

# Job Seeker Compliance Data – December Quarter 2015

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## Part A

### 1. Number of job seekers

Active job seekers as at 31 December 2015		Job seekers suspended in employment services					
		Temporary exemption	Reduced work capacity	Approved activity	Total suspended job seekers		Total job seekers
No.	%	No.	No.	No.	No.	%	No.
675,451	74%	98,223	31,981	107,750	237,954	26%	913,405

### 2. Job seekers with a Vulnerability Indicator

31 December 2015	Number of job seekers with a Vulnerability Indicator	% of all job seekers
		106,479

### 3. Attendance at Appointments

#### a. Attendance at Appointments with employment services providers

1 October to 31 December 2015	Appointments attended		Appointments not attended				Total Appointments	
			Valid reason	Invalid reason	Discretion	Total		
	No.	%	%	%	%	No.	%	No.
	2,398,360	67%	10%	15%	8%	1,195,623	33%	3,593,983

This table is a count of all appointments that activity-tested job seekers were required to attend with employment service providers.

b. **Attendance at Re-engagement Appointments with employment services providers**

1 October to 31 December 2015	Appointments attended		Appointments not attended				Total Appointments
			Valid reason	Invalid reason	Total		
	No.	%	%	%	No.	%	No.
	299,035	89%	2%	9%	35,887	11%	334,922

This table includes re-engagement appointments where reconnection was required following a missed appointment with an employment services provider.

The “not attended” result of “Discretion” is not available to employment services providers for this type of appointment.

4. **Income Support Payment Suspensions**

**Income Support Payment Suspensions for non-attendance at appointments/activities**

1 October to 31 December 2015	Number of payment suspensions for job seekers missing appointment with their provider	Number of payment suspensions for job seekers missing an appointment with a third party	Number of payment suspensions for job seekers following disengagement from an activity	Total Suspensions
	389,407	438	30,015	419,860

This table is a count of all participation payment suspensions applied as a result of providers submitting non-compliance reports for non-attendance at:

- a provider appointment (including a re-engagement appointment) - see note to Table 5;
- a third party appointment (such as an initial appointment with a Work for the Dole Host or Skills for Employment and Education provider); or
- following disengagement from an activity.

Where an income support payment suspension has started it will continue until it is lifted.

## 5. Numbers of Non-Attendance Reports, Participation Reports and Provider Appointment Reports

1 October to 31 December 2015	Number of Non-Attendance Reports	Non-Attendance Reports as a % of non-attended appointments without a valid reason	Number of Participation Reports and Provider Appointment Reports
	488,187	59.5%	114,685

Non-Attendance Reports, introduced on 1 July 2014, may be used by providers, after first attempting to contact the job seeker, to report to the Department of Human Services where a job seeker fails to attend a provider appointment without giving prior notice of a valid reason.

Once received by the Department of Human Services, a Non-Attendance Report will trigger an income support payment suspension which will generally remain in place until the job seeker attends a re-engagement appointment. Submission of a Non-Attendance Report by a provider does not require the Department of Human Services to investigate whether a participation failure has occurred.

“Number of Non-Attendance reports as a % of non-attended appointments without a valid reason ” is the number of submitted Non-Attendance Reports as a proportion of the number of provider appointments not attended during the quarter (excluding where the provider considered the job seeker had a reasonable excuse for their non-attendance - i.e. ‘Valid Reason’).

Provider Appointment Reports were introduced on 1 July 2015. A provider submits a Provider Appointment Report when they want the Department of Human Services to investigate whether a ‘non-attendance failure’ should be applied where a job seeker has not attended a provider appointment. In the above table, Provider Appointment Reports have been grouped with Participation Reports for Connection, Reconnection, No Show No Pay and Serious Failures for refusing to accept or commence in a suitable job (i.e. those Participation Reports which are directly submitted by providers to the Department of Human Services for investigation).

Participation Reports can also be submitted for non-appointment related reasons. As such, the number of Provider Appointment Reports and Participation Reports is not expressed “as a % of non-attended appointments”.

**6. Reasons for providers reporting non-compliance to the Department of Human Services**

1 October to 31 December 2015	Main reasons				Total for main reasons		Other reasons	Total for all reasons
	Failure to attend provider appointment		Failure to attend activity					
	No.	%	No.	%	No.	%	%	No.
	493,459	82%	95,745	16%	589,204	98%	2%	602,872

This table includes a count of all Non-Attendance Reports, Provider Appointment Reports and Participation Reports.

**7. Department of Human Services responses to Provider Appointment Reports and Participation Reports**

**a. Department of Human Services responses to Provider Appointment Reports and Participation Reports**

1 October to 31 December 2015	Participation Failure imposed (Applied)		Participation Failure not imposed (Rejected)		Total reports
	No.	%	No.	%	No.
	61,322	53%	53,363	47%	114,685

Participation Reports and Provider Appointment Reports are rejected if the Department of Human Services determines that the job seeker gave prior notice of a reasonable excuse for their failure to attend an appointment or had a reasonable excuse but was unable to give prior notice. Although Non-Attendance Reports are also used to report non-compliance and can be found to be invalid (for example, the job seeker was not on payment at the time of their non-attendance), the Department of Human Services is not required to determine whether or not the job seeker had a reasonable excuse for their non-attendance because no participation failure can be applied. For this reason, Non-Attendance Reports, which are used to report non-attendance at provider appointments, are not included in the above table because they do not result in a Participation Failure under the compliance framework, and simply delay a job seeker's income support payment rather than resulting in a penalty.

Figures in the above table only includes failures that are reported via a Provider Appointment Report or Participation Report from a provider; that is, Non-Attendance Failures, Connection, Reconnection, No Show No Pay, and Serious Failures for refusing to accept or commence in a suitable job. Provider Appointment Reports and 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 prior to the job seeker commencing in employment services. Table 10 includes Serious Failures for persistent non-compliance and UNPPs.

b. **Participation Failures applied by the Department of Human Services due to unacceptable reasons given by job seekers for non-attendance**

I October to 31 December 2015	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	Reason not recorded	Reasonable excuse but no prior notice	TOTAL
No.	8,477	10,964	17,694	1,310	3,467	6,818	2,284	869	21	300	298	8,820	61,322
%	13.8%	17.9%	28.9%	2.1%	5.7%	11.1%	3.7%	1.4%	0.0%	0.5%	0.5%	14.4%	100%

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 the Department of Human Services, third party appointments, with employers or for non-attendance at activities.

