

14.1 APPOINTMENT OF INDEPENDENT MEMBER TO THE AUDIT COMMITTEE

REPORT AUTHOR: General Manager, Corporate Services
GENERAL MANAGER: Chief Executive Officer
CONTACT NUMBER: 8366 4585
FILE REFERENCE: S2083
ATTACHMENTS: A

PURPOSE OF REPORT

The purpose of this report is to seek the Council's endorsement of the appointment of an Independent Member to the Audit Committee.

BACKGROUND

The Council's Audit Committee is established under Section 41 of the *Local Government Act 1999* (the Act). Pursuant to Section 126 (1) of the Act, the Council must have an Audit Committee and the membership of the Audit Committee;

- (a) *may include persons who are not members of the Council; and*
- (b) *may not include an employee of the council (although an employee may attend a meeting of the committee if appropriate); and*
- (c) *may include, or be comprised of, members of an audit committee for another council; and*
- (d) *must otherwise be determined in accordance with the requirements of the regulations.*

In respect to the membership of an Audit Committee, pursuant to Clause 17 of the *Local Government (Financial Management) Regulations 2011* (the Regulations), the Audit Committee:

- (a) *must have between three (3) and five (5) members (inclusive); and*
- (b) *must include at least one (1) person who is not a member of the Council and who is determined by the Council to have financial experience relevant to the functions of the Audit Committee; and*
- (c) *must not include, as a member, the Council's External Auditor under section 128 of the Act.*

The Council's Audit Committee was re-established following the November 2018 Local Government Elections, with membership comprising of three (3) Elected Members and two (2) Independent Members. The term of the current Committee concludes on 31 October 2020.

At its meeting held on 3 December 2018, the Council appointed the following Elected Members to the Audit Committee:

- Cr John Minney (Presiding Member);
- Mayor Robert Bria; and
- Cr Mike Stock.

At its meeting held on 17 January 2019, the Council re-appointed Mr Peter Holmes as an Independent Member to the Audit Committee and at its meeting held on 10 April 2019, following an Expression of Interest process, the Council appointed Ms Sandra Di Blasio as the second Independent Member.

Mr Peter Holmes tendered his resignation from the Audit Committee on 29 May 2019, as a result of requirements with his employment.

RELEVANT STRATEGIC DIRECTIONS & POLICIES

Not Applicable.

FINANCIAL AND BUDGET IMPLICATIONS

The Council has determined that the Independent Members of the Audit Committee will receive a sitting fee of \$440 per meeting. In line with the Terms of Reference, the Audit Committee is required to meet four (4) times per annum. The annual cost to the Council is for sitting fees is therefore \$3,520.

EXTERNAL ECONOMIC IMPLICATIONS

Not Applicable.

SOCIAL ISSUES

Not Applicable.

CULTURAL ISSUES

Not Applicable.

ENVIRONMENTAL ISSUES

Not Applicable.

RESOURCE ISSUES

Not Applicable.

RISK MANAGEMENT

Pursuant to Section 126 of the Act, the Council must have an audit committee to assist in the performance of council functions. The Act prescribes certain requirements in respect to the membership and the functions of an Audit Committee.

The Audit Committee's Terms of Reference, satisfies the requirements of Section 126.

The establishment of the Audit Committee and adoption of the Committee's Terms of Reference, complies with the provisions of the Act.

To ensure the proper discharge of responsibilities, the Committee will be required to operate within the parameters of its Terms of Reference, as established and approved by the Council.

CONSULTATION

- **Elected Members**

Mayor Bria, Cr John Minney (Presiding Member) and Cr Stock are members of the Audit Committee and together with the Chief Executive Officer formed the Interview Panel for the selection and recommendation to the Council of a preferred candidate to fill the position of an Independent Member.

- **Community**

Not Applicable.

- **Staff**

The Council's Chief Executive Officer, in accordance with the Audit Committees Terms of Reference, was a member of the Interview Panel.

- **Other Agencies**

Not Applicable

DISCUSSION

Expressions of Interest for an Independent Members of the Audit Committee to replace Mr Holmes was advertised in the Advertiser and on SEEK on 6 June 2019. The closing date for Expressions of Interest was 21 June 2019.

Expressions of Interest were received from 19 applicants. The following six (6) candidates were shortlisted for an interview:

- Ms Paula Davies;
- Ms Brigid O'Neill;
- Mr Kevin Shepherdson;
- Mr Peter Francis;
- Mr Ian Swan; and
- Mr Michael Parkinson.

A copy of the applications of the candidates which have been interviewed are contained in **Attachment A**.

In accordance with the Committee's Terms of Reference, the Interview Panel comprised the Mayor, Councillors Stock and Minney and the Chief Executive Officer.

The Interview Panel interviewed the applicants between Thursday 4 July 2019 and Thursday 11 July 2019. The interview questions focussed on key aspects of the role and were aimed at ascertaining how each candidate would contribute to the effective operation of and value add to the Audit Committee. A summary of each applicants experience and interview is set out below:

- **Ms Paula Davies**

Ms Davies is a lawyer with a background in governance, compliance and risk management. Ms Davies is currently an Independent Member of the Adelaide Hills Council and the City of Holdfast Bay Audit Committee. Ms Davies is also a member of various other Boards and Committees.

- **Ms Brigid O'Neill**

Ms O'Neill is a business consultant with a legal background. Ms O'Neill has experience as a member of various Boards and is currently a Non-Executive Director of the Global Innovation Group and Parkinson's South Australia.

- **Mr Kevin Shepherdson**

Mr Shepherdson is a resident of Norwood and a previous Elected Member of the City of Norwood Payneham & St Peters. Whilst an Elected Member, Mr Shepherdson was appointed to the Audit Committee and served on the Committee from May 2015 to October 2018.

- **Mr Peter Francis**

Mr Francis is a business professional, and specialises in the provision of internal audit and risk management services. Mr Francis is currently a Councillor of the Institute of Internal Auditors (IIA) Australia South Australian Chapter and was previously the Chair of the IIA Australia Victorian Chapter.

- **Mr Ian Swan**

Mr Swan is a business owner, who provides accounting services. Mr Swan is a current Independent Member of Various Regional SA Audit Committees and is currently the Independent Chairperson for the following Audit Committees:

- District Council of Mount Remarkable;
- Katherine Town Council (NT); and
- District Council of Orroroo Carrieton.

- **Mr Michael Parkinson**

Mr Parkinson is a retired Director from KPMG, with experience in risk management, internal audit and information technology. Mr Parkinson was a previous Board Member of the Institute of Internal Auditors and is currently on a number of Queensland Local Government Audit Committees and is the Chair of the Fraser Coast Regional Council Audit Committee.

During the interviews the applicants demonstrated that they have either the skills and/or experience in respect to the role and function of the Audit Committee or areas of expertise, that would assist the organisation and the Council.

Following consideration of the skills, expertise and experience of the current members of the Audit Committee, the Interview Panel has selected Ms Brigid O'Neill, as the preferred candidate to be appointed Independent Member of the Council's Audit Committee.

Whilst the Terms of Reference stipulate that each Member is appointed for a two year term, it is recommended that the Council appoints Ms Brigid O'Neill for a term commencing on 6 August 2019 until 31 October 2020. This will ensure that Ms O'Neill's term of appointment will conclude at the same time as the other Members of the Committee.

OPTIONS

The Council has the following options in respect to this issue:

Option 1

The Council can choose to endorse the selection and recommendation which has been made by the Interview Panel and appoint Ms Brigid O'Neill to the Audit committee as an Independent Member; or

Option 2

The Council can choose not to endorse the selection and recommendation of the Interview Panel and either re-commence the process or appoint another applicant to the position.

Option 1 is recommended.

CONCLUSION

To comply with the requirements of the Act and the Terms of Reference of the Audit Committee, the Council is required to appoint two (2) Independent Members to the Audit Committee. At its meeting held on 10 April 2019, the Council appointed Ms Sandra DiBlasio to the Audit Committee and is now required to make the appointment of a second Independent Member, following the resignation of Mr Peter Holmes.

Given the current focus on effective financial management and governance, it is important that the Council can demonstrate that the oversight of these matters is conducted with an appropriate level of independence from the Council. To ensure the effective and efficient operation of the Audit Committee, the Council must ensure that the Audit Committee has suitably qualified and/or experienced persons to ensure that the Committee as a whole, can effectively fulfil its duties and responsibilities as set out in the Committee's Terms of Reference.

Based on the interviews which have been conducted, Ms O'Neill is considered by the Interview Panel to be the best candidate to assist the Audit Committee to fulfil its duties and responsibilities as set out in the Committee's Terms of Reference and in turn enable the Council to meet its obligations as set out in the *Local Government Act 1999*.

COMMENTS

Nil

RECOMMENDATION 1

That pursuant to Section 90(2) and (3) of the *Local Government Act 1999* the Council orders that the public, with the exception of the Council staff present, be excluded from the meeting on the basis that the Council will receive, discuss and consider:

- (a) information the disclosure of which would involve the unreasonable disclosure of information concerning the personal affairs of any person (living or dead)

and the Council is satisfied that, the principle that the meeting should be conducted in a place open to the public, has been outweighed by the need to keep the receipt/discussion/consideration of the information confidential.

RECOMMENDATION 2

That Ms Brigid O'Neill be appointed to the City of Norwood Payneham & St Peters Audit Committee, with the term of the appointment being effective from 6 August 2019 and concluding on 31 October 2020.

RECOMMENDATION 3

Under Section 91(7) and (9) of the *Local Government Act 1999* the Council orders that the report and attachments be kept confidential for a period not exceeding five (5) years and that this order be reviewed every twelve (12) months.

Under Section 91(7) and (9) of the *Local Government Act 1999* the Council orders that the discussion and minutes be kept confidential until the announcement of the appointment is made.

Cr Minney moved:

That pursuant to Section 90(2) and (3) of the Local Government Act 1999 the Council orders that the public, with the exception of the Council staff present [Chief Executive Officer, General Manager, Governance & Community Affairs, General Manager, Urban Planning & Environment, General Manager, Urban Services, General Manager, Corporate Services & Administration Officer, Governance & Community Affairs], be excluded from the meeting on the basis that the Council will receive, discuss and consider:

- (a) information the disclosure of which would involve the unreasonable disclosure of information concerning the personal affairs of any person (living or dead)*

and the Council is satisfied that, the principle that the meeting should be conducted in a place open to the public, has been outweighed by the need to keep the receipt/discussion/consideration of the information confidential.

Seconded by Cr Stock and carried.

Cr Sims moved:

That Ms Brigid O'Neill be appointed to the City of Norwood Payneham & St Peters Audit Committee, with the term of the appointment being effective from 6 August 2019 and concluding on 31 October 2020.

Seconded by Cr Minney and carried unanimously.

Cr Duke moved:

Under Section 91(7) and (9) of the Local Government Act 1999 the Council orders that the report and attachments be kept confidential for a period not exceeding five (5) years and that this order be reviewed every twelve (12) months.

Under Section 91(7) and (9) of the Local Government Act 1999 the Council orders that the discussion and minutes be kept confidential until the announcement of the appointment is made.

Seconded by Cr Minney and carried unanimously.

Released

Attachment A

Appointment of Independent Member to the Audit Committee

Released

City of Norwood Payneham & St Peters
175 The Parade, Norwood SA 5067

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Facsimile 8332 6338
Email townhall@npsp.sa.gov.au
Website www.npsp.sa.gov.au



City of
**Norwood
Payneham
& St Peters**



Paula Davies

0491 219 951 – pauladavies4711@gmail.com

Ms Sharon Perkins
General Manager, Corporate Services
City of Norwood, Payneham & St Peters
E: sperkins@npsp.sa.gov.au

7 June 2019

Dear Ms Perkins

Re: Independent Audit Committee Member

I am keen to be considered for appointment as an Independent Member of the Council's Audit Committee.

