

# Job Seeker Compliance Data – September 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.
<b>30 September 2011</b>	492,793	70%	67,016	40,592	105,208	212,816	30%	705,609

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 30 September 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
30 September 2011	129,047	18%

“*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	
	No.	%	Valid reason	Invalid reason	Discretion	Total		
			%	%	%	No.	%	No.
1 July to 30 September 2011	1,375,689	58%	19%	16%	7%	1,012,729	42%	2,388,418

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	
<b>1 July to 30 September 2011</b>	59,796	6,328	7,738	19,264	93,126

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
<b>1 July to 30 September 2011</b>	178,581	21%	62,760	7%

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.
<b>1 July to 30 September 2011</b>	79%	15%	167,963	94%	6%	178,581

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.
<b>1 July to 30 September 2011</b>	113,954	64%	64,627	36%	178,581

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.	%				
<b>1 July to 30 September 2011</b>	69,179	58%	5,365	4%	39,410	38%	113,954	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.
<b>1 July to 30 September 2011</b>	40,219	62%	6%	19%	12%	1%	24,408	38%	64,627

“*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).

<b>DHS reasons for rejecting Participation Reports: Reasonable Excuse</b>											
	<b>Medical reason - A</b>	<b>Medical reason - B</b>	<b>Other acceptable activity</b>	<b>Personal crisis</b>	<b>Caring responsibilities</b>	<b>Homelessness</b>	<b>Transport difficulties</b>	<b>Cultural/language issues</b>	<b>Other</b>	<b>Total rejections for reasonable excuse</b>	
	%	%	%	%	%	%	%	%	%	%	No.
<b>1 July to 30 September 2011</b>	8%	16%	11%	8%	4%	5%	3%	2%	5%	62%	40,219

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	545,283	77%	N/A
	1	70,880	10%	18%
	2	33,520	5%	16%
	3	19,898	3%	15%
	4	12,113	2%	11%
	5+	23,915	3%	40%
<b>30 September 2011</b>		<b>705,609</b>	<b>100%</b>	<b>100%</b>

“No. of all job seekers” means the total number of job seekers (including early school leavers) as at 30 September 2011.

“% of all job seekers” indicates the proportion of the total number of job seekers as at 30 September 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 30 September 2011 during the preceding twelve month period (e.g. 16 per cent of all PRs submitted between 1 October 2010 and 30 September 2011 were submitted in relation to those job seekers at 30 September 2011 who received two Participation Reports during this period).

## 11 – Number of Participation Failures

	No. of Participation Failures	% of active job seekers
<b>1 July to 30 September 2011</b>	118,295	14%

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.
<b>1 July to 30 September 2011</b>	81,425	69%	13,732	12%	18,250	15%	4,888	4%	118,295

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.
<b>1 July to 30 September 2011</b>	4,341	89%	253	5%	294	6%	4,888

## 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 ESA <sub>t</sub>	Referral to other stream	Total						
	No.	%	No.	No.	No.	%	No.	%	No.	%	No.
<b>1 July to 30 September 2011</b>	4,341	29%	1,839	315	2,154	14%	3,515	23%	5,110	34%	15,120

“Referral for ESA<sub>t</sub>” 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.	
<b>30 September 2011</b>	1,783	36%	3,043	62%	62	1%	4,888

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

1 July 2011 to 30 September 2011						
Non Payment Periods (Serious and UNPPs)	Male	Male %	Female	Female %	Total	Total %
Voluntary unemployment- UNPP	2,739	25.94%	1,314	12.44%	4,053	38.38%
Unemployment due to misconduct – UNPP	1,242	11.76%	377	3.57%	1,619	15.33%
Persistent non compliance – Serious	3,283	31.09%	1,058	10.02%	4,341	41.11%
Did not commence suitable work - Serious	236	2.23%	58	0.55%	294	2.78%
Refused a suitable job – Serious	185	1.75%	68	0.64%	253	2.40%
<b>Sub Total NPPs</b>	<b>7,685</b>	<b>72.77%</b>	<b>2,875</b>	<b>27.23%</b>	<b>10,560</b>	<b>100.00%</b>

