

Energy Regulation Retention and Disposal Schedule

Responsible public authority: Department of Energy and Water Supply

Queensland Disposal Authority Number (QDAN)	730	Version	1
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Approved by State Archivist	Mike Summerell		
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Scope of retention and disposal schedule

This schedule applies to the regulation of the energy industries, supplying community and commercial needs for electricity, gas, clean energy and renewables, including:

- regulatory based activities such as licensing, authorisation and registration
- compliance activities including disciplinary action, enforcement, monitoring and surveillance, investigations, prosecutions, testing and identification
- complaints management processes
- declaration and disposal activities supporting regulatory compliance activities of auditors, investigators and enforcing officers.
- claims management, both to compensate legislated claims and recover monies owed by the community and industry
- industry participation activities of dispute resolution between energy entities
- two way provision of information with community advice, engaging stakeholders and providing advocacy for social justice issues
- coordinating incident and emergency responses in time of crisis and events requiring independent oversight
- collaborative work with partnerships and supporting agreements
- determining and reviewing energy prices and pricing structures
- planning and research activities to support many of the activities above.

This schedule is to be used in conjunction with the [General Retention and Disposal Schedule for Administrative Records \(GRDS\)](#).

The Department of Energy and Water Supply is the responsible agency for the Energy Regulation Retention and Disposal Schedule at the time of approval of the schedule. However, in the event of an administrative change, or the transfer of a function from one public authority to another, this retention and disposal schedule will continue to apply to the records covered by the schedule. For further advice on the currency of approved retention and disposal schedules following administrative change, please contact Agency Services at Queensland State Archives on (07) 3037 6630 or rkqueries@archives.qld.gov.au.

Record Formats

This schedule applies to records created in all formats, unless otherwise specified in the class description. This includes, but is not limited to, records in business systems, maps, plans, photographs, motion picture and records created using web 2.0 media.

Authority

Authorisation for the disposal of public records is given under s.26 of the *Public Records Act 2002* (the Act).

No further authorisation is required from the State Archivist for records disposed of under this schedule. However, the disposal of all public records must be endorsed by the public authority's Chief Executive Officer, or authorised delegate, in accordance with *Information Standard 31: Retention and Disposal of Public Records*, and recorded in the public authority's disposal log.

Public records that are not covered by an approved retention and disposal schedule cannot be disposed of by a public authority.

Disposal of public records not covered by an approved retention and disposal schedule is a contravention of s.13 of the Act.

Revocation of previously issued disposal authorities

Any previously issued disposal authority which covers disposal classes described in this retention and disposal schedule is revoked. Department of Energy and Water Supply should take measures to withdraw revoked disposal authorities from circulation. No known schedules are to be revoked.

Other current QDANs still in circulation are QDAN494, QDAN515 and QDAN618. These schedules cover legacy electricity entities and energy industry related commissions such the Queensland Electricity Commission, and government owned corporations in the energy sector, and are valid for the scope of these records.

Public records sentenced under revoked retention and disposal schedules should be re-sentenced prior to disposal.

For further advice on the currency of approved retention and disposal schedules, please contact Agency Services at Queensland State Archives on (07) 3037 6630 or rkqueries@archives.qld.gov.au.

Retention of records

All of the retention periods in this schedule are the minimum period for which the sentenced records must be maintained. Public records cannot be disposed of prior to the expiration of the appropriate retention period. However, there is no requirement for public records to be destroyed at the expiration of a minimum retention period.

Public records must be retained for longer if:

- i. the public record is or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding
- ii. the public records may be obtained by a party to litigation under the relevant Rules of Court, whether or not the State is a party to that litigation
- iii. the public record must be retained pursuant to the *Evidence Act 1977*
- iv. there is a current disposal freeze in relation to the public record, or

v. there is any other law or policy requiring that the public record be retained.

This list is not exhaustive.

Public records which deal with the financial, legal or proprietary rights of the State of Queensland or a State related Body or Agency regarding another legal entity and any public record which relates to the financial, legal or proprietary rights of a party other than the State are potentially within the category of public records to which particular care should be given prior to disposal.

Records which are subject to a Right to Information application are to be retained for the period specified in section 8 – INFORMATION MANAGEMENT of the *General Retention and Disposal Schedule for Administrative Records* in addition to their required retention period according to an approved retention and disposal schedule. The two periods run concurrently, and may result in a longer required retention period overall. This is in order to cover all appeal and review processes. Even though the records subject to an application may be ready for disposal according to an approved retention and disposal schedule at the time of the Right to Information application, the additional Right to Information retention requirements must still be applied. See section 8 – INFORMATION MANAGEMENT of the *General Retention and Disposal Schedule for Administrative Records* for records of Right to Information applications.

The disposal of public records should be documented in accordance with the requirements of *Information Standard 31: Retention and Disposal of Public Records*.

For further advice on the retention and disposal of public records under an approved retention and disposal schedule, please refer to the Queensland State Archives website or contact Agency Services at Queensland State Archives on (07) 3037 6630 or rkqueries@archives.qld.gov.au.

Records created before 1950

Records described in QDAN730 v.1 that were created before 1950 should be referred to Queensland State Archives for further appraisal before any disposal action is taken by the public authority. For further advice please refer to the Public Records Brief: *Pre-1950s public records* which is available from the Queensland State Archives' website.

Transfer of public records to Queensland State Archives

Records covered by a class with the disposal action of 'Retain permanently' should be transferred to Queensland State Archives with the approval of the State Archivist. Records covered by a class with the disposal action of 'Retain permanently by the Department of Energy and Water Supply' are not eligible for transfer to Queensland State Archives unless re-appraised and assigned a disposal action of 'Retain permanently'.

Agencies are required to submit a transfer proposal containing details of the records under consideration for transfer. Queensland State Archives will assess the transfer proposal before formal approval to transfer is issued. Please refer to the Guideline on *Transferring Public Records to Queensland State Archives* available from the Queensland State Archives' website. The State Archivist reserves the right to revise any previous decisions made with regard to the appraisal and transfer of records. Contact Agency Services at Queensland State Archives on (07) 3037 6630 or rkqueries@archives.qld.gov.au for further details.

Contents

1. ENERGY REGULATION5

1. ENERGY REGULATION

The function of regulating and monitoring policy and legislation affecting the energy industry. Includes the statutory functions of the Energy and Water Ombudsman, such as investigations and disputes. Also the establishment and functions of the advisory council. Includes petroleum, gas and clean energy.