I am currently an Independent Member of the Adelaide Hills Council (AHC's) Audit Committee having been so since July 2014, as well as its CEO Performance Review Panel (also since July 2014). In addition, during the period 2016 -2018 I also nominated and served as the Presiding Member of the Audit Committee. I am currently on my third term with both roles that I find very interesting and enjoyable and which play to my strengths.

In terms of my credentials, as well as having an economics degree (accounting major), I am a lawyer with a strong background in governance, compliance and risk management. I have worked in the SA public sector for the past 15 years including in Attorney General's Department (with the SA Ombudsman overseeing FOI external reviews) and in SAPOL as a Senior Legal Officer in both the Commissioner's Support Branch and in Strategy, Policy & Programs. I have a solid background in Administrative Law, with a strong integrity focus.

In my current professional role I oversee all clinical research operations at the Southern Adelaide Local Health Network, including the operation of the Southern Adelaide Clinical Research Ethics Committee (SAC HREC), a combined ethics committee between SALHN and the nearby Flinders University, and the management all aspects of research governance (credentialing, indemnity and insurance, contracts and IP), and overall compliance including audits of research projects and management of any research integrity issues arising.

I am AICD qualified (Full course in 1999 and Director's Update 2015) and am trained as a mediator. I have considerable risk management experience at a board/committee level including in my former role a Chair of the Risk & Compliance Committee of Blue Light Inc. (a board I was a member on from 2012-2015) where I established a contemporary risk management framework. I also helped transition the advisory committee to a full board by way of constitutional amendments in 2014 to make it more responsive and agile. I sit on the Literacy Australia Board as well as the SA Health & Wellbeing's Human Research Ethics Committee.

I would welcome further discussion about this role which fits well with my skills and interests. I have very much enjoyed being part of the AHC's Audit Committee (as well as its CEO PRP) particularly the interface between strategy and operations. Earlier this year I was appointed to the City of Holdfast Bay's Audit Committee and I have already begun to see the synergies associated with being on both and I have capacity for a third.

I have attached a recent brief copy of my CV for your perusal. Whilst each entity is different of course with varying challenges I believe that my existing experience at other councils in a similar role provides some insight that may be of value to the City of Norwood, Payneham and St Peters, and I would be keen to bring these skills to this role. I look forward to hearing from you in due course.

Yours sincerely,

Paula Davies



Paula Davies

0491 219 951 – pauladavies4711@gmail.com

OBJECTIVE

I am committed to improving decision-making frameworks and processes, by the provision of pragmatic and robust legal and governance advice, contributing to overall organizational risk management and the efficient and effective use of resources, to help achieve broader strategic objectives.

SKILLS

- ✓ Administrative Law/Public Sector Law specialist
- ✓ Governance (inc Corporate Governance)
- ✓ Risk Management & Compliance
- ✓ Stakeholder engagement/management
- ✓ Mediation/Alternative Dispute Resolution (ADR)
- ✓ Policy development (including at a national level)
- ✓ Project management/change management

EDUCATION & QUALIFICATIONS

GOVERNANCE INSTITUTE OF AUSTRALIA Company Secretaries Course	2019
MONASH UNIVERSITY CENTRE FOR ETHICS IN SOCIETY Intensive Research Ethics Course	2016
AUSTRALIAN INSTITUTE OF COMPANY DIRECTORS Company Director's Course – Director's Update	2015
RESOLUTION INSTITUTE (FORMERLY LEADR/IAMA) Mediation Course (Intensive)	2015
WILLIAM GLASSER INSTITUTE Lead Management/Choice Theory (Basic)	2005
UNIVERSITY OF SOUTHERN QUEENSLAND Graduate Diploma of Psychological Studies	2003
AUSTRALIAN INSTITUTE OF COMPANY DIRECTORS Company Director's course – Foundation	1999
UNIVERSITY OF SOUTH AUSTRALIA Graduate Diploma of Legal Practice	1991
UNIVERSITY OF ADELAIDE Bachelor of Laws	1990
Bachelor of Economics	1989

BOARDS & COMMITTEES

PAID

City of Holdfast Bay's Audit Committee: Independent Member (March 2019 – current)

Adelaide Hills Council's Audit Committee: Independent Member (2014 – current); Chair (2016 - 2018)

Adelaide Hills Council's CEO Performance Review Panel: Independent Member (2014 - current)

VOLUNTARY

Burnside Rugby Union Football Club: Member Protection Information Officer (2019 - current)

SALHN Equity & Diversity Committee: Member (January 2019 - current)

Flinders University Anatomy Governance Committee: Member (August 2018 - current)

SA Health Research Management Steering Committee – Member (May 2018 - current)

Raising Literacy Australia Inc. Board Member (December 2017 - current)

SA Heath's Human Research Ethics Committee: Legal Member (Deputy); (2017 - current)

PREVIOUS

Flinders University Institutional Biosafety Committee: Lay Member (2016 - 2018)

Blue Light Inc. (SA): Board Member (2013 - 2015); Chair Risk & Compliance Committee (2014 - 2015)

Mt Lofty Football Club: Director; Chair Junior Committee (2010 - 2013)

Adelaide Hills Petanque Club: Board Member (2007 - 2008)

Law Society of SA Bulletin Editorial Committee: Member (2005 - 2006)

Flinders University Social and Behavioural Research Ethics Committee: Legal Member (2003)

Hunter Community Legal Centre (1996 - 1998)

Hobart Community Legal Centre (1995)

Para Districts Community Legal Centre (1994)

REFEREES

Available on request.

BRIGID O'NEILL

+61 (0)481901056 | brigidoneill@outlook.com

SUMMARY

A senior commercial executive and people leader, I have significant expertise in leading complex projects and delivering strategic objectives. Frequently brought in as an executive trouble shooter for specific projects to "make it happen", I am an exceptional negotiator with strong communication, analytical and lateral problem-solving skills. I am a collaborative leader who strongly supports cultural inclusion in my teams, having an avid belief that diversity leads to better decisions and thus increased performance. I have a reputation for quickly grasping complex issues and have a 'can do' approach to delivering fit for purpose solutions. A strong entrepreneurial spirit coupled with a spirited, positive and enthusiastic attitude help me to succeed.

AREAS OF EXPERTISE

Stakeholder Mgt	Strategic Planning	Conflict Management	People Mgt
Project Delivery	Business Transformation	Supply Chain Mgt	Organisational Change

CAREER HISTORY

DATE	COMPANY	LOCATION	ROLE
2017 to date	BON Advisory	Adelaide	Consultant
2017 - 2018	Aust. Bragg Centre	Adelaide	Program Director
2016 - 2017	Premier & Cabinet	Adelaide	Commercial & Legal Director
2016	Capita	London	Consultant
2011 - 2015	Sopra Steria	London	Commercial & Legal Director
2010	Babcock International	London	Consultant
2007 - 2009	BT Global Services	London	Consultant
2004 - 2007	Telefonica	London	In-House Solicitor
2003	University of Essex	London	Industry Visiting Fellow (LLM Arbitration)
2003 - 2004	Stephoe & Johnson	London	Private Practice Solicitor
1999 - 2002	Freshfields Bruckhaus Deringer	Paris	Private Practice Solicitor

BOARD CREDENTIALS

2019 to date	Global Innovation Group	London	Non-Executive Director
2018 to date	Parkinson's South Australia	Adelaide	Non-Executive Director
2018 to date	Stirling East Kindergarten	Adelaide	Governing Council
2013 to date	BlueUK	London	Advisory Board
2011 - 2013	Powered by Bees	London	Non-Executive Director
2009 - 2011	Race Antarctica	London	Advisory Board

SELECTED EMPLOYMENT HISTORY

BON Advisory – Consultant

Jan 2017 to date

- SAHMRI 2 Project – consulting retainer for the provision of project advice and assistance.
- Brain x Body – Commercialisation of start-up to offer brain neuroplasticity training which prevents, reduces, retards and reverses neurological degeneration.
- Oasis – Commercialisation of start-up to offer renewable energy via patent pending hydro technology and patent pending carbon capture device.
- Acting for numerous business clients in commercial matters

Aust. Bragg Centre for Proton Therapy & Research – Program Director**Nov 2017 to Nov 2018**

- Transferred from Department of Premier & Cabinet (with governmental approval) to assist private partners Commercial & General (developer and investor), South Australian Health & Medical Research Institute (SAHMRI - investor) and ProTom International (equipment vendor and investor) in the establishment of Australia's first proton therapy centre, the Australian Bragg Centre for Proton Therapy & Research. <https://www.australianbraggcentre.com/>
- Responsible for the establishment of Bragg Centre corporate investment structure, corporate services strategy and planning, market identification and pricing, procurement strategy and negotiations, communications strategy, application for Medicare funding for proton therapy, negotiation and drafting of all commercial contracts and forecast financial model.
- Member of the SA Health Proton Steering Committee (chaired by Professor Dorothy Keefe) to establish and agree clinical operating model that met SA Health public health outcomes and standards of care whilst remaining profitable for private sector investors. This included ensuring all services would be appropriately accessible to Australia's diverse population regardless as to socio-economic banding, homelessness status, cultural/linguistic background and/or location in remote aboriginal communities.
- Establishment of organisational structure and human resources strategy and planning to ensure diversity in staff with additional staff members to offer cultural and/or linguistic support specific to certain patient groups.
- Responsible for establishing relationships with international private and public hospitals and medical services providers to create pipeline of international self-funded patients;
- Responsible for strategy planning and designing of innovative technology use in state of the art medical facility both for optimal non clinical patient experience.
- Ownership of operational project budget, delivery against project milestones, project risk management and significant government relations management at Federal, State ministerial and bureaucratic levels across numerous departments.
- Management of the associated infrastructure challenges in the Bio-Medical Precinct that would be exacerbated by the influx of an additional 1,000 employees and 5,000 patients (with their families/carers). These included car parking, child care facilities, accommodation and traffic management.

Key Achievements

- Structured a delivery model that achieved the government's desired model of care yet still provided excellent returns for investors (10YR IRR of 48%).
- Successfully passed a federal government mandated audit by Ernst & Young lasting six months which resulted in the confirmation of the \$68 million Federal Government grant.

Department of Premier & Cabinet – Commercial & Legal Director**Dec 2016 – Oct 2017**

- Responsible for the provision of legal and commercial advice to the Premier and Cabinet on infrastructure projects to deliver the Government's 30 Year Plan.
- Responsible for direct reports and their professional development, training and retention. This included implementing frameworks for identifying and managing employee satisfaction, career growth and subject matter expertise.
- Undertook business case analysis to determine strategic and economic benefit to the State and provide strategic advice on commercial structures, including risk and returns.
- Responsible for the identification of infrastructure projects within the West End Precinct to facilitate organic growth and colocation of diverse industries with associated liaison with private and public sector stakeholders including:
 - Department of Correctional Services regarding the future of the Adelaide Remand Centre and their near-term requirement for additional prison spaces coupled with the Attorney General's Department strategic plans for the implementation of technology step change in the Courts Administration Authority;

- University of South Australia's and University of Adelaide's plans for expansion;
- Arts South Australia's position and strategic plans for the Lion Arts Centre and the creative arts within the precinct coupled with its severe storage restrictions and lack of performance spaces;
- Health Industries' strategic growth plans for the Bio-Medical Precinct on North Terrace West, Thebarton and Tonsley and their transport corridors;
- Renewal SA's plans for the Riverbank Precinct and the old Royal Adelaide Hospital redevelopment (now Lot 14); and
- Adelaide City Council's plans for a SMART Adelaide with the location of numerous advanced technology entities to be based in the precinct.
- SA Government lead on the SAHMRI 2 project (the establishment of a 2nd SAHMRI building and the Australian Bragg Centre for Proton Therapy & Research) which included liaison with:
 - Department for Aboriginal Affairs and Crown Solicitors Office concerning native title and aboriginal heritage legislation;
 - Department of Treasury and Finance regarding SAFA review of business case and SA Government funding conditions;
 - Federal Departments of Health and Prime Minister and Cabinet regarding budget allocation and conditions;
 - Department of Planning, Transport and Infrastructure concerning budgeting, planning and implementation of train control centre relocation to Dry Creek (including managing anticipated industrial relations challenges); and
 - SA Health regarding commercial model, standards of care and cross governmental charging.
- SA Government lead on the Adelaide City Deals project which included:
 - chairing cross governmental steering committee;
 - liaison with Renewal SA, Adelaide City Council, Department of Planning, Transport and Infrastructure, Primary Industries and Regions South Australia, Department of Treasury, Finance and the Department of Environment and Water and Federal Department of Prime Minister and Cabinet; and
 - identification of infrastructure projects with existing feasibility assessments, alignment with near to long term budgetary commitments and preparation of project documentation and presentations to the Federal Government.
- DPC lead on the transformation projects for Cleland Wildlife Park and Dry Creek Salt Pans.
- Establishment of policies and procedures for commercial management and provision of advice to senior executives and staff within the Department on all portfolios.
- Preparation of Cabinet Briefs, Cabinet Notes, Ministerial Advice and other departmental and machinery of government documentation for briefing and decision making; and
- Managed training for project decision analysis and recommended frameworks and systems for measuring project outcomes.
- Liaised with the Federation Digital Transformation Agency,

Key Achievements

- Responsible for liaison and lobbying of Federal Government resulting in the 2017 budget announcement of \$68m investment for SAHMRI 2.
- SA Government lead on Adelaide City Deals project to develop >\$400m investment in South Australian economy by all three levels of government and private sector.

