

Electrical Safety Management Scheme

Development and Management Specifications

December 2017

Document Control Table		
Version	Amendments	Date
1.0	Original issue	14 Sept 2009
2.0	Major rework and title change	December 2017

Contents

ELECTRICAL SAFETY MANAGEMENT SCHEMES SPECIFICATIONS.....	6
1. Objective.....	6
2. Scheme Purpose and Overview.....	7
2.1 Scheme description.....	7
2.2 Organisation details.....	8
2.3 Scheme manager.....	8
2.4 Scheme management.....	9
2.4.1 Scheme operational obligations.....	9
2.4.2 Scheme compliance obligations.....	9
2.4.3 Obligation to ensure scheme is properly managed.....	9
2.4.4 Qualifications of scheme manager.....	9
2.4.5 Scheme manager approval application.....	9
3. Equivalence Risk Management.....	10
4. Formal Safety Assessment.....	10
4.1 Legislative / statutory exemptions to be specified.....	11
4.2 Management system.....	11
4.3 Scheme validation.....	11
4.4 Implementation of scheme.....	12
4.5 Variations to the scheme.....	12
5. Scheme Content.....	12
5.1 Content of an electrical safety management scheme.....	12
5.1.1 The scope and application of the scheme.....	13
5.1.2 Safety policy.....	14
5.1.3 Safe access system for electrical work.....	14
5.1.4 Technical standards.....	14
5.1.5 Competence, training and authorisation.....	15
5.1.6 Emergency preparedness.....	15

5.1.7	Electrical incidents and serious electrical accidents.....	16
5.1.7.1	Electrical incidents.....	16
5.1.7.2	Serious electrical accidents	16
5.1.8	Scheme performance, monitoring and review	16
5.1.8.1	Key performance indicators.....	16
5.1.8.2	Scheme monitoring.....	16
5.1.8.3	Managing non-compliance.....	17
5.1.8.4	Regulatory Audits.....	17
6.	Scheme Records and Reporting.....	18
6.1	Scheme management and administration records.....	18
6.2	Scheme reporting.....	19
6.2.1	Scheme compliance reporting	19
6.2.2	Electrical incident and serious electrical accident reporting.....	19
7.	Scheme Application Process and Fees.....	20
7.1	Application process	20
7.1.1	Scheme need.....	20
7.1.2	Secretary or Delegate consultation.....	21
7.1.3	Documents developed.....	21
7.1.4	Scheme validation officer appointment.....	21
7.1.5	Scheme external validation.....	21
7.1.6	Approval of scheme manager	21
7.1.7	Scheme approval.....	21
7.1.8	Scheme implementation	21
7.1.9	Scheme monitoring and review	21
7.1.10	Scheme variations.....	21
7.2	Fees	21
7.2.1	General	22
7.2.2	Application fee.....	22

7.2.3	Annual administration fee.....	22
7.2.4	Audit fees.....	22
7.2.5	Application for fee exemption.....	22
SCHEDULE 1 – Interpretation.....		23
SCHEDULE 2 – Related Safety Management Topics.....		25
SCHEDULE 3 – Related Standards, Codes of Practice and Guidelines.....		26
SCHEDULE 4 – Suggested Scheme Penalty Topics.....		27
SCHEDULE 5 – Electrical Safety Management Scheme Validation.....		28

ELECTRICAL SAFETY MANAGEMENT SCHEMES SPECIFICATIONS

I. Objective

These specifications are to help identify the minimum (but not limited to) requirements an applicant needs to consider when developing an Electrical Safety Management Scheme (ESMS), under Part 8 of the *Electricity Industry Safety and Administration Act 1997* (“the Act”).

Please note

The specifications do not purport to cover the applicant’s legal or statutory obligations of the *Electricity Industry Safety and Administration Act 1997* and the *Occupational Licensing Act 2005*, nor the obligations contained in the *Work Health and Safety Act 2012*.

In some circumstances, the ESMS may need to be part of a larger Safety Management Scheme to:

- 1) satisfy obligations of the scope and application of the scheme relating to the work. This may need to be applied in the areas of Gas, Construction, Major Hazard Facilities or Work Health and Safety; or
- 2) meet the requirements of an AS5577 Electricity Networks Safety Management Systems.

During the approval process of the proposed ESMS, the scheme may be open for public comment.

Within this document, the words (also see interpretation schedule 1);

- 1) ‘scheme’ or ESMS, means an Electrical Safety Management Scheme.
- 2) ‘applicable electrical safety legislation”, means the requirements of either:
 - a. *Electricity Supply Industry Act 1995*;
 - b. *Electricity Industry Safety and Administration Act 1997*; and
 - c. *Occupational Licensing Act 2005*.

2. Scheme Purpose and Overview

A scheme is an alternative means for an organisation to meet its compliance obligations with regards to the specified standards for electrical work or the performance of electrical work, as set out in the applicable electrical safety legislation.

There will need to be a proven proper interest and a demonstrated need for the scheme, before this alternate approach is allowed. The applicant must be able to explain how the scheme is an appropriate alternative to the legislative requirements for the specific electrical work, including the inspection, testing, verification, certification and notification requirements, to ensure it is safe and fit for purpose.

