



Australian Government



Documentary Evidence for Claims for Payment Guidelines

V 1.10

Disclaimer

This document is not a stand-alone document and does not contain the entirety of Disability Employment Services Providers' obligations. It should be read in conjunction with the Disability Employment Services Grant Agreement and any relevant guidelines or reference material issued by the Department of Social Services under or in connection with the Disability Employment Services Grant Agreement.

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Document Change History - Documentary Evidence for Claims for Payment Guidelines

| Version | Effective Date | End Date | Change & Location |
|---------|----------------|------------------|---|
| 1.0 | 1 Jul 18 | 09 Sep 18 | Original version |
| 1.1 | 10 Sep 18 | 02 Dec 18 | Narrative: Update to disability disclosure measures in relation to Documentary Evidence (P.18) Policy: Remove all references to 'Add Discrepancy Button', as this system functionality no longer exists. Updated advice for managing JRRR/JEHR discrepancies (P.31). |
| 1.2 | 03 Dec 18 | 08 Mar 20 | Narrative: Update to disability disclosure measures in relation to Documentary Evidence (P.18) Policy: Update of Clause Numbers on P.6 to align with Grant Agreement Direction 2 |
| 1.3 | 09 Mar 20 | 30 Jun 20 | Narrative: Replace all references of Newstart with JobSeeker Payment. |
| 1.4 | 01 Jul 20 | 31 Jul 20 | Policy: Clarification around the role and allowability of File Notes (P.4), and removal of File Notes as an evidentiary option for Work Assist Outcomes (P.21), Bonus Fees (P.27), Ongoing Support Fees (P.32), WBPA (P.35) and PaTH payments (P.42-43), and discretion for Employment Outcomes (P.18). |
| 1.5 | 1 Aug 20 | 13 Sep 20 | Policy: Update of evidentiary requirements for Education Outcomes from courses delivered by Related Entity organisations (P.20). Update to WBPA regarding evidence the participant is ineligible for the National Disability Insurance Scheme (P.36) Confine self-employment evidence requirements to relevant section. Narrative: Incorporate Minimum Wage evidentiary requirements in Four-week Outcome and Employment Outcome claim requirements (P.17-18 and 26-27). |
| 1.6 | 14 Sep 20 | 7 Mar 21 | Narrative: Update Education Outcome claims requirements relating period covered by training provider statement and add optional evidence option for 26-week claims (P.20-21). Terminology: Updated "Centrelink" to "Services Australia" |
| 1.7 | 8 Mar 21 | 27 Jun 21 | Narrative: Additional guidance around requirements to obtain, retain and upload documentary evidence (P.4), lodge claims (P.4-5), and the use of different evidence types (P.5-6) Policy: Further information about where a JRRR or JEHR may not demonstrate outcome requirements have been met (P.21-22). Simplified statement evidence processes for participants in Unsubsidised Self-Employment (P.25-26). Further information about Special Claims processes (P.30-31). Processes: Documentary evidence to support wage subsidy (P.40-44) and PaTH Internship (P.45-46) fees must be uploaded to ESSWeb rather than retained by the provider. |
| 1.8 | 28 Jun 21 | 28 November 21 | Clarification: for Wage Start Subsidy, the employer must employ the Wage Start Participant for an average of at least 15 hours per week over the six months of the Wage Start Subsidy Agreement. Processes/clarification: For Wage Subsidy Scheme and Wage Start Subsidy, Providers must upload evidence from the Employer to verify any periods of approved leave. (Note that this requirement is already included under the Restart Wage Subsidy section.) Processes: providers must include the Unique Student Identifier (USI) of participants undertaking study when claiming education outcome fees. |
| 1.9 | 29 November 21 | 31 December 2022 | Clarification: Consistent with the Ongoing Support Guidelines, updated to clarify that Participants receiving Ongoing Support prior to 1 July 2018 do not need to meet the eight-hours a week, on average, minimum work requirement (refer to Ongoing Support Fees section). |

| Version | Effective Date | End Date | Change & Location |
|---------|----------------|----------|---|
| 1.10 | 1 January 2023 | | <p>Amendment: Updated the mailbox to DESAdmin@dss.gov.au in the Relocation Assistance to Take Up a Job section.</p> <p>Amendment: updated references to jobactive website to Workforce Australia website. Removed references to decommissioned jobactive Employer App.</p> |

Background

These Guidelines specify the Department of Social Services' (the Department) Documentary Evidence requirements for Fees for Services, Funds, Reimbursements and Ancillary Payments, provided under the Disability Employment Services Grant Agreement (the Grant Agreement).

In the event of any inconsistency between the Grant Agreement and these Guidelines, the provisions contained in the Grant Agreement will prevail.

Policy

The term 'Documentary Evidence' is defined in Annexure A of the Grant Agreement as, 'those Records of the Provider, as specified in this Agreement including any Guidelines, which evidence that Services were provided by the Provider for each claim for payment made under this Agreement, or which otherwise support a claim for payment by the Provider.'

The Grant Agreement requires that Providers, at the time they make a claim for payment:

- *have* sufficient Documentary Evidence to show they are entitled to the relevant Fee, Fund, Reimbursement, Wage Subsidy or Ancillary Payment (clause 21.4);
- *retain* sufficient Documentary Evidence to prove its claim for payment (clause 22.1); and
- *upload* to the Department's IT Systems all Documentary Evidence required by any Guidelines (clause 22.2).

The Department may not accept Documentary Evidence dated or uploaded after the claim date.

The Provider must, consistent with relevant Grant Agreement requirements, ensure that all information and Documentary Evidence provided to the Department in any form and by any means is a true, accurate and complete record.

A Provider must not submit a claim without holding satisfactory Documentary Evidence. It is the Provider's responsibility to obtain satisfactory Documentary Evidence. Where such evidence is not forthcoming from either the Participant or Employer, the claim will not be considered valid.

In addition, the Provider must not claim any fee for which it has required documentary evidence if it is aware that the fee is not payable due to contradictory evidence or circumstances not shown in the required documentary evidence.

Lodging claims – automated claims

Providers lodge claims for payment through the Department's IT Systems and must complete mandatory fields. Unless these Guidelines specify Documentary Evidence that must be uploaded, information provided in these fields is sufficient to substantiate the claim. The Provider must however retain relevant Documentary Evidence that is not required to be uploaded and must supply it within 10 Business Days if requested by the Department, as set out at clause 22.3 of the Grant Agreement.

Providers must upload Documentary Evidence specified in these Guidelines, including for: Four-week Outcome Fees; Full or Pathway Outcome Fees; Bonus Fees; Moderate Intellectual Disability Payment; Work Assist Fees; Wage Subsidies (including Restart); and PaTH Internship reimbursements and outcome claims. Providers must, at the time of making the claim, either:

- upload Documentary Evidence against the claim; or
- link previously uploaded Documentary Evidence to the transaction.

An exception to this requirement is effective for JRRR and JEHR supported Full and Pathway Outcome Fees, as set out in Section 2, 'Outcome Fees,' of these Guidelines.

Documentary Evidence that has been successfully uploaded to the Department's IT Systems is retained by those IT Systems and the Provider does not need to retain a copy.

The Department may at any time request to see Documentary Evidence the Provider retains but has not uploaded. As set out at clause 22.3 of the Grant Agreement, the Provider must supply requested Documentary Evidence within 10 Business Days.

Lodging Claims - Special Claims

The Department expects that Providers' internal processes allow all claims to be lodged as automated claims. Special Claims increase the administration burden for Providers and the Department.

However, Special Claims are available so that Providers can lodge valid claims that cannot be lodged through automated processes in special circumstances. Special Claims will be reviewed by the Department and may be rejected where the provider does not satisfactorily demonstrate:

- the reasons why the claim satisfied the relevant claim requirements; and
- the reasons why the claim could not be lodged through automatic processes.

Providers accept this risk when electing to submit a Special Claim.

Providers must upload Documentary Evidence for a Special Claim that would be required for an automated claim of the same type. Providers may also need to upload additional Documentary Evidence that explains and supports the need for the claim to be lodged as a Special Claim, as set out in these Guidelines. Special Claims will be rejected where required Documentary Evidence has not been attached.

Approval of the Special Claim does not preclude further assurance undertaken by the Department. That is, the Department may initially approve a Special Claim and then deem it Invalid after an assurance review.

