

# Job Seeker Compliance Data – December Quarter 2016

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## Part A

### 1. Number of job seekers

| As at 31 December 2016 |     |                     |  |                       |  |                   |  |                   |     |
|------------------------|-----|---------------------|--|-----------------------|--|-------------------|--|-------------------|-----|
| Active job seekers     |     | Other job seekers   |  |                       |  |                   |  | Total job seekers |     |
|                        |     | Temporary exemption |  | Reduced work capacity |  | Approved activity |  | Sub-Total         |     |
| No.                    | %   | No.                 |  | No.                   |  | No.               |  | No.               | %   |
| 663,049                | 73% | 110,776             |  | 32,207                |  | 107,479           |  | 250,462           | 27% |
|                        |     |                     |  |                       |  |                   |  | 913,511           |     |

'Total job seekers' comprises 'Active job seekers' who currently need to use employment services (i.e. jobactive, Disability Employment Services (DES), the Community Development Programme (CDP) or the Transition to Work (TTW) Service), as well as 'Other job seekers' who have a 'Temporary exemption', 'Reduced work capacity' or are undertaking an 'Approved activity' - refer to 'Glossary' for further explanation of these terms.

Note: As TTW participants are not subject to the same job seeker compliance framework as other activity tested job seekers they are not included elsewhere in this report.

### 2. Job seekers with a Vulnerability Indicator

| As at 31 December 2016 |  | Number of job seekers with a Vulnerability Indicator |  | % of all job seekers |  |
|------------------------|--|------------------------------------------------------|--|----------------------|--|
|                        |  | 109,390                                              |  | 12%                  |  |

### 3. Attendance at Appointments

#### 3a. Attendance at Appointments with employment services providers

| 1 October to 31 December 2016 |  | Appointments attended |     | Appointments not attended |                |            |  |         | Total Appointments |           |
|-------------------------------|--|-----------------------|-----|---------------------------|----------------|------------|--|---------|--------------------|-----------|
|                               |  | No.                   | %   | Valid reason              | Invalid reason | Discretion |  | Total   | No.                | %         |
|                               |  | 2,217,861             | 69% | 11%                       | 15%            | 5%         |  | 988,006 | 31%                | 3,205,867 |

3b. Attendance at Re-engagement Appointments with employment services providers

| 1 October to 31 December 2016 | Appointments attended |     | Appointments not attended |     |                |     | Total Appointments |
|-------------------------------|-----------------------|-----|---------------------------|-----|----------------|-----|--------------------|
|                               |                       |     | Valid reason              |     | Invalid reason |     |                    |
|                               | No.                   | %   | %                         | %   | No.            | %   | No.                |
|                               | 284,190               | 87% | 2%                        | 11% | 42,514         | 13% | 326,704            |

This table includes re-engagement appointments where reconnection was required following a missed appointment with an employment services provider. The "not attended" result of "Discretion" is not available to employment services providers for this type of appointment.

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

| 1 October to 31 December 2016 | Number of income support payment suspensions for job seekers missing appointment with their provider | Number of income support payment suspensions for job seekers missing an appointment with a third party | Number of income support payment suspensions for job seekers following disengagement from an activity | Total Income Support Payment Suspensions |
|-------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|------------------------------------------|
|                               |                                                                                                      |                                                                                                        |                                                                                                       |                                          |
|                               | 378,043                                                                                              | 410                                                                                                    | 28,998                                                                                                | 407,451                                  |

This table is a count of all participation payment suspensions applied as a result of providers submitting:

- Non-Attendance Reports for non-attendance at a provider appointment (see note to Table 5); or
- Participation Reports for non-attendance at a third party appointment (such as an initial appointment with a Work for the Dole Host or Skills for Employment and Education provider) or disengagement from an activity.

Where an income support payment suspension has started it will continue until it is lifted, which is usually when a job seeker attends the appointment.

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

| 1 October to 31 December 2016 | Number of<br>Non-Attendance Reports | Number of Non-Attendance Reports as<br>a % of non-attended appointments<br>without a valid reason | Number of Participation<br>Reports and Provider<br>Appointment Reports |
|-------------------------------|-------------------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|
|                               | 459,447                             | 70.3%                                                                                             | 170,627                                                                |

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

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

"Number of Non-Attendance Reports as a % of non-attended appointments" is the number of submitted Non-Attendance Reports as a proportion of the number of provider appointments not attended during the quarter (excluding where the provider considered the job seeker had a reasonable excuse for their non-attendance - i.e. 'Valid Reason').

Provider Appointment Reports were introduced on 1 July 2015. A provider submits a Provider Appointment Report when they want the Department of Human Services to investigate whether a 'Non-Attendance Failure' should be applied. In the above table, Provider Appointment Reports have been grouped with Participation Reports for Connection, Reconnection, No Show No Pay and Serious Failures for refusing to accept or commence in a suitable job (i.e. those Participation Reports which are directly submitted by providers to the Department of Human Services for investigation).

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



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

| 1 October to 31 December 2016 | Main reasons                           |     |                            |     |         |     | Total for main reasons |         | Other reasons | Total for all reasons |
|-------------------------------|----------------------------------------|-----|----------------------------|-----|---------|-----|------------------------|---------|---------------|-----------------------|
|                               | Failure to attend provider appointment |     | Failure to attend activity |     |         |     |                        |         |               |                       |
|                               | No.                                    | %   | No.                        | %   | No.     | %   | %                      | No.     |               |                       |
|                               | 476,719                                | 76% | 125,633                    | 20% | 602,352 | 96% | 4%                     | 630,074 |               |                       |

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

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

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

| 1 October to 31 December 2016 | Participation Failure imposed (Applied) |     | Participation Failure not imposed (Rejected) |     | Total reports |
|-------------------------------|-----------------------------------------|-----|----------------------------------------------|-----|---------------|
|                               | No.                                     | %   | No.                                          | %   |               |
|                               | 93,588                                  | 55% | 77,039                                       | 45% | No. 170,627   |

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

Figures for "Participation Failure imposed" may differ from figures for "No. of Participation Failures" in Tables 9 and 10a because the above table only includes failures that are reported via a Provider Appointment Report or Participation Report from a provider; that is, Non-Attendance Failures, Connection, Reconnection, No Show No Pay, and Serious Failures for refusing to accept or commence in a suitable job. Provider Appointment Reports and Participation Reports are not directly submitted for Serious Failures due to persistent non-compliance as these are determined following a Comprehensive Compliance Assessment. Unemployment Non Payment Periods (UNPPs) are also excluded from the table as the majority of UNPPs are initiated by the Department of Human Services prior to the job seeker commencing in employment services. Tables 9 and 10a include Serious Failures for persistent non-compliance as well as UNPPs.

7b. Participation Failures applied by the Department of Human Services due to unacceptable reasons given by job seekers for non-attendance

| 1 October to 31 December 2016 | Job seeker error | Manageable or unproven medical issue | Job seeker chose not to participate | Job seeker denied being notified | Foreseeable or unacceptable activity prevented compliance | Personal matter | Transport difficulties – insufficient to prevent compliance | Cultural/ language issues | Job seeker considered work offered was unsuitable | No reason offered | Reason not recorded | Reasonable excuse but no prior notice | TOTAL  |
|-------------------------------|------------------|--------------------------------------|-------------------------------------|----------------------------------|-----------------------------------------------------------|-----------------|-------------------------------------------------------------|---------------------------|---------------------------------------------------|-------------------|---------------------|---------------------------------------|--------|
| No.                           | 13,531           | 11,542                               | 23,848                              | 2,535                            | 4,038                                                     | 5,886           | 3,198                                                       | 679                       | 29                                                | 353               | 201                 | 27,748                                | 93,588 |
| %                             | 14.5%            | 12.3%                                | 25.5%                               | 2.7%                             | 4.3%                                                      | 6.3%            | 3.4%                                                        | <1%                       | <1%                                               | <1%               | <1%                 | 29.6%                                 | 100%   |

This table breaks down the data included in the "Participation Failure imposed" column of the previous overview table by the reason the job seeker gave for their failure. Reasons are recorded where the failure is for non-attendance at appointments with the Department of Human Services, third party appointments, with employers or for non-attendance at activities.