Reference	Description of records	Status	Disposal action
1.1	<p>ADVICE</p> <p><i>The activities associated with preparing and communicating advice providing information and guidance to the public as individual and business clients and industry members about matters within the scope of functional responsibility. Advice is often tailored to particular circumstances and can be upon request or as a proactive response to a perceived or known need for assistance. Includes offering opinions by or to the organisation as to an action or judgement. Include the process of advising.</i></p> <p><i>See the General Retention and Disposal Schedule for Administrative Records (GRDS) for advice records relating to financial management matters, legislation formulated by other agencies, general administrative matters and Crown law and legal advice.</i></p>		
1.1.1	<p>Advice - significant*</p> <p>Records relating to the provision of significant energy regulation related advice where the advice is not related to a specific enforcement or monitoring action or case file. Significant advice may include, but is not limited to:</p> <ul style="list-style-type: none"> • service levels provided by electricity entities • reliability of electricity supply • environmental concerns • major electricity infrastructure projects • proposed changes to the local electricity network • regional/geographical/non-metropolitan related energy issues • matters as requested by Queensland Competition Authority • natural disaster and seasonal preparedness and recovery, e.g. Summer storms preparation and clean up information • community infrastructure designations. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • advice on state assessed development applications (agency advice) • advice correspondence • research notes, advice notices, fact sheets. 	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>See <u>Enforcement</u> for records relating to issuing directives, orders, fines, penalties, exemptions and other enforcement actions under relevant legislation.</p> <p>See <u>Monitoring and Surveillance</u> for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and community members in general to identify enforcement actions required.</p> <p>See <u>Stakeholder Engagement</u> for records relating to conducting consultation.</p>		
1.1.2	<p>Advice - other~</p> <p>Records relating to the provision of other energy related advice not included in 1.1.1. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • advice on state assessed development applications (agency advice) • advice correspondence • research notes, advice notices, fact sheets. <p><i>~ Refer to Appendix: Definition of Significant Versus Other</i></p> <p>See <u>Enforcement</u> for records relating to issuing directives, orders, fines, penalties, exemptions and other enforcement actions under relevant legislation.</p> <p>See <u>Monitoring and Surveillance</u> for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and community members in general to identify enforcement actions required.</p> <p>See <u>Stakeholder Engagement</u> for records relating to conducting consultation.</p>	Temporary	Retain for 7 years after action completed.
1.2	<p>ADVOCACY</p> <p><i>The activities associated with providing support through speaking, acting or writing, with minimal conflict of interest, to influence decision-making in order to promote and protect the best interests of clients and the general public, addressing equity, disability and social justice issues in the provision of services to clients.</i></p>		
1.2.1	<p>Community interests and social justice issues – significant*</p> <p>Records relating to significant, controversial or far-reaching campaigns to provide public support by recommending particular actions, causes and policies to promote the interests of clients and the general public in significant energy related matters. Advocacy aims to influence non-State government decision making and protect community</p>	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<p>interests in social justice issues such as equity and disabilities, including the non-discriminatory, common sense provision of energy services.</p> <p>Includes activities associated with providing support e.g. speaking, writing, media relations, marketing.</p> <p>Advocacy includes, but is not limited to:</p> <ul style="list-style-type: none"> • energy tariffs, e.g. electricity prices • regional development, e.g. energy supply planning • user charges, e.g. consumer/entity utility charges • concessions/allowances, e.g. discounts for disadvantaged • continuity of supply identification, e.g. electricity for life support/medical care • collection of special or extraordinary levies, e.g. community service obligation payments. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • speech notes • media releases • research notes • presentations, fact sheets. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>See <u>Stakeholder Engagement</u> for records relating to conducting consultation.</p>		
1.2.2	<p>Community interests and social justice issues – other~</p> <p>Records relating to providing public support by recommending particular actions, causes and policies to promote the interests of clients and the general public in other energy related matters not included in 1.2.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • speech notes • media releases • research notes • presentations, fact sheets. <p><i>~ Refer to Appendix: Definition of Significant Versus Other</i></p>	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<i>See <u>Stakeholder Engagement</u> for records relating to conducting consultation.</i>		
1.3	<p>AGREEMENTS</p> <p><i>The activities associated with establishing, maintaining, reviewing and negotiating agreements. Includes agreements as foundational and facilitative documents for collaborative arrangements, partnerships, outputs, products and services. Includes memoranda of understanding, informal agreements, signed documents and legal contracts.</i></p> <p><i>See the <u>General Retention and Disposal Schedule for Administrative Records (GRDS)</u> for records relating to the negotiation, establishment, maintenance and review of agreements relating to financial management and agreements about the performance of agency functions between the agency and other government entities. Includes contracts under seal that are not considered significant.</i></p>		
1.3.1	<p>Agreements – significant*</p> <p>Records relating to energy agreements between the department and other entities that proceed successfully, which include but are not limited to:</p> <ul style="list-style-type: none"> • construction and maintenance of power stations and electricity networks/grids • energy related projects and partnerships, both public and private, including Government Owned Corporations (GOC) • energy entities, such as electricity generators, distributors, transmitters, retailers, including GOCs responsible for all or part of energy networks and services • electricity supply, e.g. greenfield government projects and buildings • private enterprises. <p>Includes records relating to the establishment, negotiation, maintenance, review and variation of agreements.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • contracts (sealed and unsealed) • variations • memoranda of understanding • consultation records. <p><i>Refer to Appendix: Definition of Significant Versus Other.</i></p> <p><i>See <u>Partnerships</u> for records relating to partnership agreements.</i></p>	Permanent	Retain permanently.
1.3.2	Agreements – other~	Temporary	Retain for 7 years after agreement terminated or