1 July 2011 to 30 September 2011						
Other Financial Penalties (Reconnection and NSNP)	Male	Male %	Female	Female %	Total	Total %
Failure to attend provider reconnection	9,604	30.03%	4,128	12.91%	13,732	42.94%
Failure to attend activity specified in EPP - NSNP	12,070	37.74%	4,900	15.32%	16,970	53.06%
Failure to attend job interview - NSNP	578	1.81%	307	0.96%	885	2.77%
Inappropriate conduct in EPP activity - NSNP	170	0.53%	53	0.17%	223	0.70%
Inappropriate presentation or conduct at job interview - NSNP	126	0.39%	46	0.14%	172	0.54%
<b>Sub Total Other Financial penalties</b>	<b>22,548</b>	<b>70.50%</b>	<b>9,434</b>	<b>29.50%</b>	<b>31,982</b>	<b>100.00%</b>

<b>Total Financial Penalties</b>	<b>30,233</b>	<b>71.07%</b>	<b>12,309</b>	<b>28.93%</b>	<b>42,542</b>	<b>100.00%</b>
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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 July 2011 – 30 September 2011.

<b>1 July 2011 to 30 September 2011</b>						
<b>Connection Failures</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>
Failure to attend Provider appointment	49,801	61.16%	25,724	31.59%	75,525	92.75%
Failure to comply with Job Search requirement in EPP	1,148	1.41%	452	0.56%	1,600	1.96%
Failure to attend other Provider appointment	790	0.97%	431	0.53%	1,221	1.50%
Failure to attend CCA appointment	735	0.90%	314	0.39%	1,049	1.29%
Failure to attend DHS appointment	584	0.72%	333	0.41%	917	1.13%
Failure to attend provider reengagement appointment (connect)	523	0.64%	264	0.32%	787	0.97%
Failure to enter EPP with provider	209	0.26%	66	0.08%	275	0.34%
Unsatisfactory Job Seeker Diary	<20	N/A	<20	N/A	20	0.02%
Failure to return Job Seeker Diary	<20	N/A	<20	N/A	<20	N/A
Failure to enter EPP at ESP reengage (connect)	<20	N/A	<20	N/A	<20	N/A
Other	<20	N/A	<20	N/A	<20	N/A
<b>Total</b>	<b>53,824</b>	<b>66.10%</b>	<b>27,601</b>	<b>33.90%</b>	<b>81,425</b>	<b>100.00%</b>

<b>30 September 2011</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>
<b>Income support payment suspensions</b>	60,253	64.70%	32,873	35.30%	93,126	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.

<b>1 July 2011 to 30 September 2011</b>						
<b>Finalised CCA Outcome</b>	<b>Male</b>	<b>Male %</b>	<b>Female</b>	<b>Female %</b>	<b>Total</b>	<b>Total %</b>
JSCI updated - referral for ESA	1,230	8.13%	609	4.03%	1,839	12.16%
No changes to servicing arrangements	3,568	23.60%	1,542	10.20%	5,110	33.80%
Persistent non compliance (Serious Failure)	3,283	21.71%	1,058	7.00%	4,341	28.71%
Change in activity - update EPP	2,341	15.48%	1,174	7.76%	3,515	23.25%
JSCI updated. Referral to other stream recommended	217	1.44%	98	0.65%	315	2.08%
<b>Total</b>	<b>10,639</b>	<b>70.36%</b>	<b>4,481</b>	<b>29.64%</b>	<b>15,120</b>	<b>100.00%</b>

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

1 July 2011 to 30 September 2011						
Non Payment Periods (Serious and UNPPs)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Voluntary unemployment- UNPP	458	4.34%	3,595	34.04%	4,053	38.38%
Unemployment due to misconduct – UNPP	144	1.36%	1,475	13.97%	1,619	15.33%
Persistent non compliance - Serious	1,162	11.00%	3,179	30.10%	4,341	41.10%
Did not commence suitable work - Serious	44	0.42%	250	2.37%	294	2.79%
Refused a suitable job - Serious	28	0.27%	225	2.13%	253	2.40%
<b>Sub Total NPPs</b>	<b>1,836</b>	<b>17.39%</b>	<b>8,724</b>	<b>82.61%</b>	<b>10,560</b>	<b>100.00%</b>