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

The Department of Human Services is required under legislation to determine each case on its merits and to consider whether or not the job seeker's personal circumstances affected their ability to comply or to give prior notice of their inability to comply for each incidence of non-attendance. This table gives the types of excuses that job seekers provided to the Department of Human Services and which the Department of Human Services did not accept as reasonable in the specific circumstances of each case. In these instances, the Department of Human Services' decision-maker has determined that the circumstances described by the job seeker did not impact sufficiently on the job seeker's capacity to attend the appointment or activity at the scheduled time or there is no evidence to support the job seeker's reason for non-attendance or failure to give prior notice.

**7c. Department of Human Services' reasons for applying Provider Appointment Reports or Participation Reports**

| 1 October to<br>31 December 2016 | Prior notice of reasonable excuse for non-attendance required |     |                                                     |     |                                                |    | Prior notice not relevant –<br>no reasonable excuse | Total<br>Applied |        |
|----------------------------------|---------------------------------------------------------------|-----|-----------------------------------------------------|-----|------------------------------------------------|----|-----------------------------------------------------|------------------|--------|
|                                  | Prior notice not<br>given - reasonable<br>excuse              |     | Prior notice not<br>given - no<br>reasonable excuse |     | Prior notice given but no<br>reasonable excuse |    |                                                     |                  |        |
|                                  | No.                                                           | %   | No.                                                 | %   | No.                                            | %  |                                                     |                  |        |
|                                  | 27,748                                                        | 29% | 45,023                                              | 48% | 1,495                                          | 2% | 19,322                                              | 21%              | 93,588 |

Where a job seeker is unable to attend an appointment or activity they must give prior notice of their reason for not being able to attend, where it is reasonable to expect them to do so. If they fail to do so, a penalty may be applied regardless of the reason for non-attendance. Job seekers can therefore have penalties applied where:

- they failed to give prior notice of a reasonable excuse for not attending an appointment or activity;
- they gave prior notice but their excuse was not accepted by the Department of Human Services as reasonable; or
- where there was no requirement to give prior notice (because the failure did not relate to attendance - for example, a failure to enter into a Job Plan) but the job seeker had no reasonable excuse for their action.

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

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

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

**7d. Department of Human Services' reasons for rejecting Provider Appointment Reports and Participation Reports**

| 1 October to<br>31 December 2016 | Job seeker had<br>reasonable excuse |     | Procedural errors relating to: |                           |                                                                         |  | Total procedural<br>errors |     | Total<br>Rejections |
|----------------------------------|-------------------------------------|-----|--------------------------------|---------------------------|-------------------------------------------------------------------------|--|----------------------------|-----|---------------------|
|                                  |                                     |     | Nature of<br>requirements      | Notifying<br>requirements | Submitting Provider<br>Appointment Reports and<br>Participation Reports |  |                            |     |                     |
|                                  | No.                                 | %   | %                              | %                         | %                                                                       |  | No.                        | %   | No.                 |
|                                  | 41,465                              | 54% | 13%                            | 9%                        | 24%                                                                     |  | 35,574                     | 46% | 77,039              |

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

**7e. Department of Human Services' reasons for rejecting Provider Appointment Reports and Participation Reports: Reasonable Excuse**

| 1 October to<br>31 December<br>2016 | Medical<br>reason – A | Medical<br>reason – B | Other<br>acceptable<br>activity | Personal<br>crisis | Caring<br>responsibilities | Homelessness | Transport<br>difficulties | Cultural/language<br>issues | Other | Total rejections for<br>reasonable excuse |        |
|-------------------------------------|-----------------------|-----------------------|---------------------------------|--------------------|----------------------------|--------------|---------------------------|-----------------------------|-------|-------------------------------------------|--------|
|                                     | %                     | %                     | %                               | %                  | %                          | %            | %                         | %                           | %     | %                                         | No.    |
|                                     | 8.1%                  | 11.2%                 | 11.1%                           | 8.7%               | 4.3%                       | 1.7%         | 2.0%                      | 2.5%                        | 4.2%  | 54%                                       | 41,465 |

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

8. Number of Compliance Reports Submitted per job seeker over past 12 months (as at 31 December 2016)

| Number of PRs, NARs or PARs per job seeker | Number of all job seekers | % of all job seekers | % of PRs, NARs or PARs |
|--------------------------------------------|---------------------------|----------------------|------------------------|
| 0                                          | 481,764                   | 52.74%               | N/A                    |
| 1                                          | 134,593                   | 14.73%               | 7%                     |
| 2                                          | 71,165                    | 7.79%                | 7%                     |
| 3                                          | 46,547                    | 5.10%                | 7%                     |
| 4                                          | 34,157                    | 3.74%                | 7%                     |
| 5+                                         | 145,285                   | 15.90%               | 72%                    |
| <b>Total</b>                               | <b>913,511</b>            | <b>100%</b>          | <b>100%</b>            |

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

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

"No. of all job seekers" and "% of all job seekers" indicates the total number and proportion of all job seekers as at 31 December 2016 who received the specified number of Participation Reports, Provider Appointment Reports and/or Non-Attendance Reports over the preceding twelve months.

"% of PRs, NARs, PARs" indicates the percentage of Participation Reports, Provider Appointment Reports and Non-Attendance Reports submitted in relation to each particular cohort of job seekers at 31 December 2016 during the preceding twelve month period (e.g. 69 per cent of all compliance reports submitted between 1 January 2016 and 31 December 2016 were submitted in relation to those job seekers who, as at 31 December 2016, had received five or more Participation Reports, Provider Appointment Reports and/or Non-Attendance Reports during the previous 12 months).

## 9. Number of Participation Failures Applied

| Number of Participation Failures<br>1 October 2016 to 31 December 2016 | Number of job seekers with a Participation Failure<br>applied in past 12 months, as at 31 December 2016 | % of activity tested job seekers at 31 December<br>2016 with a Participation Failure in past 12 months |
|------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|
| 103,039                                                                | 90,729                                                                                                  | 9.9%                                                                                                   |

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

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

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

Figures for "Number of Participation Failures" during the quarter above may differ from the figures for "Participation Failures imposed" in Table 7, as Table 7 does not include Serious Failures for persistent non-compliance.

"Number of job seekers with a Participation Failure applied in past 12 months" indicates the total number of job seekers as at 31 December 2016 who had at least one Participation Failure applied over the preceding twelve months.

The "% of job seekers with a Participation Failure applied" figure gives the "No. of job seekers with a Participation Failure applied in past 12 months" figure as a proportion of all activity tested job seekers at that point in time (i.e. 31 December 2016).



## 10. Types of Participation Failures

### 10a. Types of Participation Failures

| 1 October to 31 December 2016 | Connection Failures |     | Reconnection Failures |    | Non-Attendance Failures |    | No Show No Pay Failures |     | Serious Failures |     | Total Failures |
|-------------------------------|---------------------|-----|-----------------------|----|-------------------------|----|-------------------------|-----|------------------|-----|----------------|
|                               | No.                 | %   | No.                   | %  | No.                     | %  | No.                     | %   | No.              | %   | No.            |
|                               | 15,694              | 15% | 3,575                 | 3% | 9,175                   | 9% | 64,805                  | 63% | 9,790            | 10% | 103,039        |

"Total Failures" above includes applied Connection failures, Reconnection failures, Non-Attendance failures, No Show No Pay failures, and Serious Failures for refusing to accept or commence a suitable job, and for persistent non-compliance following a Comprehensive Compliance Assessment. Unemployment Non Payment Periods (UNPPs) are excluded as the majority of UNPPs are initiated by the Department of Human Services prior to the job seeker commencing in employment services. For further explanation of the various failure types refer to the Glossary.

