

## Compliance plan for New Zealand Airways Limited

Title: Creation of submission information		
Non-compliance	Description	
<p>Audit Ref: 12.2</p> <p>With: Clause 15.4</p> <p>From: 01-Feb-18</p> <p>To: 28-Feb-18</p>	<p>Alleged breach 1803NZAL2 was recorded for late provision of February 2018 initial NSP volumes for one NSP.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as strong and the risk as low, because submissions are normally completed on time and the breach for late submission was closed early.	
Actions taken to resolve the issue		Completion date
The setup for gate meter 0000043164WEC2C which is on NAT0011 was corrected. EMS re-uploaded the replacement of the revised NZAL NSPVOLS file and this processed in correctly.		07/03/2018
Preventative actions taken to ensure no further issues will occur		Completion date
<p>EMS have changed the internal processes for managing NSP gate meters so that the NSP configuration and the NSP discrepancy check configuration are not performed by the same person.</p> <p>EMS will wait for a longer time to before checking the final upload result.</p> <p>EMS and the RM will meet to discuss how the RM system might be improved so users have a better view of the data being load.</p>		09/03/2018
		Identified

Title: Provision of NSP submission information		
Non-compliance	Description	
<p>Audit Ref: 12.5</p> <p>With: Clause 15.10</p> <p>From: 01-Feb-18</p> <p>To: 28-Feb-18</p>	<p>Alleged breach 1803NZAL2 was recorded for late provision of February 2018 initial NSP volumes for one NSP.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as strong and the risk as low, because submissions are normally completed on time and the breach for late submission was closed early.	
Actions taken to resolve the issue		Completion date
The setup for gate meter 0000043164WEC2C which is on NAT0011 was corrected. EMS re-uploaded the replacement of the revised NZAL NSPVOLS file and this processed in correctly		07/03/2018
Preventative actions taken to ensure no further issues will occur		Completion date
<p>EMS have changed the internal processes for managing NSP gate meters so that the NSP configuration and the NSP discrepancy check configuration are not performed by the same person.</p> <p>EMS will wait for a longer time to before checking the final upload result.</p> <p>EMS and the RM will meet to discuss how the RM system might be improved so users have a better view of the data being load.</p>		09/03/2018
		Identified