

Note:

The rate at which Participation Reports were applied continued to fall significantly in the March 2014 quarter, as a result of a process that was adopted by DHS in the December 2013 and March 2014 quarters to address workload issues. This has also resulted in an artificial increase in the number of Participation Reports rejected due to procedural error, which are consequently overstated in this data.

Job Seeker Compliance Data – March Quarter 2014

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Part A

1 - Number of Job seekers (as at 31 March 2014)

Active job seekers		Job seekers suspended in employment services					Total job seekers
		Temporary exemption	Reduced work capacity	Approved activity	Total suspended job seekers		
No.	%	No.	No.	No.	No.	%	No.
643,511	75%	82,524	35,635	96,434	214,593	25%	858,104

All the numbers of job seekers shown in this table are point in time which means they reflect Activity Tested job seekers in each category at 31 March 2014.

“Active job seekers” means job seekers (including early school leavers) who were engaging with their employment services provider and actively seeking work or undertaking activities targeted at non-vocational barriers with a view to becoming work-ready.

“Job seekers suspended in employment services” means job seekers whose obligation to meet with an employment services provider has been suspended because they have a temporary exemption from the activity test, have a reduced work capacity below 15 hours a week or are undertaking an approved activity.

“Temporary exemptions” means exemptions for job seekers for a specified period of time from all participation requirements (including the Activity Test and Employment Pathway Plan). Job seekers are not required to engage with an employment services provider for the duration of their exemption.

“Reduced work capacity” means job seekers who have a reduced work capacity of 0-14 hours a week and are not required to engage with an employment services provider. They are able to fully satisfy their participation requirements through a quarterly interview with the Department of Human Services (DHS).

“Approved activity” means an activity such as part-time work or education which fully meets the job seeker’s participation requirements for a specified period. Job seekers undertaking approved activities are not required to engage with an employment services provider.

2 - Job Seekers with a Vulnerability Indicator

31 March 2014	Number of job seekers with a Vulnerability Indicator	% of all job seekers
	118,329	14%

“Vulnerability” means that a job seeker has a diagnosed condition or personal circumstance (e.g. homelessness, mental illness) that may currently impact on their capacity to comply with participation requirements, although it does not exempt a job seeker from these requirements

“Number of job seekers with a Vulnerability Indicator” means job seekers (including early school leavers) who, at the end of the quarter, had one or more Vulnerability Indicators on their record.

3 - Attendance at Appointments with Employment Services providers

I January to 31 March 2014	Appointments attended		Appointments not attended				Total Appointments	
			Valid reason	Invalid reason	Discretion	Total		
	No.	%	%	%	%	No.	%	No.
	2,215,951	64%	14%	12%	10%	1,239,408	36%	3,455,359

Appointment data is count of all appointments with Employment Services providers that activity tested job seekers are required to attend.

“Valid reason” means the provider considers that the job seeker had a reasonable excuse for not attending the appointment.

“Invalid reason” means the provider considers that the job seeker did not have a reasonable excuse for not attending the appointment, or they have been unable to make contact with the job seeker. If a provider records a result of ‘invalid reason’, they can decide to submit a Participation Report to DHS.

“Discretion” means the provider considers that the job seeker did not have a reasonable excuse for not attending the appointment, or they have been unable to make contact with the job seeker but they have nonetheless decided not to submit a Participation Report to DHS and are instead using another method to re-engage the job seeker (e.g. rescheduling the appointment until another day or, if unable to make contact, submitting a Contact Request)

4 - Income support payment suspensions for non-attendance at appointments/activities

1 January to 31 March 2014	Number of Payment suspensions for job seekers missing usual appointment	Number of payment suspensions for job seekers following disengagement from an activity	Number of payment suspensions for not attending a reconnection appointment		Total Suspensions
			Job seeker with Vulnerability Indicator	Job seeker without Vulnerability Indicator	
		159,862	10,894	9,841	34,687

This table includes all participation payment suspensions as a result of non-attendance at Employment Services provider appointments applied under the new compliance arrangements introduced from 1 July 2011.

'Number of payment suspensions for not attending a reconnection appointment' includes income support payment suspensions relating to a reconnection requirement given under the new arrangements. A reconnection requirement is given following an initial failure to attend a usual appointment or where the provider indicates on a Participation Report submitted for a No Show No Pay failure that the job seeker has disengaged from their activity. Although job seekers with Vulnerability Indicators do not have their income support payment suspended for either of these reasons, they are still required to attend a reconnection appointment following a failure to attend a usual appointment or following disengagement from an activity and can be suspended for missing the reconnection appointment

5 - Numbers of Participation Reports and Contact Requests

1 January to 31 March 2014	Participation Reports (PRs)		Contact Requests (CRs)	
	No. of PRs	% of active job seekers	No. of CRs	% of active job seekers
	304,590	32%	48,797	5%

Participation Reports shown are for Connection, Reconnection, No Show No Pay, and also for Serious Failures for refusing to accept or commence in a suitable job. Participation Reports are not directly submitted for Serious Failures due to persistent non-compliance as these are determined following a Comprehensive Compliance Assessment. Unemployment Non Payment Periods (UNPPs) are also excluded from the table as the majority of UNPPs are initiated by DHS prior to the job seeker commencing in employment services.

"% of active job seekers" means the number of Participation Reports or Contact Requests expressed as a proportion of the total number of job seekers (including early school leavers) who were active at some point over the duration of the quarter (i.e. this is not a point in time population of job seekers). This does not represent the actual proportion of job seekers who received a Participation Report or Contact Request as one job seeker may be the subject of more than one Participation Report or Contact Request.

