

NOTE:

The rate at which Participation Reports were applied fell significantly in the December quarter, as a result of a process that was trialled by DHS to address workload issues. The same trial resulted in an artificial increase in the number of Participation Reports rejected due to procedural error, which are consequently overstated in the data.

Job Seeker Compliance Data – December Quarter 2013

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Part A

1 - Number of Job seekers (as at 31 December 2013)

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.
639,581	75%	82,724	37,444	88,447	208,615	25%	848,196

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 December 2013.

“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

	Number of job seekers with a Vulnerability Indicator	% of all job seekers
31 December 2013	119,484	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

	Appointments attended		Appointments not attended					Total Appointments
			Valid reason	Invalid reason	Discretion	Total		
	No.	%	%	%	%	No.	%	No.
1 October to 31 December 2013	1,944,161	64%	15%	10%	11%	1,108,234	36%	3,052,395

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

	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	
1 October to 31 December 2013	135,679	9,415	8,385	27,075	180,554

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

	Participation Reports (PRs)		Contact Requests (CRs)	
	No. of PRs	% of active job seekers	No. of CRs	% of active job seekers
1 October to 31 December 2013	265,217	29%	46,341	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

	Main reasons		Total for main reasons		Other reasons	Total for all reasons
	Failure to attend provider appointment	Failure to attend activity	No.	%		
	%	%			No.	%
1 October to 31 December 2013	83%	12%	252,700	95%	5%	265,217

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

	Participation Failure imposed (“PR Applied”)		Participation Failure not imposed (“PR Rejected”)		Total Reports
	No.	%	No.	%	No.
I October to 31 December 2013	153,247	58%	111,970	42%	265,217

The Participation Report applied rate has dropped significantly between September 2013 and December 2013 quarters. This is due to DHS trialling a new internal procedure to streamline the processing of Connection Failure Participation Reports. This resulted in the rejection of a substantial number of Connection Failure Participation Reports submitted by Employment Services Providers within the December quarter. The underlying integrity of the jobseeker compliance framework remained intact, as job seekers who miss appointments would still have had their income support payment suspended and would have been required to attend a reconnection appointment with their provider regardless of the outcome of the Connection Failure Participation Report. However, this trial would have delayed the triggering of a Comprehensive Compliance Assessment for some job seekers.

Figures for “Participation Failure imposed” may differ from figures for “No. of Participation Failures” in Table I I 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 DHS prior to the job seeker commencing in employment services.

“PR Applied %” means the proportion of Participation Reports that have led to imposition of a Participation Failure by DHS.

“PR Rejected %” means the proportion of Participation Reports that have not led to imposition of a failure by DHS.

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

		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
I October to 31 December 2013	No	34,295	13,998	23,598	22,671	9,393	7,281	7,163	220	79	386	34,163	153,247
	%	22.4%	9.1%	15.4%	14.8%	6.1%	4.8%	4.7%	0.1%	0.1%	0.3%	22.3%	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

	Prior notice of reasonable excuse for non-attendance required						Prior notice not relevant – no reasonable excuse		Total Applied
	Prior notice not given				Prior notice given but no reasonable excuse		No	%	
	Reasonable Excuse		No reasonable excuse						
	No	%	No	%	No	%	No	%	No
1 October to 31 December 2013	34,163	22%	83,142	54%	5,465	4%	30,477	20%	153,247

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

	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.
1 October to 31 December 2013	48,618	43%	4%	43%	7%	3%	63,352	57%	111,970

Note: the substantial increase in the number of rejected participation reports for reason, 'notifying requirements' between the September and December 2013 quarters can be attributed to DHS using this specific rejection code while trialling a new internal procedure to streamline the processing of appointment participation reports. It does not reflect that actual rate of procedural errors.

“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 revoked following an appeal).

DHS reasons for rejecting Participation Reports: Reasonable Excuse

	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.
I October to 31 December 2013	7%	9%	10%	4%	3%	2%	3%	1%	4%	43%	48,618

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 December 2013)

Number of PRs per job seeker	No. of all job seekers	% of all job seekers	% of Participation Reports
0	597,045	70.4%	N/A
1	107,105	12.6%	15%
2	50,520	6.0%	14%
3	30,217	3.6%	13%
4	19,250	2.3%	11%
5+	44,059	5.2%	47%
Total	848,196	100%	100%

“No. of all job seekers” means the total number of job seekers (including early school leavers) as at 31 December 2013.

“% of all job seekers” indicates the proportion of the total number of job seekers as at 31 December 2013 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 December 2013 during the preceding twelve month period (e.g. 14 per cent of all PRs submitted between 1 January 2013 and 31 December 2013 were submitted in relation to those job seekers at 31 December 2013 who received two Participation Reports during this period).

