

**19 CONFIDENTIAL ITEMS****19.1 ESTABLISHMENT OF AUDIT COMMITTEE****RECOMMENDATION**

That:

1. Pursuant to Section 90(2) & (3) of the Local Government Act 1999 the Council orders that the public, with the exception of the Acting Chief Executive Officer, Manager Corporate Services, Acting Manager Infrastructure Services, Manager Property and Development Services, Coordinator Executive Services and the Minute Secretary be excluded from attendance at the meeting held on Wednesday 23 November 2022 for Agenda Item 19.1 Establishment of Audit Committee;
2. The Council is satisfied that pursuant to section 90 (3) (a) of the Local Government Act 1999, the information to be received, discussed or considered in relation to the Agenda Item 19.1 Establishment of Audit Committee is:  
  
information the disclosure of which would involve the unreasonable disclosure of information concerning the personal affairs of any person (living or dead).
3. The Council is satisfied that the principle that the meeting be conducted in a place open to the public has been outweighed by the need to discuss this Agenda Item 19.1 in confidence.

**MOVED COUNCILLOR NEVILLE PFEIFFER  
SECONDED COUNCILLOR RON VALENTINE**

That:

1. Pursuant to Section 90(2) & (3) of the Local Government Act 1999 the Council orders that the public, with the exception of the Acting Chief Executive Officer, Manager Corporate Services, Acting Manager Infrastructure Services, Manager Property and Development Services, Coordinator Executive Services and the Minute Secretary be excluded from attendance at the meeting held on Wednesday 23 November 2022 for Agenda Item 19.1 Establishment of Audit Committee;
2. The Council is satisfied that pursuant to section 90 (3) (a) of the Local Government Act 1999, the information to be received, discussed or considered in relation to the Agenda Item 19.1 Establishment of Audit Committee is:  
  
information the disclosure of which would involve the unreasonable disclosure of information concerning the personal affairs of any person (living or dead).
3. The Council is satisfied that the principle that the meeting be conducted in a place open to the public has been outweighed by the need to discuss this Agenda Item 19.1 in confidence.

**CARRIED.**

**19.1 ESTABLISHMENT OF AUDIT COMMITTEE**

**Responsible officer:** Tony Secomb, Manager Corporate Services

- Attachments:**
1. EOI Independant Chairperson - Ross Haslam
  2. EOI Independant Member - Robert Reiman
  3. Cover Letter - Robert Reiman
  4. CV - Robert Reiman
  5. EOI Independant Member - Mark Rogers
  6. Cover Letter - Mark Rogers
  7. CV - Mark Rogers

<b>Section under the Act</b>	The grounds on which part of the Council or Committee may be closed to the public are listed in Section 90(2) & (3) of the <i>Local Government Act 1999</i> .
<b>Sub-clause and Reason:</b>	(a) - information the disclosure of which would involve the unreasonable disclosure of information concerning the personal affairs of any person (living or dead).

**Executive Summary**

This report provides information on the establishment of Councils Audit committee in accordance with Section 41 of the Local Government Act. Council must establish an Audit Committee, while other committees are optional.

<p><b>RECOMMENDATION</b></p> <p>That Council</p> <ol style="list-style-type: none"> <li>1. pursuant to Section 41 of the Local Government Act 1999 formally establishes an Audit Committee for the four year term of Council until November 2026</li> <li>2. appoints Mr Ross Haslam as independent chairperson for the next two year period until November 2024</li> <li>3. appoints Mr Mark Rogers as independent member for the next two year period until November 2024</li> <li>4. appoints Cr _____, as a member of the Audit Committee, and re-considers this appointment at the council meeting proceeding the Southern Mallee district Council supplementary elections</li> <li>5. recommends the new membership of the audit committee review its own terms of reference at its next meeting for future consideration and adoption by council.</li> </ol>
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**MOVED COUNCILLOR RON VALENTINE  
SECONDED COUNCILLOR NEVILLE PFEIFFER**

**RECOMMENDATION**

**That Council**

1. pursuant to Section 41 of the Local Government Act 1999 formally establishes an Audit Committee for the four year term of Council until November 2026
2. appoints Mr Ross Haslam as independent chairperson for the next two year period until November 2024
3. appoints Mr Mark Rogers as independent member for the next two year period until November 2024
4. appoints Cr Ron Valentine, as a member of the Audit Committee, and re-considers this appointment at the council meeting proceeding the Southern Mallee district Council supplementary elections
5. recommends the new membership of the audit committee review its own terms of reference at its next meeting for future consideration and adoption by council.

**CARRIED.**

**Background**

Southern Mallee District Council can establish committees under the provisions of Section 41 of the Local Government Act.

The purpose of committees is to assist the elected Council in undertaking its roles, responsibilities and functions more effectively and efficiently. Benefits arising from the use of committees includes:

- sharing workload across the membership of Council;
- focusing attention on specific aspects of Council business;
- increasing opportunities for elected members and staff with specialist skills or expertise to contribute;
- smaller groups allow greater participation in discussions and debate;
- developing meeting procedure and chairing skills and experience in members, and
- increasing opportunities for staff and other professional input into discussions and decision making.

