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Roads to Recovery

Internal Operating Procedures

Updated: July 2019

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Foreword

This document sets out the current processes followed in the key areas of:

. project assessment;

. quarterly reporting (including the six month rule);

. the payment process; and

. annual reporting (including expenditure maintenance);

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Key Documents

National Land Transport Act 2014– Part 8 (the Act)

Conditions Applying to Payments Under Part 8 of the Act (funding conditions / conditions)

Program Procedures for the Roads to Recovery Program 2019-24 (procedures)

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Role of Officers in Roads to Recovery

Assistant Secretary, Targeted Infrastructure Programs

. formal responsibility for all aspects of the program

. has delegations to exercise powers of the Minister eg. to make payments, approve allocation changes when shire amalgamations occur

. approval of waivers for expenditure maintenance breaches etc

. approve requests for legal advice, important policy documents

. handles corporate matters eg. budgets/recruitment.

EL2, Director, Targeted Roads and Community Infrastructure

. coordinates annual compliance activity

. general oversight of day to day operations

. handles most liaison with Minister's Office

. signs departmental correspondence with policy implications

. provision of advice on the Program to General Manager and Executive.

EL1, Assistant Director, Roads to Recovery Program

. drafts documents of a policy or legal nature

. prepares, or oversights the preparation of, ministerial correspondence

. liaises with LGAs (telephone and email)

. clears projects and processes expenditure reports in payment process

. prepares key documents in payment process

APS6

. prepares ministerial correspondence

. liaises with LGAs (telephone and email)

. clears projects and processes expenditure reports in payment process

. prepares key documents in payment process

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APS5

. liaises with LGAs (telephone and email)

. clears projects and processes expenditure reports in payment process

. processes annual reports

. undertakes on ground compliance checks on behalf of department as required

. major role in operation and development of IMS

. handles expenditure maintenance breaches.

APS4

. liaises with LGAs (telephone and email)

. clears projects and processes expenditure reports in payment process

. processes annual reports

. undertakes on ground compliance checks on behalf of department as required

. provides general assistance.

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Project Assessment

The Local Government Authority (the LGA) enter projects that they wish funded under the Roads to Recovery (R2R) program via the Infrastructure Management System (IMS). The vast majority of these will be added during the quarterly reporting period. However, this module is open 24 hours a day, seven days a week so LGAs are free to add projects at any time as they wish.

Once the LGA saves the newly entered project it will appear in the R2R Team's IMS Task List for assessment.

Three checks are done on each project through IMS:

- is the project eligible?
- are the project details adequately described?
- have satisfactory maps been submitted?

Eligibility

Each project is checked against the conditions and procedures to ensure that it is a road project as defined in the Act and meets the eligibility criteria in the funding conditions and procedures. For example, bike paths are fundable only in some circumstances.

Project Details

R2R projects are also listed on the Department's web site for use by the Government, the Department, the general public and other stakeholders. It is therefore essential that the information entered by the LGA be clear and simple in a non-technical manner.

On initial submission of a new, or amended project, R2R staff check to ensure that the information submitted is clear and simple; that spelling, punctuation and grammar is correct; that LGAs have not used technical jargon, and abbreviations are explained eg SLK - straight line kilometre.

The checks made are:

- **Organisation:** Check that correct organisation name is displayed.
- **Funding Program**: Check that the correct Funding years are displayed
- **Allocation / Project Type:** For all but Western Australia these fields default to Standard / Normal (or Small for projects with total cost less than $10,000).

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- In the case of Western Australia, LGAs may have a Special allocation for Bridges or Aboriginal Access Roads. Project Type is "Special" and Work Category must show either Aboriginal Access Road or Bridges and Culverts.
- Where these projects are completed for less than the funds allocated, the Department's agreement is required before the surplus funds can be used for other projects.

- **Primary Road**: Check that the LGA has identified the road where the works are being undertaken including the name of the town, suburb or an annotation that road is rural.

- **Work Location**: Check that the LGA has identified clearly where on the primary road the works are actually located eg between x Road to y Road, or slk or chainages including the point from which the measurements commenced from. There needs to be enough location information to enable someone to find the project.

- **Problem Being Addressed/Works Proposed:** Check that the LGA has provided one or two plain English (non-technical) sentences that clearly says what is wrong with the road and what the proposed works include.

- **Work Category:** Check that the LGA has selected the category that best matches the description of the works proposed.

When projects are first listed, they are based on estimated start and completion dates, and estimated costs. LGAs are required to update this data as the project progresses and it becomes actual information once the project is completed.

- **Start / End Dates:** Check construction start and end dates to ensure that the funding LGA has entered realistic dates. Blanket dates eg July 2011-June 2012 are not usually accepted.

- **Complete Construction:** Check that the LGA has marked the project complete if the construction end date has passed. If not, check whether the date is wrong.

- **Total Project Cost / Fully R2R Funded / Cost to RTR:** These figures are entered by LGAs. However, where it is noted that the figures entered do not make sense, the Department will follow up with the LGA eg a LGA may have entered $350 for a bridge when the figure should be $350,000.

Works Health and Safety Accreditation Scheme (WHS)

LGAs are required to are required to comply with relevant Commonwealth, State or Territory legislation governing road works. While no formal evidence is collected by Roads to Recovery we do require proof of contractors or LGA's WHS Accreditation status where;

- an LGAs has a life of program allocation of $10 million and above;

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- where the Australian Government has contributed $6 million or more to an LGA and represents at least 50% of the total value for projects jointly funded under the RTR program; and
- Where the head contact value is $5 million or more for any projects utilising Commonwealth funds.

These projects should be marked not compliant and the LGA advised that they need to provide evidence of accreditation. These projects are declared periodically to the Office of the Federal Safety Commissioner (OFSC).

The onus is on the LGA to seek advice from the OFSC to determine eligibility and to obtain accreditation. The RTR Team cannot provide advice.

Proof of accreditation or OFSC exempting the LGAs must be supplied (eg a copy of the accreditation status from the OFSC register or a correspondence from the OFSC with reason for exemption).

Geographical Information - Mapping

LGAs are required to provide maps for all projects that are valued at $10,000 and above. Refer attached Quick Guide.

Once received the maps are checked to ensure that they meet the specifications set out in the quick guide so that there is enough detail to enable the project to be plotted on Departmental mapping systems by the Spatial Systems area in Corporate Services.

Non complying projects

Where a project is deemed to be non-complying, Departmental officers will enter the reasons into the Project Assessment boxes and an auto-generated email will be sent to the LGA for action with follow up by phone or more detailed email as required.

Complying projects

If the project meets all of the requirements, the three dropdown boxes in the Project Assessment section of the screen should be changed to Compliant by Roads to Recovery staff and then be saved. Note: only projects with an overall Project Status of Compliant can receive payments.

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Expenditure (quarterly) reporting

Roads to Recovery payments are made based on quarterly reports from LGAs which provide:

. actual cumulative expenditure to the end of the quarter being reported on; and

. projected expenditure from the start of the next quarter for up to three months in advance.

These reports must be done on an accrual basis.

Expenditure reports are required of all LGAs seeking funding at the next payment. These reports form the basis of payments to be made but are also used to monitor progress on individual projects.

There are four payments made each financial year. The reporting periods are, 1-31 July (Q1), 1-31 October (Q2), 1 January to 15 February (Q3) and 1- 30 April (Q4). The reporting module in IMS is only available to LGAs during these periods.

IMS is designed to undertake a number of validation checks prior to allowing a LGA to submit its report. These checks ensure that the LGA;

- is not asking for cumulative expenditure on projects where the start construction date is after the end of the last day of the previous quarter;
- that the cumulative and forecast expenditure does not exceed the stated cost to Roads to Recovery;
- that projects with a complete construction date that has passed have been either flagged as completed or that the dates have been changed accordingly; and
- to seek an explanation for a breach of the six month rule.

The assessment processes for expenditure reports are the same each quarter with the exception of Quarter 4 (when unclaimed annual program appropriation is provided to LGAs claiming more than their annual cap) and reports are generally assessed by the Department as they are submitted.

Assessment Process Q1 to Q3

When a report is submitted by a LGA, it appears on the task list of officers in the R2R team, initial status is ‘not assessed’. IMS requires a report to proceed from ‘not assessed’ to ‘eligible’ and then to ‘ready for payment’ before payment can proceed.

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Project Compliance

- Check and assess any projects that are showing a status of "under assessment" as per steps outlined in Project Assessments. (Most projects will already have been assessed when they were submitted but any project not assessed previously has to be assessed prior to assessment of the overall expenditure data provided in the quarterly report).

Annual Report Compliance

The Annual Report is the main accountability document of the R2R program and is required under clause 6.1 of the funding conditions. A LGA is required to submit an Annual Report to the Department covering the previous financial year by no later than 31 October each year.

- Check that Criteria 1: Standard Annual Report received and satisfactory states "Yes".
    - If "No" go to the next LGAs report. LGAs have until the last day of the reporting period to submit a satisfactory annual report. Status of the expenditure report is 'Not assessed' in IMS during this time.
    - If "Yes" proceed to next check.

Six Month Rule Compliance

Funding LGAs should spend any funds received within six months of receipt. LGAs holding R2R funds for longer than six months must provide an adequate explanation as to why this has occurred.

- Check that there is no dialogue box showing that the LGA has a 6 month rule (6MR) breach (Criteria 2).
    - Where there is a six month rule breach check that the LGA has provided an adequate explanation. Where an adequate explanation has not been provided, the Department will follow up with the LGA.
    - Once an adequate explanation has been provided by the LGA, it is assessed by R2R staff and a recommendation is made to the General Manager on whether to issue a waiver for the breach. If a waiver is issued the LGA is eligible to receive further funding. If a waiver is not issued then the LGA will not be eligible to receive further funding until it has spent the funds on hand.

If the annual report is satisfactory, there are no unsatisfactory projects and no six month breach, status of report is changed to 'eligible' in IMS allowing assessment to proceed.

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Financial Data from LGAs

The expenditure report is generated on the first day of the reporting period and comprises key fields from the work schedule for each project which has been previously cleared. It is at this point where the R2R Team assesses the cumulative and forecast expenditure fields which the LGA is claiming.

IMS calculates payments based on the following formula, written in terms of the first reporting period for 2014-15:

Payment = cumulative expenditure (R2R component) by LGA on *Roads to Recovery* projects from the inception of the program on 1 July 2014 until 30 June 2015

plus projected expenditure (R2R component) to 30 September 2015

less payments to date.

IMS caps payments at the nominal annual allocation (currently 1/5th of the life of program allocation) in each financial year and caps the total payments available to the life of program allocation.

The annual allocation cap can be overridden as required however, IMS is designed to prevent overall payments from exceeding the life of program allocation.

- Check that the LGA has entered its forecast and cumulative expenditure for projects in scope of the current quarter. NB; if a negative payment is triggered in the pay now box check that the LGA has not zeroed cumulative expenditure or withdrawn previously funded completed projects.

- Check that amounts requested are reasonable based on start and end dates.

    - Where start and end dates show that work on a project will cross multiple quarters that the amounts being requested satisfy either of the following conditions:.

        - is the project jointly funded - assume that R2R funds will be spent first.

        - if the project is fully funded by R2R, is the amount requested reasonable on a pro rata basis for the number of months the work will be undertaken (eg if project is over more than one quarter). If not, the figure is reduced by the relevant pro-rata amount with appropriate comments made as to why the reduction has been made.

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Once satisfied that all steps above have been completed the R2R Team must finalise the report as "Ready for Payment".

Expenditure Report Finalisation

Once the above assessment has been completed the report needs to be finalised as follows:

- Where IMS shows "Some projects with forecast expenditure are not scheduled to complete by 'date of end of quarter' the statement "Is expenditure profile acceptable?" must be set to "YES" - otherwise follow up with LGA.

During the first three Quarters, between July to January each financial year, the R2R Team can manually adjust the "Pay Now" figure at the time of assessment. NB; this step cannot be done during the fourth (4th) quarter (refer to section "Assessment Process Q4" for details).

- Once satisfied that the amounts requested, based on start and end dates, are reasonable it may be necessary to adjust the "Pay Now" figure.
  - If the "Amount Requested" is greater than the "Indicative Payment" the "Pay Now" figure can be increased as appropriate, based on availability of surplus funds in accordance with the Conditions and Guidelines, up to the maximum of their life of program allocation.
  - Generally, if the amount requested is less than $50 this will not be made unless it is the final payment of the year or program life.
- Enter an explanation for adjustments, etc as required.
- Press the "Ready for Payment" button.

Incomplete Expenditure Reports

Each quarter a number of LGAs may think that they have submitted their expenditure report but they have only clicked the "Save" button and not the "Submit" button. These LGAs will show up on the "Incomplete Expenditure Report" prior to the reporting period closing.

During the last few days of each quarter the team should follow up on these LGAs which are listed under the task heading "Incomplete Expenditure Reports" to give them the opportunity to submit their reports prior to cut-off.

Assessment Process Quarter 4

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Payments processed during Q4 should bring the cumulative payments for the financial year to equal the annual appropriation. IMS is designed automatically to allocate any un-claimed funds (surplus) for the relevant financial year to LGAs seeking payments above their nominal annual allocation. This step can only be completed once all outstanding actions are completed three days after the quarter closes.

This is done by the following formula:

IMS will initially cap funding to LGAs up to their nominal annual allocations. For example, suppose the total of all 'pay now' amounts comes to $x, an amount less than $500m (the appropriation). IMS is then asked to reallocate the funds to the LGAs seeking more than their nominal annual allocation. $y (=$350m-x) y is the amount available for reallocation.

It does this, starting with the LGAs with the lowest life of program allocation; ie it will increase the 'pay now' figure for the smallest LGA. This will reduce the value of $y. If $y is not zero, IMS will increase the 'pay now' figure for the next smallest LGA and so on, until all the available funds are exhausted.

NOTE: The re-distribution link MUST only be used for the initial re-distribution. DO NOT press the link again as this will result in the payment data not balancing.

- Once the re-distribution process has been initialised the R2R team can further vary the "Pay Now" in a gridbox of all LGAs to meet any commitments made to LGAs, this involves reducing a payment as required and increasing a payment to offset the reduction.

- Once the edits are completed click the "SAVE" button and ensure changes result in a nil available funds for distribution.

    - These final variations need to be checked by two team members to ensure accuracy.

Once satisfied that the funds have been redistributed as desired, the payment is made.

End of Reporting Period Finalisation

LGAs have up to three days after a quarter closes to satisfy any non-complying issues eg maps, annual reports etc.

- Once the reporting period finishes, go back and process all expenditure reports still showing as 'under assessment' until all reports have been marked as assessed.

    Three days after the close of a quarter all remaining reports are finalised. IMS will reduce the value of the expenditure reports accordingly based on non-

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compliant projects and where there is no Annual Report IMS will mark the expenditure report as "Not Eligible".

- At this point all reports will show a status in IMS of either 'not eligible' or 'ready for payment'.

Payment Process

Prior to submitting the payments for review and approval the General Manager must determine whether any LGA with a six month rule breach will be granted a waiver and will receive a payment.

Preparation of Six Month Rule Documentation

LGAs which breach the Six Month Rule are advised of this by IMS when completing their expenditure reports and are required to state the reason for this in their expenditure reports.

Six month rule breaches are identified to the R2R team each quarter in an IMS report (Fail Six Month Expenditure Rule). This information is then used to prepare a minute which attaches:

. a document setting out the details of individual LGA breaches, including reasons; and

. an instrument to waive the six month rule for LGAs where there is adequate reason.

In assessing whether there is 'adequate reason' for the breach, LGAs are considered on a case by case basis. Often further detail will be required from LGAs at this stage. Delays occur for many and varied reasons eg delays to projects due to weather, problems with contractors, inability to source materials, state government planning or environmental approvals etc. However, an explanation must explain the quantum of the breach; for example if a LGA tried to explain a $100,000 breach in terms of delays to a $50,000 project, the explanation would not be accepted.

LGAs are advised of waivers issued in relation to six month rule breaches by letter. The Minute is held on the 'R2R Waivers' file and copies of letters are held on individual LGA files.

Where LGAs who have sought a payment in the current quarter have not demonstrated to the Department's satisfaction that a payment is warranted under a waiver "Pay Now" field is reduced to $0.

How to prepare six (6) month breach paperwork.

s47G(1)(a), s47G(1)(b)

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s47G(1)(a), s47G(1)(b)

2. From the current quarterly report get the projected expenditure for the coming three months.

s47G(1)(a), s47G(1)(b)

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

3. From the current quarterly report add the Cumulative expenditure to date (s47G(1)(a), s47G(1)(b)) plus the projected expenditure for the coming three months at step 2.

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

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4. From the payments module in IMS obtain total payments to date for the Council.

s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

5. Funds sought this quarter equals Sum of item 2. Plus item 3. Less item 4.

Funds sought this quarter: s47G(1)(a), s47G(1)(b)

6. Cut and paste the list created at point 1 into the List of Waivers located at "G:\NBII\SE Roads\Local Roads Programs\Roads to Recovery\R2R 2014-19 Program\s47G(1)(a), s47G(1)(b) " and update the status, waiver number and date issued.

7. From the list filter and check to see if waivers have been issued previously and note the details.

No previous breaches during the current program.

8. Recommended payment for most will be 5.

9. Summarise reason for breach and note recommended payment at item 8.

Entry on report will be as follows:

s47G(1)(a), s47G(1)(b)

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s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a), s47G(1)(b)

No previous breaches during the current program.

Payment Recommendation: s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Once the General Manager has approved the six month rule waivers and all expenditure reports have been marked as “Ready for Payment” or “Not Eligible” they must be approved for payment.

The approval process involves three assessors who must certify that the payments are eligible for payment in IMS with the final assessor authorising the actual payment;

- Assessor 1: the R2R team’s Assistant Director (EL1) who is required to satisfy himself/herself as to the accuracy of the expenditure reports and prepare the required paperwork for the Delegate, including the relevant minutes, instruments etc

- Assessor 2: the Director (EL2) who is also required to satisfy himself/herself as to the accuracy of the expenditure reports and sign the recommendation to the delegate that the payment be made

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- Assessor 3: the General manager (Band 1) who has the delegation to make the payment and to approve the payment in SAP.

Two documents are prepared:

1. one setting out the details of the payment, which demonstrates compliance with Reg 9 and the Act and conditions.

2. one providing assurance that funds are available and that the money is being drawn from the correct appropriation. This assurance is prepared independently of the R2R Team by the Business and Investment Co-ordination Section. Delegate approval on this document constitutes formal approval of this payment.

Once the payment documentation is approved, the payment approval is made in IMS (and checked in SAP).

The documents and their attachments are held on the "Payments" file.

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Annual reporting

The Annual Report is the main accountability document of the R2R program and is required under clause 6.1 of the funding conditions. A LGA is required to submit an Annual Report to the Department covering the previous financial year by no later than 31 October each year.

All LGAs are required to lodge Annual Reports each year even if they have already received their full life of program allocation and are fully acquitted or have not received or spent R2R funds in that year. This is required to ensure that LGAs report own source expenditure, which must be audited, each year. This is essential, for the correct submission of annual reports in later years and the calculation of reference amounts for LGAs in future R2R programs.

IMS is designed to prevent any future payments to LGAs who have failed to lodge these reports.

All LGAs are now required to enter and prepare these reports directly in IMS to ensure that correct information is presented.

The annual report consists of five parts (refer Appendix 5).

Part 1 the audited financial statement.

- Columns 1, 2 and 3 (a calculated field) are pre-populated by IMS. Funding LGAs are required to enter their "cash" R2R expenditure for that year into column 4 and IMS will then calculate the closing balance in column 5.

- LGA must then enter its own source expenditure, for their construction and maintenance of roads, as defined in the conditions and guidelines.

- Once LGA has completed the report on-line they print it off for signature by the CEO and the auditor.

When the hard copy is received by the R2R Team each part is checked against what was entered into IMS to ensure that:

  - all of the figures on the final copy agree with what was entered into IMS, and
  - the CEO and auditors have both signed the document.
  - If the auditors use their own certificates they must refer to the correct Act, funding program and specifically refer to own source expenditure.

- If there are any discrepancies these need to be followed up with the funding LGA for investigation, correction or clarification as required.

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Part 2, Statement of Accountability by the CEO, must be signed.

- Check to ensure that it has been signed. Normally, no other checks are required however some LGAs annotate it or replace our text with their own – these must be followed up as they can indicate non compliance.

Part 3, Statement on Expenditure Maintenance.

This part is mostly pre-populated from the own source section on Part 1, from previous Part 3's and the reference amount Part 5 (NB please also refer to section on Part 5 re reference amounts). However, if a LGA is not compliant at item 3(b) then the funding LGA must provide "own source revenue" as outlined in the conditions and guidelines.

When the hard copy is received the R2R team is required to check that:

- LGA has not altered the reference amount and other information as pre-populated by IMS ;
- has provided the average own source revenue if required;
- has provided own source revenue for the report year; and
- The CEO has signed the document.

Generally, LGAs comply where all of the above is okay and where their own source expenditure is greater than:

- the reference amount at 1(b); or
- where 2(b) is greater than 1(b); or
- where 3(b) is greater than 1(b)

LGAs are not compliant if they do not meet the above criteria.

Where not compliant the Department will action the reports as follows:

- if there is a breach, the LGA is contacted for a reason either by email or letter.
    - Breaches result from delays to projects for many and varied reasons but broader issues such as a LGA's overall financial situation and the resources available to it are also relevant. However, the explanation must explain the quantum of the breach; for example if a LGA tried to explain a $100,000 breach in terms of delays to a $50,000 project, the explanation would not be accepted.

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- Once the reason is provided, a recommendation is prepared for the delegate as to whether to waive the rule for this LGA on this occasion based on the information supplied. Reports can be accepted with a waiver.

- When preparing a recommendation (which takes the form of a minute to the delegate) as to whether to issue a waiver to cover a particular breach, three issues are taken into account:

    - the reasons for the shortfall;

    - the proposed expenditure ie whether the LGA will be complying the next year and whether it will make up the shortfall in later years; and

    - previous breaches (last four years).

- LGAs are advised of waivers issued in relation to these breaches by letter (which forms the waiver instrument). Copies of the covering minutes and the associated letters are held on individual LGA files and the "R2R Waivers" file.

Where a LGA is not granted a waiver the LGA will not be eligible for further funding until a review is made on submission of the following financial years annual report. LGAs are provided with details of the decision in the letter.

Expenditure maintenance breaches are recorded and tracked in an excel spreadsheet s47G(1)(a), s47G(1)(b) **Part 4**, Statement of Outcomes.

LGAs must provide a statement of what they have achieved overall using R2R funds and to provide a percentage breakdown of what has been achieved against the 13 categories listed in the template. The percentage breakdown must make up a total of 100%.

This needs to be checked and that the CEO has signed off on this page.

Part 5 **Reference Amount.**

This is only submitted once each program life as part of the first Annual Report due. Most of these will be submitted in the first year of the new program with the remaining ones submitted as the LGAs commence their R2R program. NB; as noted, Annual Reports are required every year so if a LGA commenced its R2R work three years into the program then they will be required to provide the missing Annual Reports of which the first one will include Part 5.

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As per the conditions of the grant, funding LGAs must spend on the construction and/or maintenance of roads an amount of own source funds equal to or greater than the Reference Amount which is calculated in Part 5.

Part 5 calculates LGAs' Own Source Expenditure Reference Amount based on the lesser amount calculated by the formula used in clause 7.5 of the guidelines.

> Where a LGA has been amalgamated the sum of each of the pre-cursor LGAs' own source expenditure is entered into IMS by the R2R Team to calculate the incumbent LGAs' reference amount. The new LGA is then sent a letter outlining the determined Reference Amount and to give the opportunity to present a case for a differing amount to be used.
>
> The R2R team can revise the Reference Amounts and enter a "nominated amount" based on new information. This has to be fully documented and the reason entered into the comments and reasons boxes.
>
> In some cases, where LGA wishes to revise their previous Part 3 data to get a new reference amount the original Part 3's must be amended. This involves the R2R Team entering into the comments box a record of what the previous own source amounts were, including the previous reference amount, whether or not the LGA was complying at the time and the reason as to why the change with appropriate reference to the correspondence supporting the change.
>
> Generally, LGAs are only entitled to review the 2004-05 to 2008-09 data which is the main reference for allocating the new reference amount. Where a LGA revises its reference amount only the average of the five (5) or three (3) years with highest and lowest expense year can be used for future reference amounts, hence item c is not applicable.
>
> The R2R team must ensure that the "nominated amount" is the lowest of A or B.

The R2R team is required to check that the Part 5 has not been altered and has been signed by the CEO.

Annual Report Follow-Ups

Most funding LGAs will submit their Annual Reports by the due date (31 October each year) or early November. Funding LGAs who do not supply their annual reports cannot receive further funds under the program until all outstanding actions are resolved.

However, it is also necessary to undertake regular follow-up action to obtain any reports that are outstanding by way of non-submission or non-compliance.

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This involves:

- Informal contact with LGAs, by telephone or email, who have submitted the current Expenditure Report where their Annual Report is not finalised in a bid to have the matter resolved by the end of the quarter.

- Formally, in writing, on a case by case basis reminding the LGA of the conditions of the grant and requesting the annual report.

This list of non-compliant LGAs should be reviewed regularly.

Own Source Expenditure Reference Amount Amendments

When a LGA suspects that it has included ineligible items in its previous own source expenditure they are sent an email with a table showing the originally supplied figures along with the cash FAGS figures, as supplied by the Department of Regional Australia, and requested to provide the revised figures along with an explanation of what was incorrectly included.

On receipt of the amended table, the annual reports for the period 2004-05 onwards are amended accordingly and annotated in the comments box to show a brief explanation including what the original figures both own source and reference amount were.

The system will then re-calculate the own source expenditure based on either the 5 or 3 year averages in the 2009-10 report. The own source expenditure cannot be re-calculated to adjust the 2001-04 data plus 11.5% as this period is outside of the scope of the current program and would be difficult to have the original figures verified.

While the 2009-10 (and later if required) will be required to be audited, it is necessary to mark Part 5 of the 09-10 as satisfactory or IMS will not update the 11-12 and future reports correctly.

Once amended the reports are downloaded and forwarded to the LGA for audit.

LGA Creation, Name Changes, Abolition and Amalgamations

Under s.87 of the *National Land Transport Act 2014* (the Act), the Minister must determine a list which sets out the amounts to be provided under Part 8 of the Act, which forms the legal basis of the Roads to Recovery (R2R) program.

Each LGA that is to be funded needs to be created in IMS and a corresponding Vendor created in the Department's finance system SAP.

LGA Creation

To create an organisation, the team must obtain from the LGA the following data:

Legal Name of the LGA

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ABN Number
LGAs Physical and Postal Addresses
LGAs Phone (fax but not relevant as obsolete)
LGAs Email Address

Chief Executive Officer

Name of CEO
CEO's Phone Number
CEO's Email Address
CEO's Physical and Postal Address (not mandatory)

Access Manager

Access Managers Name
Access Managers Job Title
Access Managers Phone Number
Access Managers Email Address
Access Managers Physical and Postal Address (not mandatory)

LGAs Bank Details

BSB
Bank Account Number
Name of Account (must have LGA's name in it)
Banks Address
Banks Phone (and Fax number not mandatory)
Banks Email Address
This should preferably be on the LGAs letterhead.

The R2R Team will also have to obtain the LGA Classification from the Office of Local Government and the relevant Electorates that the LGA resides.

When all of the relevant data has been obtained this is entered into IMS. Once entered you notify the Director that they need to approve the Organisation.

Allocations

At the beginning of each Program life the allocations for the overall National appropriation, the State appropriation and LGA appropriations are determined based on the prior year's Financial Assistance Grants, which are determined by the Grants Commission based on road lengths and population. Additionally, 7% is set aside for the WA Special Bridge and Aboriginal Access Roads.

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These allocations are entered into IMS in a hierarchical order. The overall National total allocation, the State allocation and then each LGAs allocation. Initially these allocations will not include the amount to be allocated from the WA Special Allocation.

Name Changes

Where an LGA changes its name we require a copy of the Gazettal that gives the new name effect and a copy of the revised bank account details.

These changes then have to be made in IMS and SAP and an instrument raised to vary the Roads to Recovery List.

The Business Management Unit also needs to be informed as the changes may effect PRAMS.

Abolition and Amalgamations

1. Administrative Requirements
2. Simple Amalgamations
3. Complex Amalgamations

Administrative Requirements

In order for a funding LGA to be abolished or amalgamated, the Department requires a copy of the Gazettal Notice that gives effect to the changes.

This requires the R2R Team to contact the former LGA(s) to seek the relevant information required to create the new LGA.

In order to ensure the integrity of the newly created LGA, the LGA must nominate one officer who will be responsible for the entry and reporting on behalf of the previous LGAs during the transition period. This officer will also be the Teams first point of contact during this phase.

During this period the former LGA staff must provide data to the nominated officer for data entry to limit potential errors. It is undesirable to have more than one person entering projects and reports. Amalgamated LGAs cannot operate as individual branches as the allocation is to the LGA as a whole and while an amalgamated entity may feel that they are entitled to the balance of the original allocation it is up to the new “Council” as to how the allocation will be used post amalgamation.

When a LGA is abolished (or amalgamated), there are two courses of action available.

Simple Amalgamations

LGAs being abolished in their entirety and amalgamated to form a new LGA are classed as simple amalgamations.

Abolished LGA

The normal practice when re-distributing allocations from the abolished LGA to the incumbent LGA,is to reduce the abolished LGAs allocation to the amount paid as at the date of abolition and to re-allocate the funds to the new LGA in IMS.

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The R2R Team needs to look at the LGA's work schedule and quarterly reports and reduce the cost to R2R for incomplete projects that were yet to receive the balance of that project at the time of amalgamation by making the project jointly funded with the total cost now including the balance of the R2R component. If the project was already jointly funded you simply increase the total cost accordingly.

This will require the R2R Team to look at the LGA's work schedule and quarterly reports and reduce the cost to R2R for incomplete projects that were yet to receive the balance of that project at the time of amalgamation by making the project jointly funded with the total cost now including the balance of the R2R component. If the project was already jointly funded you simply increase the total cost accordingly.