6 - Reasons for Participation Reports submitted

I January to 31 March 2014	Main reasons		Total for main reasons		Other reasons	Total for all reasons
	Failure to attend provider appointment	Failure to attend activity	No.	%		
	%	%			No.	
	86%	12%	297,092	98%		2%

Participation Reports shown are for Connection, Reconnection, No Show No Pay, and also for Serious Failures for refusing to accept or commence in a suitable job. Participation Reports are not directly submitted for Serious Failures due to persistent non-compliance as these are determined following a Comprehensive Compliance Assessment. Unemployment Non Payment Periods (UNPPs) are also excluded from the table as the majority of UNPPs are initiated by DHS prior to the job seeker commencing in employment services.

“Failure to attend an activity” means failure to attend an activity specified in an Employment Pathway Plan.

7 - DHS responses to Participation Reports: Overview

I January to 31 March 2014	Participation Failure imposed (“PR Applied”)		Participation Failure not imposed (“PR Rejected”)		Total Reports
	No.	%	No.	%	No.
	121,216	40%	183,374	60%	304,590

As a result of a process that was adopted by DHS in the December 2013 and March 2014 quarters to address workload issues, Table 7 shows an artificial increase in the number of Participation Reports (PRs) rejected together with a commensurate decrease in the PR applied rate. DHS’s process involved rejecting large numbers of Connection failure PRs without considering if a reasonable excuse actually existed. Omitting PRs in the specific category of procedural error rejections used by DHS under this internal process shows what the overarching PR application rate would have approximated if DHS had not adopted this process. That application rate for the March 2014 quarter would have been in the order of 64 percent.

Figures for “Participation Failure imposed” may differ from figures for “No. of Participation Failures” in Table 11 below because the above table only includes failures that are reported via a Participation Report from a provider; that is, Connection, Reconnection, No Show No Pay, and Serious Failures for refusing to accept or commence in a suitable job. Participation Reports are not directly submitted for Serious Failures due to persistent non-compliance as these are determined following a Comprehensive Compliance Assessment. Unemployment Non Payment Periods (UNPPs) are also excluded from the table as the majority of UNPPs are initiated by the Department of Human Services (DHS) prior to the job seeker commencing in employment services.

Failures applied by DHS due to unacceptable reasons given by job seekers for non-attendance

I January to 31 March 2014	Job seeker error	Manageable or unproven medical issue	Job seeker chose not to participate	Job seeker denied being notified	Foreseeable or unacceptable activity prevented compliance	Personal matter	Transport difficulties – insufficient to prevent compliance	Cultural/ language issues	Job seeker considered work offered was unsuitable	No reason offered	Reasonable excuse but no prior notice	TOTAL
No	28,742	11,858	19,882	15,318	8,346	6,300	5,874	177	56	266	24,397	121,216
%	23.7%	9.8%	16.4%	12.6%	6.9%	5.2%	4.8%	0.2%	0.1%	0.2%	20.1%	100%

Note:

1. Job seekers are required to give prior notice of their inability to attend an appointment or activity. For example, if the job seeker is genuinely unwell and gives prior notice of their inability to attend, then a failure would not be applied.
2. Job seekers who have a reasonable excuse but who cannot, for good reason, give prior notice of their non-attendance will also not have a failure applied.

This table breaks down the data included in the ‘Participation Failure imposed’ column of the previous overview table by the reason the job seeker gave for their failure. Reasons are recorded where the failure is for non-attendance at appointments with Providers, with DHS, with employers or for non-attendance at activities, which accounts for the majority of failures. The data gives the types of excuses that job seekers provided to DHS that DHS did not accept as reasonable in the specific circumstances of each case. DHS is required under legislation to determine each case on its merits and to consider whether or not the job seeker’s personal circumstances affected their ability to comply or to give prior notice of their inability to comply for each incidence of non-attendance. In these instances, the DHS decision-maker has determined that the circumstances described by the job seeker did not impact sufficiently on the job seeker’s capacity to attend the appointment or activity at the scheduled time or there is no evidence to support the job seekers reason for non-attendance or failure to give prior notice.

“Job seeker error” means the job seeker got the time or date of a requirement wrong, they slept in or forgot to attend.

“Manageable or unproven medical issue” means that the job seeker indicated that a medical condition prevented their attendance, but their explanation was not accepted as reasonable. This will generally be because the job seeker did not appear ill or provide evidence of their illness, or where evidence was provided but the condition was manageable and should not have prevented attendance at the time of the appointment or activity. This category also covers situations where the excuse relates to substance or alcohol use or mental health issues but where the decision-maker has determined that in this instance the person’s condition would not have prevented compliance.

“Job seeker chose not to participate” means the job seeker did not want to attend an appointment or activity because the time was not convenient for the job seeker, because the job seeker did not see value in attending or because they indicated that they did not care whether they attended or not.

“Job seeker denied being notified” means that the job seeker believed that they were not notified of the requirement. DHS must be satisfied that the job seeker was properly notified of their requirement before a failure can be applied. In these cases, DHS was satisfied this had occurred and found no reason to accept the job seeker’s explanation.

“Foreseeable or unacceptable activity prevented compliance” means that the job seeker claimed to have been undertaking other acceptable activities at the time of the requirement, such as a legal commitment (eg. attending court), attending a job interview or working. If a failure is applied in these circumstances it means the decision-maker was not satisfied that the timing of the other activity would have prevented attendance at the appointment or activity or the decision maker did not believe the other activity occurred. In the case of a job seeker claiming to have been working, it may mean that the job seeker did not provide evidence to verify this or declare any earnings.

“Personal matter” means the job seeker indicated they had personal relationship issues, caring responsibilities, difficulties with accommodation, or bereavement following the death of a friend, relative or pet. While such circumstances can impact on a job seeker’s capacity to comply, the DHS decision-maker found that they did not do so in these instances.