1 July 2011 to 30 September 2011						
Other Financial Penalties (Reconnection and NSNP)	Indigenous	Indigenous %	Non Indigenous	Non Indigenous %	Total	Total %
Failure to attend provider reconnection	3,755	11.74%	9,977	31.20%	13,732	42.94%
Failure to attend activity specified in EPP – NSNP	4,266	13.34%	12,704	39.72%	16,970	53.06%
Failure to attend job interview – NSNP	104	0.33%	781	2.44%	885	2.77%
Inappropriate conduct in EPP activity – NSNP	29	0.09%	194	0.61%	223	0.70%
Inappropriate presentation or conduct at job interview - NSNP	<20	N/A	169	0.53%	172	0.53%
<b>Sub Total Other Financial penalties</b>	<b>8,157</b>	<b>25.50%</b>	<b>23,825</b>	<b>74.50%</b>	<b>31,982</b>	<b>100.00%</b>

<b>Total Financial Penalties</b>	<b>9,993</b>	<b>23.49%</b>	<b>32,549</b>	<b>76.51%</b>	<b>42,542</b>	<b>100.00%</b>
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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 July 2011 – 30 September 2011.

<b>I July 2011 to 30 September 2011</b>						
<b>Connection Failures</b>	<b>Indigenous</b>	<b>Indigenous %</b>	<b>Non Indigenous</b>	<b>Non Indigenous %</b>	<b>Total</b>	<b>Total %</b>
Failure to attend Provider appointment	16,316	20.04%	59,209	72.72%	75,525	92.75%
Failure to comply with Job Search requirement in EPP	233	0.29%	1,367	1.68%	1,600	1.96%
Failure to attend other Provider appointment	390	0.48%	831	1.02%	1,221	1.50%
Failure to attend CCA appointment	367	0.45%	682	0.84%	1,049	1.29%
Failure to attend DHS appointment	104	0.13%	813	1.00%	917	1.13%
Failure to attend provider reengagement appointment (connect)	208	0.26%	579	0.71%	787	0.97%
Failure to enter EPP with provider	<20	N/A	257	0.32%	275	0.34%
Unsatisfactory Job Seeker Diary	<20	N/A	20	0.02%	20	0.02%
Failure to return Job Seeker Diary	<20	N/A	<20	N/A	<20	N/A
Failure to enter EPP at ESP reengage (connect)	<20	N/A	<20	N/A	<20	N/A
Other	<20	N/A	<20	N/A	<20	N/A
<b>Total</b>	<b>17,640</b>	<b>21.66%</b>	<b>63,785</b>	<b>78.34%</b>	<b>81,425</b>	<b>100.00%</b>

<b>30 September 2011</b>	<b>Indigenous</b>	<b>Indigenous %</b>	<b>Non Indigenous</b>	<b>Non Indigenous %</b>	<b>Total</b>	<b>Total %</b>
<b>Income support payment suspensions</b>	19,994	21.47%	73,132	78.53%	93,126	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.

<b>I July 2011 to 30 September 2011</b>						
<b>Finalised CCA Outcome</b>	<b>Indigenous</b>	<b>Indigenous %</b>	<b>Non Indigenous</b>	<b>Non Indigenous %</b>	<b>Total</b>	<b>Total %</b>
JSCI updated - referral for ESA	461	3.05%	1,378	9.11%	1,839	12.16%
No changes to servicing arrangements	1,409	9.32%	3,701	24.48%	5,110	33.80%
Persistent non compliance (Serious Failure)	1,162	7.68%	3,179	21.03%	4,341	28.71%
Change in activity - update EPP	977	6.46%	2,538	16.79%	3,515	23.25%
JSCI updated. Referral to other stream recommended	68	0.45%	247	1.63%	315	2.08%
<b>Total</b>	<b>4,077</b>	<b>26.96%</b>	<b>11,043</b>	<b>73.04%</b>	<b>15,120</b>	<b>100.00%</b>

