

Compliance plan for Napier NZTA DUML – 2019

Deriving submission information		
Non-compliance	Description	
<p>Audit Ref: 2.1 With: Clause 11(1) of Schedule 15.3</p> <p>From: 01-May-18 To: 13-May-19</p>	<p>Process to derive submission information includes manipulation of the data by PSL to select by lamp owner not by ICP. Submission information appears correct, but it doesn't match the data base.</p> <p>Gear wattage not derived from the database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak, because they don't adequately manage the risk of future incorrect submission.</p> <p>The actual impact is assessed to be low, because submission appears to be accurate.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
<p>We are working with NZTA and PSL to resolve the issues of the incorrect ICP being recorded against some items of load in the database and gear wattage being manually entered to the report rather than being extracted from the database.</p> <p>We note that neither issue has impacted accuracy of submission information.</p>	Oct 2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

ICP identifier and items of load		
Non-compliance	Description	
<p>Audit Ref: 2.2</p> <p>With: Clause 11(2)(a) and (aa) of Schedule 15.3</p> <p>From: 01-May-18</p> <p>To: 15-May-19</p>	<p>Items of load against incorrect ICPs in the database.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are rated as weak, because they don't adequately manage the risk of future incorrect submission.</p> <p>The actual impact is assessed to be low, because submission appears to be accurate.</p>	
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