“Transport difficulties - insufficient to prevent compliance” means that the excuse related to general transport difficulties, an objection to the commuting distance or the job seeker indicated that they could not afford to attend. In setting any requirement the cost and difficulty of transport must be considered, so in determining a failure the DHS decision-maker must be satisfied that these things did not prevent compliance.

“Cultural/language issue” means that the job seeker indicated that cultural diversity, language, literacy or numeracy issues affected their capacity to comply. The impact of these factors must be considered by decision-makers in setting requirements and determining failures.

“Job seeker considered work offered was unsuitable” means that the job seeker failed to attend a job interview because, for example, they did not like the prospective job, did not think they would have the necessary skills or did not think it would pay enough. Before applying a failure in these circumstances, DHS decision-makers are required under social security law to ensure, among other things, that the prospective job met the applicable statutory conditions relating to wages and conditions and that the job seeker had the skills to do the work or would have been given appropriate training by the employer to enable them to do the work.

“No reason offered” means that the job seeker did not offer a reason for their non-attendance.

“Reason not recorded” are those failures that are not attendance-related. While the job seeker’s reason for non-compliance must be considered before the failure can be applied, it is not recorded in a way which can be easily extracted for the purposes of this data.

“Reasonable excuse but no prior notice” means that the job seeker had a reasonable excuse for not attending their appointment but failed to give prior notice of their inability to attend an appointment when it would have been reasonable to expect them to do so.

8 - DHS reasons for applying Participation Reports

1 January to 31 March 2014	Prior notice of reasonable excuse for non-attendance required						Prior notice not relevant – no reasonable excuse		Total Applied
	Prior notice not given -Reasonable Excuse		Prior notice not given -No reasonable excuse		Prior notice given but no reasonable excuse				
	No	%	No	%	No	%	No	%	No
	24,397	20%	59,827	49%	4,087	3%	32,905	27%	121,216

Since 1 July 2011, if a job seeker is unable to attend an appointment or activity they must give prior notice of their reason for not being able to attend where it is reasonable to expect them to do so. If they fail to do so, a penalty may be applied regardless of the reason for non-attendance. Job seekers can therefore have penalties applied where: they failed to give prior notice of a reasonable excuse for not attending an appointment or activity; they gave prior notice but their excuse was not accepted by DHS as reasonable; or where there was no requirement to give prior notice (because the failure did not relate to attendance - for example, a failure to enter an Employment Pathway Plan) but the job seeker had no reasonable excuse for their action.

9 - DHS reasons for rejecting Participation Reports: Overview

1 January to 31 March 2014	Job seeker had reasonable excuse		Procedural errors relating to:				Total procedural errors		Total Rejections
			Nature of requirements	Notifying requirements	Submitting PRs	Other			
	No.	%	%	%	%	%	No.	%	No.
	44,122	24%	3%	68%	3%	2%	139,252	76%	183,374

As a result of a process that was adopted by DHS in the December 2013 and March 2014 quarters to address workload issues, Table 9 shows an artificial increase in the number of Participation Reports (PRs) rejected on the basis of procedural error. The PRs rejected by DHS as part of this internal process are included in the “Notifying requirements” column above due to the specific rejection category utilised by DHS as well as in the two “Total” columns. The reasons these particular PRs were not rejected, however, was not due to deficiencies of notification from their employment services provider.

“Job seeker had reasonable excuse” means that DHS determined that the job seeker had a reasonable excuse for failing to comply with the requirement.

“Nature of requirements” means that DHS determined that the requirement with which the job seeker did not comply was not reasonable or appropriate to the circumstances of the job seeker. This includes, for example, where a job seeker was referred to an unsuitable activity, where attendance required an unreasonable travel distance, or where a job did not meet minimum work conditions or enable a job seeker to arrange or access childcare.

“Notifying requirements” means that DHS determined that the job seeker did not receive notification, was not notified correctly, or was not given enough time to meet their requirement. This includes, for example, instances where mail may have gone astray, or the job seeker had no permanent residence for mail to be sent to.

“Submitting PRs” means that DHS rejected the Participation Report on the grounds that it was not valid. This includes, for example, where the report was submitted for a period during which the job seeker had an exemption or was not receiving any payments; it was submitted for a requirement not contained in the Employment Pathway Plan; or the report was filled out incorrectly containing the wrong code or date of incident

“Other” includes a small number of Participation Reports rejected by DHS for reasons other than the above (for example, where a Participation Report for a Reconnection Failure is rejected because the earlier Connection Failure was invalid).

DHS reasons for rejecting Participation Reports: Reasonable Excuse

1 January to 31 March 2014	Medical reason – A	Medical reason – B	Other acceptable activity	Personal crisis	Caring responsibilities	Homelessness	Transport difficulties	Cultural/language issues	Other	Total rejections for reasonable excuse	
	%	%	%	%	%	%	%	%	%	%	No.
	3%	5%	6%	2%	2%	1%	2%	1%	2%	24%	44,122

Percentages above represent the proportion of all Participation Reports rejected, and as such each row equals the “Total reasonable excuse” percentage, rather than adding up to 100%.

Discrepancies may occur between the sum of the component percentages and the total percentage, due to the rounding.

“Medical reason A” means that DHS determined that a medical reason prevented the job seeker from complying with the requirement, but the job seeker did not provide specific evidence relating to this particular incident. Included in this category are instances where the job seeker had previously provided evidence of the medical condition or it was not considered reasonable or necessary for the job seeker to attend a doctor.

“Medical reason B” means that DHS determined that a medical reason prevented the job seeker from complying with the requirement, and the job seeker provided specific evidence relating to the particular incident.