Projects listed and had yet to receive any funds at the time of amalgamation need to be withdrawn.

The LGA is then informed of the action taken and advised that if the new LGA will be continuing with these projects, that they can be added to their work schedule as jointly funded projects. For example, they must show the total cost of the project, which will include the cost to R2R, provided to the former LGA and the new cost to R2R should show the cost for the new LGA.

Any costs incurred prior on a project listed by the former LGA prior to the amalgamation and not paid by R2R are considered as LGAs own source expenditure. The new LGA can only claim R2R expenditure incurred after date of amalgamation (the R2R Team will need to monitor the new listings, cross check against the former LGAs and ensure the project is entered correctly).

Once the work schedule is reduced to match the former LGAs payments to date these need to be reduced in SAP through Program Admin, Program, allocation module.

NB Do not de-activate the LGA in IMS at this stage.

New LGA

Once the required information is obtained, a new LGA can be created in IMS. The shell can be created without the SAP Vendor number but will need to be created by Finance prior to entering the new allocation.

The new LGA will need to be approved by the Director.

Once approved and all required information such as the Vendor number has been entered the allocation can then be added into IMS.

Reference Amount

To establish a reference amount the own source expenditure figures of the former LGAs are combined for the new LGA.

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LGAs are given the opportunity to seek a revised reference amount if the combined amounts would not be achievable.

An annual report for the previous financial year will need to be created, by the IT Support Team via the IT Service Desk, in order to enter the new reference amount. This be undertaken until the LGA enters its first project.

When getting the report created you will need to make sure that Part 5 of the annual report only appears in that year. If it is also shown in the current year you will need IT to remove it so that it only appears once.

Complex Amalgamations

Complex amalgamations are where existing or abolished LGAs have their boundaries split across one of more LGAs.

As there is no legislative process facilitating the Department re-distributing R2R funds because of boundary changes, it is left to the incumbent LGAs to negotiate and agree on what the split of funds and own source expenditure should be.

Once agreed each of the LGAs CEOs must provide the split and their agreement by letter.

The steps required are essentially the same as simple amalgamations with the main difference that each of the LGAs will determine the split for their allocation and reference amount.

NB Do not de-activate the LGA at this stage.

IMS Allocations & SAP

IMS and SAP interact with all financial transactions.

Once all of the changes are made to reduce, amend and add allocations in IMS, the Director and General Manager must approve the changes.

Once approved, IMS will interact with the purchase orders raised in SAP as follows:

- for abolished LGAs the value of the purchase order will reduce to match the final total payments to date and close;
- allocations for an existing LGA that is losing or inheriting part of the road network will be amended accordingly; and
- new purchase orders will be raised for new LGAs.

After this task is completed, the LGAs that are abolished can be de-activated in IMS.

Legislative Changes

A minute and new Legislative Instruments along with an explanatory note must be raised requesting their signature and approval in IMS. These need to be signed by the Director and then by the General Manager who has the Delegation for these changes.

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These instruments are then required to be lodged on the Federal Register of Legislative Instruments along with a compilation List.

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Appendices

1. Simple Amalgamation
2. Complex Amalgamation
3. Six Month Breach Minute
4. Six Month Breach Instrument
5. Annual Report Proforma

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Appendix 1

Simple Amalgamation Letter

s47F

Dear s47F

Subject: New LGA - Roads to Recovery Program

I am writing to you regarding the new s47G(1)(a), s47G(1)(b) this letter addresses your LGA's entitlement and obligations, in regards to the Roads to Recovery Program.

The Roads to Recovery Program operates under Part 8 of the *National Land Transport Act 2014* and its supporting documentation (the Roads to Recovery Funding Conditions 2014 and the Program Procedures for the Roads to Recovery Program all of which can be downloaded from the Department's Website at http://investment.infrastructure.gov.au/funding/r2r/index.aspx).

Under this program, each LGA has an allocation for the construction and/or maintenance of local roads, and LGAs are entitled to quarterly payments, subject to the normal administrative requirements (eg submission of annual and quarterly expenditure reports) until the allocation has been fully paid to them. The current program will operate until 30 June 2019.

There are several items about the way the program will operate after the amalgamation, to which I need to draw your attention, including your allocation and reference amount for the purpose of Own Source Expenditure obligations, reporting, and the Department's Infrastructure Management System (IMS). They are detailed in the attachment.

I understand that although the amalgamation took effect on s47G(1)(a), s47G(1)(b) it will take LGA time to establish. We will wait for your processes to run their course and expect information when available regarding the IMS contact and bank details as requested in the attachment, and your acknowledgement of the allocation and reference amount.

Should you require any assistance please do not hesitate to call s47F

Yours sincerely

s47G(1)(a), s47G(1)(b)

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Simple Amalgamation Letter Attachment

Funding Allocation

Each LGA in existence on 1 July 2014 had an allocation determined by the Minister and each of your precursor LGAs has received some of these funds. The final payment for 2015-16 was made on 11 May 2016. The following table sets out details of allocations and payments to each precursor LGA.

That part of the Roads to Recovery (R2R) allocation of each precursor LGA which has not been provided by the Commonwealth to the LGA LGA will form the allocation of the new LGA. Based on the table, the allocation for the new LGA for the period s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

These funds will be available from s47G(1)(a), s47G(1)(b) subject to the normal administrative procedures.

Note - Any residual funds paid to precursor LGAs that were unspent as at s47G(1)(a), s47G(1)(b) *will need to be transferred to the new LGA and be documented in the Annual Report.*

Reference Amount

The Roads to Recovery program has expenditure maintenance requirements which are part of the annual reporting process. The determination of a reference amount is central to the operation of the expenditure maintenance requirements, as set out in the funding conditions (see http://investment.infrastructure.gov.au/funding/r2r/r2r_funding_conditions.aspx). In summary each LGAs own source expenditure must equal or exceed its reference amount in order to be complying.

It is proposed, as the merger is a simple amalgamation, that the reference amount be the addition of s47G(1)(a), s47G(1)(b) current reference amounts and will be set at s47G(1)(a), s47G(1)(b)

If you believe this proposed reference amount is too onerous, LGA may present a detailed case suggesting an alternative amount and why, which we will consider.

s47G(1)(a), s47G(1)(b)

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Annual Reporting

Part 5 of the funding conditions requires each of the precursor LGAs to submit an annual report. These annual reports are the principal accountability document for the program. The report cannot be combined into a single report under the new LGA.

It is also important to note that any over expenditure incurred by the pre-cursor LGAs for projects completed as at 30 June 2016 must be considered as a LGAs own source expenditure. The annual report cannot contain a negative amount. It must be nil or a credit of unspent funds.

Additionally, the precursor LGAs should ensure that funds paid as at 11 May 2016 have either been fully spent or transferred to the new LGA, as the opening balance for the new LGA as at 1 July 2016 should be either nil or a residual transfer amount that will need to be included in the audit checks.

It is normal for funds to be withheld from the new LGA when a satisfactory annual report for a pre-cursor LGA has not been submitted. These reports are due on 31 October 2016.

Infrastructure Management System (IMS) – Access Arrangements

The Roads to Recovery program is administered via the web through the IMS System (https://ims.infrastructure.gov.au/UI).

As this website is the primary tool for the administration of the program we will need LGA to nominate an officer who will be responsible for the co-ordination and entry of data into this site.

While we understand that there will be some administrative overlap as the new LGA is established, it is important that only one officer enters data on behalf of each area absorbed to ensure there is no confusion in the data entry.

That person will be the primary contact officer at the LGA. The information required is as follows:

Name of contact (including salutation)

Job title

Email address

Phone number

Fax number

Physical address

Postal address

We will require the same information, if different, for the Chief Executive Officer.

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R2R appreciate that many LGAs have generic email addresses for their officers. For security reasons we cannot accept a generic email address for officers accessing IMS.

Infrastructure Management System (IMS) – Pre-Cursor LGA Data

With immediate effect the pre-cursor LGAs data will be constrained to the total funding received between 1 July 2014 to 11 May 2016 and access to the website locked.

As part of this process, when a project is not complete R2R staff will liaise with the LGA contact to identify and mark up costs to R2R to reflect the actual final allocations provided and make the project jointly funded thus allowing the new LGA to enter the project (again as jointly funded) for the remaining amounts required in order to complete the project.

For example, if LGA listed a project to be fully funded under Roads to Recovery at a cost of $500,000 which started in April 2016 with a completion date of September 2017 and only claimed $100,000 in the April quarterly report - the project would need to be updated to show the project as jointly funded at $500,000 with the costs to R2R as $100,000 for the pre-cursor LGA. This then allows the new LGA to list the project again as jointly funded at $500,000 but with the cost to R2R being $400,000.

Once R2R has made the system adjustments we will provide LGA with a snap shot of the data so that one of your officers can provide us with a final quarterly report on 1 July 2016 to acquit these funds (along with the 2015-16 annual report).

The data for the July quarterly report and annual reports will need to be provided to Allan Chisholm who will update the website and then email LGA the draft annual report for audit.

We recommend LGAs finance officers and technical/engineer staff are talking to each other when R2R staff are transferring project information as it will impact the audit report.

Bank Details

Before we can pay the new LGA we will need its bank details. This should be on LGA letterhead, and can be emailed to s47F. It must include the following:

Name of the Account (Must have the LGA name in it)
Name of Bank
BSB
Account Number
Banks Address and Phone Number

Infrastructure Management System (IMS) – New LGA Data

As soon as possible after 1 July 2016 the new LGA will be able to list its on-going projects (as above) and projects to be funded by the new LGA from 1 July 2016 onwards.

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Appendix 2

Complex Amalgamation Letter

s47F

Dear s47F

Subject: New LGA - Roads to Recovery Program

I am writing to you regarding the new s47G(1)(a), s47G(1)(b) I understand that the new LGA has been created as a result of boundary changes s47G(1)(a), s47G(1)(b), and this letter addresses your LGA's entitlement and obligations, in regards to the Roads to Recovery Program.

The Roads to Recovery Program operates under Part 8 of the *National Land Transport Act 2014* and its supporting documentation (the Roads to Recovery Funding Conditions 2014 and the Program Procedures for the Roads to Recovery Program all of which can be downloaded from the Department's Website at http://investment.infrastructure.gov.au/funding/r2r/index.aspx).

Under this program, each LGA has an allocation for the construction and/or maintenance of local roads, and LGAs are entitled to quarterly payments, subject to the normal administrative requirements (eg submission of annual and quarterly expenditure reports) until the allocation has been fully paid to them. The current program will operate until 30 June 2019.

There are several items about the way the program will operate after the amalgamation, to which I need to draw your attention, including your allocation and reference amount for the purpose of Own Source Expenditure obligations, reporting, and the Department's Infrastructure Management System (IMS). They are detailed in the attachment.

I understand that although the amalgamation took effect on s47G(1)(a), s47G(1)(b) it will take LGA time to establish. We will wait for your processes to run their course and expect information when available regarding the IMS contact and bank details as requested in the attachment, and your acknowledgement of the allocation and reference amount.

Should you require any assistance please do not hesitate to call s47F

Yours sincerely

s47G(1)(a), s47G(1)(b)

CC s47F

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Complex Amalgamation Letter Attachment

Funding Allocation

Each LGA in existence on 1 July 2014 had an allocation determined by the Minister and each of your precursor LGAs has received some of these funds. The final payment for 2015-16 was made on 11 May 2016.

The following table sets out details of allocations and payments to each precursor LGA.

Under normal circumstances that part of Roads to Recovery (R2R) allocation of each precursor LGA which has not been provided by the Commonwealth to the LGA LGA would normally form the allocation of the new LGA. However, as the Act has no mechanism for making the division of funds LGA will be required to negotiate and agree on the split of the remaining allocations with s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

You should contact the CEO of s47G(1)(a), s47G(1)(b) on the basis of this letter, which I have copied to s47 G(1) , to arrange for advice to me as to your recommended division of funds between the two LGAs.

These funds will be available from s47G(1)(a), s47G(1)(b) subject to the normal administrative procedures.

Note - Any residual funds paid to precursor LGAs that were unspent as at s47G(1)(a), s47G(1)(b) *will need to be transferred to the new LGA and be documented in the Annual Report.*

Reference Amount

The Roads to Recovery program has expenditure maintenance requirements which are part of the annual reporting process. The determination of a reference amount is central to the operation of the expenditure maintenance requirements, as set out in the funding conditions (see http://investment.infrastructure.gov.au/funding/r2r/r2r_funding_conditions.aspx). In summary each LGAs own source expenditure must equal or exceed its reference amount in order to be complying.

Under simple amalgamations the reference amount would be the addition of each of the LGAs current reference amounts, and if LGAs believed that was too onerous, LGA could present a detailed case suggesting an alternative amount and why, which we would consider.
As a more complicated amalgamation, your LGA and s47G(1)(a), s47G(1)(b) will need to negotiate and agree on the split of the reference amounts. In the past, the approach has been for LGAs to formally agree to the split in writing to the Department.

Alternatively, if the LGAs are unable to provide a dollar value split of the reference amount, we can consider a split based on the LGAs financial records of own source expenditure or another method that is mutually acceptable by both LGAs eg a percentage split based on the new LGA boundaries.

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s47G(1)(a), s47G(1)(b)

[redacted]

Annual Reporting

Part 5 of the funding conditions requires each of the precursor LGAs to submit an annual report. These annual reports are the principal accountability document for the program. The report cannot be combined into a single report under the new LGA.

It is also important to note that any over expenditure incurred by the pre-cursor LGAs for projects completed as at 30 June 2016 must be considered as a LGAs own source expenditure. The annual report cannot contain a negative amount. It must be nil or a credit of unspent funds.

Additionally, the precursor LGAs should ensure that funds paid as at 11 May 2016 have either been fully spent or transferred to the new LGA, as the opening balance for the new LGA as at 1 July 2016 should be either nil or a residual transfer amount that will need to be included in the audit checks.

It is normal for funds to be withheld from the new LGA when a satisfactory annual report for a pre-cursor LGA has not been submitted. These reports are due on 31 October 2016.

Infrastructure Management System (IMS) – Access Arrangements

The Roads to Recovery program is administered via the web through the IMS System (https://ims.infrastructure.gov.au/UI).

As this website is the primary tool for the administration of the program we will need LGA to nominate an officer who will be responsible for the co-ordination and entry of data into this site.

While we understand that there will be some administrative overlap as the new LGA is established, it is important that only one officer enters data on behalf of each area absorbed to ensure there is no confusion in the data entry.

That person will be the primary contact officer at the LGA. The information required is as follows:

Name of contact (including salutation)

Job title

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Email address

Phone number

Fax number

Physical address

Postal address

We will require the same information, if different, for the Chief Executive Officer.

R2R appreciate that many LGAs have generic email addresses for their officers. For security reasons we cannot accept a generic email address for officers accessing IMS.

Infrastructure Management System (IMS) – Pre-Cursor LGA Data

With immediate effect the pre-cursor LGAs data will be constrained to the total funding received between 1 July 2014 to 11 May 2016 and access to the website locked.

As part of this process, when a project is not complete R2R staff will liaise with the LGA contact to identify and mark up costs to R2R to reflect the actual final allocations provided and make the project jointly funded thus allowing the new LGA to enter the project (again as jointly funded) for the remaining amounts required in order to complete the project.

For example, if LGA listed a project to be fully funded under Roads to Recovery at a cost of $500,000 which started in April 2016 with a completion date of September 2017 and only claimed $100,000 in the April quarterly report - the project would need to be updated to show the project as jointly funded at $500,000 with the costs to R2R as $100,000 for the pre-cursor LGA. This then allows the new LGA to list the project again as jointly funded at $500,000 but with the cost to R2R being $400,000.

Once R2R has made the system adjustments we will provide LGA with a snap shot of the data so that one of your officers can provide us with a final quarterly report on 1 July 2016 to acquit these funds (along with the 2015-16 annual report).

The data for the July quarterly report and annual reports will need to be provided to Allan Chisholm who will update the website and then email LGA the draft annual report for audit.

We recommend LGAs finance officers and technical/engineer staff are talking to each other when R2R staff are transferring project information as it will impact the audit report.

Bank Details

Before we can pay the new LGA we will need its bank details. This should be on LGA letterhead, and can be emailed to s47F. It must include the following:

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Name of the Account (Must have the LGA name in it)

Name of Bank

BSB

Account Number

Banks Address and Phone Number

Infrastructure Management System (IMS) – New LGA Data

As soon as possible after 1 July 2016 the new LGA will be able to list its on-going projects (as above) and projects to be funded by the new LGA from 1 July 2016 onwards.

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Appendix 3

Sample Minute Six month breach

s47G(1)(a), s47G(1)(b)

s47F

Subject: Roads to Recovery (R2R) – s47G(1)(a), s47G(1)(b) – Six Month Rule Breaches

Purpose

To seek your agreement and signature to an instrument to waive the six month rule for s47G(1)(a), s47G(1)(b) councils.

Background

This will be the s47G(1)(a), payment of the current program and the s47G(1)(a), s47G(1)(b). Under clause 5.8 of the funding conditions, councils seeking payment must lodge reports of their actual and projected expenditure of R2R funds.

Clause 2.3 of the funding conditions requires councils to 'ensure that Roads to Recovery payments are spent within six months of receipt of the payment' (the 'six month rule'). s47G(1)(a), s47G(1)(b)

Councils are not asked to submit special reports just to enable us to identify six month rule breaches; instead, the information in their expenditure reports is used for this purpose. Any council which had not, by the time it lodged its s47G(1)(a), s47G(1)(b) report, spent all the funds provided to it up to and including 12 s47G(1)(a), s47G(1)(b) has breached the rule and councils in breach of any funding condition can be denied further funding until the breach is cleared. However, under s. 91 of the *National Land Transport Act 2014* (the NLT Act), the Minister has the power to waive any of the funding conditions and this power has been delegated to you under s.93 of the NLT Act.

s47G(1)(a), s47G(1)(b) councils which submitted expenditure reports this quarter have breached the rule.

Councils were assessed for eligibility under four groups;

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1. a waiver is *recommended* as the councils are seeking funds and we consider their explanations to be satisfactory and they have submitted satisfactory annual reports. S. 91(1) of the NLT Act requires us to advise any council for which a waiver is executed of this fact. We will do this by letter;
2. a waiver is not recommended – no or unsatisfactory annual report;
3. not recommended for waivers. Councils are seeking funds this quarter and have satisfactory annual reports but a waiver is not recommended.
4. waivers are *not required* as the councils are not seeking funds.

s47G(1)(a), of the councils which have breached the rule this quarter are recommended for a waiver as they are seeking funds this quarter and the explanations provided are reasonable.

s47G(1)(a), s47G(1)(b), are not recommended for a payment, as their annual reports have not been submitted.

s47G(1)(a), s47G(1)(b) who are seeking funds this quarter are not recommended for a waiver this quarter.

s47G(1)(a), s47G(1)(b)

The remaining s47G(1)(a), councils are not seeking a payment this quarter and therefore do not require a waiver.

Some councils which have not submitted expenditure reports may have also breached the six month rule but, as none of them will receive a payment, no further action is required at this time. Once the list of councils to be given waivers is finalised, the remaining documentation will be submitted to you to finalise the payment.

Recommendation

I recommend that you sign the attached instrument to waive the condition set out in clause 2.3 of the funding conditions (the six month rule) for the s47G(1)(a), s47G(1)(b) councils listed.

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APPROVED / NOT APPROVED

s47F

s47F

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Sample Explanation Attachment to Six Month Breach minute

Explanation of Six Month Rule Breaches observed in the s47G(1)(a), s47G(1)(b) **Reporting Period**

These breaches arise because of the failure of councils to spend funds received on s47G(1)(a), s47G(1)(b) up to and including s47G(1)(a), s47G(1)(b).

Group 1: RECOMMENDED for waivers, seeking funds and have satisfactory annual reports.

s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a), s47G(1)(b)

No previous breaches during the current program.

Payment Recommendation: s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

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s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

Spent as at s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a),

Projected expenditure during next three months: s47G(1)(a),

Anticipated total expenditure as s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a),

One previous breach during the current program but was not issued a waiver.

Payment Recommendation: s47G(1)(a),

s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

Spent as s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a),

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

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Anticipated total expenditure as s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a), s47G(1)(b)

Two previous breaches during the current program with waivers issued.

Payment Recommendation: s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Group 2 – WAIVERS NOT REQUIRED – No or unsatisfactory annual report

These Councils have provided explanations for their breaches but are yet to provide a satisfactory annual report.

s47G(1)(a), s47G(1)(b)

Paid as s47G(1)(a), s47G(1)(b)

Spent as s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a),

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a),

No previous breaches during the current program.

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Payment Recommendation: s47 G(1)

s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

Spent as at s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a), s47G(1)(b)

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a), s47G(1)(b)

No previous breaches during the current program.

Payment Recommendation: s47 G(1)

s47G(1)(a), s47G(1)(b)

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s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Group 3: NOT recommended for waivers. They are seeking funds this quarter and have satisfactory annual reports but a waiver is not recommended.

s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

Spent as at s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a), s47G(1)(b)

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a), s47G(1)(b)

No previous breaches during the current program.

Payment Recommendation: s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

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s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

Spent as at s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a), s47G(1)(b)

Projected expenditure during next three months: s47G(1)(a), s47G(1)(b)

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G(1)(a),

No previous breaches during the current program.

Payment Recommendation: s47G

s47G(1)(a), s47G(1)(b)

Group 4 – WAIVERS NOT REQUIRED – not seeking funding this quarter

These Councils have sought no further funding at this time.

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s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

Spent as at s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a),

Projected expenditure during next three months: s47G(1)(a),

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G

s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

Spent as at s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a),

Projected expenditure during next three months: s47G

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G

s47G(1)(a), s47G(1)(b)

Paid as at s47G(1)(a), s47G(1)(b)

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Spent as at s47G(1)(a), s47G(1)(b)

6MR breach: s47G(1)(a),

Projected expenditure during next three months: s47G

Anticipated total expenditure as at s47G(1)(a), s47G(1)(b)

Total payments to date: s47G(1)(a), s47G(1)(b)

Funds sought this quarter: s47G

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Sample Instrument for Six Month Breach minute

National Land Transport Act 2014

Roads to Recovery Program

Exemption from Clause 2.3 of the Funding Conditions

s47G(1)(a), s47G(1)(b)

I, s47F by this Notice to the bodies listed below (the specified bodies), exempt, under paragraph 91(1)(a) of the *National Land Transport Act 2014* (the Act), the specified bodies from the condition set out in clause 2.3 of the conditions that apply to payments under Part 8 of the Act, as determined under subsection 90(1) of the Act on 11 September 2014 in respect of the payments made to the following bodies up to and including s47G(1)(a), s47G(1)(b)

s47G(1)(a), s47G(1)(b)

…… May 2019

s47F

Delegate of the Minister

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Appendix 4

Sample Payment Minute

s47G(1)(a), s47G(1)(b)

s47F

Subject: **Roads to Recovery (R2R) –** s47G(1)(a), s47G(1)(b)

Purpose

To seek your approval for payments totalling s47G(1)(a), s47G(1)(b) to s47G(1) councils, as per the attached list.

Background

This will be the eleventh payment of the new program. Under clause 5.8 of the funding conditions, councils seeking payment must lodge reports of their actual and projected expenditure of R2R funds. s47G(1)(a), s47G(1)(b) hese councils and the proposed payments are listed in the attachment.

There are s47G(1) councils which have lodged expenditure reports but are not seeking funds. A further s47G(1)(a), councils lodged expenditure reports but are not eligible for payment as they are yet to submit a satisfactory annual report, and s47G(1)(a), failed to expend funds within six months of receipt and are not recommended for a payment at this time. In addition to those s47G(1)(a) other Councils failed to expend funds within the six months from date of receipt. s47G(1 of these Councils seeking a payment have received a waiver as a result of a satisfactory reason (see minute s47G(1)(a), s47G(1)(b)), the other s47G(1)(a) are either not seeking funds or did not put in an annual report.

This payment needs to cover the requirements of councils until the July quarterly report payment in s47G(1)(a), s47G(1)

The formula for calculating this payment is:

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Payment = actual expenditure of R2R funds by council from the inception of the program on 1 July 2014 to s47G(1)(a), s47G(1)(b)
plus projected expenditure of R2R funds for the period from s47G(1)(a), s47G(1)(b) to s47G(1)(a), s47G(1)(b)
less payments made since 1 July 2014.

Section 15 of the Public Governance, Performance and Accountability Act 2013 (PGPA Act)

Under subsection 93(1) of the *National Land Transport Act 2014* (the NLT Act) the Minister has delegated to your position his powers under subsection 89(2) to make payments to a body as specified in the Roads to Recovery List for funding under the program.

By approving the recommendations of this Minute you will also be indicating that you are satisfied that the projects represent a proper use of public resources in accordance with section 15 of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act). For the purposes of the PGPA Act, proper use is defined as efficient, effective, economical and ethical.

In meeting section 15 of the PGPA Act we have ensured that each project meets the eligibility requirements of the Act.

Commonwealth policies for this program are set out in the Act and in the funding conditions determined by the Minister. The objective of the program as set out in the Act is the upgrading and maintenance of local roads. Councils are required to report the outcomes that they have achieved from the program in Part 4 of their annual reports. These outcomes indicate that the funding provided is effective in meeting the program objective.

The following actions ensure compliance with the Act and funding conditions:

. IMS ensures that R2R funds are only provided for projects listed in the work schedules submitted by funding recipients as required under clause 2.1 of the funding conditions;

. projects are checked as they are lodged to ensure that they are properly described and involve only the construction or maintenance of roads as defined in s.4 of the Act and to ensure that maps giving the location of projects have been provided as per funding condition 5.2(c); and

. council CEOs are required to certify in their annual reports that the money received has been spent solely on the construction and maintenance of roads and that the Council has, in all other respects, complied with funding conditions. All councils proposed for funding have provided the required annual reports.

Cash Management

I can advise that, in respect of the recommended payment, funds are available under the Infrastructure Investment Program.

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Recommendation

I recommend that you approve this minute and approve the payments in IMS.

APPROVED / NOT APPROVED

s47F

s47F

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Attachment to Payment Minute

Attachment to Payment Minute

Organisation Name	Pay Now
s47G(1)(a), s47G(1)(b)	

Summary

	No of LGAs to be paid	Total
s47G(1)(a), s47G(1)(b)		

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Appendix 5

Annual Report Sample

ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

NATIONAL LAND TRANSPORT ACT 2014, PART 8

PART 1 - CHIEF EXECUTIVE OFFICER'S FINANCIAL STATEMENT AND AUDITOR'S REPORT

Chief Executive Officer's financial statement

(see subclause 6.2(a) of the funding conditions)

The following financial statement is a true statement of the receipts and expenditure of the Roads to Recovery payments received by …(name of funding recipient) … under Part 8 of the *National Land Transport Act 2014* in the financial year 201x-1x.

[1]	[2]	[3]	[4]	[5]
Amount brought forward from previous financial year $	Amount received in report year $	Total amount available for expenditure in report year $	Amount expended in report year $	Amount carried forward to next financial year $
		[1]+[2]		[3]-[4]

The own source expenditure for (name of funding recipient) in 201y-1z was: $.....

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……(signature of Chief Executive Officer/General Manager)

…./…./201y

…….(name of Chief Executive Officer/General Manager)

Auditor's report

(Conditions cl.6.2(b))

In my opinion:

(i) the financial statement above is based on proper accounts and records; and
(ii) the financial statement above is in agreement with proper accounts and records; and
(iii) the amount reported as expended during the year was used solely for expenditure on the maintenance or construction of roads.

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I am an "appropriate auditor" as defined in section 4 of the *National Land Transport Act 2014*.

…….(signature of auditor)

……./…...../201y

……(name of auditor)

..……..(name of auditor's company)

Note: Under s.4 of the Act, "appropriate auditor" means:

(a) in relation to a funding recipient whose accounts are required by law to be audited by the Auditor-General of a State — the Auditor-General of the State; or

(b) in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of the Commonwealth — the Auditor-General of the Commonwealth; or

(c) in relation to any other funding recipient — a person (other than an officer or employee of the person or body) who is:

  (i) registered as a company auditor or a public accountant under a law in force in a State; or

  (ii) a member of the Institute of Chartered Accountants in Australia or of the Australian Society of Accountants.

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 2 - STATEMENT OF ACCOUNTABILITY BY CHIEF EXECUTIVE OFFICER

(see subclauses 6.3(a), (c) and (d) of the funding conditions)

I, ……(name)…….., Chief Executive Officer or General Manager, of ……(name of funding recipient) ……, hereby certify, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014* (the Act), that:

(a) Roads to Recovery funds received by [name of funding recipient] during the year [insert financial year] which have been spent, have been spent on the construction or maintenance of roads;

(b) [Name of funding recipient] complied with the signage and other public information requirements as set out in Part 3 of the funding conditions; and

(c) during the financial year [name of funding recipient] complied with other conditions of the grant as set out in clause 6.3(d) of the funding conditions.

……(signature of Chief Executive Officer/General Manager)

…./…./201y

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 3 – STATEMENT ON EXPENDITURE MAINTENANCE BY CHIEF EXECUTIVE OFFICER

(see subclause 6.3(b) of the funding conditions)

I, ……(name)…….., Chief Executive Officer/General Manager of …(name of funding recipient)....., state that, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014*:

1(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year to which this report refers was $……...…….(fill in amount).

1(b) the reference amount for [insert name of funding recipient] is $……....……. (fill in amount).

The following information need only be provided if the expenditure shown in 1(a) is less than the reference amount as shown in 1(b) above:

2(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds for the year prior to the year to which this report refers was $……....……. (fill in amount).

2(b) the average of expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own source funds for the year to which this report refers and the previous year was $……..……. (fill in amount).

The following information need only be provided if the expenditure shown in 2(b) is less than the reference amount as shown in 1(b) above:

3(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year two years before the year to which this report refers was $……...……. (fill in amount).

