

Job Seeker Compliance Data – December Quarter 2011

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Part A

1 - Number of job seekers

	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.
31 December 2011	538,924	73%	68,314	41,187	94,212	203,713	27%	742,637

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 2011.

“*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 2011	145,480	20%

“*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 JSA providers

	Appointments attended		Appointments not attended				Total Appointments	
			Valid reason	Invalid reason	Discretion	Total		
	No.	%	%	%	%	No.	%	No.
1 October to 31 December 2011	1,234,016	57%	20%	16%	7%	928,639	43%	2,162,655

Appointment data is a count of all initial and ongoing contact appointments with Job Services Australia providers.

“*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 2011	72,828	9,089	8,211	18,026	108,154

This table includes all participation payment suspensions as a result of non attendance at JSA and DES 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 2011	172,851	20%	54,435	6%

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 2011	79%	16%	163,524	95%	5%	172,851

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.
1 October to 31 December 2011	114,099	66%	58,752	34%	172,851

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

8 – DHS reasons for applying Participation Reports

	Prior notice of reasonable excuse required				Prior notice not relevant – no reasonable excuse		Total applied	
	Prior notice not given		Prior notice given but no reasonable excuse		No	%	No.	%
	No.	%	No.	%				
1 October to 31 December 2011	88,082	77%	6,164	6%	19,853	17%	114,099	100%

Since 1 July 2011, if a job seeker is unable to attend an appointment or activity they must give prior notice of a reasonable excuse 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 reason 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

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.
I October to 31 December 2011	34,246	58%	6%	22%	12%	2%	24,506	42%	58,752

“*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.
1 October to 31 December 2011	7%	15%	11%	8%	4%	4%	3%	2%	4%	58%	34,246

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

	No. of PRs per job seeker	No. of all job seekers	% of all job seekers	% of Participation Reports
	0	566,703	76%	N/A
	1	75,653	10%	16%
	2	36,435	5%	15%
	3	22,226	3%	14%
	4	13,876	2%	12%
	5+	27,744	4%	43%
31 December 2011	Total	742,637	100%	100%

“No. of all job seekers” means the total number of job seekers (including early school leavers) as at 31 December 2011.

“% of all job seekers” indicates the proportion of the total number of job seekers as at 31 December 2011 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 2011 during the preceding twelve month period (e.g. 15 per cent of all PRs submitted between 1 January 2011 and 31 December 2011 were submitted in relation to those job seekers at 31 December 2011 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 2011	118,947	13%

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

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

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

12 – Types of Participation Failures: Overview

	Connection Failures		Reconnection Failures		No Show No Pay Failures		Serious Failures		Total Failures
	No.	%	No.	%	No.	%	No	%	No.
1 October to 31 December 2011	80,130	67%	14,801	12%	18,602	16%	5,414	5%	118,947

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 2011	4,848	90%	234	4%	332	6%	5,414

14 – Outcomes of Comprehensive Compliance Assessments

	Serious Failure (8 week penalty) imposed for persistent non-compliance		Further assessment/assistance				Change in activity		Other action or no action		Total
			Referral for ESAt	Referral to other stream	Total						
	No.	%	No.	No.	No.	%	No.	%	No.	%	No.
1 October to 31 December 2011	4,848	29%	1,789	243	2,032	12%	3,400	20%	6,600	39%	16,880

“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.

“Referral to other 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.

“Change in activity” means a formal recommendation was made for a provider to update a job seeker’s Employment Pathway Plan with other or additional activities.

“Other action or no action” means no formal recommendation was made to change servicing arrangements, but additional information or suggestions may have been made for providers to take account of when dealing with a job seeker.

15 - Sanctions for Serious Failures

	Serious Failures						
	Non Payment Period		Financial penalty waived				Total
			Compliance Activity		Financial Hardship		
No.	%	No.	%	No.	%	No.	
1 October to 31 December 2011	1,818	33%	3,556	66%	40	1%	5,414

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 Comprehensive Compliance Assessments by Gender