Reference	Description of records	Status	Disposal action
	<p>Records relating to other energy agreements between the department and other entities that proceed not covered in 1.3.1.</p> <p>Includes records relating to the establishment, negotiation, maintenance, review and variation of agreements.</p> <p>Excludes contracts under seal that are not significant.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • contracts (sealed and unsealed) • variations • memoranda of understanding • consultation records. <p><i>~ Refer to Appendix: Definition of Significant Versus Other</i></p> <p>See <u>Partnerships</u> for records relating to partnership agreements.</p> <p>See the <u>General Retention and Disposal Schedule for Administrative Records (GRDS)</u> for records relating to contracts under seal that are not considered significant.</p>		expired.
1.3.3	<p>Agreements - not proceeded with</p> <p>Records relating to energy regulation agreements between the department and other entities that do not proceed.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • draft contracts • draft memorandum of understanding • draft negotiation papers • withdrawn offers • proposals. 	Temporary	Retain for 2 years after decision not to proceed.
1.4	<p>APPOINTMENTS</p> <p><i>The activities associated with nominating and appointing candidates to representative, authorised and legislated positions within the organisation and to statutory authorities, councils, boards of management, committees etc. Includes recruiting, nominating, selecting and electing appointees. Includes determining terms, conditions, powers, limitation and remuneration of appointments.</i></p> <p>See the <u>General Retention and Disposal Schedule for Administrative Records (GRDS)</u> for employment service history.</p>		

Reference	Description of records	Status	Disposal action
<p>1.4.1</p>	<p>Authorised and accredited officers</p> <p>Records relating to the appointment of officers and inspectors authorised or accredited to undertake energy regulation related activities including, but not limited to:</p> <ul style="list-style-type: none"> • inspections • investigations • monitoring and enforcement of breaches of legislation. <p>Officers include:</p> <ul style="list-style-type: none"> • auditors to conduct audits of electricity entities, retailers or special approval holders • inspection officers. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • appointment notices and instruments including temporary appointments • qualifications and experience statements • records of termination, variations or resignation • investigations and background checks • appointees conditions of employment. 	<p>Temporary</p>	<p>Retain for 7 years after appointment ceased.</p>
<p>1.4.2</p>	<p>Board members and GOC executives</p> <p>Records relating to the appointment of directors and executives of energy related Boards and Corporations, authorised to undertake energy industry related activities including, but not limited to:</p> <ul style="list-style-type: none"> • Directors of Boards of Government Owned Corporations • Executives to run electricity entities • electricity officers of electricity entities. <p>Responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> • training, expertise or experience of relevant persons to be appointed • suitability of persons to run electricity entities e.g. character, criminal history. <p>Records may include, but are not limited to:</p>	<p>Temporary</p>	<p>Retain for 7 years after appointment ceased.</p>

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • appointment notices and instruments including temporary appointments • qualifications and experience statements • records of termination, variations or resignation • investigations and background checks • conditions. 		
1.5	<p>AUDIT <i>The activities associated with checking quality assurance and operational records in an official, systematic way to ensure they have been kept and maintained in accordance with agreed or legislation and standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits, quality assurance audits as well as recommendations for changes in policy and/or procedures as a result of an audit.</i></p>		
1.5.1	<p>Audits - significant* Records relating to conducting audits of energy management facilities, programs and professions, where significant recommendations and findings were made, resulting in significant changes to processes, policies and procedures. Includes quality assurance audits to monitor compliance to energy related legislation, re-auditing audits completed by inspectors, audits of energy programs and schemes e.g. solar hot water rebate scheme. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • audit reports • audit papers • recommendations and findings. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	Permanent	Retain permanently.
1.5.2	<p>Audits - other~ Records relating to conducting audits of energy management facilities, programs and professions, including quality assurance audits to monitor compliance to energy related legislation and re-auditing audits completed by inspectors, where other observations and action recommendations were made resulting in minor changes. Records include, but are not limited to:</p>	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • audit reports • audit papers • recommendations and findings. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i></p>		
1.6	<p>AUTHORISATION</p> <p><i>The activities associated with seeking and granting permission to undertake a requested action. Includes assessing and approving a range of authorities, charges, claims, benefits, interests, permissions and rights. Includes rejecting applications.</i></p>		
1.6.1	<p>Granted rights - successful</p> <p>Records relating to the granting of energy related authorisations.</p> <p>Includes applications, transfers, surrenders, suspensions, cancellations, amendments, renewals, replacements and imposing conditions.</p> <p>Also includes written submissions, reports and approvals required to comply with permissions of authorities, including corporate plans, statements of corporate intent, approvals of capital expenditure requests, annual/quarterly reports and other plans, standards, manuals etc. required to be submitted as a condition of the authority.</p> <p>Authorisations include, but are not limited to:</p> <ul style="list-style-type: none"> • entry to land, buildings and structures • undertake activities for control of extraction, production, supply, distribution, sale, purchase, use, consumption and storage of liquid fuel relating to declared emergencies • liquefied petroleum gas (LPG) distribution pipelines and systems • gas infrastructure work approvals, including emergency advice notices, conditions imposed on work • special approvals for performance of specific activities in specific circumstances • exemptions, including exemptions from exempt matters e.g. activities, transactions, instruments, documents, assets • electricity entities and plans (assessing and approving their use) including contingency supply plans, demand management/reduction plans, proposed 	Temporary	Retain for 7 years after authorisation ceased or expired.

Reference	Description of records	Status	Disposal action
	<p>plans, amended plans, recommendations.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • authorisation applications (successful) • renewals, changes and releases • transfers and surrenders • subsequent cancellations and terminations • assessments and information notices • submissions and referrals • consultation records. <p><i>See Licensing for records relating to licences issued including generation, transmission, distribution authorities (including point-to-point and area distribution authorities) and retail authorities (including area retail and general retail authorities).</i></p>		
1.6.2	<p>Granted rights - unsuccessful and withdrawn applications</p> <p>Records relating to unsuccessful and withdrawn applications for energy related authorisations.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • authorisation applications (unsuccessful or withdrawn) • assessments and information notices. 	Temporary	Retain for 2 years after authority refused or withdrawn.
1.7	<p>CLAIMS MANAGEMENT</p> <p><i>The activities associated with administering and managing payments sought as compensation for injury, death or denial of rights of a person, damage to or destruction of property, resumption of land or property, or for any actions of Government employees where those actions result in a compensable claim. Includes disputes over rights and ownership, and recompense sought for stolen or lost property. Includes claims for damages from exercise of inspectorate powers. Includes recovery of compliance monitoring costs incurred by the Department.</i></p>		
1.7.1	<p>Compensation claims</p> <p>Records relating to claims for compensation for costs, damage or loss incurred under energy related legislation.</p>	Temporary	Retain for 7 years after claim resolved/paid out.