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

1 July 2011 to 30 September 2011						
Non Payment Periods (Serious and UNPPs)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Voluntary unemployment- UNPP	612	1,745	861	655	180	4,053
Unemployment due to misconduct – UNPP	236	642	376	314	51	1,619
Persistent non compliance - Serious	1,224	2,212	647	248	<20	4,341
Did not commence suitable work - Serious	47	135	69	39	<20	294
Refused a suitable job - Serious	35	88	58	59	<20	253
<b>Sub Total NPPs</b>	<b>2,154</b>	<b>4,822</b>	<b>2,011</b>	<b>1,315</b>	<b>258</b>	<b>10,560</b>

1 July 2011 to 30 September 2011						
Other Financial Penalties (Reconnection and NSNP)	Under 21	21 - 30	31 - 40	41 - 54	55 +	Total
Failure to attend provider reconnection	3,637	6,458	2,526	1038	73	13,732
Failure to attend activity specified in EPP – NSNP	3,969	7,697	3,152	1,962	190	16,970
Failure to attend job interview – NSNP	211	393	146	112	23	885
Inappropriate conduct in EPP activity – NSNP	60	59	49	42	<20	223
Inappropriate presentation or conduct at job interview - NSNP	22	58	36	45	<20	172
<b>Sub Total Other Financial penalties</b>	<b>7,899</b>	<b>14,665</b>	<b>5,909</b>	<b>3,199</b>	<b>310</b>	<b>31,982</b>

<b>Total Financial Penalties</b>	<b>10,053</b>	<b>19,487</b>	<b>7,920</b>	<b>4,514</b>	<b>568</b>	<b>42,542</b>
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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 July 2011 – 30 September 2011.



<b>1 July 2011 to 30 September 2011</b>						
<b>Connection Failures</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>
Failure to attend Provider appointment	17,332	31,665	15,949	9,424	1,155	75,525
Failure to comply with Job Search requirement in EPP	226	762	323	240	49	1,600
Failure to attend other Provider appointment	347	467	249	142	<20	1,221
Failure to attend CCA appointment	298	487	190	69	<20	1,049
Failure to attend DHS appointment	166	368	213	141	29	917
Failure to attend provider reengagement appointment (connect)	180	375	163	62	<20	787
Failure to enter EPP with provider	25	65	69	77	39	275
Unsatisfactory Job Seeker Diary	<20	<20	<20	<20	<20	20
Failure to return Job Seeker Diary	<20	<20	<20	<20	<20	<20
Failure to enter EPP at ESP reengage (connect)	<20	<20	<20	<20	<20	<20
Other	<20	<20	<20	<20	<20	<20
<b>Total</b>	<b>18,585</b>	<b>34,208</b>	<b>17,162</b>	<b>10,169</b>	<b>1,301</b>	<b>81,425</b>

<b>30 September 2011</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>
<b>Income support payment suspensions</b>	22,595	38,062	19,691	11,228	1,550	93,126

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.

<b>1 July 2011 to 30 September 2011</b>						
<b>Finalised CCA Outcome</b>	<b>Under 21</b>	<b>21 - 30</b>	<b>31 - 40</b>	<b>41 - 54</b>	<b>55 +</b>	<b>Total</b>
JSCI updated - referral for ESAat	498	816	383	138	<20	1,839
No changes to servicing arrangements	1,100	2,479	1,018	479	34	5,110
Persistent non compliance (Serious Failure)	1,224	2,212	647	248	<20	4,341
Change in activity - update EPP	932	1,530	728	309	<20	3,515
JSCI updated. Referral to other stream recommended	124	117	59	<20	<20	315
<b>Total</b>	<b>3,878</b>	<b>7,154</b>	<b>2,835</b>	<b>1,189</b>	<b>64</b>	<b>15,120</b>