An applicant is to inform the Secretary of the proposed development of a scheme and its scope or various scopes of electrical work and the demonstrated need for the proposed scheme. Once the proper interest and demonstrated need is formally recognised, the applicant can develop the scheme. Prior to the applicant submitting the scheme for Secretary approval the scheme must be independently validated and a report provided to the Secretary.

To be granted approval for a scheme, the applicant must prove it is equivalent to or superior than the specified standards/requirements in the applicable electrical safety legislation.

The scope and application of a scheme is only applicable to the activities undertaken by the persons of the applicant. It is not applicable to contracted organisations, unless the contracting organisations are specifically and uniquely identified and managed within the approved scheme.

The scope or scopes of electrical work must be clearly defined.

The scheme must identify how the risk and control measures manage the maintenance of equivalent standards of work and the like, and they must be referred to and fully reviewed, in the formal safety assessment.

2.1 Scheme description

- 1) The scheme must provide sufficient information to identify the organisation, the scope, extent and location of the electrical installation and/or infrastructure. The scheme description must contain a description of the:
 - a. electrical work to which the scheme relates and the electrical installation or electrical infrastructure requiring that work; and
 - b. design, construction, operation, maintenance and decommissioning processes of the electrical installation and/or infrastructure, to which the scheme relates.
 - c. safety risks associated with that electrical installation and/or infrastructure.
- 2) The scheme description must detail how the scheme is to be applied in the organisation, specifically relating to authorised persons under the scheme and their associated electrical work functions, including but not limited to, how:
 - a. persons are authorised;
 - b. authorisation is maintained, including Continuing Professional Development specifications; and
 - c. work is managed and limited to only the work the person is authorised to perform.

2.2 Organisation details

The organisation proposing a scheme must be identified by its:

- a. Business name
- b. Trading name
- c. Business address
- d. Business ABN or company CAN
- e. Organisation structure chart/diagram

2.3 Scheme manager

- 1) A scheme must specify the person within the organisation who is responsible for compliance with the scheme (the scheme manager), by providing the name, position title and the business address of that person.
- 2) The scheme must specify the Scheme Manager's responsibilities and how those responsibilities relate to the scope and application of the scheme.
- 3) The scheme manager must have qualifications and experience related to the scope of the scheme. If the scheme manager does not have those qualifications, the scheme must document the person who has the qualifications and competence requirements, and the processes to provide the:
 - a. correct technical advice to the scheme manager: and
 - b. appropriate consultation processes to manage the scheme effectively.
- 4) The scheme manager's responsibilities include, but are not limited to:
 - a. the preparation and submission of the scheme;
 - b. ensuring the formal safety assessment for the work that will be performed and managed under the scheme, is:
 - i. documented;
 - ii. valid at the time the scheme is submitted for approval; and
 - iii. remains valid as the organisation progresses and changes work practices associated with the scopes of work under the approved scheme;
 - c. the administration, implementation, management and control of all aspects of the scheme;
 - d. ensuring the electrical work required to be carried out under the scheme on infrastructure or electrical installation is covered by the scope and application of the scheme, is to the standards specified;
 - e. ensuring the electrical work carried out under the scheme is recorded and notified as specified in the scheme; and
 - f. the reporting of all scheme aspects to highlight the level of compliance with the scheme operations.

2.4 Scheme management

The scheme must be operated within its approved terms and the applicant is to define how the scheme will be managed to ensure compliance, including the appointment of the approved scheme manager.

2.4.1 Scheme operational obligations

The scheme must specify the system for managing the operation of the scheme which includes, but is not limited to, the measures that ensure:

- 1) the applicant organisation operates the scheme within the terms of the scope and application of the scheme;
- 2) authorised persons work within the scope and application of the scheme and must comply with the terms and conditions of the scheme: and
- 3) control and remedial actions for any identified deficiencies or areas of improvement.

2.4.2 Scheme compliance obligations

The scheme must specify the systems that ensure compliance with the scheme which includes, but is not limited to, the measures that:

- 1) are to be taken to implement and promote scheme compliance: and
- 2) assist with the management and control of any non-compliance that includes, but is not limited to:
 - a. organisational management of the scheme: and
 - b. all authorised persons that work within the scope and application of the scheme.

2.4.3 Obligation to ensure scheme is properly managed

The applicant must specify how the scheme manager or any subsequent replacement:

- 1) has the necessary financial, technical and human resources available to administer the scheme; and
- 2) must not be obstructed in the performance of his or her duties: and
- 3) is to be approved by the Secretary, as the manager of the scheme.

2.4.4 Qualifications of scheme manager

The applicant must specify the minimum qualifications and/or experience required of the Scheme Manager, to ensure the scheme can be effectively managed and operated.

2.4.5 Scheme manager approval application

The applicant must submit an application for the approval of the scheme manager to the Secretary. The application shall include but may not be limited to:

- 1) The request for the proposed scheme manager to be considered for approval; and
- 2) Name and title of the proposed scheme manager; and
- 3) Qualifications and industry experience of the proposed scheme manager;
- 4) The identification of the organisational, or engineering and technical support, required to manage, implement and maintain the scheme as designed.
- 5) A signed statement by the proposed scheme manager, that the proposed scheme manager knows, accepts and will discharge:
 - a. the requirements of Part 8 of the Act; and
 - b. their responsibilities in administering the scheme's requirements to an equivalent or superior standard of the Acts,
- 6) A signature and formally lodgement by the CEO, Board of Directors or the most senior officer in the organisation, where the scope and application of the scheme operates: and
- 7) The date when the proposed scheme manager, if approved, is to assume that role.

