

# Compliance Plan Tuihana Networks Limited Distributor 2021

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1  With: 8 of Schedule 11.1   From: 01-Mar-19  To: 31-Aug-21	Five late updates to registry.  Potential impact: Low  Actual impact: Low  Audit history: Multiple  Controls: Moderate  Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate because they are sufficient to ensure that the registry is updated within three business days most of the time.  The audit risk rating is low as the discrepancies identified have little or no direct impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
TUIH's notification to DG third party includes new requirement for timely notification of completed details. Missing information for ICP 0000016787WE804 has been remedied.		01/12/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
DG activities will continue to be monitored and enforced by TUIH to ensure that its third party’s obligations for timely notification are met.		On-going	