

Guidelines and Application Form for a person seeking  
to operate an Electricity Safety Management Scheme as  
a Network Operator in accordance with the  
Electricity Safety Act 1998  
and the regulations under the Act.



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## Guidelines and Application Form for a person seeking to operate an Electricity Safety Management Scheme as a Network Operator

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### 1. GUIDELINES

*The applicant should consider, review and fully understand the following Guidelines before proceeding with the application form.*

#### Foreword

These Guidelines were prepared with the intention of assisting network operators in their application for an electricity safety management scheme.

It should be noted that the definition of a “network operator” in the Act is limited to a person who owns or operates an upstream network or a railway or tramway system.

Holders of Orders in Council referred to in section 49 of the Electricity Safety Act 1998 who wish to apply for an electricity safety management scheme are advised to contact the Office of the Chief Electrical Inspector directly to seek clarification as to whether they should apply as an “employer operator” or “network operator”.

If you are not a “network operator”, you should submit your application for an electricity safety management scheme using the documentation available for employer operators.

These Guidelines consist of 3 parts-

- 1.1 Definitions
- 1.2 General
- 1.3 Instructions

The application form can be found attached to the Guidelines.

#### 1.1 Definitions

In these Guidelines and application form-

“ESMS” means electricity safety management scheme;

“ESM Regulations” means the Electricity Safety (Management) Regulations 1999;

“network operator” means a person who owns or operates-

- a) an upstream network; or
- b) a railway or tramway system;

“point of supply”--

(a) in relation to a low voltage electric line, means—

- (i) in the case of an underground line (unless sub-paragraph (iii) applies), the point at which that line crosses the boundary of the land; and
- (ii) in the case of an overhead line (unless sub-paragraph (iii) applies), the first point of connection of that line on the land, being either--
  - (A) if the line is carried onto the land by one or more poles, the first pole on the land carrying that line;
  - (B) if the line is connected directly to premises on the land, that connection to the premises; or
  - (C) if it is not possible to determine a point of supply in accordance with sub-sub-paragraph (A) or (B), the point at which the line crosses the boundary of the land; and

(iii) in the case of a line connected to company assets, the point at which the line is connected to the company assets; and

(b) in relation to a high voltage electric line, means the point agreed between the relevant distribution company or the relevant transmission company and the customer supplied by that electric line;

“published technical standard” means a document giving technical information, guidance or advice published by-

- a) Standards Australia; or
- b) Standards New Zealand; or
- c) the British Standards Institute; or
- d) the International Organisation for Standardisation (IOS); or
- e) the International Electrotechnical Commission; or
- f) any other similar standard organisation within or outside Australia approved by ESV; or
- g) ESV;

“railway or tramway systems” means any system (other than an excluded system) within, or partly within, the State by which vehicles designed to transport passengers or goods are guided by means of a railway or tramway track with a gauge equal to or greater than 600 millimetres and includes all works, plant, machinery, equipment and facilities used in, or associated with, the operation of the system;

“serious electrical incident” means an incident involving electricity which causes or has the potential to cause-

- a) the death of or injury to a person; or
- b) significant damage to property; or
- c) a serious risk to public safety;

“supply network” means a network consisting of electric lines, generators, substations, circuits and any other thing required for the purposes of the generation, transmission, distribution or supply of electricity;

“the Act” means the **Electricity Safety Act 1998** including all amendments;

“ESV” means the Office of the Chief Electrical Inspector;

“the Regulations” means the relevant Regulations under the Act;

“upstream network” means the part of a supply network that is upstream of the point of supply in relation to electric lines forming part of that supply network.

## **1.2 General**

The Act provides the opportunity for companies to apply variations to the Regulations by means of exemptions from the Regulations to achieve equal or better safety outcomes applicable to networks through the establishment of electricity safety management schemes. The Act also provides the opportunity for persons authorised under an approved scheme to be exempt from certain sections of the Act or from the Regulations.

The establishment of electricity safety management schemes enables a person to submit an application to operate a scheme as an “employer operator” or as a “network operator”.

The Electricity Safety (Management) Regulations 1999 have been introduced to enable these schemes to be implemented.

ESV may permit a person who is a network operator to submit an electricity safety management scheme in respect of the design, construction, operation and maintenance of the network operator's upstream network. *(Ref: Section 107(1) of the Act)*

The purpose of these Guidelines is to provide applicants with additional information to that which is provided by the Act and the Regulations as to the responsibilities of a person when making an application for an electricity safety management scheme to enable ESV to receive and assess applications for network operator safety management schemes for recommendation to the Governor in Council.

The required content of electricity safety management schemes is laid out in detail in Part 3 of the Regulations.

The following criteria need to be considered by a potential applicant -

- It is recommended that an economic evaluation is carried out by the applicant to assess the economic viability of an ESMS
- All systems, protocols and procedures need to be proven working systems
- The application requires the validation by an independent validator who has not participated in the preparation of the ESMS. The independent validator is to verify that the content of the application satisfies ESV's requirements and that the systems are in place and operating.
- The application is to be completed in ESV format and be submitted in a hard copy form along with all the necessary and relevant attachments
- The application is to be submitted with the prescribed application fee. Other prescribed fees, ie acceptance fee and annual fee will be required as the application goes through various stages of processing
- An ESV Client Manager will be appointed to assess the application and ensure that the necessary ESV assessment procedures are carried out. All correspondence between ESV and the applicant is to be conducted through the Client Manager
- Upon completion of the assessment, ESV will make a decision whether or not to recommend the application to the Governor in Council. Should a recommendation not be

made, ESV will notify the applicant and give an opportunity for the applicant to resubmit the application

- Should the application be successful an Order in Council will be issued for the applied ESMS
- Should a modified scheme be unsuccessful ESV will provide reasons for the decision.

### 1.2.1 Application for an ESMS

(Ref: s107(2) of the Act)

An ESMS in respect of the design, construction, operation and maintenance of a network operator's upstream network must be in writing, accompanied by the relevant prescribed application fee; and in accordance with the ESM Regulations, specify the safety management system being followed or to be followed.

The application must be submitted in hard copy form and in ESV application format. Electronic copies are not acceptable.

### 1.2.2 Validation of an ESMS

(Ref: s108 of the Act)

Where an ESMS is submitted to ESV, ESV requires the scheme operator to obtain an independent validation of that scheme. ESV will not proceed with the consideration of a scheme until the independent validation is provided.

The purpose of the validation is to assess whether the proposals for safety management of the design, construction, operation and maintenance of the upstream network are appropriate. The costs of the validation must be borne by the scheme operator.

