

# Compliance Plan Waimea Retirement Village DUML 2022

Tracking of load changes		
Non-compliance	Description	
Audit Ref: 2.6 With: 11(3) of Schedule 15.3 From: 08-Oct-21 To: 03-Oct-22	No process for tracking changes. Potential impact: Low Actual impact: Low Audit history: Once 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
Simply Energy are taking over the supply of this DUML ICP 1 <sup>st</sup> January 2023 and are in discussions with the Village and Network Tasman about management of the database moving forward.		31/1/2023
Preventative actions taken to ensure no further issues will occur		Completion date
Remedial action status		
Identified		

Audit trail		
Non-compliance	Description	
Audit Ref: 2.7 With: 11(4) of Schedule 15.3 From: 08-Oct-21 To: 03-Oct-22	No audit trail. Potential impact: Low Actual impact: Low Audit history: Once 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 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
Simply Energy are taking over the supply of this DUML ICP 1 <sup>st</sup> January 2023 and are in discussions with the Village and Network Tasman about management of the database moving forward		31/1/2023
Preventative actions taken to ensure no further issues will occur		Completion date