

Documentary Evidence Guideline

Document change history

Version	Start date	Effective date	End date	Change and location
1.1	1 05 2015 for the jobactive Deed 2015-2020 – Work for the Dole Coordinator 1 07 2015 for the jobactive Deed 2015-2020	1 05 2015 for the jobactive Deed 2015-2020 – Work for the Dole Coordinator 1 07 2015 for the jobactive Deed 2015-2020		<ol style="list-style-type: none"> 1. Summary: requirement to upload at a time of claim 2. Annual Activity Requirements: the timeframe for recording activity participation, additional forms of evidence – payroll summaries 3. Pay slip Verified Outcome Payments (other than self-employment): form of notification, 4. Pay slip Verified Outcome Payments - Unsubsidised Self-Employment (Job Seekers not in receipt of income support payments and not receiving NEIS Allowance) : additional outcome type for self-employment, 5. Education Outcomes based on attainment or participation: documentary evidence type 6. Notification to DHS where Employment hours or earnings may be under / non-declared: form of notification
1.0	1 05 2015 for the jobactive Deed 2015-2020 – Work for the Dole Coordinator 1 07 2015 for the jobactive Deed 2015-2020	1 05 2015 for the jobactive Deed 2015-2020 – Work for the Dole Coordinator 1 07 2015 for the jobactive Deed 2015-2020		Original version of document

Explanatory Note

All capitalised terms have the same meaning as in the jobactive 2015–2020 or the jobactive Deed 2015-2020 – Work for the Dole Coordinator. In this document, **‘must’** means that compliance is mandatory and **‘should’** means that compliance represents best practice.

Disclaimer

This Guideline is not a stand-alone document and does not contain the entirety of providers’ Employment Services Providers’ obligations.

It **must** be read in conjunction with the jobactive Deed 2015-2020 and the jobactive Deed 2015-2020 – Work for the Dole Coordinator and any relevant Guidelines or reference material issued by Department of Employment under or in connection with the jobactive Deed 2015-2020 and the jobactive Deed 2015-2020 – Work for the Dole Coordinator.

Summary

This Guideline specifies the Documentary Evidence that Employment Services Providers **must** retain under the jobactive 2015–2020 or jobactive Deed 2015-2020 – Work for the Dole Coordinator to support the delivery of services or a claim for payment. These requirements are in addition to any case notes that Employment Services Providers **should** keep to support their service delivery to each Participant employer or Activity Host Organisation.

Documentary Evidence includes documents, information and data stored by any means, including in electronic form, uploaded into the Department's IT System or hard copy. **Documentary Evidence must be uploaded onto the Department's IT Systems at the time of the claim when the Department's IT Systems identifies that Documentary Evidence upload is mandatory.**

Note: To support best practice, if the Documentary Evidence is a signed statement or form, whiteout **must** not be used; and any alterations or amendments **must** be signed by the signatory. Where email is used, the Employer or Activity Host organisation or participant **must** be clearly identifiable as the sender in the email address and/or the signature block. The signature block **must** also state the person's name and, where applicable, the person's position and organisation; it does not need to include an electronic signature.

Policy Intent

Appropriate Documentary Evidence is essential to ensure that Participants and employers receive quality, tailored and relevant assistance. Appropriate Documentary Evidence supports Employment Services Providers in delivering their Services to Participants, ensuring that Participants are on the path to securing Employment and managing Employer engagement. The community also expects evidence to be retained to ensure that it receives value from the taxpayer funds that are invested in the Services.

The Department has a legislative responsibility to ensure the integrity of the Services and that the Services are delivered and claims for Payment are correct.

Appropriate Documentary Evidence supports both Employment Services Providers and the Department in managing relevant service, reputational or financial risks. It is a precondition of an Employment Services Providers' entitlement to Fees and Reimbursements that it has sufficient Documentary Evidence to prove its entitlement to Payment—in particular, that the Services in relation to that Payment have been delivered in accordance with the relevant Deed.

The Employment Services Provider **must**, consistent with relevant deed 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. Employment Services Providers **must** also provide Documentary Evidence, if requested, to the Department within five (5) Business Days of the date of request.