Capita, London – Consultant (Fixed Term Contract)

Jan – Jul 2016

Capita Plc is the UK's leading provider of BPO and professional support services with a turnover of £4.6bn and 75,000 employees

- Short term contract during preparations to relocate back to Australia to backfill existing role of Commercial & Legal Director.

- Responsible for operational, commercial and legal advice on service delivery in employee benefits sector (including retention policies, professional development allocations, medical and dental care, cars, insurances and superannuation services).
- Responsible for negotiation and finalisation of significant customer contracts, underwriting operational budgets and delivery risk management.
- Established and implemented multi-site process management training program which included recommendations on use of information technology.
- Led change programme to transform bid process (risk identification and management, corporate governance, client engagement model, review of all commercial terms, update of all authorities).
- Managed multi-million pound budget with full responsibility for managing external advisors.

Key Achievements

- Reduced a £79m portfolio of disputes with governmental / corporate customers and pension scheme trustees by 40% in six months through high level engagement, commercial negotiation and strategic use of dispute resolution techniques saving Capita £27m.
- Resolution of acrimonious relationship with AXA resulting in Capita being able to draw down on a £25m indemnity from a Share Purchase Agreement.

Sopra Steria, London - Commercial Director

Feb 2011 – Dec 2015

French leader in ITO and BPO services with 37,000 employees and a turnover of €3bn

- Head of Commercial
 - At the £1 billion joint venture with the UK Cabinet Office for the provision of payroll, HR, finance, IT and procurement services through a shared service model (SSCL).
 - Responsible for the development of a commercial operating model integrating the six different government departments which had been transferred to the joint venture.
 - Led the establishment and implementation of organisational transformation across six sites and facilitated training to bring all sites into alignment with the new operating model.
 - Undertook significant industrial relations and human resources management due to the large numbers of transferred staff. This included the design, implementation and management of a diversity and inclusion program which covered gender, race, ethnicity, religion and sexuality;
 - Establishment of protocols, policies, templates and training for industry best practice including operating manuals, checklists, trackers and governance models.
 - Negotiated major contracts with SSCL customers, suppliers and the Cabinet Office and provided strategic direction on in-life delivery, procedures and processes to ensure delivery aligned to SLAs and to facilitate continuous improvement.
- Commercial Development Director.
 - Led multi-disciplinary teams in tendering for significant client services contracts (>£50m) in government, defence, utilities, health and financial services.
 - Established commercial structure, financial models (including volume discounts and payment profiles), managed risk qualification, black hat reviews and gating protocols for bid progression.

Key Achievements

- Negotiation of rectification program with SSCL clients to agree new delivery milestones, establish cost to complete and renegotiate client dependencies to avoid contract abandonment.
- Secured a £500m contract with Royal Mail that required tower agreements under a master services agreement with onerous cross tower collaboration obligations and led multi-jurisdictional and multi-lingual team to win data hosting and managed services contract across 18 countries for the Metropolitan Life Assurance Company (MetLife).

Babcock International, London – Consultant (Fixed Term Contract)

Jan – Dec :

UK's leading engineering support services organisation with 35,000 employees and a turnover of £4.8bn

- Responsible for legal and commercial teams managing delivery on >30 accounts including Network Rail, EDF, BAE Systems, BBC Global, Royal Navy, British Army, NATO and security services ensuring achievement of financial baselines, project milestones and deliverables.

Key Achievements

- Conducted comprehensive property asset review, analysed results against mid to long term requirements and realigned multimillion-pound property portfolio in estate rationalisation project saving >£7m.
- Restored relations with Royal Navy through effective crisis management and negotiation resulting in 5YR contract renewal.

BT Global Services, London – Consultant

Apr 2007 – Dec :

Global provider of managed networked IT services with a turnover of £6.7bn

- Deputy Commercial Director - Delivery
 - Responsible for commercial delivery elements of the London Program of the £10 billion NHS National Programme for IT (NPfIT).
 - Managed team of 27 commercial managers and full supply chain of suppliers and subcontractors.
 - Key advisor for commercial and legal guidance on stalled/delay challenges in NPfIT.
- Deputy Commercial Director – Business Development
 - Responsible for all legal and commercial drafting and review of bids (public and private procurements) and client services contracts (>£50m) within the health sector in Middle East and Asia Pac.
 - Led commercial and legal business development, deal shaping, contract negotiation and market sector plans in Middle East and Asia Pac.

Key Achievements

- Renegotiated key milestones with Department of Health to enable continued delivery to avoid contract abandonment due to stalled delivery.
- Achieved 15% savings on strategic supply chain contracts to bring down cost to complete

EDUCATION & PROFESSIONAL DEVELOPMENT

Australian Institute Company Directors - Company Director's Course

Admitted to the Roll of Solicitors South Australia

Admitted to the Roll of Solicitors England and Wales UK

Admitted to the Roll of Solicitors New South Wales

Graduate Diploma in Legal Practice – Sydney College of Law, Australia

Maîtrise es Droit (Master of Laws level subjects) – Université de Poitiers, France

Bachelor of Laws – Major in International Law – University of Adelaide, Australia

Bachelor of Arts – Major in International Politics – University of Adelaide, Australia

ADDITIONAL INFORMATION

International Experience:	Experience in EU, Africa, CEE, North America, South America and Asia Pac
Languages:	English (native speaker), French (bilingual), German (basic)
Security Clearance:	United Kingdom Ministry of Defence cleared to SC level, NATO and FVEY
Passports:	Australian, Irish and British citizenship
Hobbies:	Off-road enduro motorbike tours and skiing



Governing & Advisory Board Roles

2019 to date	Global Innovation Group	London	Non-Executive Director
2018 to date	Parkinson's South Australia	Adelaide	Non-Executive Director
2018 to date	Stirling East Kindergarten	Adelaide	Governing Council
2013 to date	BlueUK	London	Advisory Board
2011 - 2013	Powered by Bees	London	Non-Executive Director
2009 - 2011	Race Antarctica	London	Advisory Board

Brigid O'Neill

Principal

Mobile: 0481 901 056

Email: brigid.oneill@bonadvisory.com

Key Skills

- Corporate Governance
- Risk Management & Audit
- Stakeholder & Crisis Management
- Strategic Planning
- Governmental Relations
- Commercial & Corporate Law
- Dispute Resolution Law & Procedure
- Deal Shaping & Complex Negotiations

Sector Experience

- Telco and IT
- Defence
- Health
- Justice
- Government
- Minerals, Energy & Resources
- Financial Services
- Utilities
- Engineering & Construction
- Infrastructure

Brigid O'Neill is a senior lawyer with 20 years' experience in blue chip law firms and companies in Australia and Europe.

After completing her studies in Australia and France she worked for top tier European law firms, representing multinationals, sovereign governments and FTSE 50 corporates in commercial transactions and disputes. Over the last 10 years, Brigid further augmented her experience with inhouse roles wearing both a legal and commercial hat, frequently being sought out as a trouble shooter for specific projects that were under time pressure, required additional stakeholder management or remedial re-negotiation.

Most recently she headed the commercial and legal department of the South Australian Department of Premier & Cabinet from where she was asked to become Program Director of one of their strategic programs, the establishment of Australia's first proton therapy clinic.

Steering Committees and Task Forces

Brigid has significant experience as the chair or as a member of many South Australian governmental steering committees and task forces, including:

- 2017 Chair of the SA Government Steering Committee for the West End Infrastructure Plan;
- 2018 Member of the SA Health Proton Steering Committee;
- 2017 & 2018 Member of the SAHMRI 2 Steering Committee;
- 2017 Member of the SA Government Space Industry Steering Committee; and
- 2017 Chair of the SA Government City Deals Task Force.

Governance, Compliance, Risk and Audit Experience

Brigid has demonstrable experience in the establishment and management of governance, compliance, risk and audit experience. Most recently she was responsible for these issues in the \$300m project to establish a second South Australian Health & BioMedical Research Institute (SAHMRI) building on North Terrace and Australia's first proton therapy centre to be housed within it.

13th June 2019

Sharon Perkins
General Manager, Corporate Services
Norwood Payneham St Peters Council
The Parade
Norwood

Dear Sharon,

I respond to your website opportunity for an independent member of the Audit Committee. As a recent councilor and longtime Norwood resident I wish to submit my interest in the position of an Independent Representative on the Council's Audit Committee.

I served the past four years on this committee as an elected member's representative so I bring continuity and understanding to the position. The time spent on this committee and as a councilor has given me an insight into the workings of local government and the due diligence required to perform as a valued committee member.

Complimenting this, as a previous Company Owner and Director of several small to medium businesses I am well aware of the legal, governance and financial requirements as well as the risk analysis that has to be applied to everyday decisions ensuring that risk is managed in an appropriate and controlled manner. I bring a well rounded view of business based on my experience in establishing new ventures and selling them as on-going concerns. Picknowl, an internet service provider is one example where, from an idea to provide an internet presence for our large customers expanded into the largest privately owned Internet Service Provider in South Australia and second largest to TPG in Australia.

I can communicate with a broad cross-section of people from Board Chairman to the delivery driver by listening and also by asking pertinent questions.

Thank you for reading my expression of interest and I look forward to an interview with the selection panel.

Yours sincerely



Kevin Shepherdson

M: 0419815935

E: krs@ozisp.com.au

Why am I interested in being on the committee

- Long time resident of Norwood and with my past four years as a member of the audit committee I now want to continue understanding and contributing to the wellbeing of the Council. Also I believe that I have a genuine contribution to make to this committee and Council using my 40+ years of business knowledge

What is my understanding of the committee.

This committee has no delegation of powers and It only reports to council which may contain recommendations for council to consider.

This committee is established as a legislative requirement under section 126 the local government Act 1999 and the act states that The functions of an audit committee include—

(a) reviewing annual financial statements to ensure that they present fairly the state of affairs of the council; and

(ab) proposing, and providing information relevant to, a review of the council's strategic management plans or annual business plan; and

(ac) proposing, and reviewing, investigations under section 130A; and

(b) liaising with the council's auditor; and

(c) reviewing the adequacy of the accounting, internal control, reporting and other financial management systems and practices of the council on a regular basis.

Further to these legislative requirements the terms of reference proposes that the audit committee add value to and improve Council operations by examining risk and making sure that IT systems and procedures in general have reliable controls and satisfactory backup systems are in place.

What is my background and explicit knowledge of Council

As you know I was a councilor for the past 4 years and also an audit committee member for that time as well, elected by my fellow elected members. I am familiar with the reports that come before the committee for scrutiny and also the discussion that takes place in relation to organizations that council has an interest in. I still follow Council with great interest. I am reading the agendas and minutes of council and this is how I found out there was a vacancy for this position.