3(b) the average of expenditure on the construction and maintenance of roads by [insert name of this funding recipient] using its own source funds for the year to which this report refers and the previous two years was $……..……. (fill in amount).

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Note 2: The definition of 'own source revenue' corresponds to the definition of 'own source funds' in clause 3.1(b).

……(signature of Chief Executive Officer/General Manager)

…./…./201y

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 4 - STATEMENT OF OUTCOMES BY CHIEF EXECUTIVE OFFICER

(see subclause 6.3(e) of the funding conditions)

…(name of funding recipient) … has achieved the following outcomes under the Roads to Recovery Program in 201y-1z:

Key outcomes

Outcome	**Estimated % of Roads to Recovery Expenditure (all projects)**
1. Road Safety	
2. Regional economic development	
3. Achievement of asset maintenance strategy	
4. Improved access for heavy vehicles	

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5. Promotion of tourism	
6. Improvements of school bus routes	
7. Access to remote communities	
8. Access to intermodal facilities	
9. Traffic management	
10. Improved recreational opportunities	
11. Amenity of nearby residents	
12. Equity of access (remote areas)	
13. Other	
TOTAL	**100.0**

……(signature of Chief Executive Officer/General Manager)

…./…./201y

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PROGRAM PROCEDURES

FOR THE

ROADS TO RECOVERY PROGRAM

For projects under
Part 8 of the National Land Transport Act 2014
Roads to Recovery Program

Issued

July 2019

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1 INTRODUCTION

1.1 Scope of Procedures

These Procedures are designed to provide Local Government Authorities (LGAs) with practical advice about the operation of the Roads to Recovery Program, including the requirements with which they must comply in order to obtain their funding, and the obligations that they have toward the Australian Government for the funding provided.

1.2 Related documents

The legal basis for the Program is the *National Land Transport Act 2014* (the Act) and the funding conditions determined by the Minister under section 90(1) of that Act.

The funding conditions are available at
http://investment.infrastructure.gov.au/funding/r2r/r2r_funding_conditions.aspx

In addition, please see:

- Roads to Recovery Circulars (see 2.5 Roads to Recovery Circulars)
- IMS User's Manual (available on IMS)
- Signage Guidelines (see 10 Information and Recognition) and
  http://investment.infrastructure.gov.au/publications/administration/

1.3 Commencement

These Procedures apply to payments made after 1 July 2019.

The Procedures that applied to the Program which operated between July 2014 and June 2019 still apply to payments made in that period.

1.4 Definitions

The definitions set out in Section 4 of the Act and in Part 1 of the Funding Conditions apply to these Procedures.

Table 1: Definitions of terms used in the Procedures

Term	Definition
(the) Act	*National Land Transport Act 2014*
reference amount	means the reference amount applicable to the funding recipient (as defined in the Funding Conditions 2019)
own source funds	funds available to the LGA other than funds provided by the Commonwealth, a State or Territory government, or project specific private sector contributions (as defined in the Funding Conditions 2019)
Minister	The Australian Government Minister administering the Act
IMS	Infrastructure Management System – the secure website used to capture Council and project information and processing of payments.

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1.5 Administration and contact information

The Program is administered on behalf of the Australian Government by the Department of Infrastructure, Transport, Cities and Regional Development (the Department).

The principal contacts in the Department for Roads to Recovery matters are:

s22(1)(a)(ii) or s22(1)(a)(ii) @infrastructure.gov.au
s22(1)(a)(ii) or s22(1)(a)(ii) @infrastructure.gov.au
s22(1)(a)(ii) or s22(1)(a)(ii) @infrastructure.gov.au

Correspondence should be addressed to:

Director, National Subprograms, Infrastructure Investment Division
GPO Box 594, CANBERRA ACT 2601

2 REQUIREMENTS FOR ROADS TO RECOVERY

2.1 Objective

The objective of Roads to Recovery is to contribute to the Australian Government Infrastructure Investment Program through supporting maintenance of the nation's local road infrastructure asset, which facilitates greater access for Australians and improved safety, economic and social outcomes.

It does this by providing grant funding to LGAs for the maintenance and/or construction of roads in order to help maintain the local road network, essential to Australia's social and economic infrastructure.

2.2 Eligibility to receive funding

The Roads to Recovery Program provides Australian Government grants in Australia and certain state/territory agencies, including:

(a) the ACT and NT Governments;

(b) LGAs in receipt of the roads component of Australian Government Financial Assistance Grants;

(c) state agencies responsible for roads in the unincorporated areas of NSW, Vic and SA; and

(d) the Shires of Christmas and Cocos (Keeling) Islands, the Lord Howe Island Board and the Norfolk Island Regional Council.

Funding is not provided to non-government organisations under this Program.

2.3 Funding allocations

LGAs were advised of their Roads to Recovery 'life of Program funding allocations' by letter from the Deputy Prime Minister and the Assistant Minister for Roads and Transport in April 2019. These allocations cannot be reduced during the life of the Program.

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2.4 Information required from LGAs

LGAs should inform the Department of any planned LGA amalgamations, abolitions, boundary changes, or name changes to enable allocations for the new LGA(s) to be determined and arrangements made.

The Department requires information from LGAs to manage the Program effectively, make payments, analyse outcomes, provide information to the public and satisfy accountability requirements.

Four types of information are required from LGAs, to be provided and maintained via the secure website, IMS:

(a) contact details: This information must be kept up to date as it is used by the Department to know who can discuss the Program finances etc and to disseminate information;

(b) work schedule: This is a listing of projects proposed for funding under the Program. LGAs enter this information as projects are identified and are required to keep it up to date;

(c) expenditure reports: These contain project by project information on expenditure to date and forecast expenditure which is used to calculate payments; and

(d) annual reports: A report audited by an independent auditor as required by the funding conditions. The report format for the Roads to Recovery Program is at **Appendix A**.

The address of the IMS Roads to Recovery portal is only available to LGAs.

LGA projects will also be posted on the Department's public website, via the searchable site at http://investment.infrastructure.gov.au/projects/.

The Department should also be informed of any changes to the bank account details in writing preferably on LGA letterhead or email.

2.5 Roads to Recovery Circulars

The information in these procedures is augmented by circulars issued by the Department to address issues as they emerge. They are emailed to LGA contact officers (listed as Manager on IMS contacts) and posted on the IMS secure website. Please ensure your IMS contact details are up to date so delivery of these emails to the one point of contact in your organisation is not delayed.

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3 PROJECT CRITERIA

3.1 Eligibility of projects

Payments under the Program may be used on any project for the construction and/or maintenance of a road. As defined by the Act, the term 'roads', includes each of the following when in association with a road:

(a) traffic signs and control equipment;

(b) street lighting equipment;

(c) vehicular ferries;

- is works relating to the repair or maintenance of the actual ferry but does not include services that are in place where the ferry is off-line.

(d) bridges or tunnels, including pedestrian bridges (for the purpose of crossing from one side of the road to the other – not from one public area to another eg parks etc;

(e) bicycle paths;

A bicycle path 'associated with a road' is one that:

- is located within the road reservation; or
- where removed from the road reservation, provides a route between points on the road that is shorter than or broadly similar in distance to the road route.

To list a bicycle path on your work schedule, with the exception of on-road delineated cycle paths, you must first contact a Roads to Recovery team member providing detailed evidence including plans and maps to confirm eligibility.

Footpaths are only eligible where they are part of a wider road project. A project to solely upgrade a footpath will not be considered.

Drainage projects are allowed where the purpose of the project is connected with the road, e.g. to stop flooding in wet weather or to stop pooling of water which affects the road's sub-structure. Projects will not always be in the road reserve. Where a project has several objectives, only one of which is the road, it can be partially funded. The project would need to be entered as a jointly funded road with an appropriate proportion listed against the road.

The purchase of land for compensatory habitat, where required by an environmental permit, is an allowable expense but should be listed against the project to which it relates and not shown as a separate item.

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3.2 Excluded items

For further advice about whether an intended project can be funded by the Program, the LGA should contact the R2R Section. Examples of items that cannot be funded under this Program include:

(a) transport planning studies (except road planning studies relating to a specific project);

(b) street scaping;

(c) rehabilitation studies;

(d) general administrative overheads and staff salaries not connected with specific projects funded under the Program;

(e) road building plant or other capital equipment especially moveable equipment (e.g. graders). However, note that bores for water for road building in remote areas have been allowed in association with complying projects;

(f) training;

(g) footpaths which are not part of the construction or upgrade of the road itself;

(h) off road car parks;

(i) street furniture;

(j) landscaping such as beatification of roundabouts, verges etc

(k) public liability insurance;

(l) fringe benefits tax;

(m) LGA normal operating expenses such as light, power, stationery, IT support, telephone, cleaning and all other expenses which the LGA would have incurred anyway, regardless of whether or not the Roads to Recovery Program was underway;

(n) finance leases on equipment;

(o) operating lease charges where the rental expense cannot be directly linked to the Roads to Recovery project, e.g. a grader may be hired for a period for a variety of tasks. Only the component that relates specifically to Roads to Recovery jobs can be charged against Roads to Recovery funds;

(p) depreciation, except for depreciation of plant and equipment directly attributable to a Roads to Recovery funded project;

(q) resealing of regional airport tarmacs; and

(r) stand-alone design and preliminary works (refer clause 4.5(d)).

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3.3 Labour Costs

Labour costs for work done by LGA workforces should be derived from timesheets or via an equally acceptable method. Management time should be considered in light of the comments above i.e. a clear and definable model needs to be in place to apportion these costs. However, 'management costs' or 'labour' should not be entered as a single item. They should be allocated to specific jobs.

3.4 Multiple funding sources

Funds under this Program may be used to fund a project in conjunction with funds from other sources, (e.g. a State Government, the LGA itself, the Black Spot Program). Where this occurs, the project should be shown as jointly funded in the work schedule. It is the responsibility of the LGA to ensure the other funding source requirements allow this.

4 PROJECT SELECTION AND WORK SCHEDULES

4.1 Project selection and standards

LGAs are entitled to select the projects to be funded within their jurisdiction according to their own priorities, with the exception as set out under clause 4.2. LGAs are encouraged to focus on improving road safety outcomes when selecting projects, and to consider the likelihood they will reduce fatalities and serious injuries.

LGAs are responsible for all aspects of each project including the scope, design, the technical standards to which they are built, their construction and the subsequent management of the works involved.

Additionally, LGAs are encouraged to maintain an appropriate balance between funding for urban and rural roads. Where funding is provided for LGAs in remote areas, the needs of Indigenous communities should be considered.

Councils are encouraged to lodge a small number of larger projects rather than a larger number of small projects (eg less than $10,000).

4.2 WA Bridge and Aboriginal Access Roads

A component of the WA funding is for a program of bridges and Aboriginal access roads. The arrangements which apply specifically to these projects will be advised by letter to the LGAs involved. In particular, where these projects are completed for less than the funds allocated, the Department's agreement is required before the surplus funds can be used for other projects.

4.3 Tendering arrangements

There is no requirement under the Program for works to be put to tender, although LGAs will need to comply with any state or territory requirements on this matter.

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4.4 Nomination by Members of the Public

Projects can only be nominated for funding by LGAs and members of the public wanting a project funded under this Program should contact the relevant LGA.

4.5 Work Schedules

There are two types of projects, small funded projects and normal projects. The former are projects costing, or expected to cost, under $10,000. The latter are all other projects. This clause deals with normal projects. See clause 5.3 of the funding conditions for small funded projects.

Projects to be funded under Roads to Recovery must be listed on the electronic work schedule in the secure website IMS. This list must be kept up to date.

Projects that have been completed must be left on the work schedule. Projects should not be overwritten or withdrawn once they have been completed.

The ID number at the left of the screen is generated by the project management system. The information required from LGAs is:

(a) the location of the project in enough detail for a member of the public to locate it without the assistance of the LGA. Mapping data is also required (see 4.7);

(b) a clear description of the problem being addressed for each proposed work allocation, to the satisfaction of the Department;

(c) the work proposed to address the problem;

(d) the start and completion dates of work (physical not financial). This may include design and preliminary works providing the whole project is being funded in whole or part by R2R and will go ahead. Expenditure associated with investigation and associated engineering studies (including design work) will only be eligible for reimbursement under the Program once the associated construction works have been completed. If the design and preliminary works were funded in a previous financial year and do not proceed the LGA will have to have their annual reports re-audited.

(e) whether the project is fully funded under Roads to Recovery (e.g. if part of the funding is to be provided by the LGA, the entry would be ‘no’);

(f) the total project cost of the work, i.e. from all sources. This figure should be the most accurate figure available at any time. At the planning stage, it will be purely an estimate, but as the project progresses, its accuracy should be improved, so that at completion it is the actual cost of the project; and

(g) cost to the Roads to Recovery Program. This figure equals the total cost for projects fully funded under Roads to Recovery but will be less than that figure for jointly funded projects.

Once projects are lodged, they are checked by the Department for Program eligibility to ensure that they involve the construction and/or maintenance of roads within the meaning of the Act, that the location and description of the project are adequate, and that the required maps have been submitted.

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Project details are listed on the Department's public website and are publicly accessible. The project description should contain enough information to be informative. The 'problem being addressed' should describe the issue that made the project necessary ie. 'pavement in need of renewal' does not say what is wrong with the pavement whereas 'pavement cracking and potholed' does. Similarly, the work proposed should say what the LGA is doing to fix the problem. The work schedules should be updated at least quarterly, including the figures entered under 'Total project cost' and 'Cost to Roads to Recovery program'. These figures should reflect the estimate when the project begins but should be refined as the project progresses so by completion the figures reflect actual outturn cost.

The start and completion dates of projects should be realistic and updated as projects proceed. Where a project is listed well in advance of commencement, the dates provided should be realistic based on historical precedent on when they would normally be done, for example reseals are generally undertaken in the hotter months but once the LGA seeks funding for the project, more precise commencement and completion dates should be shown.

Where a project has been listed for funding and it is decided not to proceed with the project or to fund it from another source, either:

(a) the project should be withdrawn, using the facility in the work schedule or expenditure report; or

(b) the actual expenditure figure in the expenditure report should be reduced to zero.

The project will continue to be listed; LGAs cannot remove projects once they have listed them. LGAs are entitled to change the projects listed at their own discretion up to the point where a project has been fully constructed, the funding allocated for it fully spent and the project marked as 'completed' in a expenditure report. Once this occurs, the project is 'locked in' and the funds used for it cannot be transferred to other projects.

4.6 Small funded projects

As advised at 4.1 Project Selection and Standards, Councils are encouraged to lodge larger projects rather than a number of small projects (eg. less than $10,000). However, it is understood that on occasion this may not be practical.

Several projects of the same type (ie. same work schedule category) and each costing less than $10,000, e.g. general maintenance and resheeting, can be grouped together to appear as one project on the website. Where this is done, the information required is:

(a) a general description of the projects;

(b) the location of each project, (e.g. Bay St) with the estimated cost in the grid behind it;

(c) the total Roads to Recovery cost for the projects in the estimated cost field;

(d) the estimated start date of the first of the projects to begin and the scheduled completion date of the last of the projects to be completed in the date fields.

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4.7 Mapping

The Program requires maps for all projects $10,000 and above. Information required on maps will include data for use in a Geographical Information System in a form specified by the Department unless the LGA is exempted by the Department. This information is detailed in **Appendix B**.

5 PAYMENT AND ACQUITTAL ARRANGEMENTS

5.1 Total funding available

Each LGA is guaranteed its full life of Program allocation by 30 June 2024 subject to compliance with the funding conditions. Payments to an LGA over the life of the Program will not exceed the life of Program allocation in any circumstances.

5.2 Annual allocations

The LGA's nominal annual allocation is one fifth of its life of Program allocation. This is the amount that LGAs are guaranteed each year, subject to compliance with the normal administrative requirements (ie. provision of annual reports). The full nominal annual allocation will be available to the LGA from the first payment (August) of each year, based on submission of the relevant reports.

The Department aims to match the funding requested by each LGA but, as the total funding available in any one financial year is limited to the Parliamentary appropriation, funding is determined on an annual basis. Smaller LGAs will have priority to access available funds. Those with life of Program allocations of up to $500,000 will be allowed to draw down their full life of Program allocation in any one year to enable them to undertake larger projects in an economically efficient way.

Where an LGA fails to draw down its full annual allocation in the last quarter of any financial year, the amount not drawn down may be reallocated to other LGAs at the discretion of the Department. Additional funding allocated to an LGA, in any one year, will only result in bringing forward later year funding, so total funding to any LGA will not exceed the life of Program allocation. The timing of the reallocation is at the discretion of the Department.

5.3 Goods and Services Tax (GST)

LGAs are eligible for an input tax credit for the GST paid. Consequently, expenditure reported by LGAs in their quarterly expenditure reports must exclude the GST component on goods and services and the payments made to LGAs will not include GST.

5.4 Expenditure of Program funds

Funds are generally provided to LGAs up to three months in advance, on the basis of the information provided in expenditure reports, ie. (cumulative) expenditure to date and projected expenditure for the next three months for nominated projects.

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Funding recipients should spend the funds received within six months of receipt. LGAs holding R2R funds for longer than six months will be asked for an explanation, although it is recognised that delays can occur, e.g. in obtaining State Government planning permission, problems with contractors or equipment, early onset of the wet season, drought.

LGAs must ensure that the projected expenditure in their expenditure reports reflects the actual situation for each project. The funding formula will then accommodate any funds to be re-allocated to projects listed on the work schedule.

Funding recipients must spend all Roads to Recovery payments received by 31 December 2024 unless they have the agreement of the Department to do otherwise.

5.5 Interest

The funding conditions (clause 2.5) require LGAs with life of Program allocations of over $1.25m and which earn interest on payments in one financial year of the Program, to spend an amount equal to the interest earned on road works in the next financial year.

The interest earned is own sources funding for the purposes of the Program's expenditure maintenance requirements.

LGAs are not required to report the amount of interest earned but are required to be able to demonstrate compliance (e.g. to auditors visiting at the request of the Department) in any reasonable way. They may do this in several ways i.e., they may:

(i) calculate the exact amount of interest earned and show that their own sources of expenditure exceeds this amount;

(ii) provide an estimate which can be based on the interest rates and the period for which the funds were held and again show that their own sources of expenditure exceed this amount; or

(iii) show that they spend more money from their own sources on road works than they receive from Roads to Recovery. In such cases, the interest on Roads to Recovery funds will be less than what is spent on the LGA's own sources roads program.

5.6 Payment schedules

The expenditure reporting component of IMS is only open during the periods detailed below and expenditure information for the previous quarter must be entered during that period. It is recommended that councils submit an expenditure report each quarter, even if not seeking funds, so as to account for funds previously provided and yet to be acquitted. This is supported by clause 4.5 which requests that councils keep their projects up to date at least quarterly.

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Provided an expenditure report has been submitted as required, payments will be made as soon as possible in the following month after the end of the lodgement period as follows.

Lodgement Period for expenditure reports	**Approximate date of corresponding payment**	**Context to be covered**
1-31 July	August	Actual expenditure to 30 June, projected expenditure to 30 September
1-31 October	November	Actual expenditure to 30 September, projected expenditure to 31 December
1 January - 15 February	March	Actual expenditure to 31 December, projected expenditure to 31 March
1-30 April	May	Actual expenditure to 31 March, projected expenditure to 30 June

5.7 Payment calculations

Subject to clause 6.2 of the funding conditions, payments will be calculated via the following formula (capped at the LGA's nominal annual allocation) which is stated in terms of the first payment after 1 July 2019:

Payment Due	=	cumulative expenditure by LGA on projects from 1 July 2019 until 30 September 2019	plus	projected expenditure for months of October, November, December 2019	minus	total payments to LGA under the Program

The first two items of this formula (cumulative expenditure and projected expenditure), are the totals for the columns 'cumulative expenditure to date' and 'forecast expenditure during next quarter' which can be seen at the bottom of your IMS expenditure report.

The figure reported under 'expenditure to date' is the cumulative expenditure since the inception of the Program, not just the amount spent during the last quarter. In the case of LGAs that have been created after the commencement of the Program due to amalgamations, this amount is the total expenditure to date since Roads to Recovery funds were first received.

Only the Roads to Recovery component of expenditure on jointly funded projects should be shown (also see section 3.2). All expenditure reported must exclude GST.

Many LGAs spend money on Roads to Recovery projects before they receive funding from the Australian Government for them. This can result in a situation where, at the end of a financial year, the LGA has a negative carry forward. There is no issue with a negative carry forward as this allows flexibility in managing the Program, however, in the final year of the Program LGAs

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cannot show negative carry forwards as this negative amount is LGA expenditure that cannot be reimbursed from the following Program.

The stated 'estimated cost' is not part of the payment calculation. Where projects are jointly funded, the estimated cost should be the amount to be funded under the program; the total estimated cost and the shares being provided by the other parties should be shown in the project description.

Please note that, where a calculated payment is less than $50, this will normally be held over and paid as part of the next payment.

6 ANNUAL REPORTING REQUIREMENTS

6.1 Annual Reports

An LGA is required to submit an Annual Report to the Department covering the previous financial year by no later than 31 October each year. Annual Reports are initially prepared on-line via IMS, and then a signed hard copy of the form must be mailed to the Roads to Recovery Section (it can be scanned and emailed). Reports that have not been audited will not be accepted.

The report covers:

Part 1 - the financial statement;

Part 2 - a statement of accountability;

Part 3 - a statement of expenditure maintenance; and

Part 4 - a statement of outcomes.

The financial statement (Part 1 of the annual report) must be signed by an external auditor.

Please note that the figures provided must be shown on a accrued basis. All expenditure reported must exclude GST.

The format required is set out in **Appendix A**.

7 EXPENDITURE MAINTENANCE REQUIREMENTS

7.1 Basic requirements

The Program's expenditure maintenance requirements are designed to ensure that LGAs do not substitute Roads to Recovery funds for their own funding. Roads to Recovery funding is intended to enable LGAs to undertake road work additional to what they could undertake using their own funds.

The requirement states that, for each financial year in which an LGA receives, spends or retains a Roads to Recovery payment, it must spend, on the construction and/or maintenance of roads, funds from its own source funds equal to or greater than the reference amount applicable to the LGA.

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As the name implies, 'own source funding' is funding from an LGA's own sources. It therefore excludes all State and Commonwealth funds, whether tied or untied. Project specific private sector contributions are also excluded.

When a council wishes to calculate its own source expenditure on roads, the word 'road' has the meaning that it is given in the Act and in the funding conditions and elsewhere in these Procedures.

7.2 Treatment of Financial Assistance Grants

Financial Assistance Grants are not own source funding under the definition above. The preferred approach is to trace the funds to the uses to which they have been put and report accordingly. However, where a LGA places its Financial Assistance Grants funds in a general account and cannot trace their use to specific projects, the following convention should be adopted:

- the general component of Financial Assistance Grants should be deemed to be used for non-roads purposes; and
- the roads component of Financial Assistance Grants should be deemed to have been used on roads.

7.3 Project specific private sector contributions

Developer contributions linked to specific projects is not own source funding. Similarly, where a LGA receives funding from landowners for work on roads serving their property, these contributions are not own source funding.

7.4 Interest on Roads to Recovery funds

The interest earned on Roads to Recovery payments is own sources funding for the purposes of the Program's expenditure maintenance requirements.

Note, while loan repayments including interest can be considered Own Source Expenditure, it is only as the money is being repaid, as that is when it is being expended.

7.5 Treatment of loans

Loan repayments (including interest) for eligible road projects, as defined at clause 3.1 and 3.2, can be considered as part of councils own source expenditure.

7.6 Part 3 of the Annual Report

Part 3, the Statement on Expenditure Maintenance by the CEO, must be completed in each year of the Program (see **Appendix A** Part 3). It enables LGAs to demonstrate that they have complied with the expenditure maintenance requirements.

The own source expenditure for the year on which the LGA is reporting is entered into Part 1 of the annual report and, when Part 1 is saved, the amount will be replicated at 1(a) of Part 3.

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The reference amount at point 1(b) is entered by IMS and is the reference amount applicable to the funding recipient on 30 June 2019.

If the amount at 1(a) exceeds the amount at 1(b), then the own sources expenditure in that year exceeds the reference amount and the LGA is complying and Part 3 is complete for that year.

If 1(b) is greater than 1(a), IMS will show the LGA's own sources expenditure from the previous financial year at 2(a) and will show the average of 1(a) and 2(a) at 2(b).

If 2(b) exceeds 1(b) ie. if the average of the LGA's own sources expenditure in the report year and the previous year exceeds the reference amount, the LGA is complying and Part 3 is complete for that year.

If, however, 1(b) is greater than 2(b), IMS will show the LGA's own sources expenditure from two years prior to the report year at 3(a) and will show the average of 1(a), 2(a) and 3(a) at 3(b). Part 3 is now complete. If 3(b) exceeds 1(b), the LGA is complying. If not, it is non-complying.

7.7 Noncompliance with the expenditure maintenance conditions

If, in any particular financial year, an LGA does not satisfy the expenditure maintenance requirements as set out above, an explanation will be requested by the Department. If:

(a) the explanation is acceptable; and

(b) the LGA gives a commitment to make up the shortfall;

the requirement will either be waived for that financial year, or a replacement condition issued, and the LGA will be eligible to receive funding in the standard manner.

8 BUILDING AND CONSTRUCTION REQUIREMENTS

The *Code for the Tendering and Performance of Building Work 2016* (Building Code), as updated from time to time, is the standard of practice for building and construction work, setting out the responsibilities of all parties on construction projects funded by the Australian Government.

The Building Code applies to all construction projects indirectly funded by the Australian Government through grant or other programs where:

- the Australian Government funding contribution is at least $5 million and represents at least 50 per cent of the total construction value; or
- the Australian Government contribution to the project is $10 million or more irrespective of the proportion of Australian Government funding.

For further information on the Building Code, refer to: https://www.abcc.gov.au/building-code or contact the Building Code Hotline on 1800 003 338.

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The ***Work Health and Safety Accreditation Scheme*** administered by the Office of the Federal Safety Commissioner places requirements on recipients of Australian Government funding in regards to workplace health and safety standards. The *Building and Construction Industry (Improving Productivity) Act 2016* provides the legislative basis for the OFSC and its officers.

If a Roads to Recovery project crosses the threshold for indirectly funded building work (see http://www.fsc.gov.au/sites/fsc/needaccredited/accreditationscheme/pages/theaccreditationscheme) a commitment will be required from the LGA regarding the builder and/or civil contractor being accredited under the Scheme. This requirement will need to be considered when awarding contracts, and assurance will be sought before a payment may be made on a project that crosses the threshold.

9 ENVIRONMENTAL ISSUES

Projects must adhere to Australian Government environment and heritage legislation. For most projects, the relevant legislation will be the *Environment Protection and Biodiversity Conservation Act 1999* and its subsidiary regulations and agreements.

The Department recommends that, before starting an environmental study for a project, proponents contact the Australian Government Department of the Environment http://www.environment.gov.au/epbc/index.html. They can provide advice about Australian Government requirements and ensure that the Australian Government's legislative requirements are properly addressed by the study. This will reduce the likelihood of cost and time delays before construction can commence.

10 INFORMATION AND RECOGNITION

Formal statements, media releases, displays or publications (including brochures) and newspaper advertising of any work funded by the Program must acknowledge the Australian Government's contribution.

10.1 Media Releases and Plaques

If a funding recipient proposes to issue any media release or plaques relating to a funded project, the funding recipient must consult with and obtain approval of the proposed release from the Department.

Media releases etc should refer to the *Australian Government / Australian Government funded* **not** *Federal Government / Federally funded*.

10.2 Opening and Completion Ceremonies

LGAs must advise the Department of opening or completion ceremonies well in advance, at least two weeks before the event, and should organise joint ceremonies when requested. Local Federal Members and/or Senators should be invited to these ceremonies, plus others requested by the Minister. Details of the proposed arrangements, including invitations and order of proceedings, must be sent to the Department well before the event.

These details should include:

a) Event Title (including the name of the road);

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b) Day, Date and Time of the event;

c) Total cost of the project (including if there is a funding split, the amounts and name of the contributor/s);

d) Description of the event including background of the project;

e) Current project status including start and completion dates; and

f) A map; eg. Google map highlighting the location of the project.

If requested by the Minister's office or the Department, a funding recipient must arrange for an Australian Government representative to attend any planned opening ceremony.

10.3 Signage

Signs, as specified in the latest Signage Guidelines (available from the Department website at http://investment.infrastructure.gov.au/publications/administration/) must be erected when physical work on a project begins, in plain view of passing motorists, and be maintained for a year after the project is finished:

(a) normally, one sign must be erected at the place where the funded project starts, and one sign must be erected at the place where the funded project ends;

(b) however, where the project is on a cul-de-sac or on a one way road, only one sign is required. The sign must be erected at the entrance to the cul-de-sac and on one way roads, where the project begins;

(c) signs must be erected in a prominent but safe position facing oncoming traffic and be plainly visible to passing motorists; and

(d) except where the Australian Government contribution is less than 50%, signs must have greater prominence, in size and visibility, than other signs which relate to the project in the immediate vicinity of the project.

Signs may be reused for subsequent projects if the format is still current. Small funded projects (see section 4.6) need not have individual signs.

11 PROGRAM MONITORING AND EVALUATION

The Department and LGAs are accountable for results in terms of outcomes for the Program. The Department may undertake a program of random checks of LGA activities to ensure compliance with the funding conditions.

Types of checks that may be undertaken include but are not limited to:

- 'in person visits' where Departmental officers or contractors visit the LGA to view projects and ensure that they match the scope as described in the work schedule; and
- 'assurance assessments' undertaken by auditing firms on behalf of the Department which will include the detailed examination of LGA program administration including accounting practices and reporting. LGAs must co-operate with these assessments.

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APPENDIX A – ANNUAL REPORTING

ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

NATIONAL LAND TRANSPORT ACT 2014, PART 8

PART 1 - CHIEF EXECUTIVE OFFICER'S FINANCIAL STATEMENT AND AUDITOR'S REPORT

Chief Executive Officer's financial statement
(see subclause 6.2(a) of the funding conditions)

The following financial statement is a true statement of the receipts and expenditure of the Roads to Recovery payments received by [Insert name of funding recipient] under Part 8 of the *National Land Transport Act 2014* in the financial year 20XX-XX.