The scheme operator must establish to the satisfaction of ESV that each person undertaking the validation has the necessary competence, ability and access to information to arrive at an independent opinion.

A list of consultants who have received training in ESV's requirements for the auditing and validating of an ESMS is available from ESV.

### 1.2.3 Additional information

(Ref: s109 of the Act)

ESV may require a scheme operator to provide any additional information that ESV thinks fit in relation to a submitted ESMS. It will not proceed with the consideration of a scheme until that additional information is provided.

### 1.2.4 Consideration of an ESMS

(Ref s110 of the Act)

On completion of the validation, ESV considers the proposed ESMS.

### 1.2.5 Acceptance of an ESMS

(Ref: s111 of the Act)

ESV will recommend to the Governor in Council that a submitted ESMS be accepted if ESV is satisfied that –

- the ESMS is appropriate for the upstream network to which it applies and complies with the Act and ESM Regulations; and
- the relevant prescribed fee for acceptance of the ESMS has been paid.

Where ESV recommends that an ESMS be accepted, it will notify the scheme operator in writing of its decision to do so.

### 1.2.6 Non-acceptance of an ESMS

(Ref s112 of the Act)

If ESV does not recommend to the Governor in Council that an ESMS be accepted, it will –

- notify the scheme operator in writing of its decision that the ESMS will not be recommended; and
- give the scheme operator an opportunity to modify and re-submit the ESMS.

A modified ESMS must be submitted to ESV within 28 days after the notice of the decision not to recommend the ESMS is given.

If, after considering any modified ESMS ESV decides not to recommend to the Governor in Council that the ESMS be accepted, ESV will give notice in writing (with a statement of the reasons for the decision) of that decision to the scheme operator.

### 1.2.7 Exemption from regulations

(Ref: s113 of the Act)

If an ESMS is submitted and approved (by Order of the Governor in Council) ESV may, in writing –

- exempt the scheme operator from compliance with any of the Regulations relating to the supply networks; and
- exempt any person authorised under the scheme to carry out electrical work from compliance with any of the Regulations and certain sections of the Act.

An exemption will not however be granted unless ESV is satisfied that the level of safety to be provided if the exemption is given is not less than the level of safety which would be required to be provided under the regulation.

### 1.2.8 Compliance with ESMS

(Ref: s114(1) of the Act)

A scheme operator must comply with its accepted ESMS.

1.2.9 Payment of annual administration fee

(Ref: s114(2) of the Act)

The scheme operator must pay the annual administration fee.

1.2.10 Compliance audits

(Ref: s114A of the Act)

ESV may require a scheme operator to obtain, at the intervals determined by ESV, independent audits of the operator's compliance with its accepted ESMS and to forward a copy of each audit report to ESV within a time specified by ESV.

*{Note: The scheme operator is responsible for conducting audits giving indication to the compliance of the scheme, which ESV may audit throughout the duration of the scheme}.*

The costs of that audit must be borne by the scheme operator.

The scheme operator must establish to the satisfaction of ESV that each person undertaking the audit has the necessary competence, ability and access to information on the operations of the scheme operator and the accepted ESMS to enable an independent audit to be carried out.

1.2.11 Revision of scheme--each 5 years

(Ref: s115 of the Act)

A scheme operator of an accepted ESMS must submit a revised ESMS to ESV at the end of each period of 5 years commencing on the later of—

- (a) the date when the relevant ESMS is first accepted; or
- (b) the date of the most recent acceptance of a revision of the ESMS.

1.2.12 ESV may request submission of revised scheme

(Ref: s116 and s117 of the Act)

ESV may at any time request a scheme operator of an accepted ESMS to submit a revised ESMS.

A scheme operator must comply with this request within the time (being not less than 60 days) specified by ESV in the request.

Any foreseeable change or improvement affecting the ESMS within the 5 year period, will need to be detailed under relevant sections in the application form. ESV requires the applicant to include continuous improvement processes in the application. Reports on the performance of the scheme may include a demonstrated improvement in performance and safety outcomes over the 5 year period.

1.2.13 Lapsing of scheme

(Ref: s118 of the Act)

If a scheme operator fails to comply with the requirements of the Act with regard to compliance audits and revised schemes, ESV may recommend to the Governor in Council that the Order in Council approving the ESMS be revoked.

Further, if a scheme operator applies for the revocation of its approved ESMS, ESV may recommend to the Governor in Council that the ESMS as approved by Order in Council be revoked.

Any exemption granted under section 113 of the Act in respect of a revoked ESMS lapses.

### 1.2.14 Critical Information

The following information will be required under the ESM Regulations from all persons applying for an ESMS –

- The name, address and telephone number of the scheme operator; and
- The name, position, business address and telephone number of the person who has management or control of the upstream network.  
(Regulation 14)
- The A.B.N. of the business or site.
  
- A description of the scheme, which provides details of-
  - (i) the location, extent and scope of the network operator's upstream network;
  - (ii) a description of the-
    1. design of the network operator's upstream network relating to the scheme;
    2. construction of the network operator's upstream network relating to the scheme;
    3. operation of the network operator's upstream network relating to the scheme; and
    4. maintenance of the network operator's upstream network relating to the scheme.
  - (iii) the policies, programs, procedures and competency standards controlled and maintained by personnel involved and demonstrated means of ensuring that these persons have the knowledge/skills necessary to enable them to perform their allocated tasks and discharge their allocated responsibilities;
  - (iv) auditing procedures of the scheme; and
  - (v) any exemption from the regulations required and clearly demonstrated reasons why the exemptions should be granted.
  
- A system for notifying ESV of any change to the positions or persons specified in the ESMS within 10 business days after the change occurs.  
(Regulation 15)
  
- A safety assessment relating to the network operator's upstream network that--
  - (a) specifies the name, qualifications, position, business address and telephone number of the person responsible for making the safety assessment;
  - (b) describes the methodology used and investigations undertaken for the safety assessment;
  - (c) assesses and records systematically and in detail the hazards and risks associated with the upstream network, including the likelihood and consequences of--
    - (i) any serious electrical incident; and

- (ii) any incident in which a person makes accidental contact involving electricity with the upstream network or receives an electric shock as the result of direct or indirect contact with the upstream network;
  - (d) describes the measures taken or to be taken to, as far as practicable--
    - (i) prevent those hazards;
    - (ii) reduce those risks; and
    - (iii) maintain the level of safety required under the Act and the regulations under the Act; and
  - (e) specifies the extent to which the communication systems need to operate in emergencies.
- (Regulation 16)

- All provisions of the Regulations relating to the supply networks from which the scheme operator seeks to be exempted of the sections specified in s113(2) of the Act.
- (Regulation 17)

- The standards to be used for recording and investigating--
  - (a) any serious electrical incident involving the network operator's upstream network to which the scheme relates; and
  - (b) any incident in which a person has made accidental contact involving electricity with the upstream network or has received an electric shock as the result of direct or indirect contact with the upstream network.