“Other acceptable activity” means that DHS determined that the job seeker was participating in an activity that made it acceptable not to meet the requirement (for example, undertaking paid work, attending an interview, etc).

“Personal crisis” means that DHS determined that a personal crisis prevented the job seeker from complying with the requirement (for example, a bereavement of a family member).

“Caring responsibilities” means that DHS determined that the job seeker had caring responsibilities that prevented them from complying with the requirement (for example, caring for a sick dependant or relative).

“Homelessness” means that DHS determined that a job seeker’s homelessness prevented the job seeker from being able to comply with the requirement.

“Transport difficulties” means that DHS determined that unforeseeable transport difficulties prevented the job seeker from complying with the requirement (for example, a car breaking down or public transport services being cancelled or disrupted).

“Cultural / language issues” means that DHS determined that cultural diversity, language, literacy or numeracy issues prevented the job seeker from being able to understand or comply with the requirement.

“Other” includes all other Participation Reports rejected on the grounds that the job seeker had a reasonable excuse for not complying (for example, a police restriction, community service order or legal appointment).

10 - Number of Participation Reports per job seeker (at 31 March 2014)

Number of PRs per job seeker	No. of all job seekers	% of all job seekers	% of Participation Reports
0	594,480	69.3%	N/A
1	113,126	13.2%	15%
2	52,481	6.1%	14%
3	30,836	3.6%	12%
4	20,064	2.3%	11%
5+	47,117	5.5%	48%
Total	858,104	100%	100%

“No. of all job seekers” means the total number of job seekers (including early school leavers) as at 31 March 2014.

“% of all job seekers” indicates the proportion of the total number of job seekers as at 31 March 2014 who received the specified number of Participation Reports over the preceding twelve months.

“% of Participation Reports” indicates the % of Participation Reports submitted in relation to each particular cohort of job seekers at 31 March 2014 during the preceding twelve month period (e.g. 14 per cent of all PRs submitted between 1 April 2013 and 31 March 2014 were submitted in relation to those job seekers at 31 March 2014 who received two Participation Reports during this period).

11 - Number of Participation Failures

I January to 31 March 2014	No. of Participation Failures	% of active job seekers
	126,441	13%

Participation Failures shown include applied Connection, Reconnection, No Show No Pay failures, and also for Serious Failures for persistent non-compliance or failing to accept or commence in a suitable job. Unemployment Non Payment Periods (UNPPs) are excluded from the table as the majority of UNPPs are initiated by DHS prior to a job seeker commencing in employment services.

“% of active job seekers” means the number of Participation Failures expressed as a proportion of the total number of job seekers (including early school leavers) who were active at some point over the duration of the quarter (i.e. this is not a point in time population of job seekers). This does not represent the actual proportion of job seekers who incurred a Participation failure as one job seeker may have incurred more than one Participation Failure.

Figures for “No. of participation failures” may differ from figures for “Participation failures imposed” in Table 7 above because Table 7 does not include Serious Failures for persistent non-compliance (for the reason given in the note to Table 7).

12 - Types of Participation Failures: Overview

I January to 31 March 2014	Connection Failures		Reconnection Failures		No Show No Pay Failures		Serious Failures		Total Failures
	No.	%	No.	%	No.	%	No.	%	No.
	66,263	53%	29,082	23%	25,551	20%	5,545	4%	126,441

Serious failures shown are for failing to accept or commence a suitable job as well as for persistent non-compliance.

13 - Types of Participation Failures: Serious Failures

1 January to 31 March 2014	Persistent non-compliance		Refused Suitable Job		Did Not Commence Suitable Job		Total Serious Failures
	No.	%	No.	%	No.	%	No.
	5,225	94%	137	3%	183	3%	5,545

14 - Outcomes of Comprehensive Compliance Assessments

1 January to 31 March 2014	Serious Failure (8 week penalty) imposed for persistent non-compliance		Further assessment/assistance				No change in Employment Services Programme or Stream				Overall Total
			JSCI updated – referral for ESAt	JSCI updated – eligible for higher stream	Total		Other Outcomes	No Outcomes	Total		
	No.	%	No.	No.	No.	%	No.	No.	No.	%	No.
	5,225	38%	823	116	939	7%	6,649	908	7,557	55%	13,721

Note: A CCA can result in multiple outcomes but in the above table each CCA is counted only once under whichever outcome is highest within the Hierarchy below. For example, where a CCA recommends both referral for an Employment Services Assessment and another intervention, the CCA would be counted under JSCI-Referral for ESAt.

The Outcome Hierarchy is:

1. Serious Failure
2. JSCI – Referral for ESAt
3. JSCI – Eligible for higher stream
4. Other Outcomes
5. No Outcomes

“JSCI - Referral for ESAt” means a job seeker had their Job Seeker Classification Instrument (JSCI) updated and the outcome of the JSCI was for the job seeker to be referred to an Employment Services Assessment. Employment Services Assessments superseded Job Capacity Assessments from 1 July 2011.

“JSCI – Eligible for higher stream” means a job seeker had their JSCI updated and the outcome of the JSCI was for the job seeker to be referred to a higher-numbered stream of service in the Job Services Australia system.

“No change in Employment Services Program or Stream” means there has been no recommendation to change the job seeker’s Employment Services Program or Stream. CCAs in this category can recommend one or more outcomes that can be undertaken or arranged by the job seeker’s current provider or they may not recommend any particular action.

“Other Outcomes” includes any sort of recommended outcome that does not involve a change of Employment Services Program or Stream and can therefore be undertaken or arranged by the job seeker’s current provider. These include suggested changes to the job seeker’s Employment Pathway Plan to include any vocational or non-vocational activities designed to help the job seeker to become more job-ready (e.g. a referral for housing assistance or literacy and numeracy training).

