | | 19 |
| 3.1 | | Licensing and Registration | 19 |
| 4 | INVESTIGATIONS AND PROSECUTIONS | | 22 |
| 4.2 | | Investigations | 23 |
| 4.3 | | Prosecutions | 25 |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

Introduction

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. 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 Electrical Safety Function

Authority number: PROS 07/07 VAR 1

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 Electrical Safety Function

Authority number: PROS 07/07 VAR 1

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 the Public Record Office Victoria. Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2). The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

Concurrence of Public Office

This Authority has the concurrence of:

Name: Ken Gardner

Position: Director of Energy Safety

Date: 09/10/2007

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 prior to that date.

Justine Heazlewood, Keeper of Public Records

Date of Issue: 12/10/2007

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|-------|--|--|-----------|---|
| 1 | INFRASTRUCTURE SAFETY | <p>The regulation of safe electricity, including the generation, transmission and distribution of electricity.</p> <p>[For Incidents and Investigations, see 4.0.0]</p> <p>[For Legislation, Regulation and Standards development see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> | | |
| 1.1 | Regulation of the Safety of Electricity Supply Networks | <p>The process of reviewing, auditing and approving the operation of Electricity Supply Networks with respect to safety of operation.</p> <p>An Electricity Supply Network is comprised of power stations and power generating plants owned and operated by an electricity supply company. These may include nuclear or coal driven power stations, hydro-electrical plants, wind farms, solar power plants etc. as well as transmission, distribution and traction companies.</p> | | |
| 1.1.1 | Summary Management of Safety Approvals for the Operation of Electricity Supply Networks | Summary management of safety approvals for Electricity Supply Networks prior to the commencement of operation and at periodic intervals. | Permanent | Retain as State archives |
| 1.1.2 | Applications for Safety Approval for | Review of operational documentation and risk management plans for Electricity Supply Networks | Temporary | Destroy 1 year after electrical safety scheme |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|--|--|--|-----------|--|
| <i>INFRASTRUCTURE SAFETY - Regulation of the Safety of Electricity Supply Networks</i> | | | | |
| | the Operation of Electricity Supply Networks | <p>prior to the commencement of operation, and at periodic intervals.</p> <p>Electricity Safety Management Schemes are submitted by employers of electrical workers with respect to their electrical work environment. Operators are required to submit a revised scheme every 5 years.</p> | | has expired. |
| 1.1.3 | Applications for Safety Manager for Electricity Supply Networks | The applications for acceptance as the electricity safety manager of Electricity Supply Networks. Operators of Electricity Supply Networks may be the subject of audits if determined by Energy Safe Victoria. | Temporary | Destroy 1 year after electricity safety manager ceases their role. |
| 1.1.4 | Electricity Supply Network Safety - Inspections | <p>The inspection of facilities, equipment and infrastructure, to ensure compliance with safety regulations and standards for operation.</p> <p>Includes on-site visits to power stations or power generating plants to check compliance prior to approval being granted, and at periodic intervals.</p> | Temporary | Destroy 5 years after date of inspection. |
| 1.1.5 | Electricity Supply Network Safety - Exemptions | The consideration of applications for exemption of electrical assets from compliance with electrical safety regulations and standards based on special circumstances defined by Energy Safe Victoria. | Temporary | Destroy 1 year after equipment is replaced or becomes obsolete. |
| 1.1.6 | Audits of Electricity Supply Network Safety | The regular audit of Electricity Supply Networks for compliance with the regulations. | Temporary | Destroy 5 years after completion of audit. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|--|--|--|-----------|--|
| <i>INFRASTRUCTURE SAFETY - Regulation of the Safety of Electricity Supply Networks</i> | | | | |
| 1.1.7 | Electricity Supply Network Safety - Incidents | <p>The reporting of incidents regarding electricity supply networks, and resulting enquiries to determine the cause and extent of the incident. An example includes the failure of a piece of distribution or supply network, causing power outage, due to animal (e.g. possums) interference with power lines.</p> <p>[For incidents that have resulted in serious injury or death, and/or result in a penalty, and/or require prosecution (known as Priority One incidents), see 4.0.0.]</p> | Temporary | Destroy 7 years after date of incident. |
| 1.2 | Infrastructure Protection (Electrolysis / Stray Current Corrosion) | The protection of in-ground assets such as water pipes and gas mains from corrosion by stray electrical current emanating from an Electrical Supply Network or a Traction Network (tram or train power network). | | |
| 1.2.1 | Infrastructure Protection (Electrolysis / Stray Current Corrosion) - Registration | The registration of cathodic protection systems or mitigation systems to protect in-ground assets from corrosion by stray electrical current. | Permanent | Retain as State archives |
| 1.2.2 | Infrastructure Protection (Electrolysis / Stray Current Corrosion) - Successful Applications for a Certificate of | <p>Successful applications for a certificate of registration for a cathodic protection system or a mitigation system.</p> <p>Includes the issuing of certificates and supporting documentation required under regulation 10 of the <i>Electricity Safety (Stray Current Corrosion)</i></p> | Temporary | Destroy 2 years after date of expiry of certificate. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|---|---|--|-----------|--|
| <i>INFRASTRUCTURE SAFETY - Infrastructure Protection (Electrolysis / Stray Current Corrosion)</i> | | | | |
| | Registration | <i>Regulations 1999</i> such as maps of system locations. | | |
| 1.2.3 | Infrastructure Protection (Electrolysis / Stray Current Corrosion) - Unsuccessful Applications for a Certificate of Registration | Unsuccessful applications for a certificate of registration for a cathodic protection system or a mitigation system. Includes supporting documentation required under regulation 10 of the <i>Electricity Safety (Stray Current Corrosion) Regulations 1999</i> such as maps of system locations. | Temporary | Destroy 2 years after rejection of application. |
| 1.2.4 | Infrastructure Protection (Electrolysis / Stray Current Corrosion) - Modification of Protection Systems | The approval of modifications to cathodic protection systems or mitigation systems that have received certificates of registration. | Temporary | Destroy 2 years after date of expiry of certificate to which the modification relates. |
| 1.2.5 | Infrastructure Protection (Electrolysis / Stray Current Corrosion) - Monitoring | Routine field test reports, data and maintenance reports for the containment of electrical current within an electrical network or traction network (tram or train power cables). | Temporary | Destroy 6 years after date of test/report. |
| 1.3 | Tree Clearance Plans Approval & Monitoring | The approval and monitoring of annual plans for tree felling and pruning submitted by responsible persons (including Municipal Councils) in accordance with regulation 9 of the <i>Electricity Safety (Electric Line Clearance) Regulations 2005</i> . Includes spot checks for compliance with section | Temporary | Destroy 1 year after plan expires. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|---|---|---|--------|-----------------|
| <i>ELECTRICITY INSTALLATIONS AND EQUIPMENT SAFETY</i> | | | | |
| | | 84(4) of the <i>Electricity Safety Act 1998</i> . | | |
| 2 | ELECTRICITY INSTALLATIONS AND EQUIPMENT SAFETY | <p>The governance of domestic and commercial installations of electricity and electrical equipment safety. This includes:</p> <ul style="list-style-type: none"> • The prescription of methods by which electrical installations may be carried out. • The quality of materials, fittings and apparatus to be used. • Inspection, testing and certification of prescribed electrical installation work. • Registration and licensing of electrical contractors and workers. • Monitoring examination and curriculum content of electrical installation qualifications. • Prescription of minimum standards of safety for electrical equipment. • Approval and marking of prescribed electrical equipment. • Certification of compliance of electrical equipment. <p>For Investigations see 4.0.0]</p> | | |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|--|---|--|-----------|--|