3. Equivalence Risk Management

The proposed scheme must be equivalent or superior to the requirements of the Acts for the specific scope of electrical work of the approved scheme.

To verify this, the applicant must perform and document a formal safety assessment, which analyses the identified risks and hazards of the proposed scope/s of electrical work, to ensure they appropriately managed through the proposed:

- 1) electrical work managements processes;
- 2) the training and authorisation systems within the scheme:
- 3) the maintenance and development of skills for work under the scheme: and
- 4) administration, management and monitoring system.

4. Formal Safety Assessment

The applicant must conduct, document and apply a formal safety assessment.

The formal safety assessment must:

- 1) be conducted to ensure the development of the scheme covers the risks associated with the scope and application of the scheme.
- 2) relate to the electrical work carried out under the scope and application of the scheme.
- 3) be consistent with the scheme description, scope and application; and must provide, but not limited to:

- a. a description of the methodology used and investigations undertaken for the formal safety assessment;
- b. an identification of hazards having the potential to cause a serious electrical accident;
- c. a systematic assessment of the risks associated with the work on the electrical installation and/or electrical infrastructure, including the likelihood and consequences of a serious electrical accident;
- d. a description of technical and other measures undertaken or to be undertaken to reduce those risks as far as practicable: and
- e. links to the systems, processes and procedures used in the assessment and control of the identified risks.

4.1 Legislative / statutory exemptions to be specified

A scheme must specify the provisions of the Acts from which the scheme is seeking exemptions, such as the:

- 1) Installation, commissioning and operation of electrical installations or electrical infrastructure, from which the applicant seeks: and/or
- 2) Electrical work to be performed by an authorised person.

4.2 Management system

A scheme must specify, the safety management system to be followed in relation to the safety of the:

- 1) electrical work carried out or to be carried out under the scheme;
- 2) related training, refresher-training, continuing professional development and qualifications for persons authorised under the scheme;
- 3) standards of work to be applied under the scheme: and
- 4) design, construction, commissioning, operation, maintenance and decommissioning of the electrical installation or electrical infrastructure, if applicable.

4.3 Scheme validation

Before submitting the scheme to the Secretary for approval, the scheme must be independently validated to ensure the scheme is of a standard that is equivalent, or superior, to the specified requirements in the Acts.

- 1) A scheme must be independently validated, before being submitted for approval by the Secretary. Subject to the Secretary's discretion, an additional scope of work, or an amendment of an approved scheme (in line with continuous improvement), may not need independent validation.
- 2) The applicant must propose the validation officer for approval by the Secretary before drafting the scheme.
- 3) To be the validation officer the individual must:
 - a. Be a competent person, with the appropriate knowledge and experience in the areas of the scope of work and application of the proposed scheme;

- b. Be independent to:
 - I. the scope of work and its management and control, within the applicants' organisation, or if this cannot be met;
 - II. the applicants' organisation;
 - c. Independent of the Secretary;
 - d. Ensure the scheme applies standards and work practices that are equivalent to or superior to the standards specified in, the Acts: and
- 4) The validation officer must demonstrate how the:
- a. scheme addresses and satisfies the minimum requirements and standards of the Acts;
 - b. scheme addresses and satisfies the requirements of these specifications;
 - c. applicant and the scheme manager, can discharge the duties and responsibilities of the scheme: and
 - d. scheme can be practicably applied to the operational and work aspects of the organisation.

Please refer to schedule 5 for further information relating to scheme validation.

4.4 Implementation of scheme

The applicant must nominate the date for implementation of the scheme.

The scheme must be implemented so that all that work within the scope and application, complies with the scheme.

4.5 Variations to the scheme

The applicant must specify in the scheme, how variations to the scheme are to be managed.

Subject to the Secretary's discretion, a scheme variation may require validation, particularly any variations to the scheme involving a change in:

- 1) Variations to the standard of electrical work;
- 2) Safety procedures or practices: and/or
- 3) Work procedures or practices.

5. Scheme Content

5.1 Content of an electrical safety management scheme

The content of the scheme shall include, but not limited to:

- 1) Scope and application of the scheme;
- 2) Safety policy;

- 3) Safe access system for electrical work;
- 4) Technical standards;
- 5) Competence, training, authorisation and continuing professional development;
- 6) Emergency preparedness;
- 7) Electrical incidents and serious electrical accidents;
- 8) Performance, monitoring and reporting;
- 9) Non-compliance management; and
- 10) Non-compliance penalties and control measures.