“No Outcomes” means there were no outcomes or other action recommended by DHS as part of the CCA. This means that the DHS specialist officer who conducted the CCA found that the job seeker had no barriers to participation that warranted a specific sort of intervention but that there were insufficient grounds to determine that the job seeker had been persistently and deliberately non-compliant.

15 - Sanctions for Serious Failures

I January to 31 March 2014	Serious Failures						Total
	Non-payment Period		Financial Penalty waived				
			Compliance Activity		Financial Hardship		
	No.	%	No.	%	No.	%	
	1,256	23%	4,186	75%	103	2%	5,545

Discrepancies may occur between the sum of the component percentages and the total percentage, due to rounding.

“Serious Failures” shown are for refusing to accept or commence a suitable job, and for persistent non-compliance following a Comprehensive Compliance Assessment.

“Compliance Activity” means that the non-payment period was waived due to the job seeker agreeing to undertake a Compliance Activity involving weekly participation typically of 25 hours.

“Financial Hardship” means that the non-payment period was waived due to the job seeker being unable to undertake a Compliance Activity and having liquid assets below a specified amount.

Part B

16 - Financial Penalties, Connection Failures, Income Support Payment Suspensions and CCAs by Gender

1 January 2014 to 31 March 2014

Non Payment Periods (Serious and UNPPs)	Male	Male %	Female	Female %	Total	Total %
Voluntary unemployment- UNPP	1,994	19.64%	1,201	11.83%	3,195	31.47%
Unemployment due to misconduct – UNPP	1,077	10.61%	334	3.29%	1,411	13.90%
Persistent non-compliance – Serious	3,895	38.37%	1,330	13.10%	5,225	51.47%
Did not commence suitable work - Serious	148	1.46%	35	0.34%	183	1.80%
Refused a suitable job – Serious	103	1.01%	34	0.33%	137	1.35%
Sub Total NPPs	7,217	71.10%	2,934	28.90%	10,151	100.00%

1 January 2014 to 31 March 2014

Other Financial Penalties (Reconnection and NSNP)	Male	Male %	Female	Female %	Total	Total %
Failure to attend provider reconnection	20,329	37.21%	8,753	16.02%	29,082	53.23%
Failure to attend activity specified in EPP - NSNP	17,418	31.88%	7,230	13.23%	24,648	45.12%
Failure to attend job interview - NSNP	317	0.58%	169	0.31%	486	0.89%
Inappropriate conduct in EPP activity - NSNP	254	0.46%	75	0.14%	329	0.60%
Inappropriate presentation or conduct at job interview - NSNP	58	0.11%	30	0.05%	88	0.16%
Sub Total Other Financial penalties	38,376	70.24%	16,257	29.76%	54,633	100.00%

1 January 2014 to 31 March 2014

	Male	Male %	Female	Female %	Total	Total %
Total Financial Penalties	45,593	70.38%	19,191	29.62%	64,784	100.00%

Non-payment penalty periods generally are for a period of eight weeks. However, under the 'Connecting People with Jobs' initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non-payment penalties applied during the period 1 January 2014 and 31 March 2014.

1 January 2014 to 31 March 2014

Connection Failures	Male	Male %	Female	Female %	Total	Total %
Failure to attend Provider appointment	38,859	58.64%	23,244	35.08%	62,103	93.72%
Failure to attend other Provider appointment	690	1.04%	432	0.65%	1,122	1.69%
Failure to attend CCA appointment	1152	1.74%	467	0.70%	1,619	2.44%
Failure to comply with Job Search requirement in EPP	875	1.32%	261	0.39%	1,136	1.71%
Failure to enter EPP with provider	147	0.22%	36	0.05%	183	0.28%
Failure to attend provider reengagement appointment (connect)	<20	N/A	<20	N/A	<20	N/A
Failure to attend Centrelink appointment	<20	N/A	<20	N/A	<20	N/A
Unsatisfactory Job Seeker Diary	43	0.06%	<20	N/A	55	0.08%
Failure to return Job Seeker Diary	<20	N/A	<20	N/A	21	0.03%
Failure to negotiate EPP with Centrelink	0	0.00%	0	0.00%	0	0.00%
Other	<20	N/A	0	0.00%	<20	N/A
Total	41,794	63.07%	24,469	36.93%	66,263	100.00%

1 January 2014 to 31 March 2014

	Male	Male %	Female	Female %	Total	Total %
Income Support payment suspensions	135,916	63.13%	79,368	36.87%	215,284	100.00%

Income support payment suspensions are applied when a job seeker fails to attend an appointment or disengages from an activity. As payment is immediately restored (with full back pay) once the job seeker agrees to re-engage, suspension is not a failure or penalty under the compliance framework. A failure or penalty may, however, be separately applied.

I January 2014 to 31 March 2014

Finalised CCA Outcome	Male	Male %	Female	Female %	Total	Total %
JSCI updated - referral for ESA _t	541	3.94%	282	2.06%	823	6.00%
JSCI updated - eligible for higher stream	72	0.52%	44	0.32%	116	0.85%
Persistent non-compliance (Serious Failure)	3,895	28.39%	1,330	9.69%	5,225	38.08%
Other outcomes	4,493	32.75%	2,156	15.71%	6,649	48.46%
No outcomes	636	4.64%	272	1.98%	908	6.62%
Total	9,637	70.24%	4,084	29.76%	13,721	100.00%

17 - Financial penalties, Connection Failures, Payment Suspensions and CCAs by Indigenous Status