My background is creating, building and selling businesses. I have had many businesses over the past forty years mainly in the IT arena. Businesses in IT consulting, Contract programming, and packaged Application software which was customized and installed in leading Australian Companies in all mainland states and overseas as well. Companies such as Coopers Brewery, Hills Industries, National Foods and companies such as Golden North, Dairy Farmers, Sunburst Juices, Farmers Union, and Viscount Plastics head Office Melbourne with operations in Adelaide, Sydney, New Zealand, Thailand. Skye Cellars was another where we modified the software to handle WET tax and had to have it in before the Y2K cut over. We took the financial module to CEBIT, at that time, the largest IT fair in the world in Hanover Germany, as part of an Australian Delegation. Then onto Australia House in London for a one day show and tell to a selected British audience. Another business was an Internet Service Provider called picknowl with offices in Brisbane, Cairns and a presence in Sydney, Melbourne and Hobart, which quickly became South Australia's largest privately owned ISP and second largest in Australia behind TPG. As a software manufacturer I did a contract for the Melbourne City Council developing and implementing an Asphalt manufacturing and billing system as well as consulting on a garbage pickup bin weighing and charging system.

What are the strategic and operational challenges of Council

There are some poorly run Councils out there which has fueled the rhetoric from the State government. This level of government is continually being blamed by the State governments for

poor performance and a couple of recent areas are the planning approval processes and the Environmental Pollution monitoring and resolution that in the first case the local powers of sensible planning have been taken away whilst dealing with the EPA on noise, smoke etc has been placed squarely on Council with no compensation for administration from the State Government. I see this state responsibility being pushed down to a local level and there is probably more to come.

Operationally as a group we have to work smarter, utilize tools which are available and empower people to be creative and not be frightened to "have a go". We need people and the organization to be pro active, think outside the square.

South Australia is a car transport state and people like their independence and ability to go places when they can. Take the car, too many single driver vehicles on the road. People need places to park their car to go shopping, coffee or eating out so there is a desperate need for increased parking in the Council area, particularly in Norwood.

What are my current or recent roles particularly in relation to Corporate Governance

My current role is managing a SMSF and looking after personnel and family investments. Recent businesses were in the IT area and the other was specifically an Internet Service Provider. The most important thing when starting a business is to establish the principals on which to grow the business taking into consideration all of the stakeholders. How we treat staff, employment strategy, terms of engagement, exit interview. How do we treat our creditors, payment principles, how do we treat our debtors, billing, termination, dispute resolution. Establish a great repore with your financial institution management. Establish a word of mouth advertising campaign, and you can only do that if you provide excellent service. These principals should enable the business to grow without modifying them.

As an example of this I established an Internet Service Provider called Picknowl and some of the governance principals were to treat all customers like debtors ie bill at the end of the month. Never disconnect anyone. Provide a responsive help line support and apply and abide by all the legal regulations of the Telecommunications act. These principles stayed in place until sale. Another was an investment company of 10 shareholders on whose behalf I bought and sold shares. The principal was that we would sell up after 10 years of operation and everyone would be provided with monthly reports, which I did at a profit of 62% on the money invested. I am still using that broker today for the SMSF, however I am not investing for growth anymore, just concentrating on yield. I used my packaged software assets module to record the transactions and do the reporting, this is the same assets module that was used in Coopers Brewery when there was a proposed hostile takeover brewing from Lion Nathan.

How is your experience with continuous improvement

Owning and operating your own business is a 24/7 exercise. Even on weekends and nights you are continually thinking of ways to:

- a. make the manual tasks easier, work flow better or
- b. change to computer programs to make the processing more efficient.
- c. Scheduling next weeks or days tasks and responsibilities to ensure good customer service.

One of the pitfalls of a small business is not having a board to collaborate with and to this end I was a member of a TEC group. The Executive Connection group met monthly and consisted of owner operators, sole traders, maximum 14 per group with a facilitator who would conduct business scenarios, bring in experts from all over to discuss particular topics. All the participants with diverse businesses had similar areas of concern even though they thought theirs was unique. Staff retention, training and motivation was one that ticked everyones box. One speaker made a lasting impression on me when he discussed sales opportunities of the business. Always have your accounts upto date

in case you have a surprise enquiry to purchase your organization. Having a computer system and timely input enabled this to be available for me. The fact that we were software developers and were using our software to drive the internet billing and enquiry enabled a quick response to backpackers who used the system and when we billed them they had moved on. We created a backpackers database and anyone using the backpacker hostel phone line to dial in was not able to log in until we had their valid credit card details.

Experience in financial management and governance

Owning and operating your own businesses is making sure that you have cash flow and a good bank relationship manager who understands your business. The application software business was shall we say lumpy. With sometimes only one sale per year and progress payments along with continuous monthly maintenance income, this business did not fit the standard sales model and I had to educate bank managers by preparing budgets, cash flow analysis to dispel their fears that the business would not survive. The Internet Service Provider on the other hand was a typical sales model, sales in expenses out profit/loss per month. This business was turning over more than a million dollars a month, however with the principal established where we would not disconnect anyone it required that we purchase a 60 port router about every 2 weeks so this was fore front in our mind that we were providing excellent service to our users. One port should accommodate 15 users and have an average cost of \$30k.

Being audited was part of the business cycle and I welcomed the auditors involvement particularly when they suggested some improvement or legislation change.

Financial issues for Council to address and how can I contribute

Making sure that there are sufficient funds available to complete the operational budget and recurring budget each year. Keeping rates as low as possible whilst accomplishing the operational and recurrent budget liabilities.

Accessing Federal and State grant money for Projects. We are all aware there is a great deal of infrastructure to maintain around council and having these assets scheduled for upgrade or replacement in a timely manner impinges on the financial performance of the Council. I believe that this council has their asset management plans in a healthy state.

I can contribute by using my 40+ years of business experience to recognize and question items that stand out in a report or come up in discussion. I can also use my business network and generally network at events where I can promote the Council and it's endeavors. I am a resident of this council.

Peter Kolisnyk

From: Peter Francis <pfrancis@aceia.com.au>
Sent: Thursday, 20 June 2019 12:23 PM
To: Townhall
Subject: Attention: Sharon Perkins General Manager Corporate Services
Attachments: aceia - Capability Statement June 2019.pdf

Hello Sharon, I am writing in relation to your advertised expression of interest for Audit Committee Independent Members with the City of Norwood Payneham & St Peters.

I have been involved with the internal audit profession for over 20yrs working largely with private sector and NFP organisations. The last 15yrs I have been delivering internal audit services and best practice leading a team of professionals as Managing Director of aceia.

On page 10 of the attached document you will see a brief overview of my experience and skillset. Whilst I do not possess any Local Council background I believe I can make a contribution to your Audit Committee in the areas of internal audit and risk management drawing on my vast commercial experience.

Thanks for the opportunity to submit this application and I look forward to hearing back from you.

Peter Francis PFIIA CIA
 Managing Director

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 o +61 3 8651 2911
 d +61 8 8133 1015
 e pfrancis@aceia.com.au

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 Kent Town SA 5067

Australia | New Zealand

aceia
 delivering assurance

CITY OF NORWOOD, PAYNEHAM & ST PETERS	
FILE NO./S	FOLIO NO.
5.03636	38057
20 JUN 2019	
EMPLOYEE	INITIALS
Sharon	[Signature]

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2019 CAPABILITY STATEMENT

Delivering assurance for you and your business



Contents

Introduction to aceia	5
Company Overview	7
Our People	9
Our Services	12
Internal Audit.....	12
Risk Management.....	13
Tools & Technologies	13
Delivering Assurance	14
Our Recent Projects.....	17
Our Methodology.....	21

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Introduction to **aceia**

“aceia has been an integral part of developing and implementing an internal control environment in Nissan Australia. This has greatly enhanced the risk management process and enabled a better operating environment.”

Ramesh Narasimhan, President and Managing Director
Nissan Philippines, Inc

Choosing a risk management and internal audit partner is not an easy decision - particularly when the service requires interaction across multiple levels of staff and management in order to deliver a high value output. Get it right and the value generated from this relationship will be realised over and over again, safeguarding the business and enabling sustainable growth.

aceia is a specialised risk and internal audit business solutions provider that has the capability, industry know-how and proven performance to deliver you with a world class service.

As a professional resource, aceia will play an integral part in helping your business face its challenges.

We continuously add value and will be with you throughout your journey - growing and evolving with you, as your business needs change.

With over 50 years of combined internal audit experience - throughout the Asia Pacific region and across a wide range of industries, we will provide you with a risk management and internal audit approach that is delivered by highly experienced professionals.

Based on our established and successful track record, we know we will deliver your business with the assurance it requires, meeting the expectations of stakeholders whilst maintaining integrity and independence.

When you're sourcing internal audit and risk professionals, aceia will provide you with the quality services and value that suits your needs.

We look forward to the opportunity of working with you.



Peter Francis, Managing Director

Released

Company Overview

“aceia have impressed us with their desire to get to know our business and provide relevant and valuable observations.”

Bruce Clarke, Chief Financial Officer
Moonee Valley Racing Club

aceia is a professional services practice that specialises in internal audit and risk management throughout Australia and New Zealand.

We work with a range of national and multinational businesses and have a highly motivated, experienced and adaptable team who provide customers with timely and relevant reports, pertinent recommendations and deliver true assurance.

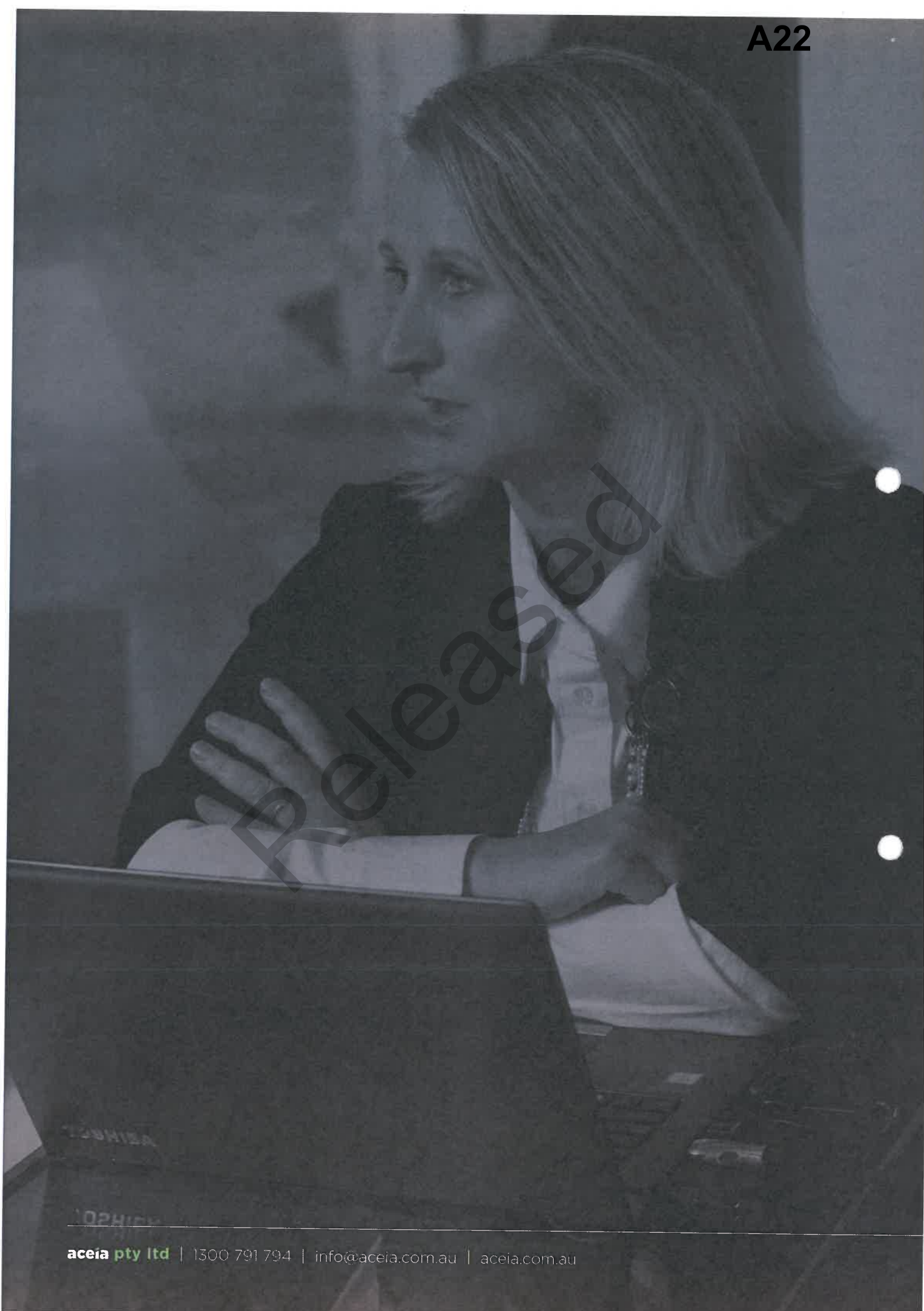
aceia's team is focused on 'building' professional knowledge and personal development. As members of the Institute of Internal Auditors (IIA) and other professional bodies, our team constantly receives specialist training in their fields.