Use of File Notes

Providers must use verifiable Documentary Evidence wherever possible. File Notes may be accepted:

- to provide context for other verifiable evidence, such as explaining the use of a purchased item, or setting out reasons why a Special Claim was required. File Notes may not be used to substitute for verifiable evidence, such as asserting that an item was purchased; or
- in exceptional circumstances, to record required details of an employment placement. In this case the provider must also upload additional file evidence (not through another File Note) demonstrating to the department's satisfaction:
 - verifiable evidence was sought and is not available; and
 - the exceptional circumstances that led to verifiable evidence not being available.

While a provider must show they attempted to obtain verifiable evidence from the employer and the Participant, inability to obtain that evidence does not of itself demonstrate to the department's satisfaction that there are exceptional circumstances justifying a File Note. As the department's satisfaction with File Notes and associated evidence cannot be checked in advance, providers accept the risk that claims supported by File Notes may be recovered by the department.

Where providers manage File Notes through an approved IT System, the system must ensure that File Notes have a date, time and user stamp on the entry, and that these details are included in extracts or printouts uploaded to the Department's IT Systems as Documentary Evidence.

Use of Employer or Participant Statements

These Guidelines allow, as Documentary Evidence for Outcome Fees and some related fees, a "signed and dated written statement or email" from an Employer or Participant containing specified details. In this form of Documentary Evidence, the Employer or Participant is asserting that the details in the written statement or email are correct.

A *written statement* containing required details is acceptable where the Employer or Participant signs and dates the page or pages containing the details.

A statement by *email* containing required details is acceptable where the email is sent by the Employer or Participant making the statement (including in response to a previous email) and:

- includes within the body of the email both the required details and a statement from the person (Employer or Participant) that the details are correct; or
- attaches a scanned copy of a written statement containing the required details that has been signed and dated by the person (Employer or Participant); or
- attaches a document containing the required details, and includes within the body of the email:
 - matching summary details, including the Employer and Participant names, period covered by the document and total hours and earnings specified in the document; and
 - a statement from the person (Employer or Participant) that the details in the attached document are correct.

Consent to contact an employer

Most Documentary Evidence must be collected from either the Participant or their Employer (or other relevant organisation). Where a Participant does not give permission for the DES Provider to seek Documentary Evidence from their Employer, such as where the Participant does not wish to disclose their disability, the DES Provider must keep evidence of this requirement from the Participant, and obtain verifiable evidence from the Participant.

Note: To support best practice:

- Where Documentary Evidence is a hard copy (paper statement or form), whiteout must not be used, and any alterations or amendments must be signed and dated by the signatory.
- Where Documentary Evidence is an email, the Employer or Participant must be clearly identifiable as the sender in the email address and/or the signature block.
- Signature blocks must state the person's name and, where applicable, the person's contact phone number, email address, position and organisation. Signature blocks for emails do not need to include an electronic signature.

Disability Employment Services Grant Agreement Clauses:

Clause 18 – Liaison and Compliance

Clause 21 – General (Some basic rules about financial matters)

Clause 22 – Evidence to support claims for payment

Clause 36 – General (Information and Information Management)

Clause 44 – Records the Provider must keep

Clause 87 – Direct Registration of Participants without a Referral

Clause 91 – Appointments with Participants

Clause 92 – Initial Interview

Clause 93 – Contact services

Clause 94 – Skills Assessment

Clause 99 – PaTH Internships

Clause 101 – Wage Subsidy and Employment Assistance Fund

Clause 102 – Restart Program

Clause 106 – General requirements for a Job Plan

Clause 107 – Mutual Obligation Requirements

Clause 111 – Mutual Obligation Failures

Clause 112 – Compliance Action - Work Refusal Failures

Clause 112A – Compliance Action - Unemployment Failures

Clause 113 – Non-compliance action for Disability Support Pension Recipients (Compulsory Requirements)

Clause 117 – Program Review

Clause 120 – Change of Circumstances Reassessment during Period of Service

Clause 128 – Updating the Department's IT Systems

Clause 131 – Work Based Personal Assistance Only

Clause 134 – Relationship failure, transfer by agreement and transfers by the Department

Clause 137 – Suspensions

Clause 139 – Exits

Clause 141 – General (Fees and Ancillary Payments)

Clause 146 – Service Fees

Clause 147 – Outcome Fees

Clause 148 – Ongoing Support Fees

Clause 149 – Work Assist Fees

Clause 150 – Work Based Personal Assistance Fees for Disability Employment Services – Employment Support Service Providers

Clause 151 – Ancillary Payments

Clause 152 – Moderate Intellectual Disability Payment

Annexure A – Definitions

Reference documents relevant to these guidelines:

Contacts Guidelines
DES Disability Management Service – Special Class Client Guidelines
DES Eligible School Leaver Guidelines
DES Period of Service Guidelines
Direct Registration Guidelines
Disability Management Service Participants Not Receiving Income Support Guidelines
Eligibility, Referral and Commencement Guidelines
Job Plan Guidelines
Managing and Monitoring Mutual Obligation Requirements Guidelines
Managing PaTH Internships Guidelines
Moderate Intellectual Disability Payment Guidelines
Ongoing Support Guidelines
Outcome Guidelines
Program Review, Program Summary and Exits Guidelines
Records Management Instructions Guidelines
Restart Agreement Guidelines
Service Fee Guidelines
Targeted Compliance Framework: Mutual Obligation Failures Guidelines
Targeted Compliance Framework: Work Refusal and unemployment Failures Guidelines
Transfer Guidelines
Wage Subsidy Scheme Guidelines
Work Assist Guidelines
Work Based Personal Assistance Guidelines

Explanatory Note:

All capitalised terms have the same meaning as in Disability Employment Services Grant Agreement. In this document, “must” means that compliance is mandatory and “should” means that compliance represents best practice.

Key Terms

This section provides definitions for terms used in these Guidelines that are not already included as defined terms within the Grant Agreement. Please refer to the Grant Agreement for capitalised terms in these Guidelines, which are not listed below.

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| Automated Special Claims | A process of claiming an Outcome Fee which is completed in the Department's IT Systems by a staff member of the DES Provider with a high level of security access and in accordance with any Guidelines issued by the Department. Automated Special Claims are only available for those claims where there is Documentary Evidence that indicates that there has been under/non declaration of earnings and/or hours of paid work to Services Australia by the Participant (disputed JRRRs and JEHRs). All other Special Claim request types must be submitted in the Overrides and Special Claims application. |
| National Minimum Wage | The National Minimum Wage set by the Fair Work Commission. For further information go to Fair Work Commission website . |
| JEHR | <p>The Jobseeker Employment Hours Result (JEHR) is a system tool that checks for an Outcome Fee claim for a Participant who has part-time participation requirements.</p> <p>The Department's IT Systems will request a check of the earnings and the hours that the Participant has declared to Services Australia during the 13-week Period or 26-week Period or 52-week Period. The response from Services Australia is compared to the participation requirements that related to the Participant at the start date of the 13-week Period (the Anchor Date) or at the start date of the 26-week Period or at the start of the 52-week Period (whichever applies to the Outcome Fee being claimed) to ensure that the required hours have been worked and that the employment is paid work. The Department's IT Systems will make available a claim if the JEHR supports an Outcome.</p> |
| JRRR | <p>The Jobseeker Rate Reduction Result (JRRR) is a system tool which checks the records of Participants who are on JobSeeker Payment/Youth Allowance with full-time participation requirements who have a potential employment Full Outcome or Pathway Outcome. The Department's IT Systems will automatically run the JRRR.</p> <p>The JRRR runs a check on the impact of the reported earnings from employment on a Participant's basic rate of JobSeeker Payment/Youth Allowance (the basic rate does not include rent assistance, pharmaceutical allowance or any other additional payments for which a Participant may be eligible while on JobSeeker Payment/Youth Allowance). The impact is calculated fortnightly over 13 weeks or 26 weeks for a 13, 26 or 52-Week Outcome and is expressed as a percentage of actual rate reduction. The Department's IT Systems will make available a claim if the JRRR supports an Outcome.</p> |
| Special Claims for Outcome Fees | A process of claiming Outcome Fees where the JRRR or the JEHR has not returned the expected result, or due to other circumstances where the DES Provider has been unable to lodge the Outcome Fee claim in the Department's IT Systems payments as an auto claim. |

Section 1: Service Fees

Service Fees are automatically paid in advance for each period of 13 weeks, if certain conditions have been met (refer to the Service Fee Guidelines for further information on the automation of Service Fees). DES providers are required to retain sufficient Documentary Evidence that demonstrates that Services have been delivered to support each Service Fee claim.