- The management systems to be used for reviewing and taking action on the information recorded or the results of the investigations.
- (Regulation 18)

- A safety management system in relation to the safety of the design, construction, operation and maintenance of the upstream network of the network operator.  
The safety management system must contain a safety policy and the methods and procedures required by regulations 20, 21, 22, 23, 24, 25, 26 and 27 by which the policy is to be implemented.

The safety management system must specify the following —

- The name, position, business address and telephone number of
    - each person responsible for determining the safety policy; and
    - each person responsible for the implementation of the safety policy and his or her duties;
  - The means by which the safety policy is communicated to all persons required to implement the policy; and
  - The key performance indicators used to determine the scheme operator's level of compliance with the ESMS, the Act and the Regulations.
- (Regulation 19)

- The means by which a network operator will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network-
  - are adequate to ensure the safe operation and structure of the upstream network;
  - take into account the results of the safety assessment for the upstream network;
  - meet any published technical standards specified in the safety management system;
  - provide adequate means of automatically isolating the upstream network or any part of the network in the event of an emergency;
  - provide adequate means of providing access for servicing and maintenance of the upstream network and associated equipment;

- provide adequate means of maintaining the structure and operation of the upstream network; and
- provide adequate means of preventing unauthorised access by the public to the upstream network.

(Regulation 20)

- The equipment that is essential to ensure the safety of the upstream network to which the scheme relates and the systems in place to ensure that that equipment operates in normal conditions and, to the extent it is intended to function, in an emergency; and is tested and maintained.

(Regulation 21)

- All work that may affect the safety of the upstream network to which the scheme relates. A permit to work system must be established and maintained as part of the ESMS. A permit to work system must prohibit any person who does not have a written permit to work issued by a person authorised by the scheme operator from having access to the upstream network or performing work as specified.

The permit to work system must specify the position of the person who is authorised by the scheme operator to issue permits to work and make provision to ensure that persons issuing permits to work and persons requiring permits to work are competent and are provided with appropriate training, procedures, tools, equipment and emergency support.

(Regulation 22)

- A response plan that addresses all reasonably foreseeable emergencies arising from the hazards and risks that have been identified as a result of the safety assessment; and
- The means by which the operator will ensure the continued safe operation and structure of the upstream network.

(Regulation 23)

- Communications systems-

- within the organisation of the scheme operator; and

- between the scheme operator and-

- (i) any other person who may be affected by an emergency;

- (ii) the relevant fire control authorities and other emergency service authorities; and

- (iii) ESV.

The communications systems must be-

- (a) adequate to handle--

- (i) a reasonably foreseeable emergency relating to the upstream network; and

- (ii) the normal operational requirements of the upstream network; and

- (b) protected so as to be capable of operation in an emergency to the extent specified by the safety assessment.

(Regulation 24)

- The processes by which the scheme operator will monitor, audit and review-

- (i) the recording and investigation of electrical incidents; and

- (ii) the implementation of the safety policy;

- the methods by which any deficiencies in these processes will be regularly and systematically identified; and

- the methods by which these processes will be regularly and systematically improved.

(Regulation 25)

- The work and staffing systems used in relation to the upstream network of a network operator to ensure, as far as practicable, that-
  - only persons with the qualifications, proficiency and experience appropriate to the work that may affect the safety of the upstream network are assigned to carry out that work; and
  - any training necessary for persons assigned to carry out that work is provided.

(Regulation 26)

- An independent formal validation including the name, qualifications, position, business address, telephone number of the person who made the validation. The validation should address issues such as:

- (i) the methodology used and investigations undertaken including clear documentation and validation of data;
- (ii) identification of all hazards likely to cause a serious incident. For each hazard identified, the operator must describe the policies, practices, procedures, rules, standards, experience, competence and training necessary as a preventative measure in the prevention of the serious incident identified. Preventative measures would include reviewing, monitoring and auditing for compliance;
- (iii) risk assessment, the likelihood and consequences of incidents occurring;
- (iv) copies of any reports, studies, investigations undertaken for the purpose of a formal safety assessment;
- (v) control and other measures undertaken to reduce risk and maintain the level of safety required including the viability and effectiveness of those control measures;
- (vi) variations between proposed practices and existing regulations and the reasons that would support the variations;
- (vii) procedures, actions, reporting mechanisms and communication systems used to operate in an emergency including any mechanisms to take corrective action by employees;
- (viii) demonstrated consultation with relevant personnel such as managers, supervisors, designated work groups, employees, health and safety representatives and unions/association. The validation report must include information, which demonstrates that these people/groups/associations understand the proposed electricity safety management scheme and how it will operate;
- (ix) reports provided by the relevant personnel to demonstrate consultation has taken place; and
- (x) demonstrate why ESV should accept the proposed scheme in accordance with Section 111(l)(a)(ii) of the Act.

- The electricity safety management scheme must include a safety management system, which is to implement the safety policy in regard to:

- (i) the Safety Policy or philosophy, safety objectives, systems and procedures to achieve objectives and programs in place including communication of those policies, objectives, systems and procedures to persons who are to participate in the implementation of the safety management scheme. The safety policy must include or express commitment at the highest levels of management to ongoing improvement in all aspects of the safety management scheme;
- (ii) an application must specifying the name, position, business address and telephone number of each person responsible for determining safety policy and each person responsible for the implementation of the policy and his or her duties;