We develop strong, long-term relationships with customers to ensure their business objectives and outcomes are at the forefront of our thinking.

Whether you engage us to complement your team or require a full outsourced audit function, we can provide you with a 'best-fit' model and deliver assurance.

aceia will deliver you and your business assurance through:

- Experience
- Dedication
- Responsiveness
- Relevance
- Expertise
- Commitment
- Objectivity
- Transparency
- Value-for-money
- Australia Pacific coverage



Our People

“aceia has provided internal audit services to Mercy Health. The service was provided professionally and the staff were friendly.”

Stephen Tiley, Head of Internal Audit & Risk Assurance
Mercy Health

Selecting the best team for your requirements is one of the most important decisions we make. As such, we have established a team that has extensive professional experience to hit the ground running on day one.

As a risk and internal audit service solutions provider, your core aceia team comes with extensive industry experience. The depth and breadth of our team, as well as our industry credentials, means we can help foresee, interpret and address the risks and challenges which your business may face, both currently and in the future.

Our team:

- Has considerable experience in delivering risk and internal audit related services for various industries and are committed to delivering a consistent, professional and quality service.
- Has strong communication skills, with substantial experience working with and liaising with all levels of management throughout an organisation.
- Has strong project management skills, to ensure all deadlines are met, and deliverables are of a high quality.
- Are independent and objective in the delivery of their service. We call it as we see it.



Chuck Chan

SENIOR INTERNAL AUDITOR

Chuck is a CIA and CPA qualified professional with over 18 years of internal audit and risk management experience in both industry and consulting across various commercial and government sectors located in America, Europe and Asia Pacific regions.

Combined with three years of chartered external audit experience, business process skills and controls knowledge, Chuck's extensive internal audit experience helps him partner with key stakeholders in assessing the risks, developing the audit plan, executing the audit projects and presenting the audit findings and recommendations to senior management within the stipulated timelines.

Chuck's communication and soft skills, obtained from global experience, enables him to translate facts obtained from stakeholders into practical solutions.

MEMBERSHIP ASSOCIATIONS:

- Bachelor of Business (Accounting)
- Graduate Diploma in Advancing Accounting
- Certified Practising Accountant Australia (CPA)
- Certified Internal Auditor (CIA)
- Professional Member Institute of Internal Auditors (PMIIA)



Jurhene (Jhu) Manalili

INTERNAL AUDITOR

Jurhene is a CIA qualified professional with over 9 years of internal audit experience, both in the Philippines and Australia.

Jurhene has been exposed in various industries such as automotive (dealership), retail, energy (retail and power generation), and educational industries that has given her enough expertise in the internal audit field.

Coupled with a strong background in audit analytics, her vast experience and combined skills in the field of internal auditing give Jurhene the advantage of being a value adding team member as well as a sought-after professional.

MEMBERSHIP ASSOCIATIONS:

- Master in Business Administration
- Bachelor of Science in Accounting
- Certified Public Accountant Philippines
- Certified Internal Auditor (CIA)



Peter Francis

MANAGING DIRECTOR

With over 20 years of risk and internal audit experience, Peter is a highly respected professional who is experienced in leading teams in internal controls framework design and implementation. Peter has specialist skills in business processes and internal controls, risk management, assurance, project and contract management, stakeholder engagement and leading teams.

With strong business process skills and controls knowledge, Peter strengthens the existing control framework within businesses to reduce the residual risk to an acceptable level.

Peter's extensive internal audit experience assists him to partner with key stakeholders in executing internal audit projects in the most efficient manner, ensuring service delivery expectations are met.

QUALIFICATIONS AND MEMBERSHIP ASSOCIATIONS

- Bachelor of Business (Accountancy)
- Certified Internal Auditor (CIA)
- Certified Member of IIA (CMIIA)
- IIA International Committee Member 2007 - 2014
- IIA Australia Victorian Chapter Chair 2009 - 2011
- IIA Australia South Australian Chapter Councillor 2015 - Current



Kerry Francis

OFFICE EXECUTIVE

With over 20 years experience in industry and professional services, and with 10 of those in an audit services support role, Kerry is well versed in dealing with the day-to-day running of an internal audit and assurance business.

Kerry brings strong bookkeeping and financial accounting experience as well as administrative and organisation skills. She has the skills needed to quality assure all documentation and audit reports that are produced for our customers.

Kerry is involved in most facets of the business and understands what it takes to deliver a quality service and product. With her administrative and managerial experience in retail, wholesale and not-for-profit businesses, Kerry has the knowledge and ability to converse with all of our company stakeholders.

Kerry's primary role is ensuring that the business is running smoothly - giving our professionals/team members the knowledge and support that enables them to deliver a high quality service.

MEMBERSHIP ASSOCIATIONS:

- Member of IIA Australia

Our Services

Delivering Our Services

At aceia, we will deliver your business with assurance and provide you with the quality services and value that suits your needs. We provide you with:

- Services that are *responsive* and *relevant* to your needs. We respond quickly to requests and provide our customers with value.
- Services that are delivered on time and on budget. With extensive industry experience and expertise, we complete our projects when we say we will and on budget.
- High quality reports that deliver valuable/exacting content and have a professional look and feel that you'd expect from a professional services firm.

Internal Audit

Internal audit is aceia's backbone and is integral to the running of any business, large or small.

Simply put, internal audit will ensure you continue to 'know' your business at all levels. This reduces the risk of incidents arising in your business and provides the opportunity for you to grow in comfort.

Our internal audit philosophy is to work towards complete assurance for you and your business to keep track of and guarantee that your assurance requirements are met. To reach this we work with you to develop a long term audit plan. This is used to assess what areas you need to keep track of and guarantee that your business meets the requirements.

We won't simply ensure change is achieved. We take our claim of delivering assurance seriously and remain with you to ensure our work has achieved what it set out to do, provide assurance and add value.

Internal Audit areas of expertise include:

- Operational
- Financial
(e.g. Payroll, Accounts Payable, Accounts Receivable)
- Business Process Review
- Process Mapping
- Quality Systems
- Compliance
- Governance
- Business Continuity
- Expense Management
- Data Analytics
- Investigations
- Special Projects

Risk Management Assurance

Our attention to detail and care for you and your business goes well beyond the competition. At aceia, we have the knowledge and expertise required to assess, implement and manage your business risk profile.

Our risk management philosophy is to ensure that you have a comprehensive framework for identifying, assessing and managing your business risks. The primary goal of our relationship with you is to make sure that all material risks are identified, communicated through your business and appropriately managed.

We believe a suitable monitoring and review process, when implemented correctly, will not simply be a tacked on process, but rather become an integral part of the business systems.

Risk Management services include:

- Establishing the context
- Identifying the risks
- Analysing the risks
- Evaluating the risks
- Treating the risks
- Monitoring and review

Tools & Technologies

aceia is experienced in using a number of audit software suites (risk management and audit work papers) and the latest data analytics. This software knowledge and corresponding skill set greatly increases the efficiency and effectiveness of audit field work, analysis and report writing.

By understanding your requirements, we can provide the software solution and effective implementation throughout your business; including support, design and, most importantly, follow-up.

aceia can assist in the design and implementation of software to support the audit and risk management needs of your business. We ensure that you get everything you need out of the software solution and continue to provide you with our services and support long after your initial investment.

“aceia has provided excellent operational audit services for the Tabcorp Internal Audit function. This has greatly assisted in business improvement across the technical operations.”

Maree Patane, Executive General Manager, Internal Audit
Tabcorp

Delivering Assurance

Delivering assurance is a bold claim and we stand by it

Assurance is gained by understanding your current and future needs, wants and goals. To do this we invest our time to get to know how your business operates. We learn your 'lingo', 'systems', 'culture' and work flexibly around you to respond as quickly as you need us to. In achieving an understanding of your business, you will gain continued assurance that your business is running at its optimum level.

aceia will provide you with a risk management and internal audit solution that is delivered by highly experienced risk and internal audit professionals with extensive industry experience.

We have extensive experience in understanding and reviewing business processes 'end-to-end'. Leveraging this experience, we will provide you with assurance that key business objectives are being met, that your operations are complying with company policies and bring deep insights that will assist your business growth.

As your risk and internal audit partner, our aim is to invest in becoming your trusted advisors - observing, challenging, innovating and ultimately making an impact. In delivering our insights in our reports we will look for ways to improve your operations and to identify and implement quality improvements in the internal control framework.

We strive to understand your business and grow with you

Our team members have delivered risk management and internal audit services to a wide range of organisations in various industries. We have developed an audit approach from the ground up and strive to develop strong, positive working relationships across various levels of management - enabling us to 'hit the ground running', saving you time and money.

Knowing the operations and the people within your business will allow us to develop a seamless risk management and internal audit approach. These relationships will be built over a period of time and through an understanding of each other's objectives, respected thought leadership, professional advice and challenging of the status quo, we will deliver value and expertise with minimum business interruption.

Our dedicated team of senior audit professionals have significant risk management and internal audit experience. This means we bring state of art risk management and internal audit practices, ideas and methodologies, coupled with the crucial soft skills needed to achieve the desired outcome. The strength of our team continuity will ensure our goal of exceeding your requirements is achieved.

DELIVERING ASSURANCE

"The investment we have made with aceia in our company owned dealerships helped us improve our internal controls & focus on more efficient processes."

Scott Healy, Senior Manager Retail Business Services
Mercedes-Benz Australia/Pacific Pty Ltd

We use senior professionals

At aceia, we provide you with dedicated senior risk and internal audit professionals, who are members of the Institute of Internal Auditors (IIA) Australia. With senior professionals actively involved in the execution of the work, this equates to a high performance and experienced team delivering your requirements.

Using this level of professional will deliver value in the form of 'real business insight' that only comes from utilising high quality experienced individuals.

Proven track record

Feedback from our customers - through formal and informal discussions with senior management, confirms that we have delivered high quality outcomes to their businesses. Outcomes such as the design and implementation of their risk management and internal controls framework, delivering best practice specialist internal audit services, process improvements through the development of Blueprints, establishment of controls focused on loss prevention and compliance and the provision of staff induction training on company policy.

aceia has worked extensively with its customers to reduce the reliance on manual controls to a large extent by introducing more automated system controls and embedding a risk and control culture in the day-to-day business. Our audit processes and approach have assisted our customers to better manage risks

Customers have embraced our risk management and internal control concepts and as a result maximised the benefits of the strong risk management and controls framework/environment to 'leverage for growth' as their business continues to experience larger volumes of transactions.

Continuous improvement and innovation

Whilst proud about our track record, we are not complacent and will continue to deliver a responsive, relevant, reliable, flexible and professional service that is focused on you. We will provide pragmatic advice, thought leadership and practical solutions to complex issues.

aceia has always invested in the areas that are most important to its customers to become a high 'performance team'. These areas are our people and their professional development, latest technologies and our working relationships.