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|---|---|---|
| <p>Initial Interviews for Participants and Initial Interviews for a New Program</p> <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 91 • Clause 92 <p><i>Further information on Initial Interviews:</i></p> <ul style="list-style-type: none"> • Eligibility, Referral and Commencement Guidelines • Job Plan Guidelines <p><i>Further information on Non-Beneficiary Participants:</i></p> <ul style="list-style-type: none"> • Disability Management Service Participants Not Receiving Income Support Guidelines | <ul style="list-style-type: none"> • Attendance in the Electronic Calendar for Initial Interview or Initial Interview for a New Program. • Job Plan must be recorded with a status of 'approved.' | <p><u>As relevant to the individual Participant circumstances:</u></p> <ul style="list-style-type: none"> • Copies of exemptions from attending school for Eligible School Leavers, • Copies of course enrolment forms. <p><u>Where a Participant is a Non Beneficiary (Disability Management Service only):</u></p> <ul style="list-style-type: none"> • Copy of the signed Non Beneficiary income test result. |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|--|---|--|
| <p>Direct Registration</p> <p><i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 87 <p><i>Further information on Direct Registration:</i></p> <ul style="list-style-type: none"> • Direct Registration Guidelines <p><i>Further information on ESAt/JCA exempt Participants:</i></p> <ul style="list-style-type: none"> • Work Assist Guidelines • DES Disability Management Service – Special Class Client Guidelines • DES Eligible School Leaver Guidelines. | <ul style="list-style-type: none"> • Participant registration information, • Identify the Participant where they are a Work Assist Participant, Special Class Client (SCC) or Eligible School Leaver (ESL). | <ul style="list-style-type: none"> • Copy of the completed DES Direct Registration Form (DRF). <p>This must be an unaltered, complete version of the DRF that was available on the DES Provider Portal at the time the job seeker was Directly Registered in DES. The DRF must have all relevant questions answered and all relevant fields correctly completed including proof of identity checks, and must be signed and dated by both the job seeker (or their legal guardian) and the DES Provider's representative.</p> <p><u>Requirements for Participants who access DES under approved Labour Adjustment Packages</u> (ie: retrenched workers from the automotive, forestry and mining industries. See jobs.gov.au for more information).</p> <ul style="list-style-type: none"> • Copy of a redundancy letter or employment separation certificate is required. <p><u>Requirements for ESAt/JCA exempt Participants</u></p> <p>In addition to obtaining Documentary Evidence to support the Participant's Direct Registration in DES, specific Documentary Evidence is required to support the eligibility for ESAt/JCA exempt Participant categories set out below.</p> <p><u>Work Assist:</u></p> <ul style="list-style-type: none"> • Documentary Evidence requirements as set out in the Work Assist Guidelines. |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|--------------|--|--|
| | | <p><u>Special Class Clients (SCC):</u></p> <ul style="list-style-type: none"> • Medical evidence verifying the job seeker has a disability, injury or illness. This could include a medical certificate issued by a General Practitioner or other relevant medical record. • Statutory Declaration from the Participant stating they were present at one of the declared extreme events. Note: The Department may seek to confirm that a SCC Participant was present at the declared extreme event as part of its ongoing program assurance process. • Documentary Evidence to demonstrate a job seeker's capacity to work a minimum of eight hours per week (refer to the DMS-Special Class Client Guidelines for more information). <p><u>ESL Participants:</u></p> <ul style="list-style-type: none"> • Documentary Evidence requirements as set out in the DES ESL Guidelines, available on the Department's website and the DES Provider Portal. |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|--|--|---|
| <p>Minimum Contacts</p> <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 93.1 <p><i>Further information on Contacts:</i></p> <ul style="list-style-type: none"> • Contacts Guidelines • Job Plan Guidelines | <ul style="list-style-type: none"> • The Contact schedule must be specified in the Participant's Job Plan and Participants are required to attend Contacts as set out in their Plan. • If appropriate, details of circumstances which prevent a face-to-face Contact for the Initial Interview. Apart from an initial face-to-face meeting, appointments between a DES Participant and Provider are not restricted to face-to-face Contacts (refer to the Contacts Guidelines). • All Contacts must be recorded in the Electronic Calendar, and attendance results recorded for each Contact. Unless otherwise arranged with the DES Provider, the Participant is responsible for recording their attendance at Contacts entered into the Electronic Calendar. • Contacts that constitute an Instance of Flexible Ongoing Support must be recorded on the Ongoing Support Management Screen. Refer to Section 5: Ongoing Support Fees, for further information. | <ul style="list-style-type: none"> • Record of compliance with the requirements of the Job Plan. • Issues covered in each Contact including: <ul style="list-style-type: none"> – Participant's progress to find employment; – details of assistance and support provided to Participant; and – details of any relevant changes to the Participant's circumstances. |
| <p>Job Plan</p> <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 92.1 • Clause 106.6 • Clause 106.7 | <ul style="list-style-type: none"> • The Job Plan must be: <ul style="list-style-type: none"> – recorded with a status of 'approved'; – developed by the DES Provider during the Initial Interview; and – reviewed and amended when appropriate, as outlined in clause 106.6 and clause 106.7 | |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|---|---|---|
| <p>Skills Assessment <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 94 | <ul style="list-style-type: none"> • Update Job Plan with outcomes of Skills Assessment. | |
| <p>Exits <i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clauses 117.1 – 117.3 • Clause 137 • Clause 139.15 <p><i>Further information on Exits:</i></p> <ul style="list-style-type: none"> • Program Review, Program Summary and Exits Guidelines | <p>For all Participants in the Exit section, record:</p> <ul style="list-style-type: none"> • the Provider Exit; and • the reason for the Exit. <p>For all Participants who are Exited after commencement in DES, complete a Program Summary:</p> <ul style="list-style-type: none"> • within 20 Business Days where the Participant is transferred to another Program Provider, or • within Five Business Days of an exit for any other reason. <p>For Volunteers where an Exit is due to non-attendance of an Appointment:</p> <ul style="list-style-type: none"> • in the Electronic Calendar record details of the Volunteer's regular non-attendance for Appointments; and • in the comments screen record details of the attempts to contact the Participant at least once on each of two consecutive Business Days. <p>For Participants with Mutual Obligation Requirements who do not attend appointments refer to the section on Compliance and Clauses 107, 111, 112 and 112A of the Grant Agreement.</p> | <ul style="list-style-type: none"> • A concise record of any information provided by, or relating to, the Participant that influences the DES Provider's decision to Exit the Participant. |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|--|--|---|
| <p>Participation Compliance <i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 107 • Clause 111 • Clause 112 • Clause 112A <p><i>Further information on Participation / Non Attendance Reporting:</i></p> <ul style="list-style-type: none"> • Managing and Monitoring Mutual Obligation Requirements Guidelines | <p>Where the DES Provider decides to undertake compliance action in accordance with Clauses 107, 111, 112 or 112A:</p> <ul style="list-style-type: none"> • Record a Participation Report in the Department's IT System, on the same Business Day on which the Provider becomes aware of the event, and in accordance with any Guidelines. | <ul style="list-style-type: none"> • Evidence relating to the event that has resulted in the Participant's failure. • Relevant information on the Participant with Mutual Obligations' individual circumstances. • Any relevant reason(s) given by the Participant with Mutual Obligation Requirements for the event(s). |
| <p>Suspensions <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 136 • Clause 137 <p><i>Further information on Suspensions:</i></p> <ul style="list-style-type: none"> • Program Review, Program Summary and Exits Guidelines | <p>Where a Participant elects to volunteer while Suspended, record:</p> <ul style="list-style-type: none"> • the agreed volunteering period, including the start date (which cannot be backdated from the date recorded) and the expected end date, which cannot exceed the end date of the Suspension period – in the Suspensions and Volunteering section; • the agreed Voluntary activities in the Job Plan; and • that the Participant is participating as a Volunteer. | <ul style="list-style-type: none"> • Details of the DES Provider's decision and relevant evidence to support the decision not to service a Participant with a temporary reduced work capacity of 0-7 hours who elects to volunteer. |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|--|--|--|
| <ul style="list-style-type: none"> DES Period of Service Guidelines | <p>Where a Volunteer (Activity Tested) is in an agreed volunteering period, and the DES Provider subsequently becomes aware that the Participant no longer wishes to volunteer, immediately record the end of the volunteer period.</p> <p>Where a Suspended or Volunteer (Activity Tested) Participant ceases to fully meet their Activity Tested requirements, record:</p> <ul style="list-style-type: none"> the end of the suspension or volunteering period; and amend the Participant's Job Plan as appropriate including removing voluntary activities. <p>Where a Volunteer (Non-activity Tested) Participant cannot participate for a period, record:</p> <ul style="list-style-type: none"> agreed start and end date for the Suspension (a maximum period of 13 weeks at a time); and reason for the Suspension (as outlined in the DES Period of Service Guidelines). <p>Where a Participant has been suspended from Services by the DES Provider, and the DES Provider subsequently becomes aware that the Participant wishes to return to participation, immediately record the end of the Suspension.</p> | |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|---|---|---|
| <p>Review and Reassessment <i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 117 • Clause 120 | <ul style="list-style-type: none"> • Complete the Program Summary in accordance with the Program Review, Program Summary and Exits Guidelines when a new ESAt has been arranged for the Participant between 74 to 78 weeks of Employment Assistance. | <p>Where the Program Review ESAt determines that Extended Employment Assistance should be delivered, additional documentary evidence required includes:</p> <ul style="list-style-type: none"> • details of any Employment, including name of Employer and number of hours worked; • details of any Significant Education or Training, including the name of the training institution and the education or training course being undertaken; and • reasons that the DES Provider believes Extended Employment Assistance is likely to result in an Employment Outcome. |

| Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|---|--|---|
| <p>Transfers <i>Grant Agreement Clause Reference:</i></p> <ul style="list-style-type: none"> • Clause 135.1 <p><i>Further information on Transfers:</i></p> <ul style="list-style-type: none"> • Transfer Guidelines | <ul style="list-style-type: none"> • Any transfer of a Participant by (including by agreement, Relationship Failure, or by the Department) is to be recorded by the relinquishing DES Provider as soon as the agreement to transfer has been finalised between the parties. • A DES Provider must submit a copy of the completed Transfer due to Relationship Failure form to the Department's National Customer Service Line. <p>If a Participant is transferred by another Provider, the Gaining Provider must record the reason for the transfer in the Department's IT System.</p> | <ul style="list-style-type: none"> • a copy of the completed Transfer by Agreement form, where used for the transfer |
| <p>Referrals to Complementary Services <i>Grant Agreement Clause Reference:</i></p> <ul style="list-style-type: none"> • Annexure A | <ul style="list-style-type: none"> • All referrals to Complementary Services. | |

Section 2: Outcome Fees

The Department’s IT Systems will automatically determine eligibility for the following Outcome Fees based on the information entered into the Department’s IT Systems by the DES Provider: Four-week Outcome, Full Outcome, Pathway Outcome, Work Assist Outcome, and Bonus Fees. The following section specifies the Documentary Evidence requirements that must be uploaded in the Department’s IT Systems to support an Outcome Fee claim.

Documentary Evidence to support the Outcome Fee claim does not need to be retained or uploaded when the Job Seeker Rate Reduction Result (JRRR) or Job Seeker Employment Hours Result (JEHR) supports an auto-claim for an Outcome, as per advice set out this section.

Privacy considerations

A Participant may be able to supply their DES Provider with appropriate Documentary Evidence to support an Outcome claim. In other cases, DES Providers may need to contact an Employer to seek Documentary Evidence related to a Participant’s employment. The Provider must obtain the Participant’s written consent prior to contacting the Participant’s Employer. Written consent must be obtained for each placement, and must include details of the Employer for which the consent has been sought. Participants have a right to not disclose their disability to an Employer, and a Participant may consent to a Provider contacting one Employer, but not to another. The Participant’s written consent must be uploaded into the Department’s IT Systems by the DES Provider.

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department’s IT Systems at time of making a claim |
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| <p>Four-week Outcome, Full Outcome and Pathway Outcome (Employment Outcomes) for auto claiming in the Department’s IT Systems</p> <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 147 • Annexure A Definitions – Full Outcome and Pathway Outcome. | <p><u>Outcome Fees where the JRRR or JEHR does not verify an auto claim for an Outcome Fee</u></p> <p>For <u>all employment outcomes</u>, the DES Provider must upload into the Department’s IT Systems Documentary Evidence showing the Employment is being paid at the minimum relevant rate of pay or higher for the position. Please see “Correct Wage Entitlement/ National Minimum Wage for Four-week Outcome, Full Outcome and Pathway Outcome.”</p> <p>For a <u>Four-week Outcome</u> the DES Provider must upload into the Department’s IT Systems Documentary Evidence showing the Participant:</p> <ul style="list-style-type: none"> • remained Employed for the entire Four-week Period and worked the minimum hours required, according to the Participant’s Employment Benchmark. |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department's IT Systems at time of making a claim |
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| <p><i>Further information on Outcome Fees:</i></p> <ul style="list-style-type: none"> • Outcome Guidelines | <p>For a <u>Full Outcome</u> the DES Provider must upload into the Department's IT Systems Documentary Evidence showing the Participant, for the duration of the Outcome period (13-week Period, 26-week Period or 52-week Period):</p> <ul style="list-style-type: none"> • remained Employed; and • satisfied outcome requirements because they either: <ul style="list-style-type: none"> – earned sufficient income each fortnight for the Participant's Basic Rate of any Income Support Payment to cease; or – worked each week, on average, hours at least equivalent to the Participant's Employment Benchmark. <p>For a <u>Pathway Outcome</u> the DES Provider must upload into the Department's IT Systems Documentary Evidence showing the Participant, for the duration of the Outcome period (13-week Period, 26-week Period or 52-week Period):</p> <ul style="list-style-type: none"> • remained Employed; and • worked each week, on average, the minimum required hours, according to the Participant's Employment Benchmark. <p>Acceptable forms of Documentary Evidence for a Four-week Outcome, Full Outcome and Pathway Outcome include:</p> <ul style="list-style-type: none"> • copies of payslips covering the whole of the Outcome Period (Four-week Period, 13-week Period, 26-week Period or 52-week Period, as relevant); or • a signed and dated written statement or email from the Employer or Participant relating to the Outcome period (Four-week Period, 13-week Period, 26-week Period or 52-week Period, as relevant), confirming (unless otherwise specified by the Department): <ul style="list-style-type: none"> – the name of the Employer (which can be the Participant, where in Unsubsidised Self-Employment); – the Outcome period covered by the written statement or email; – the hourly rate of payment each week of the Outcome period; – the Participant's hours of paid Employment worked each week/fortnight of the Outcome period; – the Participant's gross income each week or fortnight of the Outcome period; |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department’s IT Systems at time of making a claim |
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| | <ul style="list-style-type: none"> – the full name (including first name and surname), phone number and email details of the person making the written statement or email; and – the date the written statement or email was provided; or <ul style="list-style-type: none"> • File Notes containing the information as per a signed statement may be accepted at the Department’s discretion where the provider can demonstrate that verifiable evidence was sought and is not available (not through another File Note). <p>Where the evidence is a signed and dated written statement or email from the Participant, the Provider must review any other evidence that is available (such as a Profit and Loss Statement, Business Activity Statement or Tax Return Statement not covering the full outcome period) to ensure the written statement or email is not inconsistent with known details. Where a Provider can account for apparent differences between the Participant’s written statement or email and other available evidence, the provider should upload the other evidence and an explanation to support the statement or email.</p> <p>Providers may not claim an Outcome if they are aware of any reason why it should not be payable.</p> <p><u>Combination Employment and Education Outcomes</u></p> <p>Where a Full Outcome is being claimed for a Participant who is completing a Combination of Education and Employment the Documentary Evidence requirements for both Employment and Education Outcomes must be met.</p> <p><u>Moderate Intellectual Disability Payment</u></p> <p>Where a Full Outcome is being claimed for a Participant who is eligible for a Moderate Intellectual Disability Payment the Documentary Evidence must include verification of Employment of at least 15 hours per week. Refer to Section 4: “Moderate Intellectual Disability Payment,” for Documentary Evidence requirements to demonstrate a Participant is a Moderate Intellectual Disability Participant.</p> <p><u>Outcome Fees supported by JRRR or JEHR</u></p> <p>For Full or Pathway Outcome Fees, Documentary Evidence as listed above is not required where the JRRR or JEHR result supports an auto claim for an Outcome and the DES Provider is not aware of any reason why an Outcome should not be payable.</p> |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department’s IT Systems at time of making a claim |
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| | <p>DES Providers are responsible for monitoring a Participant’s progress in Post Placement Support and must not claim an Outcome using a JRRR or JEHR if they are aware that a 100% rate reduction result is not due to correctly reported earnings or hours. This may include cases where:</p> <ul style="list-style-type: none"> • the Participant was not on income support at the start of the Outcome period; or • the Participant’s income support was cancelled for a reason not related to employment earnings/hours; or • the View Declared Earnings button on the Jobseeker Personal Summary screen shows there were no declared earnings to Services Australia; or • as described below, the period covered by the JRRR or JEHR is longer than the Outcome period and causes reasonable doubt about whether the Participant satisfied the requirements of the outcome. <p>There may be reasonable doubt about a JRRR or JEHR where it does not closely match the DES Outcome period. These periods rarely align perfectly, as JRRR or JEHR periods correspond with set Services Australia reporting fortnights. In some cases the JRRR or JEHR period may be up to three weeks longer than the Outcome period, causing reasonable doubt about whether sufficient of the reported earnings or hours worked occurred within the Outcome period.</p> <p>In these cases, providers must upload additional evidence to demonstrate eligibility for the claim.</p> <p>Note: Providers must upload additional Documentary Evidence where the Outcome period (13-week Period, 26-week Period or 52-week Period) contains a Permissible Break, and/or to support a claim for a Bonus. Please refer to the Documentary Evidence requirements for a Permissible Break and a Bonus in this section.</p> |
| <p>Full Outcome and Pathway Outcome (Education Outcomes) for claiming in the Department’s IT Systems</p> | <p><u>Documentary Evidence requirements for Education Outcomes</u></p> <p>A written statement from the training institution relating to the period of the course relevant to the claim, confirming:</p> <ul style="list-style-type: none"> • the Participant’s name and Unique Student Identifier (USI); • the period covered by the statement, which must be: <ul style="list-style-type: none"> • for 13-week Outcomes - the first Semester or, where the course does not have defined Semesters, a period of at least 13 weeks from the commencement of the course; • for 26-week Outcomes - the second Semester or, where the course does not have defined Semesters, any remaining period to the end of the course; |