- (iii) all published technical standards to be used in connection with the upstream network, any standards proposed to be used under exemptions or any other relevant standards that are approved by ESV;
- (iv)
  - (1) the design of any upstream network including the provision for the safe disconnection and isolation of electricity supply and control mechanisms in the event of an emergency;
  - (2) the construction of any upstream network including the provision for the safe disconnection and isolation of electricity supply and control mechanisms in the event of an emergency;
  - (3) installation of any upstream network including the provision for the safe disconnection and isolation of electricity supply and control mechanisms in the event of an emergency;
  - (4) operation of any upstream network including the provision for the safe disconnection and isolation of electricity supply and control mechanisms in the event of an emergency;
  - (5) maintenance of any upstream network including the provision for the safe disconnection and isolation of electricity supply and control mechanisms in the event of an emergency; and
  - (6) the modification of any upstream network including the provision for the safe disconnection and isolation of electricity supply and control mechanisms in the event of an emergency;
- (v)
  - (1) a Maintenance Plan (including a scheduling system for example) to ensure the upstream network operates in a safe manner under both normal and emergency conditions; and
  - (2) an Operational Plan to ensure the upstream network operates in a safe manner under both normal and emergency conditions;
- vi) details of equipment used to ensure that it is fit for the purpose for which it is proposed to be used and details of persons competence, training and experience operating the equipment;
- (vii) an adequate permit to work system;
- (viii) a response plan designed to address all reasonably foreseeable emergencies and a description of those emergencies;
- (ix) a communications system, that in the event of an emergency, is adequate for communication within the organisation and with relevant external emergency authorities including medical authorities;
- (x) details of internal monitoring, auditing and reviewing procedures;
- (xi) the establishment of key performance indicators and state the performance standards by which the effectiveness of the electricity safety management scheme is measured;
- (xii) the establishment of competency standards and the implementation of training and retraining programs to ensure that persons assigned to carry out work have the required competency levels, knowledge and experience to perform the required work safely;
- (xiii) specifying the standards to be used for recording any serious electrical incident or any incident in which a person has made accidental contact involving electricity or received an electric shock;
- (xiv) an indication by the network operator that the appropriate mechanisms are in place and the appropriate personnel are in place to successfully implement the proposed scheme and maintain electrical safety standards;
- (xv) demonstrated change management processes and steps to be taken to continually improve all aspects of the safety management scheme; and

- (xvi) public safety where the general public is exposed to the upstream network where the ESMS will operate or the general public is impacted on in any way by an ESMS. Details of measures in place to ensure that public awareness and safety is established, updated and maintained must be included in the application.

1.2.15 Published technical standards to be used

(Ref: Regulation 27)

A safety management system must *not* specify technical standards other than published technical standards to be applied in the design, construction, operation and maintenance of the upstream network of a network operator.

1.2.16 Records

(Regulation 28)

A scheme operator must keep the following records relating to the ESMS-

- (a) a report setting out the scheme operator's level of compliance with the ESMS and the relevant provisions of the Act and of the Regulations as determined by the key performance indicators;
- (b) the results of monitoring, auditing and reviewing the recording and investigation of electrical incidents and the implementation of the safety policy;
- (c) a report setting out any deficiencies in the processes of monitoring, auditing and reviewing and the improvements made to those processes.

The scheme operator must make available to ESV any record that is requested by ESV during the normal business hours of the scheme operator.

The records must be kept--

- at an address nominated by the scheme operator in the ESMS;
- in a manner that makes their retrieval reasonably practicable;
- in a secure manner; and
- for the period of 7 years after the creation of the record.

1.2.17 Prescribed Fees

The following fees will apply-

**Application fee**

The fee for an application for an ESMS is \$1000.

(Regulation 29)

**Acceptance fee**

The fee for acceptance of an ESMS is \$1000.

(Regulation 30)

**Annual administration fee**

The prescribed annual administration fee for a network operator is \$10 000.

This fee must be paid to ESV within 5 business days after the date of the Order approving the ESMS and within 5 business days before each anniversary of that date.

(Regulation 31)

ESV may rebate the payment of the annual administration fee if the compliance audits demonstrate compliance with the ESMS.

(Regulation 32)

*{Note: The use of the word “rebate” means that part or most of the fee may be returned to the applicant after payment}*

#### 1.2.18 Application for exemption

(Regulation 33)

ESV may, on the application of the scheme operator, exempt an ESMS from any of the requirements of the ESM Regulations.

An application for exemption must be in writing and state--

- the name, address and telephone number of the applicant; and
- the exemption requested; and
- the reasons for applying for the exemption.

#### 1.2.19 Important note regarding the listing of all electrical equipment

The ESM Regulations require the listing of all electrical equipment with regards to an upstream network covered by this application. ESV may approve for some scheme operators, to classify electrical equipment to follow generic types and voltage levels, rather than referring to each individual piece of electrical equipment. Applicants may also classify electrical equipment according to manufacturers designs and specifications (for example compliance with published technical standards). Applicants will need to demonstrate how they are to describe this equipment.

#### 1.2.20 Performance Management

The applicant will be required to report on the performance of the ESMS on a quarterly basis.

### **1.3 Instructions**

Applicant is to note the following-

- all sections of the application form are to be completed as appropriate;
- the independent validation checklist **MUST** be completed by an independent validator and submitted with the application form (*refer 2.4*);
- all attachments **MUST** be listed in the attachment checklist, organised in the manner stated and submitted with the application form (*refer 2.5*);
- the application form **MUST** be dated and bear the signature of the applicant and the independent validator prior to its submission (*refer 2.3 and 2.6*);
- the application form will **ONLY** be accepted in hardcopy form. Electronic or softcopy lodgements will not be permitted;
- **DO NOT** submit the guidelines with the application form; and
- ESV may be contacted on the following 1800 number if further instructions are required:

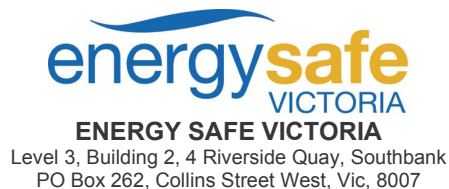
Office of the Chief Electrical Inspector      1800 800 158

*Information provided to ESV that is included in an electricity safety management scheme may be subject to the Freedom Of Information (FOI) Act 1982.*

*Upon submission of this application form, it is assumed by all parties concerned that the applicant has carefully considered, reviewed and fully understood all sections of the Act and the regulations under the Act.*

\*\*\*\*\*

Application Form for a person seeking to operate an  
Electricity Safety Management Scheme  
as a Network Operator in accordance with the  
Electricity Safety Act 1998  
and the regulations under the Act.



---

**2. APPLICATION FORM**

*(Ref: section 107 of the Act)*

For a person seeking to operate an Electricity Safety Management Scheme as a  
Network Operator

<b>FOR OFFICE USE ONLY</b>	
<b><i>APPLICATION NUMBER:</i></b>	<input type="text"/>
<b><i>Receipt Number:</i></b>	<input type="text"/>
<b>PAYMENT RECEIVED: YES NO</b> <i>(CIRCLE AS APPROPRIATE)</i>	
<b>AMOUNT: \$</b> _____	
<b>DATE RECEIVED:</b>	<input type="text"/>

---

**2.1 DETAILS OF RESPONSIBLE PERSONS IN THE ELECTRICITY SAFETY  
MANAGEMENT SCHEME**

---

**2.1.1 DETAILS OF THE SCHEME OPERATOR**

*(Ref: Regulation 14(a))*

Name: \_\_\_\_\_

Address: \_\_\_\_\_

A.B.N.: \_\_\_\_\_ Email: \_\_\_\_\_

Telephone number : \_\_\_\_\_ Fax number: \_\_\_\_\_

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

---

---

2.1.1.1 LIST ALL SITE NAMES AND ADDRESSES TO WHICH YOUR ELECTRICITY SAFETY MANAGEMENT SCHEME APPLIES

---

1. Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

4. Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

IF YOUR ELECTRICITY SAFETY MANAGEMENT SCHEME APPLIES TO OTHER SITES, PLEASE PROVIDE DETAILS IN AN ATTACHMENT.