Reference	Description of records	Status	Disposal action
	<p>Claims include, but are not limited to:</p> <ul style="list-style-type: none"> • acquisition of property for energy industry purposes • compliance with directions by authorised officers • consequential and remedial work completed by energy entities e.g. infrastructure • court orders made against the State. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • assessments • compensation claim applications/requests • notifications • claim approvals, advice payments • Gazette notices. <p>See <i>Investigations</i> for records relating to significant claims.</p>		
<p>1.7.2</p>	<p>Recovery of monies incurred by State</p> <p>Records relating to recovering monies from authorities and licence holders for fees, costs, losses, interest and expenses incurred by the State (the Department) relating to energy regulation under relevant legislation.</p> <p>Includes applying costs to security monies to recover money and filing recovery orders in Magistrates Court.</p> <p>Recovering of costs includes:</p> <ul style="list-style-type: none"> • incidents and situations involving energy entities • offences and non-compliance with directions • penalties imposed by State • material contraventions of industry codes, including attempts/involvements • remedial works done on behalf of other entities e.g. gas infrastructure work done on behalf of distributors • shortfalls from actual costs of check testing of prescribed electrical equipment items (difference recoverable) • removal and disposal of electric line and property 	<p>Temporary</p>	<p>Retain for 7 years after claim resolved/written off.</p>

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • court orders and court awarded costs made in favour of State • unpaid fees • other instances of regulatory non-compliance. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • recovery claim notifications • claim investigations • court orders. <p><i>See the General Retention and Disposal Schedule for Administrative Records (GRDS) for records relating to the processing of these monies.</i></p>		
1.8	<p>COMPLAINTS</p> <p><i>The activities associated with handling complaints and working towards informal and voluntary resolution and conciliation of complaints. See Investigations for records relating to making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements, breaches or offences.</i></p>		
1.8.1	<p>Complaint resolution</p> <p>Records relating to handling, mediating and conciliating energy related complaints including, but not limited to:</p> <ul style="list-style-type: none"> • electricity • gas • other renewables. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • complaints • complaint investigations • complaint resolution reports. 	Temporary	Retain for 7 years after action completed.
1.9	<p>DECLARATIONS</p> <p><i>The activities associated with declaring projects, developments, facilities, areas, etc. with particular statuses and conditions, in accordance with legislation. Includes declarations of land areas as land designated for particular purposes which may transcend changes to ownership. Includes declarations made for emergency, safety or quarantining purposes, for example, people or animals designated in or out of particular</i></p>		

Reference	Description of records	Status	Disposal action
	<i>areas.</i>		
1.9.1	<p><i>Declarations - significant*</i></p> <p>Records relating to significant energy related declarations made by the department, often via operational activities such as enforcement, monitoring and surveillance, incident and emergency responses, and other legislative and regulatory processes.</p> <p>Significant declarations may include, but are not limited to:</p> <ul style="list-style-type: none"> • energy/fuel reserves • emergency fuel shortages and associated energy issues associated with emergencies and emergency proclamations • disruptions or insufficiencies of supplies of energy and fuels, e.g. processed natural gas • emergency rationing orders for use/restriction of energy, e.g. electricity • regulation or prohibition of supply of liquid fuel • allocations of bulk supplies • persons, associations or classes as bulk customers and essential/high priority users of refined liquid petroleum products • declarations made on a long term or permanent nature. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • notifications and signed approvals • declaration notices. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	Permanent	Retain permanently.
1.9.2	<p><i>Declarations - other~</i></p> <p>Records relating to other energy related declarations which may be of a transitory or temporary nature, or with a short term expiry or end date.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • notifications and signed approvals • declaration notices. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i></p>	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
1.10	<p>DISCIPLINARY ACTION</p> <p><i>The activities associated with investigating complaints relating to conduct of licence holders, and initiating show cause or disciplinary proceedings for licensee to explain why licence should not be suspended or cancelled. Includes action taken against the licensee after decision has been made, including suspension or cancellation of licences and confiscation of physical licence identifications.</i></p> <p><i>See Dispute Resolution for handling disputes before disciplinary action is taken.</i></p> <p><i>See Enforcement for issuing enforcement notices, including infringement notices, directives, orders, fines, penalties & exemptions.</i></p> <p><i>See Inspections for making official examinations to check compliance and identify standard offences or breaches of legislation.</i></p> <p><i>See Investigations for records relating to making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements, breaches or offences.</i></p> <p><i>See Prosecution for records relating to disciplinary action that may lead to prosecution.</i></p>		
1.10.1	<p>Licensee disciplinary action</p> <p>Records relating to determining disciplinary action and outcomes for authorities and licences, including issuing show cause notices for offences under relevant legislation, and considering submissions, with action taken to cancel, suspend, or amend authorities and licences.</p> <p>Disciplinary action includes, but is not limited to:</p> <ul style="list-style-type: none"> • energy entities, including: <ul style="list-style-type: none"> ○ generators, transmitters, distributors, retailers ○ gas and electricity providers, including renewable energy generators and providers • contraventions of industry codes, e.g. distribution network codes • offences committed • material contraventions of legislation • disciplinary matters referred by: <ul style="list-style-type: none"> ○ enforcing and investigating officers authorised in regulatory compliance and offence prosecution ○ State industry monitoring and performance management roles ○ Queensland Competition Authority ○ Supreme Court of Queensland 	Temporary	Retain for 7 years after claim determined.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> ○ other courts and similar entities. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> ● show cause notices ● submissions ● decision notices. 		
1.11	<p>DISPOSAL</p> <p><i>The activities associated with disposing of property or commodities no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction. Includes arrangements for disposal of waste, including animal by-products, carcasses, excrement as well as hazardous and radioactive, in a safe and approved manner. Also includes disposal of seized and forfeited evidence.</i></p> <p><i>See Enforcement for issuing enforcement notices, including infringement notices, directives, orders, fines, penalties & exemptions.</i></p> <p><i>See Inspections for making official examinations to check compliance and identify standard offences or breaches of legislation.</i></p> <p><i>See Investigations for records relating to making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements, breaches or offences.</i></p>		
1.11.1	<p>Seize evidence</p> <p>Records relating to disposing of evidence seized under enforcement and investigation activities under relevant legislation.</p> <p>Includes dealing with and disposing by selling, destroying and other means of:</p> <ul style="list-style-type: none"> ● electric line, plant and property ● electrical equipment items ● seized/forfeited evidence. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> ● disposal authorisations ● destruction orders ● evidence seizure receipts. 	Temporary	Retain for 7 years after action completed.
1.12	<p>DISPUTE RESOLUTION</p> <p><i>The activities associated with handling disagreements pertaining to particular areas and jurisdictions of responsibility in which an arbitrator (or other judicial representative) determines an outcome, which is enforceable but also appealable. Disputes involve perceived legal rights, legal wrongdoing, or threat of legal action against the parties, and can include awards, agreements, demarcation issues, breaches of injunctions,</i></p>		