I January 2014 to 31 March 2014

Non Payment Periods (Serious and UNPPs)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Voluntary unemployment- UNPP	358	3.53%	2,837	27.95%	3,195	31.47%
Unemployment due to misconduct – UNPP	122	1.20%	1,289	12.70%	1,411	13.90%
Persistent non-compliance - Serious	1,914	18.86%	3,311	32.62%	5,225	51.47%
Did not commence suitable work - Serious	33	0.33%	150	1.48%	183	1.80%
Refused a suitable job - Serious	<20	N/A	125	1.23%	137	1.35%
Sub Total NPPs	2,439	24.03%	7,712	75.97%	10,151	100.00%

1 January 2014 to 31 March 2014

Other Financial Penalties (Reconnection and NSNP)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Failure to attend provider reconnection	7,846	14.36%	21,236	38.87%	29,082	53.23%
Failure to attend activity specified in EPP – NSNP	6,863	12.56%	17,785	32.55%	24,648	45.12%
Failure to attend job interview – NSNP	62	0.11%	424	0.78%	486	0.89%
Inappropriate conduct in EPP activity – NSNP	52	0.10%	277	0.51%	329	0.60%
Inappropriate presentation or conduct at job interview - NSNP	<20	N/A	82	0.15%	88	0.16%
Sub Total Other Financial penalties	14,829	27.14%	39,804	72.86%	54,633	100.00%

1 January 2014 to 31 March 2014

	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Total Financial Penalties	17,268	26.65%	47,516	73.35%	64,784	100.00%

Non-payment penalty periods generally are for a period of eight weeks. However, under the ‘Connecting People with Jobs’ initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non-payment penalties applied during the period 1 January 2014 and 31 March 2014.

1 January 2014 to 31 March 2014

Connection Failures	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Failure to attend Provider appointment	13,653	20.60%	48,450	73.12%	62,103	93.72%
Failure to attend other Provider appointment	231	0.35%	891	1.34%	1,122	1.69%
Failure to attend CCA appointment	590	0.89%	1029	1.55%	1,619	2.44%
Failure to comply with Job Search requirement in EPP	139	0.21%	997	1.50%	1,136	1.71%
Failure to enter EPP with provider	<20	N/A	174	0.26%	183	0.28%
Failure to attend provider reengagement appointment (connect)	<20	N/A	<20	N/A	<20	N/A
Failure to attend Centrelink appointment	<20	N/A	<20	N/A	<20	N/A
Unsatisfactory Job Seeker Diary	<20	N/A	54	0.08%	55	0.08%
Failure to return Job Seeker Diary	<20	N/A	<20	N/A	21	0.03%
Failure to negotiate EPP with Centrelink	0	0.00%	0	0.00%	0	0.00%
Other	<20	N/A	0	0.00%	<20	N/A
Total	14,633	22.08%	51,630	77.92%	66,263	100.00%

1 January 2014 to 31 March 2014

Income support payment suspensions	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
	42,842	19.90%	172,442	80.10%	215,284	100.00%

Income support payment suspensions are applied when a job seeker fails to attend an appointment or disengages from an activity. As payment is immediately restored (with full back pay) once the job seeker agrees to re-engage, suspension is not a failure or penalty under the compliance framework. A failure or penalty may, however, be separately applied.

I January 2014 to 31 March 2014

Finalised CCA Outcome	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
JSCI updated - referral for ESA _t	276	2.01%	547	3.99%	823	6.00%
JSCI updated - eligible for higher stream	33	0.24%	83	0.60%	116	0.85%
Persistent non-compliance (Serious Failure)	1,914	13.95%	3,311	24.13%	5,225	38.08%
Other outcomes	2,041	14.88%	4,608	33.58%	6,649	48.46%
No outcomes	183	1.33%	725	5.28%	908	6.62%
Total	4,447	32.41%	9,274	67.59%	13,721	100.00%

18 - Financial penalties, Connection Failures, Income Support Payment Suspensions and CCAs by Age Group

I January 2014 to 31 March 2014

Non Payment Periods (Serious and UNPPs)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Voluntary unemployment- UNPP	343	1,440	668	598	146	3,195
Unemployment due to misconduct – UNPP	151	529	356	313	62	1,411
Persistent non-compliance - Serious	1,281	2,726	859	340	<20	5,225
Did not commence suitable work - Serious	26	87	37	30	<20	183
Refused a suitable job - Serious	<20	41	29	40	<20	137
Sub Total NPPs	1,819	4,823	1,949	1,321	239	10,151

1 January 2014 to 31 March 2014

Other Financial Penalties (Reconnection and NSNP)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Failure to attend provider reconnection	6,385	13,821	6,114	2,556	206	29,082
Failure to attend activity specified in EPP – NSNP	6,276	10,874	4,455	2,802	241	24,648
Failure to attend job interview – NSNP	122	191	87	75	<20	486
Inappropriate conduct in EPP activity – NSNP	82	125	53	54	<20	329
Inappropriate presentation or conduct at job interview - NSNP	<20	32	<20	20	<20	88
Sub Total Other Financial penalties	12,879	25,043	10,722	5,507	482	54,633

1 January 2014 to 31 March 2014

	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Total Financial Penalties	14,698	29,866	12,671	6,828	721	64,784

Non-payment penalty periods generally are for a period of eight weeks. However, under the ‘Connecting People with Jobs’ initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non-payment penalties applied during the period 1 January 2014 and 31 March 2014.