I October 2011 to 31 December 2011								
Non Payment Periods (Serious and UNPPs)	Male	Male %	Female	Female %	Total	Total %	Financial YTD	Financial YTD%
Voluntary unemployment- UNPP	2,765	24.40%	1,476	13.03%	4,241	37.43%	8,294	37.89%
Unemployment due to misconduct – UNPP	1,284	11.33%	391	3.45%	1,675	14.78%	3,294	15.05%
Persistent non compliance – Serious	3,604	31.81%	1,244	10.98%	4,848	42.79%	9,189	41.98%
Did not commence suitable work - Serious	274	2.42%	58	0.51%	332	2.93%	626	2.86%
Refused a suitable job – Serious	175	1.54%	59	0.52%	234	2.07%	487	2.22%
Sub Total NPPs	8,102	71.51%	3,228	28.49%	11,330	100.00%	21,890	100.00%

I October 2011 to 31 December 2011								
Other Financial Penalties (Reconnection and NSNP)	Male	Male %	Female	Female %	Total	Total %	Financial YTD	Financial YTD%
Failure to attend provider reconnection	10,324	30.91%	4,477	13.40%	14,801	44.31%	28,533	43.64%
Failure to attend activity specified in EPP - NSNP	12,092	36.20%	5,286	15.82%	17,378	52.03%	34,348	52.53%
Failure to attend job interview - NSNP	566	1.69%	282	0.84%	848	2.54%	1,733	2.65%
Inappropriate conduct in EPP activity - NSNP	180	0.54%	47	0.14%	227	0.68%	450	0.69%
Inappropriate presentation or conduct at job interview - NSNP	109	0.33%	40	0.12%	149	0.45%	321	0.49%
Sub Total Other Financial penalties	23,271	69.67%	10,132	30.33%	33,403	100.00%	65,385	100.00%

Total Financial Penalties	31,373	70.13%	13,360	29.87%	44,733	100.00%	87,275	100.00%
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Non payment penalty periods generally are for a period of eight weeks. However, under the ‘Connecting People with Jobs’ initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non payment penalties applied during the period 1 October 2011 – 31 December 2011.

I October 2011 to 31 December 2011								
Connection Failures	Male	Male %	Female	Female %	Total	Total %	Financial YTD	Financial YTD%
Failure to attend Provider appointment	49,027	61.18%	26,397	32.94%	75,424	94.13%	150,949	93.44%
Failure to comply with Job Search requirement in EPP	868	1.08%	344	0.43%	1,212	1.51%	2,812	1.74%
Failure to attend other Provider appointment	687	0.86%	330	0.41%	1,017	1.27%	2,238	1.39%
Failure to attend CCA appointment	587	0.73%	273	0.34%	860	1.07%	1,909	1.18%
Failure to attend DHS appointment	573	0.72%	386	0.48%	959	1.20%	1,876	1.16%
Failure to attend provider reengagement appointment (connect)	240	0.30%	102	0.13%	342	0.43%	1,129	0.70%
Failure to enter EPP with provider	215	0.27%	61	0.08%	276	0.34%	551	0.34%
Unsatisfactory Job Seeker Diary	<20	N/A	<20	N/A	<20	N/A	37	0.02%
Failure to return Job Seeker Diary	<20	N/A	<20	N/A	<20	N/A	33	0.02%
Failure to enter EPP at ESP reengage (connect)	<20	N/A	<20	N/A	<20	N/A	<20	N/A
Other	<20	N/A	<20	N/A	<20	N/A	<20	N/A
Total	52,226	65.18%	27,904	34.82%	80,130	100.00%	161,555	100.00%

I October 2011 to 31 December 2011	Male	Male %	Female	Female %	Total	Total %	Financial YTD
Income support payment suspensions	69,280	64.06%	38,874	35.94%	108,154	100.00%	200,957

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

I October 2011 to 31 December 2011								
Finalised CCA Outcome	Male	Male %	Female	Female %	Total	Total %	Financial YTD	Financial YTD%
JSCI updated - referral for ESA	1,150	6.81%	639	3.79%	1,789	10.60%	3,628	11.34%
No changes to servicing arrangements	4,534	26.86%	2,066	12.24%	6,600	39.10%	11,710	36.59%
Persistent non compliance (Serious Failure)	3,604	21.35%	1,244	7.37%	4,848	28.72%	9,189	28.72%
Change in activity - update EPP	2,249	13.32%	1,151	6.82%	3,400	20.14%	6,915	21.61%
JSCI updated. Referral to other stream recommended	163	0.97%	80	0.47%	243	1.44%	558	1.74%
Total	11,700	69.31%	5,180	30.69%	16,880	100.00%	32,000	100.00%