Reference	Description of records	Status	Disposal action
	<p><i>etc.</i> See <u>Disciplinary Action</u> for records relating to action taken if the dispute resolution process doesn't work.</p>		
<p>1.12.1</p>	<p>Final decisions Records relating to final decisions of cases of dispute resolution between, and with, energy entities and other entities about energy related activities under relevant legislation. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • final decisions • final reports. 	<p>Permanent</p>	<p>Retain permanently.</p>
<p>1.12.2</p>	<p>Case histories and working papers Records relating to case histories and working papers of dispute resolution between, and with, energy entities and other entities about energy related activities under relevant legislation. Includes disputes between:</p> <ul style="list-style-type: none"> • electricity entities, including distributors, transmitters, generators, retailers • energy entities and public entities, including the State. <p>Disputes and objections include, but are not limited to:</p> <ul style="list-style-type: none"> • rights, obligations and jurisdictions of various parties • authority/licensing conflicts • infrastructure work, scope and costs, including proposed work • land and property access for assessments and works • State property access and use • consumer related responsibilities, including those: <ul style="list-style-type: none"> ○ referred by Energy Ombudsman ○ not covered by Energy Ombudsman complaints management scope ○ not conducted by Queensland Consumer Authority. <p>Activities include:</p> <ul style="list-style-type: none"> • conciliation, mediation and alternative dispute resolution processes 	<p>Temporary</p>	<p>Retain for 7 years after action completed.</p>

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • referrals to Governor in Council • referrals of disputes to mediation or arbitration by other parties • recommendations for further action, e.g. court processes. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • dispute complaints • dispute investigations • dispute resolution reports. 		
1.13	<p>ENFORCEMENT</p> <p><i>The activities associated with identifying regulatory compliance issues within area and scope of enforcement parameters, and issuing enforcement notices, including infringement notices, directives, orders, fines, penalties & exemptions.</i></p> <p><i>See Disposal for records relating to the disposing of evidence seized under relevant legislation.</i></p> <p><i>See Inspections for making official examinations to check compliance and identify standard offences or breaches of legislation.</i></p> <p><i>See Investigations for records relating to making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements, breaches or offences.</i></p> <p><i>See Monitoring and Surveillance for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and community members in general to identify enforcement actions required.</i></p>		
1.13.1	<p>Regulatory enforcement</p> <p>Records relating to issuing directives, orders, fines, penalties or exemptions for energy related matters under relevant legislation.</p> <p>Enforcement includes, but is not limited to:</p> <ul style="list-style-type: none"> • enforcement orders • emergency orders • orders to stop, remove, demolish, restore or rehabilitate • orders to ration energy, including gas and electricity • actions taken against electricity entities for contravention of compliance directions and non-compliance with conditions of authority • action taken to remedy matters of non-compliance. <p>Records may include, but are not limited to:</p>	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • check point and road closure information • enforcement action orders, assessments and reports • maps and photographs. 		
1.14	<p>INCIDENT AND EMERGENCY RESPONSE</p> <p><i>The activities associated with responding to incidents and emergencies, including disease outbreaks and natural disasters.</i></p> <p><i>See Monitoring and Surveillance for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and community members in general to identify enforcement actions required.</i></p>		
1.14.1	<p><i>Incident and emergency response - significant*</i></p> <p>Records relating to managing significant incidents, emergencies and natural disasters that impact on community energy supplies with consequences to human health and welfare.</p> <p>Significant incident and emergency responses may include, but are not limited to:</p> <ul style="list-style-type: none"> • coordinating an emergency response and managing emergency situation in an assistive capacity, including providing advice e.g. assisting police and emergency services with energy network information, taking action and providing situational reporting • having industry discussions and making decisions to enact emergency powers e.g. rationing • ensuring appropriate continuity of energy supply to community and business, with Department's role in assumption of control of energy supply in emergency situations (at ministerial behest and including ministerial briefings), and managing criticalities for the time of the emergency, including activities and roles to: <ul style="list-style-type: none"> ○ provide, operate, control, regulate and direct relevant energy services, including gas, electricity and renewable energy sources ○ requisition or prohibition of land, buildings, structures and equipment for use in energy service provision in relation to declared emergencies ○ extraction, production, supply, distribution, sale, purchase, use, consumption and storage of energy relating to declared emergencies, including for example: 	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> ▪ allocating liquid fuel supplies to bulk customers in declared emergencies ▪ directing purchase, blend, and use of ethanol by sellers and operators of oil refineries or facilities for bulk motor spirit storage • maintain ongoing storage, upkeep, repair and maintenance of property, commodities and equipment for energy production for the period of declared emergencies. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • incident notifications • duration and post-incident reports • community advice notices, advertisements and publications. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>		
<p>1.14.2</p>	<p><i>Incident and emergency response - other~</i></p> <p>Records relating to managing other incidents, emergencies and natural disasters not included in 1.14.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • incident notifications • duration and post-incident reports • community advice notices, advertisements and publications. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i> <i>Exception to Definition: "Significant includes" records or classes that are significant by default.</i></p>	<p>Temporary</p>	<p>Retain for 7 years after action completed.</p>
<p>1.15</p>	<p>INSPECTIONS</p> <p><i>The activities associated with the making official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives relating to functions or legislative requirements. Often involves pre-set criteria, factors or checklists against which the inspection is made, and identifies standard offences or breaches of legislation which can be handled mostly via enforcement notices.</i></p> <p><i>See Audit for audit related activities conducted by inspection officers assisting independent auditors.</i></p> <p><i>See Disposal for records relating to the disposing of evidence seized under relevant legislation.</i></p> <p><i>See Investigations for incident-responsive assessments of offences or breaches of legislation requiring intensive investigation or not explored fully by inspections, and which often require escalation to prosecution for outcomes.</i></p> <p><i>See Monitoring and Surveillance for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and</i></p>		