11 - Number of Participation Failures

	No. of Participation Failures	% of active job seekers
1 October to 31 December 2013	161,259	18%

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

	Connection Failures		Reconnection Failures		No Show No Pay Failures		Serious Failures		Total Failures
	No.	%	No.	%	No.	%	No.	%	No.
1 October to 31 December 2013	106,135	66%	23,504	15%	23,155	14%	8,465	5%	161,259

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

	Persistent non-compliance		Refused Suitable Job		Did Not Commence Suitable Job		Total Serious Failures
	No.	%	No.	%	No.	%	No.
1 October to 31 December 2013	8,012	95%	212	2%	241	3%	8,465

14 - Outcomes of Comprehensive Compliance Assessments

Year	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.	%	
1 October to 31 December 2013	8,012	34%	1,430	237	1,667	7%	12,024	1,719	13,743	59%	23,422

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

	Serious Failures						Total
	Non-payment Period		Financial Penalty waived				
			Compliance Activity		Financial Hardship		
	No.	%	No.	%	No.	%	
1 October to 31 December 2013	1,763	21%	6,537	77%	165	2%	8,465

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 October 2013 to 31 December 2013

Non Payment Periods (Serious and UNPPs)	Male	Male %	Female	Female %	Total	Total %
Voluntary unemployment- UNPP	2,137	16.14%	1,183	8.93%	3,320	25.07%
Unemployment due to misconduct – UNPP	1,124	8.49%	332	2.51%	1,456	11.00%
Persistent non-compliance – Serious	5,898	44.54%	2,114	15.97%	8,012	60.51%
Did not commence suitable work - Serious	193	1.46%	48	0.36%	241	1.82%
Refused a suitable job – Serious	153	1.16%	59	0.45%	212	1.60%
Sub Total NPPs	9,505	71.78%	3,736	28.22%	13,241	100.00%

1 October 2013 to 31 December 2013

Other Financial Penalties (Reconnection and NSNP)	Male	Male %	Female	Female %	Total	Total %
Failure to attend provider reconnection	16,294	34.92%	7,210	15.45%	23,504	50.37%
Failure to attend activity specified in EPP - NSNP	15,722	33.70%	6,413	13.74%	22,135	47.44%
Failure to attend job interview - NSNP	375	0.80%	193	0.41%	568	1.22%
Inappropriate conduct in EPP activity - NSNP	273	0.59%	73	0.16%	346	0.74%
Inappropriate presentation or conduct at job interview - NSNP	81	0.17%	25	0.05%	106	0.23%
Sub Total Other Financial penalties	32,745	70.18%	13,914	29.82%	46,659	100.00%

1 October 2013 to 31 December 2013	Male	Male %	Female	Female %	Total	Total %
Total Financial Penalties	42,250	70.53%	17,650	29.47%	59,900	100.00%

Non-payment penalty periods generally are for a period of eight weeks. However, under the 'Move 2 Work' initiative which commenced on 1 July 2013, 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 October 2013 and 31 December 2013.

1 October 2013 to 31 December 2013

Connection Failures	Male	Male %	Female	Female %	Total	Total %
Failure to attend Provider appointment	63,960	60.26%	34,430	32.44%	98,390	92.70%
Failure to attend other Provider appointment	1,162	1.09%	545	0.51%	1,707	1.61%
Failure to attend CCA appointment	3,243	3.06%	1,364	1.29%	4,607	4.34%
Failure to comply with Job Search requirement in EPP	782	0.74%	269	0.25%	1,051	0.99%
Failure to enter EPP with provider	174	0.16%	60	0.06%	234	0.22%
Failure to attend provider reengagement appointment (connect)	<20	N/A	<20	N/A	<20	N/A
Failure to attend Centrelink appointment	35	0.03%	26	0.02%	61	0.06%
Unsatisfactory Job Seeker Diary	36	0.03%	<20	N/A	51	0.05%
Failure to return Job Seeker Diary	21	0.02%	<20	N/A	23	0.02%
Failure to negotiate EPP with Centrelink	0	0.00%	<20	N/A	<20	N/A
Other	<20	N/A	0	0.00%	<20	N/A
Total	69,420	65.41%	36,715	34.59%	106,135	100.00%

1 October 2013 to 31 December 2013	Male	Male %	Female	Female %	Total	Total %
Income Support payment suspensions	115,139	63.77%	65,415	36.23%	180,554	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.