Non-Attendance Reports, which are used to report non-attendance at provider appointments, are not included in this table because they do not result in a Participation Failure under the compliance framework and simply delay a job seeker’s income support payment rather than resulting in a penalty. Because of this, the job seeker’s reason for non-attendance is not sought or recorded by the Department of Human Services

The Department of Human Services 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. This table gives the types of excuses that job seekers provided to the Department of Human Services and which the Department of Human Services did not accept as reasonable in the specific circumstances of each case. In these instances, the Department of Human Services’ 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 seeker’s reason for non-attendance or failure to give prior notice.

c. **Department of Human Services' reasons for applying Provider Appointment Reports or Participation Reports**

1 October to 31 December 2015	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.
	8,820	14%	12,682	21%	30,980	51%	8,840	14%	61,322

Where 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 the Department of Human Services 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 into a Job Plan) but the job seeker had no reasonable excuse for their action.

Non-Attendance Reports, which are used to report non-attendance at provider appointments (which constitute the bulk of appointment types) are not included in this table because they do not result in a Participation Failure under the compliance framework. Instead they delay a job seeker's income support payment rather than result in a penalty. Because of this, whether or not the job seeker had a reasonable excuse is not investigated or recorded by the Department of Human Services.

From 1 July 2015 a provider will submit a Provider Appointment Report if they want to recommend to the Department of Human Services that a penalty be applied for the job seeker's non-attendance. The Department of Human Services will investigate the job seeker's non-compliance and determine if a Non-Attendance Failure should be applied.

d. **Department of Human Services' reasons for rejecting Provider Appointment Reports and Participation Reports**

1 October to 31 December 2015	Job seeker had reasonable excuse		Procedural errors relating to:			Total procedural errors		Total Rejections
			Nature of requirements	Notifying requirements	Submitting Provider Appointment Reports and Participation Reports			
	No.	%	%	%	%	No.	%	No.
	20,798	39%	20%	7%	34%	32,565	61%	53,363

Non-Attendance Reports, which are used to report non-attendance at provider appointments where no prior notice of a valid reason was given are not included in this table because they do not result in a Participation Failure under the compliance framework. Instead they delay a job seeker's income support payment rather than result in a penalty. Because of this, whether or not the job seeker had a reasonable excuse is not investigated or recorded by the Department of Human Services.

e. **Department of Human Services reasons for rejecting Provider Appointment Reports and Participation Reports: Reasonable Excuse**

1 October to 31 December 2015	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.
	7%	7%	7%	6%	4%	1%	2%	2%	3%	39%	20,798

Percentages in this table represent the proportion of all Provider Appointment Reports and Participation Reports rejected. Each row equals the "Total reasonable excuse" percentage, rather than adding up to 100%. Discrepancies may occur between the sum of component percentages and the total percentage, due to rounding.



**8. Number of Compliance Reports Submitted per job seeker over past 12 months (as at end of quarter)**

<b>Number of PRs, NARs or PARs per job seeker</b>	<b>Number of all job seekers</b>	<b>% of all job seekers</b>	<b>% of PRs, NARs or PARs</b>
<b>0</b>	493,387	54.0%	N/A
<b>1</b>	154,198	16.9%	11%
<b>2</b>	79,135	8.7%	11%
<b>3</b>	50,315	5.5%	11%
<b>4</b>	34,827	3.8%	10%
<b>5+</b>	101,543	11.1%	57%
<b>Total</b>	913,405	100%	100%

This table shows the number and percentage of job seekers who have not been reported for non-compliance and the number and percentage that have been reported, either through a Participation Report (PR), Non-Attendance Report (NAR) and/or Provider Appointment Report (PAR), on one or multiple occasions.

A Provider Appointment Report must be preceded by a Non-Attendance Report, however, every Non-Attendance Report may not result in a Provider Appointment Report being submitted by a provider. When a Provider Appointment Report is submitted, the preceding Non-Attendance Report is not counted in the table above.

“No. of all job seekers” and “% of all job seekers” indicates the total number and proportion of all job seekers as at 30 December 2015 who received the specified number of Participation Reports, Provider Appointment Reports and/or Non-Attendance Reports over the preceding twelve months.

“% of PRs/NARs/PARs” indicates the percentage of Participation Reports, Provider Appointment Reports and/or Non-Attendance Reports submitted in relation to each particular cohort of job seekers at 31 December 2015 during the preceding twelve month period (e.g. 57 per cent of all compliance reports submitted between (1 January 2015 - 31 December 2015) were submitted in relation to those job seekers who, as at 31 December 2015, had received five or more Participation Reports, Provider Appointment Reports and/or Non-Attendance Reports during the previous 12 months).

## 9. Number of Participation Failures Applied

<b>Number of Participation Failures 1 January 2015 to 31 December 2015</b>	<b>Number of job seekers with a Participation Failure applied in past 12 months, as at 31 December 2015</b>	<b>% of activity tested job seekers at 31 December 2015 with a Participation Failure in past 12 months</b>
202,774	60,668	6.6%

Participation Failures shown include applied Connection, Reconnection, No Show No Pay failures, Non-Attendance failures, and Serious Failures for persistent non-compliance or failing to accept or commence in a suitable job.

Participation Failures are applied where the Department of Human Services has assessed a Participation Report or a Provider Appointment Report and has determined under social security law that the job seeker did not have a reasonable excuse. The Department of Human Services then records the Participation Failure on the job seeker's record and this may or may not result in the application of a financial penalty, depending on the failure type.

Non-Attendance Reports, like Participation Reports, are a mechanism for providers to report non-compliance. However, the Department of Human Services does not consider reasonable excuse before actioning Non-Attendance Reports and they do not result in the application of a Participation Failure or penalty (only income support payment suspension). Unemployment Non Payment Periods (UNPPs) are also excluded from the table as the majority of UNPPs are initiated by the Department of Human Services prior to a job seeker commencing in employment services.

“No. of job seekers with a Participation Failure applied” indicates the total number of job seekers as at 31 December 2015 who had at least one Participation Failure applied over the preceding twelve months. The “% of job seekers with a Participation Failure applied” figure gives the “No. of job seekers with a Participation Failure applied” as a proportion of all activity tested job seekers at that point.

Figures for “Number of Participation Failures” may differ from figures for “Participation Failures imposed” in Table 7, as Table 7 does not include Serious Failures for persistent non-compliance.