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

1 July 2011 to 30 September 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
Voluntary unemployment- UNPP	606	385	224	243	39	2,556	4,053
Unemployment due to misconduct – UNPP	222	161	57	110	14	1,055	1,619
Persistent non compliance – Serious	423	1,206	1,312	1,323	77	0	4,341
Did not commence suitable work - Serious	<20	99	73	93	<20	0	294
Refused a suitable job – Serious	20	99	70	47	<20	0	253
<b>Sub Total NPPs</b>	<b>1,288</b>	<b>1,950</b>	<b>1,736</b>	<b>1,816</b>	<b>159</b>	<b>3,611</b>	<b>10,560</b>

1 July 2011 to 30 September 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
Failure to attend provider reconnection	1,729	2,966	3,051	5,566	420	0	13,732
Failure to attend activity specified in EPP - NSNP	1,954	4,769	5,295	4,623	329	0	16,970
Failure to attend job interview - NSNP	47	341	200	236	61	0	885
Inappropriate conduct in EPP activity - NSNP	<20	49	67	68	22	0	223
Inappropriate presentation or conduct at job interview - NSNP	<20	60	44	41	<20	0	172
<b>Sub Total Other Financial penalties</b>	<b>3,759</b>	<b>8,185</b>	<b>8,657</b>	<b>10,534</b>	<b>847</b>	<b>0</b>	<b>31,982</b>

<b>Total Financial Penalties</b>	<b>5,047</b>	<b>10,135</b>	<b>10,393</b>	<b>12,350</b>	<b>1,006</b>	<b>3,611</b>	<b>42,542</b>
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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 July 2011 – 30 September 2011.

<b>1 July 2011 to 30 September 2011</b>						
<b>Connection Failures</b>	<b>JSA Stream 1</b>	<b>JSA Stream 2</b>	<b>JSA Stream 3</b>	<b>JSA Stream 4</b>	<b>DES</b>	<b>Total</b>
Failure to attend Provider appointment	11,301	18,294	16,438	26,323	3,169	75,525
Failure to comply with Job Search requirement in EPP	409	403	372	395	21	1,600
Failure to attend other Provider appointment	122	205	325	431	138	1,221
Failure to attend CCA appointment	57	220	281	475	<20	1,049
Failure to attend DHS appointment	174	334	305	88	<20	917
Failure to attend provider reengagement appointment (connect)	92	156	164	353	22	787
Failure to enter EPP with provider	35	56	70	75	39	275
Unsatisfactory Job Seeker Diary	20	<20	<20	<20	<20	20
Failure to return Job Seeker Diary	<20	<20	<20	<20	<20	<20
Failure to enter EPP at ESP reengage (connect)	<20	<20	<20	<20	<20	<20
Other	<20	<20	<20	<20	<20	<20
<b>Total</b>	<b>12,226</b>	<b>19,675</b>	<b>17,958</b>	<b>28,144</b>	<b>3,422</b>	<b>81,425</b>

<b>30 September 2011</b>	<b>JSA Stream 1</b>	<b>JSA Stream 2</b>	<b>JSA Stream 3</b>	<b>JSA Stream 4</b>	<b>DES</b>	<b>Total</b>
<b>Income support payment Suspensions</b>	15,275	24,634	21,982	27,854	3,381	93,126

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.

<b>1 July 2011 to 30 September 2011</b>						
<b>Finalised CCA Outcome</b>	<b>JSA Stream 1</b>	<b>JSA Stream 2</b>	<b>JSA Stream 3</b>	<b>JSA Stream 4</b>	<b>DES</b>	<b>Total</b>
JSCI updated - referral for ESAAt	232	589	572	419	27	1,839
No changes to servicing arrangements	521	1,150	1,412	1,820	207	5,110
Persistent non compliance (Serious Failure)	423	1,206	1,312	1,323	77	4,341
Change in activity - update EPP	89	356	465	2,452	153	3,515
JSCI updated. Referral to other stream recommended	47	124	129	<20	<20	315
<b>Total</b>	<b>1,312</b>	<b>3,425</b>	<b>3,890</b>	<b>6,023</b>	<b>470</b>	<b>15,120</b>