**Context**

The committees former membership consisted of Cr Ireland, Cr Sparnon, Cr Pfeiffer, Rob Reiman (independent member) and Ross Haslam (independent chairperson).

Mr. Ross Haslam was first appointed as independent chairperson of the audit committee by Council at its February 2020 meeting for a term that would expire in November 2022. Mr Rob Reiman has served as an independent member since March 2017, with his current term expiring in November 2022.

The term of appointment for all other audit committee members, being the three councillors, also expires in November 2022. Council has found itself in the unique situation that all members terms have expired at the same time.

The terms of reference for the committee were due for review in October 2022 and were initially proposed to be presented to that meeting. However administration considered at the time that due to provisions around caretaker period, and the uncertainty of future membership, that it would not be good practice or good governance for the old membership to set the direction for the new membership. Reviewing its own terms of reference and becoming familiar with them was considered an important part of the induction process for any potential new membership of the committee.

Furthermore it is well documented that council is only commencing with two elected members at its ordinary November 2022 council meeting, and Local Government reform requires council to consider other changes to the terms of reference including items like the name of the committee and the number of people to form a committee.

### **Policy and statutory implications**

Chapter 2 of the Local Government Act 1999 (Sections 6, 7 and 8) sets out the role, functions and objectives of a Council. In short, this is to govern and manage its area in an open, responsive and accountable manner.

Section 122 of the Act requires a Council to develop and adopt plans for the management of its area. Specific reference is made to the need to consider the economic, social and environmental development and management of its area. There is also a requirement to arrange its affairs to separate its regulatory activities from its other activities.

Section 41 of the Act provides for the establishment of a Committee structure and states:

*“(1) A council may establish committees.*

*(2) A committee may, according to a determination of the council (and subject to the operation of this Act), be established –*

*(a) to assist the council in the performance of its functions;*

*Examples –*

*- to carry out a project on behalf of the council.*

*- to manage or administer property, facilities or activities on behalf of the council.*

*- to oversee works on behalf of the council*

*(b) to inquire into and report to the council on matters within the ambit of the council's responsibilities;*

*(c) to provide advice to the council;*

*(d) to exercise, perform or discharge delegated powers, functions or duties*

*(3) The membership of a committee will be determined by the council and may consist of, or include, persons who are not members of the council.*

*(4) The council must appoint a person as the presiding member of a committee, or make provision for the appointment of a presiding member.*

*(5) A member of a committee holds office at the pleasure of the council.*

- (6) *The council may appoint the principal member of the council as an ex officio member of a committee (but in such a case the principal member will not be taken to be included in the membership of the committee unless actually present at a meeting of the committee).*
- (7) *A committee may establish a subcommittee to assist it in a matter.*
- (8) *A council must, when establishing a committee, determine the reporting and other accountability requirements that are to apply in relation to the committee.*
- (9) *A committee that is performing a regulatory activity of the council must report to the council on its activities at least quarterly.*
- (10) *The establishment of a committee does not derogate from the power of the council to act in a matter.*
- (11) *No act or proceeding of a council committee is invalid by reason of –*
- (a) a vacancy or vacancies in the membership of the committee; or*
  - (b) a defect in the election or appointment of a member or members of the committee; or*
  - (c) the fact that the election of a member or members of the committee is subsequently declared void by a court of competent jurisdiction.*
- (12) *No civil liability attaches to a member of a committee for an honest act or omission in the exercise, performance or discharge, or purported exercise, performance or discharge, of the member's or committee's powers, functions or duties.*
- (13) *A liability that would, but for subsection (12), attach to a member of a committee attaches instead to the council."*

Council has a legislative requirement to establish the Audit Committee.

The Local Government Act 1999 Section 126 requires;

- 1) A council must have an audit committee.
- 2) The membership of an 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.

The Local Government (Financial Management) Regulations 1999 (Part 4A S13A Membership) requires that;

- 1) the Audit committee of a council –
  - a. must have between 3 and 5 members (inclusive); and
  - b. must include at least 1 person who is not a member of council and who is determined by the council to have financial expertise relevant to the functions of an audit committee; and
  - c. must not include, as a member, the council's auditor under section 128 of the Act

## Issues

A combination of factors including caretaker period, all audit committee member terms expiring at the same time, terms of reference needing review and recommendations from Local Government reform, has created a unique set of circumstances to contend with in the appointment of members to this audit committee.

The current terms of reference (TOR) stipulate that independent members of the committee are appointed by council, this is not disputed and is the basis for this report, to enable council to make those appointments. Membership to the committee though is documented that it shall consist of five members being two independent members and three elected members. As previously stated, council is starting in November with only two elected members meaning this won't be achieved however consideration must also be given to the Statutes Amendment (Local Government Review) Act 2021. Under this reform councils are currently preparing to implement change and reviewing terms of reference to comply. In terms of membership the newly named Audit and Risk committee will be required to consist of a majority of independent members, therefore two independents and one elected member is sufficient moving forward.