## 10. Types of Participation Failures

### a. Types of Participation Failures

1 October to 31 December 2015	Connection Failures		Reconnection Failures		Non-Attendance Failures		No Show No Pay Failures		Serious Failures		Total Failures
	No.	%	No.	%	No.	%	No.	%	No.	%	No.
	8,436	13%	844	1%	2,568	4%	49,176	74%	5,597	8%	66,621

For further explanation of failure types refer to the Glossary.

### b. Types of Participation Failures: Serious Failures

1 October to 31 December 2015	Persistent non-compliance <sup>*</sup>		Refused Suitable Job		Did Not Commence Suitable Job		Total Serious Failures
	No.	%	No.	%	No.	%	No.
	5,299	95%	168	3%	130	2%	5,597

\* The Department of Human Services undertake a Comprehensive Compliance Assessment before determining if a job seeker has persistently failed to comply with their mutual obligation requirements, a number of matters, set out in the Social Security (Administration) (Persistent Non-compliance) (DEEWR) Determination 2009 (No. 1), assist decision makers in deciding whether a job seeker has been persistently non-compliant.

## 11. Comprehensive Compliance Assessments

### Outcomes of Comprehensive Compliance Assessments

1 October to 31 December 2015	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.
	5,299	37%	457	39	496	3%	7,227	1,475	8,702	60%		14,497

Note: A Comprehensive Compliance Assessment (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 (ESAt) 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

## 12. Sanctions for Serious Failures

### Sanctions for Serious Failures

1 October to 31 December 2015	Serious Failures							Total
	Non-payment Period		Financial Penalty waived					
			Compliance Activity		Financial Hardship			
	No.	%	No.	%	No.	%		
372	7%	5,198	93%	27	<1%	5,597		

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

Part B

**13. Financial Penalties, Connection Failures, Income Support Payment Suspensions and Comprehensive Compliance Assessments by Gender**

**I October to 31 December 2015**

<b>Non Payment Periods (Serious and UNPPs)</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Voluntary unemployment – UNPP	1,247	14.51%	643	7.48%	1,890	22.00%	4,218	28.57%
Unemployment due to misconduct – UNPP	859	10.00%	246	2.86%	1,105	12.86%	2,497	16.91%
Persistent non-compliance – Serious	3,586	41.74%	1,713	19.94%	5,299	61.67%	7,495	50.77%
Did not commence suitable work – Serious	113	1.32%	<20	N/A	130	1.51%	263	1.78%
Refused a suitable job – Serious	117	1.36%	51	0.59%	168	1.96%	290	1.96%
<b>Sub Total NPPs</b>	<b>5,922</b>	<b>68.92%</b>	<b>2,670</b>	<b>31.08%</b>	<b>8,592</b>	<b>100.00%</b>	<b>14,763</b>	<b>100.00%</b>

**I October to 31 December 2015**

<b>Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Appointment related failures – Provider (NAF), Third Party and the DHS (Reconnection)	2,226	4.23%	1,185	2.25%	3,411	6.49%	4,232	5.30%
Other failures to comply with a reconnection requirement that resulted in a financial penalty*	<20	N/A	0	0.00%	<20	N/A	<20	N/A
Failure to attend activity specified in a Job Plan (NSNP)	32,176	61.19%	16,043	30.51%	48,219	91.69%	74,085	92.71%
Failure to attend job interview (NSNP)	392	0.75%	170	0.32%	562	1.07%	921	1.15%

\* For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).

**I October to 31 December 2015**

<b>Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Inappropriate conduct in a Job Plan activity (NSNP)	240	0.46%	65	0.12%	305	0.58%	524	0.66%
Inappropriate presentation or conduct at job interview (NSNP)	66	0.13%	24	0.05%	90	0.17%	150	0.19%
<b>Sub Total Short Term Financial Penalties</b>	<b>35,101</b>	<b>66.75%</b>	<b>17,487</b>	<b>33.25%</b>	<b>52,588</b>	<b>100.00%</b>	<b>79,913</b>	<b>100.00%</b>

**I October to 31 December 2015**

<b>Total Financial Penalties</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
	41,023	67.05%	20,157	32.95%	61,180	100.00%	94,676	100.00%

Unemployment non-payment periods are generally for eight weeks. However, if a person who has received Relocation Assistance to get a job voluntarily leaves the job without reasonable excuse or is dismissed for misconduct within the first six months, 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 zero 12 week non-payment penalties applied during the period I October to 31 December 2015. An \* is used where the <20 can be derived through totals or other values.

Appointment related failures comprise financial penalties for non-attendance at a provider or the Department of Human Services (including CCA) appointment as well as for non-attendance at a reconnection appointment with a third party.

A reconnection failure for not entering a Job Plan can be applied if a job seeker does not attend an appointment with their Provider, then refuses to enter into a Job Plan at their re-engagement appointment.

**1 October to 31 December 2015**

<b>Connection Failures</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Failure to attend third party appointment*	290	3.44%	139	1.65%	429	5.09%	605	5.40%
Failure to attend CCA appointment	1,127	13.36%	679	8.05%	1,806	21.41%	2,344	20.93%
Failure to comply with Job Search requirement in a Job Plan	4,132	48.98%	1,489	17.65%	5,621	66.63%	6,847	61.13%
Failure to enter a Job Plan with provider or Department of Human Services	271	3.21%	83	0.98%	354	4.20%	918	8.20%
Failure to attend the Department of Human Services appointment	111	1.32%	115	1.36%	226	2.68%	481	4.29%
Failure to return or unsatisfactory Job Seeker Diary	0	0.00%	0	0.00%	0	0.00%	<20	N/A
<b>Total</b>	<b>5,931</b>	<b>70.31%</b>	<b>2,505</b>	<b>29.69%</b>	<b>8,436</b>	<b>100.00%</b>	<b>11,201</b>	<b>100.00%</b>

Failure to attend an initial appointment with a third party, such as Work for the Dole host organisation, can result in a Connection Failure.

\* Non-attendance at employment provider appointments is reported through a Non-Attendance Report and results in an income support payment suspension rather than a Connection Failure. Providers have the delegation to recommend to the Department of Human Services a financial penalty be applied where they consider the job seeker had no reasonable excuse for non-attendance at the appointment.