### 10b. Types of Participation Failures: Serious Failures

| 1 October to 31 December 2016 | Persistent non-compliance <sup>A</sup> |  |     |  | Refused Suitable Job |  |    |  | Did Not Commence Suitable Job |  |    |  | Total Serious Failures |
|-------------------------------|----------------------------------------|--|-----|--|----------------------|--|----|--|-------------------------------|--|----|--|------------------------|
|                               | No.                                    |  | %   |  | No.                  |  | %  |  | No.                           |  | %  |  | No.                    |
|                               | 9,451                                  |  | 97% |  | 197                  |  | 2% |  | 142                           |  | 1% |  | 9,790                  |

<sup>A</sup> The Department of Human Services undertake a Comprehensive Compliance Assessment before determining if a job seeker has persistently failed to comply with their activity test requirements. A number of matters, set out in the *Social Security (Administration) (Persistent Non-compliance) (Employment) Determination 2015* (No. 1), assist decision makers in deciding whether a job seeker has been persistently non-compliant.



## Outcomes of Comprehensive Compliance Assessments

| 1 October to<br>31 December<br>2016 | Serious Failure<br>(8 week penalty)<br>imposed for<br>persistent non-<br>compliance | Further assessment/assistance             |                                                 |       |    | No change in Employment Services<br>Programme or Stream |                |        |     | Overall Total |
|-------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------|----|---------------------------------------------------------|----------------|--------|-----|---------------|
|                                     |                                                                                     | JSCI<br>updated –<br>referral for<br>ESAt | JSCI updated –<br>eligible for<br>higher stream | Total |    | Other<br>Outcomes                                       | No<br>Outcomes | Total  |     |               |
|                                     |                                                                                     |                                           |                                                 | No.   | %  |                                                         |                | No.    | %   |               |
|                                     | No.                                                                                 | No.                                       | No.                                             | No.   | %  | No.                                                     | No.            | No.    | %   | No.           |
|                                     | 9,451                                                                               | 599                                       | 91                                              | 690   | 3% | 9,297                                                   | 1,898          | 11,195 | 53% | 21,336        |

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

The Outcome Hierarchy is:

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

## 12. Sanctions for Serious Failures

| 1 October to 31 December 2016 | Serious Failures   |    |                          |     |                    |    |       |
|-------------------------------|--------------------|----|--------------------------|-----|--------------------|----|-------|
|                               | Non-payment Period |    | Financial Penalty waived |     |                    |    | Total |
|                               |                    |    | Compliance Activity      |     | Financial Hardship |    |       |
|                               | No.                | %  | No.                      | %   | No.                | %  |       |
|                               | 616                | 6% | 9,120                    | 93% | 54                 | 1% |       |

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

## 13. Financial Penalties, Connection Failures, Income Support Payment Suspensions and CCAs by Gender

1 October to 31 December 2016

| Non Payment Periods (Serious and UNPPs)  | Male         | Male %        | Female       | Female %      | Total         | Total %        | Financial YTD | Financial YTD% |
|------------------------------------------|--------------|---------------|--------------|---------------|---------------|----------------|---------------|----------------|
| Voluntary unemployment – UNPP            | 898          | 7.49%         | 476          | 3.97%         | 1,374         | 11.46%         | 3,021         | 11.80%         |
| Unemployment due to misconduct – UNPP    | 641          | 5.34%         | 189          | 1.58%         | 830           | 6.92%          | 1,887         | 7.37%          |
| Persistent non-compliance – Serious      | 6,108        | 50.93%        | 3,343        | 27.87%        | 9,451         | 78.80%         | 20,022        | 78.22%         |
| Did not commence suitable work – Serious | *            | *             | <20          | N/A           | 142           | 1.18%          | 289           | 1.13%          |
| Refused a suitable job – Serious         | *            | *             | *            | *             | 197           | 1.64%          | 378           | 1.48%          |
| <b>Sub Total NPPs</b>                    | <b>7,928</b> | <b>66.10%</b> | <b>4,066</b> | <b>33.90%</b> | <b>11,994</b> | <b>100.00%</b> | <b>25,597</b> | <b>100.00%</b> |

(Table 13 cont'd)

1 October to 31 December 2016

| Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)                                     | Male          | Male %        | Female        | Female %      | Total         | Total %        | Financial YTD  | Financial YTD% |
|------------------------------------------------------------------------------------------------------------|---------------|---------------|---------------|---------------|---------------|----------------|----------------|----------------|
| Appointment related failures – Provider (NAF and Reconnection) and DHS (Reconnection)                      | 8,572         | 11.05%        | 3,998         | 5.16%         | 12,570        | 16.21%         | 25,893         | 15.39%         |
| Other failures to comply with a reconnection requirement that resulted in a financial penalty <sup>^</sup> | 144           | 0.19%         | 36            | 0.05%         | 180           | 0.23%          | 292            | 0.17%          |
| Failure to attend activity specified in a Job Plan (NSNP)                                                  | 41,638        | 53.69%        | 22,225        | 28.66%        | 63,863        | 82.35%         | 139,991        | 83.23%         |
| Failure to attend job interview (NSNP)                                                                     | 403           | 0.52%         | 166           | 0.21%         | 569           | 0.73%          | 1,132          | 0.67%          |
| Inappropriate conduct in a Job Plan activity (NSNP)                                                        | 210           | 0.27%         | 71            | 0.09%         | 281           | 0.36%          | 648            | 0.39%          |
| Inappropriate presentation or conduct at job interview (NSNP)                                              | 65            | 0.08%         | 27            | 0.03%         | 92            | 0.12%          | 236            | 0.14%          |
| <b>Sub Total Short Term Financial Penalties</b>                                                            | <b>51,032</b> | <b>65.80%</b> | <b>26,523</b> | <b>34.20%</b> | <b>77,555</b> | <b>100.00%</b> | <b>168,192</b> | <b>100.00%</b> |

<sup>^</sup>For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).

1 October to 31 December 2016

| Total Financial Penalties | Male   | Male % | Female | Female % | Total  | Total % | Financial YTD | Financial YTD% |
|---------------------------|--------|--------|--------|----------|--------|---------|---------------|----------------|
|                           | 58,960 | 65.84% | 30,589 | 34.16%   | 89,549 | 100.00% | 193,789       | 100.00%        |

Unemployment non-payment periods are generally for eight weeks. However, a person who has received Relocation Assistance to take up a job and voluntarily leaves this job without a reasonable excuse, or is dismissed for misconduct within the first six months, may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment.

Appointment related failures comprise of financial penalties for non-attendance at a provider or Department of Human Services (including Comprehensive Compliance Assessment) appointment.