The current TOR also suggests a selection panel of (3) persons shall review and make recommendation for endorsement to council of independent member(s) to be appointed. The panel will consist of (2) elected members of council (preferably those on Audit Committee) and the Chief Executive Officer. Since June 2022 Council has used the services of an Acting Chief Executive Officer, and Elected members have been under certain obligations during caretaker period in the lead up to elections and or appointments in November 2022.

Expressions of interest for independent members were called for Wednesday 19 October and closed Friday 4 November 2022. Due to organisational constraints the following week interviews could only be scheduled Friday 11 November by which time the tenure of all elected members had concluded at 5.00pm the previous day.

Council received two expressions of interest for the position of independent member from Mr Robert Reiman and Mr Mark Rogers. Interviews were conducted on Friday 11 November via Zoom and again due to organisational constraints that week, only two staff could be present to conduct the interview being the Acting Chief Executive Officer, Matthew Sherman and Manager Corporate Services, Tony Secomb.

Both applicants presented and interviewed very well, they possessed different skill sets but had a good understanding of the role of the audit committee. In a close assessment it was felt the answer to one particular question was the difference between the applicants. With this in mind Mr Mark Rogers is the applicant recommended for appointment for a two year period until November 2024.

Council received one expression of interest from Mr Ross Haslam for the position of independent chairperson. Mr Haslam is the current presiding member with extensive experience on various audit committees and is recommended for reappointment for a two year period until November 2024.

The period of reappointment could be for up to four years, however, given the circumstances of the incoming council and need for a supplementary election, a 2 year period is considered more appropriate. After a two year period, Council with hopefully an increased number on the elected member body can decide to reappoint the members or undertake a new selection process.

**Alternate options**

Council may disagree with the recommendation put forward for the independent member or have a different view on the best candidate for the role. Administration do caution council against this potential outcome as council 'must' have an Audit Committee, it is a legislated requirement.

**Financial implications**

The staff time taken to coordinate meetings, prepare agendas, attend, produce minutes and report to Council is significant. The cost of this is accommodated in Council's operational budget, however, staff could be doing alternate work. The Audit Committee independent members are paid for their attendance and this is also covered in Council's operational budget.

**Work Health and Safety and Risk implications**

There are no work health and safety implications associated with this matter. There is a risk that the decision to appoint an independent member may be challenged. The unique circumstances around this recruitment and appointment are detailed in the 'Issues' section of this report.

**Consultation**

Administration has followed good process through its expression of interest and interviews and the decision to appoint rests entirely with council. Nevertheless due to the unique circumstances surrounding this recruitment and appointment as detailed in the report, legal advice was sought to confirm proper process.

## EXPRESSION OF INTEREST AUDIT COMMITTEE INDEPENDENT CHAIR

### APPLICANT DETAILS

<b>NAME</b>	Ross Haslam
<b>POSTAL ADDRESS</b>	78 Hill Street, NORTH ADELAIDE SA 5006
<b>EMAIL ADDRESS</b>	wrhaslam@gmail.com
<b>TELEPHONE</b>	0408842012

### FORMAL FINANCIAL / RISK MANAGEMENT QUALIFICATIONS

I am a Fellow of The Chartered Accountants of Australia and New Zealand. Over the past 10 years I have provided specific high level risk management advice to a number of corporations, not-for-profit organisations and local government authorities. My specific risk management skills set has led to my appointment on two significant boards, SAHMR1 and Women's and Children's Health Network.

### FINANCIAL / RISK EXPERIENCE

I have been a partner of major accounting firms for a period of over 20 years and I have specialised in financial advice and risk management advice. The areas of risk management, strategic management and corporate governance have been areas of significant interest to me for a number of years. In particular, I consider that my experience in the area of risk management is somewhat unique. I have a proven track record as being the driving force in significantly elevating the maturity of an organisation's risk management in Local Government, State Government and private sector organisations. In the past two years I have provided significant input into enhancing the risk management in two Councils.

### AUDIT COMMITTEE EXPERIENCE

I have provided audit and risk committee advice to seven South Australian Councils and currently act as Chair of those committees for three Councils. I have had over 15 years of Audit and Risk Committee involvement. I would be pleased to provide you with referees from those Councils.

### REASON FOR EXPRESSING INTEREST

I believe I can make a significant contribution to your Council if re-appointed. I have a passion for providing valuable service to the local government sector in South Australia. I believe, the sector faces a number of critical issues and I gain significant satisfaction in assisting management and elected members. I have developed a sound understanding and affinity for Local Government. I understand the key issues facing the sector. A number of Mayors and Councillors have sought my advice in relation to Council matters. My wide range of clients ensures that I am up to date with emerging trends and techniques in these areas.

### ANY OTHER INFORMATION

In my view, the two major areas for Audit and Risk Committees are finance and risk management. Your Council's financial controls and systems are strong and well supported by both your consultants and management. I believe that your Risk Management System and Controls will require significantly higher priority in the next year. As Chair of the Audit Committee, I would be able to add considerable value to the Council in this area.

