

Compliance plan for Waimakariri DUML – 2019

Location of each item of load		
Non-compliance	Description	
Audit Ref: 2.3 With: Clause 11(2)(b) of Schedule 15.3 From: 01-May-18 To: 24-May-19	Some inadequate location information. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk most of the time and the number of issues is low. The impact is a lack of clarity when conducting the field audit. The audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Genesis has raised these with Waimakariri DC and requested the locational exceptions to be corrected.		01/07/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Genesis will review and report exceptions back to Waimakariri DC monthly where exceptions are identified.		01/06/2019
		Identified

All load recorded in database		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 11(2A) of Schedule 15.3 From: 01-May-18 To: 24-May-19	All load is not recorded in the database, 21 additional items of load were identified. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they are sufficient to ensure that lamp information is correctly recorded most of the time. The impact is assessed to be low, based on the number of differences described above.	
Actions taken to resolve the issue	Completion date	Remedial action status
Genesis has raised these with Waimakiriri DC and requested the locational exceptions to be corrected.	01/07/2019	Investigating
Preventative actions taken to ensure no further issues will occur	Completion date	
Genesis will review and report exceptions back to Waimakiriri DC monthly where exceptions are identified.	01/06/2019	