[1]	[2]	[3]	[4]	[5]
Amount brought forward from previous financial year $	Amount received in report year $	Total amount available for expenditure in report year $	Amount expended in report year $	Amount carried forward to next financial year $
		[1]+[2]		[3]-[4]

The own source expenditure for (name of funding recipient) in 20XX-XX was: $.....

…….(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

…….(name of Chief Executive Officer/General Manager)

Auditor's report

(Conditions cl.6.2(b))

In my opinion:

(i) the financial statement above is based on proper accounts and records; and
(ii) the financial statement above is in agreement with proper accounts and records; and
(iii) the amount reported as expended during the year was used solely for expenditure on the maintenance or construction of roads.

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(iv) the amount certified by the Chief Executive Officer in the Chief Executive Officer's financial statement above as the funding recipient's own source expenditure on roads during the year is based on, and in agreement with, proper accounts and records.

I am an "appropriate auditor" as defined in section 4 of the *National Land Transport Act 2014*.

……(signature of auditor)

dd/mm/yyyy

……(name of auditor)

..……..(name of auditor's company)

Note: Under s.4 of the Act, "appropriate auditor" means:

(a) in relation to a funding recipient whose accounts are required by law to be audited by the Auditor-General of a State — the Auditor-General of the State; or

(b) in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of the Commonwealth — the Auditor-General of the Commonwealth; or

(c) in relation to any other funding recipient — a person (other than an officer or employee of the person or body) who is:

(i) registered as a company auditor or a public accountant under a law in force in a State; or

(ii) a member of the Institute of Chartered Accountants in Australia or of the Australian Society of Accountants.

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 2 - STATEMENT OF ACCOUNTABILITY BY CHIEF EXECUTIVE OFFICER

(see subclauses 6.3(a), (c) and (d) of the Funding Conditions)

I, ……[Insert name]……..., Chief Executive Officer or General Manager, of ……[name of funding recipient] ……, hereby certify, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014* (the Act), that:

☑ (a) Roads to Recovery funds received by [Insert name of funding recipient] during the year [Insert financial year] which have been spent, have been spent on the construction or maintenance of roads;

☑ (b) [Name of funding recipient] complied with the signage and other public information requirements as set out in Part 3 of the funding conditions; and

☑ (c) during the financial year [name of funding recipient] complied with other conditions of the grant as set out in clause 6.3(d) of the funding conditions.

……(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 3 – STATEMENT ON EXPENDITURE MAINTENANCE BY CHIEF EXECUTIVE OFFICER

(see subclause 6.3(b) of the funding conditions)

I, ……[insert name]…….., Chief Executive Officer/General Manager of [insert name of funding recipient], state that, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014*:

1(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year to which this report refers was $XX [insert amount].

1(b) the reference amount for [insert name of funding recipient] is $XX [insert amount].

The following information need only be provided if the expenditure shown in 1(a) is less than the reference amount as shown in 1(b) above:

2(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds for the year prior to the year to which this report refers was $XX [fill in amount].

2(b) the average of expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own source funds for the year to which this report refers and the previous year was $XX [fill in amount].

The following information need only be provided if the expenditure shown in 2(b) is less than the reference amount as shown in 1(b) above:

3(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year two years before the year to which this report refers was $XX [fill in amount].

3(b) the average of expenditure on the construction and maintenance of roads by [insert name of funding recipient] using its own source funds for the year to which this report refers and the previous two years was $XX [fill in amount].

Note 2: The definition of 'own source revenue' corresponds to the definition of 'own source funds' in clause 3.1(b).

……(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 4 – STATEMENT OF OUTCOMES BY CHIEF EXECUTIVE OFFICER

(see subclause 6.3(e) of the funding conditions)

…[insert name of funding recipient] … has achieved the following outcomes under the Roads to Recovery Program in [insert financial year]:

Key outcomes

Outcome	**Estimated % of Roads to Recovery Expenditure (all projects)**
1. Road safety	
2. Regional economic development	
3. Achievement of asset maintenance strategy	
4. Improved access for heavy vehicles	
5. Promotion of tourism	
6. Improvements of school bus routes	
7. Access to remote communities	
8. Access to intermodal facilities	
9. Traffic management	
10. Improved recreational opportunities	
11. Amenity of nearby residents	
12. Equity of access (remote areas)	
13. Other	
TOTAL	**100.0**

……(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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APPENDIX B – MAPPING REQUIREMENTS

Roads to Recovery funding is conditional on LGAs providing clear project descriptions and location information for each project specified in the works schedule, including mapped project location details for use in a Geographical Information System which is then publicly available and searchable see http://investment.infrastructure.gov.au/projects/.

- A map showing projects nominated for funding under Roads to Recovery is required when you enter your projects into your work schedule in IMS (other than small funded projects).
- A new map is required for each new project listed.
- Maps should be emailed to **mapping@infrastructure.gov.au** within a few days of the project being listed on the website. If satisfactory maps are not received within three days of the end of the quarterly reporting period, this will result in funding for the un-mapped projects being withheld.
- The preferred format for maps is either "pdf" or "jpeg" files. Please do not email maps embedded into Microsoft Word.
- Councils can produce these maps from a variety of sources including UBDs, Gregory's, Google Maps, Google Earth, WhereIs, Travellers Atlas' etc.
- Maps sent electronically must conform to the following:

  Email Subject: Council Name: eg Flinders Ranges Project ID: 031232-08VIC-RTR

  The attached file must be labelled with the project ID eg 031232-08VIC-RTR.pdf /jpg

  Council may choose to have one map with multiple projects. If this is the case the subject would read: Flinders Ranges Project ID: Multiple

  The body of the email MUST list each project ID eg

  031234-08VIC-RTR
  031651-08VIC-RTR

  In this instance the attached pdf or jpeg file should be labelled:

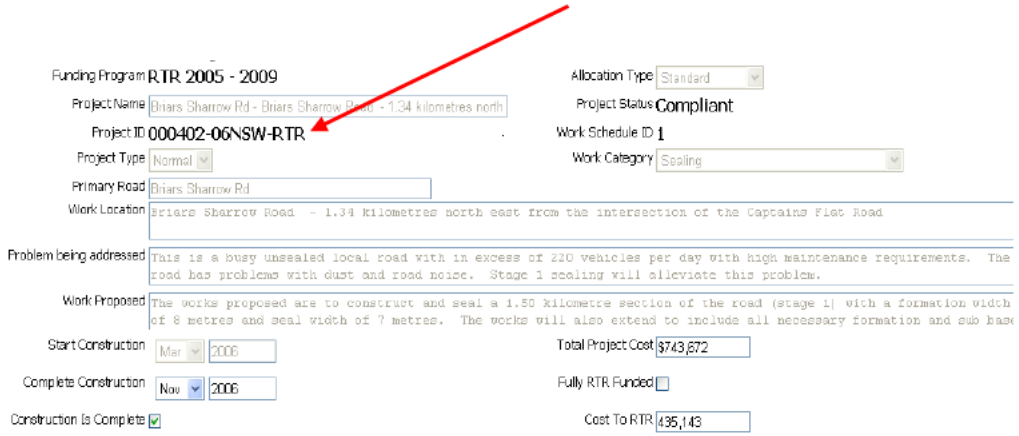
  Flinders_Ranges_Multiple.pdf (or jpg)

- Councils need to supply maps with enough detail for our mapping officers to identify the location of the road(s) for mapping on the Department's electronic mapping system.

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- Maps must be in accordance with the following.

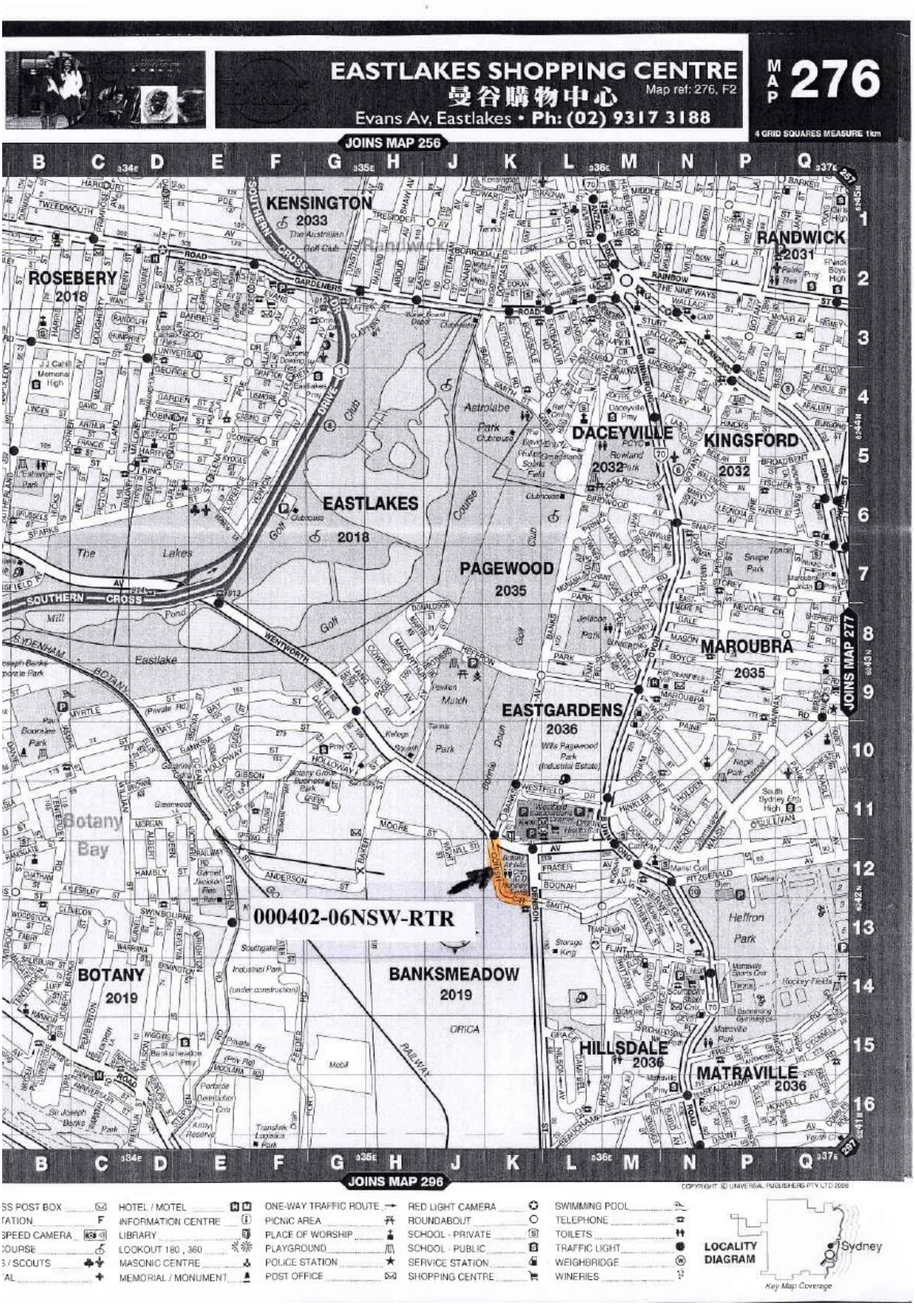
  - ✓ Must be no smaller than A4 but must be large enough to show the information clearly and meet the minimum requirements as demonstrated in the examples.
  - ✓ clearly show the council's name and the road being funded
  - ✓ the relevant project(s) should be highlighted
  - ✓ details such as surrounding suburbs, roads etc so as to clearly identify the location of the road – this includes surrounding road names with enough road names (i.e. 3) to enable us to locate the project on our system
  - ✓ each project must be labelled with its unique Project ID exactly as it appears in the system (eg 000402-06NSW-RTR). This ID is created when you add and save a new project in your works schedule, you can only view this number when you view the full project details.



Examples of maps that are acceptable are shown on the following pages. Onus is placed on the council to provide us with maps similar to the two examples provided.

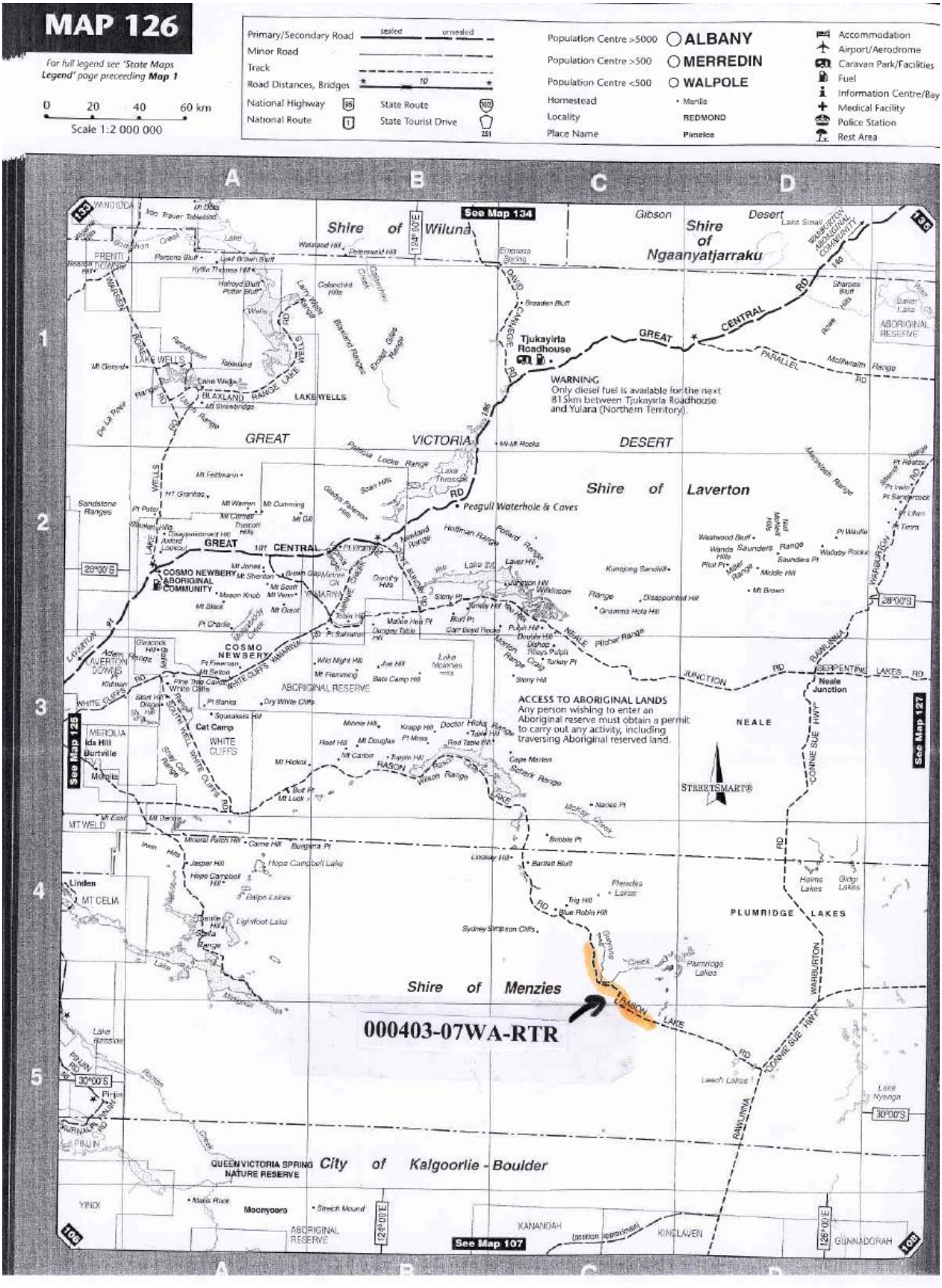
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Mapping Example 1



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Mapping Example 2



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PROGRAM PROCEDURES

FOR THE

ROADS TO RECOVERY PROGRAM

For projects under
Part 8 of the National Land Transport Act 2014
Roads to Recovery Program

Issued

November 2019

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1 INTRODUCTION

1.1 Scope of Procedures

These Procedures are designed to provide Local Government Authorities (LGAs) with practical advice about the operation of the Roads to Recovery Program, including the requirements with which they must comply in order to obtain their funding, and the obligations that they have toward the Australian Government for the funding provided.

1.2 Related documents

The legal basis for the Program is the *National Land Transport Act 2014* (the Act) and the funding conditions determined by the Minister under section 90(1) of that Act.

The funding conditions are available at
http://investment.infrastructure.gov.au/funding/r2r/r2r_funding_conditions.aspx

In addition, please see:

- Roads to Recovery Circulars (see 2.5 Roads to Recovery Circulars)
- IMS User's Manual (available on IMS)
- Signage Guidelines (see 10 Information and Recognition) and
  http://investment.infrastructure.gov.au/publications/administration/

1.3 Commencement

These Procedures apply to payments made after 1 July 2019.

The Procedures that applied to the Program which operated between July 2014 and June 2019 still apply to payments made in that period.

1.4 Definitions

The definitions set out in Section 4 of the Act and in Part 1 of the Funding Conditions apply to these Procedures.

Table 1: Definitions of terms used in the Procedures

Term	Definition
(the) Act	*National Land Transport Act 2014*
reference amount	means the reference amount applicable to the funding recipient (as defined in the Funding Conditions 2019)
own source funds	funds available to the LGA other than funds provided by the Commonwealth, a State or Territory government, or project specific private sector contributions (as defined in the Funding Conditions 2019)
Minister	The Australian Government Minister administering the Act
IMS	Infrastructure Management System – the secure website used to capture Council and project information and processing of payments.

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1.5 Administration and contact information

The Program is administered on behalf of the Australian Government by the Department of Infrastructure, Transport, Cities and Regional Development (the Department).

The principal point of contact in the Department for Roads to Recovery matters is:

Email: Roads.toRecovery@infrastructure.gov.au

Correspondence should be addressed to:

Director, National Subprograms, Infrastructure Investment Division
GPO Box 594, CANBERRA ACT 2601

2 REQUIREMENTS FOR ROADS TO RECOVERY

2.1 Objective

The objective of Roads to Recovery is to contribute to the Australian Government Infrastructure Investment Program through supporting maintenance of the nation's local road infrastructure asset, which facilitates greater access for Australians and improved safety, economic and social outcomes.

It does this by providing grant funding to LGAs for the maintenance and/or construction of roads in order to help maintain the local road network, essential to Australia's social and economic infrastructure.

2.2 Eligibility to receive funding

The Roads to Recovery Program provides Australian Government grants in Australia and certain state/territory agencies, including:

(a) the ACT and NT Governments;

(b) LGAs in receipt of the roads component of Australian Government Financial Assistance Grants;

(c) state agencies responsible for roads in the unincorporated areas of NSW, Vic and SA; and

(d) the Shires of Christmas and Cocos (Keeling) Islands, the Lord Howe Island Board and the Norfolk Island Regional Council.

Funding is not provided to non-government organisations under this Program.

2.3 Funding allocations

LGAs were advised of their Roads to Recovery 'life of Program funding allocations' by letter from the Deputy Prime Minister and the Assistant Minister for Roads and Transport in April 2019. These allocations cannot be reduced during the life of the Program.

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2.4 Information required from LGAs

LGAs should inform the Department of any planned LGA amalgamations, abolitions, boundary changes, or name changes to enable allocations for the new LGA(s) to be determined and arrangements made.

The Department requires information from LGAs to manage the Program effectively, make payments, analyse outcomes, provide information to the public and satisfy accountability requirements.

Four types of information are required from LGAs, to be provided and maintained via the secure website, IMS:

(a) contact details: This information must be kept up to date as it is used by the Department to know who can discuss the Program finances etc. and to disseminate information;

(b) work schedule: This is a listing of projects proposed for funding under the Program. LGAs enter this information as projects are identified and are required to keep it up to date;

(c) expenditure reports: These contain project by project information on expenditure to date and forecast expenditure which is used to calculate payments; and

(d) annual reports: A report audited by an independent auditor as required by the funding conditions. The report format for the Roads to Recovery Program is at **Appendix A**.

The address of the IMS Roads to Recovery portal is only available to LGAs.

LGA projects will also be posted on the Department's public website, via the searchable site at http://investment.infrastructure.gov.au/projects/.

The Department should also be informed of any changes to the bank account details in writing preferably on LGA letterhead or email.

2.5 Roads to Recovery Circulars

The information in these procedures is augmented by circulars issued by the Department to address issues as they emerge. They are emailed to LGA contact officers (listed as Manager on IMS contacts) and posted on the IMS secure website. Please ensure your IMS contact details are up to date so delivery of these emails to the one point of contact in your organisation is not delayed.

2.6 Report to Federal Members of Parliament

LGAs are required to email a summary of their quarterly report to relevant local Federal Members of Parliament in any quarter they are seeking a payment, after the payment has been approved. A reminder will be sent to all councils receiving a payment once the payment has been finalised.

To fulfil this obligation, LGAs may use the system-generated Expenditure Report as a basis (note the total project cost and electorates will need to be added). Individual Federal electorates for each project must be identified. If an LGA crosses multiple electorates, they can produce one

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report and send the same report to all relevant Federal Members of Parliament, as long as individual project electorates are clearly identified. A sample report is at Appendix C.

If an LGA is unsure which electorate a project is located in, they can search electorates by suburb on the Australian Electoral Commission website: https://electorate.aec.gov.au/

LGAs submitting a claim that does not result in a payment will not have to email a summary of their projects to relevant Federal Members of Parliament in that quarter.

Email addresses for Federal Members of Parliament are available in the documents section in IMS.

LGAs are to copy the Department into this correspondence using the following email address:

Roads.toRecovery@infrastructure.gov.au

Funding recipients that don't comply with the new requirements will be at risk of future payments being delayed or not made.

The Department will monitor councils and other funding recipients for compliance with the new requirements. Councils found to be in breach of the Funding Conditions will be contacted and asked to remedy the breach.

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3 PROJECT CRITERIA

3.1 Eligibility of projects

Payments under the Program may be used on any project for the construction and/or maintenance of a road. As defined by the Act, the term 'roads', includes each of the following when in association with a road:

(a) traffic signs and control equipment;

(b) street lighting equipment;

(c) vehicular ferries;

- is works relating to the repair or maintenance of the actual ferry but does not include services that are in place where the ferry is off-line.

(d) bridges or tunnels, including pedestrian bridges (for the purpose of crossing from one side of the road to the other – not from one public area to another e.g. parks etc.;

(e) bicycle paths;

A bicycle path 'associated with a road' is one that:

- is located within the road reservation; or
- where removed from the road reservation, provides a route between points on the road that is shorter than or broadly similar in distance to the road route.

To list a bicycle path on your work schedule, with the exception of on-road delineated cycle paths, you must first contact a Roads to Recovery team member providing detailed evidence including plans and maps to confirm eligibility.

Footpaths are only eligible where they are part of a wider road project. A project to solely upgrade a footpath will not be considered.

Drainage projects are allowed where the purpose of the project is connected with the road, e.g. to stop flooding in wet weather or to stop pooling of water which affects the road's sub-structure. Projects will not always be in the road reserve. Where a project has several objectives, only one of which is the road, it can be partially funded. The project would need to be entered as a jointly funded road with an appropriate proportion listed against the road.

The purchase of land for compensatory habitat, where required by an environmental permit, is an allowable expense but should be listed against the project to which it relates and not shown as a separate item.

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3.2 Excluded items

For further advice about whether an intended project can be funded by the Program, the LGA should contact the R2R Section. Examples of items that cannot be funded under this Program include:

(a) transport planning studies (except road planning studies relating to a specific project);

(b) street scaping;

(c) rehabilitation studies;

(d) general administrative overheads and staff salaries not connected with specific projects funded under the Program;

(e) road building plant or other capital equipment especially moveable equipment (e.g. graders). However, note that bores for water for road building in remote areas have been allowed in association with complying projects;

(f) training;

(g) footpaths which are not part of the construction or upgrade of the road itself;

(h) off road car parks;

(i) street furniture;

(j) landscaping such as beatification of roundabouts, verges etc.

(k) public liability insurance;

(l) fringe benefits tax;

(m) LGA normal operating expenses such as light, power, stationery, IT support, telephone, cleaning and all other expenses which the LGA would have incurred anyway, regardless of whether or not the Roads to Recovery Program was underway;

(n) finance leases on equipment;

(o) operating lease charges where the rental expense cannot be directly linked to the Roads to Recovery project, e.g. a grader may be hired for a period for a variety of tasks. Only the component that relates specifically to Roads to Recovery jobs can be charged against Roads to Recovery funds;

(p) depreciation, except for depreciation of plant and equipment directly attributable to a Roads to Recovery funded project;

(q) resealing of regional airport tarmacs; and

(r) stand-alone design and preliminary works (refer clause 4.5(d)).

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3.3 Labour Costs

Labour costs for work done by LGA workforces should be derived from timesheets or via an equally acceptable method. Management time should be considered in light of the comments above i.e. a clear and definable model needs to be in place to apportion these costs. However, 'management costs' or 'labour' should not be entered as a single item. They should be allocated to specific jobs.

3.4 Multiple funding sources

Funds under this Program may be used to fund a project in conjunction with funds from other sources, (e.g. a State Government, the LGA itself, the Black Spot Program). Where this occurs, the project should be shown as jointly funded in the work schedule. It is the responsibility of the LGA to ensure the other funding source requirements allow this.

4 PROJECT SELECTION AND WORK SCHEDULES

4.1 Project selection and standards

LGAs are entitled to select the projects to be funded within their jurisdiction according to their own priorities, with the exception as set out under clause 4.2. LGAs are encouraged to focus on improving road safety outcomes when selecting projects, and to consider the likelihood they will reduce fatalities and serious injuries.

LGAs are responsible for all aspects of each project including the scope, design, the technical standards to which they are built, their construction and the subsequent management of the works involved.

Additionally, LGAs are encouraged to maintain an appropriate balance between funding for urban and rural roads. Where funding is provided for LGAs in remote areas, the needs of Indigenous communities should be considered.

Councils are encouraged to lodge a small number of larger projects rather than a larger number of small projects (e.g. less than $10,000).

4.2 WA Bridge and Aboriginal Access Roads

A component of the WA funding is for a program of bridges and Aboriginal access roads. The arrangements which apply specifically to these projects will be advised by letter to the LGAs involved. In particular, where these projects are completed for less than the funds allocated, the Department's agreement is required before the surplus funds can be used for other projects.

4.3 Tendering arrangements

There is no requirement under the Program for works to be put to tender, although LGAs will need to comply with any state or territory requirements on this matter.

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4.4 Nomination by Members of the Public

Projects can only be nominated for funding by LGAs and members of the public wanting a project funded under this Program should contact the relevant LGA.

4.5 Work Schedules

There are two types of projects, small funded projects and normal projects. The former are projects costing, or expected to cost, under $10,000. The latter are all other projects. This clause deals with normal projects. See clause 5.3 of the funding conditions for small funded projects.

Projects to be funded under Roads to Recovery must be listed on the electronic work schedule in the secure website IMS. This list must be kept up to date.

Projects that have been completed must be left on the work schedule. Projects should not be overwritten or withdrawn once they have been completed.

The ID number at the left of the screen is generated by the project management system. The information required from LGAs is:

(a) the location of the project in enough detail for a member of the public to locate it without the assistance of the LGA. Mapping data is also required (see 4.7);

(b) a clear description of the problem being addressed for each proposed work allocation, to the satisfaction of the Department;

(c) the work proposed to address the problem;

(d) the start and completion dates of work (physical not financial). This may include design and preliminary works providing the whole project is being funded in whole or part by R2R and will go ahead. Expenditure associated with investigation and associated engineering studies (including design work) will only be eligible for reimbursement under the Program once the associated construction works have been completed. If the design and preliminary works were funded in a previous financial year and do not proceed the LGA will have to have their annual reports re-audited.

(e) whether the project is fully funded under Roads to Recovery (e.g. if part of the funding is to be provided by the LGA, the entry would be ‘no’);

(f) the total project cost of the work, i.e. from all sources. This figure should be the most accurate figure available at any time. At the planning stage, it will be purely an estimate, but as the project progresses, its accuracy should be improved, so that at completion it is the actual cost of the project; and

(g) cost to the Roads to Recovery Program. This figure equals the total cost for projects fully funded under Roads to Recovery but will be less than that figure for jointly funded projects.

Once projects are lodged, they are checked by the Department for Program eligibility to ensure that they involve the construction and/or maintenance of roads within the meaning of the Act, that the location and description of the project are adequate, and that the required maps have been submitted.

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Project details are listed on the Department's public website and are publicly accessible. The project description should contain enough information to be informative. The 'problem being addressed' should describe the issue that made the project necessary i.e. 'pavement in need of renewal' does not say what is wrong with the pavement whereas 'pavement cracking and potholed' does. Similarly, the work proposed should say what the LGA is doing to fix the problem. The work schedules should be updated at least quarterly, including the figures entered under 'Total project cost' and 'Cost to Roads to Recovery program'. These figures should reflect the estimate when the project begins but should be refined as the project progresses so by completion the figures reflect actual outturn cost.

The start and completion dates of projects should be realistic and updated as projects proceed. Where a project is listed well in advance of commencement, the dates provided should be realistic based on historical precedent on when they would normally be done, for example reseals are generally undertaken in the hotter months but once the LGA seeks funding for the project, more precise commencement and completion dates should be shown.

Where a project has been listed for funding and it is decided not to proceed with the project or to fund it from another source, either:

(a) the project should be withdrawn, using the facility in the work schedule or expenditure report; or

(b) the actual expenditure figure in the expenditure report should be reduced to zero.

The project will continue to be listed; LGAs cannot remove projects once they have listed them. LGAs are entitled to change the projects listed at their own discretion up to the point where a project has been fully constructed, the funding allocated for it fully spent and the project marked as 'completed' in an expenditure report. Once this occurs, the project is 'locked in' and the funds used for it cannot be transferred to other projects.

4.6 Small funded projects

As advised at 4.1 Project Selection and Standards, Councils are encouraged to lodge larger projects rather than a number of small projects (e.g. less than $10,000). However, it is understood that on occasion this may not be practical.