*Expressions of interest should be submitted to the Acting Chief Executive Officer, Southern Mallee District Council at email [council@southernmallee.sa.gov.au](mailto:council@southernmallee.sa.gov.au) no later than 5pm on Friday 4 November 2022.*



## EXPRESSION OF INTEREST AUDIT COMMITTEE INDEPENDENT MEMBER



### APPLICANT DETAILS

<b>NAME</b>	ROBERT FRANKLIN REIMAN
<b>POSTAL ADDRESS</b>	14 DIECKMANN DRIVE GAWLER EAST SA 5118
<b>EMAIL ADDRESS</b>	rob.reiman51@gmail.com
<b>TELEPHONE</b>	0456 082 139

### FORMAL FINANCIAL / RISK MANAGEMENT QUALIFICATIONS

Bachelor of Business

Business Certificate

### FINANCIAL / RISK EXPERIENCE

Government Management Board – setting up accounts section and program performance budgeting

Economic and Finance Committee (formerly Public Accounts Committee) SA Parliament – Research Officer

Caddieshack Bowls – Established and ran successful retail operation for 27 years

Australian Taxation Office – Accounts – refer CV for specifics

Audit and Risk Committees – Independent Member – various councils since 2010 – see CV for specifics

### AUDIT COMMITTEE EXPERIENCE

See last item in section above and CV for specifics

### REASON FOR EXPRESSING INTEREST

I have always had a keen interest in the regional areas in which my business Caddieshack Bowls mainly operated. As a transition to retirement I am seeking a part time activity in which I can participate and contribute and one in which I have the relevant skills and experience

### ANY OTHER INFORMATION

Please refer to cover letter and detailed CV

Expressions of interest should be submitted to the Acting Chief Executive Officer, Southern Mallee District Council at email [council@southernmallee.sa.gov.au](mailto:council@southernmallee.sa.gov.au) no later than 5pm on Friday 4 November 2022.

Robert Reiman  
14 Dieckmann Drive  
GAWLER EAST SA 5118

Monday 24 October 2022

Mr. Matthew Sherman  
Acting CEO  
Southern Mallee District Council

Dear Mr Sherman

Audit Committee – Independent Member

In response to the advertisement for expressions of interest for the above position, please find attached a copy of my curriculum vitae which outlines my educational qualifications and work experience.

In relation to the work of the committee, I would draw your attention to my extensive experience within the S.A. Public Sector and in particular my role of Research Officer for the Economic and Finance Committee, my experience in serving as an independent member on the Audit Committees of Wakefield Regional Council (6 years), Yorke Peninsula Council (since December 2016 and Chair since 2020), Southern Mallee District Council (since March 2017) and more recently Clare and Gilbert Valleys Council. I will also take up the appointment of Independent Member at Orroroo Carrieton District Council in December this year.

If appointed, I bring a wealth of experience to the committee which would assist it in successfully dealing with the relevant financial, risk management and audit responsibilities of the Council.

In conclusion, I have the relevant skills, knowledge and experience to provide a positive and productive contribution to the work of the Committee and Council.

Yours sincerely,



Robert Reiman

**PERSONAL DETAILS**

Name: Robert Franklin REIMAN  
 Address: 14 Dieckmann Drive, Gawler East, S.A. 5118.  
 Telephone: (H) 85223736 (M) 0456 082 139  
 Citizenship Status: Australian  
 Email: [rob.reiman51@gmail.com](mailto:rob.reiman51@gmail.com)

**ACADEMIC QUALIFICATIONS**

Management Development Program – S.A. Public Sector (1991)  
 Bachelor of Business (Public Administration) (1986) – S.A. Institute of Technology (University of SA)  
 Certificate of Business (1978) - TAFE

**RELEVANT EXPERIENCE**

Independent Member of Audit and Risk Committees – Yorke Peninsula Council (Chair), Southern Mallee District Council, Wakefield Regional Council and more recently Clare and Gilbert Valleys Council.  
 Research Officer – Economic and Finance Committee, SA Parliament.  
 Board Secretarial roles at SSABSA (now the SACE Board) and the Government Management Board

**EMPLOYMENT HISTORY**

2022 Appointed Independent Member, Audit Committee, Clare and Gilbert Valleys Council

2016 - Current Appointed as Independent Member (and current Chair), Audit and Risk Committee, Yorke Peninsula Council and Independent Member, Audit Committee at Southern Mallee District Council

1994 – 2022 Owner/ Proprietor - Gawler Caddieshack/Caddieshack Bowls Business sold in May 2022.