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

1 July 2011 to 30 September 2011						
Non Payment Periods (Serious Failure and UNPP)	NSA	YAL	PPP	PPS	Not on allowance	Total
Voluntary unemployment- UNPP	496	137	<20	<20	3,410	4,053
Unemployment due to misconduct – UNPP	185	47	<20	<20	1,379	1,619
Persistent non compliance – Serious	2,967	1,305	<20	66	<20	4,341
Did not commence suitable work - Serious	245	49	<20	<20	<20	294
Refused a suitable job – Serious	209	41	<20	<20	<20	253
<b>Sub Total NPPs</b>	<b>4,102</b>	<b>1,579</b>	<b>&lt;20</b>	<b>87</b>	<b>4,789</b>	<b>10,560</b>

1 July 2011 to 30 September 2011						
Other Financial Penalties (Reconnection and NSNP)	NSA	YAL	PPP	PPS	Not on allowance	Total
Failure to attend provider reconnection	9,486	3,867	31	348	0	13,732
Failure to attend activity specified in EPP - NSNP	12,208	4,217	48	497	0	16,970
Failure to attend job interview - NSNP	643	222	<20	<20	0	885
Inappropriate conduct in EPP activity - NSNP	157	62	<20	<20	0	223
Inappropriate presentation or conduct at job interview - NSNP	142	23	<20	<20	0	172
<b>Sub Total Other Financial penalties</b>	<b>22,636</b>	<b>8,391</b>	<b>85</b>	<b>870</b>	<b>0</b>	<b>31,982</b>

<b>Total Financial Penalties</b>	<b>26,738</b>	<b>9,970</b>	<b>88</b>	<b>957</b>	<b>4,789</b>	<b>42,542</b>
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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 July 2011 – 30 September 2011.

<b>1 July 2011 to 30 September 2011</b>					
<b>Connection Failures</b>	<b>NSA</b>	<b>YAL</b>	<b>PPP</b>	<b>PPS</b>	<b>Total</b>
Failure to attend Provider appointment	53,577	18,390	219	3,339	75,525
Failure to comply with Job Search requirement in EPP	1,305	243	<20	49	1,600
Failure to attend other Provider appointment	802	365	<20	49	1,221
Failure to attend CCA appointment	708	314	<20	25	1,049
Failure to attend DHS appointment	677	181	<20	53	917
Failure to attend provider reengagement appointment (connect)	559	200	<20	26	787
Failure to enter EPP with provider	235	28	<20	<20	275
Unsatisfactory Job Seeker Diary	<20	<20	<20	<20	20
Failure to return Job Seeker Diary	<20	<20	<20	<20	<20
Failure to enter EPP at ESP reengage (connect)	<20	<20	<20	<20	<20
Other	<20	<20	<20	<20	<20
<b>Total</b>	<b>57,903</b>	<b>19,732</b>	<b>240</b>	<b>3,550</b>	<b>81,425</b>

<b>30 September 2011</b>	<b>NSA</b>	<b>YAL</b>	<b>PPP</b>	<b>PPS</b>	<b>Total</b>
<b>Income support payment suspensions</b>	65,370	22,595	299	4,862	93,126

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.

<b>1 July 2011 to 30 September 2011</b>					
<b>Finalised CCA Outcome</b>	<b>NSA</b>	<b>YAL</b>	<b>PPP</b>	<b>PPS</b>	<b>Total</b>
JSCI updated - referral for ESAat	1,233	525	<20	76	1,839
No changes to servicing arrangements	3,752	1,178	<20	164	5,110
Persistent non compliance (Serious Failure)	2,967	1,305	<20	66	4,341
Change in activity - update EPP	2,417	1,009	<20	85	3,515
JSCI updated. Referral to other stream recommended	181	128	<20	<20	315
<b>Total</b>	<b>10,550</b>	<b>4,145</b>	<b>28</b>	<b>397</b>	<b>15,120</b>

## 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 first quarter of the 2011/12 financial year (i.e. applied/finalised in the period 1/7/2011 -30/9/2010 inclusive) and not under review, revoked or otherwise overturned as at 14/11/2011. 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.