Several projects of the same type (i.e. same work schedule category) and each costing less than $10,000, e.g. general maintenance and resheeting, can be grouped together to appear as one project on the website. Where this is done, the information required is:

(a) a general description of the projects;

(b) the location of each project, (e.g. Bay St) with the estimated cost in the grid behind it;

(c) the total Roads to Recovery cost for the projects in the estimated cost field;

(d) the estimated start date of the first of the projects to begin and the scheduled completion date of the last of the projects to be completed in the date fields.

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4.7 Mapping

The Program requires maps for all projects $10,000 and above. Information required on maps will include data for use in a Geographical Information System in a form specified by the Department unless the LGA is exempted by the Department. This information is detailed in **Appendix B**.

5 PAYMENT AND ACQUITTAL ARRANGEMENTS

5.1 Total funding available

Each LGA is guaranteed its full life of Program allocation by 30 June 2024 subject to compliance with the funding conditions. Payments to an LGA over the life of the Program will not exceed the life of Program allocation in any circumstances.

5.2 Annual allocations

The LGA's nominal annual allocation is one fifth of its life of Program allocation. This is the amount that LGAs are guaranteed each year, subject to compliance with the normal administrative requirements (i.e. provision of annual reports). The full nominal annual allocation will be available to the LGA from the first payment (August) of each year, based on submission of the relevant reports.

The Department aims to match the funding requested by each LGA but, as the total funding available in any one financial year is limited to the Parliamentary appropriation, funding is determined on an annual basis. Smaller LGAs will have priority to access available funds. Those with life of Program allocations of up to $500,000 will be allowed to draw down their full life of Program allocation in any one year to enable them to undertake larger projects in an economically efficient way.

Where an LGA fails to draw down its full annual allocation in the last quarter of any financial year, the amount not drawn down may be reallocated to other LGAs at the discretion of the Department. Additional funding allocated to an LGA, in any one year, will only result in bringing forward later year funding, so total funding to any LGA will not exceed the life of Program allocation. The timing of the reallocation is at the discretion of the Department.

5.3 Goods and Services Tax (GST)

LGAs are eligible for an input tax credit for the GST paid. Consequently, expenditure reported by LGAs in their quarterly expenditure reports must exclude the GST component on goods and services and the payments made to LGAs will not include GST.

5.4 Expenditure of Program funds

Funds are generally provided to LGAs up to three months in advance, on the basis of the information provided in expenditure reports, i.e. (cumulative) expenditure to date and projected expenditure for the next three months for nominated projects.

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Funding recipients should spend the funds received within six months of receipt. LGAs holding R2R funds for longer than six months will be asked for an explanation, although it is recognised that delays can occur, e.g. in obtaining State Government planning permission, problems with contractors or equipment, early onset of the wet season, drought.

LGAs must ensure that the projected expenditure in their expenditure reports reflects the actual situation for each project. The funding formula will then accommodate any funds to be re-allocated to projects listed on the work schedule.

Funding recipients must spend all Roads to Recovery payments received by 31 December 2024 unless they have the agreement of the Department to do otherwise.

5.5 Interest

The funding conditions (clause 2.5) require LGAs with life of Program allocations of over $1.25m and which earn interest on payments in one financial year of the Program, to spend an amount equal to the interest earned on road works in the next financial year.

The interest earned is own sources funding for the purposes of the Program's expenditure maintenance requirements.

LGAs are not required to report the amount of interest earned but are required to be able to demonstrate compliance (e.g. to auditors visiting at the request of the Department) in any reasonable way. They may do this in several ways i.e., they may:

(i) calculate the exact amount of interest earned and show that their own sources of expenditure exceed this amount;

(ii) provide an estimate which can be based on the interest rates and the period for which the funds were held and again show that their own sources of expenditure exceed this amount; or

(iii) show that they spend more money from their own sources on road works than they receive from Roads to Recovery. In such cases, the interest on Roads to Recovery funds will be less than what is spent on the LGA's own sources roads program.

5.6 Payment schedules

The expenditure reporting component of IMS is only open during the periods detailed below and expenditure information for the previous quarter must be entered during that period. It is recommended that councils submit an expenditure report each quarter, even if not seeking funds, so as to account for funds previously provided and yet to be acquitted. This is supported by clause 4.5 which requests that councils keep their projects up to date at least quarterly.

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Provided an expenditure report has been submitted as required, payments will be made as soon as possible in the following month after the end of the lodgement period as follows.

Lodgement Period for expenditure reports	**Approximate date of corresponding payment**	**Context to be covered**
1-31 July	August	Actual expenditure to 30 June, projected expenditure to 30 September
1-31 October	November	Actual expenditure to 30 September, projected expenditure to 31 December
1 January - 15 February	March	Actual expenditure to 31 December, projected expenditure to 31 March
1-30 April	May	Actual expenditure to 31 March, projected expenditure to 30 June

5.7 Payment calculations

Subject to clause 6.2 of the funding conditions, payments will be calculated via the following formula (capped at the LGA's nominal annual allocation) which is stated in terms of the first payment after 1 July 2019:

Payment Due	=	cumulative expenditure by LGA on projects from 1 July 2019 until 30 September 2019	plus	projected expenditure for months of October, November, December 2019	minus	total payments to LGA under the Program

The first two items of this formula (cumulative expenditure and projected expenditure), are the totals for the columns 'cumulative expenditure to date' and 'forecast expenditure during next quarter' which can be seen at the bottom of your IMS expenditure report.

The figure reported under 'expenditure to date' is the cumulative expenditure since the inception of the Program, not just the amount spent during the last quarter. In the case of LGAs that have been created after the commencement of the Program due to amalgamations, this amount is the total expenditure to date since Roads to Recovery funds were first received.

Only the Roads to Recovery component of expenditure on jointly funded projects should be shown (also see section 3.2). All expenditure reported must exclude GST.

Many LGAs spend money on Roads to Recovery projects before they receive funding from the Australian Government for them. This can result in a situation where, at the end of a financial year, the LGA has a negative carry forward. There is no issue with a negative carry forward as this allows flexibility in managing the Program, however, in the final year of the Program LGAs

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cannot show negative carry forwards as this negative amount is LGA expenditure that cannot be reimbursed from the following Program.

The stated 'estimated cost' is not part of the payment calculation. Where projects are jointly funded, the estimated cost should be the amount to be funded under the program; the total estimated cost and the shares being provided by the other parties should be shown in the project description.

Please note that, where a calculated payment is less than $50, this will normally be held over and paid as part of the next payment.

6 ANNUAL REPORTING REQUIREMENTS

6.1 Annual Reports

An LGA is required to submit an Annual Report to the Department covering the previous financial year by no later than 31 October each year. Annual Reports are initially prepared on-line via IMS, and then a signed copy of the form must be emailed to the Roads to Recovery mailbox: Roads.toRecovery@infrastructure.gov.au. Reports that have not been audited will not be accepted.

The report covers:

Part 1 - the financial statement;

Part 2 - a statement of accountability;

Part 3 - a statement of expenditure maintenance; and

Part 4 - a statement of outcomes.

The financial statement (Part 1 of the annual report) must be signed by an external auditor.

Please note that the figures provided must be shown on an accrued basis. All expenditure reported must exclude GST.

The format required is set out in **Appendix A**.

7 EXPENDITURE MAINTENANCE REQUIREMENTS

7.1 Basic requirements

The Program's expenditure maintenance requirements are designed to ensure that LGAs do not substitute Roads to Recovery funds for their own funding. Roads to Recovery funding is intended to enable LGAs to undertake road work additional to what they could undertake using their own funds.

The requirement states that, for each financial year in which an LGA receives, spends or retains a Roads to Recovery payment, it must spend, on the construction and/or maintenance of roads, funds from its own source funds equal to or greater than the reference amount applicable to the LGA.

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As the name implies, 'own source funding' is funding from an LGA's own sources. It therefore excludes all State and Commonwealth funds, whether tied or untied. Project specific private sector contributions are also excluded.

When a council wishes to calculate its own source expenditure on roads, the word 'road' has the meaning that it is given in the Act and in the funding conditions and elsewhere in these Procedures.

7.2 Treatment of Financial Assistance Grants

Financial Assistance Grants are not own source funding under the definition above. The preferred approach is to trace the funds to the uses to which they have been put and report accordingly. However, where a LGA places its Financial Assistance Grants funds in a general account and cannot trace their use to specific projects, the following convention should be adopted:

- the general component of Financial Assistance Grants should be deemed to be used for non-roads purposes; and
- the roads component of Financial Assistance Grants should be deemed to have been used on roads.

7.3 Project specific private sector contributions

Developer contributions linked to specific projects is not own source funding. Similarly, where a LGA receives funding from landowners for work on roads serving their property, these contributions are not own source funding.

7.4 Interest on Roads to Recovery funds

The interest earned on Roads to Recovery payments is own sources funding for the purposes of the Program's expenditure maintenance requirements.

Note, while loan repayments including interest can be considered Own Source Expenditure, it is only as the money is being repaid, as that is when it is being expended.

7.5 Treatment of loans

Loan repayments (including interest) for eligible road projects, as defined at clause 3.1 and 3.2, can be considered as part of councils own source expenditure.

7.6 Part 3 of the Annual Report

Part 3, the Statement on Expenditure Maintenance by the CEO, must be completed in each year of the Program (see **Appendix A** Part 3). It enables LGAs to demonstrate that they have complied with the expenditure maintenance requirements.

The own source expenditure for the year on which the LGA is reporting is entered into Part 1 of the annual report and, when Part 1 is saved, the amount will be replicated at 1(a) of Part 3.

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The reference amount at point 1(b) is entered by IMS and is the reference amount applicable to the funding recipient on 30 June 2019.

If the amount at 1(a) exceeds the amount at 1(b), then the own sources expenditure in that year exceeds the reference amount and the LGA is complying and Part 3 is complete for that year.

If 1(b) is greater than 1(a), IMS will show the LGA's own sources expenditure from the previous financial year at 2(a) and will show the average of 1(a) and 2(a) at 2(b).

If 2(b) exceeds 1(b) i.e. if the average of the LGA's own sources expenditure in the report year and the previous year exceeds the reference amount, the LGA is complying and Part 3 is complete for that year.

If, however, 1(b) is greater than 2(b), IMS will show the LGA's own sources expenditure from two years prior to the report year at 3(a) and will show the average of 1(a), 2(a) and 3(a) at 3(b). Part 3 is now complete. If 3(b) exceeds 1(b), the LGA is complying. If not, it is non-complying.

7.7 Noncompliance with the expenditure maintenance conditions

If, in any particular financial year, an LGA does not satisfy the expenditure maintenance requirements as set out above, an explanation will be requested by the Department. If:

(a) the explanation is acceptable; and

(b) the LGA gives a commitment to make up the shortfall;

the requirement will either be waived for that financial year, or a replacement condition issued, and the LGA will be eligible to receive funding in the standard manner.

8 BUILDING AND CONSTRUCTION REQUIREMENTS

The *Code for the Tendering and Performance of Building Work 2016* (Building Code), as updated from time to time, is the standard of practice for building and construction work, setting out the responsibilities of all parties on construction projects funded by the Australian Government.

The Building Code applies to all construction projects indirectly funded by the Australian Government through grant or other programs where:

- the Australian Government funding contribution is at least $5 million and represents at least 50 per cent of the total construction value; or
- the Australian Government contribution to the project is $10 million or more irrespective of the proportion of Australian Government funding.

For further information on the Building Code, refer to: https://www.abcc.gov.au/building-code or contact the Building Code Hotline on 1800 003 338.

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The ***Work Health and Safety Accreditation Scheme*** administered by the Office of the Federal Safety Commissioner places requirements on recipients of Australian Government funding in regards to workplace health and safety standards. The *Building and Construction Industry (Improving Productivity) Act 2016* provides the legislative basis for the OFSC and its officers.

If a Roads to Recovery project crosses the threshold for indirectly funded building work (see http://www.fsc.gov.au/sites/fsc/needaccredited/accreditationscheme/pages/theaccreditationscheme) a commitment will be required from the LGA regarding the builder and/or civil contractor being accredited under the Scheme. This requirement will need to be considered when awarding contracts, and assurance will be sought before a payment may be made on a project that crosses the threshold.

9 ENVIRONMENTAL ISSUES

Projects must adhere to Australian Government environment and heritage legislation. For most projects, the relevant legislation will be the *Environment Protection and Biodiversity Conservation Act 1999* and its subsidiary regulations and agreements.

The Department recommends that, before starting an environmental study for a project, proponents contact the Australian Government Department of the Environment http://www.environment.gov.au/epbc/index.html. They can provide advice about Australian Government requirements and ensure that the Australian Government's legislative requirements are properly addressed by the study. This will reduce the likelihood of cost and time delays before construction can commence.

10 INFORMATION AND RECOGNITION

Formal statements, media releases, displays or publications (including brochures) and newspaper advertising of any work funded by the Program must acknowledge the Australian Government's contribution.

10.1 Media Releases and Plaques

If a funding recipient proposes to issue any media release or plaques relating to a funded project, the funding recipient must consult with and obtain approval of the proposed release from the Department.

LGAs should also provide the relevant local Federal Member of Parliament with the opportunity to participate in any media release relating to a funded project. LGAs should retain any evidence they have done so as they may be asked to provide this to the Department.

Media releases etc. should refer to the Australian Government / Australian Government funded not Federal Government / Federally funded or Commonwealth Government / Commonwealth funded.

10.2 Opening and Completion Ceremonies

LGAs must advise the Department of opening or completion ceremonies or any other event well in advance, at least two weeks before the event, and should organise joint ceremonies when

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requested. Local Federal Members and/or Senators should be invited to these ceremonies, plus others requested by the Minister. Details of the proposed arrangements, including invitations and order of proceedings, must be sent to the Department well before the event.

These details should include:

a) Event Title (including the name of the road);

b) Day, Date and Time of the event;

c) Total cost of the project (including if there is a funding split, the amounts and name of the contributor/s);

d) Description of the event including background of the project;

e) Current project status including start and completion dates; and

f) A map; e.g. Google map highlighting the location of the project.

If requested by the Minister's office, a Federal Member of Parliament, or the Department, a funding recipient must arrange for an Australian Government representative to attend any planned opening ceremony.

10.3 Signage

Signs, as specified in the latest Signage Guidelines (available from the Department website at http://investment.infrastructure.gov.au/publications/administration/) must be erected when physical work on a project begins, in plain view of passing motorists, and be maintained for a year after the project is finished:

(a) normally, one sign must be erected at the place where the funded project starts, and one sign must be erected at the place where the funded project ends;

(b) however, where the project is on a cul-de-sac or on a one-way road, only one sign is required. The sign must be erected at the entrance to the cul-de-sac and on one way roads, where the project begins;

(c) signs must be erected in a prominent but safe position facing oncoming traffic and be plainly visible to passing motorists; and

(d) except where the Australian Government contribution is less than 50%, signs must have greater prominence, in size and visibility, than other signs which relate to the project in the immediate vicinity of the project.

Signs may be reused for subsequent projects if the format is still current. Small funded projects (see section 4.6) need not have individual signs.

11 PROGRAM MONITORING AND EVALUATION

The Department and LGAs are accountable for results in terms of outcomes for the Program. The Department may undertake a program of random checks of LGA activities to ensure compliance with the funding conditions.

Types of checks that may be undertaken include but are not limited to:

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- ‘in person visits’ where Departmental officers or contractors visit the LGA to view projects and ensure that they match the scope as described in the work schedule; and
- ‘assurance assessments’ undertaken by auditing firms on behalf of the Department which will include the detailed examination of LGA program administration including accounting practices and reporting. LGAs must co-operate with these assessments.

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APPENDIX A – ANNUAL REPORTING

ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

NATIONAL LAND TRANSPORT ACT 2014, PART 8

PART 1 - CHIEF EXECUTIVE OFFICER'S FINANCIAL STATEMENT AND AUDITOR'S REPORT

Chief Executive Officer's financial statement
(see subclause 6.2(a) of the funding conditions)

The following financial statement is a true statement of the receipts and expenditure of the Roads to Recovery payments received by [Insert name of funding recipient] under Part 8 of the *National Land Transport Act 2014* in the financial year 20XX-XX.

[1]	[2]	[3]	[4]	[5]
Amount brought forward from previous financial year $	Amount received in report year $	Total amount available for expenditure in report year $	Amount expended in report year $	Amount carried forward to next financial year $
		[1]+[2]		[3]-[4]

The own source expenditure for (name of funding recipient) in 20XX-XX was: $.....

…….(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

…….(name of Chief Executive Officer/General Manager)

Auditor's report

(Conditions cl.6.2(b))

In my opinion:

(i) the financial statement above is based on proper accounts and records; and
(ii) the financial statement above is in agreement with proper accounts and records; and
(iii) the amount reported as expended during the year was used solely for expenditure on the maintenance or construction of roads.

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(iv) the amount certified by the Chief Executive Officer in the Chief Executive Officer's financial statement above as the funding recipient's own source expenditure on roads during the year is based on, and in agreement with, proper accounts and records.

I am an "appropriate auditor" as defined in section 4 of the *National Land Transport Act 2014*.

……(signature of auditor)

dd/mm/yyyy

……(name of auditor)

..……..(name of auditor's company)

Note: Under s.4 of the Act, "appropriate auditor" means:

(a) in relation to a funding recipient whose accounts are required by law to be audited by the Auditor-General of a State — the Auditor-General of the State; or
(b) in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of the Commonwealth — the Auditor-General of the Commonwealth; or
(c) in relation to any other funding recipient — a person (other than an officer or employee of the person or body) who is:
  (i) registered as a company auditor or a public accountant under a law in force in a State; or
  (ii) a member of the Institute of Chartered Accountants in Australia or of the Australian Society of Accountants.

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PART 2 - STATEMENT OF ACCOUNTABILITY BY CHIEF EXECUTIVE OFFICER

(see subclauses 6.3(a), (c) and (d) of the Funding Conditions)

I, ……[Insert name]……..., Chief Executive Officer or General Manager, of ……[name of funding recipient] ……, hereby certify, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014* (the Act), that:

☑ (a) Roads to Recovery funds received by [Insert name of funding recipient] during the year [Insert financial year] which have been spent, have been spent on the construction or maintenance of roads;

☑ (b) [Name of funding recipient] complied with the signage and other public information requirements as set out in Part 3 of the funding conditions; and

☑ (c) during the financial year [name of funding recipient] complied with other conditions of the grant as set out in clause 6.3(d) of the funding conditions.

……(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 3 – STATEMENT ON EXPENDITURE MAINTENANCE BY CHIEF EXECUTIVE OFFICER

(see subclause 6.3(b) of the funding conditions)

I, ……[insert name]…….., Chief Executive Officer/General Manager of [insert name of funding recipient], state that, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014*:

1(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year to which this report refers was $XX [insert amount].

1(b) the reference amount for [insert name of funding recipient] is $XX [insert amount].

The following information need only be provided if the expenditure shown in 1(a) is less than the reference amount as shown in 1(b) above:

2(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds for the year prior to the year to which this report refers was $XX [fill in amount].

2(b) the average of expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own source funds for the year to which this report refers and the previous year was $XX [fill in amount].

The following information need only be provided if the expenditure shown in 2(b) is less than the reference amount as shown in 1(b) above:

3(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year two years before the year to which this report refers was $XX [fill in amount].

3(b) the average of expenditure on the construction and maintenance of roads by [insert name of funding recipient] using its own source funds for the year to which this report refers and the previous two years was $XX [fill in amount].

Note 2: The definition of 'own source revenue' corresponds to the definition of 'own source funds' in clause 3.1(b).

……(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 4 – STATEMENT OF OUTCOMES BY CHIEF EXECUTIVE OFFICER

(see subclause 6.3(e) of the funding conditions)

…[insert name of funding recipient] … has achieved the following outcomes under the Roads to Recovery Program in [insert financial year]:

Key outcomes

Outcome	**Estimated % of Roads to Recovery Expenditure (all projects)**
1. Road safety	
2. Regional economic development	
3. Achievement of asset maintenance strategy	
4. Improved access for heavy vehicles	
5. Promotion of tourism	
6. Improvements of school bus routes	
7. Access to remote communities	
8. Access to intermodal facilities	
9. Traffic management	
10. Improved recreational opportunities	
11. Amenity of nearby residents	
12. Equity of access (remote areas)	
13. Other	
TOTAL	**100.0**

……(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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APPENDIX B – MAPPING REQUIREMENTS

Roads to Recovery funding is conditional on LGAs providing clear project descriptions and location information for each project specified in the works schedule, including mapped project location details for use in a Geographical Information System which is then publicly available and searchable see http://investment.infrastructure.gov.au/projects/.

- A map showing projects nominated for funding under Roads to Recovery is required when you enter your projects into your work schedule in IMS (other than small funded projects).
- A new map is required for each new project listed.
- Maps should be emailed to **mapping@infrastructure.gov.au** within a few days of the project being listed on the website. If satisfactory maps are not received within three days of the end of the quarterly reporting period, this will result in funding for the un-mapped projects being withheld.
- The preferred format for maps is either "pdf" or "jpeg" files. Please do not email maps embedded into Microsoft Word.
- Councils can produce these maps from a variety of sources including UBDs, Gregory's, Google Maps, Google Earth, WhereIs, Travellers Atlas' etc.
- Maps sent electronically must conform to the following:

  Email Subject: Council Name: e.g. Flinders Ranges Project ID: 031232-08VIC-RTR

  The attached file must be labelled with the project ID e.g. 031232-08VIC-RTR.pdf /jpg

  Council may choose to have one map with multiple projects. If this is the case the subject would read: Flinders Ranges Project ID: Multiple

  The body of the email MUST list each project ID e.g.

  031234-08VIC-RTR
  031651-08VIC-RTR

  In this instance the attached pdf or jpeg file should be labelled:

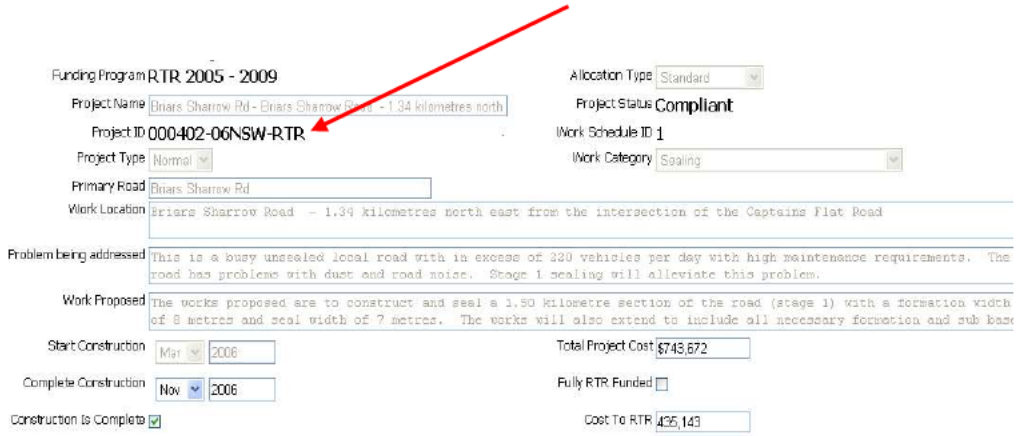
  Flinders_Ranges_Multiple.pdf (or jpg)

- Councils need to supply maps with enough detail for our mapping officers to identify the location of the road(s) for mapping on the Department's electronic mapping system.

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- Maps must be in accordance with the following.

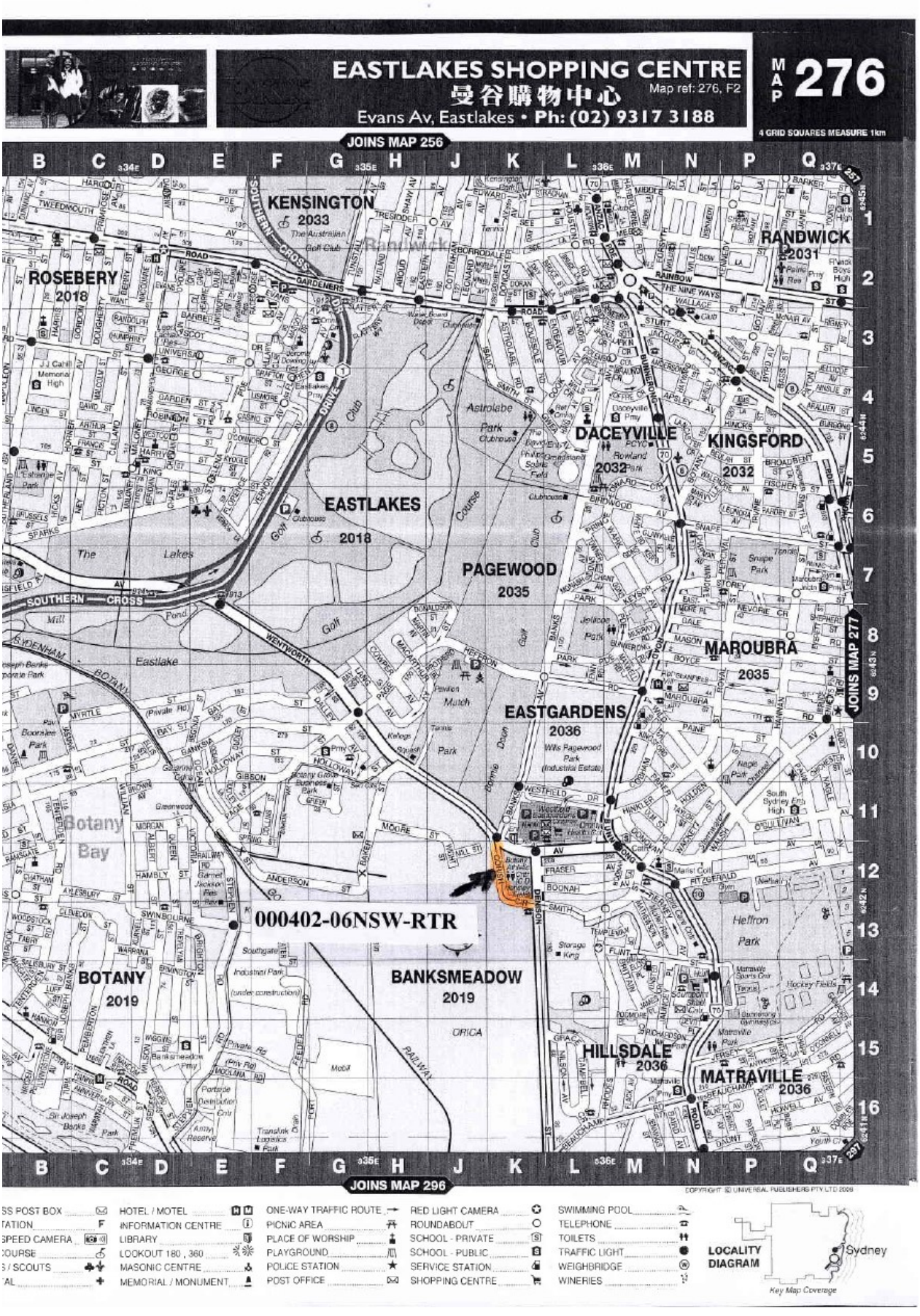
  - ✓ Must be no smaller than A4 but must be large enough to show the information clearly and meet the minimum requirements as demonstrated in the examples.
  - ✓ clearly show the council's name and the road being funded
  - ✓ the relevant project(s) should be highlighted
  - ✓ details such as surrounding suburbs, roads etc. so as to clearly identify the location of the road – this includes surrounding road names with enough road names (i.e. 3) to enable us to locate the project on our system
  - ✓ each project must be labelled with its unique Project ID exactly as it appears in the system (e.g. 000402-06NSW-RTR). This ID is created when you add and save a new project in your works schedule, you can only view this number when you view the full project details.



Examples of maps that are acceptable are shown on the following pages. Onus is placed on the council to provide us with maps similar to the two examples provided.

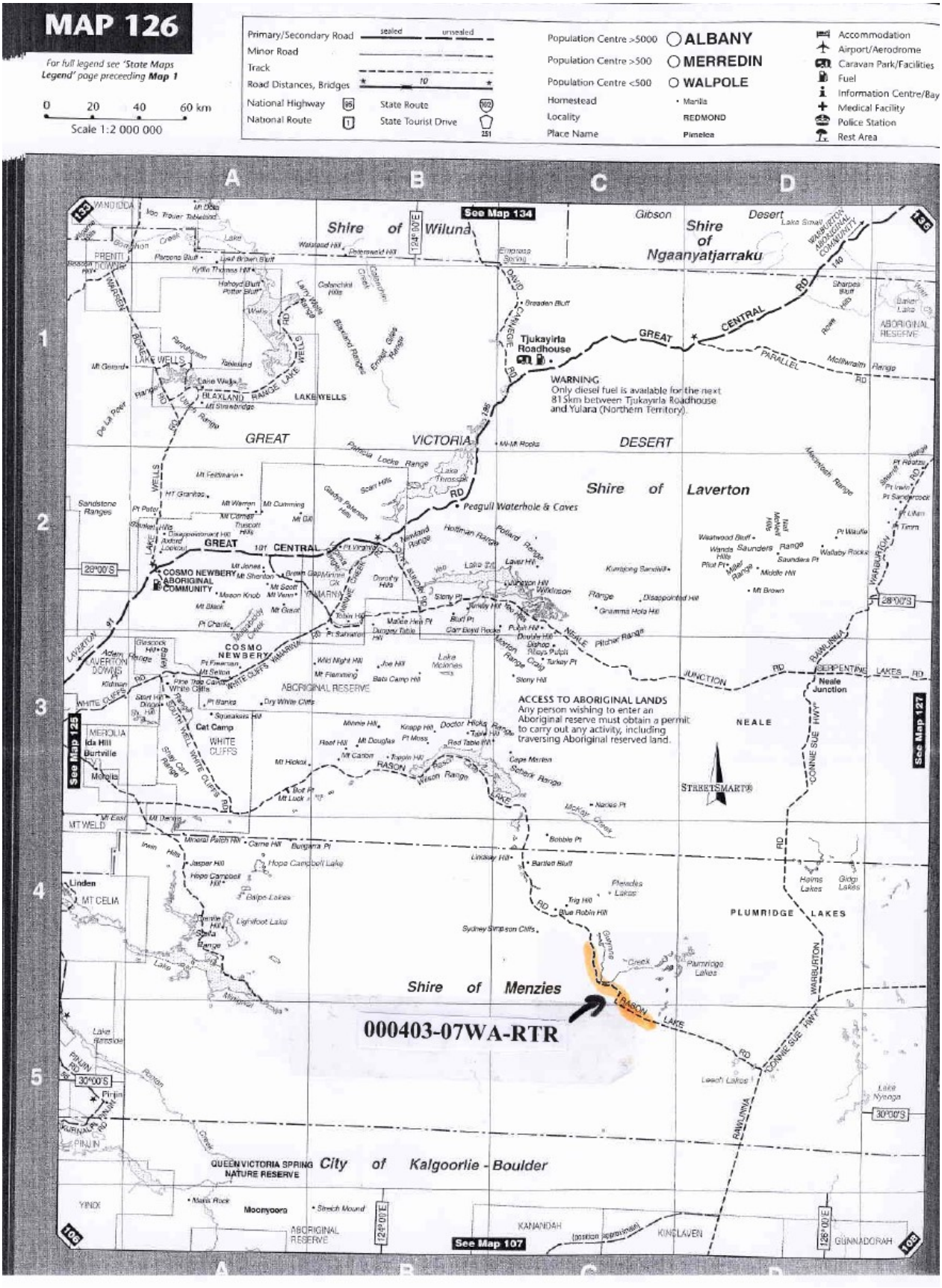
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Mapping Example 1



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Mapping Example 2



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APPENDIX C – REPORT TO MEMBERS OF PARLIAMENT

*Note that all information will auto-generate from the system except for the two highlighted columns. Simply press the 'Print report' button on the Expenditure Report screen, and edit the word document and add in the highlighted information.