2012 - 2018 Operations Officer, Client Account Services, Australian Taxation Office (Casual)

- undertake investigation and take appropriate action in relation to the processing of 'flagged' taxation returns
- review debts owed to the ATO by taxpayers/companies and undertake appropriate action
- respond to specific requests from tax agents, liquidators and administrators

2010 – 2016 Independent Member – Audit Committee – Wakefield Regional Council

- 2009 – 2011 Human Resources Consultant - (part time)
- provide classification advice to SA public sector clients
  - develop classification submissions and recommendations to client departments and agencies
- 1995 - 1996: Technical and Development Manager  
Central District Football Club
- 1993: Research Officer – Economic and Finance Committee  
Parliament of S.A. – House of Assembly
- research SA public sector agencies' annual reports and identify issues of interest or concern to the committee
  - draft reports for consideration by the committee
  - draft questions for the committee when taking evidence from public sector employees
  - attend committee meetings/hearings and provide advice to committee members
- 1989 – 1992: Senior Secondary Assessment Board of S.A (SSABSA)  
Secretary to the Board/Senior Admin & Human Resources Officer
- manage the business of the board and its committees including preparation of agendas, briefing papers, submissions and board minutes
  - ensure follow up action taken in accordance with board decisions
  - undertake human resources functions for the board, including recruiting, selection panel and staff development
  - manage the clerical/administrative support staff
  - receive and respond to correspondence and telephone enquiries in relation to board policies and decisions.
- Executive Officer – Organisation Review
- undertake the organisation review of SSABSA in line with current organisation structure principles
  - participate in the review steering committee's deliberations
  - draft the review report for presentation to the board and Minister
- 1987 – 1989 : Secretary – Government Management Board  
Office of Government Management
- manage the business of the board including preparation of agendas, briefing papers and submissions and board minutes
  - ensure follow up action taken in accordance with board decisions
  - manage the administrative and financial functions of the office
- 1985 – 1987 : Project Officer - Review of Public Service Management  
Department of Premier and Cabinet
- 1984 -1985: Senior Administrative Officer  
Attorney General's Office
- 1979 - 1984: Chief Clerk and Acting Management Services Officer, Department of  
Premier and Cabinet

- 1975 – 1979 : Senior Clerk - Traffic Section/Assistant Secretary, Road Traffic Board  
Highways Department
- 1974: Secretary, Stock Medicines Board  
Department of Agriculture
- 1969 - 1974: Clerk – Traffic, Planning and Property Sections, Highways Department

#### MAJOR PUBLIC SECTOR PROJECTS

**Economic and Finance Committee** (previously known as the Public Accounts Committee) - as Research Officer I was responsible for the formulation of reports arising from the conduct of public and in-camera hearings of the Committee and the review of public sector annual reports.

The major reports I compiled for the committee included the Eighth Report on the 'Inquiry into Executive Structures and Salaries in the S.A. Public Sector' and the management and governance of the West Beach Trust.

**Senior Secondary Assessment Board of SA** – as secretary I was responsible for the provision of high quality services to the Board (consisting of 30 members, each with a deputy member) and its Sub-Committees during the implementation of the recommendations of the Gilding Report which resulted in the new South Australian Certificate of Education (SACE). This subsequently required a major staffing and organisation review to deliver the new education certificate and as part of the Public Sector Management Development Program, I was provided the opportunity to become Executive Officer to the Review. I was responsible for the general conduct of the review, which included the provision of research services, administrative support to the review committee and its working groups, and the production of the final report. Following the adoption of the report, I was responsible for the conduct of the extensive job review and design of all positions within the new structure.

**Government Management Board** – as its first Secretary, I was responsible for setting up the office and associated administrative and finance procedures to support the Board. Responsible for the overall management of administrative staff, management of accounts and budgeting (program performance budgeting), as well as providing secretarial support to the board.

**Review of Public Service Management** – this was the first major review of the SA Public Service in over 30 years and it culminated in the abolition of the Public Service Board and the introduction of the Government Management and Employment Act. The new act introduced a totally new concept in the employment, appointment and mobility of public servants as well as decentralised powers to department heads and the ability to delegate certain authorities (relating to appointments, expenditure etc). As Project Officer, I attended to primary research and administrative support to the Review Committee and its Working Parties.

#### REFEREES

Available upon request

## EXPRESSION OF INTEREST AUDIT COMMITTEE INDEPENDENT MEMBER



APPLICANT DETAILS	
<b>NAME</b>	Mark Rogers
<b>POSTAL ADDRESS</b>	38a Matthew Smillie Drive, Nairne, SA 5252
<b>EMAIL ADDRESS</b>	markrogers.au@gmail.com
<b>TELEPHONE</b>	0433 004 583

FORMAL FINANCIAL / RISK MANAGEMENT QUALIFICATIONS	Relevant Education:
<b>Relevant Certifications:</b>	Company Directors Course - Australian Institute of Company Directors
Lead Auditor in Quality Management Systems ISO 9001:2015 and ISO 19001:2018	Graduate Diploma of Management - Australian Institute of Business
Lead Auditor in Information Security Management System ISO/IEC 27001:2013 and ISO 19001:2018 Management Systems Auditing	Graduate Certificate of Management - Australian Institute of Business
Auditing an ISMS ISO/IEC 27001:2013	

FINANCIAL / RISK EXPERIENCE
Senior Manager - Risk, Audit, Compliance, & Quality Framework - Datacom, 4 years
Assurance Lead - AGL, 3 years
Risk and Compliance Manager / Quality Manager - Westpac, 5 years

AUDIT COMMITTEE EXPERIENCE
Audit & Risk Committee - Coorong Council
Board Member - St Francis de Sales College

REASON FOR EXPRESSING INTEREST
I wish to expand my experience in Risk & Audit Committees outside the private sector

ANY OTHER INFORMATION

Expressions of interest should be submitted to the Acting Chief Executive Officer, Southern Mallee District Council at email [council@southernmallee.sa.gov.au](mailto:council@southernmallee.sa.gov.au) no later than 5pm on Friday 4 November 2022.