5.1.1 The scope and application of the scheme

- 1) The scheme scope must specify all the work on or near the electrical installation and/or electrical infrastructure, to which the scheme relates.
- 2) The scheme must specify the asset management plan by which a applicant will ensure that the design, construction, commissioning, installation, operation, maintenance and decommissioning of, and any modification of, the electrical installation and/or electrical infrastructure:
 - a. are adequate to ensure the safety of and safe operation of the electrical installation and/or electrical infrastructure;
 - b. takes into account the results of the formal safety assessment for the electrical installation and/or electrical infrastructure;
 - c. meets any technical standards specified in the scheme;
 - d. provides adequate means of isolating the electrical installation or electrical infrastructure or any part of the electrical installation and/or infrastructure in the event of an emergency: and
 - e. provides adequate means of preventing unauthorised access by the public to the electrical installation and/or infrastructure.
- 3) The scheme must specify the means by which it will ensure that electrical work:
 - a. is adequate for the safe operation of the electrical infrastructure, electrical installation and/or electrical equipment;
 - b. takes into account the results of the formal safety assessment for the scheme;
 - c. meets any technical standards specified in the scheme;
 - d. is carried out by the authorised persons working under the scheme: and
 - e. is recorded and notified as required.
- 4) The scheme must specify the skills, experience, training, competence and continuing professional development requirements, to be an authorised person, under the scope and application of the scheme.

5.1.2 Safety policy

- 1) The scheme must specify how the applicant's safety policy relates to the scope, application and operation of the scheme.
- 2) The scheme must specify:
 - a. the titles of the positions of those responsible for the safety policy: and
 - b. the duties of the positions of those responsible for the implementation of the safety policy.

5.1.3 Safe access system for electrical work

- 1) The scheme must specify the safe access system that is to apply in respect of work under the scheme.
- 2) A safe access system must—
 - a. prohibit any person who does not have a written permit issued by an authorised person of the scheme from:
 - i. having access to the electrical installation or electrical infrastructure, or parts of the electrical installation or electrical infrastructure, to which the scheme relates; and
 - ii. performing work specified in the scheme; and
 - b. specify the positions of the persons who are permitted by the scheme to:
 - i. issue permits;
 - ii. receive permits to supervise/control that work; and
 - iii. authorise persons that are to work under the scheme; and
 - c. ensure that authorised persons who issue permits and/or carry out any work under permit and/or carry out work under the scope and application of the scheme, are:
 - i. appropriately trained for the work under the scheme;
 - ii. competent and authorised for the work under the scheme: and
 - iii. provided with appropriate procedures, tools, equipment and emergency support.

5.1.4 Technical standards

The scheme must specify the technical standards to be applied in the operation of the scheme to meet the scheme scope and application with respect to the:

- 1) design, construction, commissioning, installation, operation, maintenance and decommissioning of the electrical installation and/or electrical infrastructure: and
- 2) electrical work to be carried out by the authorised persons.

Note: Where an anomaly exists between standards, the most onerous requirements shall be applied.

Please refer to schedule 3 for a non-definitive list of related standards, codes of practice and guidelines

5.1.5 Competence, training and authorisation

- 1) The scheme must specify the competence and training requirement used in relation to the electrical installation and/or electrical infrastructure, to ensure that:
 - a. the minimum level of qualifications, skill and competence that is required to carry out of work in relation to the electrical installation and/or the electrical infrastructure is established;
 - b. any procedures, work methods and training necessary for authorised persons assigned to carry out that work is provided: and
 - c. only authorised persons (that are registered in the scheme), with the qualifications, skills and competence and continuing professional development appropriate to that work, undertake that work.
- 2) The scheme must specify the process for an individual to become an authorised person under the scheme and their continuing professional development requirements.
- 3) Electrical work as specified in the scheme can only be carried out by authorised persons that are:
 - a. registered under the scheme, or
 - b. registered as a person in training in a recognised training course for the scheme. Persons in training must be supervised, equivalent to the requirements of the *Occupational Licensing (Supervision of Prescribed Work) Code of Practice*.
- 4) The register of authorised persons (including individuals employed under a contract), must specify no less than:
 - a. the person's name;
 - b. the person's date of birth;
 - c. the person's qualifications, training and currency of competence and continuing professional development requirements;
 - d. the person's authorisation relating to the scope and application of the scheme regarding electrical work; and
 - e. if the electrical worker is not an employee of the organisation that has the approved scheme:
 - i. the details required under clauses 5.1.5. 4) a to d above;
 - ii. whether that worker is a contracted person; and
 - iii. their actual employer.

5.1.6 Emergency preparedness

The scheme must specify a response plan designed to address all reasonably foreseeable emergencies which have been identified through the formal safety assessment.

- 1) The response plan must:
 - a. ensure the safety of the public; and
 - b. specify a system for reporting between the scheme manager and any other person who may be affected by an emergency: and

- c. specify the means by which the scheme manager will ensure the continued safety of the:
 - i. infrastructure and/or installation and its operation; and
 - ii. electrical work being carried out on electrical installation and/or electrical infrastructure, and
- d. specify how a co-ordinated response with emergency services will be achieved

5.1.7 Electrical incidents and serious electrical accidents

The scheme must specify how all electrical incidents and serious electrical accidents are to be managed, investigated and reported to the Secretary.

5.1.7.1 Electrical incidents

The scheme must specify the system for reporting of electrical incidents to Secretary after the electrical incident occurs, for the electrical work under the approved scheme which occurs in relation to the electrical installation and/or electrical infrastructure covered by the scope of the scheme.