Standard Expenditure Report for period to 30 Sep 2019 - Complete
Last Update: 31 Oct 2019 by XX
XX Council

Sched ID	Work Location	Federal Electorate	Cost to RTR	Total Project Cost	Complete	Start Works	Complete Works	Funding Type	Cum Exp to Date	Forecast Exp Next Period
1	Sample project 1	Lindsay	$X	$X	No	Nov 2020	Dec 2020		$X	$X
2	Sample project 2	McMahon	$X	$X	No	Dec 2020	Apr 2020	JF	$X	$X
3	Sample project 3	Lindsay	$X	$X	No	Oct 2020	May 2020	JF	$X	$X
4			$X						$X	$X
5			$X						$X	$X
6			$X						$X	$X
								Total All Projects:	**$X**	**$X**

Comment:

Approved Payment

Date: Amount Approved: $X

Reason:

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Australian Government

Department of Infrastructure, Transport, Regional Development, Communications and the Arts

NATIONAL TARGETED ROAD INFRASTRUCTURE PROGRAMS

Program Guidelines for the Roads to Recovery Program

For projects under

Part 8 of the National Land Transport Act 2014

Roads to Recovery Program

September 2022

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Communications, Sport and the Arts

DOCUMENT CONTROL

This document is maintained by the Roads to Recovery (RTR) Team in the National Targeted Road Infrastructure Programs (NTRIP).

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1. INTRODUCTION

1.1 Scope of procedures

These Procedures are designed to provide funding recipients with practical advice about the operation of the Roads to Recovery (RTR) Program. These include the requirements with which funding recipients must comply, in order to obtain their funding, as well as the obligations that they have toward the Australian Government for the funding provided.

1.2 Related documents

The legal basis for the Program is the *National Land Transport Act 2014* (the Act) and the funding conditions determined by the Minister under section 90(1) of that Act.

The funding conditions are available at:

http://investment.infrastructure.gov.au/funding/r2r/r2r funding conditions.aspx

In addition, please see:

Roads to Recovery circulars (see section 2.5 Roads to Recovery circulars)

IMS User's Manual (available on IMS)

Signage Guidelines (see section 10 Information and recognition) and available at:
https://investment.infrastructure.gov.au/about/resources/signage_guidelines.aspx

1.3 Commencement

These Guidelines apply to payments made after 1 July 2019.

The Procedures that applied to the Program which operated between July 2014 and June 2019 still apply to payments made in that period.

1.4 Definitions

Table 1: Definitions of terms used in the Guidelines

TERM	DEFINITION
NLT / (the) Act	*National Land Transport Act 2014*
conditions / funding conditions	the Roads to Recovery Funding Conditions 2019 determined by the Minister under section 90(1) of the NLT Act.
reference amount	the amount applicable to the funding recipient (as defined in the *Roads to Recovery Funding Conditions 2019*)
own source funds	funds available to funding recipients other than funds provided by the Commonwealth, a State or Territory government, or project specific private sector contributions (as defined in *the Roads to Recovery Funding Conditions 2019*)
Minister	The Australian Government Minister administering the Act
IMS	Infrastructure Management System – the secure website used to capture Council and project information and processing of payments.
RTR	Roads to Recovery

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Term	Definition
LGA	Local Government Authority

1.5 Administration and contact information

The Program is administered on behalf of the Australian Government by the Department of Infrastructure, Transport, Regional Development , Communications and the Arts (the Department).

The principal point of contact in the Department for Roads to Recovery matters is:

Email: *Roads.toRecovery@infrastructure.gov.au*

Correspondence should be addressed to:

Director, Roads to Recovery Program, Infrastructure Investment Division GPO Box 594, CANBERRA ACT 2601

2. Requirements for Roads to Recovery

2.1 Objective

The objective of Roads to Recovery is to contribute to the Australian Government Infrastructure Investment Program through supporting maintenance of the nation's local road infrastructure assets, which facilitates greater accessibility, and improves safety, economic and social outcomes for Australians. .

It does this by providing grant funding to funding recipients for the maintenance and/or construction of roads in order to help maintain the local road network, essential to Australia's social and economic infrastructure.

2.2 Eligibility to receive funding

The Roads to Recovery Program provides Australian Government grants in Australia and certain state/territory agencies, including:

a. the ACT and NT Governments;
b. funding recipients in receipt of the roads component of Australian Government Financial Assistance Grants;
c. state agencies responsible for roads in the unincorporated areas of NSW, Vic and SA; and
d. the Shires of Christmas and Cocos (Keeling) Islands, the Lord Howe Island Board and the Norfolk Island Regional Council.

Funding is not provided to non-government organisations under this Program.

2.3 Funding allocations

Funding recipients were advised of their Roads to Recovery 'life of Program funding allocations' by letter, from the Deputy Prime Minister and the Assistant Minister for Roads and Transport in April 2019. These allocations cannot be reduced during the life of the Program.

A funding recipient must spend all Roads to Recovery payments it receives by 31 December 2024.

*(See **clause 2.4** of the funding conditions.)*

A funding recipient may, for each project in its works schedule, submit a report, in the form specified by the Department, which specifies the amount of Roads to Recovery payments which the funding recipient intends to spend on the project in the first quarter of the life of program funding. E.g. submit a report by 31 July 2019, which specifies the amount of

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Roads to Recovery payments which the funding recipient intends to spend on the project in the quarter 1 July 2019 to 30 September 2019.

*(See **clause 5.7** of the funding conditions.)*

For more detailed information, please refer to the quick reference guide at **Appendix F – How to submit a report for the first quarter in the Roads to Recovery life of program funding allocations.**

A funding recipient that received a payment under Part 8 of the Act for the funding period starting on 1 July 2014 and ending on 30 June 2019 is not eligible to receive any Roads to Recovery payment after 31 October 2019 if the funding recipient has not given to the Department all of the annual reports that the funding recipient is required to give under the old conditions.

*(See **clause 10.1** of the funding conditions.)*

2.4 Reports and information required from funding recipients

Funding recipients must inform the Department of any planned LGA amalgamations, abolitions, boundary changes, or name changes to enable allocations for the new LGA(s) to be determined and arrangements made.

The Department requires information from funding recipients to manage the Program effectively, make payments, analyse outcomes, provide information to the public and satisfy accountability requirements.

Four types of information are required from funding recipients, to be provided and maintained via the secure website, IMS:

a. **contact details:** This information must be kept up to date as it is used by the Department to know who can discuss the Program finances etc. and to disseminate information;
b. **works schedule:** This is a listing of projects proposed for funding under the Program. Funding recipients enter this information as projects are identified and are required to keep it up to date;
c. **expenditure reports:** These are required of all funding recipients seeking funding at the next payment. There are four payments made each financial year. The quarterly (Q) reporting periods are, **1-31 July (Q1), 1-31 October (Q2), 1 January - 15 February (Q3) and 1- 30 April (Q4).** The reports contain project by project information on expenditure to date and forecast expenditure which is used to calculate payments; and
d. **annual reports:** A report audited by an independent auditor as required by the funding conditions. The report format for the Roads to Recovery Program is shown at **Appendix A – Annual Reporting**.

*(See **Part 5** and **Part 6** of the funding conditions)*

The address of the IMS Roads to Recovery portal is only available to funding recipients.

Funding recipient projects will also be posted on the Department's public website, via the searchable site at *http://investment.infrastructure.gov.au/projects/*.

The Department must also be informed of any changes to the bank account details in writing, preferably on LGA letterhead or email.

2.5 Roads to Recovery program circulars

Program circulars are issued by the Department at strategic times throughout each year with instructions and/or information regarding the administration of the program. They are emailed to funding recipient contact officers (listed as Managers in IMS contacts) and posted on the IMS secure website. IMS managers are expected to read all circulars and act on the instructions within. IMS managers are the only people who receive the circulars. Therefore, it is their responsibility to circulate information in each circular to everyone that needs it. This includes technical, financial and administrative personnel. Please ensure your IMS contact details are up to date, so program circulars are received and acted upon accordingly.

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2.6 Report to Federal Members of Parliament

Funding recipients are required to email a summary of their quarterly expenditure report to relevant local Federal Members of Parliament in any quarter they are seeking a payment, after the payment has been approved. A reminder will be sent to all councils receiving a payment, once the payment has been finalised. The report must provide a summary of projects commencing, in progress or completing within the following quarter in a Federal Electorate and the funds claimed against those projects, to the local Federal Member of Parliament. The funding recipient must copy the Department into this email and must send the **email within seven calendar days of the payment being made** to them.

(See clause 4.2b of the funding conditions)

To fulfil this obligation, funding recipients may use the system-generated **Expenditure Report** as a basis (note the total project cost and electorates will need to be added). Individual Federal electorates for each project must be identified. If an LGA crosses multiple electorates, funding recipients can produce one report and send the same report to all relevant Federal Members of Parliament, as long as individual project electorates are clearly identified. A sample report is at **Appendix C – Report to Members of Parliament**. For further information, please refer to the **QRG: How to complete and print a standard Expenditure report in IMS, to email to Members of Parliament.**

If a funding recipient is unsure which electorate a project is located in, they can search electorates by suburb on the Australian Electoral Commission website: *https://electorate.aec.gov.au/*

Funding recipients submitting a claim that does not result in a payment will not have to email a summary of their projects to relevant Federal Members of Parliament in that quarter.

Email addresses for Federal Members of Parliament are available in the documents section in IMS.

Funding recipients must copy the Department into this correspondence using the following email address: *Roads.toRecovery@infrastructure.gov.au*

Funding recipients that don't comply with the new requirements will be at risk of future payments being deferred until the breach has been remedied. Once remedied, the payment can then be processed in the next available quarterly payment cycle.

The Department will monitor councils and other funding recipients for compliance with the new requirements. Councils found to be in breach of the Funding Conditions will be contacted and asked to remedy the breach.

3. PROJECT CRITERIA

3.1 Eligibility of projects

Payments under the Program may be used on any project for the construction and/or maintenance of a road. As defined by the Act, the term 'roads', includes each of the following when in association with a road:

a. traffic signs and control equipment;
b. street lighting equipment;
c. vehicular ferries;
   - › is works relating to the repair or maintenance of the actual ferry but does not include services that are in place where the ferry is off-line.
d. bridges or tunnels, including pedestrian bridges (for the purpose of crossing from one side of the road to the other - not from one public area to another e.g. parks etc.;
e. bicycle paths;
   - A bicycle path 'associated with a road' is one that:
     - › is located within the road reservation; or

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- where removed from the road reservation, provides a route between points on the road that is shorter than or broadly similar in distance to the road route.

To list a bicycle path on your work schedule, with the exception of on-road delineated cycle paths, you must first contact a Roads to Recovery team member providing detailed evidence including plans and maps to confirm eligibility.

Footpaths are only eligible where they are part of a wider road project. A project to solely upgrade a footpath will not be considered.

Drainage projects are allowed where the purpose of the project is connected with the road, e.g. to stop flooding in wet weather or to stop pooling of water which affects the road's sub-structure. Projects will not always be in the road reserve. Where a project has several objectives, only one of which is the road, it can be partially funded. The project would need to be entered as a jointly funded road with an appropriate proportion listed against the road.

The purchase of land for compensatory habitat, where required by an environmental permit, is an allowable expense but should be listed against the project to which it relates and not shown as a separate item.

3.2 Excluded items

For further advice about whether an intended project can be funded by the Program, funding recipients should contact the RTR team at *Roads.toRecovery@infrastructure.gov.au*. Examples of items that cannot be funded under this Program include:

a. transport planning studies (except road planning studies relating to a specific project);
b. street scaping;
c. rehabilitation studies;
d. general administrative overheads and staff salaries not connected with specific projects funded under the Program;
e. road building plant or other capital equipment especially moveable equipment (e.g. graders). However, note that bores for water for road building in remote areas have been allowed in association with complying projects;
f. training;
g. footpaths which are not part of the construction or upgrade of the road itself;
h. off road car parks;
i. street furniture;
j. landscaping such as beatification of roundabouts, verges etc.
k. public liability insurance;
l. fringe benefits tax;
m. funding recipient normal operating expenses such as light, power, stationery, IT support, telephone, cleaning and all other expenses which the funding recipient would have incurred anyway, regardless of whether or not the Roads to Recovery Program was underway;
n. finance leases on equipment;
o. operating lease charges where the rental expense cannot be directly linked to the Roads to Recovery project, e.g. a grader may be hired for a period for a variety of tasks. Only the component that relates specifically to Roads to Recovery jobs can be charged against Roads to Recovery funds;
p. depreciation, except for depreciation of plant and equipment directly attributable to a Roads to Recovery funded project;
q. resealing of regional airport tarmacs; and
r. stand-alone design and preliminary works (refer to section 4.5(d)).

3.3 Labour costs

Labour costs for work done by funding recipient workforces must be derived from timesheets or via an equally acceptable method. Management time should be considered in light of the comments above i.e. a clear and definable

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model needs to be in place to apportion these costs. However, 'management costs' or 'labour' are not to be entered as a single item. They must be allocated to specific jobs.

3.4 Multiple funding sources

Funds under this Program may be used to fund a project in conjunction with funds from other sources, (e.g. Commonwealth/State Governments or the LGA itself). Where this occurs, the project must be shown as jointly funded in the work schedule. It is the responsibility of the funding recipient to ensure the other funding source requirements allow this.

NOTE: It is the funding recipient's responsibility to check if RTR funds can be used in conjunction with the main funding source. The RTR team is unable to comment on behalf of other programs.

Please check the Department's website at *https://investment.infrastructure.gov.au/* to locate contact details for the main funding source.

4. PROJECT SELECTION AND WORKS SCHEDULES

4.1 Project selection and standards

Funding recipients are entitled to select the projects to be funded within their jurisdiction according to their own priorities, with the exception as set out in section 4.2. Funding recipients are encouraged to focus on improving road safety outcomes when selecting projects, and to consider the likelihood they will reduce fatalities and serious injuries.

Funding recipients are responsible for all aspects of each project including the scope, design, the technical standards to which they are built, their construction and the subsequent management of the works involved.

Additionally, funding recipients are encouraged to maintain an appropriate balance between funding for urban and rural roads. Where funding is provided for funding recipients in remote areas, the needs of Indigenous communities should be considered.

Funding recipients are encouraged to lodge a small number of larger projects rather than a larger number of small projects (e.g. less than $10,000).

4.2 WA bridge and Aboriginal access roads

A component of the WA funding is for a program of bridges and Aboriginal access roads. The arrangements which apply specifically to these projects will be advised by letter to the funding recipients involved. In particular, where these projects are completed for less than the funds allocated, the Department's agreement is required before the surplus funds can be used for other projects.

4.3 Tendering arrangements

There is no requirement under the Program for works to be put to tender, although funding recipients will need to comply with any state or territory requirements on this matter.

4.4 Nomination by members of the public

Projects can only be nominated for funding by LGAs, as the funding recipient. Members of the public wanting a project funded under this Program should contact their relevant LGA.

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4.5 Works schedules

There are two types of projects, small funded projects and normal projects. The former are projects costing, or expected to cost, under $10,000. The latter are all other projects. This section deals with normal projects. See clause 5.3 of the funding conditions for small funded projects.

Projects to be funded under Roads to Recovery must be listed on the electronic work schedule in the secure website IMS. This list must be kept up to date.

Projects that have been completed must be left on the work schedule. Projects must not be overwritten or withdrawn once they have been completed.

The ID number at the left of the screen is generated by the project management system. The information required from funding recipients s is:

a. the location of the project in enough detail for a member of the public to locate it without the assistance of the funding recipients. Mapping data is also required. (For further information, please see **section 4.7: Mapping** in this document:);
b. a clear description of the problem being addressed for each proposed work allocation, to the satisfaction of the Department;
c. the work proposed to address the problem;
d. the start and completion dates of work (physical not financial). This may include design and preliminary works providing the whole project is being funded in whole, or part, by RTR and will go ahead. Expenditure associated with investigation and associated engineering studies (including design work) will only be eligible for reimbursement under the Program once the associated construction works have been completed. If the design and preliminary works were funded in a previous financial year and do not proceed, the funding recipients will have to have their annual reports re-audited.
e. whether the project is fully funded under Roads to Recovery (e.g. if part of the funding is to be provided by the LGA, the entry would be 'no');
f. the total project cost of the work, i.e. from all sources. This figure should be the most accurate figure available at any time. At the planning stage, it will be purely an estimate, but as the project progresses, its accuracy should be improved, so that at completion it is the actual cost of the project; and
g. cost to the Roads to Recovery Program. This figure equals the total cost for projects fully funded under Roads to Recovery but will be less than that figure for jointly funded projects.
h. project goal and achievement. This entry reflects the main expected outcome of the project (e.g. road safety or regional economic development) and whether or not the outcome was achieved on completion. If the outcome was not achieved, the funding recipient will be required to enter what the primary outcome was and why it changed.

*(See **sub clauses 5.2(h) and 5.2(i)** of the funding conditions.)*

Once projects are lodged, they are checked by the Department for Program eligibility to ensure that they involve the construction and/or maintenance of roads within the meaning of the Act, that the location and description of the project are adequate, and that the required maps have been submitted.

Project details are listed on the Department's public website and are publicly accessible. The project description must contain enough information to be informative. The 'problem being addressed' needs to describe the issue that made the project necessary, i.e. 'pavement in need of renewal' does not say what is wrong with the pavement, whereas 'pavement cracking and potholed' does. Similarly, the work proposed must say what the funding recipient is doing to fix the problem.

The work schedules must be updated at least quarterly, immediately prior to preparing each quarterly report, including the figures entered under 'Total project cost' and 'Cost to Roads to Recovery program'. These figures should reflect the estimate when the project begins but must be refined as the project progresses, so by completion the figures reflect actual outturn cost.

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*(See **clause 5.6** of the funding conditions.)*

The start and completion dates of projects must be realistic and updated as projects proceed. Where a project is listed well in advance of commencement, the dates provided must be realistic based on historical precedent on when they would normally be done. For example reseals are generally undertaken in the hotter months, but once the funding recipient seeks funding for the project, more precise commencement and completion dates must be shown.

Where a project has been listed for funding and it is decided not to proceed with the project or to fund it from another source, either:

a. the project must be withdrawn, using the facility in the work schedule or expenditure report; or
b. the actual expenditure figure in the expenditure report must be reduced to zero.

The project will continue to be listed; funding recipients cannot remove projects once they have listed them. Funding recipients are entitled to change the projects listed at their own discretion up to the point where a project has been fully constructed, the funding allocated for it fully spent and the project is marked as 'completed' in an expenditure report. Once this occurs, the project is 'locked in' and the funds used for it cannot be transferred to other projects.

For more information please refer to the quick reference guide in **Appendix D – How to submit a works schedule in IMS.**

4.6 Small funded projects

As advised at **section 4.1 Project selection and standards**, funding recipients are encouraged to lodge larger projects rather than a number of small projects (e.g. less than $10,000). However, it is understood that on occasion this may not be practical.

Several projects of the same type (i.e. same work schedule category) and each costing less than $10,000, e.g. general maintenance and resheeting, can be grouped together to appear as one project on the website. Where this is done, the information required is:

a. a general description of the projects;
b. the location of each project, (e.g. Bay St) with the estimated cost in the grid behind it;
c. the total Roads to Recovery cost for the projects in the estimated cost field;
d. the estimated start date of the first of the projects to begin and the scheduled completion date of the last of the projects to be completed in the date fields; and
e. group project goal and achievement. This entry reflects the main expected outcome for the group project (e.g. road safety or regional economic development) and whether or not the outcome was achieved on completion. If the outcome was not achieved, the funding recipient will be required to enter what the primary outcome was and why it changed.

*(See **sub clauses 5.3(e) and 5.3(f)** of the funding conditions.)*

For more information please refer to the quick reference guide in **Appendix E – How to submit a small group project works schedule in IMS.**

4.7 Mapping

The Program requires maps for all projects $10,000 and above. Information required on maps will include data for use in a Geographical Information System in a form specified by the Department. For more detailed information please refer to **Appendix B - How to meet RTR Mapping requirements for use in the Department's Geographic Information System**.

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5. PAYMENT AND ACQUITTAL ARRANGEMENTS

5.1 Total funding available

Each funding recipientis guaranteed its full life of Program allocation by 30 June 2024, subject to compliance with the funding conditions. Payments to a funding recipient over the life of the Program will not exceed the life of Program allocation in any circumstances.

5.2 Annual allocations

The funding recipient's nominal annual allocation is one fifth of its life of Program allocation. This is the amount that funding recipients are guaranteed each year, subject to compliance with the normal administrative requirements (i.e. provision of annual reports). The full nominal annual allocation will be available to the funding recipient from the first payment (August) of each year, based on submission of the relevant reports.

The Department aims to match the funding requested by each funding recipient but, as the total funding available in any one financial year is limited to the Parliamentary appropriation, funding is determined on an annual basis. Smaller funding recipients will have priority to access available funds. Those with life of Program allocations of up to $500,000 will be allowed to draw down their full life of Program allocation in any one year to enable them to undertake larger projects in an economically efficient way.

Where a funding recipient fails to draw down its full annual allocation in the last quarter of any financial year, the amount not drawn down may be reallocated to other funding recipients at the discretion of the Department. In these cases the balance of the Funding Recipients' annual allocation automatically moves to the final year of the Program.

Additional funding allocated to a funding recipient, in any one year, will only result in bringing forward later year funding, so total funding to any funding recipient will not exceed the life of Program allocation. The timing of the reallocation is at the discretion of the Department.

5.3 Goods and Services Tax (GST)

Funding recipients are eligible for an input tax credit for the GST paid. Consequently, expenditure reported by funding recipients in their quarterly expenditure reports must exclude the GST component on goods and services and the payments made to funding recipients will not include GST.

5.4 Expenditure of Program funds

Funds are generally provided to funding recipients up to three months in advance, on the basis of the information provided in expenditure reports, i.e. (cumulative) expenditure to date and projected expenditure for the next three months for nominated projects.

Funding recipients should spend the funds received within six months of receipt. Funding recipients holding RTR funds for longer than six months will be asked for an explanation, although it is recognised that delays can occur, e.g. in obtaining State Government planning permission, problems with contractors or equipment, early onset of the wet season, drought.

Funding recipients must ensure that the projected expenditure in their expenditure reports reflects the actual situation for each project. The funding formula will then accommodate any funds to be re-allocated to projects listed on the work schedule.

Funding recipients must spend all Roads to Recovery payments received by 31 December 2024.

(See clause 2.4 of the funding conditions.)

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*If a funding recipient distributes Roads to Recovery payments it receives to LGAs, they must ensure the LGAs are subject to the same reporting and accountability obligations for those payments, as the funding recipient is subject to under **clause 5.8** and **Part 6** of the funding conditions. For example,* s47G(1)(a), s47G(1)(b) *See clause 2.6 of the funding conditions.)*

5.5 Interest

The funding conditions (clause 2.5) require funding recipients with life of Program allocations of over $1.25m and which earn interest on payments in one financial year of the Program, to spend an amount equal to the interest earned on road works in the next financial year.

The interest earned is own sources funding for the purposes of the Program's expenditure maintenance requirements.

Funding recipients are not required to report the amount of interest earned but are required to be able to demonstrate compliance (e.g. to auditors visiting at the request of the Department) in any reasonable way. They may do this in several ways i.e., they may:

i. calculate the exact amount of interest earned and show that their own sources of expenditure exceed this amount;
ii. provide an estimate which can be based on the interest rates and the period for which the funds were held and again show that their own sources of expenditure exceed this amount; or
iii. show that they spend more money from their own sources on road works than they receive from Roads to Recovery. In such cases, the interest on Roads to Recovery funds will be less than what is spent on the funding recipient's own sources roads program.

5.6 Payment schedules

The expenditure reporting component of IMS is only open during the periods detailed below and expenditure information for the previous quarter must be entered during that period. It is recommended that councils submit an expenditure report each quarter, even if not seeking funds, so as to account for funds previously provided and yet to be acquitted. This is supported by section 4.5 which requests that councils keep their projects up to date at least quarterly.

Provided an expenditure report has been submitted as required, payments will be made as soon as possible in the following month after the end of the lodgement period as follows.

Lodgement Period for expenditure reports	Approximate date of corresponding payment	Context to be covered
1-31 July	August	Actual expenditure to 30 June, projected expenditure to 30 September
1-31 October	November	Actual expenditure to 30 September, projected expenditure to 31 December
1 January - 15 February	March	Actual expenditure to 31 December, projected expenditure to 31 March
1-30 April	May	Actual expenditure to 31 March, projected expenditure to 30 June

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5.7 Payment calculations

Subject to clause 6.2 of the funding conditions, payments will be calculated via the following formula (capped at the funding recipient's nominal annual allocation) which is stated in terms of the first payment after 1 July 2019: For more information, please refer to **Appendix F - How to submit a report for the first quarter in the Roads to Recovery life of program funding allocation** and **Appendix G – How to submit a quarterly report**

Payment due	=	cumulative expenditure by funding recipient on projects from 1 July 2019 until end of most recent quarter	plus	projected expenditure for months of upcoming quarter	minus	total payments to funding recipient under the Program

The first two items of this formula (cumulative expenditure and projected expenditure), are the totals for the columns 'cumulative expenditure to date' and 'forecast expenditure during next quarter' which can be seen at the bottom of your IMS expenditure report.

The figure reported under 'expenditure to date' is the cumulative expenditure since the inception of the Program, not just the amount spent during the last quarter. In the case of LGAs that have been created after the commencement of the Program due to amalgamations, this amount is the total expenditure to date since Roads to Recovery funds were first received.

Only the Roads to Recovery component of expenditure on jointly funded projects should be shown (also see section 3.2). All expenditure reported must exclude GST.

Many funding recipients spend money on Roads to Recovery projects before they receive funding from the Australian Government for them. This can result in a situation where, at the end of a financial year, the funding recipient has a negative carry forward. There is no issue with a negative carry forward as this allows flexibility in managing the Program, however, in the final year of the Program, funding recipients cannot show negative carry forwards as this negative amount is funding recipient expenditure that cannot be reimbursed from the following Program.

The stated 'estimated cost' is not part of the payment calculation. Where projects are jointly funded, the estimated cost should be the amount to be funded under the program; the total estimated cost and the shares being provided by the other parties should be shown in the project description.

NOTE: Where a calculated payment is less than $50, this amount will normally be held over and paid as part of the next quarterly payment.

6. ANNUAL REPORTING REQUIREMENTS

6.1 Annual reports

A funding recipient is required to submit an Annual Report to the Department covering the previous financial year by no later than 31 October each year. Annual Reports are initially prepared on-line via IMS, and then a signed copy of the form must be emailed to the Roads to Recovery mailbox: *Roads.toRecovery@infrastructure.gov.au.* Reports that have not been audited will not be accepted. For more detailed information on accountability and reporting requirements, please refer to Part 4a of the *Roads to Recovery Funding Conditions 2019*.

The annual report covers:

- Part 1 - Chief Executive Officer's financial statement and auditor's report;
- Part 2 - Statement of accountability by Chief Executive Officer;
- Part 3 - Statement on expenditure maintenance by Chief Executive Officer;

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- Part 4 - Statement of outcomes by Chief Executive Officer;
- Part 4a - Exemption statement by Chief Executive Officer (if required)
- Part 5 - Reference amount

The financial statement (Part 1 of the annual report) must be signed by an external auditor.

Please note that the figures provided must be shown on an accrued basis. All expenditure reported must exclude GST.

The format required is set out in **Appendix A – Annual Reporting**.

NOTE: Only complete **Appendix A – Part 4a** of the report if the funding recipient was exempt from a condition during the financial year.

*(See **clause 6.5** of the funding conditions.)*

6.2 Non-compliance

The RTR team maintains a register of non-compliance to identify and respond to instances of non-compliance.

Funding recipients in breach of the funding conditions will be contacted in the first instance and given the opportunity to rectify any unintentional breaches of the funding condition.

If the Secretary or a delegate notifies a funding recipient in writing that they have failed to comply with the NLT Act or to fulfil any of the funding conditions, the funding recipient must pay the Commonwealth an amount equal to the payment specified in the notice.