November 2022

**Tony Secomb**  
Southern Mallee District Council

Mark Rogers  
0433 004 583  
Markrogers.au@gmail.com  
Nairne, SA, 5252

Re: Audit Committee Expressions of Interest as an Independent Member

As a dynamic and highly accomplished Senior Leader in Risk, Compliance and Assurance whose strategic mindset and disciplinary breadth fuels superior outcomes, I am thrilled at this opportunity to sit as an independent member of the Audit Committee. As someone with Board and Council Audit & Risk Committee experience the role and function of a committee is not new to me.

I possess over 11 years of senior-level experience across the public and the private sectors, most recently as the Senior Manager - Risk, Audit, Compliance, & Quality Framework, and Senior Manager - Quality Assurance for Datacom and, prior to that, as the Quality Assurance Lead for Service Delivery and Operational Services for AGL Energy; and Risk and Compliance Manager for the Westpac Banking Group. As such, I am well-versed in leading internal audit, overseeing external audit and providing risk management and compliance services. I am also an Independent Member of the Coorong Council Audit & Risk Committee.

As a Certified Lead Auditor, I have developed scopes, established procedures and plans, and coordinated monitoring and auditing in line with internal controls, as well as legislations, ISO Standards, policies, and procedures. At Datacom, this has seen me implementing a new Corporate Risk Management, Compliance, and Audit Framework and achieving company ISO certification in Quality Management and Information Security Management Systems. At AGL, I was onboarded to develop and implement a new Quality Programme for all global call centres through to a new back-of-house Quality Programme in India. At Westpac, I established a Risk and Compliance programme. Throughout these instances, I managed documentation; and monitored and updated the assessment of control environments.

I have provided insights on risk areas and trends as well as technical guidance and support on processes, tools, templates and training. At Datacom, I provide contractual governance for multiple Government contracts, as well as reporting and ensuring adherence to legislation and regulatory requirements. I served as AGL's delegate on the HSE and Wellbeing Committee, South Australia and led Quality Assurance Specialists in Adelaide and offshore. At Westpac, implemented a risk and compliance framework as well as transitioned, trained and implemented an offshore contact centre.

I have also reviewed processes and provided recommendations driving organisational resilience and continuous improvement, and promoting internal control, policies, procedures and governance concepts. At Datacom, I designed and implemented four new Quality Assurance programmes for clients. I also oversaw the implementation of COPC Quality Service Standards and created a new IVR solution to facilitate shifts in business engagement and requirements. At AGL, I introduced an automated quality programme for back-office functions. At Westpac, I configured and implemented the Westpac Assist Quality Framework; and identified and drove a process to reduce bad debt within Westpac's personal loans by \$10 million.

As an independent Member of the Audit & Risk Committee I bring the expertise and knowledge to ensure adequate controls and audit oversight within Council. Thank you for considering my application and I look forward to discussing this opportunity with you in the future.

Sincerely,  
Mark Rogers.

# MARK ROGERS

0433 004 583

Markrogers.au@gmail.com

LinkedIn.com/in/mark-rogers-qa/

## Professional Summary

I am a dynamic and highly accomplished Senior Leader in Risk, Compliance, Governance, and Quality whose strategic mindset and disciplinary breadth fuels superior outcomes. I am a skilful communicator, engaging stakeholders and motivating and developing teams to achieve consistent high performance. I am also innovative and technologically astute, building frameworks and providing insights that advance overarching goals.

I possess over 11 years of senior-level experience across the private and public sectors. I have implemented a new Risk Management and Compliance Framework for Datacom as well as seen the company through successful audits and ISO Accreditation in Quality Management and Information Security Management Systems. I also designed, developed, and implemented a new Quality Programme for all global AGL call centres within four weeks of employment; and established a Risk and Compliance programme, including three Lines of Defence and a compliance governance framework for Westpac. Collaborative and assured, I bring the integrity and expertise to ensure success.

## Key Competencies

### Dynamic Leadership

- Extensive experience in operational risk and compliance within large, highly regulated organisations and a contemporary understanding of probity, governance, fraud and corruption prevention.
- Collaborative, establishing cross-functional partnerships and leading and developing teams to deliver high performances on multiple projects simultaneously.
- Communicates with influence, engaging stakeholders at all levels to promote effective strategies and achieve buy-in for positive change.