I January 2014 to 31 March 2014

Connection Failures	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Failure to attend Provider appointment	11,801	24,215	13,912	10,458	1,717	62,103
Failure to attend other Provider appointment	235	432	228	195	32	1,122
Failure to attend CCA appointment	340	819	340	112	<20	1,619
Failure to comply with Job Search requirement in EPP	194	465	223	206	48	1,136
Failure to enter EPP with provider	26	38	47	54	<20	183
Failure to attend provider reengagement appointment (connect)	<20	<20	<20	0	0	<20
Failure to attend Centrelink appointment	<20	<20	<20	<20	<20	<20
Unsatisfactory Job Seeker Diary	<20	26	<20	<20	<20	55
Failure to return Job Seeker Diary	<20	<20	<20	<20	0	21
Failure to negotiate EPP with Centrelink	0	0	0	0	0	0
Other	0	0	<20	0	0	<20
Total	12,617	26,013	14,762	11,044	1,827	66,263

I January 2014 to 31 March 2014

	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Income support payment suspensions	41,233	86,772	48,246	33,258	5,775	215,284

Income support payment suspensions are applied when a job seeker fails to attend an appointment or disengages from an activity. As payment is immediately restored (with full back pay) once the job seeker agrees to re-engage, suspension is not a failure or penalty under the compliance framework. A failure or penalty may, however, be separately applied.

1 January 2014 to 31 March 2014

Finalised CCA Outcome	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
JSCI updated - referral for ESA _t	163	365	205	88	<20	823
JSCI updated - eligible for higher stream	28	57	21	<20	0	116
Persistent non-compliance (Serious Failure)	1,281	2,726	859	340	<20	5,225
Other outcomes	1,528	2,935	1,494	655	37	6,649
No outcomes	211	419	174	98	<20	908
Total	3,211	6,502	2,753	1,191	64	13,721

19 - Financial penalties, Connection failures, Payment Suspensions and CCAs by Employment Services

1 January 2014 to 31 March 2014

Non Payment Periods (Serious and UNPPs)	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Not in Employment Services	Total
Voluntary unemployment- UNPP	559	201	91	113	50	37	2,144	3,195
Unemployment due to misconduct – UNPP	223	64	43	54	<20	<20	996	1,411
Persistent non-compliance – Serious	704	1,269	1,189	1,489	85	489	0	5,225
Did not commence suitable work - Serious	22	56	31	63	<20	0	0	183
Refused a suitable job – Serious	21	42	30	28	<20	0	0	137
Sub Total NPPs	1,529	1,632	1,384	1,747	180	539	3,140	10,151

1 January 2014 to 31 March 2014

Other Financial Penalties (Reconnection and NSNP)	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Not in Employment Services	Total
Failure to attend provider reconnection	5,951	6,152	4,698	10,361	943	977	0	29,082
Failure to attend activity specified in EPP – NSNP	2,972	7,429	5,893	6,699	443	1,212	0	24,648
Failure to attend job interview – NSNP	44	202	83	111	44	<20	0	486
Inappropriate conduct in EPP activity – NSNP	43	91	69	97	24	<20	0	329
Inappropriate presentation or conduct at job interview - NSNP	<20	32	<20	<20	<20	<20	0	88
Sub Total Other Financial penalties	9,021	13,906	10,762	17,279	1,468	2,197	0	54,633

1 January 2014 to 31 March 2014

	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Not in Employment Services	Total
Total Financial Penalties	10,550	15,538	12,146	19,026	1,648	2,736	3,140	64,784

Non-payment penalty periods generally are for a period of eight weeks. However, under the ‘Connecting People with Jobs’ initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non-payment penalties applied during the period 1 January 2014 and 31 March 2014.

1 January 2014 to 31 March 2014

Connection Failures	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Total
Failure to attend Provider appointment	17,096	14,105	8,855	14,207	2,694	5,146	62,103
Failure to attend other Provider appointment	202	257	166	206	244	47	1,122
Failure to attend CCA appointment	153	252	232	831	29	122	1,619
Failure to comply with Job Search requirement in EPP	441	271	163	241	<20	<20	1,136
Failure to enter EPP with provider	27	58	22	43	31	<20	183
Failure to attend provider reengagement appointment (connect)	<20	<20	0	<20	0	0	<20
Failure to attend Centrelink appointment	<20	<20	<20	<20	<20	0	<20
Unsatisfactory Job Seeker Diary	49	<20	<20	0	0	0	55
Failure to return Job Seeker Diary	<20	<20	0	<20	0	0	21
Failure to negotiate EPP with Centrelink	0	0	0	0	0	0	0
Other	0	0	0	0	0	<20	<20
Total	17,991	14,953	9,441	15,538	3,015	5,325	66,263

1 January 2014 to 31 March 2014

	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Total
Income Support payment suspensions	57,272	53,424	36,209	52,178	8,378	7,823	215,284

Income support payment suspensions are applied when a job seeker fails to attend an appointment or disengages from an activity. As payment is immediately restored (with full back pay) once the job seeker agrees to re-engage, suspension is not a failure or penalty under the compliance framework. A failure or penalty may, however, be separately applied.

I January 2014 to 31 March 2014

Finalised CCA Outcome	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Total
JSCI updated – referral for ESAAt	107	187	204	233	20	72	823
JSCI updated – eligible for higher stream	26	44	35	0	0	0	105
Persistent non-compliance (Serious Failure)	704	1,269	1,189	1,489	85	489	5,225
Other outcomes	744	1,251	1,157	2,771	273	464	6,660
No outcomes	195	316	192	141	27	37	908
Total	1,776	3,067	2,777	4,634	405	1,062	13,721

20 - Financial Penalties, Connection Failures, Payment Suspensions and CCAs by Allowance Types

I January 2014 to 31 March 2014

Non Payment Periods (Serious Failure and UNPP)	NSA	YAL	PPS	Not on allowance	Total
Voluntary unemployment- UNPP	689	231	<20	2,261	3,195
Unemployment due to misconduct – UNPP	284	95	<20	1,023	1,411
Persistent non-compliance – Serious	3,386	1,786	53	0	5,225
Did not commence suitable work - Serious	144	37	<20	0	183
Refused a suitable job – Serious	112	25	0	0	137
Sub Total NPPs	4,615	2,174	78	3,284	10,151