| <i>ELECTRICITY INSTALLATIONS AND EQUIPMENT SAFETY - Regulation of Electrical Installation Work</i> | | | | |
| | | <p>[For Legislation, Regulation and Standards development see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> <p>[For Outsourcing and/or Contracting Arrangements see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> | | |
| 2.1 | Regulation of Electrical Installation Work | <p>The regulation of prescribed and non-prescribed electrical installation work under the <i>Electricity Safety (Installations) Regulations 1999</i>.</p> <p>Prescribed electrical installation work concerns all work required to connect a domestic or commercial property to an electricity supply network. Non prescribed work concerns all work required to distribute electricity throughout a property such as electrical work or wiring contained within a domestic or commercial property.</p> <p>[For Investigations, see 4.0.0]</p> | | |
| 2.1.1 | Receipt of Certificates of Electrical Safety | <p>The receipt of Certificates of Electrical Safety for prescribed and non prescribed electrical safety work. Under the <i>Electricity Safety Act 1998</i>, a person who is responsible for carrying out prescribed electrical installation work must have their work inspected by a licensed electrical inspector. Once the inspector is satisfied that the work is compliant with the regulations, they will sign the certificate of</p> | Temporary | Destroy 5 years after date of certificate. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
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| <i>ELECTRICITY INSTALLATIONS AND EQUIPMENT SAFETY - Regulation of Electrical Installation Work</i> | | | | |
| | | compliance part of the certificate of electrical safety form. In cases where non prescribed work is carried out, the person carrying out the work self certifies their work. In both cases, copies of Certificates of Electrical Safety must be forwarded to Energy Safe Victoria. | | |
| 2.1.2 | Audit of Certificates of Electrical Safety for Non Prescribed Electrical Work | <p>The audit of a sample of certificates related to non prescribed electrical installation work to ensure compliance with standards and guidelines.</p> <p>[For contract management relating to the contracting of inspectors, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> <p>[For audits of personnel involved in electrical installation work, see 3.2.0.]</p> | Temporary | Destroy 2 years after audit completed. |
| 2.1.3 | Electrical Installation Exemptions | <p>The evaluation of applications for exemption from the standards and guidelines for electrical installation work under regulation 416 of the <i>Electricity Safety (Installations) Regulations 1999.</i></p> <p>Includes the request for exemption, supporting documentation, fees and the determination made.</p> | Temporary | Destroy 1 year after exemption granted. |
| 2.1.4 | Electrical Installation Incidents | <p>The reporting of electrical installation incidents that do not result in serious injury or death, do not result in penalty and/or require prosecution.</p> <p>Includes the report and resulting enquiries to</p> | Temporary | Destroy 7 years after incident reported. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|--|--|---|-----------|--|
| <i>ELECTRICITY INSTALLATIONS AND EQUIPMENT SAFETY - Regulation of Electrical Equipment</i> | | | | |
| | | determine the cause and extent of the incident. [For incidents involving electrical installations that have resulted in serious injury or death, and/or result in a penalty, and/or require prosecution see 4.0.0.] | | |
| 2.2 | Regulation of Electrical Equipment | The licensing of electrical plug in equipment for compliance with electrical safety standards. | | |
| 2.2.1 | Electrical Equipment - Summary Management | Summary management of electrical equipment applications and certificates of approval. | Temporary | Destroy 1 year after approval expires. |
| 2.2.2 | Electrical Equipment - Successful Applications for Certificates of Approval | The evaluation of successful applications for certificates of approval for electrical equipment. Includes applications for the modification or transfer of an existing certificate of approval. Includes application forms, electrical safety test reports and other supporting documentation and approvals to release certificates of approval. | Temporary | Destroy 1 year after approval expires. |
| 2.2.3 | Electrical Equipment - Unsuccessful Applications for Certificates of Approval | The evaluation of unsuccessful applications for certificates of approval for electrical equipment. Includes application forms, electrical safety test reports and other supporting documentation. | Temporary | Destroy 1 year after application rejected. |
| 2.2.4 | Electrical Equipment - Incidents | The reporting of incidents involving electrical equipment, and resulting enquiries to determine the | Temporary | Destroy 7 years after incident reported. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|--|--|---|-----------|---|
| <i>ELECTRICITY INSTALLATIONS AND EQUIPMENT SAFETY - Regulation of Electrical Equipment</i> | | | | |
| | | <p>cause and extent of the incident.</p> <p>[For incidents involving electrical equipment or appliances that have resulted in serious injury or death, or require product recall see 4.0.0]</p> | | |
| 2.2.5 | Electrical Equipment - Non-Compliant Equipment Applications | <p>The evaluation of applications for acceptance of electrical equipment that has not been tested under the Australian and New Zealand standards and guidelines.</p> <p>Includes application documentation, test reports and letters of acceptance/rejection.</p> | Temporary | Destroy 25 years after date of acceptance or rejection. |
| 2.3 | Energy Efficiency Rating - Registration | <p>The registration of energy efficiency ratings (stars) reports for appliances.</p> <p>[For Investigations and Product Recall, see 4.0.0]</p> | Temporary | Destroy 1 year after expiry of registration. |
| 2.4 | Energy Efficiency Rating - Testing | <p>The random sampling of energy efficient appliances for testing to confirm energy ratings.</p> <p>[For Investigations and Product Recall see 4.0.0]</p> | Temporary | Destroy 2 years after date of testing. |
| 2.5 | Electrical Appliance Retailer Audits | <p>The audit of electrical appliance retailers to ensure that appliances for sale are correctly labelled with electrical safety and efficiency rating information.</p> <p>[For Investigations and Prosecutions see 4.0.0.]</p> | Temporary | Destroy 2 years after date of audit. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|-----------------------------|--|---|-----------|---|
| <i>LICENSING REGULATION</i> | | | | |
| 3 | LICENSING REGULATION | <p>Regulation of the licensing and registration of electrical workers.</p> <p>[For the provision of training, supervision of examinations and input into the development of course curriculum for industry qualifications / certification see the General Retention and Disposal Authority for Records of Common Administrative Functions.]</p> | | |
| 3.1 | Licensing and Registration | The licensing and Registration of electrical workers under the <i>Electricity Safety Act 1998</i> . Includes the evaluation of applications to be licensed or registered as electricians, supervised workers, plumbers, trading electricians, electrical inspectors, spotters and line workers. Includes the management of successful and unsuccessful applications for licensing and registration. | | |
| 3.1.1 | Licensing and Registration Summary Management | The summary management of licenses issued to and registration of electrical workers. | Temporary | Destroy 50 years after license or registration expired. |
| 3.1.2 | Electrician's License - Applications and Renewals | <p>Applications, supporting documentation and renewals for Electricians licenses. This is also known as an A license and is issued for a period of up to 5 years under section 40 of the <i>Electricity Safety Act 1998</i>.</p> <p>[For unsuccessful applications, use class 3.1.9.]</p> | Temporary | Destroy 1 year after renewal or expiration. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