**I October to 31 December 2015**

<b>Income Support payment suspensions</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Income support payment suspension - non-attendance at appointment	247,255	58.89%	142,590	33.96%	389,845	92.85%	828,898	94.36%
Income support payment suspension – disengagement from activity	19,710	4.69%	10,305	2.45%	30,015	7.15%	49,526	5.64%
<b>Total Income Support payment suspensions</b>	<b>266,965</b>	<b>63.58%</b>	<b>152,895</b>	<b>36.42%</b>	<b>419,860</b>	<b>100.00%</b>	<b>878,424</b>	<b>100.00%</b>

Income support payment suspensions are applied when a job seeker fails to attend an appointment with their employment services provider and a Non-Attendance Report is submitted or when a job seeker disengages from an activity and their provider indicates on a No Show No Pay Participation Report that they wish to discuss this with the job seeker.

**I October to 31 December 2015**

<b>Finalised Comprehensive Compliance Assessment Outcome</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
JSCI updated – referral for ESAt	301	2.08%	156	1.08%	457	3.15%	577	2.91%
JSCI updated – eligible for higher stream	27	0.19%	<20	N/A	39	0.27%	47	0.24%
Persistent non-compliance (Serious Failure)	3,586	24.74%	1,713	11.82%	5,299	36.55%	7,495	37.84%
Other outcomes	4,603	31.75%	2,624	18.10%	7,227	49.85%	9,474	47.83%
No outcomes	1,019	7.03%	456	3.15%	1,475	10.17%	2,216	11.19%
<b>Total</b>	<b>9,536</b>	<b>65.78%</b>	<b>4,961</b>	<b>34.22%</b>	<b>14,497</b>	<b>100.00%</b>	<b>19,809</b>	<b>100.00%</b>



#### 14. Financial Penalties, Connection Failures, Payment Suspensions and CCAs by Indigenous Status

I October to 31 December 2015

Non Payment Periods (Serious and UNPPs)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
Voluntary unemployment- UNPP	237	2.76%	1,653	19.24%	1,890	22.00%	4,218	28.57%
Unemployment due to misconduct – UNPP	109	1.27%	996	11.59%	1,105	12.86%	2,497	16.91%
Persistent non-compliance - Serious	4,432	51.58%	867	10.09%	5,299	61.67%	7,495	50.77%
Did not commence suitable work - Serious	<20	N/A	114	1.33%	130	1.51%	263	1.78%
Refused a suitable job - Serious	21	0.24%	147	1.71%	168	1.96%	290	1.96%
<b>Sub Total NPPs</b>	<b>4,815</b>	<b>56.04%</b>	<b>3,777</b>	<b>43.96%</b>	<b>8,592</b>	<b>100.00%</b>	<b>14,763</b>	<b>100.00%</b>

I October to 31 December 2015

Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
Appointment related failures –(NAF), Third Party and the DHS (Reconnection)	1,137	2.16%	2,274	4.32%	3,411	6.49%	4,232	5.30%
Other failures to comply with a reconnection requirement that resulted in a financial penalty*	0	0.00%	<20	N/A	<20	N/A	<20	N/A
Failure to attend activity specified in a Job Plan (NSNP)	32,953	62.66%	15,266	29.03%	48,219	91.69%	74,085	92.71%
Failure to attend job interview (NSNP)	80	0.15%	482	0.92%	562	1.07%	921	1.15%
Inappropriate conduct in a Job Plan activity (NSNP)	47	0.09%	258	0.49%	305	0.58%	524	0.66%
Inappropriate presentation or conduct at job interview (NSNP)	<20	N/A	84	0.16%	90	0.17%	150	0.19%
<b>Sub Total Short Term Financial Penalties</b>	<b>34,223</b>	<b>65.08%</b>	<b>18,365</b>	<b>34.92%</b>	<b>52,588</b>	<b>100.00%</b>	<b>79,913</b>	<b>100.00%</b>

\* For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).

**I October to 31 December 2015**

<b>Total Financial Penalties</b>	<b>Indigenous</b>	<b>Indigenous %</b>	<b>Non Indigenous</b>	<b>Non Indigenous %</b>	<b>Total</b>	<b>Total %</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
	39,038	63.81%	22,142	36.19%	61,180	100.0%	94,676	100.00%

Unemployment non-payment periods are generally for eight weeks. However, a person who has received Relocation Assistance to take up a job and voluntarily leaves this job without a reasonable excuse, or is dismissed for misconduct within the first six months, 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 zero 12 week non-payment penalties applied during the period I October to 31 December 2015. An \* is used where the <20 can be derived through totals or other values.

Appointment related failures comprise of financial penalties for non-attendance at a provider or the Department of Human Services (including Comprehensive Compliance Assessment) appointment as well as for non-attendance at a reconnection appointment with a third party.

Reconnection failures for not entering into a Job Plan can be applied when a job seeker does not attend an appointment with their Provider then refuses to enter into a Job Plan at their re-engagement appointment. This refusal represents the job seekers first refusal to enter into a Job Plan.

## I October to 31 December 2015

Connection Failures	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
Failure to attend third party appointment*	119	1.41%	310	3.67%	429	5.09%	605	5.40%
Failure to attend CCA appointment	1,419	16.82%	387	4.59%	1,806	21.41%	2,344	20.93%
Failure to comply with Job Search requirement in a Job Plan	1,337	15.85%	4,284	50.78%	5,621	66.63%	6,847	61.13%
Failure to enter a Job Plan with provider or Department of Human Services	34	0.40%	320	3.79%	354	4.20%	918	8.20%
Failure to attend the Department of Human Services appointment	<20	N/A	208	2.47%	226	2.68%	481	4.29%
Failure to return or unsatisfactory Job Seeker Diary	0	0.00%	0	0.00%	0	0.00%	<20	N/A
<b>Total</b>	<b>2,927</b>	<b>34.70%</b>	<b>5,509</b>	<b>65.30%</b>	<b>8,436</b>	<b>100.00%</b>	<b>11,201</b>	<b>100.00%</b>

Failure to attend an initial appointment with a third party, such as Work for the Dole host organisation, can result in a Connection Failure.

\* Non-attendance at employment provider appointments is reported through a Non-Attendance Report and results in an income support payment suspension rather than a Connection Failure. Providers have the delegation to recommend to the Department of Human Services a financial penalty be applied where they consider the job seeker had no reasonable excuse for non-attendance at the appointment.