17 - Financial Penalties, Connection Failures, Income Support Payment Suspensions and Comprehensive Compliance Assessments by Indigenous Status

1 October 2011 to 31 December 2011								
Non Payment Periods (Serious and UNPPs)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
Voluntary unemployment- UNPP	497	4.39%	3,744	33.05%	4,241	37.43%	8,294	37.89%
Unemployment due to misconduct – UNPP	157	1.39%	1,518	13.40%	1,675	14.78%	3,294	15.05%
Persistent non compliance - Serious	1,503	13.27%	3,345	29.52%	4,848	42.79%	9,189	41.98%
Did not commence suitable work - Serious	52	0.46%	280	2.47%	332	2.93%	626	2.86%
Refused a suitable job - Serious	26	0.23%	208	1.84%	234	2.07%	487	2.22%
Sub Total NPPs	2,235	19.73%	9,095	80.27%	11,330	100.00%	21,890	100.00%

1 October 2011 to 31 December 2011								
Other Financial Penalties (Reconnection and NSNP)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
Failure to attend provider reconnection	4,110	12.30%	10,691	32.01%	14,801	44.31%	28,533	43.64%
Failure to attend activity specified in EPP – NSNP	4,517	13.52%	12,861	38.50%	17,378	52.03%	34,348	52.53%
Failure to attend job interview – NSNP	99	0.30%	749	2.24%	848	2.54%	1,733	2.65%
Inappropriate conduct in EPP activity – NSNP	33	0.10%	194	0.58%	227	0.68%	450	0.69%
Inappropriate presentation or conduct at job interview - NSNP	<20	N/A	139	0.42%	149	0.45%	321	0.49%
Sub Total Other Financial penalties	8,769	26.25%	24,634	73.75%	33,403	100.00%	65,385	100.00%

Total Financial Penalties	11,004	24.60%	33,729	75.40%	44,733	100.00%	87,275	100.00%
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Non payment penalty periods generally are for a period of eight weeks. However, under the 'Connecting People with Jobs' initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non payment penalties applied during the period 1 October 2011 to 31 December 2011.

I October 2011 to 31 December 2011								
Connection Failures	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
Failure to attend Provider appointment	17,038	21.26%	58,386	72.86%	75,424	94.13%	150,949	93.44%
Failure to comply with Job Search requirement in EPP	189	0.24%	1,023	1.28%	1,212	1.51%	2,812	1.74%
Failure to attend other Provider appointment	278	0.35%	739	0.92%	1,017	1.27%	2,238	1.39%
Failure to attend CCA appointment	318	0.40%	542	0.68%	860	1.07%	1,909	1.18%
Failure to attend DHS appointment	138	0.17%	821	1.02%	959	1.20%	1,876	1.16%
Failure to attend provider reengagement appointment (connect)	86	0.11%	256	0.32%	342	0.43%	1,129	0.70%
Failure to enter EPP with provider	20	0.02%	256	0.32%	276	0.34%	551	0.34%
Unsatisfactory Job Seeker Diary	<20	N/A	<20	N/A	<20	N/A	37	0.02%
Failure to return Job Seeker Diary	<20	N/A	<20	N/A	<20	N/A	33	0.02%
Failure to enter EPP at ESP reengage (connect)	<20	N/A	<20	N/A	<20	N/A	<20	N/A
Other	<20	N/A	<20	N/A	<20	N/A	<20	N/A
Total	18,071	22.55%	62,059	77.45%	80,130	100.00%	161,555	100.00%

I October 2011 to 31 December 2011	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD
Income support payment suspensions	23,737	21.95%	84,417	78.05%	108,154	100.00%	200,957

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

I October 2011 to 31 December 2011								
Finalised CCA Outcome	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %	Financial YTD	Financial YTD%
JSCI updated - referral for ESAAt	444	2.63%	1,345	7.97%	1,789	10.60%	3,628	11.34%
No changes to servicing arrangements	1,912	11.33%	4,688	27.77%	6,600	39.10%	11,710	36.59%
Persistent non compliance (Serious Failure)	1,503	8.90%	3,345	19.82%	4,848	28.72%	9,189	28.72%
Change in activity - update EPP	1,020	6.04%	2,380	14.10%	3,400	20.14%	6,915	21.61%
JSCI updated. Referral to other stream recommended	55	0.33%	188	1.11%	243	1.44%	558	1.74%
Total	4,934	29.23%	11,946	70.77%	16,880	100.00%	32,000	100.00%