By using the latest risk management and internal audit tools and technologies, like data analytics and audit and risk workflow software, we continue to increase our effectiveness and efficiency in delivering risk management and internal audit services. Coupled with access to subject matter experts (SMEs) and benchmarking tools, we will strive to continually bring you new ideas and improve our service to improve your business.

Released

Our Recent Projects

With extensive risk and internal audit experience across a wide range of industries, aceia has a proven record of adding significant value to our customer's operations. Our industry expertise, use of senior professionals and unique personal touch, enables us to deliver real business insights that will benefit your business growth aspirations.

All of our audits are performed in accordance with the International Standards for the Professional Practice of Internal Auditing.

Fabricator

CREDIT CARD PROCESS REVIEW

aceia conducted a review of the corporate credit card process for a vehicle fabricator, operating in Australia, to ensure that adequate internal controls were in place.

The review included credit card policy and administration, set-up, changes and deactivations, acquittal, and transaction monitoring.

aceia identified that although adequate processes were in place to manage the corporate credit cards, several areas were identified for improvement, including administration practices, central repository, documentation maintenance, restrictions, expenditure coding, rebate validation, random audits, policy compliance, and deactivation processes.

aceia reported on the observations and highlighted the recommendations designed to strengthen the internal control environment.

Automotive Dealer

SALES PROCESS REVIEW

aceia conducted a sales review of an automotive dealer to ensure that adequate internal controls were in place.

The review included sales assessments, a gap analysis, and recommendations for standard operating procedures.

aceia identified that the sales process for new and pre-owned vehicles were operational. However, several internal control weaknesses and process improvements were identified. These included sales of vehicles, sourcing pre-owned vehicles, and wholesale procedures.

For the automotive dealer, implementing these improvements resulted in the following outcomes:

- Appropriate approval processes
- Enhanced cash handling procedures
- Compliance with various regulations
- Proof of delivery processes
- Development of company policies, including wholesale procedures
- Development of formal documentation
- Consistent basis for revenue recognition
- Enhanced sales reporting and accountability

By implementing these recommendations, the automotive dealer now has a stronger control environment which will eliminate avoidable financial loss and potential disputes with customers.

“aceia's combination of skills, experience and customer focus have provided a step change in the journey towards achieving Best Practice in internal auditing with their design, assessment and analysis of key phases in our Quality Assurance Improvement Program.”

Vince Philpott - Head of Risk & Internal Audit
World Vision Australia

Sales Company

FUEL CARD REVIEW

aceia conducted a review of a sales company's fuel cards process to assess whether adequate controls and procedures were in place.

Whilst basic processes were found to be in place (such as card usage policy, card set-up, card handover, invoicing, and deactivation of cards), aceia identified a number of areas that could be improved to mitigate operational risks. These included:

- An inadequate fuel card policy.
- Fuel card parameters were not set up in the system to make use of preventive, detective and monitoring controls.
- Untimeliness of card deactivation.
- Validation and approval of fuel invoices.

For the sales company, implementing these recommendations resulted in the following outcomes:

- Existence of a clear fuel card policy.
- The use of system parameters which has enhanced transparency and accountability.
- Timely card deactivations.
- Enhanced invoice validation controls.
- Enhanced monitoring controls to ensure compliance to fuel card policy.

By implementing these recommendations, the sales company now has a stronger control environment which will eliminate avoidable financial loss.

Merchant

BUSINESS REVIEW

aceia conducted an internal audit on a merchant to ensure that adequate internal controls were in place. Six key areas were identified for review, including expenditure and approvals, invoicing, privacy compliance, system access, accounting reconciliations and documentation of key policies and procedures.

The strong sales growth for the business acted as a catalyst to review and improve the internal process and control environment.

aceia reported on observations and made recommendations in relation to strengthening the internal controls for business growth and development.

Manufacturing Company

COMMISSIONS PROCESS REVIEW

aceia conducted a review of a manufacturing company's dealer commission end to end process to assess whether adequate controls and procedures were in place.

Whilst key controls were found to be in place and operating effectively, aceia identified a number of areas that could be improved to mitigate operational risks, including documenting and updating processes, eliminating conflicts of duty, maintaining formal records and reconciling of variances.

For the manufacturing company, implementing these recommendations resulted in the following outcomes:

- Regulations compliance.
- Avoiding financial loss.
- Consistent & authorised transactions.
- Regular review of procedures.
- Accurate recording of exceptions.
- Regular audit schedule.
- Formal validation of commissions.
- Validation of contracts.
- Avoiding financial loss.

By implementing these recommendations, the manufacturing company now has a stronger control environment which will eliminate avoidable financial loss.

Product Manufacturer

USER ACCESS INTERNAL CONTROL REVIEW

aceia was engaged to review the internal controls for user access on a product manufacturers IT system to assess if adequate internal controls were in place.

The scope of this review included the review of policies and procedures, systems access framework review, new user set-up process, user access change management process, annual access review process and password administration.

aceia identified that controls relating to user access requests, approval of user access requests, approval of information owners, outstanding user access requests, annual user access and inactive user management processes were in place.

aceia also noted that additional internal controls, such as formal process documentation, quality processes and shared drive access processes would enhance and strengthen the internal control environment and mitigate the risks.

Technical Support Company

CONTRACT COMPLIANCE REVIEW

aceaia conducted a review of a technical company's contract compliance process to assess whether adequate controls and procedures were in place.

aceaia identified a number of areas that could be improved to ensure compliance with contractual terms and conditions (such as data capture, customer responsiveness, service levels, performance reporting, and invoicing processes).

For the technical company, implementing these recommendations resulted in the following outcomes:

- Accurate performance reporting.
- Improved communication processes.
- Standardised project works.
- A centralised invoicing function.
- The development of a formal training process.

By implementing these recommendations, the technical company now has a stronger control environment which will minimise impacts on contract performance.

Retail Company

RISK MANAGEMENT REVIEW

aceaia conducted a review of a retail company's risk management process to assess the effectiveness and efficiencies of their processes and key controls.

Whilst basic processes and adequate controls were found to be in place (such as credit notes, purchases, safety measures & practices, and cash management), aceia identified a number of areas that could be improved to mitigate operational risks. These included delays in receipting goods, cross referencing dockets to invoices, and open work orders.

For the retail company, implementing these recommendations resulted in the following outcomes:

- The completeness and timeliness of invoicing.
- Accuracy of stock balances and accurate inventory measurement.
- Proper monitoring and accounting of stock.
- Enhanced operational controls and efficiencies.
- Compliance to internal and external regulations.

By implementing these recommendations, the retail company now has a stronger control environment which will eliminate avoidable financial loss.

Automotive Company

REVENUE PROCESS REVIEW

aceaia conducted a review of a financial services company's revenue process to assess whether adequate controls were in place.

aceaia identified a number of areas that could be improved to mitigate operational risks (such as approval processes, quality assurance processes, procedure updates, interest charges, and control monitoring).

For the financial services company, implementing these recommendations resulted in the following outcomes:

- The prevention of manual errors and a more efficient approval process.
- Improved communication processes.
- An embedded assurance process that minimised errors and omissions.
- Updated procedures that reflected business practices.
- Regular exception reports being produced (for timely follow-up).

By implementing these recommendations, the financial services company now has a stronger control environment which will minimise the exceptions to a large extent.

Assembly Plant

FIXED ASSETS REVIEW

aceaia reviewed the internal control framework within the fixed asset end-to-end process for an assembly plant to assess whether adequate internal controls were in place.

Several key areas were identified as being part of the review, including fixed assets policy and framework, capital expenditure, user access, capitalisation, fixed asset register, maintenance and safeguarding of fixed assets, disposal of fixed assets and account reconciliations.

aceaia confirmed that key controls, such as segregation of key duties, maintenance of fixed asset register, delegation of authority, reconciliations and monthly reporting were found to be in place and operating.

aceaia identified that factors such as inconsistencies, asset verification, capitalisation approvals, insurance reviews and user access management required improvement to strengthen internal controls.

aceaia reported on these observations and highlighted the recommendations designed to strengthen the internal control environment of this company.

Released

Our Methodology

aceia's audit methodology is robust and provides objective assurance on risk management and control processes. Our risk and internal audit methodology has been developed in accordance with the Institute of Internal Auditors International Professional Practices Framework (IPPF) and AS/NZS 4360 Risk Management Standard. All of our methods are scalable and flexible to meet a broad range of our customer needs.

Our approach is highly stakeholder centric. Our constant engagement and communication, at the beginning of the project and throughout the engagement, maximises buy-in, support and enables knowledge transfer.

aceia believes all risk and audit engagements should be scoped and planned well prior to project kick off. Hence, all scope documents will be agreed with the key stakeholders prior to the commencement of the fieldwork. Our relationships and business knowledge will ensure we schedule and conduct risk and audit projects to minimise disruption to your business.

Our risk and internal audit philosophy is to work towards providing assurance for you and your business. To achieve this we will facilitate risk assessment workshops to identify areas of focus.

We won't simply provide an invoice followed by a report, we stay and actively work to ensure change is achieved. We take our claim of delivering assurance seriously and work with you to ensure the outcomes achieve what it set out to do, provide assurance and add value.

The key differentiations in our methodology include:

- Having a clear vision of your risk and internal audit requirements and alignment with the organisation's strategic and operational objectives.
- Avoiding 'audit over-kill' – whilst internal audit plays a vital role in advising whether internal controls are designed and operating effectively, it also needs to comment on the efficiency and effectiveness of processes to improve business performance. Our methodology addresses this.
- Use of software technology which enable ease of business and efficiencies in the delivery and communication.
- Use of data analytics software technology to deliver profound fact-based insights and real actionable solutions.
- Most importantly, the use of highly experienced professionals leading and responsible for delivering the desired outcomes.

“Peter and his team are highly experienced risk management and internal audit practitioners, with broad experience across numerous multi-national organisations. Their smaller size allows prompt response to urgent projects. Numerous travel across Australia and N.Z. poses no problems to them. Essentially allocate internal audit assignments and forget...until the internal audit report is issued”.

Andy Mineeff, Group Risk Manager
Bridgestone Australia Ltd

Delivering Audit Projects

The methodology below details how we will deliver your audits:

Discussions will be held with Management on the draft 'Scope of Work' and will be agreed to prior to scheduling of fieldwork.

01

SCOPE OF WORK

SCHEDULE OF WORK

02

From the final 'Scope of Work', the schedule of work for each period will be determined and agreed upon.

Based on the schedule, stakeholders will be contacted to finalise the dates for the fieldwork.

03

FIELDWORK DATES

EXECUTION OF FIELDWORK

04

Following the final schedule, audit projects will be executed by the senior aceia team.

At the completion of the fieldwork, a close out meeting to discuss observations (including areas well managed), recommendations and action plans will be held with the relevant key stakeholders.

05

COMPLETION OF FIELDWORK

DRAFT REPORT

06

After the close out meeting, the draft report will be prepared for management comments and an action plan with targeted implementation dates.

After receipt of management responses, overall comments will be obtained and the final report will be circulated to senior management and key stakeholders.

07

FINAL REPORT

FOLLOW-UP REVIEW

08

Depending on the severity of observations, at the request of the senior management, a follow up review may be performed to assess the status of the implementation of the action plans. A follow up report will be circulated to senior management and key stakeholders.

Senior Team to Deliver Service

Professional	Years of Internal Audit Experience
Peter Francis, Managing Director	20+
Chuck Chan, Senior Internal Auditor	18+
Jurhene Manalili, Internal Auditor	9+

As you can see, aceia only uses highly experienced professionals. The use of senior people on the ground will make certain you are not used as a training ground for young auditors, and enable deeper commercial insights to be provided.

Customer Service Management

We are proud of our performance and ability to deliver a quality product/service. However, we are not complacent. We will actively monitor our performance over the project period and will provide management with regular updates of our performance against the agreed service levels.

These updates are important to demonstrate that we have delivered against our performance criteria and should enable you to make an informed decision as to the ongoing quality of our service.