Reference	Description of records	Status	Disposal action
	<i>community members in general to identify enforcement actions required.</i>		
1.15.1	<p><i>Inspections - significant*</i></p> <p>Records relating to conducting significant energy related inspections for compliance with legislation.</p> <p>Significant inspections may include, but are not limited to:</p> <ul style="list-style-type: none"> • inspecting energy entities for compliance to legislation, including regulated industry activities and practices for: <ul style="list-style-type: none"> ○ demand management, energy efficiency ○ energy and service provision, e.g. network services, supply conditions, disconnection/reconnection conditions, energy qualities, standby supplies ○ designs, builds, operations and maintenance, e.g. power stations, works, substations, meters, control apparatus • inspecting testing services for compliance, e.g. testing electrical equipment services. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • inspection notices • inspection assessments and reports • inspection notes. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	Temporary	Retain for 25 years after action completed.
1.15.2	<p><i>Inspections - other~</i></p> <p>Records relating to conducting other inspections not included in 1.15.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • inspection notices/requests • inspection assessments and reports • inspection notes. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i></p>	Temporary	Retain for 7 years after action completed
1.16	<p>INVESTIGATIONS</p> <p><i>The activities associated with making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements,</i></p>		

Reference	Description of records	Status	Disposal action
	<p><i>breaches or offences of any legislation, standard, code, business or workplace policy, which may, or may not, lead to further formal action. Includes reports prepared by persons undertaking investigations.</i></p> <p><i>See <u>Disposal</u> for records relating to the disposing of evidence seized under relevant legislation.</i></p> <p><i>See <u>Inspections</u> for making official examinations to check compliance and identify standard offences or breaches of legislation.</i></p> <p><i>See <u>Monitoring and Surveillance</u> for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and community members in general to identify enforcement actions required.</i></p> <p><i>See <u>Prosecution</u> for cases that have proceeded through to a court.</i></p>		
1.16.1	<p><i>Investigations - significant*</i></p> <p>Records relating to significant energy related investigations involving offences under relevant legislation.</p> <p>Significant investigations may include, but are not limited to:</p> <ul style="list-style-type: none"> • nuclear facilities and waste • emergency and post-emergency incidents and disasters involving or impacting on energy provision and supply networks. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • investigation reports • interview transcripts • warrants. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	Permanent	Retain permanently.
1.16.2	<p><i>Investigations - other~</i></p> <p>Records relating to investigating other energy related offences under relevant legislation.</p> <p>Investigations may include, but are not limited to:</p> <ul style="list-style-type: none"> • energy entities, including: <ul style="list-style-type: none"> ○ generators, transmitters, distributors, retailers ○ gas and electricity providers, including renewable energy generators and providers • energy storage and supplies 	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • breaches of legislation • contravention of authority/licensing conditions and industry codes. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • investigation reports • interview transcripts • warrants. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i></p>		
<p>1.17</p>	<p>LICENSING</p> <p><i>The activities associated with granting or denying licensing instruments giving authority to undertake particular actions or occupations in line with the authority of the licensing instrument, and bestow special rights of ownership, financial responsibility and/or environmental accountability and other terms and conditions with the licence. Includes permits to own or use something or carry out particular actions. Includes but is not limited to licences, permits, leases, rights, authorities, certifications, exemptions, clearances etc.</i></p> <p><i>See Monitoring and Surveillance for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and community members in general to identify enforcement actions required.</i></p>		
<p>1.17.1</p>	<p>Granted licences and permits - successful</p> <p>Records relating to approving and issuing energy related licences and permits. Includes the submission, renewal, transfer, release, change, surrender, cancellation, termination and surrendering of licences and permits.</p> <p>Licences and permits include, but are not limited to:</p> <ul style="list-style-type: none"> • permits for purchase of liquid fuel during declared emergencies • licences for energy provision and special approvals under activities and agreements with energy providers • generation authorities, transmission authorities, distribution authorities, including point-to-point distribution authorities, area distribution authorities • retail authorities, including area retail authorities, general retail authorities • special approvals to act as generation, transmission or distribution authorities (without same authorities). <p>Records may include, but are not limited to:</p>	<p>Temporary</p>	<p>Retain for 7 years after licence/permit expires or ceases.</p>

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • applications (successful) • assessments • information notices • renewals. <p>See Authorisation for energy related authorisations.</p>		
1.17.2	<p>Granted licences and permits - unsuccessful, refused and withdrawn applications</p> <p>Records relating to unsuccessful, refused and withdrawn applications for energy related licences and permits.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications (unsuccessful, refused and withdrawn) • assessments and information notices. 	Temporary	Retain for 2 years after licence/permit refused/withdrawn.
1.18	<p>MONITORING AND SURVEILLANCE</p> <p><i>The activities associated with planning compliance programs and conducting regular surveillance of resources, environments, systems, markets and communities, and observing activities covered by legal, regulatory or quality standards which the Department administers. Includes safeguarding resources ensuring they are used responsibly. Includes enabling checks and on-the-spot inspections and combined with other enforcement activities, to ensure transparent overview of community compliance status. Also includes monitoring particular persons, entities or parties to reduce or eliminate their impact and identify offences against the legislation.</i></p> <p>See Enforcement for issuing enforcement notices, including infringement notices, directives, orders, fines, penalties & exemptions.</p> <p>See Incident and Emergency Responses for responding to incidents and emergencies, including disease outbreaks and natural disasters.</p> <p>See Inspections for conducting inspections as official examinations.</p> <p>See Investigations for records relating to making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements, breaches or offences.</p> <p>See Licensing for records relating to licences issued including generation, transmission, distribution authorities (including point-to-point and area distribution authorities) and retail authorities (including area retail and general retail authorities).</p>		
1.18.1	<p>Monitoring energy industry participants</p> <p>Records relating to monitoring and administering compliance of licensees with energy related legislation and licence conditions and monitoring community adherence to</p>	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<p>energy provision requirements.</p> <p>Includes developing, implementing and maintaining compliance programs.</p> <p>Monitoring includes, but is not limited to:</p> <ul style="list-style-type: none"> • work related compliance obligations of energy distributors, e.g. guards, warning lights, site restoration, maintenance • responsibilities of energy authorities, e.g. conditions of approvals, authorities and licences • the standards to which work completed e.g. in response to direction notices like gas infrastructure work direction notices • requirements for electricity entities, retailers or special approval holders to conduct internal audits • energy industry compliance generally, and in particular from advice received about emergencies and significant disruptions • energy authority activities as result of emergency orders • potential for and unlawful activities, e.g. tampering with distribution pipelines • adequacy of industry activities and practices for: <ul style="list-style-type: none"> ○ demand management ○ energy efficiency ○ service provision, e.g. network services, supply conditions, disconnection and reconnection conditions ○ qualities of energy provision, e.g. electricity voltages, frequency, power factors, standby supplies ○ designs, builds, operations and maintenance, e.g. works, substations, meters, control apparatus. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • annual reports and compliance documents provided by energy industry participants • compliance monitoring programs and schedules • enforcement data and analysis • area maps and photographs. 		