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| <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 147 • Annexure A Definitions. <p><i>Further information on Outcome Fees:</i></p> <ul style="list-style-type: none"> • Outcome Guidelines | <ul style="list-style-type: none"> • that the Participant passed the course requirements (not only attended) for this period; • the course was at least a Certificate III level (Full Outcomes only); • the class contact hours attended by the Participant each week; • whether the Participant’s attendance was Full-Time Study or part-time study as defined by the training institution; • the full name (including first name and surname), phone number and email details of the person making the statement or email; and • the date the statement or email was provided. <p>For 26-week Outcomes, the Provider can instead upload certification from the training institution showing that the Participant was awarded the relevant qualification after passing the course, which identifies:</p> <ul style="list-style-type: none"> • the Participant’s name and Unique Student Identifier (USI); • the qualification awarded, including qualification level; • the training institution awarding the qualification; and • the date the certification was awarded. <p>Where the training institution is a Related Entity of the Provider, and the Participant commenced the course on or after 1 August 2020:</p> <ul style="list-style-type: none"> • the Department’s written approval for the Education Placement, prior to the course commencement date. <p>Notes:</p> <ul style="list-style-type: none"> • Semesters may be defined by start and end dates or by completion of relevant coursework content. Where a statement by a training institution indicates that a Semester defined by coursework requirement was completed in less than 13 weeks, the outcome can be claimed after the minimum 13 weeks required in DES. • Where a Full Outcome is being claimed for a Participant who is completing a combination of part time Education and Employment, the Documentary Evidence requirements for both Employment and Education must be met. • Where a 26-week Outcome is being claimed for a course without defined Semesters that the Participant commenced before 14 September 2020, the written statement must instead be for a period of at least 13 weeks following the period covered by the 13-week Outcome claim. |
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| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department's IT Systems at time of making a claim |
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| <p>Work Assist Outcome Fee <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 149 <p><i>Further information on Work Assist Outcome Fees:</i></p> <ul style="list-style-type: none"> • Work Assist Guidelines | <ul style="list-style-type: none"> • A signed and dated written statement or email from the Employer or Participant relating to the Outcome period, confirming (unless otherwise specified by the Department): <ul style="list-style-type: none"> – the name of the Employer; – the Outcome period covered by the written statement or email; – the normal number of hours worked each week prior to the Work Assist Participant requiring assistance due to difficulty carrying out the essential requirements of their job role; – the number of paid hours the Participant worked each week during the 26 Consecutive Weeks of the Work Assist Outcome; – the full name (including first name and surname), phone number and email details of the person making the written statement or email; and – the date the written statement or email was provided. <p>Or</p> <ul style="list-style-type: none"> • Other evidence such as payslips that confirm the Employment details required above. This evidence must substantiate the normal number of hours worked each week prior to the Participant requiring assistance due to difficulty carrying out the essential requirements of their job role. <p>Where the evidence is a signed and dated written statement or email from the Participant, the Provider must review any other evidence that is available (such as a Profit and Loss Statement, Business Activity Statement or Tax Return Statement not covering the full outcome period) to ensure the written statement or email is not inconsistent with known details. Where a Provider can account for apparent differences between the Participant's written statement or email and other available evidence, the Provider should upload the other evidence and an explanation to support the written statement or email.</p> |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department’s IT Systems at time of making a claim |
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| <p>Where Participant is in Unsubsidised Self-Employment (including NEIS Participants)</p> <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> Annexure A Definitions <p><i>Further information on Outcome Fees:</i></p> <ul style="list-style-type: none"> Outcome Guidelines | <p><u>Full / Pathway Outcome for job seekers in self-employment, for Claims lodged via Documentary Evidence / Automated Special Claims, and Manual Special Claims.</u></p> <p>Outcome claims for Participants in Unsubsidised Self-Employment must meet Documentary Evidence requirements for Employment Outcomes. This includes uploading evidence showing the Participant, for the duration of the Outcome period (13-week Period, 26-week Period or 52-week Period):</p> <ul style="list-style-type: none"> remained in self-employment; satisfied outcome requirements because they either: <ul style="list-style-type: none"> generated sufficient personal income (net of business expenses but including tax) for the Participant’s Basic Rate of any Income Support Payment to cease; or worked each week, on average, the minimum number of hours, according to the Participant’s Employment Benchmark; and was paid at the minimum relevant rate of pay or higher for the position, as described at “Correct Wage Entitlement/ National Minimum Wage for Four-week Outcome, Full Outcome and Pathway Outcome.” <p>Note: To calculate confirmation that the National Minimum Wage rate has been achieved, personal income should be divided by the actual hours worked by the self-employed job seeker.</p> <p>ALL of the above information must be contained in one or more of the forms described for employment outcomes generally, or one or more of the additional forms described below:</p> <ul style="list-style-type: none"> sales records (including receipts), contracts with clients or contracts of employment; or a statement relating to the Participant’s business from a Certified Practising Accountant or Certified Accountant (for example a Profit and Loss Statement, which a Provider can request from Services Australia under the Freedom of Information Act); or signed and dated written statement or email from an accountant and/or registered bookkeeper; or |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department's IT Systems at time of making a claim |
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| | <ul style="list-style-type: none"> • a copy of records from the Australian Taxation Office (ATO) for the Outcome period (13-week Period, 26-week Period or 52-week Period) which prove that the Participant's business has generated sufficient personal income (net of business expenses but include tax) to achieve the required JRRR; or • copy of records from the ATO in combination with evidence that the Participant has worked the required hours each week/fortnight to achieve the required JEHR (such as a record of the Participant's appointments or Calendar entries), sufficient to confirm the National Minimum Wage rate has been achieved. <p>As described for other Employment Outcomes, a participant in Unsubsidised Self-Employment can meet Documentary Evidence requirements by providing a:</p> <ul style="list-style-type: none"> • signed and dated written statement or email confirming their hours worked each week/fortnight and income earned. <p>Where the evidence is a signed and dated written statement or email from the Participant, the Provider must review any other evidence that is available (such as a Profit and Loss Statement, Business Activity Statement or Tax Return Statement covering part of the outcome period) to ensure the written statement or email is not inconsistent with known details. Where a Provider can account for apparent differences between the Participant's written statement or email and other available evidence, the provider should upload an explanation to support the written statement or email.</p> <p>Notes:</p> <ul style="list-style-type: none"> • Proof of business establishment alone is not sufficient evidence to support an Outcome Fee. • Where email is used, the person making the email statement (accountant/registered bookkeeper or Participant) must be clearly identifiable as the sender in the email address and signature block. The signature block must also state the person's full name (including first name and surname), and where applicable, the person's position and organisation, but does not need to include an electronic signature. |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department's IT Systems at time of making a claim |
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| | <ul style="list-style-type: none"> • Where sales records (including receipts) are used as documentary evidence for self-employment, this must be accompanied with proof of payment, ie: copies of bank statements showing income deposited by customers (with other transactions and account numbers blanked out), or a Statutory Declaration from the Participant that details all of the business payments received by the Participant during the outcome period. • Where the Outcome period (13-week Period, 26-week Period or 52-week Period) contains a Permissible Break, DES Providers must also ensure they upload into the Department's IT Systems the required Documentary Evidence for a Permissible Break. |
| <p>Employment Outcomes for Participants who have a Permissible Break</p> <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Annexure A Definitions <p><i>Further information Outcome Fees:</i></p> <ul style="list-style-type: none"> • Outcome Guidelines | <ul style="list-style-type: none"> • A signed and dated written statement or email by the Participant or Employer, confirming: <ul style="list-style-type: none"> – the name of the Employer organisation; – Employer's or Participant's confirmation of the Permissible Break, including the reason for the Permissible Break; – the duration of the Permissible Break, including the start and end date; – that the Participant is employed in the same position following the Permissible Break; and – the full name (including first name and surname), phone number and email details of the person making the written statement or email. <p>If the Permissible Break is in relation to a Participant's illness, the Participant must provide a copy of their medical certificate or evidence of receipt of sickness pay to the DES Provider only if they are required to provide this level of documentation in accordance with the Employer's leave entitlement policy or relevant industrial instrument. In other instances, a signed and dated written statement or email will be acceptable.</p> |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department’s IT Systems at time of making a claim |
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| <p>Employment Outcomes for Participants who have a Voluntary Change in Employment</p> | <ul style="list-style-type: none"> • A signed and dated written statement or email from the Participant, confirming: <ul style="list-style-type: none"> – the name of the Employer organisations; – the dates of the cessation of Employment and commencement of Employment; – the reason why the Participant changed their Employment; and – the full name (including first name and surname), phone number and email details of the person making the written statement or email; <p style="text-align: center;">Or</p> • A copy of the employment separation certificate from the Employer where the actual date and reason why the Participant ceased work is recorded. |
| <p>Correct Wage Entitlement/ National Minimum Wage for Four-week Outcome, Full Outcome and Pathway Outcome</p> <p>Note: This applies where Documentary Evidence is used for auto claims when the Outcome Fee is not verified by the JRRR or JEHR*</p> <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Annexure A Definitions Non-Payable Outcomes sub clause | <p>The Documentary Evidence must show that the Employment is being paid at the minimum relevant rate of pay or higher for the position. That is, the minimum relevant rate of pay that is contained in any applicable award or agreement for the position. If no award or agreement applies, the National Minimum Wage applies.</p> <p>Forms of acceptable evidence showing the Participant is receiving the minimum relevant rate of pay have been included in Documentary Evidence requirements details for “Four-week Outcome, Full Outcome or Pathway Outcome (Employment Outcomes) for auto claiming in the Department’s IT Systems”. That is:</p> <ul style="list-style-type: none"> • copies of payslips covering the whole of the Outcome period (Four-week Period, 13-week Period, 26-week Period or 52-week Period, as relevant); or • a signed and dated written statement or email from the Employer or Participant relating to the Outcome period (Four-week Period, 13-week Period, 26-week Period or 52-week Period, as relevant), confirming (unless otherwise specified by the Department): <ul style="list-style-type: none"> – the name of the Employer (which can be the Participant, where in Unsubsidised Self-Employment); – the Outcome period covered by the statement or email; |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department’s IT Systems at time of making a claim |
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| <p><i>Further information on Outcome Fees:</i></p> <ul style="list-style-type: none"> • Outcome Guidelines • Outcome Supporting Document | <ul style="list-style-type: none"> – the hourly rate of payment each week of the Outcome period; – the hours of paid Employment worked each week/fortnight of the Outcome period; – the Participant’s gross income each week/fortnight of the Outcome period; – the full name (including first name and surname), phone number and email details of the person making the written statement or email; and – the date the written statement or email was provided. <ul style="list-style-type: none"> • File Notes containing the information as per a signed statement may be accepted at the Department’s discretion where the provider can demonstrate that verifiable evidence was sought and is not available (not through another File Note). <p>Where the evidence is a signed and dated written statement from the Participant, the Provider must review any other evidence that is available (such as a Profit and Loss Statement, Business Activity Statement or Tax Return Statement covering part of the outcome period) to ensure the written statement or email is not inconsistent with known details. Where a Provider can account for apparent differences between the Participant’s written statement or email and other available evidence, the provider should upload an explanation to support the written statement or email.</p> <p>Note: This evidence is not required for Employment in an Apprenticeship as no National Minimum Wage applies, or where a productivity based wage assessment has been completed through the Supported Wage System.</p> <p>Clicking ‘yes’ on the ‘Confirm National Minimum Wage’ pop up in the Department’s IT Systems asserts the user’s agreement, and that the Provider has uploaded appropriate Documentary Evidence. This pop up appears only when the JRRR or JEHR does not verify the outcome and documentary evidence is required for verification.</p> |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department's IT Systems at time of making a claim |
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| <p>Bonus for a Full Outcome or Pathway Outcome <i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 147 and Annexure A Definitions <p><i>Further information on Outcome Fees:</i></p> <ul style="list-style-type: none"> • Outcome Guidelines | <p>Bonus to an Outcome for Directly Related Employment The DES Provider must upload into the Department's IT Systems evidence that proves that the Participant has successfully attained the qualification for the Qualifying Training Course Placement (at least a Certificate II level). The evidence must be one of the following:</p> <ul style="list-style-type: none"> • copy of the statement of attainment issued by the training institution which shows the modules/units completed; or • written statement from the training institution confirming the Participant's achievement of the Qualifying Training Course at Certificate II level or above and lists the modules/units completed. <p>Bonus to an Outcome for an Apprenticeship (including Traineeship)</p> <ul style="list-style-type: none"> • Copy of the training contract that the Participant has entered into for the Apprenticeship (or such other form of agreement for an Apprenticeship as is approved by the relevant State or Territory training authority); or • Signed and dated statements or extracts from State/Territory Government Departments or Apprenticeship Centres that confirm the Participant's Apprenticeship with the employer. <p>Note: It is not necessary for this training contract to be approved by the relevant State training authority as this process can take some time.</p> |
| <p>Outcome Fees that are:</p> <ul style="list-style-type: none"> • Special Claims entered into the Overrides and Special Claims module • Automated Special Claims which are completed in the Department's IT Systems by the DES Provider | <p>The evidence requirements listed for each type of Outcome Fee in this section apply to all Special Claims and Automated Special Claims for that type of Outcome Fee. That is, Documentary Evidence that must be uploaded at the time of an automated claim must also be uploaded at the time of a Special Claim for that type of fee.</p> <p>When lodging a Special Claim, Providers must include sufficient information about the relevant circumstances so that the Department is able to confirm:</p> <ul style="list-style-type: none"> • the claim needed to be lodged as a Special Claim; and • the claim meets relevant DES policy and program requirements. |