(INDICATE REFERENCE NUMBER): \_\_\_\_\_

\_\_\_\_\_

2.1.2 DETAILS OF THE PERSON WHO HAS MANAGEMENT OR CONTROL OF THE UPSTREAM NETWORK

*(Ref: Regulation 14(c))*

*Note: This should be a person at high management level*

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Business Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone number : \_\_\_\_\_ Fax number: \_\_\_\_\_

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

2.1.3 DETAILS OF THE PERSON WHO WILL BE RESPONSIBLE FOR MAKING THE SAFETY ASSESSMENT RELATING TO THE CARRYING OUT OF ELECTRICAL WORK TO THE NETWORK OPERATOR'S UPSTREAM NETWORK

*(Ref: Regulation 16(a))*

*Note: This should be a person(s) at senior management level*

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Qualifications: \_\_\_\_\_  
*(Provide evidence as attachments)*

Business address: \_\_\_\_\_

Telephone number: \_\_\_\_\_ Fax number: \_\_\_\_\_

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

---

2.1.4 PLEASE PROVIDE AN ATTACHMENT OF DETAILS OF THE PERSONS RESPONSIBLE FOR DETERMINING THE SAFETY POLICY, IN THE FOLLOWING ORDER

*(Ref: Regulation 19(3)(a)(i))*

*Note: This should be person(s) at middle management level*

- Name
- Position
- Business address
- Telephone number

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

---

2.1.5 PLEASE PROVIDE AN ATTACHMENT OF DETAILS OF THE PERSONS RESPONSIBLE FOR THE IMPLEMENTATION OF THE SAFETY POLICY AND HIS OR HER DUTIES, IN THE FOLLOWING ORDER

*(Ref: Regulation 19(3)(a)(ii))*

*Note: This should be person(s) at lower management level*

- Name
- Position
- Business address
- Telephone number
- Duties

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

---

2.1.6 APPLICATION FEE

(Please complete as appropriate)

A cheque for \$  is enclosed (assessment activities will commence on receipt of your remittance.)

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

---

## **2.2 QUERY AND RESPONSE SECTION**

*Applicant is to note that these queries are referenced from the Electricity Safety (Management) Regulations 1999. Responses to these queries should be brief and concise. However, if the need arises to include attachments to these queries (i.e.: evidence of any kind to substantiate responses), please indicate clearly in the attachment checklist (refer 2.5) and indicate clearly on the attachments the appropriate query numbers to which the attachments refer. All queries require a response. If a query is not applicable to you, indicate 'NOT APPLICABLE'. DO NOT leave blank.*

### **Query 1: BUSINESS DESCRIPTION, LOCATION, EXTENT AND SCOPE**

*(Ref: Regulations 15 (2)(3))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

a description of the design, construction, operation and maintenance of the upstream network to which the electricity safety management scheme relates. This description must provide sufficient information to enable ESV to identify the location, extent and scope of the network operator's upstream network and to assess the risks associated with the safety of the upstream network.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 2: NOTIFICATION OF CHANGE**

*(Ref: Regulation 15(4))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

the system for notifying ESV of any change to the positions or persons specified in the scheme within 10 business days after the change occurs.

*The Act and Regulations require ESV to be notified of every change to the positions or persons specified in the scheme as and when this occurs. ESV may approve for some scheme operators to report these changes on a regular basis. However, a record of change which can be retrieved easily for internal usage and by ESV on request (ie: electronic database) must be kept. The scheme operator must be able to demonstrate within his or her systems how notification of every change to the positions or persons specified in the scheme to ESV will be handled to satisfy ESV needs.*

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 3: SAFETY ASSESSMENT**

*(Ref: Regulation 16(b))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

as part of a safety assessment relating to the carrying out of electrical work, the methodology used and investigations undertaken for the safety assessment.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 4: SAFETY ASSESSMENT OF RISK AND INCIDENT**

*(Ref: Regulation 16 (c) (i)(ii))*

**Give brief and concise details regarding your electricity safety management scheme within the scope of-**

as part of a safety assessment relating to the carrying out of electrical work, assessment and recording systematically and in detail the hazards and risks associated with the upstream network, including the likelihood and consequences of-

- (a) any serious electrical incident; and
- (b) any incident in which a person makes accidental contact involving the upstream network or receives an electric shock as the result of direct or indirect contact with the upstream network.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 5(a): SAFETY ASSESSMENT MEASURES**

*(Ref: Regulation 16 (d) (i)(ii)(iii))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

as part of a safety assessment relating to the carrying out of electrical work, the measures taken or to be taken to, as far as practicable-

- (a) prevent those hazards; and
- (b) reduce those risks; and
- (c) maintain the level of safety required under the Act and the Regulations under the Act.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 5(b): USING SAFETY ASSESSMENT RESULTS**

*(Ref: Regulation 20(2)(b))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the means by which you will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network takes into account the results of the safety assessment for the upstream network.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 6:      OPERATION OF COMMUNICATION SYSTEMS IN EMERGENCIES**

*(Ref: Regulation 16(e))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

as part of a safety assessment relating to the carrying out of electrical work, the extent to which the communication systems need to operate in emergencies.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 7: EXEMPTIONS**

*(Ref: Regulation 17)*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

- (a) any exemption request from all provisions of the regulations relating to the supply networks from which the scheme operator seeks to be exempted; and
- (b) any proposal that all provisions of the regulations relating to the carrying out of a class or type of electrical work and the provisions of the Act referred to in section 113(2) of the Act from which any person authorised under the scheme to carry out that class or type of electrical work will be exempted.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 8:      RECORDING AND INVESTIGATING SERIOUS ELECTRICAL INCIDENTS**

*(Ref: Regulation 18(1)(a))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

the standards to be used for recording and investigating any serious electrical incident involving a network operator's upstream network to which the scheme relates.

