

1 2017 Post Audit implementation Plan – AER Retail Pty Ltd – ERL18

A. Post Audit Action Plan					
Reference (no./year)	Compliance Rating and Details of the Non-Compliance by end of Review period	Auditors' Recommendation	Management action	Responsible	By When
1/2017 124	B2 <i>Retail Licence condition 16.1</i> Not all compliance reports on time.	Improve control processes to ensure that reports are submitted on time.	Set recurring annual reminders in Business Analyst and Managing Director's calendars as reminder to submit the reports on required due dates.	Business analyst	Complete by 30 June 2018
3/2017 306	B2 <i>Code condition 13.2</i> Not all compliance reports on time.	Improve control processes to ensure that reports are submitted on time.	Set recurring annual reminders in Business Analyst and Managing Director's calendars as reminder to submit the reports on required due dates.	Business analyst	Complete by 30 June 2018