1 October 2013 to 31 December 2013

Finalised CCA Outcome	Male	Male %	Female	Female %	Total	Total %
JSCI updated - referral for ESA _t	974	4.16%	456	1.95%	1,430	6.11%
JSCI updated - eligible for higher stream	141	0.60%	96	0.41%	237	1.01%
Persistent non-compliance (Serious Failure)	5,898	25.18%	2,114	9.03%	8,012	34.21%
Other outcomes	8,095	34.56%	3,929	16.77%	12,024	51.34%
No outcomes	1,213	5.18%	506	2.16%	1,719	7.34%
Total	16,321	69.68%	7,101	30.32%	23,422	100.00%

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

1 October 2013 to 31 December 2013

Non Payment Periods (Serious and UNPPs)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Voluntary unemployment- UNPP	430	3.25%	2,890	21.83%	3,320	25.07%
Unemployment due to misconduct – UNPP	137	1.03%	1,319	9.96%	1,456	11.00%
Persistent non-compliance - Serious	2,689	20.31%	5,323	40.20%	8,012	60.51%
Did not commence suitable work - Serious	45	0.34%	196	1.48%	241	1.82%
Refused a suitable job - Serious	<20	N/A	193	1.46%	212	1.60%
Sub Total NPPs	3,320	25.07%	9,921	74.93%	13,241	100.00%

1 October 2013 to 31 December 2013

Other Financial Penalties (Reconnection and NSNP)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Failure to attend provider reconnection	6,603	14.15%	16,901	36.22%	23,504	50.37%
Failure to attend activity specified in EPP – NSNP	6,073	13.02%	16,062	34.42%	22,135	47.44%
Failure to attend job interview – NSNP	64	0.14%	504	1.08%	568	1.22%
Inappropriate conduct in EPP activity – NSNP	50	0.11%	296	0.63%	346	0.74%
Inappropriate presentation or conduct at job interview - NSNP	<20	N/A	103	0.22%	106	0.23%
Sub Total Other Financial penalties	12,793	27.42%	33,866	72.58%	46,659	100.00%

1 October 2013 to 31 December 2013	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Total Financial Penalties	16,113	26.90%	43,787	73.10%	59,900	100.00%

Non-payment penalty periods generally are for a period of eight weeks. However, under the 'Move 2 Work' initiative which commenced on 1 July 2013, 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 October 2013 and 31 December 2013.

1 October 2013 to 31 December 2013

Connection Failures	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Failure to attend Provider appointment	22,613	21.31%	75,777	71.40%	98,390	92.70%
Failure to attend other Provider appointment	334	0.31%	1,373	1.29%	1,707	1.61%
Failure to attend CCA appointment	1,406	1.32%	3,201	3.02%	4,607	4.34%
Failure to comply with Job Search requirement in EPP	143	0.13%	908	0.86%	1,051	0.99%
Failure to enter EPP with provider	<20	N/A	215	0.20%	234	0.22%
Failure to attend provider reengagement appointment (connect)	<20	N/A	<20	N/A	<20	N/A
Failure to attend Centrelink appointment	<20	N/A	55	0.05%	61	0.06%
Unsatisfactory Job Seeker Diary	<20	N/A	48	0.05%	51	0.05%
Failure to return Job Seeker Diary	<20	N/A	21	0.02%	23	0.02%
Failure to negotiate EPP with Centrelink	0	0.00%	<20	N/A	<20	N/A
Other	0	0.00%	<20	N/A	<20	N/A
Total	24,529	23.11%	81,606	76.89%	106,135	100.00%

1 October 2013 to 31 December 2013	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Income support payment suspensions	38,090	21.10%	142,464	78.90%	180,554	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.

1 October 2013 to 31 December 2013

Finalised CCA Outcome	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
JSCI updated - referral for ESA	366	1.56%	1,064	4.54%	1,430	6.11%
JSCI updated - eligible for higher stream	52	0.22%	185	0.79%	237	1.01%
Persistent non-compliance (Serious Failure)	2,689	11.48%	5,323	22.73%	8,012	34.21%
Other outcomes	3,244	13.85%	8,780	37.49%	12,024	51.34%
No outcomes	393	1.68%	1,326	5.66%	1,719	7.34%
Total	6,744	28.79%	16,678	71.21%	23,422	100.00%

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

1 October 2013 to 31 December 2013

Non Payment Periods (Serious and UNPPs)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Voluntary unemployment- UNPP	386	1,431	725	610	168	3,320
Unemployment due to misconduct – UNPP	159	527	367	338	65	1,456
Persistent non-compliance - Serious	2,067	4,101	1,342	475	27	8,012
Did not commence suitable work - Serious	40	105	52	40	<20	241
Refused a suitable job - Serious	36	75	43	47	<20	212
Sub Total NPPs	2,688	6,239	2,529	1,510	275	13,241