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| <i>LICENSING REGULATION - Licensing and Registration</i> | | | | |
| 3.1.3 | Supervised Worker's License - Applications and Renewals | Applications, supporting documentation and renewals for Supervised Workers licenses. This is also known as an L license and is issued for a period of up to 3 years under section 39 of the <i>Electricity Safety Act 1998</i> . [For unsuccessful applications, use class 3.1.9.] | Temporary | Destroy 1 year after expiry or renewal. |
| 3.1.4 | Disconnect/Reconnect Worker's License - Applications and Renewals | Applications, supporting documentation and renewals for Disconnect/Reconnect Workers licenses. This is also known as a D license which is issued under section 40 of the <i>Electricity Safety Act 1998</i> and are for plumbers. [For unsuccessful applications, use class 3.1.9.] | Temporary | Destroy 1 year after expiry or renewal. |
| 3.1.5 | Electrical Contractor Registration - Applications and Renewals | Applications, supporting documentation and renewals for registration as an Electrical Contractor. This is also known as a "REC" license. Registration as an Electrical Contractor allows the applicant to contract to perform electrical work i.e. run a business that performs electrical work and employ licensed electricians to do the work. These licenses are issued under section 30 of the <i>Electricity Safety Act 1998</i> and are for a period of 1 year. [For unsuccessful applications, use class 3.1.9.] | Temporary | Destroy 1 year after expiry or renewal. |
| 3.1.6 | Electrical Inspector's License - Applications and | Applications, supporting documentation and renewals for an Electrical Inspectors License. This license is also known as an "EI" license. Registration as an | Temporary | Destroy 1 year after expiry or renewal. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