Furthermore, we aim to constantly improve and innovate. Working together with you and seeking your timely feedback, will drive us to achieve better outcomes for your business.

We commit to undertaking the following:

MONTHLY/QUARTERLY REPORTING (OR AS REQUIRED)

A monthly/quarterly report will be prepared by aceia and sent to the Senior Management. The report will include the following:

- 1) Status of audit plan (work completed - actual vs planned)
- 2) Key audit observations (areas of concern and action plans, if any)
- 3) Reportable Incidents Register (incidents that require escalation to senior management)
- 4) Planned audit work for the next quarter
- 5) Billing information
- 6) Other matters

QUARTERLY MEETINGS (OR AS REQUIRED)

Quarterly meetings will be held with the Senior Management to discuss the following:

- 1) Monthly Reporting items listed above
- 2) Emerging risks/challenges
- 3) Variations in scope of work
- 4) Other matters if any

Continuous improvement action plans will be established and agreed with Senior Management for areas of improvement/enhancement. These action plans will be based on the results from the above mentioned customer reporting and feedback.

Released

aceia
delivering assurance



Adelaide

7/68 North Terrace
Kent Town SA 5067



1300 791 794 or +61 8 8133 1015



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aceia.com.au

Australia | New Zealand



19 June 2019

Ms Sharon Perkins
General Manager, Corporate Services
City of Norwood Payneham & St Peters

By Email: townhall@npsp.sa.gov.au

Dear Ms Perkins

INDEPENDENT MEMBER – AUDIT COMMITTEE

I submit herewith my formal expression of interest in being appointed as an independent member of the Audit Committee of Norwood Payneham & St Peters Council.

I have read your Terms of Reference and I am familiar with a number of similar TORs. I have also perused recent Audit Committee Minutes and familiarised myself with the requirements and obligations attached to the position.

I am a practising Chartered Accountant and Registered Company Auditor with many years' experience across the full range of services provided by Chartered Accounting practices. I have offices in both Adelaide and Darwin.

I attach my CV for your information. You may also visit me on LinkedIn. Of interest to you may be the current positions held:

- Independent member of the audit committee of the Clare & Gilbert Valleys Council, SA.
- Independent Chair of the audit committee of the District Council of Mount Remarkable, SA.
- Independent Chair of the Audit Committee of Katherine Town Council, NT.
- Independent Chair of the Audit Committee of the District Council of Orroroo Carrieton, SA.

Mob: 0419 038 505
PH: 08 8418 2188
ian@swanbus.com.au

All Mail to:
PO Box 514
Glenside SA 5065

Level 1 204 Hutt St
Adelaide SA 5000

Corner of Hook and
Coonawarra Roads
Winnellie NT 0820



- Independent member of the Audit and Risk Management Committee of The Barossa Council, Nuriootpa, SA
- Independent Chair, Audit Committee of the Fleurieu Regional Aquatic Authority, Goolwa and Victor Harbor, SA
- Independent member of the audit committee of the Regional Council of Goyder, Burra, SA

Positions previously held:

- Inaugural independent Chair and later independent member, Audit & Risk Management Committee, Victoria Daly Regional Council, Katherine, NT.
- Independent Chair, Audit & Risk Management Committee, Tiwi Islands Regional Council, NT.

These positions expired due to effluxion of time.

I have developed a sound practical working knowledge of local government and how it operates over the past ten years or so, mainly through my work on the audit and risk management committees of the above Local Government bodies. I also attended a refresher course for audit committee members run by the LGA of SA in 2017 and attended a full-day symposium convened by the Finance and Management Group of the LGA in 2018.

I acknowledge that this position is a personal appointment and is separate from Swan Business Advisory, my professional practice.

I acknowledge and understand that in addition to attending committee meetings, a certain amount of time would be required in preparation for meetings.

If you or your staff wish to discuss this application with me, please contact me by email at ian@swanbus.com.au or by mobile on 0419 038 505.

Mob: 0419 038 505
PH: 08 8418 2188
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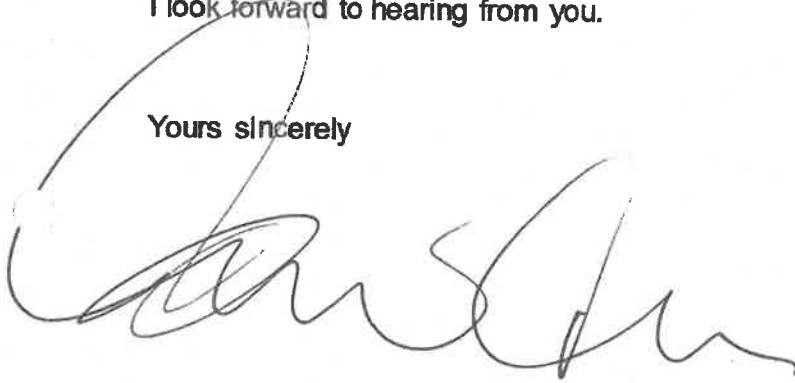
SWAN BUSINESS ADVISORY

ABN: 64 098 365 729



I look forward to hearing from you.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Ian Swan', written over the typed name.

IAN SWAN FCA

Mob: 0419 038 505
PH: 08 8418 2188
ian@swanbus.com.au

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PO Box 514
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Released

IAN GEOFFREY SWAN
CHARTERED ACCOUNTANT
CURRICULUM VITAE

POSITION:

Principal, Swan Business Advisory, Adelaide

**PREVIOUS
POSITIONS:**

Partner, Johnston Grocke, Adelaide

Partner, Hall Chadwick, Adelaide

Partner, Bentleys, Adelaide

Sole practitioner for various periods

**BUSINESS
ADDRESSES:**

ADELAIDE:

Level 1, 202 Hutt Street, Adelaide SA 5000

DARWIN:

Coonawarra and Hook Roads, Winnellie, NT 0820

Telephone: (08) 8418 2188

Mobile: 0419 038 505 (Preferred)

Email: ian@swanbus.com.au

All Mail: PO Box 514, Glenside SA 5065

QUALIFICATIONS:

Fellow, Chartered Accountants Australia
& New Zealand (CAANZ)

Registered Company Auditor

Chartered Tax Advisor

Registered Tax Agent

**BUSINESS
MEMBERSHIPS:**

Australian Institute of Company Directors
Eastside Business Enterprise Centre, Adelaide
Australia Day Council of SA
SA Press Club

**CULTURAL, SPORTING
AND SOCIAL:**

The Adelaide Club
Friends of the Adelaide Symphony Orchestra
Friends of the State Opera of South Australia
South Australian Cricket Association
Sturt Football Club – Vice-President
Somerton Beefsteak & Burgundy Club
Unrestricted Private Pilot's licence

LOCAL GOVERNMENT AUDIT COMMITTEES:

Independent member, Audit Committee, Goyder Regional
Council, SA
Independent member, Audit Committee,
Clare and Gilbert Valleys Council, SA
Independent Chair, Audit Committee, District
Council of Mt Remarkable, SA
Independent Chair, Audit Committee, Katherine Town Council,
NT.
Independent Chair, Audit Committee, Fleurieu Regional
Aquatic Centre Authority, SA
Independent member, Audit Committee, The Barossa Council,
SA
Independent Chair, Audit Committee, District Council of
Orroroo - Carrieton, SA

- Immediate past Chair, Audit and Risk Management Committee, Tiwi Islands Regional Council, NT
- Inaugural Chair and past Independent Member, Audit & Risk Management Committee. Victoria Daly Regional Council, Katherine, NT
- These appointments expired due to the effluxion of time.

PROFESSIONAL SERVICES:

Local Government governance and advisory
 Corporate and NFP audit and assurance
 Business advisory services to SME's and NFP's
 Strategies for small to medium businesses
 Indigenous business advisory and governance services
 Business reconstruction and problem solving
 Taxation planning and advisory services
 Superannuation, estate and succession planning
 Business structuring and financing

PROFESSIONAL EXPERIENCE:

Not for Profit organisations
 Disability services
 Local government
 Indigenous organisations
 Sporting bodies
 Finance and insurance
 Manufacturing
 Property
 Professionals
 Hospitality
 Wholesale and retail

SUMMARY:

Over many years as a Chartered Accountant in professional practice, I have developed strong skills in the advisory and management areas of SME's, including taxation planning, business restructuring, financing options, problem solving, mergers and acquisitions and business strategies.

As a Registered Company Auditor, I have carried out audits of a variety of organisations, prepared business and share valuations and advised and assisted with clients' internal control systems and financial operations.

For many years, indigenous matters has been an area of special interest and as such I have been engaged both privately and as a Government appointee in Grant Controllerships, investigations and reviews, ORIC Special Administrations, business consultancies, audits and general accounting and business advisory services to a number of indigenous organisations and communities. I have previously spent much time living and working in remote communities and have developed an understanding of the aspirations of indigenous Australians in these areas.

Since 2008, I have also developed a strong interest in Local Government and currently sit as a Chair or Independent Member on seven audit and risk management committees, both in South Australia and the Northern Territory.

Throughout my career, I have developed a strong network of fellow professionals and para-professionals in disciplines other than my own which has been of great mutual benefit.

PO Box 3313
Newton, SA, 5074

10 Porter Tce., ROSTREVOR, SA 5073

Michael J A Parkinson
ABN: 55 676 886 681
ph +61 4 1200 1570
em: parkinsonmja@grapevine.com.au

12 June 2019

Ms Sharon Perkins
General Manager, Corporate Services
Norwood Payneham & St Peters Council
PO Box 204,
Kent Town SA 5071

Dear Ms Perkins,

Expression of Interest: Audit Committee Membership

Having recently returned to live permanently in South Australia, I am seeking opportunities to contribute my skills within our community. I do not live in the Council area, but I believe that there are advantages in being able to represent the interests of the citizens of South Australia and promote good governance in substantial institutions without partisan interest in local issues. I also have enduring ties with the area, having undertaken the bulk of my schooling within it.

You will note from my CV that I have strong experience in risk management, internal audit and information technology. I also have considerable experience on audit committees in general, and on local government audit committees in particular. I currently serve on the audit committees of three local government bodies including serving as the chair of the audit committee of the Fraser Coast Regional Council. As my terms on these committees finish, I am not seeking further appointment on them.

I have other experience relevant to local government having served as the chief internal auditor of the Department of Territories and the Department of Housing and Construction. At the time that I served in these positions, the local government administration of the ACT was a Federal responsibility and was undertaken within Commonwealth Government departments. These two departments undertook a considerable portion of that activity. I also served as Director of Accounting and Supply within the Department of Territories.

As part of my professional activity, I have run training courses on behalf of the Institute of Internal Auditors for Audit Committee members and I have undertaken numerous reviews of internal audit functions in Australia and beyond.

I look forward to discussing this with you further.



Michael Parkinson CIA CISA CRMA CRISC

**Michael Parkinson****Qualifications**

Bachelor of Science (Honours) in Computing Science.¹
University of Adelaide

Graduate Diploma in Computing Studies.
University of Canberra

Company Directors Diploma.
University of New England

Professional Societies

Association for Computing Machinery
Member since 1973

Information Systems Audit & Control Association
Certified Information Systems Auditor 1985
Certification in Risk and Information Systems Control
2010
International Vice President, ISACA 1994-1997, 2000-
2001

Institute of Internal Auditors
Certified Internal Auditor 1995
Certification in Risk Management Assurance 2012
Secretary to International Board, 2009-10
Vice Chair of International Board 2010-11

¹ This Honours Degree in Mathematical Sciences included a major stream and Honours-level study in Mathematical Statistics.

Summary

Michael Parkinson worked in the Australian public sector for several decades – the last 30 years in senior governance, consulting and internal audit positions. He was the chief audit executive of three Australian Government agencies as a permanent officer and, as a consultant, has been the most senior internal auditor of a number of agencies.

He is a Certified Internal Auditor (CIA), Certified Information Systems Auditor (CISA) and holds a Certificate in Risk Management Assurance (CRMA) and Certificate in Risk and Information Systems Control (CRISC).