18 - Financial Penalties, Connection Failures, Income Support Payment Suspensions and Comprehensive Compliance Assessments by Age Group

I October 2011 to 31 December 2011								
Non Payment Periods (Serious and UNPPs)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total	Financial YTD	Financial YTD%
Voluntary unemployment- UNPP	657	1,851	889	684	160	4,241	8,294	37.89%
Unemployment due to misconduct – UNPP	233	650	418	315	59	1,675	3,294	15.05%
Persistent non compliance - Serious	1,489	2,375	700	273	<20	4,848	9,189	41.98%
Did not commence suitable work - Serious	68	160	66	35	<20	332	626	2.86%
Refused a suitable job - Serious	34	78	67	52	<20	234	487	2.22%
Sub Total NPPs	2,481	5,114	2,140	1,359	236	11,330	21,890	100.00%

I October 2011 to 31 December 2011								
Other Financial Penalties (Reconnection and NSNP)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total	Financial YTD	Financial YTD%
Failure to attend provider reconnection	4,160	6,751	2,650	1,143	97	14,801	28,533	43.64%
Failure to attend activity specified in EPP – NSNP	4,789	7,503	2,972	1,892	222	17,378	34,348	52.53%
Failure to attend job interview – NSNP	203	373	150	108	<20	848	1,733	2.65%
Inappropriate conduct in EPP activity – NSNP	66	68	33	43	<20	227	450	0.69%
Inappropriate presentation or conduct at job interview - NSNP	<20	61	29	29	<20	149	321	0.49%
Sub Total Other Financial penalties	9,234	14,756	5,834	3,215	364	33,403	65,385	100.00%

Total Financial Penalties	11,715	19,870	7,974	4,574	600	44,733	87,275	100.00%
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Non payment penalty periods generally are for a period of eight weeks. However, under the 'Connecting People with Jobs' initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non payment penalties applied during the period 1 October 2011 to 31 December 2011.

I October 2011 to 31 December 2011								
Connection Failures	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total	Financial YTD	Financial YTD%
Failure to attend Provider appointment	17,971	31,380	15,615	9,315	1,143	75,424	150,949	93.44%
Failure to comply with Job Search requirement in EPP	167	572	248	189	36	1,212	2,812	1.74%
Failure to attend other Provider appointment	288	392	190	128	<20	1,017	2,238	1.39%
Failure to attend CCA appointment	278	393	136	48	<20	860	1,909	1.18%
Failure to attend DHS appointment	168	384	205	177	25	959	1,876	1.16%
Failure to attend provider reengagement appointment (connect)	82	153	75	31	<20	342	1,129	0.70%
Failure to enter EPP with provider	42	58	77	71	28	276	551	0.34%
Unsatisfactory Job Seeker Diary	<20	<20	<20	<20	0	<20	37	0.02%
Failure to return Job Seeker Diary	<20	<20	<20	0	0	<20	33	0.02%
Failure to enter EPP at ESP reengage (connect)	<20	<20	<20	0	0	<20	<20	N/A
Other	<20	<20	0	0	0	<20	<20	N/A
Total	19,004	33,355	16,552	9,962	1,257	80,130	161,555	100.00%

I October 2011 to 31 December 2011	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total	Financial YTD
Income support payment suspensions	25,716	44,430	22,375	13,635	1,998	108,154	200,957

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

I October 2011 to 31 December 2011								
Finalised CCA Outcome	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total	Financial YTD	Financial YTD%
JSCI updated - referral for ESAt	454	815	367	145	<20	1,789	3,628	11.34%
No changes to servicing arrangements	1,645	3,070	1,227	611	47	6,600	11,710	36.59%
Persistent non compliance (Serious Failure)	1,489	2,375	700	273	<20	4,848	9,189	28.72%
Change in activity - update EPP	858	1,499	715	313	<20	3,400	6,915	21.61%
JSCI updated. Referral to other stream recommended	74	113	42	<20	0	243	558	1.74%
Total	4,520	7,872	3,051	1,356	81	16,880	32,000	100.00%

19 - Financial Penalties, Connection Failures, Income Support Payment Suspensions and Comprehensive Compliance Assessments by Employment Services