1 January 2014 to 31 March 2014

Other Financial Penalties (Reconnection and NSNP)	NSA	YAL	PPS	Not on allowance	Total
Failure to attend provider reconnection	19,944	8,668	470	0	29,082
Failure to attend activity specified in EPP - NSNP	15,986	8,339	323	0	24,648
Failure to attend job interview - NSNP	325	155	<20	0	486
Inappropriate conduct in EPP activity - NSNP	216	112	<20	0	329
Inappropriate presentation or conduct at job interview - NSNP	69	<20	<20	0	88
Sub Total Other Financial penalties	36,540	17,292	801	0	54,633

1 January 2014 to 31 March 2014

	NSA	YAL	PPS	Not on allowance	Total
Total Financial Penalties	41,155	19,466	879	3,284	64,784

Non-payment penalty periods generally are for a period of eight weeks. However, under the 'Connecting People with Jobs' initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non-payment penalties applied during the period 1 January 2014 and 31 March 2014.

Connection Failures	NSA	YAL	PPS	Total
Failure to attend Provider appointment	44,789	15,463	1,851	62,103
Failure to attend other Provider appointment	782	316	24	1,122
Failure to attend CCA appointment	1115	478	26	1,619
Failure to comply with Job Search requirement in EPP	893	243	0	1,136
Failure to enter EPP with provider	149	34	0	183
Failure to attend provider reengagement appointment (connect)	<20	<20	0	<20
Failure to attend Centrelink appointment	<20	<20	0	<20
Unsatisfactory Job Seeker Diary	40	<20	0	55
Failure to return Job Seeker Diary	<20	<20	0	21
Failure to negotiate EPP with Centrelink	0	0	0	0
Other	<20	0	0	<20
Total	47,805	16,557	1,901	66,263

1 January 2014 to 31 March 2014

	NSA	YAL	PPS	Total
Income Support payment suspensions	153,945	55,003	6,336	215,284

Income support payment suspensions are applied when a job seeker fails to attend an appointment or disengages from an activity. As payment is immediately restored (with full back pay) once the job seeker agrees to re-engage, suspension is not a failure or penalty under the compliance framework. A failure or penalty may, however, be separately applied.

1 January 2014 to 31 March 2014

Finalised CCA Outcome	NSA	YAL	PPS	Total
JSCI updated - referral for ESA _t	605	207	<20	823
JSCI updated - eligible for higher stream	83	33	0	116
Persistent non-compliance (Serious Failure)	3,386	1,786	53	5,225
Other outcomes	4,651	1,899	99	6,649
No outcomes	626	267	<20	908
Total	9,351	4,192	178	13,721

Glossary

The Department of Human Services (DHS) – From 1 July 2011, Centrelink became part of DHS. Data releases dated prior to 1 July 2011 refer to Centrelink instead of DHS.

Connection Failures occur when a job seeker, without reasonable excuse:

- does not attend an appointment;
- refuses to enter into an Employment Pathway Plan;
- Fails to meet a job search requirement in their Employment Pathway Plan.

Job seekers do not incur financial penalties if they have a Connection Failure applied.

Financial Penalties - A job seeker can have a non-payment period for persistent and wilful non-compliance or for refusing an offer of suitable work, for voluntarily leaving work or being dismissed for misconduct. A No Show No Pay (NSNP) penalty can be applied for failing to attend activities within the Employment Pathway Plan (EPP), or for failing to attend a job interview. A reconnection penalty can be applied for failing to attend a reconnection appointment, or for failing to return a Job Seeker Diary.

Income Support Payment suspensions are applied when a job seeker fails to attend an appointment with their provider or when a provider advises DHS that a job seeker has disengaged from an activity. As payment is restored once the job seeker agrees to attend a reconnection appointment, payment suspension is not a failure or financial penalty under the compliance framework. A failure and/or penalty may be separately applied where DHS determines that the job seeker had no reasonable excuse for their non-attendance or failed to give prior notice of a reasonable excuse when it was reasonable to expect them to do so.

A Comprehensive Compliance Assessment (CCA) must be conducted before a job seeker can have a penalty applied for persistent non-compliance.

A CCA is conducted where a job seeker has:

- three (3) applied failures as a result of failing to attend an appointment or interview within a six month period; or
- three (3) days of applied No Show No Pay penalties, within a six month period.

A CCA can also be requested at any time by either an employment services provider or DHS if a job seeker is failing to meet their participation requirements to determine why the job seeker is failing to meet their requirements.

Further information on job seeker compliance penalties can be found within the 'Explanatory Notes' document on the DEEWR website.

Notes:

1. The above tables show all compliance actions that were applied or finalised during the third quarter of the 2013/14 financial year (i.e. applied/finalised in the period 1/1/2014 -31/3/2014 inclusive) and not under review, revoked or otherwise overturned as at 12/5/2014. This lag is to allow for reviews and appeals to be finalised.
2. The tables exclude failures that were submitted and subsequently rejected due to the job seeker not being in receipt of income support payment at the time of the failure, a Comprehensive Compliance Assessment had been triggered at the time of the failure, the job seeker's record was cancelled or the provider withdrew the Participation Report.
3. The Allowance Type breakdown refers to the payment type that a job seeker was in receipt of at the time of the compliance action i.e. New Start Allowance (NSA), Youth Allowance (YAL), Parenting Payment Partnered (PPP) & Parenting Payment Single (PPS).
4. Where very small numbers of compliance actions (less than 20) of a particular type occur, the actual number is not published.
5. Many of the tables include financial year to date figures, however there are some tables that do not include financial year to date figures due to the way the data is captured.
6. This data was extracted by the Department of Education, Employment and Workplace Relations from the DEEWR DB2/CDS database.