He has served on the international board and executive of each of ISACA and The IIA.

Until 2016, he was

- chair of Standards Australia / Standards New Zealand joint technical committee OB-007 – the mirror committee for ISO TC 262 and local developer of risk management guidance
- Australian representative to ISO TC 262
- a member of the International Internal Auditing Standards Board.

Michael is formerly a Director of a major accounting/service firm providing internal audit, risk management and governance services.

Since retiring from the full-time workforce in 2014, he works as a private contractor delivering training and undertaking professional reviews of internal audit. Michael continues to serve on a number of public sector audit committees.

Experience

Michael joined KPMG in 1995 after twenty-two years' experience in the Australian Public Service. He continued to serve Government entities for his 19 years with KPMG. Positions of relevance included:

- 1984 Director Internal Audit, Department of Territories and Local Government – the municipal authority for the ACT
- 1985 Assistant Director IT Audit, Department of Housing and Construction
- 1986 Director Internal Audit, Department of Housing and Construction
- 1987 Director IT Audit, Department of Administrative Services
- 1987-1995 Manager Corporate Audit, CSIRO
- 1995-2014 Senior Manager / Director KPMG

Within KPMG Michael's work involved IT Consulting and Internal (& Information Systems) Audit for a range of public sector clients. From 2005 to 2012 he managed the outsourced internal audit operation at the Department of Veterans Affairs. In 2001, he was employed as the primary consultant to re-engineer internal auditing in the Government of Thailand as a part of the Budget Reform Process.

Michael is a strong contributor to the theory and practice of governance, risk management and assurance having over his career written and lectured extensively in this area. His more recent publications include AS HB 158-2010 *Delivering assurance based on ISO 31000:2009 Risk Management*, and the IIA-Australia *Professional Practices Guide*. He also formally contributed to the development of the ASX *Corporate Governance Guidelines* and has participated in relevant parliamentary enquiries.

He has also made a number of submissions on behalf of professional technical bodies and as a private citizen to governance reform bodies, appearing before Commonwealth parliamentary committees on three occasions.

Board & Audit Committee Experience

Michael has served on international boards for the Institute of Internal Auditors – serving on the Executive Committee as Secretary and then Vice-Chair of the Board – and ISACA – as Vice-President. He has served as chair of local affiliates of both these bodies.

In his role as internal auditor (head of internal audit), Michael has served a wide range of audit committees and has served on several audit committees as a member.

Michael served on the IIA-Australia Audit Committee as a consequence of being a Director of the company. He currently serves as an independent member on the Rockhampton Regional Council Business Improvement and Audit Committee, on the audit committee of the Port Macquarie-Hastings Council and on the audit committee of the Australian Communications and Media Authority. He is chair of the audit committee of the Fraser Coast Regional Council.

Internal Auditing

Michael Parkinson is an internal auditor of more than 35 years experience. After 10 years in Information Technology and Government Finance he became an IT internal auditor in the early 1980s. He worked as a government internal auditor for more than 30

Michael Parkinson CIA CISA CRMA CRISC

years; the last 19 years as a service provider. Whilst working as a government employee he was the Chief Audit Executive of three different government agencies.

Prior to joining KPMG in 1995 Michael was Chief Internal Auditor at CSIRO for seven years. This involved the planning and conduct of the full internal audit program for the Organisation and encompassed administrative review, advice on procedures, efficiency and effectiveness reviews, and IT systems reviews.

Michael has IT and Audit experience covering internal audit and systems development work. He is additionally experienced in the management of large administrative units and has been closely involved in the development of IT-based audit tools and techniques. In 2001, he worked with the Bureau of the Budget, Royal Thai Government, to design government-wide internal auditing processes. In the same year he worked with the Bank of Thailand to introduce risk-based internal auditing.

Michael was accredited by the IIA to conduct quality assurance reviews of internal audit functions in 2007 and conducts such reviews on a regular basis. His reviews of internal audit activities have encompassed local government, financial services, industrial companies, state & federal government agencies, tertiary institutions and not-for-profit community bodies.

He served on the International Internal Auditing Standards Board for six years and on the Information Systems Auditing Standards Board for four years.

Risk Management

Michael was a senior participant in the team that developed KPMG Canberra's Business Risk Assessment approach. This methodology involves extensive use of workshops with staff throughout an organisation – from chief executive to most junior. In conducting such reviews Michael has facilitated workshops in most parts of Australia and internationally.

In 2001-2002 Michael led a joint IIA-Australia/Standards Australia project to develop a guide on the use of the AS/NZS 4360 *Risk Management* standard in the internal audit process. The resulting document (HB158-2002), of which Michael was the principal author, is a detailed worked example of the use of the standard. HB 158-2010 (mentioned above) is an updated version of this document.

He served on the Standards Australia/Standards New Zealand joint technical committee OB-007 (Risk Management) from 2008 to 2016, and was its chair from 2012 to 2016. This committee was responsible for the development of the AS/NZS 4360 *Risk Management* standards and was a major contributor to ISO 31000-2009 *Risk management – Principles and guidelines*. The committee is currently developing a range of guidance handbooks for risk management. Michael was an Australian delegate (head of delegation) to ISO technical committee TC 262 which has recently revised ISO 31000.

Organisations in which Michael has undertaken risk assessments include: ACT Community Care; the Canberra Hospital; NT Department of Primary Industry & Fisheries; NT Work Health Authority; Bank of Thailand; Department of Communications, IT and the Arts; the Australian Communications Authority; and the Australian Maritime Safety Authority. Some of these risk assessments have been assessments of fraud-related risk.

Michael Parkinson CIA CISA CRMA CRISC

Project Management

Michael has a background of IT and IT management. Before moving to internal audit, he spent some years as a Project Manager/Director, Applications in a Government IT function. He was part of the KPMG project office team on the Defence Year 2000 Remediation project spending most of 1999 on this critical project. He subsequently worked in the Defence GST implementation project office.

At ComSuper he was the project auditor on the core systems replacement project and has assisted that organisation in the successful delivery of a critical application system. He performed similar functions in relation to DHA business systems and the Centrelink systems associated with the Welfare to Work initiative.

IT Strategic Planning

Michael's work in this area includes assisting AusAID in the revision of its IT strategic Plan and participating as a member of the AusAID Information Management Steering Committee over a number of years. Whilst at CSIRO, Michael prepared the Organisation's Communications Network Strategic Plan and he has performed a number of network capacity management reviews including a review for the Bureau of Meteorology.

IT Security Reviews

Michael has substantial experience in the review of IT security and access management. He was part of the team that developed the 1995 CSIRO integrated security policy and carried this experience into an assignment at Austrade where he assisted the Commission in developing its security policy. He has conducted IT security and privacy reviews on a wide range of equipment and operating systems (from PCs to Mainframes) and encompassing a wide range of network configurations..

Reviews include: IT Security at the Bureau of Meteorology; security of the Spectrum Auction System at the Australian Communications Authority; access control at the Australian Maritime Safety Authority; business continuity at AMSA; and firewall management at the Department of Transport and Regional Services.

Review of Outsourced Services

Michael has reviewed the outsourced provision of services in a number of organisations including: IT at the Australian Communications Authority; HR and IT at the Department of Communications, IT and the Arts; and IT in the ACT Government. He has also examined a number of system failures arising from miscommunication between outsourced service providers and organisational principals.

In some cases these have been contracts for provision of computing facilities and in others contracts for the provision of full services.

Applications Development

Michael's early career was as a systems analyst/programmer, and before becoming an IT auditor he was the manager of an IT Applications development unit, responsible for the delivery of business application systems to the ACT Government. As in internal auditor he has examined the applications development environment (standards, project management, change management, requirements management, quality control etc) of

Michael Parkinson CIA CISA CRMA CRISC

many organisations ranging from private sector financial institutions to government research organisations.

Statistical and Related Work

Michael's degree includes a major stream in mathematical statistics, with studies in statistics being undertaken at Honours level. Michael's first professional appointment was as a computer programmer supporting statistical analysis software used by the Australian Bureau of Statistics. Since becoming an internal auditor he has had significant experience in the design and execution of testing regimes (both statistical and non-statistical) in support of internal audit activity.

As a presenter/trainer, Michael has developed courses to teach auditors the rudiments of statistics and practical approaches to statistically valid testing. He has presented seminars to candidates for professional certification examinations over a number of years.

Michael's direct application of statistics has been in projects for the Defence CFO, Joint Logistics Command – Logistics Assurance Branch, forensic review of the Home Insulation Program, and IP Australia quality assurance processes.

Professional Society Activity

Michael joined the Board of the Institute of Internal Auditors - Australia (IIA-Australia) in 1996, was elected Vice-President in 1998 and became National President of IIA-Australia in 1999, serving until 2001. He continued to serve on the Board of IIA-Australia until 2005.

From 2001 until 2004, Michael worked as the Host Committee chair for the IIA International Conference held in Sydney in 2004 and served on the International Conference Committee during that period. Michael was the Australian nominee Director on the Board of IIA Global for the period 2008-09; he was elected International Secretary in 2009-10 and Vice-Chair of the Board (Professional Services) for 2010-11.

In 2005, Michael joined the IIA Global International Relations Committee and served as its chair for 2007-09. He served on the International Internal Auditing Standards Board from 2011 to 2016.

During 1994-97 and 2000-01 Michael represented Australia and New Zealand as the International Vice-President of the Information Systems Audit and Control Association (ISACA). During 2003-2006 he also served as the Chair of the ISACA International Education Board.

Michael has been the prime motivator and coordinator of a number of technical publications issued by IIA Australia. In 2006-07, he worked with the Global Vision Taskforce to revise the Professional Practices Framework and with the refresh task force in 2014-15 when the framework was updated.

He served as the Honorary Secretary of the Asian Confederation of Institutes of Internal Auditors (ACIIA) for 2006-07 and as President of ACIIA from September 2007 to November 2008.

In 2007 Michael was presented with the IIA-Australia Bob McDonald Award for contribution to the internal auditing profession. In 2015 he was awarded the Victor Z Brink Award by IIA Inc. The Victor Z. Brink Award for Distinguished Service was

established to recognize individuals who, over time, have given unusual and outstanding service to the world-wide profession of internal auditing through participation in the activities of The Institute of Internal Auditors.

Michael was made a life member of IIA Australia in 2017.

Publications (partial list)

- Bowles, F. E., & Parkinson, M. J. (1989). *LAN Taming: the audit and control of local area networks*. Sydney: Peat Marwick Hungerfords.
- Finger, P., McLeod, A. J., Purdie, G., & Parkinson, M. J. (2010). *SA/SNZ HB 158-2010 Delivering Assurance Based on AS/NZS ISO 31000*. Sydney: Standards Australia / Standards New Zealand / IIA Research Foundation.
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Professional Competencies and Skills

Governance and Auditing

- Governance, risk management and control frameworks
- Internal auditing policy and procedures
- Risk-based Audit Planning
- Internal auditing methodologies
- Compliance management systems
- Computer Assisted Audit Techniques
- Internal audit/IS audit training

Business and IT Risk Management Services

- Comprehensive Business Risk Assessment
- Protective Security Risk Assessment
- Fraud Risk Management Services
- ICT Risk Assessment
- IT Risk Management Benchmarking
- Evaluation of risk management processes

Operational Performance Evaluation

- Compliance Reviews
- Operational Efficiency and Effectiveness Reviews
- Program Performance Evaluation
- Internal Audit Performance Evaluation
- Statistical Sampling
- Reviews of management of major projects

Information Risk Management

- IS Governance
- IT Strategy
- Project Assurance
- Contract Quality Assurance
- e-Business Readiness Assessment

- Application Systems Reviews
- Data Quality Assurance
- Information and Communications Technology [ICT] Security Reviews
- Infrastructure Assurance
- Business Continuity

IT/IS Management

- Information systems strategic planning
- Systems analysis, design, implementation
- Data analysis and data modelling
- Database design
- Software evaluation
- Capacity planning
- Project management
- Feasibility studies