## I October to 31 December 2015

Income support payment suspensions	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
Income support payment suspension – non-attendance at appointment	72,822	17.34%	317,023	75.51%	389,845	92.85%	828,898	94.36%
Income support payment suspension – disengagement from activity	17,277	4.11%	12,738	3.03%	30,015	7.15%	49,526	5.64%
<b>Total Income Support payment suspensions</b>	<b>90,099</b>	<b>21.46%</b>	<b>329,761</b>	<b>78.54%</b>	<b>419,860</b>	<b>100.00%</b>	<b>878,424</b>	<b>100.00%</b>

Income support payment suspensions are applied when a job seeker fails to attend an appointment with their employment services provider and a Non-Attendance Report is submitted or when a job seeker disengages from an activity and their provider indicates on a No Show No Pay Participation Report that they wish to discuss this with the job seeker.

## I October to 31 December 2015

Finalised CCA Outcome	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
JSCI updated – referral for ESA	228	1.57%	229	1.58%	457	3.15%	577	2.91%
JSCI updated – eligible for higher stream	<20	N/A	28	0.19%	39	0.27%	47	0.24%
Persistent non-compliance (Serious Failure)	4,432	30.57%	867	5.98%	5,299	36.55%	7,495	37.84%
Other outcomes	5,521	38.08%	1,706	11.77%	7,227	49.85%	9,474	47.83%
No outcomes	916	6.32%	559	3.86%	1,475	10.17%	2,216	11.19%
<b>Total</b>	<b>11,108</b>	<b>76.62%</b>	<b>3,389</b>	<b>23.38%</b>	<b>14,497</b>	<b>100.00%</b>	<b>19,809</b>	<b>100.00%</b>

15. Financial Penalties, Connection Failures, Income Support Payment Suspensions and CCAs by Age Group

I October to 31 December 2015

<b>Non Payment Periods (Serious and UNPPs)</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Voluntary unemployment – UNPP	178	759	433	386	134	1,890	4,218	28.57%
Unemployment due to misconduct – UNPP	71	398	298	282	56	1,105	2,497	16.91%
Persistent non-compliance – Serious	504	2,622	1,381	780	<20	5,299	7,495	50.77%
Did not commence suitable work – Serious	22	52	33	20	<20	130	263	1.78%
Refused a suitable job – Serious	22	70	27	41	<20	168	290	1.96%
<b>Sub Total NPPs</b>	<b>797</b>	<b>3,901</b>	<b>2,172</b>	<b>1,509</b>	<b>213</b>	<b>8,592</b>	<b>14,763</b>	<b>100.00%</b>

I October to 31 December 2015

<b>Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Appointment related failures – Provider (NAF), Third Party and the DHS (Reconnection)	792	1,544	670	372	33	3,411	4,232	5.30%
Other failures to comply with a reconnection requirement that resulted in a financial penalty *	0	0	0	<20	0	<20	<20	N/A
Failure to attend activity specified in a Job Plan (NSNP)	5,942	20,971	12,459	8,370	477	48,219	74,085	92.71%
Failure to attend job interview (NSNP)	104	250	114	86	<20	562	921	1.15%

<b>Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Inappropriate conduct in a Job Plan activity (NSNP)	41	102	55	80	27	305	524	0.66%
Inappropriate presentation or conduct at job interview (NSNP)	<20	26	<20	27	<20	90	150	0.19%
<b>Sub Total Short Term Financial Penalties</b>	6,888	22,893	13,312	8,936	559	52,588	79,913	100.00%

\* For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection)

#### I October to 31 December 2015

<b>Total Financial Penalties</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
		7,685	26,794	15,484	10,445	772	61,180	94,676

Unemployment non-payment periods are generally for eight weeks. However, if a person who has received Relocation Assistance to get a job voluntarily leaves the job without reasonable excuse or is dismissed for misconduct within the first six months, 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 zero 12 week non-payment penalties applied during the period I October to 31 December 2015. An \* is used where the <20 can be derived through totals or other values.

Appointment related failures comprise of financial penalties for non-attendance at a provider or the Department of Human Services (including CCA) appointment as well as for non-attendance at a reconnection appointment with a third party.

A reconnection failure for not entering a Job Plan can be applied when a job seeker who does not attend an appointment with their Provider, then refuses to enter into a Job Plan at their re-engagement appointment. This refusal represents the job seekers first refusal to enter into a Job Plan.

**I October to 31 December 2015**

<b>Connection Failures</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Failure to attend third party appointment*	97	171	77	74	<20	429	605	5.40%
Failure to attend CCA appointment	245	828	432	298	<20	1,806	2,344	20.93%
Failure to comply with Job Search requirement in a Job Plan	594	2,444	1,199	1,100	284	5,621	6,847	61.13%
Failure to enter a Job Plan with provider or the Department of Human Services	28	98	70	110	48	354	918	8.20%
Failure to attend the Department of Human Services appointment	<20	56	75	61	<20	226	481	4.29%
Failure to return or unsatisfactory Job Seeker Diary	0	0	0	0	0	0	<20	N/A
<b>Total</b>	<b>983</b>	<b>3,597</b>	<b>1,853</b>	<b>1,643</b>	<b>360</b>	<b>8,436</b>	<b>11,201</b>	<b>100.00%</b>

Failure to attend an initial appointment with a third party, such as Work for the Dole host organisation, can result in a Connection Failure.

\* Non-attendance at employment provider appointments is reported through a Non-Attendance Report and results in an income support payment suspension rather than a Connection Failure. Providers have the delegation to recommend to the Department of Human Services a financial penalty be applied where they consider the job seeker had no reasonable excuse for non-attendance at the appointment.

## I October to 31 December 2015

<b>Income Support Payment Suspensions</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Income Support Payment Suspension – non-attendance at appointment	51,983	151,265	96,092	75,983	14,522	389,845	828,898	94.36%
Income Support Payment Suspension – disengagement from activity	3,498	12,112	7,879	6,023	503	30,015	49,526	5.64%
<b>Total Income Support Payment Suspensions</b>	<b>55,481</b>	<b>163,377</b>	<b>103,971</b>	<b>82,006</b>	<b>15,025</b>	<b>419,860</b>	<b>878,424</b>	<b>100.00%</b>

Income support payment suspensions are applied when a job seeker fails to attend an appointment with their employment services provider and a Non-Attendance Report is submitted or when a job seeker disengages from an activity and their provider indicates on a No Show No Pay Participation Report that they wish to discuss this with the job seeker.