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

(Table 13 cont'd)

1 October to 31 December 2016

| Connection Failures                                                       | Male          | Male %        | Female       | Female %      | Total         | Total %        | Financial<br>YTD | Financial<br>YTD% |
|---------------------------------------------------------------------------|---------------|---------------|--------------|---------------|---------------|----------------|------------------|-------------------|
| Failure to attend third party appointment <sup>A</sup>                    | 252           | 1.61%         | 138          | 0.88%         | 390           | 2.49%          | 840              | 2.57%             |
| Failure to attend CCA appointment                                         | 3,191         | 20.33%        | 1,655        | 10.55%        | 4,846         | 30.88%         | 9,601            | 29.32%            |
| Failure to comply with Job Search requirement in a Job Plan               | 7,358         | 46.88%        | 2,734        | 17.42%        | 10,092        | 64.30%         | 21,348           | 65.20%            |
| Failure to enter a Job Plan with provider or Department of Human Services | 189           | 1.20%         | 61           | 0.39%         | 250           | 1.59%          | 612              | 1.87%             |
| Failure to attend Department of Human Services appointment                | 65            | 0.41%         | 51           | 0.32%         | 116           | 0.74%          | 341              | 1.04%             |
| <b>Total</b>                                                              | <b>11,055</b> | <b>70.44%</b> | <b>4,639</b> | <b>29.56%</b> | <b>15,694</b> | <b>100.00%</b> | <b>32,742</b>    | <b>100.00%</b>    |

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

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

(Table 13 cont'd)

1 October to 31 December 2016

| Income Support payment suspensions                                | Male           | Male %        | Female         | Female %      | Total          | Total %        | Financial YTD  | Financial YTD% |
|-------------------------------------------------------------------|----------------|---------------|----------------|---------------|----------------|----------------|----------------|----------------|
| Income support payment suspension - non-attendance at appointment | 237,786        | 58.36%        | 140,667        | 34.52%        | 378,453        | 92.88%         | 808,710        | 92.43%         |
| Income support payment suspension – disengagement from activity   | 18,565         | 4.56%         | 10,433         | 2.56%         | 28,998         | 7.12%          | 66,207         | 7.57%          |
| <b>Total Income Support payment suspensions</b>                   | <b>256,351</b> | <b>62.92%</b> | <b>151,100</b> | <b>37.08%</b> | <b>407,451</b> | <b>100.00%</b> | <b>874,917</b> | <b>100.00%</b> |

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

1 October to 31 December 2016

| Finalised Comprehensive Compliance Assessment Outcome | Male          | Male %        | Female       | Female %      | Total         | Total %        | Financial YTD | Financial YTD% |
|-------------------------------------------------------|---------------|---------------|--------------|---------------|---------------|----------------|---------------|----------------|
| JSCI updated – referral for ESAt                      | 394           | 1.85%         | 205          | 0.96%         | 599           | 2.81%          | 1,244         | 2.84%          |
| JSCI updated – eligible for higher stream             | 53            | 0.25%         | 38           | 0.18%         | 91            | 0.43%          | 212           | 0.48%          |
| Persistent non-compliance (Serious Failure)           | 6,108         | 28.63%        | 3,343        | 15.67%        | 9,451         | 44.30%         | 20,022        | 45.67%         |
| Other outcomes                                        | 6,025         | 28.24%        | 3,272        | 15.34%        | 9,297         | 43.57%         | 18,432        | 42.05%         |
| No outcomes                                           | 1,325         | 6.21%         | 573          | 2.69%         | 1,898         | 8.90%          | 3,927         | 8.96%          |
| <b>Total</b>                                          | <b>13,905</b> | <b>65.17%</b> | <b>7,431</b> | <b>34.83%</b> | <b>21,336</b> | <b>100.00%</b> | <b>43,837</b> | <b>100.00%</b> |



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

1 October to 31 December 2016

| Non Payment Periods (Serious and UNPPs)  | Indigenous   | Indigenous %  | Non Indigenous | Non Indigenous % | Total         | Total %        | Financial YTD | Financial YTD% |
|------------------------------------------|--------------|---------------|----------------|------------------|---------------|----------------|---------------|----------------|
| Voluntary unemployment- UNNP             | 215          | 1.79%         | 1,159          | 9.66%            | 1,374         | 11.46%         | 3,021         | 11.80%         |
| Unemployment due to misconduct – UNNP    | 90           | 0.75%         | 740            | 6.17%            | 830           | 6.92%          | 1,887         | 7.37%          |
| Persistent non-compliance - Serious      | 7,908        | 65.93%        | 1,543          | 12.86%           | 9,451         | 78.80%         | 20,022        | 78.22%         |
| Did not commence suitable work - Serious | <20          | N/A           | *              | *                | 142           | 1.18%          | 289           | 1.13%          |
| Refused a suitable job - Serious         | <20          | N/A           | *              | *                | 197           | 1.64%          | 378           | 1.48%          |
| <b>Sub Total NPPs</b>                    | <b>8,247</b> | <b>68.76%</b> | <b>3,747</b>   | <b>31.24%</b>    | <b>11,994</b> | <b>100.00%</b> | <b>25,597</b> | <b>100.00%</b> |

1 October to 31 December 2016

| Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)                                     | Indigenous    | Indigenous %  | Non Indigenous | Non Indigenous % | Total         | Total %        | Financial YTD  | Financial YTD% |
|------------------------------------------------------------------------------------------------------------|---------------|---------------|----------------|------------------|---------------|----------------|----------------|----------------|
| Appointment related failures – Provider (NAF and Reconnection) and DHS (Reconnection)                      | 3,800         | 4.90%         | 8,770          | 11.31%           | 12,570        | 16.21%         | 25,893         | 15.39%         |
| Other failures to comply with a reconnection requirement that resulted in a financial penalty <sup>A</sup> | *             | *             | *              | *                | 180           | 0.23%          | 292            | 0.17%          |
| Failure to attend activity specified in a Job Plan (NSNP)                                                  | 40,525        | 52.25%        | 23,338         | 30.09%           | 63,863        | 82.35%         | 139,991        | 83.23%         |
| Failure to attend job interview (NSNP)                                                                     | 75            | 0.10%         | 494            | 0.64%            | 569           | 0.73%          | 1,132          | 0.67%          |
| Inappropriate conduct in a Job Plan activity (NSNP)                                                        | 46            | 0.06%         | 235            | 0.30%            | 281           | 0.36%          | 648            | 0.39%          |
| Inappropriate presentation or conduct at job interview (NSNP)                                              | <20           | N/A           | *              | *                | 92            | 0.12%          | 236            | 0.14%          |
| <b>Sub Total Short Term Financial Penalties</b>                                                            | <b>44,492</b> | <b>57.37%</b> | <b>33,063</b>  | <b>42.63%</b>    | <b>77,555</b> | <b>100.00%</b> | <b>168,192</b> | <b>100.00%</b> |

<sup>A</sup>For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).

(Table 14 cont'd)

1 October to 31 December 2016

| Total Financial Penalties | Indigenous | Indigenous % | Non Indigenous | Non Indigenous % | Total  | Total % | Financial YTD | Financial YTD% |
|---------------------------|------------|--------------|----------------|------------------|--------|---------|---------------|----------------|
|                           | 52,739     | 58.89%       | 36,810         | 41.11%           | 89,549 | 100.0%  | 193,789       | 100.00%        |

Unemployment non-payment periods are generally for eight weeks. However, a person who has received Relocation Assistance to take up a job and voluntarily leaves this job without a reasonable excuse, or is dismissed for misconduct within the first six months, may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment.

Appointment related failures comprise of financial penalties for non-attendance at a provider or Department of Human Services (including Comprehensive Compliance Assessment) appointment.