*{Note: 'standards' as used in this context means the process and systems which are to be used, rather than a Technical Standard.}*

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 9:      RECORDING AND INVESTIGATING CONTACT INCIDENTS**

*(Ref: Regulation 18(1)(b))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

the standards to be used for recording and investigating any incident in which a person has made accidental contact involving electricity with the upstream network or has received an electric shock as the result of direct or indirect contact with the upstream network.

*{Note: 'standards' as used in this context means the process and systems which are to be used, rather than a Technical Standard.}*

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 10: MANAGEMENT SYSTEMS FOR INCIDENTS**

*(Ref: Regulation 18(2))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

the management systems to be used for reviewing and taking action on the information recorded or the results of the investigations referred to in Query 8 and Query 9.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 11: SAFETY POLICY AS PER REGULATIONS**

*(Ref: Regulations 19 (1)(b), (2))*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

- a) the design, construction, operation and maintenance of the upstream network of the network operator.
- b) The safety management system must contain a safety policy and the methods and procedures required by regulations 20, 21, 22, 23, 24, 25, 26 and 27 by which the policy is to be implemented.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 12:    COMMUNICATION OF SAFETY POLICY**

*(Ref: Regulation 19(3)(b))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the means by which the safety policy is communicated to all persons required to implement the policy.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 13: KEY PERFORMANCE INDICATORS**

*(Ref: Regulation 19(3)(c))*

*Give brief and concise details regarding your electricity safety management system within the scope of-*

The key performance indicators used to determine the scheme operator's level of compliance with the electricity safety management scheme, the relevant provisions of the Act and the regulations under the Act.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 14: NETWORK INTEGRITY**

*(Ref: Regulation 20(2)(a))*

*Give brief and concise details regarding your electricity safety management system within the scope of-*

the means by which you will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network are adequate to ensure the safe operation and structure of the upstream network.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 15:    COMPLYING    WITH    SPECIFIED    PUBLISHED    TECHNICAL  
STANDARDS**

*(Ref: Regulation 20(2)(c))*

***Give brief and concise details*** regarding your electricity safety management system within the scope of-

the means by which you will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network meets any published technical standards specified in this system.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 16: ADEQUATE MEANS OF AUTOMATIC ISOLATION OF THE UPSTREAM NETWORK IN THE EVENT OF AN EMERGENCY**  
(Ref: Regulation 20 (2)(d))

*Give brief and concise details regarding your electricity safety management system within the scope of-*

the means by which you will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network provides adequate means of automatically isolating the upstream network or any part of the network in the event of an emergency.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 17: ACCESS FOR SERVICING AND MAINTAINING NETWORK ASSETS**

*(Ref: Regulation 20(2)(e))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the means by which you will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network provides adequate means of providing access for servicing and maintaining of the upstream network and associated equipment.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 18: MAINTAINING THE STRUCTURE AND OPERATION OF THE UPSTREAM NETWORK**

*(Ref: Regulation 20(2)(f))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the means by which you will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network provides adequate means of maintaining the structure and operation of the upstream network.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 19:    PREVENTING UNAUTHORISED ACCESS**

*(Ref: Regulation 20 (2)(g))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the means by which you will ensure that the design, construction, installation, operation and maintenance of the upstream network and any modification of the upstream network provides adequate means of preventing unauthorised access by the public to the upstream network.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 20:    ESSENTIAL EQUIPMENT FOR NETWORK SAFETY**

*(Ref: Regulation 21 (a))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the equipment that is essential to ensure the safety of the upstream network, to which the scheme relates.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 21: SYSTEMS FOR ENSURING NORMAL OPERATION OF SAFETY EQUIPMENT**

*(Ref: Regulation 21 (b)(i))*

***Give brief and concise details*** regarding your electricity safety management system within the scope of-

the systems in place to ensure that the equipment referred to in Query 20 operates in normal conditions and, to the extent it is intended to function, in an emergency.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 22: TESTING AND MAINTAINING SAFETY EQUIPMENT**

*(Ref: Regulation 21 (b)(ii))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the systems in place to ensure that the equipment referred to in Query 20 is tested and maintained.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 23(a): ESTABLISHMENT OF WORK PERMITS**

*(Ref: Regulation 22 (1)(2))*

*Give brief and concise details regarding your electricity safety management system within the scope of-*

- a) All work that may affect the safety of the upstream network to which the scheme relates.
- b) If work is specified for the above, then a permit to work system must be established and maintained as part of the electricity safety management scheme.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 23(b): AUTHORISATION OF PERMITS**

*(Ref: Regulations 22 (3) (a)(b)(c))*

*Give brief and concise details (if applicable) regarding your permit to work system including-*

- a) prohibition of any person who does not have a written permit to work issued by a person authorised by the scheme operator from-
  - (i) having access to the upstream network or parts of the upstream network to which the scheme relates; and
  - (ii) performing work specified in Query 23(a); and
- b) the position of the person who is authorised by the network operator to issue permits to work; and;
- c) provisions to ensure that persons issuing permits to work and persons requiring permits to work are competent and are provided with appropriate training, procedures, tools, equipment and emergency support.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 24(a): RESPONSE PLAN FOR EMERGENCIES**

*(Ref: Regulation 23 (a))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

a response plan that addresses all reasonably foreseeable emergencies arising from the hazards and risks that have been identified as a result of the safety assessment.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 24(b): SAFE OPERATION DURING EMERGENCY**

*(Ref: Regulation 23 (c))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the means by which the operator will ensure the continued safe operation and structure of the upstream network.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 25(a): COMMUNICATIONS SYSTEMS - within the network operator organisation**

*(Ref: Regulations 24 (1)(a) (2))*

**Give brief and concise details** regarding your electricity safety management system within the scope of-

communications systems within your upstream network.

*Your communications systems must be-*

*a) able to adequately handle-*

*(i) a reasonably foreseeable emergency relating to the upstream network; and*

*(ii) the normal operational requirements of the upstream network; and*

*b) protected so as to be capable of operation in an emergency to the extent specified by your safety assessment.*

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 25(b): COMMUNICATIONS SYSTEMS - external to the business**

*(Ref: Regulations 24(1)(b) (2))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

communications systems between you and-

- (i) any other person who may be affected by an emergency;
- (ii) the relevant fire control authorities and other emergency service authorities; and
- (iii)ESV.