## I October to 31 December 2015

<b>Finalised CCA Outcome</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
JSCI updated - referral for ESAt	119	172	103	61	<20	457	577	2.91%
JSCI updated - eligible for higher stream	20	<20	<20	<20	0	39	47	0.24%
Persistent non-compliance (Serious Failure)	504	2,622	1,381	780	<20	5,299	7,495	37.84%
Other outcomes	1,048	3,006	1,887	1,247	39	7,227	9,474	47.83%
No outcomes	109	665	375	311	<20	1,475	2,216	11.19%
<b>Total</b>	<b>1,800</b>	<b>6,481</b>	<b>3,748</b>	<b>2,400</b>	<b>68</b>	<b>14,497</b>	<b>19,809</b>	<b>100.00%</b>



16. Financial Penalties, Connection failures, Payment Suspensions and CCAs by Employment Services

1 October to 31 December 2015

<b>Non Payment Periods (Serious and UNPPs)</b>	<b>jobactive Stream A</b>	<b>jobactive Stream B</b>	<b>jobactive Stream C</b>	<b>DES</b>	<b>CDP</b>	<b>Not in Employment Services</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Voluntary unemployment – UNPP	518	89	64	39	32	1,148	1,890	4,218	28.57%
Unemployment due to misconduct – UNPP	264	43	38	23	<20	719	1,105	2,497	16.91%
Persistent non-compliance – Serious	302	516	322	<20	4,148	0	5,299	7,495	50.77%
Did not commence suitable work – Serious	60	35	25	<20	0	0	130	263	1.78%
Refused a suitable job – Serious	72	40	24	28	<20	0	168	290	1.96%
<b>Sub Total NPPs</b>	1,216	723	473	111	4,202	1,867	8,592	14,763	100.00%

I October to 31 December 2015

<b>Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)</b>	<b>jobactive Stream A</b>	<b>jobactive Stream B</b>	<b>jobactive Stream C</b>	<b>DES</b>	<b>CDP</b>	<b>Not in Employment Services</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Appointment related failures – Provider (NAF), Third Party and the DHS (Reconnection)	965	1,073	918	157	298	0	3,411	4,232	5.30%
Other failures to comply with a reconnection requirement that resulted in a financial penalty*	<20	0	0	0	0	0	<20	<20	N/A
Failure to attend activity specified in a Job Plan (NSNP)	5,843	6,442	5,549	280	30,105	0	48,219	74,085	92.71%
Failure to attend job interview (NSNP)	214	157	105	78	<20	0	562	921	1.15%
Inappropriate conduct in a Job Plan activity (NSNP)	84	93	73	39	<20	0	305	524	0.66%
Inappropriate presentation or conduct at job interview (NSNP)	33	23	<20	29	0	0	90	150	0.19%
<b>Sub Total Short Term Financial Penalties</b>	<b>7,140</b>	<b>7,788</b>	<b>6,650</b>	<b>583</b>	<b>30,427</b>	<b>0</b>	<b>52,588</b>	<b>79,913</b>	<b>100.00%</b>

\* For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).

## I October to 31 December 2015

Total Financial Penalties	jobactive Stream A	jobactive Stream B	jobactive Stream C	DES	CDP	Not in Employment Services	Total	Financial YTD	Financial YTD%
	8,356	8,511	7,123	694	34,629	1,867	61,180	94,676	100.00%

Unemployment non-payment periods are generally for eight weeks. However, if a person who has received Relocation Assistance to get a job voluntarily leaves the job without reasonable excuse or is dismissed for misconduct within the first six months, 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 zero 12 week non-payment penalties applied during the period I October to 31 December 2015. An \* is used where the <20 can be derived through totals or other values.

Appointment related failures comprise of financial penalties for non-attendance at a provider or the Department of Human Services (including CCA) appointment as well as for non-attendance at a reconnection appointment with a third party.

A reconnection failure for not entering a Job Plan can be applied when a job seeker who does not attend an appointment with their Provider, then refuses to enter into a Job Plan at their re-engagement appointment. This refusal represents the job seekers first refusal to enter into a Job Plan.

## I October to 31 December 2015

Connection Failures	jobactive Stream A	jobactive Stream B	jobactive Stream C	DES	CDP	Total	Financial YTD	Financial YTD%
Failure to attend third party appointment *	93	139	122	54	21	429	605	5.40%
Failure to attend CCA appointment	129	190	154	<20	1328	1,806	2,344	20.93%
Failure to comply with Job Search requirement in a Job Plan	2,,338	1,763	1,320	194	<20	5,621	6,847	61.13%
Failure to enter a Job Plan with provider or the Department of Human Services	102	96	85	61	<20	354	918	8.20%
Failure to attend the Department of Human Services appointment	84	25	72	44	<20	226	481	4.29%
Failure to return or unsatisfactory Job Seeker Diary	0	0	0	0	0	0	<20	N/A
<b>Total</b>	<b>2,746</b>	<b>2,213</b>	<b>1,753</b>	<b>358</b>	<b>1,366</b>	<b>8,436</b>	<b>11,201</b>	<b>100.00%</b>

Failure to attend an initial appointment with a third party, such as Work for the Dole host organisation, can result in a Connection Failure.

\* Non-attendance at employment provider appointments is reported through a Non-Attendance Report and results in an income support payment suspension rather than a Connection Failure. Providers have the delegation to recommend to the Department of Human Services a financial penalty be applied where they consider the job seeker had no reasonable excuse for non-attendance at the appointment.

### I October to 31 December 2015

Income Support payment suspensions	jobactive Stream A	jobactive Stream B	jobactive Stream C	DES	CDP	Total	Financial YTD	Financial YTD%
Income support payment suspension - non-attendance at appointment	159,952	101,512	93,778	18,670	15,933	389,845	828,898	94.36%
Income support payment suspension – disengagement from activity	5,003	4,764	4,478	202	15,568	30,015	49,526	5.64%
<b>Total Income Support payment suspensions</b>	<b>164,955</b>	<b>106,276</b>	<b>98,256</b>	<b>18,872</b>	<b>31,501</b>	<b>419,860</b>	<b>878,424</b>	<b>100.00%</b>

Income support payment suspensions are applied when a job seeker fails to attend an appointment with their employment services provider and a Non-Attendance Report is submitted or when a job seeker disengages from an activity and their provider indicates on a No Show No Pay Participation Report that they wish to discuss this with the job seeker.