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

## 1 October to 31 December 2016

| Connection Failures                                                           | Indigenous | Indigenous % | Non Indigenous | Non Indigenous % | Total  | Total % | Financial YTD | Financial YTD% |
|-------------------------------------------------------------------------------|------------|--------------|----------------|------------------|--------|---------|---------------|----------------|
| Failure to attend third party appointment <sup>^</sup>                        | 85         | 0.54%        | 305            | 1.94%            | 390    | 2.49%   | 840           | 2.57%          |
| Failure to attend CCA appointment                                             | 3,421      | 21.80%       | 1,425          | 9.08%            | 4,846  | 30.88%  | 9,601         | 29.32%         |
| Failure to comply with Job Search requirement in a Job Plan                   | 1,995      | 12.71%       | 8,097          | 51.59%           | 10,092 | 64.30%  | 21,348        | 65.20%         |
| Failure to enter a Job Plan with provider or the Department of Human Services | <20        | N/A          | *              | *                | 248    | 1.58%   | 610           | 1.86%          |
| Failure to attend Department of Human Services appointment                    | <20        | N/A          | *              | *                | 118    | 0.75%   | 343           | 1.05%          |
| <b>Total</b>                                                                  | 5,529      | 35.23%       | 10,165         | 64.77%           | 15,694 | 100.00% | 32,742        | 100.00%        |

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

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



(Table 14 cont'd)

1 October to 31 December 2016

| Income support payment suspensions                                | Indigenous    | Indigenous %  | Non Indigenous | Non Indigenous % | Total          | Total %        | Financial YTD  | Financial YTD% |
|-------------------------------------------------------------------|---------------|---------------|----------------|------------------|----------------|----------------|----------------|----------------|
| Income support payment suspension – non-attendance at appointment | 72,094        | 17.69%        | 306,359        | 75.19%           | 378,453        | 92.88%         | 808,710        | 92.43%         |
| Income support payment suspension – disengagement from activity   | 13,136        | 3.22%         | 15,862         | 3.89%            | 28,998         | 7.12%          | 66,207         | 7.57%          |
| <b>Total Income Support payment suspensions</b>                   | <b>85,230</b> | <b>20.92%</b> | <b>322,221</b> | <b>79.08%</b>    | <b>407,451</b> | <b>100.00%</b> | <b>874,917</b> | <b>100.00%</b> |

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

1 October to 31 December 2016

| Finalised CCA Outcome                       | Indigenous    | Indigenous %  | Non Indigenous | Non Indigenous % | Total         | Total %        | Financial YTD | Financial YTD% |
|---------------------------------------------|---------------|---------------|----------------|------------------|---------------|----------------|---------------|----------------|
| JSCI updated – referral for ESAt            | 202           | 0.95%         | 397            | 1.86%            | 599           | 2.81%          | 1,244         | 2.84%          |
| JSCI updated – eligible for higher stream   | 20            | 0.09%         | 71             | 0.33%            | 91            | 0.43%          | 212           | 0.48%          |
| Persistent non-compliance (Serious Failure) | 7,908         | 37.06%        | 1,543          | 7.23%            | 9,451         | 44.30%         | 20,022        | 45.67%         |
| Other outcomes                              | 5,639         | 26.43%        | 3,658          | 17.14%           | 9,297         | 43.57%         | 18,432        | 42.05%         |
| No outcomes                                 | 1,018         | 4.77%         | 880            | 4.12%            | 1,898         | 8.90%          | 3,927         | 8.96%          |
| <b>Total</b>                                | <b>14,787</b> | <b>69.31%</b> | <b>6,549</b>   | <b>30.69%</b>    | <b>21,336</b> | <b>100.00%</b> | <b>43,837</b> | <b>100.00%</b> |

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

1 October to 31 December 2016

| Non Payment Periods (Serious and UNPPs)  | Under 21 | 21 - 30 | 31 - 40 | 41 - 54 | 55 + | Total  | Financial YTD | Financial YTD% |
|------------------------------------------|----------|---------|---------|---------|------|--------|---------------|----------------|
| Voluntary unemployment – UNPP            | 119      | 587     | 287     | 296     | 85   | 1,374  | 3,021         | 11.80%         |
| Unemployment due to misconduct – UNPP    | 43       | 294     | 222     | 223     | 48   | 830    | 1,887         | 7.37%          |
| Persistent non-compliance – Serious      | 657      | 4,548   | 2,750   | 1,458   | 38   | 9,451  | 20,022        | 78.22%         |
| Did not commence suitable work – Serious | <20      | 69      | 31      | 24      | <20  | 142    | 289           | 1.13%          |
| Refused a suitable job – Serious         | <20      | 68      | 45      | 54      | <20  | 197    | 378           | 1.48%          |
| <b>Sub Total NPPs</b>                    | 847      | 5,566   | 3,335   | 2,055   | 191  | 11,994 | 25,597        | 100.00%        |

1 October to 31 December 2016

| Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)                                     | Under 21 | 21 - 30 | 31 - 40 | 41 - 54 | 55 +  | Total  | Financial YTD | Financial YTD% |
|------------------------------------------------------------------------------------------------------------|----------|---------|---------|---------|-------|--------|---------------|----------------|
| Appointment related failures – Provider (NAF and Reconnection) and DHS (Reconnection)                      | 2,226    | 5,576   | 2,933   | 1,688   | 147   | 12,570 | 25,893        | 15.39%         |
| Other failures to comply with a reconnection requirement that resulted in a financial penalty <sup>^</sup> | <20      | 111     | 33      | <20     | <20   | 180    | 292           | 0.17%          |
| Failure to attend activity specified in a Job Plan (NSNP)                                                  | 6,672    | 27,544  | 17,184  | 11,591  | 872   | 63,863 | 139,991       | 83.23%         |
| Failure to attend job interview (NSNP)                                                                     | 87       | *       | 121     | 88      | <20   | 569    | 1,132         | 0.67%          |
| Inappropriate conduct in a Job Plan activity (NSNP)                                                        | 31       | 93      | 53      | 81      | 23    | 281    | 648           | 0.39%          |
| Inappropriate presentation or conduct at job interview (NSNP)                                              | <20      | <20     | 21      | *       | <20   | 92     | 236           | 0.14%          |
| <b>Sub Total Short Term Financial Penalties</b>                                                            | 9,037    | 33,600  | 20,345  | 13,502  | 1,071 | 77,555 | 168,192       | 100.00%        |

<sup>^</sup>For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).

(Table 15 cont'd)

1 October to 31 December 2016

| Total Financial Penalties | Under 21 | 21 - 30 | 31 - 40 | 41 - 54 | 55 +  | Total  | Financial YTD | Financial YTD% |
|---------------------------|----------|---------|---------|---------|-------|--------|---------------|----------------|
|                           | 9,884    | 39,166  | 23,680  | 15,557  | 1,262 | 89,549 | 193,789       | 100.00%        |

Unemployment non-payment periods are generally for eight weeks. However, a person who has received Relocation Assistance to take up a job and voluntarily leaves this job without a reasonable excuse, or is dismissed for misconduct within the first six months, may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment.

Appointment related failures comprise of financial penalties for non-attendance at a provider or Department of Human Services (including Comprehensive Compliance Assessment) appointment.

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

1 October to 31 December 2016

| Connection Failures                                                           | Under 21 | 21 - 30 | 31 - 40 | 41 - 54 | 55 + | Total  | Financial YTD | Financial YTD% |
|-------------------------------------------------------------------------------|----------|---------|---------|---------|------|--------|---------------|----------------|
| Failure to attend third party appointment <sup>A</sup>                        | *        | 159     | 99      | 61      | <20  | 390    | 840           | 2.57%          |
| Failure to attend CCA appointment                                             | 941      | 2,083   | 1,115   | 671     | 36   | 4,846  | 9,601         | 29.32%         |
| Failure to comply with Job Search requirement in a Job Plan                   | 1,375    | 4,263   | 2,273   | 1,789   | 392  | 10,092 | 21,348        | 65.20%         |
| Failure to enter a Job Plan with provider or the Department of Human Services | <20      | 63      | 47      | 89      | *    | 248    | 610           | 1.86%          |
| Failure to attend Department of Human Services appointment                    | <20      | 33      | 36      | 38      | <20  | 118    | 343           | 1.05%          |
| <b>Total</b>                                                                  | 2,395    | 6,601   | 3,570   | 2,648   | 480  | 15,694 | 32,742        | 100.00%        |

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

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

(Table 15 cont'd)