5.1.7.2 Serious electrical accidents

The scheme must specify the:

- 1) compliance with the process of reporting serious electrical accidents, as that term is defined in the Act;
- 2) means by which site preservation is to be managed;
- 3) means of investigating and recording, serious electrical accidents: and
- 4) management systems to be used for reviewing and actioning of the information and remedial actions so recorded or arising from serious electrical accident investigations.

5.1.8 Scheme performance, monitoring and review

5.1.8.1 Key performance indicators

The scheme must specify the key performance indicators to determine the level of compliance with the scheme and the relevant provisions of the Acts. The key performance indicators must link to the approved schemes auditing schedule.

5.1.8.2 Scheme monitoring

- 1) The scheme must specify the means by which the scheme manager will:
 - a. define the scope and application of the audits;
 - b. monitor and audit the implementation and continuing compliance of the scheme;
 - c. review the schemes adequacy;
 - d. review and analyse Key Performance Indicators;

- e. ensure that only authorised persons work within the scope and application of the scheme: and
 - f. define the number of scheme audits to be undertaken, with a minimum of one internal audit per annum.
- 2) The scheme must specify the means to ensure regular and systematic:
 - a. identification of deficiencies in scheme related policies and procedures, as well as their implementation: and
 - b. improvement in those policies and procedures, and in their implementation.
 - 3) The scheme must include and allow for audits conducted by or on behalf of Secretary of the scheme and its application, including:
 - a. two Secretary audits over the five year term of the scheme (generally one around 6 months after commencement or renewal of the scheme and one mid-term of the scheme): and
 - b. the provision of appropriate resources and access to conduct these audits.
 - 4) The scheme must specify the annual audit reporting period date.

5.1.8.3 Managing non-compliance

The scheme must specify the means by which non-compliance within the scheme are to be managed and controlled, which shall include; but may not be limited to the;-

- 1) reporting of all identified non-compliance;
- 2) review and analysis of non-compliance, to ensure rectification of the non-compliance;
- 3) review and analysis of non-compliance, to prevent recurrence of the non-compliance;
- 4) taking and recording of remedial or corrective actions for non-compliant electrical work by authorised persons: and
- 5) recording of the remedial or corrective actions for non-complying design, construction, commissioning, installation, operation, maintenance and decommissioning of, and any modification of, the electrical installation or infrastructure; and
- 6) rectification and signoff of the remedial or corrective actions.
- 7) means by which scheme non-compliance is to be managed in relation to the remedial/corrective action processes and penalties and the scheme must consider:
 - a. the penalties applicable under the Acts; and
 - b. define, internal penalties for non-compliance with the scheme, inline the proposed internal penalty topics, refer to schedule 3.

5.1.8.4 Regulatory Audits

- 1) The Secretary may request an audit of the scheme. The Scheme Manager shall provide the resources and access required so that the audit can be undertaken with minimal disruption to the workplace.

6. Scheme Records and Reporting

The scheme manager is responsible for the administration, records and reporting of the scheme.

6.1 Scheme management and administration records

The scheme manager of an approved scheme must, in accordance with these specifications, establish, implement and maintain a system for keeping records relating to an approved scheme.

- 1) The minimum records required to be kept are -
 - a. a copy of the approved scheme and any revisions;
 - b. all audit reports in relation to the scheme;
 - c. all documents and reports relating to incidents and accidents (including their investigation) involving the electrical installation, electrical equipment and/or electrical infrastructure related to the scheme;
 - d. documents and corrective or remedial actions relating to any breach of the scheme; e.g. unauthorised access, unauthorised or defective electrical work;
 - e. a copy of each report provided by the scheme manager to the Secretary;
 - f. a register of the names and qualifications of authorised persons to carry out electrical work under the scheme: and
 - g. A skills and competence matrix, including any continuing professional development of all persons authorised under the scheme, refer 5.1.5.
- 2) The records must be kept and there must consideration of a backup system for the records -
 - a. at the address nominated by the scheme manager in the scheme;
 - b. in a manner that makes their retrieval practicable;
 - c. in a secure manner;
 - d. documenting all electrical work completed under the scheme including the recording and notification of electrical work as per clause 2.3 (3) (d) of these specifications: and
 - e. for a minimum period of 10 years from the creation of the record, notwithstanding the cessation of the scheme.
- 3) A scheme manager must, if requested in writing by the Secretary:
 - a. allow inspection of the records by Secretary within 5 business days of the request, or such further time as the Secretary may specify: and
 - b. if copies of records are requested, provide copies of the specified records to Secretary within 10 business days of the request, or such further time as the Secretary may specify.

6.2 Scheme reporting

6.2.1 Scheme compliance reporting

The scheme must detail the scheme compliance reporting methodology and content.