Reference	Description of records	Status	Disposal action
1.19	<p>PARTNERSHIPS</p> <p><i>The activities associated with managing joint collaborations for agreed outcomes in areas of joint interest or responsibility, where there are agreed responsibilities, agreements, joint contribution of funds and/or time. Includes operations between departments, either within the organisation or with other organisations, or with the government. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.</i></p> <p><i>See Agreements for records relating to making energy agreements between the department and other entities.</i></p>		
1.19.1	<p>Partnerships - significant*</p> <p>Records relating to managing joint operations by the department with other organisations (both private sector and government) through contracts, joint contribution of funds, time, co-research or collaboration, where the partnership provides a significant contribution to energy industry management outcomes.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • partnership agreements • performance reports • funding proposals. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	Permanent	Retain permanently.
1.19.2	<p>Partnerships - other~</p> <p>Records relating to managing other joint operations by the department with other organisations (private sector and government) where the partnership has made other contributions to energy industry management outcomes.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • partnership agreements • performance reports • funding proposals. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i></p>	Temporary	Retain for 7 years after partnership expires.
1.20	<p>PLANNING</p> <p><i>The activities associated with making decisions about future directions, actions and goals to be achieved, and organising activities to reach desired goals. Involves the creation and maintenance of planning documents i.e. plans. Includes formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</i></p>		

Reference	Description of records	Status	Disposal action
	See <u>Stakeholder Engagement</u> for records relating to conducting consultative and engagement processes with external stakeholders.		
1.20.1	<p>Planning - significant*</p> <p>Records relating to planning significant energy related planning development initiatives, programs, strategies, priorities and activities for improved community outcomes in the provision of energy.</p> <p>Includes preparing management plans and consultation processes with community and key stakeholders.</p> <p>Significant planning may include, but is not limited to:</p> <ul style="list-style-type: none"> • energy industry contingency planning, including energy reserve provisions • planning for shortages or anticipated shortages of liquid fuel • planning activities in event of emergencies to support Ministerial assuming control of extraction, production, supply, distribution, sale, purchase, use consumption and storage of energy, e.g. liquid fuels. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • plans and strategies • planning reports • implementation programs and schedules. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>See <u>Authorisation</u> for plans submitted to the Department by Government Owned Corporations (GOCs) and other authority holders as part of their compliance requirements for holding the authority, e.g. electricity entity corporate plans and statements of intent.</p>	Permanent	Retain permanently.
1.20.2	<p>Planning - other~</p> <p>Records relating to planning other energy related development initiatives, programs, strategies, priorities, activities for improved community outcomes in the provision of energy.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • plans and strategies 	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • planning reports • implementation programs and schedules. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i></p>		
1.21	<p>PRICING AND MARKET ANALYSIS</p> <p><i>The activities associated with determining and reviewing the prices of products and/or services, and making recommendations for legislative and other processes to enable price setting or capping. Includes industry consultation, submission reviews, financial analysis, economic forecasting and price formula setting.</i></p>		
1.21.1	<p><i>Energy related products and services</i></p> <p>Records relating to determining and reviewing prices and pricing structures of energy related products and services, including electricity, gas, liquid fuel and renewables.</p> <p>Pricing includes, but is not limited to:</p> <ul style="list-style-type: none"> • developing price methodologies for determining or fixing prices for energy industry • determining prices and calculating rates, fees and charges, e.g. service charges, feed-in tariffs • fixing prices for particular industries, including standard and non-standard fees and charges, e.g. charges or fees for late or dishonoured payments, credit card surcharges for payments, connection fees, disconnection fees, reconnection fees, meter test fees • considering actual costs of making, producing or supplying goods or services • determining effect of prices on competition in the Queensland electricity market • apportioning costs of works between owners and customers • reviewing energy prices and price methodologies, e.g. notified prices • recommending pricing structures and plans including increases, caps and reductions • fixing prices and maximums for the sale of particular products, e.g. refined liquid petroleum • investigating market competition, e.g. Queensland retail gas market • analysing and reporting on Competition Authority pricing investigations 	Temporary	Retain for 25 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • referring price determinations to QCA (within their terms of reference). Records include, but are not limited to: <ul style="list-style-type: none"> • mathematical formulas and data • research reports • financial statements and calculations • statistical data, graphs, tables, presentations e.g. <i>economic, environmental</i> • gazette notices. 		
1.22	<p>PROSECUTION</p> <p><i>The activities associated with pursuing a legal course of action against a person/s alleged to have committed a crime or broken a law. Includes acting on recommendations of authorised investigating officers, prosecuting defendants by legal counsel for the Department, in front of relevant Court with jurisdiction over such matters. Includes overseeing appeals of prosecutions. Includes case appeals of prosecuted matters.</i></p> <p><i>See <u>Disciplinary Action</u> for records relating to action taken on a licensee.</i></p> <p><i>See <u>Investigations</u> for cases that do not need to proceed to a prosecution.</i></p>		
1.22.1	<p>Prosecutions - significant*</p> <p>Records relating to prosecuting significant energy related offences under relevant legislation that may set a precedent.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • case papers and legal notes • documentary exhibits, e.g. evidence • court transcripts. <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	Permanent	Retain permanently.
1.22.2	<p>Prosecutions - other~</p> <p>Records relating to prosecuting other offences under relevant legislation not included in 1.22.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • case papers and legal notes • documentary exhibits, e.g. evidence 	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • court transcripts. <p><i>-Refer to Appendix: Definition of Significant Versus Other</i></p>		
1.23	<p>REGISTRATION</p> <p><i>The activities associated with receiving, processing, granting and refusing applications for registration of objects, people, businesses, entities or legal instruments in electronic and/or physical registers for particular purposes as required by business and legislation. Includes purposes of process control, unique identification and public search requirements. Includes registering flora, fauna, people, land and geographical features. Includes registering licence holders, maps, licence areas, and investigation and prosecution cases and outcomes.</i></p>		
1.23.1	<p><i>Electrical equipment registers</i></p> <p>Records relating to registering prescribed electricity equipment items, and recording identification information such as energy efficiency labels, under relevant legislation.</p> <p>Registration includes:</p> <ul style="list-style-type: none"> • national register related activities and information • fixing maximum registration terms • changing energy efficiency labels • applications, approvals, renewals, transfers, releases, changes, refusals, surrenders, cancellations, terminations. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • register entries • register applications and releases • statutory declarations. 	Permanent	Retain permanently.
1.23.2	<p><i>Investigations and prosecutions registers</i></p> <p>Records relating to registering investigations and prosecutions including results of investigating and prosecuting offences under energy related legislation.</p> <p>Registration includes:</p> <ul style="list-style-type: none"> • enforcement orders • applications for removal of enforcement order particulars from register, including approvals and refusals. <p>Records may include, but are not limited to:</p>	Temporary	Retain for 25 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • register entries • register applications and releases. <p><i>See <u>Investigations</u> for records relating to making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements, breaches or offences.</i></p> <p><i>See <u>Prosecution</u> for records relating to prosecutions made under relevant energy legislation.</i></p>		
<p>1.23.3</p>	<p>Energy authority registers</p> <p>Records relating to registering energy authorities, including distribution and retail authorities, under relevant legislation including applications, renewals, transfers, releases, changes, surrenders, cancellations and terminations.</p> <p>Registration includes:</p> <ul style="list-style-type: none"> • industry codes • retailer’s standard terms • warning notices, including expired notices • code contravention notices, including expired notices • conduct assurances • expenditure required notifications (submitted by GOCs). <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • register entries • register applications and releases • statutory declarations. 	<p>Temporary</p>	<p>Retain for 25 years after action completed.</p>
<p>1.23.4</p>	<p>Charges, assignments, mortgages and other encumbrances register</p> <p>Records relating to registering charges, assignments, mortgages and other encumbrances, caveats and notations on agreement registrations relating to energy provision.</p> <p>Includes applications, transfers, releases, changes, surrenders, cancellations,</p>	<p>Temporary</p>	<p>Retain for 7 years after licence/permit (to which the mortgage applies) expires or ceases.</p>