1 October 2013 to 31 December 2013

Other Financial Penalties (Reconnection and NSNP)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Failure to attend provider reconnection	5,300	10,952	4,989	2,098	165	23,504
Failure to attend activity specified in EPP – NSNP	5,848	9,696	3,906	2,469	216	22,135
Failure to attend job interview – NSNP	129	234	108	80	<20	568
Inappropriate conduct in EPP activity – NSNP	92	116	63	58	<20	346
Inappropriate presentation or conduct at job interview - NSNP	<20	21	<20	40	<20	106
Sub Total Other Financial penalties	11,382	21,019	9,085	4,745	428	46,659

1 October 2013 to 31 December 2013	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Total Financial Penalties	14,070	27,258	11,614	6,255	703	59,900

Non-payment penalty periods generally are for a period of eight weeks. However, under the ‘Move 2 Work’ initiative which commenced on 1 July 2013, 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 October 2013 and 31 December 2013.

1 October 2013 to 31 December 2013

Connection Failures	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Failure to attend Provider appointment	19,410	40,551	22,041	14,334	2,054	98,390
Failure to attend other Provider appointment	344	668	375	269	51	1,707
Failure to attend CCA appointment	955	2,209	1,036	391	<20	4,607
Failure to comply with Job Search requirement in EPP	166	476	209	164	36	1,051
Failure to enter EPP with provider	30	57	50	70	27	234
Failure to attend provider reengagement appointment (connect)	<20	<20	<20	0	0	<20
Failure to attend Centrelink appointment	<20	21	<20	<20	<20	61
Unsatisfactory Job Seeker Diary	<20	22	<20	<20	<20	51
Failure to return Job Seeker Diary	<20	<20	<20	<20	0	23
Failure to negotiate EPP with Centrelink	<20	0	0	0	0	<20
Other	0	<20	0	0	0	<20
Total	20,922	44,024	23,740	15,256	2,193	106,135

1 October 2013 to 31 December 2013	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Income support payment suspensions	34,912	72,487	41,387	27,229	4,539	180,554

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 October 2013 to 31 December 2013

Finalised CCA Outcome	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
JSCI updated - referral for ESA	295	634	344	150	<20	1,430
JSCI updated - eligible for higher stream	58	101	58	<20	<20	237
Persistent non-compliance (Serious Failure)	2,067	4,101	1,342	475	27	8,012
Other outcomes	2,750	5,306	2,642	1,254	72	12,024
No outcomes	415	751	348	190	<20	1,719
Total	5,585	10,893	4,734	2,086	124	23,422

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

1 October 2013 to 31 December 2013

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	548	231	94	136	43	49	2,219	3,320
Unemployment due to misconduct – UNPP	223	87	41	61	28	<20	1,003	1,456
Persistent non-compliance – Serious	1,101	2,057	1,826	2,414	163	451	0	8,012
Did not commence suitable work - Serious	20	80	34	85	<20	<20	0	241
Refused a suitable job – Serious	30	79	41	44	<20	<20	0	212
Sub Total NPPs	1,922	2,534	2,036	2,740	269	518	3,222	13,241

1 October 2013 to 31 December 2013

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	4,318	4,809	3,693	8,853	782	1,049	0	23,504
Failure to attend activity specified in EPP – NSNP	2,370	6,452	5,562	6,259	387	1,105	0	22,135
Failure to attend job interview – NSNP	67	200	99	144	55	<20	0	568
Inappropriate conduct in EPP activity – NSNP	36	95	79	102	33	<20	0	346
Inappropriate presentation or conduct at job interview - NSNP	<20	34	21	<20	<20	0	0	106
Sub Total Other Financial penalties	6,806	11,590	9,454	15,377	1,274	2,158	0	46,659

1 October 2013 to 31 December 2013	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Not in Employment Services	Total
Total Financial Penalties	8,728	14,124	11,490	18,117	1,543	2,676	3,222	59,900

Non-payment penalty periods generally are for a period of eight weeks. However, under the ‘Move 2 Work’ initiative which commenced on 1 July 2013, 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 October 2013 and 31 December 2013.