*Your communications systems must be-*

*a) able to adequately handle-*

*(i) a reasonably foreseeable emergency relating to the upstream network; and*

*(ii) the normal operational requirements of the upstream network; and*

*protected so as to be capable of operation in an emergency to the extent specified by your safety assessment.*

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 26(a): MONITORING, AUDITING AND REVIEWING PROCESSES**

*(Ref: Regulation 25 (a))*

*Give brief and concise details regarding your electricity safety management system within the scope of-*

- a) the recording and investigation of electrical incidents required by regulation 18(1);  
and
- b) the implementation of the safety policy required by regulation 19(2).

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 26(b): IDENTIFICATION OF DEFICIENCIES**

*(Ref: Regulation 25 (b))*

*Give brief and concise details regarding your electricity safety management system within the scope of-*

the methods by which any deficiencies in the processes referred to in Query 26(a) will be regularly and systematically identified.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 26(c):            IMPROVEMENTS TO MONITORING, AUDITING AND REVIEWING PROCESSES**

*(Ref: Regulation 25 (c))*

***Give brief and concise details regarding your electricity safety management system within the scope of-***

the methods by which the processes referred to in Query 26(a) will be regularly and systematically improved.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 27: TRAINING**  
(Ref: Regulation 26)

*Give brief and concise details regarding your electricity safety management system within the scope of-*

Work and staffing systems used in relation to the upstream network of a network operator as far as practicable that –

- a) Only persons with the qualifications, proficiency and experience appropriate to the work that may affect the safety of the upstream network are assigned to carry out the work; and
- b) Any training necessary for persons assigned to carry out the work is provided.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 28: PUBLISHED TECHNICAL STANDARDS TO BE USED**

*(Ref: Regulation 27)*

*Give brief and concise details regarding your electricity safety management system within the scope of-*

published technical standards to be applied in the design, construction, operation and maintenance of the upstream network of a network operator.

*An electricity safety management system must not specify technical standards other than published technical standards.*

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 29(a): RECORDS of level of compliance with Regulations**

*(Ref: Regulation 28(1)(a))*

*Give brief and concise details regarding your electricity safety management scheme within the scope of-*

describe how you as the scheme operator would keep records of a report setting out your level of compliance with your electricity safety management scheme and the relevant provisions of the Act and regulations under the Act as determined by the key performance indicators.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 29(b): RECORDS of monitoring, auditing and reviewing**

*(Ref: Regulation 28(1)(b))*

*Give brief and concise details regarding your electricity safety management scheme within the scope of-*

describe how you as the scheme operator would keep records of the results of monitoring, auditing and reviewing the -

- i) recording and investigation of electrical incidents referred to in regulation 25(a)(i)
- ii) implementation of the safety policy referred to in regulation 25(a)(ii)

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 29(c): RECORDS of deficiencies and improvements in processes**

*(Ref: Regulation 28(1)(c))*

*Give brief and concise details regarding your electricity safety management scheme within the scope of-*

describe how you as the scheme operator would keep records of a report setting out any deficiencies in the processes identified by the methods referred to in regulation 25(b) and the improvements made to those processes *(ref Query 26(b))*.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

---

**Query 29(d): RECORDS - availability to ESV**

*(Ref: Regulation 28 (2))*

*Give brief and concise details regarding your electricity safety management scheme within the scope of-*

describe how you as the scheme operator would make available to ESV any record referred to in Regulation 28(1) that is requested by ESV during your normal business hours *(ref: Query 29(a), Query 29(b) and Query 29(c))*.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 29(e): RECORDS - location**

*(Ref: Regulation 28 (3) (a))*

State all addresses where the records would be kept.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

---

**Query 29(f): RECORDS - retrieval practicality**

*(Ref: Regulation 28 (3) (b))*

***Give brief and concise details*** regarding your electricity safety management scheme within the scope of-

describe how you as the scheme operator would keep the records in a manner that makes their retrieval reasonably practicable.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 29(g): RECORDS - security**

*(Ref: Regulation 28 (3) (c))*

*Give brief and concise details regarding your electricity safety management scheme within the scope of-*

describe how you as the scheme operator would keep the records in a secure manner.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 29(h): RECORDS - duration of storage**

*(Ref: Regulation 28(3)(d))*

Give indication you would keep the records for the period of 7 years after the creation of the record.

---

[Type your text here]

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

**Query 30: APPLICATION FOR EXEMPTION FROM THE ELECTRICITY SAFETY (MANAGEMENT) REGULATIONS 1999**

*(Ref: Regulation 33)*

***Give brief and concise details regarding your electricity safety management scheme within the scope of-***

request for exemptions from any of the requirements of these Regulations. Please state the exemption requested and the reasons for applying for the exemption.

---

*[Type your text here]*

---

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

## **2.3 INDEPENDENT VALIDATOR DECLARATION**

*(Ref: section 108 of the Act)*

**This checklist is to be completed, signed and dated by the independent validator prior to this application being submitted to ESV.**

---

### **2.3.1 DETAILS OF THE INDEPENDENT VALIDATOR**

Name: \_\_\_\_\_

Qualifications: \_\_\_\_\_

Business Address: \_\_\_\_\_

Telephone number: \_\_\_\_\_

List the sections of this application which you have validated:

\_\_\_\_\_  
*[Type your text here]*

---

As an independent validator whose name and particulars appear on this page, I hereby state that (apart from the exemptions from the Regulations listed in the query and response section) this application for an electricity safety management scheme by a network operator meets all requirements of the Electricity Safety (Management) Regulations 1999 under the Electricity Safety Act 1998 listed in the independent verification checklist, to the best of my knowledge.

I also verify having completed the independent validation checklist in person.

SIGNATURE OF  
INDEPENDENT  
VALIDATOR: \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

DATE: \_\_\_\_\_

If other expert opinions or recommendations were required in the validation of this application, please include details of each person overleaf. **Note that only the independent validator is to sign off the assessment.**

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

2.3.2 DETAILS OF OTHER PERSONS USED FOR THE VALIDATION OF THIS APPLICATION

Name: \_\_\_\_\_

Qualifications: \_\_\_\_\_

Business Address: \_\_\_\_\_

Telephone number: \_\_\_\_\_

List the sections of this application which this person has validated:

\_\_\_\_\_  
[Type your text here]

\_\_\_\_\_  
Name: \_\_\_\_\_

Qualifications: \_\_\_\_\_

Business Address: \_\_\_\_\_

Telephone number: \_\_\_\_\_

List the sections of this application which this person has validated:

\_\_\_\_\_  
[Type your text here]

\_\_\_\_\_  
If other persons were used, please provide details as above in an attachment.