1 October to 31 December 2016

| Income Support Payment Suspensions                                | Under 21      | 21 - 30        | 31 - 40        | 41 - 54       | 55 +          | Total          | Financial YTD  | Financial YTD% |
|-------------------------------------------------------------------|---------------|----------------|----------------|---------------|---------------|----------------|----------------|----------------|
| Income Support Payment Suspension – non-attendance at appointment | 49,578        | 140,151        | 95,589         | 77,740        | 15,395        | 378,453        | 808,710        | 92.43%         |
| Income Support Payment Suspension – disengagement from activity   | 2,987         | 11,168         | 7,853          | 6,297         | 693           | 28,998         | 66,207         | 7.57%          |
| <b>Total Income Support Payment Suspensions</b>                   | <b>52,565</b> | <b>151,319</b> | <b>103,442</b> | <b>84,037</b> | <b>16,088</b> | <b>407,451</b> | <b>874,917</b> | <b>100.00%</b> |

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

1 October to 31 December 2016

| Finalised CCA Outcome                       | Under 21     | 21 - 30      | 31 - 40      | 41 - 54      | 55 +       | Total         | Financial YTD | Financial YTD% |
|---------------------------------------------|--------------|--------------|--------------|--------------|------------|---------------|---------------|----------------|
| JSCI updated - referral for ESAt            | 133          | 235          | *            | *            | <20        | 599           | 1,244         | 2.84%          |
| JSCI updated - eligible for higher stream   | 27           | 37           | <20          | <20          | <20        | 91            | 212           | 0.48%          |
| Persistent non-compliance (Serious Failure) | 657          | 4,548        | 2,750        | 1,458        | 38         | 9,451         | 20,022        | 45.67%         |
| Other outcomes                              | 1,261        | 3,907        | 2,375        | 1,644        | 110        | 9,297         | 18,432        | 42.05%         |
| No outcomes                                 | 67           | 868          | 560          | 363          | 40         | 1,898         | 3,927         | 8.96%          |
| <b>Total</b>                                | <b>2,145</b> | <b>9,595</b> | <b>5,827</b> | <b>3,575</b> | <b>194</b> | <b>21,336</b> | <b>43,837</b> | <b>100.00%</b> |

**16. Financial Penalties, Connection Failures, Income Support Payment Suspensions and CCAs by Allowance Types**  
**1 October to 31 December 2016**

| <b>Non Payment Periods (Serious Failure and UNPP)</b> | <b>NSA<sup>a</sup></b> | <b>YAL</b>   | <b>PPS</b> | <b>Not on allowance</b> | <b>Total</b>  | <b>Financial YTD</b> | <b>Financial YTD%</b> |
|-------------------------------------------------------|------------------------|--------------|------------|-------------------------|---------------|----------------------|-----------------------|
| Voluntary unemployment – UNPP                         | 297                    | *            | <20        | 1,010                   | 1,374         | 3,021                | 11.80%                |
| Unemployment due to misconduct – UNPP                 | 136                    | *            | <20        | 660                     | 830           | 1,887                | 7.37%                 |
| Persistent non-compliance – Serious                   | 8,297                  | 1,029        | 125        | 0                       | 9,451         | 20,022               | 78.22%                |
| Did not commence suitable work – Serious              | 116                    | 26           | 0          | 0                       | 142           | 289                  | 1.13%                 |
| Refused a suitable job – Serious                      | 171                    | *            | <20        | 0                       | 197           | 378                  | 1.48%                 |
| <b>Sub Total NPPs</b>                                 | <b>9,017</b>           | <b>1,173</b> | <b>134</b> | <b>1,670</b>            | <b>11,994</b> | <b>25,597</b>        | <b>100.00%</b>        |

<sup>a</sup> Due to the small number of Activity Tested recipients of Special Benefit (SpB), these job seekers are included under the Newstart Allowance (NSA) column in Table 16.

**1 October to 31 December 2016**

| <b>Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)</b>                              | <b>NSA</b>    | <b>YAL</b>    | <b>PPS</b>   | <b>Not on allowance</b> | <b>Total</b>  | <b>Financial YTD</b> | <b>Financial YTD%</b> |
|------------------------------------------------------------------------------------------------------------|---------------|---------------|--------------|-------------------------|---------------|----------------------|-----------------------|
| Appointment related failures – Provider (NAF and Reconnection) and DHS (Reconnection)                      | 9,145         | 3,188         | 237          | 0                       | 12,570        | 25,893               | 15.39%                |
| Other failures to comply with a reconnection requirement that resulted in a financial penalty <sup>a</sup> | 152           | 28            | 0            | 0                       | 180           | 292                  | 0.17%                 |
| Failure to attend activity specified in a Job Plan (NSNP)                                                  | 52,830        | 9,941         | 1,092        | 0                       | 63,863        | 139,991              | 83.23%                |
| Failure to attend job interview (NSNP)                                                                     | 435           | *             | <20          | 0                       | 569           | 1,132                | 0.67%                 |
| Inappropriate conduct in a Job Plan activity (NSNP)                                                        | 227           | *             | <20          | 0                       | 281           | 648                  | 0.39%                 |
| Inappropriate presentation or conduct at job interview (NSNP)                                              | 87            | *             | <20          | 0                       | 92            | 236                  | 0.14%                 |
| <b>Sub Total Short Term Financial Penalties</b>                                                            | <b>62,876</b> | <b>13,340</b> | <b>1,339</b> | <b>0</b>                | <b>77,555</b> | <b>168,192</b>       | <b>100.00%</b>        |

<sup>a</sup>For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).



(Table 16 cont'd)

1 October to 31 December 2016

| Total Financial Penalties | NSA    | YAL    | PPS   | Not on allowance | Total  | Financial YTD | Financial YTD% |
|---------------------------|--------|--------|-------|------------------|--------|---------------|----------------|
|                           | 71,893 | 14,513 | 1,473 | 1,670            | 89,549 | 193,789       | 100.00%        |

Unemployment non-payment periods are generally for eight weeks. However, a person who has received Relocation Assistance to take up a job and voluntarily leaves this job without a reasonable excuse, or is dismissed for misconduct within the first six months, may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment.

Appointment related failures comprise of financial penalties for non-attendance at a provider or Department of Human Services (including Comprehensive Compliance Assessment) appointment.

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

1 October to 31 December 2016

| Connection Failures                                                           | NSA    | YAL   | PPS | Total  | Financial YTD | Financial YTD% |
|-------------------------------------------------------------------------------|--------|-------|-----|--------|---------------|----------------|
| Failure to attend third party appointment <sup>a</sup>                        | 295    | *     | <20 | 390    | 840           | 2.57%          |
| Failure to attend CCA appointment                                             | 3,395  | 1,395 | 56  | 4,846  | 9,601         | 29.32%         |
| Failure to comply with Job Search requirement in a Job Plan                   | 8,101  | 1,991 | 0   | 10,092 | 21,348        | 65.20%         |
| Failure to enter a Job Plan with provider or the Department of Human Services | 221    | *     | <20 | 248    | 610           | 1.86%          |
| Failure to attend Department of Human Services appointment                    | 107    | <20   | <20 | 118    | 343           | 1.05%          |
| <b>Total</b>                                                                  | 12,119 | 3,499 | 76  | 15,694 | 32,742        | 100.00%        |

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

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

## (Table 16 cont'd)

1 October to 31 December 2016

| Income Support payment suspensions                                | NSA            | YAL           | PPS           | Total          | Financial YTD  | Financial YTD% |
|-------------------------------------------------------------------|----------------|---------------|---------------|----------------|----------------|----------------|
| Income support payment suspension - non-attendance at appointment | 303,381        | 64,427        | 10,645        | 378,453        | 808,710        | 92.43%         |
| Income support payment suspension – disengagement from activity   | 24,369         | 3,967         | 662           | 28,998         | 66,207         | 7.57%          |
| <b>Total Income Support payment suspensions</b>                   | <b>327,750</b> | <b>68,394</b> | <b>11,307</b> | <b>407,451</b> | <b>874,917</b> | <b>100.00%</b> |