### I October to 31 December 2015

Finalised Comprehensive Compliance Assessment Outcome	jobactive Stream A	jobactive Stream B	jobactive Stream C	DES	CDP	Total	Financial YTD	Financial YTD%
JSCI updated – referral for ESAt	72	144	83	<20	155	457	577	2.91%
JSCI updated – eligible for higher stream	<20	21	0	0	0	39	47	0.24%
Persistent non-compliance (Serious Failure)	302	516	322	<20	4,148	5,299	7,495	37.84%
Other outcomes	518	698	760	44	5207	7,227	9,474	47.83%
No outcomes	276	253	164	<20	770	1,475	2,216	11.19%
<b>Total</b>	<b>1,186</b>	<b>1,632</b>	<b>1,329</b>	<b>70</b>	<b>10,280</b>	<b>14,497</b>	<b>19,809</b>	<b>100.00%</b>

**17. Financial Penalties, Connection Failures, Payment Suspensions and Comprehensive Compliance Assessments by Allowance Types  
(1 July to 30 Sept 2015)**

<b>Non Payment Periods (Serious Failure and UNPP)</b>	<b>NSA</b>	<b>YAL</b>	<b>PPS</b>	<b>Not on allowance</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Voluntary unemployment – UNPP	285	73	<20	1,526	1,890	4,218	28.57%
Unemployment due to misconduct – UNPP	129	32	<20	942	1,105	2,497	16.91%
Persistent non-compliance – Serious	4,477	772	50	0	5,299	7,495	50.77%
Did not commence suitable work – Serious	102	26	<20	0	130	263	1.78%
Refused a suitable job – Serious	138	29	<20	0	168	290	1.96%
<b>Sub Total NPPs</b>	<b>5,131</b>	<b>932</b>	<b>61</b>	<b>2,468</b>	<b>8,592</b>	<b>14,763</b>	<b>100.00%</b>

**I October to 31 December 2015**

<b>Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)</b>	<b>NSA</b>	<b>YAL</b>	<b>PPS</b>	<b>Not on allowance</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Appointment related failures – Provider (NAF), Third Party and the DHS (Reconnection)	2,298	1,060	53	0	3,411	4,232	5.30%
Other failures to comply with a reconnection requirement that resulted in a financial penalty*	<20	0	0	0	<20	<20	N/A
Failure to attend activity specified in a Job Plan (NSNP)	38,956	8,620	643	0	48,219	74,085	92.71%
Failure to attend job interview (NSNP)	398	153	<20	0	562	921	1.15%
Inappropriate conduct in a Job Plan activity (NSNP)	241	63	<20	0	305	524	0.66%
Inappropriate presentation or conduct at job interview (NSNP)	77	<20	0	0	90	150	0.19%
<b>Sub Total Short Term Financial Penalties</b>	<b>41,971</b>	<b>9,909</b>	<b>708</b>	<b>0</b>	<b>52,588</b>	<b>79,913</b>	<b>100.00%</b>

\* For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection)

## I October to 31 December 2015

<b>Total Financial Penalties</b>	<b>NSA</b>	<b>YAL</b>	<b>PPS</b>	<b>Not on allowance</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
	47,102	10,841	769	2,468	61,180	94,676	100.00%

Unemployment non-payment periods are generally for eight weeks. However, if a person who has received Relocation Assistance to get a job voluntarily leaves the job without reasonable excuse or is dismissed for misconduct within the first six months, 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 zero 12 week non-payment penalties applied during the period I October to 31 December 2015. An \* is used where the <20 can be derived through totals or other values.

Appointment related failures comprise of financial penalties for non-attendance at a provider or the Department of Human Services (including CCA) appointment as well as for non-attendance at a reconnection appointment with a third party.

A reconnection failure for not entering a Job Plan can be applied when a job seeker who does not attend an appointment with their Provider, then refuses to enter into a Job Plan at their re-engagement appointment. This refusal represents the job seekers first refusal to enter into a Job Plan.

## I October to 31 December 2015

<b>Connection Failures</b>	<b>NSA</b>	<b>YAL</b>	<b>PPS</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Failure to attend third party appointment*	281	142	<20	429	605	5.40%
Failure to attend CCA appointment	1,434	354	<20	1,806	2,344	20.93%
Failure to comply with Job Search requirement in a Job Plan	4,725	896	0	5,621	6,847	61.13%
Failure to enter a Job Plan with provider or the Department of Human Services	306	47	<20	354	918	8.20%
Failure to attend the Department of Human Services appointment	191	23	<20	226	481	4.29%
Failure to return or unsatisfactory Job Seeker Diary	0	0	0	0	<20	N/A
<b>Total</b>	<b>6,937</b>	<b>1,462</b>	<b>37</b>	<b>8,436</b>	<b>11,201</b>	<b>100.00%</b>

Failure to attend an initial appointment with a third party, such as Work for the Dole host organisation, can result in a Connection Failure.

\* Non-attendance at employment provider appointments is reported through a Non-Attendance Report and results in an income support payment suspension rather than a Connection Failure. Providers have the delegation to recommend to the Department of Human Services a financial penalty be applied where they consider the job seeker had no reasonable excuse for non-attendance at the appointment.

#### I October to 31 December 2015

<b>Income Support payment suspensions</b>	<b>NSA</b>	<b>YAL</b>	<b>PPS</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
Income support payment suspension - non-attendance at appointment	310,040	68,419	11,386	389,845	828,898	94.36%
Income support payment suspension – disengagement from activity	24,800	4,681	534	30,015	49,526	5.64%
<b>Total Income Support payment suspensions</b>	<b>334,840</b>	<b>73,100</b>	<b>11,920</b>	<b>419,860</b>	<b>878,424</b>	<b>100.00%</b>

Income support payment suspensions are applied when a job seeker fails to attend an appointment with their employment services provider and a Non-Attendance Report is submitted or when a job seeker disengages from an activity and their provider indicates on a No Show No Pay Participation Report that they wish to discuss this with the job seeker.

#### I October to 31 December 2015

<b>Finalised CCA Outcome</b>	<b>NSA</b>	<b>YAL</b>	<b>PPS</b>	<b>Total</b>	<b>Financial YTD</b>	<b>Financial YTD%</b>
JSCI updated - referral for ESA	300	152	<20	457	577	2.91%
JSCI updated - eligible for higher stream	<20	24	0	39	47	0.24%
Persistent non-compliance (Serious Failure)	4,477	772	50	5,299	7,495	37.84%
Other outcomes	5,747	1,378	102	7,227	9,474	47.83%
No outcomes	1,317	141	<20	1,475	2,216	11.19%
<b>Total</b>	<b>11,856</b>	<b>2,467</b>	<b>174</b>	<b>14,497</b>	<b>19,809</b>	<b>100.00%</b>

## 18. Glossary

**Active job seekers** - means job seekers 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.

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

**Caring responsibilities** - means that the Department of Human Services determined the job seeker had caring responsibilities preventing them from complying with the requirement (for example, caring for a sick dependant or relative).