- I. The scheme manager must report within 5 working days:
 - a. any suspect or identified non-compliances of the scheme;
 - b. the nature of the suspected or identified non-compliance: and
 - c. the corrective or remedial actions to be implemented to rectify the non-compliance/s identified.
2. The scheme manager must, lodge with the Secretary an annual report within 20 working days after the end of each annual auditing period, as to the scheme's adequacy in covering:
 - a. the scope and application of the scheme;
 - b. KPI performance against targets;
 - c. new electrical work and operational work practices instigated (if any);
 - d. the number and types of audits and non-compliance investigations (if any) of the scheme, including:
 - i. scope of the audits for the approved scheme and non-compliance investigations undertaken;
 - ii. findings of audits and non-compliance investigations;
 - iii. all corrective and/or remedial actions completed to finalise audits and non-compliance investigations;
 - e. any hazardous events identified in the formal risk assessment of the electrical work under the scheme, and the related safety of the public, persons, plant, equipment and the environment, should such an event have occurred;
 - f. the current list of personnel authorised under the scheme: and
 - g. competence, authorisation and continued professional development, for those authorised under the scheme.

6.2.2 Electrical incident and serious electrical accident reporting

The scheme must specify the schemes incident/accident reporting requirements.

- I. Unless otherwise specified by the Secretary, a report of an electrical incident or accident, must specify:
 - a. the nature of the incident or accident;
 - b. where and when the incident or accident occurred;
 - c. the cause or suspected causes of the incident or accident;
 - d. particulars of any person involved in the incident or accident;
 - e. whether and what emergency service attended the incident or accident;

- f. what remedial actions (if any) were taken by the scheme manager: and
 - g. what corrective and/or remedial actions are proposed to prevent a repetition of the incident or accident.
2. The scheme manager must separately report quarterly statistical summaries of all electrical incidents or accident in formats that are acceptable to the Secretary, including:
 - a. the nature of the incident or accident;
 - b. the root cause of the incident or accident;
 - c. the remedial actions required to manage or prevent future occurrence;
 - d. when the remedial actions have been or are to be completed: and
 - e. trends of incidents or accidents, occurrence.
3. These reporting requirements do not negate or exempt the reporting requirements of the Work Health and Safety Act 2012

7. Scheme Application Process and Fees

The process for scheme development and approval is:

- Scheme need identified by applicant;
- Consultation with the Secretary or their officer/s to confirm acceptance to commence drafting;
- Documents developed;
- Approval of scheme Validation Officer
- Scheme external validation;
- Submission of scheme for approval;
- Approval of scheme manager;
- Scheme approval;
- Scheme implementation;
- Scheme monitoring, review and reporting: and
- Notification of proposed scheme variations.

7.1 Application process

7.1.1 Scheme need

The applicant identifies that there may be a need for a scheme and defines the scope of the scheme and how it is to be implemented and applied within the organisation.

7.1.2 Secretary or Delegate consultation

The applicant must initiate and continue dialogue with the Secretary's office, to ensure any major aspects of the proposed scheme are appropriate.

7.1.3 Documents developed

The applicant is to develop the scheme documents and processes relating to the scheme in a manner consistent with Part 8 of the *Electricity Industry Safety and Administration Act 1998* and this Specification.

7.1.4 Scheme validation officer appointment

The applicant must submit an application for the scheme validation officer to the Secretary, refer to the scheme validation requirements in appendix A.

7.1.5 Scheme external validation

Prior to submitting the scheme to the Secretary for approval, the applicant is to obtain an independent validation of the scheme and the appropriateness of its application.

7.1.6 Approval of scheme manager

The applicant must define the obligations for the scheme manager and nominate the proposed scheme manager, detailing that person's experience to the Secretary for approval.

7.1.7 Scheme approval

Once the application is presented to the Secretary, the Secretary is to review the scheme and either reject or approve the scheme within 30 working days.

Where the scheme's scope of electrical work would normally be managed under the *Occupational Licensing Act 2005*, the Administrator of Occupational Licensing must agree with the scheme and advise the Secretary that it is acceptable to the Administrator.

Notice of the approval, variation or revocation of a scheme must be published in the Gazette.

7.1.8 Scheme implementation

Once the scheme is approved the applicant must implement the scheme and thereafter comply with the scheme's obligations.

7.1.9 Scheme monitoring and review

The scheme manager must monitor, review and report scheme compliance as specified in the scheme. The Secretary will cause the scheme to be monitored and kept under review.

7.1.10 Scheme variations

Proposed variations to the scheme, that are in the opinion of the Secretary significant, must be treated as a new scheme and submitted to the Secretary after the variations have been externally validated. The proposed variations cannot be made or implemented until approved by the Secretary.

7.2 Fees

7.2.1 General

If no fee is specified the fee amount is deemed to be \$0.00

7.2.2 Application fee

An application for scheme approval must be accompanied by any specified fee.

7.2.3 Annual administration fee

- 1) The Secretary may set an annual administration fee, under section 84 of the Act, for a scheme operator who has nominated:
 - a. not more than 5 employees to carry out the electrical work under the scheme is;
 - b. between 6 and 50 employees to carry out the electrical work under the scheme is;
 - c. 51 or more employees to carry out the electrical work under the scheme is;
- 2) The annual administration fee must be paid to Secretary within 5 business days after the date on which the scheme is approved and not less than 5 business days before each anniversary of that date.