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

1 October to 31 December 2016

| Finalised CCA Outcome                       | NSA           | YAL          | PPS        | Total         | Financial YTD | Financial YTD% |
|---------------------------------------------|---------------|--------------|------------|---------------|---------------|----------------|
| JSCI updated - referral for ESAt            | 424           | *            | <20        | 599           | 1,244         | 2.84%          |
| JSCI updated - eligible for higher stream   | 48            | *            | <20        | 91            | 212           | 0.48%          |
| Persistent non-compliance (Serious Failure) | 8,297         | 1,029        | 125        | 9,451         | 20,022        | 45.67%         |
| Other outcomes                              | 7,438         | 1,731        | 128        | 9,297         | 18,432        | 42.05%         |
| No outcomes                                 | 1,760         | 90           | 48         | 1,898         | 3,927         | 8.96%          |
| <b>Total</b>                                | <b>17,967</b> | <b>3,062</b> | <b>307</b> | <b>21,336</b> | <b>43,837</b> | <b>100.00%</b> |



# 17. Financial Penalties, Connection Failures, Income Support Payment Suspensions and CCAs by Employment Services

1 October to 31 December 2016

| Non Payment Periods (Serious and UNPPs)  | jobactive Stream A | jobactive Stream B | jobactive Stream C | DES | CDP   | Not in Employment Services | Total  | Financial YTD | Financial YTD% |
|------------------------------------------|--------------------|--------------------|--------------------|-----|-------|----------------------------|--------|---------------|----------------|
| Voluntary unemployment – UNPP            | 430                | 128                | 68                 | 41  | 37    | 670                        | 1,374  | 3,021         | 11.80%         |
| Unemployment due to misconduct – UNPP    | 260                | 60                 | 35                 | *   | <20   | 442                        | 830    | 1,887         | 7.37%          |
| Persistent non-compliance – Serious      | *                  | 965                | 467                | <20 | 7,550 | 0                          | 9,451  | 20,022        | 78.22%         |
| Did not commence suitable work – Serious | *                  | 46                 | 26                 | <20 | <20   | 0                          | 142    | 289           | 1.13%          |
| Refused a suitable job – Serious         | 62                 | 67                 | 36                 | 32  | 0     | 0                          | 197    | 378           | 1.48%          |
| <b>Sub Total NPPs</b>                    | 1,258              | 1,266              | 632                | 125 | 7,601 | 1,112                      | 11,994 | 25,597        | 100.00%        |

1 October to 31 December 2016

| Short Term Financial Penalties (Non-Attendance, Reconnection and NSNP)                                     | jobactive Stream A | jobactive Stream B | jobactive Stream C | DES | CDP    | Not in Employment Services | Total  | Financial YTD | Financial YTD% |
|------------------------------------------------------------------------------------------------------------|--------------------|--------------------|--------------------|-----|--------|----------------------------|--------|---------------|----------------|
| Appointment related failures – Provider (NAF and Reconnection) and DHS (Reconnection)                      | 3,543              | 4,606              | 3,212              | 278 | 931    | 0                          | 12,570 | 25,893        | 15.39%         |
| Other failures to comply with a reconnection requirement that resulted in a financial penalty <sup>A</sup> | 78                 | 59                 | 40                 | <20 | <20    | 0                          | 180    | 292           | 0.17%          |
| Failure to attend activity specified in a Job Plan (NSNP)                                                  | 7,380              | 12,692             | 8,306              | 377 | 35,108 | 0                          | 63,863 | 139,991       | 83.23%         |
| Failure to attend job interview (NSNP)                                                                     | 187                | 186                | 134                | 62  | 0      | 0                          | 569    | 1,132         | 0.67%          |
| Inappropriate conduct in a Job Plan activity (NSNP)                                                        | 59                 | 80                 | *                  | 28  | <20    | 0                          | 281    | 648           | 0.39%          |
| Inappropriate presentation or conduct at job interview (NSNP)                                              | 24                 | 36                 | <20                | <20 | 0      | 0                          | 92     | 236           | 0.14%          |
| <b>Sub Total Short Term Financial Penalties</b>                                                            | 11,271             | 17,659             | 11,806             | 764 | 36,055 | 0                          | 77,555 | 168,192       | 100.00%        |

<sup>A</sup>For example, issue of Employment Contact Certificates and some Job Plan failures (Reconnection).

## (Table 17 cont'd)

1 October to 31 December 2016

| Total Financial Penalties | jobactive Stream A | jobactive Stream B | jobactive Stream C | DES | CDP    | Not in Employment Services | Total  | Financial YTD | Financial YTD% |
|---------------------------|--------------------|--------------------|--------------------|-----|--------|----------------------------|--------|---------------|----------------|
|                           | 12,529             | 18,925             | 12,438             | 889 | 43,656 | 1,112                      | 89,549 | 193,789       | 100.00%        |

Unemployment non-payment periods are generally for eight weeks. However, a person who has received Relocation Assistance to take up a job and voluntarily leaves this job without a reasonable excuse, or is dismissed for misconduct within the first six months, may be subject to a non-payment penalty period of 12 weeks. This penalty may also be applied if the job seeker accepts the job and relocates but does not commence employment.

Appointment related failures comprise of financial penalties for non-attendance at a provider or Department of Human Services (including Comprehensive Compliance Assessment) appointment.

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

1 October to 31 December 2016

| Connection Failures                                                           | jobactive Stream A | jobactive Stream B | jobactive Stream C | DES | CDP   | Total  | Financial YTD | Financial YTD% |
|-------------------------------------------------------------------------------|--------------------|--------------------|--------------------|-----|-------|--------|---------------|----------------|
| Failure to attend third party appointment <sup>a</sup>                        | 99                 | 142                | 98                 | *   | <20   | 390    | 840           | 2.57%          |
| Failure to attend CCA appointment                                             | 431                | 851                | 620                | 26  | 2,918 | 4,846  | 9,601         | 29.32%         |
| Failure to comply with Job Search requirement in a Job Plan                   | 4,441              | 3,283              | 2,066              | *   | <20   | 10,092 | 21,348        | 65.20%         |
| Failure to enter a Job Plan with provider or the Department of Human Services | 62                 | 83                 | 63                 | *   | <20   | 248    | 610           | 1.86%          |
| Failure to attend Department of Human Services appointment                    | 37                 | 27                 | 35                 | *   | <20   | 118    | 343           | 1.05%          |
| <b>Total</b>                                                                  | 5,070              | 4,386              | 2,882              | 408 | 2,948 | 15,694 | 32,742        | 100.00%        |

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

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

(Table 17 cont'd)

1 October to 31 December 2016

| Income Support payment suspensions                                | jobactive Stream A | jobactive Stream B | jobactive Stream C | DES           | CDP           | Total          | Financial YTD  | Financial YTD% |
|-------------------------------------------------------------------|--------------------|--------------------|--------------------|---------------|---------------|----------------|----------------|----------------|
| Income support payment suspension - non-attendance at appointment | 137,429            | 121,471            | 81,538             | 25,037        | 12,978        | 378,453        | 808,710        | 92.43%         |
| Income support payment suspension – disengagement from activity   | 5,188              | 7,969              | 5,672              | 278           | 9,891         | 28,998         | 66,207         | 7.57%          |
| <b>Total Income Support payment suspensions</b>                   | <b>142,617</b>     | <b>129,440</b>     | <b>87,210</b>      | <b>25,315</b> | <b>22,869</b> | <b>407,451</b> | <b>874,917</b> | <b>100.00%</b> |