**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 the Department of Human Services if a job seeker is failing to meet their participation requirements to determine why the job seeker is failing to meet their requirements.

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

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

- does not attend an initial appointment with a third party provider (eg a Work for the Dole host organisation or training provider – not an employment provider);
- refuses to enter into a Job Plan;
- fails to meet a job search requirement in their Job Plan.

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

**Cultural / language issue** - the job seeker indicated 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.



**Cultural / language issues** - means that the Department of Human Services determined cultural diversity, language, literacy or numeracy issues prevented the job seeker from being able to understand or comply with the requirement.

**Discretion** means that the provider considers the job seeker did not have a reasonable excuse for not attending the appointment but they have nonetheless decided not to submit a Non-Attendance Report to the Department of Human Services and are instead using another method to re-engage the job seeker (e.g. booking a new appointment for the job seeker).

**Explanatory Notes** - this document can be found on the Department of Employment website and provides further information on job seeker compliance penalties.

**Failure to attend activity** - means failure to attend an activity specified as a compulsory term in a Job Plan.

**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.

**Financial Penalties** - a job seeker can incur 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 penalty can be applied for failing to attend activities within the Job Plan, 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 satisfactory Job Seeker Diary.

**Foreseeable or unacceptable activity prevented compliance** - 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.

**Homelessness** - means that the Department of Human Services determined a job seeker's homelessness prevented the job seeker from being able to comply with the requirement.

**Income Support Payment suspensions** - are applied when a job seeker fails to attend an appointment with their employment provider or when a provider advises the Department of Human Services that a job seeker has disengaged from an activity. As payment is restored once the job seeker attends a reengagement appointment, payment suspension is not a failure or financial penalty under the compliance framework. A failure and/or penalty may be separately applied where the Department of Human Services 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.

**Invalid reason** - means that the provider considers 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 will submit a Non-Attendance Report to the Department of Human

Services. Where the Non-Attendance Report is not successfully submitted to the Department of Human Services, the 'invalid' reason result will be automatically updated to a 'discretion' result.

**Job seeker chose not to participate** - 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 considered work offered was unsuitable** - 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, the Department of Human Services 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.

**Job seeker denied being notified** - the job seeker believed they were not notified of the requirement. The Department of Human Services must be satisfied that the job seeker was properly notified of their requirement before a failure can be applied. In these cases, the Department of Human Services was satisfied that this had occurred and found no reason to accept the job seeker's explanation.

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

**Job seeker had reasonable excuse** - means that the Department of Human Services determined the job seeker had a reasonable excuse for failing to comply with the requirement and therefore a Participation Failure should not be applied.

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

**Job seekers suspended in employment services** - means job seekers whose obligation to meet with an employment services provider have 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.

**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 stream of service in the jobactive system.

**JSCI - Referral for ESAt** - means a job seeker had their 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 October 2011.

**Manageable or unproven medical issue** - the job seeker indicated 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.

**Medical reason A** - means that the Department of Human Services determined 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 the Department of Human Services determined a medical reason prevented the job seeker from complying with the requirement and the job seeker provided specific evidence relating to the particular incident.

**Nature of requirements** - means that the Department of Human Services determined 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.

**Non-Attendance Failure** - is applied when a job seeker has no reasonable excuse for not attending their initial appointment or fails to give prior notice of a reasonable excuse if it was reasonable to expect them to do so.

**Non-Attendance Report** - is submitted by an employment services provider when a job seeker fails to attend a regular provider appointment. The Non-Attendance Report replaced the Connection Failure Participation Report which was used to report this type of non-attendance from 1 July 2014.

**No change in Employment Services Program or Stream** - means there has been no recommendation to change the job seeker's Employment Services Programme 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.

**No Outcomes** - there were no outcomes or other action recommended by the Department of Human Services as part of the CCA. This means that the Department of Human Services 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.

**No reason offered** - the job seeker did not offer a reason for their non-attendance.

**Notifying requirements** - means that the Department of Human Services determined 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.

**Number of job seekers with a Vulnerability Indicator** - means job seekers who, at the end of the quarter, had one or more Vulnerability Indicators on their record.

**Other** - includes all other Participation Reports or Provider Appointment 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).

**Other acceptable activity** - means that the Department of Human Services determined 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).

**Other Outcomes** - includes any sort of recommended outcome that does not involve a change of Employment Services Programme 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 Job 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).

**Personal crisis** - means that the Department of Human Services determined a personal crisis prevented the job seeker from complying with the requirement (for example, a bereavement of a family member).

**Personal matter** - the job seeker indicated that 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 Department of Human Services decision-maker found that they did not do so in these instances.

**Provider Appointment Report** - is submitted by providers when they want a job seeker's income support payment suspension to remain and to recommend to the Department of Human Services that a financial penalty be applied.

**Reason not recorded** - are 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** - 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.

**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 mutual obligation requirements through a quarterly interview with the Department of Human Services.

**Submitting PRs/PARs** - means that the Department of Human Services rejected the Participation Report or Provider Appointment 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 Job Plan; or the report was filled out incorrectly containing the wrong code or date of incident.

**Temporary exemptions** - means exemptions for job seekers for a specified period of time from all mutual obligation requirements. Job seekers are not required to engage with an employment services provider for the duration of their exemption.

**The Department of Human Services** – From 1 July 2011, Centrelink became part of the Department of Human Services. Data releases dated prior to 1 July 2011 may refer to Centrelink instead of the Department of Human Services.

**Transport difficulties** - means that the Department of Human Services 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).

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

**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 mutual obligation requirements, although it does not exempt a job seeker from these requirements.

**Notes:**

1. The above tables show all compliance actions that were applied or finalised during the second quarter of the 2015 - 16 financial year (i.e. applied/finalised in the period 1/10/2015 – 31/12/2015 inclusive) and not under review, revoked or otherwise overturned as at 14 February 2016. This lag is to allow for reviews and appeals to be finalised.
2. The tables in Part B 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. Newstart Allowance (NSA), Youth Allowance (YAL) & 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. An \* is used where the <20 can be derived through totals or other values.
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 Social Services, sourcing information through the Employment Business Intelligence Warehouse.