7.2.4 Audit fees

- 1) The Secretary may charge a Secretary's audit fee, under section 84 of the Act, for a scheme manager who has nominated—
 - a. not more than 5 employees to carry out the work under the scheme is;
 - b. between 6 and 50 employees to carry out the work under the scheme is;
 - c. 51 or more employees to carry out the work under the scheme is;
- 2) Notwithstanding clause 4.2.3 1), the Secretary may, without confining the Secretary's discretion, take into account the numbers of sites and their location where a Secretary's audit is to be conducted and set the fee accordingly.
- 3) The Secretary's audit fee must be paid to Secretary within 5 business days after the date on which the Secretary's audit report is submitted to the scheme manager.

7.2.5 Application for fee exemption

- 1) The Secretary may, on the application of the scheme manager, exempt a scheme from any of the fee requirements.
- 2) An exemption under clause 7.2.5 1) may be subject to conditions specified by the Secretary.
- 3) If any applicant wishes to apply for a fee exemption, the application must be in writing and state:
 - a. the name, address and telephone number of the applicant;
 - b. the exemption requested; and
 - c. the reasons for applying for the exemption.

SCHEDULE I – Interpretation

Administrator – has the meaning given by the *Occupational Licensing Act 2005*.

Applicant – means the organisation which has an identified need to develop and submit an electrical safety management scheme to the Secretary for approval.

Authorised Person – means a person with the appropriate training knowledge, skills and competence who has been accredited to work under the approved Electrical Safety Management Scheme and whose name is on the scheme register.

Authorised Officer – means the Administrator or a person appointed under the Acts, as an Authorised Officer.

Clearance for service – means the formal process for stating the equipment has been tested, commissioned and is fit to be energised and put into service.

Documents – has the meaning given by the *Acts Interpretation Act 1931*.

Electrical Incident – means any incident, not being a Serious Electrical Accident, involving electrical energy on an installation or infrastructure; or a failure to comply with the appropriate electrical standards.

Electrical Infrastructure – means equipment, lines and wires for the generation, transmission or distribution of electricity and includes supporting and protective structures relating to such equipment, lines or wires.

Electrical Installation – means a set wires and associated fittings, equipment and accessories that is, or is to be, connected to a system for the transmission or distribution of electricity.

Electrical Work – has the meaning given by Regulation 4 of the *Occupational Licensing (Electrical Work) Regulations 2008*

Person – a person employed or contracted to work for the applicant under the approved Electrical Safety Management Scheme. The scheme does not include contracted businesses or organisations.

Gazette – has the meaning given by the *Acts Interpretation Act 1931*.

Operational Interface – means a formal process for advising personnel and other organisations of the operational status of the electrical equipment, where the isolation points and/or access requirements, are remote to or cross operational boundaries between organisations.

Permit – means an access permit or access authority and the like, that provides written notice of access for work, whether required by jurisdictional legislation, or the organisation that is in the management and control of the work, or the organisation that owns the site where the work is being performed.

Qualifications – means a qualification issued by a Registered Training Organisation or recognised equivalent.

Secretary – has the meaning given it by the Act and includes a person appointed, delegated or authorised to perform such duties on behalf of the Secretary.

scheme – means the approved Electrical Safety Management Scheme

scheme manager – means the person responsible for the electrical safety management scheme, its implementation, management and administration to ensure compliance with its requirements.

serious electrical accident – has the meaning given it by the Act.

the Act – means the *Electricity Industry Safety and Administration Act 1997*

the Acts – means the *Occupational Licensing Act 2005, Electrical Safety and Administration Act 1997 and the Electricity Supply Industry Act 1995; as a group.*

validation officer – means the suitably qualified and experienced person or team of persons, who is/are independent of the proposed schemes organisation, scheme manager and the office of Secretary, and is responsible for validating that the ESMS is appropriate and meets the needs of the schemes scope and application.

SCHEDULE 2 – Related Safety Management Topics

The organisation wishing to operate under a scheme, shall consider the application of the scheme with respect to the following (but not limited to) for persons authorised under the scheme:

- Risk and hazard identification and control;
- Job Safety Analysis;
- Minimum first-aid qualifications;
- Minimum rescue training/qualification;
- Work procedures and work method statements;
- Incident reporting;
- Safe approach distances to energised apparatus;
- Safety observer/watcher training, authorisation and appointment;
- Safety access:
 - Job planning and coordination;
 - Isolation, lock out and earthing;
 - Equipment identification and labelling;
 - Operational plans or switching sheet systems;
 - Locking/immobilisation and tagging of isolation points;
 - Proving conductors de-energised;
 - Earthing of conductors;
 - Approved and type tested earthing systems;
 - Worksite identification and delineation;
 - Safe access permit/authorities;
 - Operational interface with others that could influence or affect the work activities and site;
- Apparatus testing procedures;
- Apparatus commissioning procedures;
- Apparatus clearance for service: and
- Continuing Professional Development.

SCHEDULE 3 – Related Standards, Codes of Practice and Guidelines

The organisation wishing to operate under an ESMS, must, as a minimum, apply:

- AS/NZS 3000 – Wiring Rules;
- AS 2067 – High voltage installations: and
- AS/NZS 7000 – Overhead line design, detailed procedures;
- AS 4801 – Occupational health and safety management systems – specification with guidance for use.