| Outcome Fees | Documentary Evidence the DES Provider must upload into the Department's IT Systems at time of making a claim |
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| <p><i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clause 18.6 • Clause 18.7 • Clause 123 • Annexure A Definitions. | <p>Providers should upload to the Department's IT Systems additional Documentary Evidence they consider may be required to support the Special Claim. The Department may choose to request additional evidence rather than reject a claim that has not satisfactorily demonstrated that it should be approved.</p> <p>Where a Special Claim is lodged for a JEHR and it is not clear that the Participant worked the required number of hours within the relevant DES outcome period, the Provider must upload additional documentary evidence in a form set out for the relevant 13-week Outcome, 26-week Outcome or 52-week Outcome that demonstrates the Participant worked the required number of hours.</p> |

Section 3: Non/under declared hours or earnings

Notification to Services Australia where hours or earnings may be non/under declared

In accordance with clause 18.6 of the Grant Agreement, the DES provider must notify Services Australia within five Business Days of becoming aware that a Participant may not accurately be declaring hours or earnings:

- for all Special Claims and all Automated Special Claims where the claim is based on the JRRR or the JEHR not returning the expected result thus preventing an auto claim in the Employment IT Systems; and or
- the DES provider disagrees with the results returned by Services Australia; or
- any time the DES provider becomes aware of under/non-declaration to Services Australia.