### Technical Expertise

- Higher qualifications and certifications in business risk and compliance management, and Lead Audit functions.
- Deep and comprehensive understanding of corporate governance, operational risk and compliance management practices and systems.
- Detailed knowledge of the application of business controls, as well as of legislations, policies, and procedures.
- Highly proficient in the use of Microsoft applications such as Excel, Word, and PowerPoint; and in preparing and presenting written materials for Executive and regulatory audiences.

## Career History – Summary

Aug 2018 – Present	Datacom, Adelaide, SA	Senior Manager - Risk, Audit, Compliance, & Quality Frameworks Senior Manager, Quality Assurance Quality Assurance Manager
2022 – Present	Coorong District Council	Independent Member – Audit & Risk Committee
Jan 2016 – Aug 2018	AGL Energy, Adelaide, SA	Quality Assurance Lead – Service Delivery, Operational Services Quality Assurance Lead – Customer Solutions, Operational Services
Sep 2006 – Jan 2016	Westpac Banking Group, Adelaide, SA	Risk and Compliance Manager, IT Service Delivery



Quality Manager, Technology  
Business Analyst  
Team Leader

## Career History – Detailed

### Senior Manager - Risk, Audit, Compliance, & Quality Framework

#### Senior Manager - Quality Assurance

Quality Assurance Manager – Australian Digital Health Agency, Department of Home Affairs, Department of Human Services

Datacom, Adelaide, SA

Aug 2018 – Present

Datacom is one of Australasia’s leading, locally owned technology companies and designs, builds and runs IT systems and processes for business.

As the Senior Manager - Risk, Audit, Compliance, & Quality Framework, I am chiefly responsible for reducing financial and reputational risk by ensuring there are controls sufficient to maintaining the obligations and requirements relating to ISO standards, legislation, contractual compliance, and the strategic governance plan (including Strategic Risk Management, Business Continuity, Audit functions, Governance, and Compliance Systems)

As a Senior Manager - Quality Assurance, I was primarily responsible for client engagement and managing high-performing teams and managers across multiple contracts.

Some highlights associated with this tenure include Implementing a new Risk Management and Compliance Framework; seeing Datacom through successful Accreditation in Quality Management and Information Security Management Systems; and the rapid design and implementation of the COVID-19 Helpline and National Stay at Home Support Service centre support functions.

#### Additional Achievements

- Provided contractual governance for multiple ongoing Government contracts and ensured adherence to legislation and regulatory requirements, including incident response and reporting.
- Designed, planned and implemented four new Quality Assurance programmes for public and private sector clients.
- Innovated and implemented a rapid process facilitating a temporary 1,000 per cent increase in workload for the Australian Digital Health Agency.
- Managed the implementation of workforce planning; real-time management; quality assurance and compliance; and learning and development programmes for new services.
- Designed and implemented staff development programmes to strengthen capacity and maximise talent; and Quality programmes to meet client, legislative and business needs.
- Oversaw the successful implementation of COPC Quality Service Standards.
- Created a new IVR solution to facilitate shifts in business engagement and requirements.

### Independent Member - Audit and Risk Committee

Coorong District Council

2022 – Present

As per the council terms of reference; the purpose of the Audit & Risk Committee is to provide independent assurance and advice to the Council on accounting, financial management, internal controls, risk management and governance matters.

- Reviewing annual financial statements to ensure that they present fairly the state of affairs of the Council; and
- Proposing, and providing information relevant to, a review of the Council’s strategic management plans or annual business plan; and
- Monitoring the responsiveness of the Council to recommendations for improvement based on previous audit and risk assessments, including those raised by a council’s auditor; and
- Proposing, and reviewing, the exercise of powers under section 130A; and

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- Liaising with the council’s auditor in accordance with any requirements prescribed by the regulations; and
- Reviewing the adequacy of the accounting, internal control, reporting and other financial management systems and practices of the Council on a regular basis; and
  - If the Council has an internal audit function –
    - Providing oversight of planning and scoping of the internal audit work plan; and
    - Reviewing and commenting on reports provided by the person primarily responsible for the internal audit function at least on a quarterly basis; or
  - If the council does not have an internal audit function, reviewing and commenting on an annual report provided by the Chief Executive Officer in relation to the policies and processes adopted by the Council to evaluate and improve the effectiveness of its internal control practices and procedures; and
- Reviewing and evaluating the effectiveness of policies, systems and procedures established and maintained for the identification, assessment, monitoring, management and review of strategic, financial and operational risks on a regular basis; and
- Reviewing any report obtained by the Council under section 48(1); and
- Performing any other functions determined by the Council or prescribed by the regulations.

**Quality Assurance Lead – Service Delivery, Operational Services**  
**Quality Assurance Lead – Customer Solutions, Operational Services**  
 AGL Energy, Adelaide, SA  
 Jan 2016 – Aug 2018

AGL Energy is one of Australia’s leading energy companies providing electricity, gas, solar and renewable energy services as well as NBN and mobile plans.

As the Quality Assurance Lead – Service Delivery, Operational Services, I was responsible for the creation and management of process quality and customer experience for 3,000,000 actions per month across two locations in India.

As the Quality Assurance Lead – Customer Solutions, I managed process quality and customer experience for 20,000 contacts per day across four call centres in Adelaide, Melbourne, Manila, and Pampanga.