1 October 2011 to 31 December 2011									
Non Payment Periods (Serious and UNPPs)	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	Not in Employment Services	Total	Financial YTD	Financial YTD%
Voluntary unemployment- UNPP	609	372	212	285	48	2,715	4,241	8,294	37.89%
Unemployment due to misconduct – UNPP	226	150	79	118	30	1,072	1,675	3,294	15.05%
Persistent non compliance – Serious	444	1,235	1,457	1,624	88	0	4,848	9,189	41.98%
Did not commence suitable work - Serious	<20	111	77	113	<20	0	332	626	2.86%
Refused a suitable job – Serious	21	71	68	43	31	0	234	487	2.22%
Sub Total NPPs	1,317	1,939	1,893	2,183	211	3,787	11,330	21,890	100.00%

1 October 2011 to 31 December 2011									
Other Financial Penalties (Reconnection and NSNP)	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	Not in Employment Services	Total	Financial YTD	Financial YTD%
Failure to attend provider reconnection	1,826	3,237	3,255	6,087	396	0	14,801	28,533	43.64%
Failure to attend activity specified in EPP - NSNP	1,975	4,762	5,276	5,072	293	0	17,378	34,348	52.53%
Failure to attend job interview - NSNP	44	297	202	250	55	0	848	1,733	2.65%
Inappropriate conduct in EPP activity - NSNP	<20	62	60	67	25	0	227	450	0.69%
Inappropriate presentation or conduct at job interview - NSNP	<20	52	46	34	<20	0	149	321	0.49%
Sub Total Other Financial penalties	3,865	8,410	8,839	11,510	779	0	33,403	65,385	100.00%

Total Financial Penalties	5,182	10,349	10,732	13,693	990	3,787	44,733	87,275	100.00%
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Non payment penalty periods generally are for a period of eight weeks. However, under the 'Connecting People with Jobs' initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non payment penalties applied during the period 1 October 2011 to 31 December 2011.

I October 2011 to 31 December 2011								
Connection Failures	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	Total	Financial YTD	Financial YTD%
Failure to attend Provider appointment	11,428	18,130	16,047	26,781	3,038	75,424	150,949	93.44%
Failure to comply with Job Search requirement in EPP	291	315	302	285	<20	1,212	2,812	1.74%
Failure to attend other Provider appointment	86	212	248	341	130	1,017	2,238	1.39%
Failure to attend CCA appointment	56	167	246	363	28	860	1,909	1.18%
Failure to attend DHS appointment	200	321	316	101	21	959	1,876	1.16%
Failure to attend provider reengagement appointment (connect)	43	65	61	168	<20	342	1,129	0.70%
Failure to enter EPP with provider	29	58	61	85	43	276	551	0.34%
Unsatisfactory Job Seeker Diary	<20	<20	<20	0	0	<20	37	0.02%
Failure to return Job Seeker Diary	<20	<20	0	<20	0	<20	33	0.02%
Failure to enter EPP at ESP reengage (connect)	0	<20	<20	<20	0	<20	<20	N/A
Other	0	<20	<20	<20	0	<20	<20	N/A
Total	12,160	19,275	17,284	28,127	3,284	80,130	161,555	100.00%

I October 2011 to 31 December 2011	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	Total	Financial YTD
Income support payment Suspensions	18,707	29,185	25,274	31,392	3,596	108,154	200,957

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

I October 2011 to 31 December 2011								
Finalised CCA Outcome	JSA Stream 1	JSA Stream 2	JSA Stream 3	JSA Stream 4	DES	Total	Financial YTD	Financial YTD%
JSCI updated - referral for ESAAt	265	578	588	319	39	1,789	3,628	11.34%
No changes to servicing arrangements	678	1,472	1,735	2,431	284	6,600	11,710	36.59%
Persistent non compliance (Serious Failure)	444	1,235	1,457	1,624	88	4,848	9,189	28.72%
Change in activity - update EPP	81	300	436	2,426	157	3,400	6,915	21.61%
JSCI updated. Referral to other stream recommended	47	88	90	<20	<20	243	558	1.74%
Total	1,515	3,673	4,306	6,813	573	16,880	32,000	100.00%

20 - Financial Penalties, Connection Failures, Income Support Payment Suspensions and Comprehensive Compliance Assessments by Allowance Type