| Outcome Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
|---|--|---|
| <p>Notification to Services Australia where hours or earnings may be non/under declared <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 18.6 | <p>The DES provider must notify Services Australia of a Participant's non/under declaration of their income and/or hours worked.</p> <ul style="list-style-type: none"> • Enter the details in the <i>Benchmark Hours Documentary Evidence</i> tab in the Outcome Details screen, in the Department's IT Systems. | <p>DES providers must upload evidence of the earnings and hours worked for the period of time used to notify Services Australia or for the 13-week Period or 26-week Period or 52-week period that has been used to notify Services Australia. The evidence must include one of the following verification sources that were chosen in the <i>Benchmark Hours Documentary Evidence</i> tab in the Outcome Details screen.</p> <ul style="list-style-type: none"> • copy of payslips; • letter from the Employer as required for a Special Claim or Automated Special Claim; • Group certificate; • copy of wages book; • Tax return or Profit and Loss statement; and • Employer contact as required for a special claim or Automated special claim. |

Section 4: Moderate Intellectual Disability Payment (MIDP)

| MIDP | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
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| <p>Moderate Intellectual Disability Payment</p> <p><i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 152 | <ul style="list-style-type: none"> • Apply the Moderate Intellectual Disability flag to the Participant's registration screen in the Department's IT Systems. | <ul style="list-style-type: none"> • A copy of an IQ assessment report clearly indicating the individual's assessed IQ of 60 or less, or • A signed statement from a Registered Psychologist stating that the individual has an assessed IQ of 60 or less, or • A signed statement from an appropriate representative of a recognised and credible institution such as Services Australia (see note below), a Job Capacity Assessor or Employment Services Assessor, an Education authority or a State or Territory Disability Commission, indicating that they have evidence on file verifying that the individual's IQ is 60 or less, or • A signed statement from a registered psychologist stating that, using a recognised assessment tool, and based on a combination of IQ and other adaptive behaviour factors, the individual falls within the classification of having moderate intellectual disability. The statement must indicate: <ul style="list-style-type: none"> – the name of the assessment tool, including any version or revision numbers; – the score or assessment relevant to the classification scale; and – the assessment outcome, or |

| MIDP | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
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| | | <ul style="list-style-type: none"> • A copy of a JCA/ESAt report specifically indicating that a Participant has an IQ of 60 or less is sufficient evidence for this purpose. <p>Note: A 'Signed Statement' must be in the form of a letter or memo and can be a hardcopy original, photocopy or FAX of an original statement or a scanned copy of an original statement.</p> <p>Note: Should a DES Provider wish to obtain information about a Participant's level of intellectual functioning from Services Australia, they must obtain the Participant's written consent by completing a 'Disability Employment Services - Authority to Obtain Information from Centrelink' form, which can be found as Attachment A in the 'DES – Moderate Intellectual Disability Payment Guidelines.' Once the form has been signed by the Participant or their Legal Guardian the DES Provider can either fax, post or take the form directly to the Services Australia Customer Service Centre where the Participant is registered.</p> |

Section 5: Ongoing Support Fees

The following section specifies the information and Documentary Evidence that must be that must be retained (in electronic form or hard copy) to support a claim for Ongoing Support Fees.

| Ongoing Support Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy) |
|---|---|--|
| <p>Eight work hours per week requirement</p> <p><i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 148 | <p>When claiming Ongoing Support fees for a Participant who Commenced in Ongoing Support on or after the Agreement commencement date:</p> <ul style="list-style-type: none"> • confirm the Participant worked eight hours a week, on average (via a confirmation button on the claim screen). <p>Participants who Commenced Ongoing Support before the Agreement commencement date will not be presented with this confirmation message. Participants receiving Ongoing Support prior to 1 July 2018 do not need to meet the eight-hours a week, on average, minimum work requirement.</p> | <p>For any Ongoing Support Fee claim, the DES Provider must retain Documentary Evidence that indicates that the Participant remained Employed throughout the claim period (either monthly or quarterly). For participants who commenced Ongoing Support on or after the Agreement start date, this evidence must also demonstrate the participant worked at least eight hours each week, on average. Evidence must include:</p> <ul style="list-style-type: none"> • copies of payslips covering the whole of the claim period; or • a signed and dated written statement, or an email from the Employer or Participant relating to the claim period, confirming (unless otherwise specified by the Department): <ul style="list-style-type: none"> – the name of the Employer, (which can be the Participant, where in Unsubsidised Self-Employment); – the claim period covered by the statement or email; – the full name (including first name and surname), phone number and email of the person providing the statement or email; and – the date the written statement or email was provided. |

| Ongoing Support Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy) |
|---|---|---|
| <p>Ongoing Support <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 121 <p><i>Further information on Ongoing Support:</i></p> <ul style="list-style-type: none"> • Ongoing Support Guidelines | <p>Where the Provider performs a Provider Exit from Ongoing Support in the Program Summary Screen or Changes the level of Ongoing Support for Employment Support Service Participants in the DES Participation Management Screen:</p> <ul style="list-style-type: none"> • the decision and the reasons for making the decision. | <ul style="list-style-type: none"> • Details of the support that has been provided to the Participant. |
| <p>Flexible Ongoing Support Fee <i>Grant Agreement References:</i></p> <ul style="list-style-type: none"> • Clauses 148.1-148.6 <p><i>Further information on Flexible Ongoing Support Fee:</i></p> <ul style="list-style-type: none"> • Ongoing Support Guidelines | <p>For each Instance of Flexible Ongoing Support in the Flexible Ongoing Support screen:</p> <ul style="list-style-type: none"> • the date(s) that support was provided; and • details of the support that was delivered. | <ul style="list-style-type: none"> • Details of the support provided to the Participant. • Details of the Participant's circumstances and reasons for support being required. • Details of any relevant changes to the Participant's circumstances and support needs. • Evidence of any assistance that was purchased, including receipts and invoices. |

| Ongoing Support Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy) |
|--|---|---|
| <p>Moderate and High Ongoing Support <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clauses 148.7-148.24 <p><i>Further information on Moderate & High Ongoing Support Fee:</i></p> <ul style="list-style-type: none"> • Ongoing Support Guidelines | <ul style="list-style-type: none"> • The Contact schedule specified in the Participant's Job Plan. • Results of each Contact to be recorded in the Electronic Calendar on the day the Contact occurred. <p>Note: Ongoing Support claims must include at least the minimum required number of contacts for the claim period. For Moderate or High Ongoing Support fees paid monthly:</p> <ul style="list-style-type: none"> • at least one contact must be provided in each claim period; and • the minimum contacts required (e.g. six or 12) must be provided within the three consecutive claim periods. | <ul style="list-style-type: none"> • Details of the support provided to the Participant at each Moderate and High Ongoing support contact. • Details of any relevant changes to the Participant's circumstances and support needs. • Evidence of any assistance that was purchased, including receipts and invoices. |

Section 6: Other Employment Support Service Fees

| Other Employment Support Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|--|--|---|
| <p>Work Based Personal Assistance Fees <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 131 <p><i>Further information on WBPA Fee:</i></p> <ul style="list-style-type: none"> • Work Based Personal Assistance Guidelines | <ul style="list-style-type: none"> • Assistance start date. • Number of hours of provided assistance. • Number of hours of purchased assistance. | <ul style="list-style-type: none"> • Copy of completed Work Based Personal Assistance requirements form. • Evidence that the Participant has been found ineligible for support under the NDIS. • Evidence of Employment, Unsubsidised Self-Employment, Apprenticeship or Traineeship. • Documentary Evidence of the Work Based Personal Assistance hours that were provided. • Evidence of any assistance that was purchased, including receipts and invoices. |
| <p>Relocation Assistance to Take Up a Job <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 133 | <ul style="list-style-type: none"> • Relocation Assistance to Take Up a Job Agreement must be completed and approved in the Department's IT System. • When submitting an Overrides & Special Claim request, include the linked Agreement ID. • In the <i>Employers & Vacancies</i> section, include: <ul style="list-style-type: none"> – Vacancy details; – Employer details; and – Placement details. | <p>Evidence of relocation</p> <ul style="list-style-type: none"> • Fully completed, signed and dated copy of the Relocation Assistance to Take Up a Job Participant Agreement before the Participant relocates for employment <ul style="list-style-type: none"> – the completed agreement is confirmation that the employer has first attempted to employ local job seekers in the position. • Copy of the offer and acceptance of the employment for which the Participant is relocating, including: <ul style="list-style-type: none"> – the employer; – employer's location; – the likely number of hours of employment per week; and – statement that the position is ongoing. |