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|--|---|--|-----------|---|
| <i>LICENSING REGULATION - Licensing and Registration</i> | | | | |
| | Renewals | <p>Electrical Inspector allows the applicant to test and certify electrical installation work performed by other electrical workers. It is issued under the section 45 of the <i>Electrical Safety Act</i> 1998 and for a period of 1 year.</p> <p>[For unsuccessful applications, use class 3.1.9.]</p> | | |
| 3.1.7 | Spotters Registration - Applications and Renewals | <p>Applications, supporting documentation and renewals for registration as a Spotter. A spotter is defined as a safety observer who watches and warns against the unsafe approach to overhead and underground electric lines and other electric apparatus. For example they may be employed to observe operations involving high equipment within the vicinity of power lines (to prevent electrocution). The registration is issued for a period of 3 years.</p> <p>[For unsuccessful applications, use class 3.1.9.]</p> | Temporary | Destroy 1 year after expiry or renewal. |
| 3.1.8 | Line Workers Registration - Applications | <p>Applications, supporting documentation and renewals for registration as a line worker. This is a voluntary and open ended registration.</p> <p>[For unsuccessful applications, use class 3.1.9.]</p> | Temporary | Destroy 75 years after first registration.. |
| 3.1.9 | Unsuccessful Applications for Licensing & Registration | <p>Applications received for all licensing and registration of electrical workers which are unsuccessful.</p> <p>Includes application forms, supporting documentation and assessment documentation.</p> | Temporary | Destroy 1 year after application rejected or withdrawn. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