In the performance of electrical work, the organisation must consider the application of:

1. appropriate safe work and other standards including:
 - AS 5577 – Electricity Networks Safety Management Systems;
 - AS/NZS 4836 – Safe working on low-voltage electrical installations.
2. appropriate codes of practice and rules including:
 - any applicable SafeWork Australia electrical work codes of practice;
 - TasNetworks Power System Safety Rules;
 - Hydro Tasmania, Safe Work Practices;
 - Victorian Blue Book – Code of practice of electrical safety for work on or near high voltage electrical apparatus, or equivalent;
 - Tasmanian Electricity Code: and
 - National Electricity Rules.
3. Energy Networks Australia (ENA) – National Electricity Networks Safety (NENS) documentation including:
 - ENA NENS 01 – National Electricity Network Safety Code;
 - ENA NENS 03 – National guidelines for safe access to electrical and mechanical apparatus;
 - ENA NENS 04 – National guidelines for safe approach distances to electrical and mechanical apparatus;
 - ENA NENS 05 – National fall protection guidelines for the electricity industry;
 - ENA NENS 07 – National guidelines for the manual reclosing of high voltage electrical apparatus following a fault operation (manual recluse guidelines);
 - ENA NENS 10 – National guidelines for contractor occupational health and safety management;
 - ENA Doc 008 – National guidelines on electrical safety for emergency service personnel;
 - ENA Doc 013 – Network passport guideline;
 - ENA Doc 015 – National guidelines for the prevention of unauthorised access to electricity infrastructure;
 - ENA Doc 016 – National guidelines for the management of risks when working alone;
 - ENA LLM 01 – Guidelines for live line bare-hand work;
 - ENA LLM 02 – Guidelines for live line stick work: and
 - ENA LLM 03 – Guidelines for live line glove and barrier work.

SCHEDULE 4 – Suggested Scheme Penalty Topics

Contravention of approved scheme

1. Failure to:
 - a. be authorised or maintain authorisation to work under the scheme;
 - b. apply electrical work practices or instructions;
 - c. inspect, verify and test electrical work;
 - d. record, certify and/or notify electrical work;
 - e. apply safe access system;
 - f. apply emergency preparedness;
 - g. report an electrical incident or serious electrical accident: or
 - h. preserve the scene of serious electrical accident.
2. Performing:
 - a. electrical work outside the scope of authorisation; or
 - b. live electrical work outside the scope of the scheme.
3. Allowing:
 - a. unauthorised person to perform electrical work under the scheme: or
 - b. electrical work that has not been inspected, verified, tested and certified.

SCHEDULE 5 – Electrical Safety Management Scheme Validation

Synopsis

The Electrical Safety Management Scheme validation process is to be the equivalent of a quality management system audit; that covers, identifies and documents the organization's level of compliance against the scheme requirements.

If the validation officer identifies noncompliance with the scheme requirements; then the scheme will not be approved, until the noncompliance issues are rectified and implemented within the organization's normal work and operational systems.

The validation officer must not be involved in the rectification work of any noncompliance that is identified in the ESMS validation.

Scheme validation requirements

Scheme validation must verify the organization, has developed and has systems in place to manage the scheme as defined, to ensure;

- The organisation identification is accurate;
- The scheme description is an accurate description of the compliance requirements and how it is to be applied within the organisation;
- The scheme clearly defines the electrical work to be managed under the scheme and the provisions of the legislation for which the organisation is seeking exemptions.
- The scheme formal safety assessment (which is the fundamental basis of the scheme) is valid and current for the organisation, in the way the organisation operates and undertakes electrical work under the scheme
- All the risks and hazards identified by the formal safety assessment are covered by the scope and application of the scheme in the organisation, and that it is appropriate for the electrical work to be performed under the scheme.
- The scheme formal safety assessment identifies how the application of the scheme for the electrical work covered by the scheme, provides safety and standards that is equivalent or superior to the requirements under the Acts.
- The scope of the ESMS is appropriate for the work being undertaken by the persons authorised under the scheme;
- The scheme is part of and functional within the organization's normal operational and work functions;
- The scheme manager has the knowledge, experience and qualifications appropriate to manage the scheme;
- The scheme manager has been provided with the appropriate resources to manage the scheme;

- The scheme managers responsibilities cover the administration, implementation, management and control aspects required for the scheme to be functional;
- The inspection, testing, verification, recording, and certification of all electrical work, including notification as appropriate;
- The schemes safety management systems have been (previously) implemented and are fully functional within the organisation; specifically relating to;
 - Organisational management approval of the scheme and its application and management within the organisation;
 - The electrical work to be performed;
 - Safe access systems to perform the electrical work;
 - Systems for work on or near live electrical equipment/installations;
 - Training, competence, continuing professional development, qualifications required for work within the scheme;
 - The scheme authorisation and registration systems for persons authorised to work within the scheme;
 - Training provision and recognition, to nationally recognised and endorsed units of competence and training packages, where possible;
 - The technical standards (equivalent to the standards of work specifications in the legislation) are appropriate for the electrical work covered by the scheme;
 - Scheme monitoring, auditing and compliance activities;
 - Key performance indicators and reporting;
 - Scheme noncompliance management, control/remedial actions and reporting
 - Emergency preparedness and response functions;
 - Incident and accident reporting and investigation;
 - Site preservation requirements for incidents and accidents.