I am particularly proud of designing, developing and implementing a new Quality Programme for all call centres within four weeks, from requirements-gathering through to the new back-of-house Quality Programme in India. I also introduced an automated quality programme for back-office functions.

**Additional Achievements**

- Served as a delegate on the HSE & Wellbeing Committee, South Australia.
- Led Quality Adherence Specialists in Adelaide and managed an offshore Quality team of 19 Quality Analysts and a Quality Team Leader.
- Created and managed a life support quality programme and a domestic violence quality platform.
- Identified and drove a number of continuous improvement opportunities.

**Risk and Compliance Manager, IT Service Delivery**  
**Senior Business Analyst**  
**Team Leader**  
 Westpac Banking Group, Adelaide, SA  
 Sep 2006 – Jan 2016

Westpac Banking Group is one of the four major banking organisations in Australia and provides a broad range of banking and wealth management services through a portfolio of financial services brands and businesses.

As the Risk and Compliance Manager, IT Service Delivery, I was primarily responsible for contract compliance and adherence, managing relationships with IBM Service Delivery Managers and continuous improvement and leading a team of Quality Analysts, Escalations Manager and Major Incident Managers.

As a Senior Business Analyst I was responsible for requirements gathering, configuration and implementation on a range of projects. As a Team Leader, I led a team of Customer Resolution Consultants, providing coaching and development and performance appraisals; and analysing data to implement new strategies.

Notably, I established a Risk and Compliance programme, including three Lines of Defence and a compliance governance framework. I also successfully developed and implemented the Quality Programme for a new IT Service Desk, reducing FTE through simplification and automation; and aligning IBM service providers with the new service delivery framework.

#### Additional Achievements

- Created annual Total Quality Plans including setting objectives, targets, KPIs, and accountability for phone and online based Operators, Team Leaders and Management.
- Drove and owned process quality, support quality, continuous improvement, first touch resolution, rework reduction, ticket assignment reduction, call transfer reduction, repeat call reduction and reporting.
- Owned the Business Continuity Plan, the Risk programme and two levels of defence.
- Developed learning and coaching pathways for use in the Service Desk.
- Configured and implemented the Westpac Assist Quality Framework.
- Carried out successful high- and low-level process mapping of the St George Collections process to integrate NSW St George Collections with South Australia.
- Transitioned, trained and implemented an offshore contact centre in India.
- Identified and drove a process to reduce bad debt within Westpac's personal loans by \$10 million.
- Won the National 'Simply the Best' CEO Award.
- Won the Shooting Star – Innovator of The Month Award.

Detailed Career History and Achievements prior to Sep 2006 available upon request.

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## Education and Training

#### Company Directors Course

Australian Institute of Company Directors

#### Graduate Diploma of Management

Australian Institute of Business

#### COPC Best Practices for Quality Management Course

COPC Inc.

#### Graduate Certificate of Management

Australian Institute of Business

## Certifications

Six-Sigma Green Belt

Lead Auditor in Quality Management Systems ISO 9001:2015 and ISO 19001:2018

Lead Auditor in Information Security Management System ISO/IEC 27001:2013 and ISO 19001:2018

Management Systems Auditing

Auditing an ISMS ISO/IEC 27001:2013

ITIL Foundation

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## Awards and Professional Recognition

Winner, Shooting Star Award – Innovator of The Month

Westpac

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National Winner, 'Simply the Best' CEO Award  
Westpac

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## Boards and Committees

**Board Member**  
St Francis de Sales College

**HSE & Wellbeing Committee**  
AGL Energy

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## Clearances

Services Australia (Department of Human Services)  
Department of Health  
Australian Digital Health  
AGSVA Baseline Defence  
Australian Government Employment Suitability Clearance (ESC)  
Service NSW

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## COVID-19 vaccination status

Double-vaccinated plus booster.

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## Referees

Available upon request.

**19 CONFIDENTIAL ITEMS****19.1 ESTABLISHMENT OF AUDIT COMMITTEE****RECOMMENDATION**

That having considered agenda Item 9.1 (Establishment of Audit Committee) in confidence under section 90 (2) and (3) (a) of the Local Government Act 1999, the Council pursuant to section 91 (7) of the Act releases the Council decision only once all candidates are notified ; and the officer's report, associated attachments and all minutes be retained in confidence. This order is to be reviewed at or before the ordinary Council meeting to be held in January 2023, as to if this order is to continue in operation.

**MOVED COUNCILLOR NEVILLE PFEIFFER  
SECONDED COUNCILLOR RON VALENTINE**

**That having considered agenda Item 9.1 (Establishment of Audit Committee) in confidence under section 90 (2) and (3) (a) of the Local Government Act 1999, the Council pursuant to section 91 (7) of the Act releases the Council decision only once all candidates are notified ; and the officer's report, associated attachments and all minutes be retained in confidence. This order is to be reviewed at or before the ordinary Council meeting to be held in January 2023, as to if this order is to continue in operation.**

**CARRIED.**