Reference	Description of records	Status	Disposal action
	<p>terminations.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • register entries • register applications and releases • statutory declarations. 		
1.24	<p>RESEARCH</p> <p><i>The activities associated with investigating or enquiring into a subject or area of interest and working creatively in a systematic way to increase and use knowledge to devise new applications, establish or confirm facts, reaffirm results of previous work, expand past work done in the field, solve new or existing problems, support theorems, develop new theories, test the validity of instruments, procedures, or experiments. Includes research and development (R&D); research of better research methods and systems; scientific, humanities, artistic, economic, social, business, practitioner research, etc.; supporting development of projects, standards, guidelines etc., and the business activities of the organisation in general. Also includes following up enquiries relating to organisational research programs, projects, working papers, literature searches etc.</i></p>		
1.24.1	<p>Research - significant*</p> <p>Records relating to researching and enquiring into significant energy related research areas to discover facts, theories and principles that support improved community and energy industry outcomes and business activities.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • research reports and publications • original data • findings and observations. <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	Permanent	Retain permanently.
1.24.2	<p>Research - other~</p> <p>Records relating to researching and enquiring into other energy research areas.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • research reports and publications • original data • findings and observations. 	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	~Refer to Appendix: Definition of Significant Versus Other		
1.25	<p>STAKEHOLDER ENGAGEMENT</p> <p><i>The activities associated with conducting ongoing community engagement and consultative processes with stakeholders with an active, two way relationship and information flow, potentially crossing a wide range of issues and activities. Stakeholders can include countries, corporations, governments, associations, officials or persons. Includes correspondence and submissions from stakeholders about departmental legislation policies, programs, projects, processes, procedures, etc.</i></p> <p>See <u>Advice</u> for records relating to energy regulation.</p> <p>See <u>Advocacy</u> for records relating to community and social justice issues.</p> <p>See <u>Planning</u> for records relating to energy related initiatives, programs, strategies, priorities and activities for improved community outcomes.</p>		
1.25.1	<p>Stakeholder engagement - significant*</p> <p>Records relating to conducting consultative and engagement processes with external stakeholders where engagement revealed public interest matters, precedents or issues that had a significant impact on the department's decisions to initiate, develop and operate energy related initiatives.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • reports • submissions • correspondence. <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	Permanent	Retain permanently.
1.25.2	<p>Stakeholder engagement - other~</p> <p>Records relating to conducting other consultative and engagement processes with external stakeholders.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • reports • submissions • correspondence. <p><i>~Refer to Appendix: Definition of Significant Versus Other</i></p>	Temporary	Retain for 7 years after action completed.

Appendix: Definition of Significant Versus Other

* Significant

Significance may be determined by a number of factors:

- Department is the lead agency with another government agency or private organisation
- Substantial changes or influences government policy or direction
- Results in a significant government project or program
- Significant contribution to the body of knowledge on a particular subject
- Considerable economic impact (e.g. major government contracts, corporatisation of government assets)
- Notable environmental impact (e.g. drought, salinity, genetically modified crops, heritage buildings/places, world heritage listings, national parks/reserves)
- Extent of profound changes to lives of individuals, families or communities (e.g. Native Title)
- Public reaction or sensitivity
- Serious impact or consequence (e.g. deaths, a large case)
- Precedent setting prosecutions, court cases (e.g. first of its kind)

If on balance of the factors, the records represent significant issue/s, retain as “Significant”.

If in doubt, seek advice or keep as default with review until more information becomes available.

~ Other

Also known as non-State significant, not significant, minor, low value, low risk, routine, etc. Non-significance may be determined by a number of factors:

- Lesser in size, scope or importance
- Represents one individual’s opinion on topic of low value to community
- Not serious i.e. routine, duplicable, low value, short applicability, short term relevance
- Not resulting in changes to Government or agency policy, or minor changes only
- Not generating or outlaying significant funds
- Not substantial public interest in the context of the definitions of ‘significant’ above
- Low value to community
- Inconsequential or low risk if records not kept
- Minor operational details
- Routine matters
- Working papers, audio, video or other recordings used as working notes only

If on balance of the factors, the records represent non-significant issues, retain as “Other”.

If in doubt, seek advice or keep as default with review until more information becomes available