

Compliance plan for Waitomo DC - 2017

ICP Identifier		
Non-compliance	Description	
Audit ref: 2.2.1 With: Clause 11(2)(a) of schedule 15.3 From: 01/06/16 To: 07/06/17	ICP identifiers not in database for NZTA lights Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach Risk Rating: 1	
Audit Risk Rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because each item of load is identified correctly and submission occurs against the correct ICPs. There is a small risk that the lack of ICP identifier could result in incorrect submission information, therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action Status
KCE will be contacting the NZTA to confirm the correct ICP prior to requesting Alf Downs updating the data base.	Proposed completion date 30 April 2018	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
A monthly process check has been designed to ensure there are no additional problems.	Proposed completion date 30 April 2018	

Database Accuracy		
Non-compliance	Description	
Audit ref: 2.4 With: Clause 11(1) of schedule 15.3 From: 01/06/16 To: 07/06/17	Database not 100% accurate Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach Risk Rating: 1	
Audit Risk Rating	Rationale for audit risk rating	

Low	Over submission has occurred due to one additional light in the database, this is considered a minor impact, therefore the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action Status
Alf Downs have been advised and have corrected this error in their data base.	12 June 2017	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
KCE intends to review the month data supplied by Alf Downs on a half yearly basis, using the audited May data as a base line.	Proposed completion of the first review 28 Feb 2018	