PLEASE INDICATE REFERENCE NUMBER FOR ATTACHMENTS.: \_\_\_\_\_

## 2.4 INDEPENDENT VALIDATION CHECKLIST

The independent validator is to note the following-

- The Regulations refer to the Electricity Safety (Management) Regulations 1999 under the Electricity Safety Act 1998;
- If you as the independent validator are wholly satisfied that the applicant’s response to each part of this application is compliant to the Regulation being referred to, place your initials in the corresponding boxes. Otherwise, leave that particular box blank; and
- DO NOT write anything in the corresponding column ‘for OFFICE use only’.

Application Reference	Independent validator assessment column	FOR OFFICE USE ONLY
2.1.1 and 2.1.1.1 <i>(Ref Regulation 14(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.2 <i>(Ref Regulation 14(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.3 <i>(Ref Regulation 16(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.4 <i>(Ref Regulation 19,3(a)(i))</i>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.5 <i>(Ref Regulation 19,3(a)(ii))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 1 <i>(Ref Regulation 15 (2,3))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 2 <i>(Ref Regulation 15 (4))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 3 <i>(Ref Regulation 16 (b))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 4 <i>(Ref Regulation 16(c)(i)(ii))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 5(a) <i>(Ref Regulation 16(d))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 5(b) <i>(Ref Regulation 20(2)(b))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 6 <i>(Ref Regulation 16(e))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 7 <i>(Ref Regulation 17)</i>	<input type="checkbox"/>	<input type="checkbox"/>

continued-

*INDEPENDENT VALIDATION CHECKLIST CONTINUED*

Application Reference	Independent validator assessment column	FOR OFFICE USE ONLY
Query 8 <i>(Ref Regulation 18(1)(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 9 <i>(Ref Regulation 18(1)(b))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 10 <i>(Ref Regulation 18(2))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 11 <i>(Ref Regulation 19(1)(b)(2))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 12 <i>(Ref Regulation 19(3)(b))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 13 <i>(Ref Regulation 19(3)(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 14 <i>(Ref Regulation 20(2)(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 15 <i>(Ref Regulation 20(2)(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 16 <i>(Ref Regulation 20 2)(d))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 17 <i>(Ref Regulation 20(2)(e))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 18 <i>(Ref Regulation 20(2)(f))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 19 <i>(Ref Regulation 20(2)(g))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 20 <i>(Ref Regulation 21(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 21 <i>(Ref Regulation 21(b)(i))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 22 <i>(Ref Regulation 21(b)(ii))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 23(a) <i>(Ref Regulation 22(1)(2))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 23(b) <i>(Ref Regulation 22 (3) (a)(b)(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>

**continued-**

*INDEPENDENT VALIDATION CHECKLIST CONTINUED*

Application Reference	Independent validator assessment column	FOR OFFICE USE ONLY
Query 24(a) <i>(Ref Regulation 23(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 24(b) <i>(Ref Regulation 23(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 25(a) <i>(Ref Regulation 24 (1)(a) (2))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 25(b) <i>(Ref Regulation 24 (1)(b) (2))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 26(a) <i>(Ref Regulation 25(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 26(b) <i>(Ref Regulation 25(b))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 26(c) <i>(Ref Regulation 25(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 27 <i>(Ref Regulation 26)</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 28 <i>(Ref Regulation 27)</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(a) <i>(Ref Regulation 28(1)(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(b) <i>(Ref Regulation 28(1)(b))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(c) <i>(Ref Regulation 28(1)(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(d) <i>(Ref Regulation 28(2))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(e) <i>(Ref Regulation 28(3)(a))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(f) <i>(Ref Regulation 28(3)(b))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(g) <i>(Ref Regulation 28(3)(c))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(h) <i>(Ref Regulation 28(3)(d))</i>	<input type="checkbox"/>	<input type="checkbox"/>
Query 30 <i>(Ref Regulation 33)</i>	<input type="checkbox"/>	<input type="checkbox"/>

## 2.5 ATTACHMENT CHECKLIST

Applicants to note -

- this checklist **MUST** be completed appropriately, all attachments **MUST** clearly indicate appropriate query numbers and be ordered in increasing query numbers; and
- failure to adhere to the above may result in this application form being not accepted.

	Please initial in the relevant box below to indicate if attachments are included.		State the number of attachments included in the corresponding box below. If no attachments are included, write 0.	<b>FOR OFFICE USE ONLY</b>	
	YES	NO			
2.1.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.1.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1.6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

**continued-**

*ATTACHMENT CHECKLIST CONTINUED*

	Please initial in the relevant box below to indicate inclusion of attachments.		State the number of attachments included in the corresponding box below. If no attachments are included, write 0.	<b>FOR OFFICE USE ONLY</b>	
	YES	NO			
Query 5(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 5(b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 9	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 11	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 12	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 13	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 14	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 15	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 16	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**continued-**

*ATTACHMENT CHECKLIST CONTINUED*

	Please initial in the relevant box below to indicate inclusion of attachments.		State the number of attachments included in the corresponding box below. If no attachments are included, write 0.	<b>FOR OFFICE USE ONLY</b>	
	YES	NO			
Query 17	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 18	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 19	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 20	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 21	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 22	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 23(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 23(b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 24(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 24(b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 25(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 25(b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 26(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 26(b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**continued-**

*ATTACHMENT CHECKLIST CONTINUED*

	Please initial in the relevant box below to indicate inclusion of attachments.		State the number of attachments included in the corresponding box below. If no attachments are included, write 0.	FOR OFFICE USE ONLY	
	YES	NO			
Query 26(c)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 27	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 28	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(c)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(d)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(e)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(f)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(g)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 29(h)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Query 30	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Has the independent validation checklist been completed?</b> <i>(circle as appropriate):</i>			<b>YES</b>	<b>NO</b>	<input type="checkbox"/>
2.3.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
2.3.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>

## **2.6 APPLICANT DECLARATION**

As a network operator seeking to operate an electricity safety management scheme recognised by the Office of the Chief Electrical Inspector and whose name and particulars appear in this declaration, I hereby state that all information and attachments included in this application document is accurate, true and meets (apart from the exemptions listed in the query and response section) all requirements of the Electricity Safety Act 1998 and the Electricity Safety (Management) Regulations 1999 under the Act to which this application pertains, to the best of my knowledge.

I also state that this application has been verified to meet (apart from the exemptions listed in the query and response section) all requirements of the Electricity Safety (Management) Regulations 1999 under the Electricity Safety Act 1998 listed in the independent verification checklist by a person whose name and particulars appear in the independent validator declaration section.

SIGNATURE OF  
APPLICANT:

\_\_\_\_\_

PRINT NAME:

\_\_\_\_\_

POSITION OF  
APPLICANT:

\_\_\_\_\_

DATE:

\_\_\_\_\_