*(See clauses **8.1, 8.2 and 8.3** of the funding conditions.)*

7. EXPENDITURE MAINTENANCE REQUIREMENTS

7.1 Basic requirements

The Program's expenditure maintenance requirements are designed to ensure that funding recipients do not substitute Roads to Recovery funds for their own funding. Roads to Recovery funding is intended to enable funding recipients to undertake road work, additional to what they could undertake using their own funds.

The requirement states that, for each financial year in which a funding recipient receives, spends or retains a Roads to Recovery payment, it must spend, on the construction and/or maintenance of roads, funds from its own source funds equal to or greater than the reference amount applicable to the funding recipient.

As the name implies, 'own source funding' is funding from a funding recipient's own sources. It therefore excludes all State and Commonwealth funds, whether tied or untied. Project specific private sector contributions are also excluded.

When a funding recipients wishes to calculate its own source expenditure on roads, the word 'road' has the meaning that it is given in the Act and in the funding conditions and elsewhere in these Procedures.

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7.2 Treatment of Financial Assistance Grants

Financial Assistance Grants are not own source funding under the definition above.

The preferred approach is to trace the funds to the uses to which they have been put and report accordingly. However, where a funding recipient places its Financial Assistance Grants funds in a general account and cannot trace their use to specific projects, the following convention should be adopted:

- the general component of Financial Assistance Grants should be deemed to be used for non-roads purposes; and
- the roads component of Financial Assistance Grants should be deemed to have been used on roads.

7.3 Project specific private sector contributions

Developer contributions linked to specific projects is not own source funding. Similarly, where a funding recipient receives funding from landowners for work on roads serving their property, these contributions are not own source funding.

7.4 Interest on Roads to Recovery funds

The interest earned on Roads to Recovery payments is own sources funding for the purposes of the Program's expenditure maintenance requirements.

NOTE: While loan repayments including interest can be considered Own Source Expenditure, it is only as the money is being repaid, as that is when it is being expended.

7.5 Treatment of loans

Loan repayments (including interest) for eligible road projects, as defined at clause 3.1 and 3.2, can be considered as part of councils own source expenditure.

7.6 Part 3 of the annual report

Part 3, the Statement on Expenditure Maintenance by the CEO, must be completed in each year of the Program (see **Appendix A - Part 3**). It enables funding recipients to demonstrate that they have complied with the expenditure maintenance requirements.

The own source expenditure for the year on which the funding recipient is reporting is entered into Part 1 of the annual report and, when Part 1 is saved, the amount will be replicated at 1(a) of Part 3.

The reference amount at point 1(b) is entered by IMS and is the reference amount applicable to the funding recipient on 30 June 2019.

If the amount at 1(a) exceeds the amount at 1(b), then the own sources expenditure in that year exceeds the reference amount and the funding recipients is complying and Part 3 is complete for that year.

If 1(b) is greater than 1(a), IMS will show the funding recipient's own sources expenditure from the previous financial year at 2(a) and will show the average of 1(a) and 2(a) at 2(b).

If 2(b) exceeds 1(b) i.e. if the average of the funding recipient's own sources expenditure in the report year and the previous year exceeds the reference amount, the funding recipient is complying and Part 3 is complete for that year.

If, however, 1(b) is greater than 2(b), IMS will show the funding recipient's own sources expenditure from two years prior to the report year at 3(a) and will show the average of 1(a), 2(a) and 3(a) at 3(b). Part 3 is now complete. If 3(b) exceeds 1(b), the funding recipient is complying. If not, it is non-complying.

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7.7 Non-compliance with the expenditure maintenance conditions

If, in any particular financial year, a funding recipient does not satisfy the expenditure maintenance requirements as set out above, an explanation will be requested by the Department.

If:

a. the explanation is acceptable; and

b. the funding recipient gives a commitment to make up the shortfall;

the requirement will either be waived for that financial year, or a replacement condition issued and the funding recipients will be eligible to receive funding in the standard manner.

Appendix A – Annual Reporting - Part 6 of the annual report is to be completed if the funding recipient was exempt from a condition during the financial year.

(See clause 6.5 of the funding conditions)

8. BUILDING AND CONSTRUCTION REQUIREMENTS

The Code for the Tendering and Performance of Building Work 2016 (Building Code), is the standard of practice for building and construction work, setting out the responsibilities of all parties on construction projects funded by the Australian Government.

The Building Code applies to all construction projects indirectly funded by the Australian Government through grant or other programs where:

a. the Australian Government funding contribution is at least $5 million and represents at least 50 per cent of the total construction value; or

b. the Australian Government contribution to the project is $10 million or more irrespective of the proportion of Australian Government funding.

For further information on the Building Code, refer to: *https://www.abcc.gov.au/building-code* or contact the Building Code Hotline on 1800 003 338.

The *Work Health and Safety Accreditation Scheme* (the Scheme) administered by the Office of the Federal Safety Commissioner, places requirements on recipients of Australian Government funding in regards to workplace health and safety standards. The *Building and Construction Industry (Improving Productivity) Act 2016* provides the legislative basis for the OFSC and its officers.

If a Roads to Recovery project crosses the threshold for indirectly funded building work (see *https://www.fsc.gov.au/*) a commitment will be required from the funding recipient regarding the builder and/or civil contractor being accredited under the Scheme. This requirement will need to be considered when awarding contracts, and assurance will be sought before a payment may be made on a project that crosses the threshold.

9. ENVIRONMENTAL ISSUES

Projects must adhere to Australian Government environment and heritage legislation. For most projects, the relevant legislation will be the *Environment Protection and Biodiversity Conservation Act 1999* and its subsidiary regulations and agreements.

The Department recommends that, before starting an environmental study for a project, proponents contact the Australian Government Department of the Environment *http://www.environment.gov.au/epbc/index.html*. They can provide advice about Australian Government requirements and ensure that the Australian Government's legislative requirements are properly addressed by the study. This will reduce the likelihood of cost and time delays before construction can commence.

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10. INFORMATION AND RECOGNITION

Formal statements, media releases, displays or publications (including brochures) and newspaper advertising of any work funded by the Program must acknowledge the Australian Government's contribution.

10.1 Media releases and plaques

If a funding recipient proposes to issue any media release or plaques relating to a funded project, the funding recipient must consult with and obtain approval of the proposed release from the Department.

Funding recipients must also provide the relevant local Federal Member of Parliament with the opportunity to participate in any media release and/or media event relating to a funded project. Funding recipients must also retain any evidence they have done so, as they may be asked to provide this to the Department.

(See clause 4.2a of the funding conditions.)

Media releases etc. should refer to the Australian Government / Australian Government funded not Federal Government / federally funded or Commonwealth Government / Commonwealth funded.

10.2 Works opening or completion ceremonies and other events

Funding recipients must advise the Department and the relevant local Federal Member of Parliament of the proposed opening or completion ceremonies, or any other event, well in advance, at least two weeks, before the event. Funding recipients must organise joint ceremonies when requested.

*(See **clause 4.6** of the funding conditions.)*

Local Federal Members and/or Senators must be invited to these ceremonies, plus others requested by the Minister. Details of the proposed arrangements, including invitations and order of proceedings, must be sent to the Department and the relevant local Federal Member of Parliament at least two weeks before the event.

*(See **clause 4.7 of** the funding conditions.)*

These details should include:

a. Event Title (including the name of the road)
b. Day, Date and Time of the event
c. Total cost of the project (including if there is a funding split, the amounts and name of the contributor/s)
d. Description of the event, including background of the project
e. Current project status, including start and completion dates
f. A map. E.g. a Google map highlighting the location of the project

If requested by the Minister's office, a Federal Member of Parliament, or the Department, a funding recipient must arrange for an Australian Government representative to attend any planned opening ceremony.

10.3 Signage

Signs, as specified in the latest *Signage Guidelines* must be erected when physical work on a project begins, in plain view of passing motorists, and be maintained for a minimum period of one year, commencing on the day on which the project is completed.

*(See **clause 4.5** of the funding conditions.)*

Signage must be erected as follows:

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a. one sign must be erected at the place where the funded project starts and one sign must be erected at the place where the funded project ends; however where the project is on a cul-de-sac or on a one-way road, only one sign is required. The sign must be erected at the entrance to the cul-de-sac and on one way roads, where the project begins;

b. signs must be erected in a prominent but safe position facing oncoming traffic and be plainly visible to passing motorists; and

c. except where the Australian Government contribution is less than 50%, signs must have greater prominence, in size and visibility, than other signs which relate to the project in the immediate vicinity of the project.

Signs may be reused for subsequent projects if the format is still current. Small funded projects (see section 4.6 of this document) need not have individual signs.

11. PROGRAM MONITORING AND EVALUATION

The Department and funding recipients are accountable for results in terms of outcomes for the Program. The Department may undertake a program of random checks of funding recipient activities to ensure compliance with the funding conditions.

Types of checks that may be undertaken include but are not limited to:

- 'in person visits' where Departmental officers or contractors visit the funding recipient to view projects and ensure that they match the scope as described in the work schedule; and
- 'assurance assessments' undertaken by auditing firms on behalf of the Department which will include the detailed examination of funding recipient program administration including accounting practices and reporting. Funding recipients must co-operate with these assessments.

11.1 Funding recipients placed under Administration

(See clause 2.6 of the Funding conditions)

In circumstances where a funding recipient is placed under Administration, the access manager must notify the RTR team via email at: *Roads.toRecovery@infrastructure.gov.au.*

If a funding recipient distributes RTR payments which it receives to LGAs for expenditure by those authorities, the funding recipient must ensure that the authorities are subject to the same obligations in respect to those payments as those to which the funding recipient is subject under **clause 5.8** and **Part 6** of the funding conditions.

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Appendix A – ANNUAL REPORTING

***ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA* NATIONAL**

LAND TRANSPORT ACT 2014, PART 8

PART 1 - CHIEF EXECUTIVE OFFICER'S FINANCIAL STATEMENT AND AUDITOR'S REPORT

Chief Executive Officer's financial statement
(see sub clause 6.2(a) of the funding conditions)

The following financial statement is a true statement of the receipts and expenditure of the Roads to Recovery payments received by [Insert name of funding recipient] under Part 8 of the National Land Transport Act 2014 in the financial year 20XX-XX.

[1]	[2]	[3]	[4]	[5]
Amount brought forward from previous financial year $	Amount received in report year $	Total amount available for expenditure in report year $	Amount expended in report year $	Amount carried forward to next financial year $
		[1]+[2]		[3]-[4]

The own source expenditure for (name of funding recipient) in 20XX-XX was: $

..... (signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

..... (name of Chief Executive Officer/General Manager)

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Auditor's report

(Conditions cl.6.2(b))

In my opinion:

(i) the financial statement above is based on proper accounts and records; and

(ii) the financial statement above is in agreement with proper accounts and records; and

(iii) the amount reported as expended during the year was used solely for expenditure on the maintenance or construction of roads.

(iv) the amount certified by the Chief Executive Officer in the Chief Executive Officer's financial statement above as the funding recipient's own source expenditure on roads during the year is based on, and in agreement with, proper accounts and records.

I am an "appropriate auditor" as defined in section 4 of the *National Land Transport Act 2014*.

..... (signature of auditor)

dd/mm/yyyy

.....(name of auditor)

..... (name of auditor's company)

Note: Under s.4 of the Act, "appropriate auditor" means:

(a) in relation to a funding recipient whose accounts are required by law to be audited by the Auditor-General of a State — the Auditor-General of the State; or

(b) in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of the Commonwealth — the Auditor-General of the Commonwealth; or

(c) in relation to any other funding recipient — a person (other than an officer or employee of the person or body) who is:

(i) registered as a company auditor or a public accountant under a law in force in a State; or

(ii) a member of the Institute of Chartered Accountants in Australia or of the Australian Society of Accountants

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 2 - STATEMENT OF ACCOUNTABILITY BY CHIEF EXECUTIVE OFFICER

(see sub clauses 6.3(a), (c) and (d) of the Funding Conditions.)

NOTE: If the funding recipient was exempt from a condition referred to in clause 6.3 during the financial year, complete **Appendix A - Roads to Recovery Program Annual Report Proforma - Part 6,** to meet annual reporting requirements in clauses 6.4 and 6.5 of the funding conditions.

I, ...[Insert name]....., Chief Executive Officer or General Manager, of ..... [name of funding recipient] ..... , hereby certify, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014* (the Act), that:

(a) Roads to Recovery funds received by [Insert name of funding recipient] during the year [Insert financial year] which have been spent, have been spent on the construction or maintenance of roads;

(b) [Name of funding recipient] complied with the signage and other public information requirements as set out in Part 3 of the funding conditions; and

(c) during the financial year [name of funding recipient] complied with other conditions of the grant as set out in clause 6.3(d) of the funding conditions.

.....(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA
PART 3 – STATEMENT ON EXPENDITURE MAINTENANCE BY CHIEF EXECUTIVE OFFICER

(see sub clause 6.3(b) of the funding conditions)

NOTE: If the funding recipient was exempt from a condition referred to in clause 6.3 during the financial year, complete **Appendix A - Roads to Recovery Program Annual Report Proforma - Part 5,** to meet annual reporting requirements in clauses 6.4 and 6.5 of the funding conditions.

I, ... [insert name]....., Chief Executive Officer/General Manager of [insert name of funding recipient], state that, in accordance with the funding conditions determined under section 90 of the *National Land Transport Act 2014*:

1(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year to which this report refers was $XX [insert amount].

1(b) The reference amount for [insert name of funding recipient] is $XX [insert amount].

The following information need only be provided if the expenditure shown in 1(a) is less than the reference amount as shown in 1(b) above:

2(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds for the year prior to the year to which this report refers was $XX [fill in amount].

2(b) the average of expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own source funds for the year to which this report refers and the previous year was $XX [fill in amount].

The following information need only be provided if the expenditure shown in 2(b) is less than the reference amount as shown in 1(b) above:

3(a) expenditure on the construction or maintenance of roads by [insert name of funding recipient] using its own sources funds in the year two years before the year to which this report refers was $XX [fill in amount].

3(b) the average of expenditure on the construction and maintenance of roads by [insert name of funding recipient] using its own source funds for the year to which this report refers and the previous two years was $XX [fill in amount].

.....(signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 4 – STATEMENT OF OUTCOMES BY CHIEF EXECUTIVE OFFICER

(see sub clause 6.3(e) of the funding conditions)

[Insert name of funding recipient] has achieved the following outcomes under the Roads to Recovery Program in [insert financial year]:

Key outcomes

Outcome	**Estimated % of Roads to Recovery Expenditure (all projects)**
1. Road safety	
2. Regional economic development	
3. Achievement of asset maintenance strategy	
4. Improved access for heavy vehicles	
5. Promotion of tourism	
6. Improvements of school bus routes	
7. Access to remote communities	
8. Access to intermodal facilities	
9. Traffic management	
10. Improved recreational opportunities	
11. Amenity of nearby residents	
12. Equity of access (remote areas)	
13. Other	
TOTAL	**100.0**

..... (signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 5 – REFERENCE AMOUNT

(see sub clause 6.3(f) of the funding conditions)

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ROADS TO RECOVERY PROGRAM ANNUAL REPORT PROFORMA

PART 3b –STATEMENT OF OUTCOMES ON EXEMPTION FROM FUNDING CONDITIONS BY CHIEF EXECUTIVE OFFICER

***NOTE:** Only complete **Part 6** of this report **if** the funding recipient was exempt from a reporting condition in clause 6.3 of the funding conditions during the financial year.*

I, [insert name], Chief Executive Officer/General Manager of [insert name of funding recipient, in accordance with clause 6.5 of the funding conditions determined under section 90 of the *National Land Transport Act 2014* (the Act), state that:

(a) [Insert name of funding recipient] during the year [Insert financial year] was exempt from the following condition/s referred to in clause 6.3 of the funding conditions below:

Select **Exempt** or **Not Exempt** for each reporting condition as required:

a. the funding recipient has fulfilled its obligation under Part 3 for the financial year (the own source roads expenditure obligation); **Exempt** ☐ **Not Exempt** ☐

b. the funding recipient has fulfilled its obligations under Part 4 during the financial year (the public information conditions); **Exempt** ☐ **Not Exempt** ☐

c. the funding recipient has otherwise fulfilled the conditions in this Determination during the financial year; **Exempt** ☐ **Not Exempt** ☐

(b) [Name of funding recipient] was required to fulfill the following replacement condition/s during the year [Insert financial year]:

List replacement conditions for exemptions as required:

(c) [Name of funding recipient] fulfilled the required replacement condition/s during the year [Insert financial year] as indicated below.

Fulfilled ☐ **Not Fulfilled** ☐

..... (signature of Chief Executive Officer/General Manager)

dd/mm/yyyy

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Appendix B – How to meet RTR mapping requirements for use in the Department's Geographic Information System

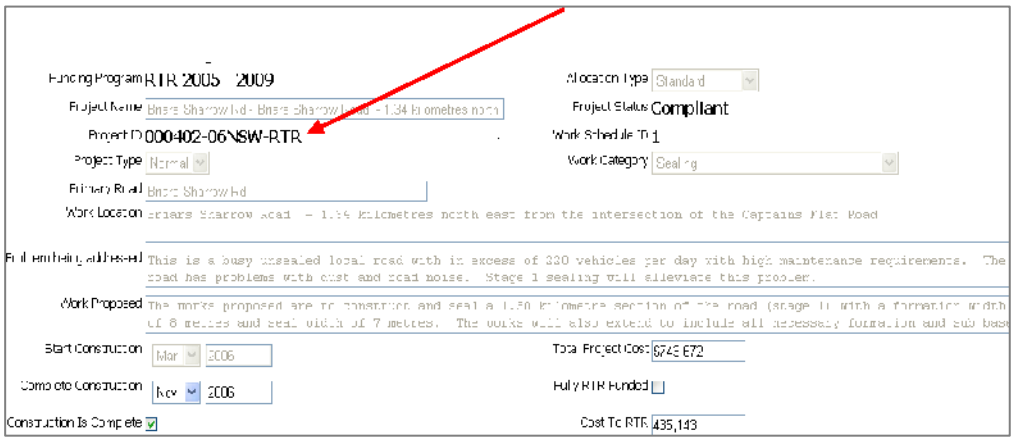
Roads to Recovery funding is conditional on funding recipients providing clear project descriptions and location information for each project specified in the works schedule, including mapped project location details for use in a Geographical Information System which is then publicly available and searchable see http://investment.infrastructure.gov.au/projects/.

- A map showing projects nominated for funding under Roads to Recovery is required when you enter your projects into your work schedule in IMS (other than small funded projects).
- A new map is required for each new project listed.
- Maps should be emailed to **mapping@infrastructure.gov.au** within a few days of the project being listed on the website. If satisfactory maps are not received within three days of the end of the quarterly reporting period, this will result in funding for the un-mapped projects being withheld.
- The preferred format for maps is either "pdf" or "jpeg" files. Please do not email maps embedded into Microsoft Word.
- Councils can produce these maps from a variety of sources including UBDs, Gregory's, Google Maps, Google Earth, WhereIs, Travellers Atlas' etc.
- Maps sent electronically must conform to the following:
  - Email Subject: Council Name: e.g. Flinders Ranges Project ID: 031232-08VIC-RTR
  - The attached file must be labelled with the project ID e.g. 031232-08VIC-RTR.pdf /jpg
  - Council may choose to have one map with multiple projects. If this is the case the subject would read: Flinders Ranges Project ID: Multiple
  - The body of the email MUST list each project ID e.g.
    - 031234-08VIC-RTR
    - 031651-08VIC-RTR
  - In this instance the attached pdf or jpeg file should be labelled: Flinders_Ranges_Multiple.pdf (or jpg)
- Councils need to supply maps with enough detail for our mapping officers to identify the location of the road(s) for mapping on the Department's electronic mapping system.

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- Maps must be in accordance with the following.
  - V' Must be no smaller than A4 but must be large enough to show the information clearly and meet the minimum requirements as demonstrated in the examples.
  - V' clearly show the council's name and the road being funded V' the relevant project(s) should be highlighted
  - V' details such as surrounding suburbs, roads etc. so as to clearly identify the location of the road – this includes surrounding road names with enough road names (i.e. 3) to enable us to locate the project on our system
  - V' each project must be labelled with its unique Project ID exactly as it appears in the system (e.g. 000402-06NSW-RTR). This ID is created when you add and save a new project in your works schedule, you can only view this number when you view the full project details.



Examples of maps that are acceptable are shown on the following pages. Onus is placed on the council to provide us with maps similar to the two examples provided.

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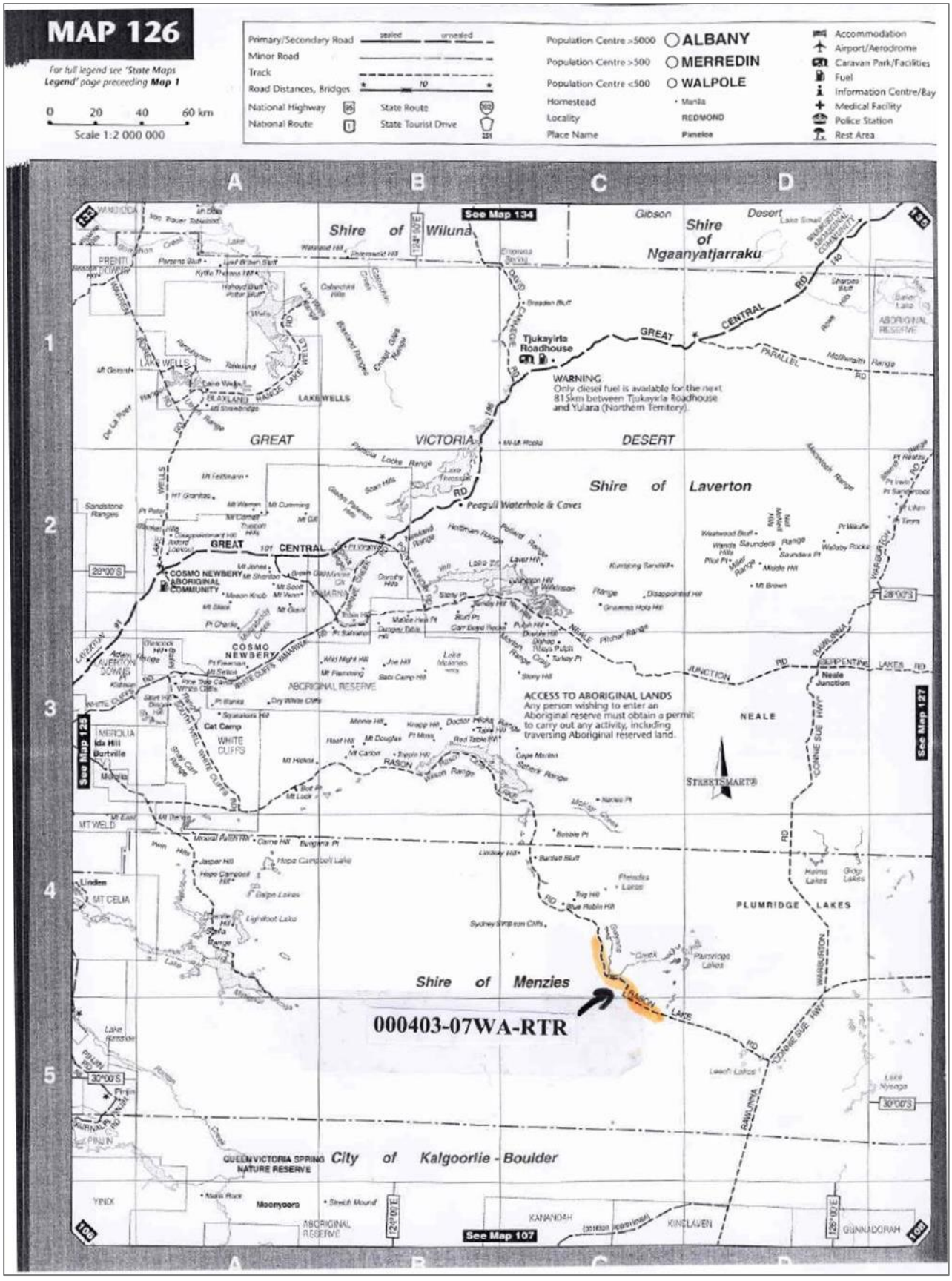
MAPPING EXAMPLE 1



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MAPPING EXAMPLE 2



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Appendix C – Report to Members of Parliament

*Note that all information will auto-generate from the system except for the two highlighted columns. Simply press the 'Print report' button on the Expenditure Report screen, and edit the word document and add in the highlighted information.

Standard Expenditure Report for period to 30 Sep 2019 - Complete

Last Update: 31 Oct 2019 by XX

XX Council

Sched ID	Work Location	Federal Electorate	Cost to RTR	Total Project Cost	Complete	Start Works	Complete Works	Funding Type	Cml Exp to Date	Forecast Exp Next Period
1	Sample project 1	Lindsay	$X	$X	No	Nov 2020	Dec 2020		$X	$X
2	Sample project 2	McMahon	$X	$X	No	Dec 2020	Apr 2020	JF	$X	$X
3	Sample project 3	Lindsay	$X	$X	No	Oct 2020	May 2020	JF	$X	$X
4			$X						$X	$X
5			$X						$X	$X
6			$X						$X	$X
								Total All Projects:	**$X**	**$X**

Comment:

Approved Payment

Date: Amount Approved: $X

Reason:

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Appendix D – How to submit a work schedule in IMS

Checklist and examples to ensure new Projects are entered correctly

Field	What is Required	Example
Allocation Type	Default is standard	Self-explanatory
Project Type	Normal, Small or for some WA projects only Special	Self-explanatory
Work Category	Select the most appropriate category from drop down	Self-explanatory
Primary Road	Enter the primary road for the project. This is the road on which the works will be taking place. This must include the name of the town / suburb or the words including the brackets (rural road).	If in a town/suburb: Market Street, Cobar; or If a rural road: Friday Road (Rural Road)
Work Location	Enter the work location for the project. This is where on road the works are located and must have enough detail about the project to enable someone to find it. Please ensure no abbreviations eg SLK must be in full as Straight Line Kilometres in the first instance then (SLK), CH must say chainage. Also ensure measurement type is included eg m or km Roads must be measured from an intersecting road, not boundaries or rail crossings etc Note: Please do not include the primary road name in this field (it should only be shown in the Primary Road field)	Between Cobar Road to Shelley Street; or Between Straight Line Kilometre 6.2 to 10.2 measured from Killing Field Road; or Between chainage 6.3km to 12.8km measured from Mary Road; or From the intersection of Farmers Road for a distance of 4.6km in a westerly direction towards Chanel Street; or Work is located at multiple locations measured from Coal Road at 10.2km - 12.4km, 14.2km - 16.8km
Problem being addressed	Enter a description for the problem being addressed. This description should describe in simple language, easily understood by the average citizen, with no technical jargon or abbreviations, telling us what is wrong with the road in question.	Gravel road wearing due to increase of traffic and heavy vehicles. Courses dust problems in the dry and slippery, boggy when wet especially near the intersection of the Sturt Highway. Road is too narrow to cater for heavy vehicles resulting in vehicular conflicts. Unsealed street which generates dust problems for local residents, road corrugates and stormwater runoff enters adjacent properties
Work proposed	Enter a description for the work being proposed to fix the problem. This description should describe the proposed work in simple language, with no technical jargon or abbreviations.	It is proposed to Widen and seal from 10m width, reconstruct embankment to restore the formation. Drainage upgrades will be undertaken where required. The road base will be replaced and resealed. Lighting upgrades will also be undertaken.

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Field	What is required	Example
Start Construction	Date "Construction" commences (Month and Year only) NB Please ensure that the dates are for construction start	Self-explanatory
End Construction	Date "Construction" is completed (Month and Year only) NB This date is for when the actual construction phase has been completed irrespective of outstanding invoices.	Self-explanatory
Construction is Complete	If a project is completed you need to tick the box	Self-explanatory
Total Project Cost	Enter the total cost of the project. This amount includes the combined amount of RTR and funding from any other source eg council contributions (if applicable).	Self-explanatory
Fully RTR Funded	Is the project fully RTR funded?	If the project is solely funded by RTR select the tick in the drop down. If Council, or another funding stream is also used, you must leave the box un-ticked.
Cost To RTR	What is the estimated Cost to RTR	Self-explanatory
Project Goal	Select most appropriate from drop down	Self-explanatory

If you select Roads Safety as the main project goal the following will following will appear:

Road Safety Reason	Select most appropriate from drop down	Self-explanatory
	If you select "Other" from the drop down you will be asked to provide details of what Safety Aspect you are addressing?	

The following will appear when the project is flagged as completed:

Have you completed a post project evaluation to gauge effectiveness of the treatment?	Yes or No	Self-explanatory
	If **YES** please provide a summary of the safety evaluation; If **NO** please provide comments on what aspect of the road safety has been achieved.	NOTE: This information will be used to populate your RTR annual reports from 2019-20 onwards

The following will appear when the project is flagged as completed:

Is Project Goal Achieved	Yes or No	Self-explanatory
	If no, what was primary outcome and why did outcome change?	Self-explanatory

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Australian Government
Department of Infrastructure, Transport,
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ROADS TO RECOVERY / TARGETED INFRASTRUCTURE PROGRAMS / ROAD AND VECHILE SAFETY DIVISION

SOP – Guide to assessing a project

Introduction

The Infrastructure Management System (IMS) is used by both funding recipients and the department. Funding recipients submit projects at their leisure when roads need to be constructed or maintained and the RTR program can fund all or part of the works.

Project Assessment

When assessing a project for RTR funding in IMS, it must be compliant with the following fields:

Field	Information Required	Example
Allocation Type	'Standard' is default	-
Project Type	• Normal (>$10,000, requires a Map) • Small (<$10,000) • Special (Some WA Projects)	-
Work Category	Funding recipients select the most appropriate category from the drop down list.	Noting RTR does not fund foot paths alone, the funding recipient must not have selected this as the work category.
Primary Road	The road on which the works will be taking place. This must include the name of the town/suburb or '(rural road)'.	If in a town/suburb: Market Street, Cobar If a rural road: Friday Road (Rural Road).