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

1 October to 31 December 2016

| Finalised Comprehensive Compliance Assessment Outcome | jobactive Stream A | jobactive Stream B | jobactive Stream C | DES        | CDP           | Total         | Financial YTD | Financial YTD% |
|-------------------------------------------------------|--------------------|--------------------|--------------------|------------|---------------|---------------|---------------|----------------|
| JSCL updated – referral for ESAt                      | *                  | 232                | 138                | <20        | 96            | 599           | 1,244         | 2.84%          |
| JSCL updated – eligible for higher stream             | <20                | 68                 | <20                | 0          | 0             | 91            | 212           | 0.48%          |
| Persistent non-compliance (Serious Failure)           | 452                | 965                | *                  | <20        | 7,550         | 9,451         | 20,022        | 45.67%         |
| Other outcomes                                        | 1,070              | 1,924              | 1,599              | 109        | 4,595         | 9,297         | 18,432        | 42.05%         |
| No outcomes                                           | 359                | 466                | *                  | <20        | 777           | 1,898         | 3,927         | 8.96%          |
| <b>Total</b>                                          | <b>2,023</b>       | <b>3,655</b>       | <b>2,490</b>       | <b>150</b> | <b>13,018</b> | <b>21,336</b> | <b>43,837</b> | <b>100.00%</b> |

## Glossary

**Active job seekers** - job seekers on activity-tested income support payments that are currently active in employment services. These job seekers meet their mutual obligation requirements for income support through activities such as: attending provider appointments; undertaking activities to help them become more job ready; and looking for work.

**Approved activity** – job seekers fully meeting their activity test requirements through doing a sufficient amount of approved activities, such as part-time work or education, for a specified period (e.g. Principal Carer Parents undertaking 30 hours a fortnight of paid work and/or study). These job seekers do not have to use employment services for the period they are doing a sufficient amount of approved activity or activities.

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

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

- three (3) applied failures as a result of failing to attend an appointment, enter into a Job Plan or satisfactorily meet their Job Search Requirement within a six month period; or
- three (3) days of applied No Show No Pay penalties, within a six month period.

A CCA can also be requested at any time by either an employment services provider or the Department of Human Services if a job seeker is failing to meet their activity test requirements to determine why the job seeker is failing to meet their requirements.

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

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

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

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

**Cultural / language issues** - means that the Department of Human Services has determined cultural diversity, language, literacy or numeracy issues prevented the job seeker from being able to understand or comply with the requirement. The impact of these factors must be considered by decision-makers in setting requirements and determining failures.

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

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

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

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

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

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

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

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

**Invalid reason** - means that the provider considers the job seeker did not have a reasonable excuse for not attending the appointment, or they have been unable to make contact with the job seeker. If a provider records a result of 'invalid reason', they will submit a Non-Attendance Report to the Department of Human Services. Where the Non-Attendance Report is not successfully submitted to the Department of Human Services, the 'invalid' reason result will be automatically updated to a 'discretion' result.

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

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

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

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

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

**JSCL – Eligible for higher stream** - means a job seeker had their JSCL updated and the outcome of the JSCL was for the job seeker to be referred to a higher stream of service in the jobactive system.

**JSCL - Referral for ESAt** - means a job seeker had their JSCL updated and the outcome of the JSCL was for the job seeker to be referred to an Employment Services Assessment. Employment Services Assessments superseded Job Capacity Assessments from 1 October 2011.

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

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

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

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



**Non-Attendance Failure** - is applied when a job seeker has no reasonable excuse for not attending their initial appointment or fails to give prior notice of a reasonable excuse if it was reasonable to expect them to do so. A Non-Attendance Failure results in a loss of one-tenth of the job seeker's fortnightly income support payment for each business day for the day the job seeker was notified until the day the job seeker attends.

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

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

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

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

**No Show No Pay Failure** - may be applied if the job seeker has failed to either attend or behave appropriately at an activity in the Job Plan, or attend or behave appropriately at a job interview with a prospective employer. Following an investigation by DHS into the non-compliance, the job seeker may lose one-tenth of their fortnightly income support payment for every day they do not participate and did not have a reasonable excuse.

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

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

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

**Other acceptable activity** - means that the Department of Human Services determined the job seeker was participating in an activity that made it acceptable not to meet the requirement (for example, undertaking paid work, attending an interview, etc.).

**Other job seekers** - job seekers that do not currently have to use employment services because they have a 'Temporary exemption', 'Reduced work capacity' or are undertaking an 'Approved activity'. These job seekers can use employment services voluntarily, but are not required to do so.



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

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

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

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

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

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

**Reconnection Failure** - may be applied as a result of a provider submitting a Provider Appointment Report (PAR) for non-attendance at a Re-engagement appointment or if the provider reports to DHS that a job seeker fails to meet another reconnection requirement without a reasonable excuse. A Reconnection Failure results in loss of payment from the date of the failure until the day the job seeker meets a further reconnection requirement.

**Reduced work capacity** - job seekers with an assessed temporary or partial reduced work capacity of 0-14 hours a week do not have to be in employment services, and are able to fully satisfy their activity test requirements through a quarterly interview with the Department of Human Services.

**Serious Failure** - may be applied for either refusing a suitable job offer, failing to commence in a suitable job (after having accepted it); or persistent and wilful non-compliance (can only be applied following a Comprehensive Compliance Assessment to ensure that the job seeker's behaviour is not the result of unidentified barriers to participation beyond their control).

**Submitting PRs/PARs** - means that the Department of Human Services rejected the Participation Report or Provider Appointment Report on the grounds that it was not valid. This includes, for example, where the report was submitted for a period during which the job seeker had an exemption or was not receiving any payments; it was submitted for a requirement not contained in the Job Plan; or the report was filled out incorrectly containing the wrong code or date of incident.

**Temporary exemption** - job seekers can be granted an exemption by the Department of Human Services, for a specified period of time, from complying with their requirements. Exemptions are granted if the job seeker does not have the capacity to undertake mutual obligation requirements due to the impact of personal or other circumstances beyond their control (e.g. temporary medical incapacity). Job seekers do not have to use employment services for the duration of their exemption.

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

**Total job seekers** - are all people receiving an income support payment with mutual obligation requirements (but excluding recipients of Disability Support pension). It comprises 'Active job seekers' who currently need to use employment services (i.e. jobactive, Disability Employment Services (DES), the Community Development Programme (CDP) or the Transition to Work (TTW) Service), as well as 'Other job seekers' who have a 'Temporary exemption', 'Reduced work capacity' or are undertaking an 'Approved activity'.

**Transport difficulties** - means that the Department of Human Services determined unforeseeable transport difficulties prevented the job seeker from complying with the requirement (for example, a car breaking down or public transport services being cancelled or disrupted).

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

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

#### **Notes:**

1. The above tables show all compliance actions that were applied or finalised during the second quarter of the 2016 - 17 financial year (i.e. applied/finalised in the period 1/10/2016 – 31/12/2016 inclusive) and not under review, revoked or otherwise overturned as at 13 February 2017. This lag is to allow for reviews and appeals to be finalised.
2. The tables in Part B exclude failures that were submitted and subsequently rejected due to the job seeker not being in receipt of income support payment at the time of the failure, a Comprehensive Compliance Assessment had been triggered at the time of the failure, the job seeker's record was cancelled or the provider withdrew the Participation Report.
3. The Allowance Type breakdown refers to the payment type that a job seeker was in receipt of at the time of the compliance action i.e. Newstart Allowance (NSA), Youth Allowance (YAL) & Parenting Payment Single (PPS).
4. Where very small numbers of compliance actions (less than 20) of a particular type occur, the actual number is not published. An \* is used where the <20 can be derived through totals or other values.
5. Many of the tables include financial year to date figures. However, there are some tables that do not include financial year to date figures due to the way the data is captured.
6. This data was extracted by the Department of Social Services, sourcing information through the Employment Business Intelligence Warehouse.