

# Compliance Plan Waimea Retirement Village DC DUML 2021

Tracking of load changes			
Non-compliance	Description		
Audit Ref: 2.6 With: 11(3) of Schedule 15.3  From: 24-Nov-18 To: 06-Oct-21	No process for tracking changes. Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are recorded as none as there is no process for tracking changes. The impact is minor as this is a small database and there are not expected to be many changes; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
We were unaware that these steps had been removed from the process. This customer will be moving to Simply Energy, so we will ensure that Simply continue to work with the customer to ensure a process is in place		TBA	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<ul style="list-style-type: none"> <li>Contact to ensure that Simply Energy work with the customer to have a process in place.</li> <li>Alternatively, Simply will working with the customer to change this site status away from DUML.</li> </ul>		TBA	

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: 11(4) of Schedule 15.3  From: 24-Nov-18 To: 06-Oct-21	No audit trail. Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as none as there is no audit trail of changes. The impact is minor as this is a small database and there are not expected to be many changes; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
This customer will be moving to Simply Energy, so we will ensure that Simply continue to work with the customer to ensure a process is in place		TBA
Preventative actions taken to ensure no further issues will occur		Completion date
<ul style="list-style-type: none"> <li>Contact to ensure that Simply Energy work with the customer to have a process in place</li> </ul> Alternatively, Simply will working with the customer to change this site status away from DUMML		TBA
		Identified