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Field	Information Required	Example
Work Location	Description of where on the road work will be taking place. Ensure no abbreviations are used and all terminology is in full. Ensure measurement type is included (km or m). Road must be measured from an intersecting road, not boundaries, properties, light posts etc. Primary road should not be included in this field.	• Between Cobar Road to Shelley Street; or • Between Straight Line Kilometre 6.2 to 10.2 measure from Killing Field Road; or • Between chainage 6.3km to 12.8km measure from Mary Road; or • From intersection of Farmers Road for a distance of 4.6km in a westerly direction towards Chanel Street; or • Work is located at multiple locations measured from Coal Road at 10.2km – 12.4km - 14.2km – 16.8km
Problem being addressed	Description of the problem the work will address. This description should be in simple language, easily understandable with no technical jargon or abbreviation, telling us what is wrong with the road in question.	• Gravel Road wearing due to increase of traffic and heavy vehicles. Causes dust problems in the dry and slippery, boggy when wet. • Road is too narrow to cater for heavy vehicles resulting in vehicular conflicts. • Unsealed street which generates dust problems for local residents, road corrugates and storm water runoff enters adjacent properties.
Work Proposed	Description of work being proposed to fix the problem. This description should describe the proposed work in simple language, with no technical jargon or abbreviations. Note – where a project is not fully funded by RTR, funding recipients are encouraged to add the other funding source in the Work proposed field.	• It is proposed to widen and seal from 10m width, reconstruct embankment to restore the formation. • Drainage upgrades will be undertaken where required. The road base will be replaced and resealed. Lighting upgrades will also be undertaken.
Start Construction	Date "Construction" commences (Month and Year only). Ensure that the dates are for construction start. Note – this date must be within the program funding period.	March 2024

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Field	Information Required	Example
End Construction	Date "Construction" is completed (Month and Year only). This is the date for when the actual construction phase has been completed irrespective of outstanding invoices. Note – this date must be within the program funding period.	June 2024
Construction is complete	If a project is completed, the box needs to be ticked.	-
Total Project Cost	Total cost of the project. Amount includes the cost to RTR and funding from any other source such as funding recipient contribution (if applicable).	
Fully RTR Funded	Is the project fully RTR funded?	If Project is solely funded by R2R tick the box. If funding recipient, or another funding stream is used for the project, you must leave the box un-ticked. Refer to Work Proposed above for further guidance.
Cost To RTR	Estimated Cost to R2R	When considering any individual project, for the first time or as an amendment, you need to look at the whole work schedule and consider whether the **Cost to RTR** for each financial year would exceed the nominal annual allocation. Refer below for further information.
Project Goal	Appropriate drop down selected by funding recipient.	
Map (not in IMS)	Maps are required to be submitted for Projects over $10,000. Maps are to be emailed to mapping@infrastructure.gov.au Map requirements include: - A4 - Funding recipient Name - Project ID - Road being worked on - 3 Surrounding roads (if not able to provide this, geographical coordinates)	

If funding recipient selects Roads Safety as the main project goal the following will appear:

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Field	Information required
Road Safety reason	Select most appropriate from drop down. If you select "other" from the drop down you will be asked to provide details of what Safety Aspect you are addressing.

The following will appear when the project is flagged as completed

Field	Information required	Example
Have you completed a post project evaluation to gauge effectiveness of the treatment?	If YES provide a summary of the safety evaluation; If NO provide comments on what aspect of the road safety has been achieved.	Note: this information will be used to populate R2R Annual Reports in IMS.
Is the Project Goal Achieved	If no, what was the primary outcome and why did outcome change?	

If a work schedule exceeds the nominal annual allocation

1. Contact the funding recipient and see if projects can be delayed or additional funding sources can be introduced to bring the schedule back under the nominal annual allocation limit.
2. If not, they may wish to request an accelerated payment. The process for this is set out in the Accelerated Payment Request SOP.

To assess a project marked as complete (greyed out)

1. Untick Construction is Complete
2. Save
3. Make changes/assess project and retick construction is complete
4. Save

Things to look out for

- Avoid Jargon
- Measurements – acronym is fine for well-known shorthand, space between numerals and word/acronym
    - Lowercase by default unless beginning of sentence
- Pothole one word, bog hole is two
- Other funding source where not fully funded by RTR
- Grammar – full stops at end of sentence/paragraphs, avoid double spaces
- Cul-de-sac has hyphens

Standard words for IMS feedback

- Primary Road – Include town/suburb or '(Rural Road)'
- Work Location – Please include point/intersection from which chainage 0.0 is measured from. Or rephrase to "From XX Street to YY Street"

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- Work Proposed – Please include information about the other source of funding for the project.
- Map – Submit map for project to Mapping@infrastructure.gov.au. Refer to the Roads to Recovery 2024-29 Operating Procedures (https://investment.infrastructure.gov.au/about/local-initiatives/roads-recovery-program) for guidance around what is required on the map.

Version	Release date	Approver	Reason for update
1.3	9 October 2024	s22(1)(a)(ii)	Include consideration of nominal annual allocation
1.2	19 July 2024	s22(1)(a)(ii)	Inclusion of Standard words for IMS feedback
1.1	8 July 2024	s22(1)(a)(ii)	Inclusion of key things to look for
1.0	June 2024	s22(1)(a)(ii)	Update of SOP

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Australian Government
Department of Infrastructure, Transport,
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Roads to Recovery 2024-29

Operating Procedures

Introduction

The Roads to Recovery Program (the Program) makes funding available to local governments across Australia (and representative authorities for unincorporated areas), known as funding recipients, to support the construction and maintenance of local road infrastructure and eligible connected assets. As an allocation-based program, funding recipients can draw on the funding according to local priorities and are not required to bid against other funding recipients for funds.

The objective of the Program is to contribute to the Australian Government Infrastructure Investment Program through supporting the maintenance of the nation's local road infrastructure assets, which facilitates greater accessibility and improved safety, economic and social outcomes for Australians.

The Program is administered under Part 8 of the *National Land Transport Act 2014* (the Act) according to the:

- National Land Transport (Roads to Recovery List) Determination 2024
- National Land Transport (Roads to Recovery Conditions) Determination 2024

From 1 July 2024, the Australian Government will provide $4.4 billion in funding over the funding period (2024-29).

The Program is delivered through the Infrastructure Management System (IMS).

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Version Control

Version	Description of change	Date
2.0	Additional advice around project details and submission timeframes, claiming funds for projects delivered over financial years, and signage requirements.	February 2025
1.0	Original version of Procedures for Roads to Recovery 2024-29 funding period	July 2024

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1 About the Operating Procedures

This document provides funding recipients with procedural advice about the operation of the Roads to Recovery Program for the 1 July 2024 to 30 June 2029 funding period, including the requirements that must be complied with in order to obtain funding, and obligations toward the Australian Government for the provided funding.

1.1 Administrative arrangements

The Program is administered by the Department of Infrastructure, Transport, Regional Development, Communications and the Arts (the Department) including:

Roads to Recovery team

The Roads to Recovery team manages the policy and day-to-day operation of the Program, and can be contacted at Roads.toRecovery@infrastructure.gov.au.

Periodically, the Roads to Recovery team will communicate with funding recipients via a circular. Circulars contain important information about the operation of the Program, respond to common queries and in some instances may clarify the advice in these Procedures. Funding recipients can view historical circulars via the Circulars menu in IMS.

Circulars are sent to all individuals listed as a contact for a funding recipient in IMS. Staff wanting, or no longer wishing, to receive circulars are encouraged to follow the steps described below at IMS Help team.

IMS Help team

The IMS Help team provides IT system support and assists with granting system access to relevant funding recipient staff. Funding recipients requiring a change to their system access (to gain, change or remove access) must follow the below steps:

- Liaise with their organisation's Access Manager to have their access created/updated/removed
    - Staff are encouraged to ensure their contact details are correct and kept up to date to ensure communication such as circulars are received.
- Where a funding recipient does not have an Access Manager, contact the IMS Help team with the request and CEO approval (email is sufficient) for the change.
    - Where wanting to gain/update access, funding recipients must supply the job title, salutation, first name, last name, email and phone number of the individual needing their access granted/updated.

The IMS Help team can be contacted at IMSHelp@infrastructure.gov.au.

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Mapping

Funding recipients receiving $10,000 or more for a project must submit a map to the Mapping team for approval. For further information about map requirements refer to Maps.

The Mapping team can be contacted at Mapping@infrastructure.gov.au.

Signage

Funding recipients receiving $10,000 or more for a project must meet the Department's signage requirements. Further information can be found at Signage Guidelines. Funding recipients are encouraged to refer to this website regularly to ensure awareness of any changes.

The Signage team can be contacted at Events@infrastructure.gov.au.

Media/Events

Funding recipients wishing to publish a media announcement about Roads to Recovery projects or conduct an event must seek prior departmental approval. Funding recipients wishing to publish an announcement in respect of a Roads to Recovery project must provide a copy of the proposed publication to the Department at least 5 business days prior to its proposed release. Funding recipients wishing to hold an event in respect of a Roads to Recovery project must notify the Department at least 4 weeks prior to the proposed date.

For further information about media and events, refer to Publicity.

The Media and Events team can be contacted at Events@infrastructure.gov.au.

Funding recipients

The Program provides funding to 551 funding recipients covering all of Australia. Funding recipients must inform the Roads to Recovery team of any planned amalgamations, abolitions, boundary changes, or name changes to enable appropriate distribution of funding.

The Roads to Recovery team must also be informed of any changes to the funding recipient's administration in writing and well in advance of a scheduled payment to ensure funds are delivered to the correct account. These may include changes to:

- Australian Business Numbers (ABNs)
- bank account details, and/or
- email addresses to receive remittance advice.

2 The Infrastructure Management System (IMS)

The Program is delivered through the Infrastructure Management System (IMS). Funding recipients use IMS to create and manage projects for Roads to Recovery funding, request payments and demonstrate compliance with the Funding Conditions.

IMS will alert funding recipients to tasks requiring their action.

Tasks include reminders to:

- Confirm construction on a project is complete.

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- Review the cost of a project that has been marked as complete – IMS is asking the funding recipient to confirm the cost to Roads to Recovery of the project is correct in the Work Schedule and this task acts a reminder to ensure funding recipients claim the balance of requested funds at the next Expenditure Reporting period.
- Complete and submit an Expenditure Report to claim Roads to Recovery funds.
- Complete and submit an Annual Report.

Note – the Roads to Recovery Program will transition to the new Reporting and Program Management System (RPM) during the 2024-29 funding period. To inform the transition the Department will consult and communicate with funding recipients. Further advice will be provided about the timing of the transition which is not expected to occur until the 2025-26 financial year.

3 Project eligibility for funding

Funding recipients may use Roads to Recovery funds for projects relating to the construction and/or maintenance of a road (including, though not limited to, asphalt, gravel and dirt roads). As defined by the Act, the term 'road' includes each of the following when in association with a road:

- traffic signs
- traffic control equipment
- street lighting equipment
- a bridge or tunnel, including a bridge or tunnel for the use of pedestrians
    - for the purpose of crossing from one side of the road to the other – not from one public area to another, e.g. parks
- a path for the use of pedestrians or persons riding bicycles
    - including where the path is located within the road reservation
    - where removed from the road reservation, the path must provide a route between points on the road that is shorter than or broadly similar in distance to the road route
- a facility off the road used by heavy vehicles in connection with travel on the road (e.g. a rest area or weigh station)
- a vehicular ferry associated with a road
    - that is, works relating to the repair or maintenance of the ferry, but does not include covering the costs of replacement services that are put in place where the ferry is offline.

Where seeking to use Roads to Recovery funds for the construction or maintenance of a bicycle path not within the road reservation, funding recipients must first contact the Roads to Recovery team with detailed evidence including plans and maps to confirm project eligibility.

Footpaths are only eligible for funding where they are part of a broader road project that is connected to the footpath. A project to solely construct or maintain a footpath cannot be considered as it is inconsistent with the Act.

Drainage projects can utilise Roads to Recovery funding where the purpose of the project is connected with the road, e.g. to stop flooding or pooling of water which affects the road's structure. Where a project has several objectives, only one of which is the road, it can be partially funded by

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Roads to Recovery. Projects of this nature will need to be entered into the system as a jointly funded project with an appropriate proportion listed against the road. Funding recipients must first contact the Roads to Recovery team to confirm the eligibility of the project.

The purchase of land for compensatory habitat, where required by an environmental permit, is an allowable expense but should be listed against the project to which it relates and not shown as a separate project.

As stated in the Funding Conditions, projects must commence construction on or after 1 July 2024, and must have a completion date of June 2029 or earlier recorded in the system.

Roads to Recovery projects may be entered with construction dates that indicate the delivery of a project over multiple financial years. Funding recipients must only request funds as and when they are required through Expenditure Reports.

Excluded items

Examples of items that cannot be funded by Roads to Recovery include:

- transport planning studies (except road planning studies relating to a specific project)
- streetscaping
- rehabilitation studies
- general administrative overheads and staff salaries not connected with specific projects funded under the Program
- road building plant or other capital equipment, especially moveable equipment (e.g. graders). However, note that bores for water for road building in remote areas have been allowed in association with compliant projects
- training
- footpaths which are not part of the construction or upgrade of the road itself
- off road car parks
- street furniture
- landscaping such as beautification of roundabouts, verges etc
- public liability insurance
- fringe benefits tax
- normal operating expenses such as light, power, stationery, IT support, telephone, cleaning and all other expenses which the funding recipient would have incurred anyway, regardless of whether or not the project was underway
- finance leases on equipment
- operating lease charges where the rental expense cannot be directly linked to the Roads to Recovery project, e.g. a grader may be hired for a period for a variety of tasks. Only the component that relates specifically to Roads to Recovery project can be charged against Roads to Recovery funds
- depreciation, except for depreciation of plant and equipment directly attributable to a Roads to Recovery funded project
- resealing of regional airport tarmacs
- stand-alone design and preliminary works.

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Labour costs

Labour costs for work done by funding recipient workforces should be derived from timesheets or via an equally acceptable method. Management time should be considered in light of the comments above i.e. a clear and definable model needs to be in place to apportion these costs. However, 'management costs' or 'labour' should not be entered as a single item. They should be allocated to specific jobs.

Design costs

Roads to Recovery projects can include design costs as part of the project. However, funding recipients may only claim these costs when the project is completed.

Jointly funded projects

Projects may be jointly funded by the Program and with funding from other sources (e.g. other Federal/State Government programs, the funding recipient's own funds, private sources). Where this occurs, the project must be recorded as jointly funded in IMS. It is the responsibility of the funding recipient to ensure the eligibility requirements pertaining to the other funding source allow the project to be jointly funded.

Projects that involve 2 or more streets

Projects that extend over more than one street, but where the work on the second street is limited to a small discrete area (for example an intersection), may be presented in IMS as a single project. If a project extends onto a second street beyond a small discrete area, the project must be spilt and submitted as two projects in IMS.

Where a project is not fully-funded by Roads to Recovery, funding recipients should include the source and amount of joint funding for each source for that project in the Work Proposed field of the Project in the Work Schedule.

4 Work Schedules

4.1 Project selection

Funding recipients are entitled to select the projects to be funded within their jurisdiction according to local priorities and in accordance with the Project eligibility for funding chapter of these Procedures. Funding recipients are responsible for all aspects of a project including the scope, design, technical standards to which projects are built, construction and subsequent management of the works involved.

There is no requirement under the Program for works to be put to tender, though funding recipients will need to comply with any state or territory procurement requirements.

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Note – special arrangements are in place for a program of bridges and Aboriginal access roads in Western Australia. The Department is advised of these projects by the WA Government. Funding recipients will be notified directly about administrative arrangements.

4.2 Nominating projects

Projects to be funded under Roads to Recovery must be added to a funding recipient's Work Schedule in IMS. Funding recipients may enter projects at their own pace and at any point within the five year program period up to close of business on 30 April 2029.

Projects can be either:

- Normal – projects for works on a single road receiving more than $10,000 in Roads to Recovery funding
- Small – projects for works on a single road receiving less than $10,000 in Roads to Recovery funding
- Group – a collection of small projects entered as a single project in IMS (each portion of work must be entered as a separate line item in the system). Group projects must be works of a similar nature.

Projects entered into a funding recipient's Work Schedule and recorded as Compliant, Non-compliant or Under Assessment draw down on their Roads to Recovery allocation.

As project information is made public on the Department's website, funding recipients are encouraged to provide sufficient information to describe the project and in a way consumable by the general public.

Funding recipients are required to ensure their Work Schedule is kept up to date including, though not limited to:

- marking projects as completed once the construction end date is reached
- updating construction dates and scope of works as needed
- ensuring cost to Roads to Recovery and total project cost are accurate
- withdrawing projects that do not go ahead.

Note – the entering of projects into a funding recipient's Work Schedule does not mean that a payment will be made to a funding recipient in respect of these projects. To receive a payment, funding recipients must submit an Expenditure Report. Payments are only made for Compliant projects. Refer to Payments for further information.

Attachment A – Creating a Roads to Recovery project contains further information for funding recipients.

Note – to make changes to a completed project, funding recipients need to un-select 'Construction Is Complete', click 'Save', make the relevant changes and select 'Construction Is Complete'.

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Withdrawn projects cannot be reinstated in IMS. A new project must be created.

Maps

Funding recipients must submit maps for individual projects receiving $10,000 or more in Roads to Recovery funding. Maps must meet the following criteria:

- A4 in size
- funding recipient name
- Project ID as recorded in IMS
- 3 surrounding roads. Where it is not possible to provide 3 surrounding roads, funding recipients must provide geographical coordinates for the start and end points of the works
- markings (e.g. circle, arrows, highlight) to identify where work is being completed.

While not required, funding recipients may submit maps for small/group projects.

Maps must be sent to Mapping@infrastructure.gov.au.

5 Payments

5.1 Annual allocations

The Roads to Recovery budget is gradually increasing in the 2024-29 funding period. Funding recipients can see their nominal annual allocation on the Roads to Recovery website.

Funding recipients wishing to draw down on their five-year funding allocation earlier in the funding period must email the Roads to Recovery team for prior approval.

5.2 Goods and Services Tax (GST)

Funding recipients are eligible for an input tax credit for the GST paid. Consequently, expenditure reported by funding recipients in their quarterly expenditure reports must exclude the GST component on good and services. Roads to Recovery payments made to funding recipients do not include GST.

5.3 Expenditure Reports and receipt of Roads to Recovery payments

Funding recipients are eligible to receive Roads to Recovery payments after submitting an Expenditure Report (known as a payment report in the Funding Conditions) in IMS, where the Department has also received the funding recipient's Annual Reports and marked them as Satisfactory.

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Funding recipients that submit an Expenditure Report in July 2024 will be eligible for a payment even if a 2023-24 Roads to Recovery Annual Report has not been submitted.

Note - funding recipients with other overdue Annual Reports may not be eligible for payment.

Structure of the Expenditure Report

An Expenditure Report is required in order for a funding recipient to receive a payment. Expenditure Reports are available to funding recipients who have projects in their Work Schedule. Expenditure Reports requiring action can be found in the Tasks menu in IMS. Current and historical reports are recorded under the Expenditure Reports menu in IMS.

Expenditure Reports draw information from the Work Schedule at the time the Expenditure Report is created (i.e. if a funding recipient starts to complete an Expenditure Report and then changes the Cost to Roads to Recovery for a project, this figure will not be automatically carried over to the Expenditure Report). Funding recipients are encouraged to review all information in the Expenditure Report to ensure it is accurate, and where required:

- update the Work Schedule
- contact the Roads to Recovery team to re-set the Report.

Funding recipients can request funds:

- In arrears – through recording actual expenditure to date on projects (reported on an accrual basis)
- In advance for the next quarter – through reporting expenses that are forecast to occur in the subsequent three months in respect of the Expenditure Report.

Funding recipients can only request funds in whole dollars and exclusive of GST.

Funding recipients requesting funds for jointly funded projects may only claim funds for the Roads to Recovery portion of the project.

Funding recipients undertaking projects with delivery timeframes crossing over financial years must only request those funds required to undertake works as and when due.

Funding recipients that forecast expenditure in an Expenditure Report are required to complete an Expenditure Report in the subsequent reporting period/s until that forecast expenditure is acquitted (recorded as expenditure to date).

Funding recipients that do not spend Roads to Recovery funds within 6 months of receiving them must provide an explanation in IMS (a box requesting an explanation will appear at the bottom of the Expenditure Report).

Reporting and payment schedules

The expenditure reporting module in IMS is only available during the following lodgement periods. Funding recipients are not able to submit Expenditure Reports once the lodgement period closes.

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Lodgement period	Expenditure Report period	Anticipated payment date
1 – 31 July	Expenditure to 30 June Forecast expenditure to 30 September	August
1 – 31 October	Expenditure to 30 September Forecast expenditure to 31 December	November
1 January – 15 February	Expenditure to 31 December Forecast expenditure to 31 March	March
1 – 30 April	Expenditure to 31 March Forecast expenditure to 30 June	May

Note – the Department makes payments to funding recipients in a single pay run. Accordingly, funding recipients must ensure the Expenditure Report is submitted by the end of the lodgement period.

Reporting to Federal Members

Funding recipients that submit an Expenditure Report must within 10 business days of receipt of payment provide their Work Schedule via email to the current Federal Member of Parliament for the relevant Federal Electorate/s in which the Roads to Recovery projects are located.

The Roads to Recovery team will directly contact relevant funding recipients who must send the above email to the current Federal Member/s. Funding recipients should wait to receive contact from the Roads to Recovery team before forwarding their Work Schedule.

6 Annual Reporting Requirements

Funding recipients are required to submit an Audited Roads to Recovery Annual Report to the Department by 31 October of each year, in respect of the previous financial year. Annual Reports are initially prepared online in IMS, and then a signed copy of the form (and Audit declaration, as required) must be sent to the Roads to Recovery team.

The report is split into 4 parts:

- Part 1 – the financial statement. Several fields in this part of the report are system generated. This part must be audited by an external auditor. Expenditure is manually entered here and may exceed the amount received in Roads to Recovery funds in any financial year except in the final year of the program.
- Part 2 – statement of accountability. A declaration by the Chief Executive Officer (or General Manager) that the assertions made in the report are accurate and that the funding recipient has met the requirements of the Funding Conditions.
- Part 3 – a statement of expenditure maintenance. A demonstration by the funding recipient that it has expended own source funds where required and in accordance with the requirements of the Funding Conditions. Note – the figures in this Part are pulled from Part 1 of the relevant and historical annual reports.

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- Part 4 – a statement of outcomes. Declaration by the funding recipients that the projects for which Roads to Recovery funding was received in the financial year achieved the proposed outcome as suggested in the Work Schedule.

Note – only projects with a Main Project Goal of Road Safety appear in Part 4 of the Annual Report.

Figures provided must be shown on an accrued basis, exclusive of GST.

6.1 Audit declaration

Audit offices in some states and territories permit the use of an appropriately credentialed external auditor to provide an opinion. Funding recipients should seek advice in the first instance from the relevant authority in their jurisdiction. The Roads to Recovery team can also provide advice, if needed.

6.2 Own source expenditure (OSE)

To access Australian Government funding under Roads to Recovery, funding recipients must maintain a predetermined amount of expenditure of their own funds on the construction and maintenance of roads. This is to ensure that funding recipients do not substitute Roads to Recovery funds for their own expenditure on roads. Roads to Recovery funding is intended to enable funding recipients to undertake road work additional to what they could undertake using their own funds.

For each year in which a funding recipient receives, spends or retains Roads to Recovery funds, it must spend, on the construction and maintenance of roads, funds from its own sources, equal to or greater than the reference amount applicable to the funding recipient. Where a funding recipient is unable to meet this requirement in the given financial year, own source expenditure can be averaged over 2 or 3 financial years. The IMS will provide the averages for funding recipients in Part 3 of the Annual Report.

Funding received from the Australian Government (including though not limited to Financial Assistance Grants, the Safer Local Roads Infrastructure Program and the Local Roads and Community Infrastructure Program) or State Governments or private donors must not be included in declared own source expenditure.

Where a funding recipient has not met the requirement, the Roads to Recovery team will initiate contact to obtain further information regarding the non-compliance. Reasons for non-compliance will be communicated to the Delegate for decision on remedial action (if any).

Treatment of Financial Assistance Grants in certain circumstances

Financial Assistance Grants are not own source funding under the definition above. The preferred approach is to trace the funds to the uses for which they have been received and report accordingly. However, where a funding recipient places its Financial Assistance Grants funds in a general account and cannot trace their use to specific projects, the following convention should be adopted:

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- the general component of Financial Assistance Grants should be deemed to be used for non-roads purposes; and
- the roads component of Financial Assistance Grants should be deemed to have been used on roads.

Treatment of interest received on Roads to Recovery funds

The interest earned on Roads to Recovery payments is own source funding for the purposes of Roads to Recovery.

Funding recipients with an allocation of more than $1.3 million, and that receive interest on a received Roads to Recovery payment, must spend an amount equal to or greater than that interest on the construction and/or maintenance in the following year.

Treatment of loans

Loan repayments (including interest) for eligible road projects can be considered as part of a funding recipient's own source expenditure.

To state it simply – funding recipients must spend a threshold amount of own sourced funds on projects that would otherwise meet the eligibility criteria for Roads to Recovery funding. OSE may be attributed to projects that are not fully funded by Roads to Recovery.

7 Publicity

Funding recipients proposing to issue any public announcements, media releases, statements, displays, publications or advertising relating to a Roads to Recovery project must:

- Acknowledge and give appropriate recognition to the contribution of the Australian Government for the project.
- Provide a copy of the proposed publication to the Department at least 5 business days prior to its proposed release, to events@infrastructure.gov.au
    - Refer to the Building Australia Brand Guidelines in the development of the publication to ensure any use of an official Australian Government logo conforms to style requirements.
- Obtain the Department's approval prior to its proposed release.

If the proposed announcement is a formal media release, the funding recipient must also notify the relevant Australian Government representative (noting that this may not be the Federal Member for the electorate in which the project is being/has been delivered) and provide them an opportunity to participate in the activity.

If a funding recipient proposes to hold a works commencement ceremony, opening ceremony or any other event in relation to a Roads to Recovery project, they must:

- Acknowledge and give appropriate recognition to the contribution of the Australian Government for the project.

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- Notify the Department and provide information about the proposed event at least 4 weeks prior to the proposed date.
- Notify the relevant Australian Government representative and invite them to participate in the event (noting that this may not be the Federal Member for the electorate in which the project is being/has been delivered).

If the Department or an Australian Government representative accepts an invitation or proposes to participate in the proposed event, the funding recipient must arrange a joint event in cooperation with the Department or relevant Australian Government representative.

If a funding recipient is requested by the Department or an Australian Government representative to issue a formal media release or hold an event in relation to a Roads to Recovery project, the funding recipient must arrange the joint media release or event in cooperation with the Department or relevant Australian Government representative.

7.1 Signage

As per the Administrative arrangements section of this Procedure, funding recipients are encouraged to refer to the Signage Guidelines regularly to ensure compliance with the Department's signage requirements.

Notwithstanding the requirements stated in the Guidelines, the Roads to Recovery Program does not require funding recipients to erect signage for small projects or remove commemorative plaques.

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Attachment A – Creating a Roads to Recovery Project

The table below describes how to fill out the required fields in IMS to create a Project.

Field	Requirements	Example
Allocation Type	Standard	-
Project Type	• Normal • Small (less than $10,000) • Special (can be selected only by Western Australian funding recipients delivering special projects)	-
Work Category	Select the relevant category from the drop-down list *Note – 'Bicycle paths/footpaths' should only be selected where the bicycle path/footpath is contained within the road reservation*	-
Primary Road	Enter the primary road where the works will be taking place. This must include the name of the town/suburb or the '(Rural Road)'	• Market Street, Smalltown • Friday Road (Rural Road)
Work Location	Enter the location/description of where works will be taking place. Works must be measured from an intersecting road, not property boundaries, lamp posts or rail crossings etc. If using acronyms ensure this is spelt out in full in the first instance. *Note – do not reference the Primary Road in this field*	• between Cobar Road to Shelley Street. • between Straight Line Kilometre 6.2 to 10.2 measured from Ashley Road. • between chainage 6.3 km to 12.8 km measured from Sally Road. • from the intersection of Farmers Road for a distance of 4.6 km in a westerly direction towards Chanel Street. • Work is located at multiple locations measured from Coal Road at 10.2 km - 12.4 km, 14.2 km - 16.8 km.

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Field	Requirements	Example
Problem being addressed	This description should be in simple language, easily understood by the average citizen, with no technical jargon or abbreviations, advising what is wrong with the road in question	• Gravel road wearing due to increase of traffic and heavy vehicles. Causes dust problems when dry and slippery, boggy when wet especially near the intersection of the Sturt Highway. • Road is too narrow to cater for heavy vehicles resulting in vehicular conflicts. • Unsealed street which generates dust problems for local residents, road corrugates and stormwater runoff enters adjacent properties.
Work proposed	Enter a description for the work being proposed to fix the problem. This description should describe the proposed work in simple language, with no technical jargon or abbreviations *Note - where a project is not fully funded by RTR, funding recipients should indicate the source of additional funding*	• It is proposed to widen and seal from 10 m width, reconstruct embankment to restore the formation. • Drainage upgrades will be undertaken where required. The road base will be replaced and resealed. Lighting upgrades will also be installed.
Start Construction	The month and year in which construction is projected to commence	-
End Construction	The month and year in which construction is projected to be completed	-
Construction is complete	Check box when construction is complete	-
Total project cost	Enter the total cost of the project in whole dollars, including the value of Roads to Recovery funds to be used and any other funding	-

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Field	Requirements	Example
Fully RTR funded	Check box if Roads to Recovery is to cover the full cost of the project	-
Cost to RTR	Cost of Roads to Recovery to be claimed for the project in whole dollars	-
Project Goal	Select the relevant goal from the drop-down list	-

When the Project is marked as completed, funding recipients will be asked to confirm whether the project goal was achieved, and if not, provide a reason for this.

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