| Other Employment Support Service Fees | Information that must be entered into the Department's IT Systems: | Additional evidence that must be retained (in electronic form or hard copy): |
|---------------------------------------|--|---|
| | <ul style="list-style-type: none"> Relocation Assistance to Take Up a Job Participant's Placement Start Date. | <ul style="list-style-type: none"> Evidence from the Participant identifying any dependents they will be moving with, along with evidence of the eligible government payment (such as Services Australia (Centrelink) statements). <p>Evidence for claiming reimbursements</p> <ul style="list-style-type: none"> Invoices that distinguish between individual item costs where applicable and which identify relocation assistance paid. Evidence of when the relocation occurred. Evidence that relocation assistance has been paid to the Participant. <p>Note: Where up-front payments have been made, invoices that distinguish between individual item costs do not need to be uploaded. However, providers must obtain and upload at least two quotes (unless there is only one supplier) for items subject to up-front payments. Providers should ensure that they record the details of any up-front payments in the Comments section of ESS, including what the payment was, for example petrol.</p> <p>Where sufficient Documentary Evidence does not exist, providers can request that Participants supply other evidence (including bank statements, statutory declaration) to support costs that have been incurred and require reimbursement. Please email all evidence to DESAdmin@dss.gov.au for a case by case assessment.</p> |

Section 7: Wage Subsidy

| Wage Subsidy | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
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| <p>Wage Subsidy (Wage Subsidy Scheme and Wage Start Subsidy) <i>Grant Agreement Reference:</i></p> <ul style="list-style-type: none"> • Clause 101 <p><i>Further information on Wage Subsidy:</i></p> <ul style="list-style-type: none"> • DES Wage Subsidy Scheme Guidelines • DES Wage Start Guidelines | <ul style="list-style-type: none"> • Confirmation on the Vacancy Placement screen that the Placement is a Wage Subsidy Placement within 56 days of the Placement commencing. <p>Placement Ends Early</p> <ul style="list-style-type: none"> • The actual end date and reason why the placement ended early must be recorded in the Department's IT systems. | <p>Wage Subsidy Agreement</p> <ul style="list-style-type: none"> • The DES Wage Subsidy Agreement signed by the DES provider and the Employer at the commencement of the placement, including: <ul style="list-style-type: none"> – Participant name and contact details; – Employer name and contact details; – employment job description; – weekly wage payable; – agreed wage subsidy amount (total); – if GST is required to cover the employer's GST liability; and – any Additional Terms and Conditions negotiated in the wage subsidy agreement, including, but not limited to, payment schedule and method, permissible breaks and voluntary changes in employment. <p>Evidence of employment Evidence the Participant was employed for the wage subsidy claim period under award conditions, for:</p> <ul style="list-style-type: none"> • at least 8 hours per week, for Wage Subsidy Scheme claims; and • an average of at least 15 hours per week, for Wage Start Subsidy claims. |

| Wage Subsidy | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
|---------------------|---|--|
| | | <p>This documentary evidence can be in one of the forms outlined in section 2 for the Documentary Evidence for claims for Outcomes, but should relate to the wage subsidy claim period rather than the Outcome period.</p> <p>In addition, the Provider must upload evidence from the Employer to verify any periods of approved leave.</p> <p>Evidence of Payment Evidence of payment of the subsidy to the Employer in the form of:</p> <ul style="list-style-type: none"> • a record of transaction (bank statement or report from the Employment Provider's financial system); • a Tax Invoice and receipt from the Employer; • a remittance advice; or • a statutory declaration from the Provider. <p>The evidence must clearly include:</p> <ul style="list-style-type: none"> • the amount of the Wage Subsidy payment; • the Employer's details (including ABN); and • the date the payment was made. |

| Wage Subsidy | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
|---------------------|---|---|
| | | <p><u>Where Provider Expenses for a Wage Subsidy Scheme subsidy has been claimed:</u></p> <ul style="list-style-type: none"> • a record of the incidental work items including evidence of the purchase, and justification as to why the item is essential; and • a record of whether the claim includes the \$100 (excl GST) Administration Fee. |

Section 8: Restart Wage Subsidy

| Restart Wage Subsidy | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
|--|---|---|
| <p>Restart Wage Subsidy</p> <p><i>Grant Agreement reference:</i></p> <ul style="list-style-type: none"> • Clause 102. <p>Guidelines reference:</p> <ul style="list-style-type: none"> • Restart Agreement Guidelines | <p>For a Restart Wage Subsidy, the following information must be entered into the Department's IT Systems:</p> <ul style="list-style-type: none"> • an approved Restart Wage Subsidy Agreement; • a linking Vacancy; and • Employer and Placement details (information will be pre-populated from other parts of the Department's IT System). <p>When submitting an overrides and special claim request, the Employment Provider must include the linked Agreement identifier and/or the Vacancy identifier.</p> | <p>Restart Wage Subsidy Agreements:</p> <ul style="list-style-type: none"> • For Restart Wage Subsidy Agreements approved by the Employer online through the Workforce Australia website, no additional evidence is required. • For Restart Wage Subsidy Agreements that are signed offline, a copy of the Restart Wage Subsidy Agreement, signed by both the Employment Provider and Employer. <p>Evidence of Employment</p> <p>Documentary Evidence demonstrating the Participant was Employed as per the Restart Wage Subsidy Agreement and the required hours were worked over the Restart Wage Subsidy Period. This should include either:</p> <ul style="list-style-type: none"> • a declaration by the Employer through the Department's IT Systems; • payslips to demonstrate hours worked or a print-out from the Employer's payroll software; or • a statutory declaration, email or other correspondence from the Employer. <p>In addition, the Provider must upload evidence from the Employer to verify any periods of leave.</p> |

| Restart Wage Subsidy | Information that must be entered into the Department's IT Systems: | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
|----------------------|--|--|
| | | <p>Claims for Reimbursement</p> <p>Documentary Evidence must be uploaded to demonstrate prior payment from the Provider to the Employer, including:</p> <ul style="list-style-type: none"> • a record of transaction (bank statement or report from the Employment Provider's financial system); • a Tax Invoice and receipt from the Employer; • a remittance advice; or • a statutory declaration from the Provider. <p>The evidence must clearly include:</p> <ul style="list-style-type: none"> • the amount of the Restart Wage Subsidy payment; • the Employer's details (including ABN); and • the date the payment was made. |

Section 9: PaTH Internship

| PaTH Internship | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
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| <p>Reimbursement for \$1000 host business payment</p> <p><i>Grant Agreement reference:</i></p> <ul style="list-style-type: none"> • Clause 99 <p>Guidelines reference:</p> <ul style="list-style-type: none"> • Managing PaTH Internship Guidelines | <p>Evidence that the internship commenced</p> <ul style="list-style-type: none"> • Signed and dated written statement or email from the host business, including: <ul style="list-style-type: none"> - PaTH Internship Agreement ID; - intern name and internship commencement date; - host business name and ABN; - the full name (including first name and surname), phone number and email details of the person making the written statement or email. <p>Evidence the \$1000 host business payment was paid to the host business</p> <p>This may include:</p> <ul style="list-style-type: none"> • a record of transaction (bank statement or a record of transaction from the provider's financial system); • a Tax Invoice with receipt from the host business; or • a remittance advice; <p>and must include the following information:</p> <ul style="list-style-type: none"> - details uniquely identifying the specific internship, such as the PaTH Internship Agreement ID and dates of internship; - host business name and ABN; - payment amount; and - date the payment was made to the host business. |

| PaTH Internship | Additional evidence that must be uploaded into the Department's IT Systems at time of making a claim: |
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| <p>PaTH Internship Outcome Payment</p> <p><i>Grant Agreement reference:</i></p> <ul style="list-style-type: none"> • Clause 99 <p>Guidelines reference:</p> <ul style="list-style-type: none"> • Managing PaTH Internship Guidelines | <ul style="list-style-type: none"> • Signed and dated written statement or email from the host business, including: <ul style="list-style-type: none"> - PaTH Internship Agreement ID - intern name and internship commencement date; - host business name and ABN - end date, or statement that the internship has continued for at least four weeks; and - confirmation that the internship was for between 30 and 50 hours per fortnight during this period. - the full name (including first name and surname), phone number and email of the person providing the statement or email. |