1 October 2011 to 31 December 2011								
Non Payment Periods (Serious Failure and UNPP)	NSA	YAL	PPP	PPS	Not on allowance	Total	Financial YTD	Financial YTD%
Voluntary unemployment- UNPP	567	161	<20	22	3,488	4,241	8,294	37.89%
Unemployment due to misconduct – UNPP	236	65	0	<20	1,371	1,675	3,294	15.05%
Persistent non compliance – Serious	3,183	1,583	<20	77	0	4,848	9,189	41.98%
Did not commence suitable work - Serious	257	74	0	<20	0	332	626	2.86%
Refused a suitable job – Serious	191	37	<20	<20	0	234	487	2.22%
Sub Total NPPs	4,434	1,920	<20	108	4,859	11,330	21,890	100.00%

1 October 2011 to 31 December 2011								
Other Financial Penalties (Reconnection and NSNP)	NSA	YAL	PPP	PPS	Not on allowance	Total	Financial YTD	Financial YTD%
Failure to attend provider reconnection	10,034	4,428	<20	324	0	14,801	28,533	43.64%
Failure to attend activity specified in EPP - NSNP	11,820	5,057	46	455	0	17,378	34,348	52.53%
Failure to attend job interview - NSNP	616	217	0	<20	0	848	1,733	2.65%
Inappropriate conduct in EPP activity - NSNP	153	69	0	<20	0	227	450	0.69%
Inappropriate presentation or conduct at job interview - NSNP	128	<20	<20	<20	0	149	321	0.49%
Sub Total Other Financial penalties	22,751	9,790	62	800	0	33,403	65,385	100.00%

Total Financial Penalties	27,185	11,710	71	908	4,859	44,733	87,275	100.00%
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Non payment penalty periods generally are for a period of eight weeks. However, under the 'Connecting People with Jobs' initiative which commenced on 1 January 2011, should a participant voluntarily leave a relocation job within the first six months without a reasonable excuse or their employment is terminated during this period due to misconduct, they may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment. The above data includes <20 12 week non payment penalties applied during the period 1 October 2011 to 31 December 2011.

I October 2011 to 31 December 2011							
Connection Failures	NSA	YAL	PPP	PPS	Total	Financial YTD	Financial YTD%
Failure to attend Provider appointment	52,897	19,143	190	3,194	75,424	150,949	93.44%
Failure to comply with Job Search requirement in EPP	975	179	<20	55	1,212	2,812	1.74%
Failure to attend other Provider appointment	665	312	<20	38	1,017	2,238	1.39%
Failure to attend CCA appointment	554	293	<20	<20	860	1,909	1.18%
Failure to attend DHS appointment	709	184	<20	59	959	1,876	1.16%
Failure to attend provider reengagement appointment (connect)	247	86	<20	<20	342	1,129	0.70%
Failure to enter EPP with provider	226	46	<20	<20	276	551	0.34%
Unsatisfactory Job Seeker Diary	<20	<20	0	0	<20	37	0.02%
Failure to return Job Seeker Diary	<20	<20	0	0	<20	33	0.02%
Failure to enter EPP at ESP reengage (connect)	<20	<20	0	0	<20	<20	N/A
Other	<20	<20	0	0	<20	<20	N/A
Total	56,304	20,252	205	3,369	80,130	161,555	100.00%

I October 2011 to 31 December 2011	NSA	YAL	PPP	PPS	Total	Financial YTD
Income support payment suspensions	75,058	27,403	306	5,387	108,154	200,957

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

I October 2011 to 31 December 2011							
Finalised CCA Outcome	NSA	YAL	PPP	PPS	Total	Financial YTD	Financial YTD%
JSCI updated - referral for ESAt	1,239	480	<20	68	1,789	3,628	11.34%
No changes to servicing arrangements	4,639	1,748	<20	195	6,600	11,710	36.59%
Persistent non compliance (Serious Failure)	3,183	1,583	<20	77	4,848	9,189	28.72%
Change in activity - update EPP	2,407	903	<20	89	3,400	6,915	21.61%
JSCI updated. Referral to other stream recommended	163	76	0	<20	243	558	1.74%
Total	11,631	4,790	26	433	16,880	32,000	100.00%

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 2011/12 financial year (i.e. applied/finalised in the period 1/10/2011 - 31/12/2011 inclusive) and not under review, revoked or otherwise overturned as at 13/02/2012. 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.