1 October 2013 to 31 December 2013

Connection Failures	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Total
Failure to attend Provider appointment	21,667	21,871	15,752	29,416	4,329	5,355	98,390
Failure to attend other Provider appointment	246	304	267	425	412	53	1,707
Failure to attend CCA appointment	327	554	584	2849	153	140	4,607
Failure to comply with Job Search requirement in EPP	324	267	162	275	23	0	1,051
Failure to enter EPP with provider	30	51	45	72	34	<20	234
Failure to attend provider reengagement appointment (connect)	<20	<20	0	<20	0	<20	<20
Failure to attend Centrelink appointment	<20	<20	<20	25	<20	0	61
Unsatisfactory Job Seeker Diary	47	<20	0	0	<20	0	51
Failure to return Job Seeker Diary	<20	0	<20	<20	0	0	23
Failure to negotiate EPP with Centrelink	0	0	<20	0	0	0	<20
Other	0	<20	0	0	0	0	<20
Total	22,669	23,055	16,828	33,067	4,965	5,551	106,135

1 October 2013 to 31 December 2013	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Total
Income Support payment suspensions	44,118	43,887	31,603	45,607	7,567	7,772	180,554

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 October 2013 to 31 December 2013

Finalised CCA Outcome	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	RJCP	Total
JSCI updated – referral for ESAAt	216	352	321	465	42	34	1,430
JSCI updated – eligible for higher stream	56	94	83	<20	0	0	237
Persistent non-compliance (Serious Failure)	1,101	2,057	1,826	2,414	163	451	8,012
Other outcomes	1,284	2,226	2,018	5,511	568	417	12,024
No outcomes	399	568	350	271	73	58	1,719
Total	3,056	5,297	4,598	8,665	846	960	23,422

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

1 October 2013 to 31 December 2013

Non Payment Periods (Serious Failure and UNPP)	NSA	YAL	PPS	Not on allowance	Total
Voluntary unemployment- UNPP	732	251	24	2,313	3,320
Unemployment due to misconduct – UNPP	318	94	<20	1,038	1,456
Persistent non-compliance – Serious	5,080	2,848	84	0	8,012
Did not commence suitable work - Serious	186	53	<20	0	241
Refused a suitable job – Serious	164	45	<20	0	212
Sub Total NPPs	6,480	3,291	119	3,351	13,241

1 October 2013 to 31 December 2013

Other Financial Penalties (Reconnection and NSNP)	NSA	YAL	PPS	Not on allowance	Total
Failure to attend provider reconnection	15,969	7,180	355	0	23,504
Failure to attend activity specified in EPP - NSNP	13,935	7,873	327	0	22,135
Failure to attend job interview - NSNP	384	178	<20	0	568
Inappropriate conduct in EPP activity - NSNP	228	115	<20	0	346
Inappropriate presentation or conduct at job interview - NSNP	89	<20	0	0	106
Sub Total Other Financial penalties	30,605	15,363	691	0	46,659

1 October 2013 to 31 December 2013	NSA	YAL	PPS	Not on allowance	Total
Total Financial Penalties	37,085	18,654	810	3,351	59,900

Non-payment penalty periods generally are for a period of eight weeks. However, under the 'Move 2 Work' initiative which commenced on 1 July 2013, 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 October 2013 and 31 December 2013.

Connection Failures	NSA	YAL	PPS	Total
Failure to attend Provider appointment	69,941	25,876	2,573	98,390
Failure to attend other Provider appointment	1,202	471	34	1,707
Failure to attend CCA appointment	3,233	1,334	40	4,607
Failure to comply with Job Search requirement in EPP	816	235	0	1,051
Failure to enter EPP with provider	189	42	<20	234
Failure to attend provider reengagement appointment (connect)	<20	<20	0	<20
Failure to attend Centrelink appointment	53	<20	<20	61
Unsatisfactory Job Seeker Diary	40	<20	0	51
Failure to return Job Seeker Diary	20	<20	0	23
Failure to negotiate EPP with Centrelink	0	<20	0	<20
Other	0	<20	0	<20
Total	75,500	27,983	2,652	106,135

1 October 2013 to 31 December 2013	NSA	YAL	PPS	Total
Income Support payment suspensions	128,533	46,575	5,446	180,554

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 October 2013 to 31 December 2013

Finalised CCA Outcome	NSA	YAL	PPS	Total
JSCI updated - referral for ESA _t	1,053	354	23	1,430
JSCI updated - eligible for higher stream	162	69	<20	237
Persistent non-compliance (Serious Failure)	5,080	2,848	84	8,012
Other outcomes	8,359	3,455	210	12,024
No outcomes	1,151	524	44	1,719
Total	15,805	7,250	367	23,422

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 second quarter of the 2013/14 financial year (i.e. applied/finalised in the period 1/10/2013 -31/12/2013 inclusive) and not under review, revoked or otherwise overturned as at 10/02/2014. 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.