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| <i>LICENSING REGULATION</i> | | | | |
| 3.2 | Electrical Installation - Audits of Registered Electrical Contractors & Workers | Audit of registered electrical contractors and electrical workers to ensure they are: <ul style="list-style-type: none"> • Using licensed personnel • Adhering to standards and guidelines for undertaking electrical work • Issuing Certificates of Electrical Safety for work completed. Includes interview notes, audit checklists and correspondence. [For Infringements, see 4.0.0.] [For audits of Certificates of Electrical Safety issued by electrical installation personnel, see 2.1.2.] | Temporary | Destroy 2 years after administrative use ceases. |
| 4 | INVESTIGATIONS AND PROSECUTIONS | The investigation of reported incidents, accidents and breaches under the <i>Electricity Safety Act 1998</i> , and the prosecution of offences found as the result. [For the reporting of incidents, see 1.1.6, 2.1.4 or 2.2.4.] | | |
| 4.1 | Investigations, Infringements and Prosecutions - Summary | The summary management of investigations, infringements, prosecutions and incidents under the <i>Electricity Safety Act 1998</i> . | Permanent | Retain as State archives |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|---|--|---|-----------|---|
| <i>INVESTIGATIONS AND PROSECUTIONS - Investigations</i> | | | | |
| | Management | | | |
| 4.2 | Investigations | The official examination of facilities, equipment, witnesses etc. to establish facts relating to accidents, complaints and/or incidents. | | |
| 4.2.1 | Investigations - Serious Electrical Incidents | <p>Investigations into electrical incidents under section 142 of the <i>Electricity Safety Act 1998</i>, that are defined as serious under section 3 of the <i>Electricity Safety Act 1998</i>, being those that cause, or have the potential to cause:</p> <ul style="list-style-type: none"> • the death or injury of a person (requiring hospital treatment) • significant damage to a property • serious risk to public safety <p>Includes investigation files, reports, witness statements, evidence and correspondence.</p> <p>[For policy records relating to serious electrical incidents, see the General Retention and Disposal Authority for Records of Common Administrative Functions.]</p> | Permanent | Retain as State archives |
| 4.2.2 | Investigations - Non Serious Electrical Incidents | Investigations into electrical incidents under section 142 of the <i>Electricity Safety Act 1998</i> , that do not fall into class 4.2.1. | Temporary | Destroy 7 years after investigation closed. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|---|-----------------------------|--|-----------|---|
| <i>INVESTIGATIONS AND PROSECUTIONS - Investigations</i> | | | | |
| | | <p>Includes investigation files, reports, witness statements, evidence and correspondence.</p> <p>[For policy records relating to serious electrical incidents, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> | | |
| 4.2.3 | Infringement Notices | <p>A notice issued under section 140B of the <i>Electricity Safety Act 1998</i> to a person believed to have committed a prescribed offence.</p> <p>Prescribed offences include:</p> <ul style="list-style-type: none"> • working without a license • employing electrical workers who are not licensed • carrying out electrical work that does not comply with the <i>Electricity safety Act 1998</i> and associated regulations • fraudulent conduct in the carrying out of electrical work, etc. without first receiving an exemption. | Temporary | Destroy 3 years after investigation closed. |
| 4.2.4 | Issue of Warnings | <p>A warning issued to a person who has not complied with the <i>Electricity Safety Act 1998</i>, but does not warrant an infringement notice or prosecution.</p> | Temporary | Destroy 3 years after investigation closed. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|---|---------------------------------------|--|-----------|--|
| <i>INVESTIGATIONS AND PROSECUTIONS - Investigations</i> | | | | |
| | | Includes: <ul style="list-style-type: none"> • failure to issue a Certificate of Electrical Safety • working live (i.e. without turning the power off) • causing shocks or burns • leaving an unsafe situation • non-compliance with regulations, etc. | | |
| 4.2.5 | Product Recall | The issue of instructions to a manufacturer to recall an electrical appliance from sale and/or retrieve from purchasers. | Temporary | Destroy 10 years after investigation closed. |
| 4.3 | Prosecutions | Management of legal proceedings for breaches of compliance with legislation and regulations. [For the summary management of prosecutions see 4.1.0] | | |
| 4.3.1 | Prosecutions - Case Management | The management of the prosecution of individuals and companies by ESV for breaches of the provisions of the <i>Electrical Safety Act</i> 1998. Prosecutions occur in the Magistrates Court. Includes briefs of evidence; charge records; summons and evidence e.g. statements, photographs, records of interview. | Temporary | Destroy 10 years after case closed. |

Retention and Disposal Authority for Records of the Electrical Safety Function

Authority number: PROS 07/07 VAR 1

| No | Function/Activity | Description | Status | Disposal Action |
|----|-------------------|-------------|--------|-----------------|
|----|-------------------|-------------|--------|-----------------|

INVESTIGATIONS AND PROSECUTIONS - Prosecutions