Supporting Documentation required with Natural Disaster Claims

**As a result of the audit conducted by Pricewaterhouse Coopers which commenced in 2016, on the natural disaster claims lodged for the 2012-13 expenditure, the following supporting documentation now must be included with each claim lodged.**

**Access to FileShare can be arranged for local councils/CMAs wanting to include documentation (such as the photos and reports) in excess of the 20mb allowable on the ACMS Portal. The transaction listing and invoices should be saved with the claim on the ACMS Portal.**

**As part of the claim assessment process, councils are required to provide supporting information to DTF and assessors as much as they can. Where not all documents can be provided, councils should maintain the balance of the supporting documents at the council’s end and keep the documents available upon request.**

* **Claim Amounts $150,000-$200,000**

**Where possible, it is recommended that councils/CMAs keep the total claim amounts to approximately $150,000-$200,000.  Smaller claims lodged frequently are easier to prepare, and are also more manageable for the process which follows (ie. reviewing, assessing and auditing). Claims for the same event are linked and can be found on the ACMS on each claim under ‘*Related Records’*.**

* **Transaction Listing**

**It is essential that a transaction listing including the total amount being claimed is included (in an Excel format) with all claims, along with associated invoices.  A transaction listing generally refers to a general ledger that includes a reasonable level of information regarding the nature of relief and recovery works. Where such information is not available on the general ledger, Councils/CMA can provide additional information through the transaction listing template which has been has been set up as a guide for Councils/CMAs. The transaction listing template can be found on the ACMS under ‘Documents, Guides & Forms’ (on the menu, left hand side) entitled ‘*ACMS Transaction Listing’*.**

**If using your own transaction listing, please ensure it includes the same information as the template (i.e. Date, Invoice Number, Supplier and Description of Works Undertaken).**

**The transaction listing greatly assists with the assessment/auditing process of the claim.**

**Where possible, all invoices should be uploaded onto the ACMS with the relevant claim. If this isn’t possible, invoices need to be made available for future assessment/audit requests.**

* **Link between damage and an event**

In order to claim costs associated with the restoration of an essential public asset, the responsibility lies with the local council to demonstrate a direct relationship between the activities for which expenditure is claimed, and the restoration of that asset and the pre-condition of the damaged asset —for example:

* visual and geospatial data and information which may include (but is not limited to) satellite images, Google earth images, photographs, or video footage
  + this type of evidence can be used to support the pre-disaster standard of an essential public asset, the post-disaster damage caused as a direct result of the eligible disaster, including the betterment component where applicable, and the condition of the essential public asset once the restoration or replacement works have been completed
  + where an essential public asset is restored or replaced to its pre-disaster standard in accordance with current building and engineering standards, and through the use of contemporary methodologies and materials, the standard of the eligible essential public asset has been enhanced (see Guideline 1 for further details), states must be able to demonstrate that the level of enhancement to the eligible essential public asset does not amount to restoring or replacing the essential public asset to a more disaster-resilient standard than its pre-disaster standard, i.e. betterment
* asset inspection and asset maintenance reports and assessments, including but not limited to, asset inspection report(s) conducted or verified by a suitably qualified professional with the appropriate level of expertise and experience (from either the state or local government or a delegated third party), site inspections, design reports and damage assessments
* administrative data and documentation including, but not limited to, contract/work orders, timesheets, news articles, e-mail correspondence, funding approval letters, minutes of meetings
* financial data and documentation including, but not limited to, tax and/or financial statements, cost-benefit analysis, transaction listings used to reconcile invoices, annual reports, proposals and invoices
* grant data and documentation, including but not limited to, grant applications and grant guidelines, and
* mitigation strategies, including but not limited to, disaster resilience plans, including action plans, risk profiles and assessments, and flood mapping.

### Pre-disaster condition of an essential public asset

In order to claim eligible costs for the restoration or replacement of a damaged asset as a result of an eligible disaster, local councils *must* provide supporting evidence demonstrating the pre-disaster standard of the asset.

The pre-disaster standard of a damaged asset is considered to be the condition of the asset and its level of functionality or utility or disaster resilience prior to the *eligible disaster*.

To demonstrate the pre-disaster standard of a damaged asset, councils must be able to demonstrate the location, nature and pre-disaster condition of the damaged asset through one or more of the following most appropriate means:

* + visual and geospatial data and information which may include (but is not limited to) satellite images, Google earth images, photographs, video footage
  + asset inspection and asset maintenance reports and assessments, including but not limited to, asset inspection report(s) conducted or verified by a suitably qualified professional with the appropriate level of expertise and experience, site inspections, design reports and damage assessments
  + administrative data and documentation including, but not limited to, contract/work orders, timesheets, news articles, e-mail correspondence, funding approval letters, minutes of meetings
  + financial data and documentation including, but not limited to, tax and/or financial statements, cost-benefit analysis, transaction listings used to reconcile invoices, annual reports, proposals and invoices
  + grant data and documentation, including but not limited to, grant applications and grant guidelines, and
  + mitigation strategies, including but not limited to, disaster resilience plans, including action plans, risk profiles and assessments, and flood mapping.
* **Reporting of the event**

**Evidence of the impact of the natural disaster event, to the local government area needs to be included, especially with the first claim. For the assessment/auditing process, this provides an understanding of the overall impact. The reports can be taken by various sources including local media articles, State Emergency Services and Bureau of Meteorology reports.**

* **Position Descriptions/Salary Costs/Overtime**

**Should your Local Council/CMA need to create a position for the coordination of the clean up and restoration of essential public assets as part of the natural disaster recovery process, please ensure that a copy of the Position Description (PD) is forwarded to DTF prior to claiming costs for the position.  Once approved, the PDs can be saved to FileShare to your entities folder.**

**In relation to the Salary Costs/Overtime template, please ensure the Employee Name, date, amount, and the activity undertaken whilst on overtime are also included please.  Alternatively, timesheets can be attached, provided it includes the required information (ie. Employee Name which can be easily matched to a copy of the ledger).**

**Please contact the NDFA Team if you have any queries at all relating to the NDFA process on 03 9651 2327 or at** [**ndfa@dtf.vic.gov.au**](http://ndfa@dtf.vic.gov.au)**.**