Relevant Deed clause/s

The relevant clauses in the Deed are:

- Annexure A1—Definitions
- Clause 11—Liaison and directions
- Clause 15—General
- Clause 16—Evidence to support entitlement to Payments
- Clause 78—Direct Registration of Stream Participants without a Referral
- Clause 79—Change of Circumstances Reassessment
- Clause 81—Transfer of Stream Participants from the Provider
- Section B2—Contacts
- Clause 85—Initial Interviews
- Section B4—Job Plans
- Clause 88—Employment Fund
- Clause 89—Wage Subsidies
- Clause 90—Relocation Assistance to Take Up a Job
- Clause 93—Suspensions

- Clause 95—Exits
- Clause 106—Mutual Obligation Requirements
- Clause 107—Activities
- Clause 108—Work for the Dole
- Clause 110—Work health and safety
- Section B17—Job Search Requirements
- Section B18—Non-compliance monitoring and action
- Clause 124—Work for the Dole Fees
- Clause 125—Outcome Payments
- Clause 127—NEIS Services - General
- Clause 128—NEIS Services for NEIS Prospective Participants
- Clause 129—NEIS Services for NEIS Participants
- Clause 130—NEIS Fees
- Clause 134—Harvest Labour Services
- Clause 135—Harvest Labour Services – Fees.

The relevant clauses in the jobactive Deed 2015-2020 – Work for the Dole Coordinator are:

- Schedule 1 B.3.6—Risk assessment of potential Work for the Dole Places
- Schedule 1 B.3.11—Work health and safety
- Schedule 1 C.3—Claiming Fees (clause 4)
- Schedule 2 AA—Fees (clause 43).

Relevant references

Reference documents relevant to this Guideline include:

- [Privacy Guideline](#)
- [Learning Centre website](#)
- [Assessments Guideline](#)
- [Direct Registration Guideline](#)
- [Eligibility, Referral and Commencement Guideline](#)
- [Job Plans Guideline](#)
- [Period of Service, Suspensions and Exits Guideline](#)
- [Transfers Guideline](#)
- [Mutual Obligation Requirements \(including Annual Activity Requirements\) Guideline](#)
- [Managing and Monitoring Job Seeker Appointments Guideline](#)
- [Managing and Monitoring Job Search Guideline](#)
- [Vacancies and Outcomes Guideline](#)
- [Employment Fund General Account Guideline](#)
- [Employment Fund Wage Subsidies Guideline](#)
- [Work for the Dole Guideline](#)
- [Relocation Assistance to Take Up a Job Guideline](#)
- [NEIS Referral and Eligibility Guideline](#)
- [NEIS Training Guideline](#)
- [NEIS Assistance and NEIS Business Mentoring Guideline](#)
- [Servicing Job Seekers with Challenging Behaviour Guideline](#)
- [Harvest Labour Services Guideline.](#)

Section 1A: Employment Providers- Job seeker servicing

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Job Seeker Classification Instrument</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 79. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Assessments. 	<p>When conducting a Job Seeker Classification Instrument (JSCI) for a change of circumstances for a Stream A Participants (excluding a Volunteer) or SPI Participant (after the initial six-month period for new Stream Participants), the Employment Provider must detail in the Department's IT System on the JSCI summary screen:</p> <ul style="list-style-type: none"> • the exact nature of each change made in Stream Participant's JSCI and the context • impact of each change on the Stream Participant's level of disadvantage in the labour market. 	<p>When conducting a JSCI for a change of circumstances for a Stream A Participant (excluding a Volunteer) or SPI Participant (after the initial six-month period for new Stream Participants) the Employment Provider must keep a copy of the printed JSCI Change of Circumstances Summary signed and dated by the Stream Participant.</p> <p>Where the Department's IT System is not available and the JSCI form is used, the Employment Provider must record all the information from the JSCI form in the Department's IT System as soon as possible and retain the signed and dated hard copy form.</p> <p>If a Stream Participant does not have an existing JSCI in the Department's IT system, the Department's IT System will create a 'new' blank JSCI for them to populate.</p> <p>When conducting the new JSCI for a Stream A Participant (other than a Volunteer), the Employment Provider must retain a copy of the full printed JSCI with each page initialled and the last page signed and dated by the Stream Participant.</p>
<p>Direct Registration</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 78. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Direct Registration. 	<p>The Employment Provider must record the Stream Participant's registration information in the Department's IT System.</p>	<p>Employment Providers must retain a copy of the completed and signed Employment Provider Services—Direct Registration form. This form contains a range of personal information used to determine a Stream Participant's eligibility for Direct Registration.</p> <p>For Stream Participants accessing Services through a Structural Adjustment Package, the Employment Provider must retain a copy of a redundancy letter or the employment separation certificate.</p> <p>Where the Stream Participant is below the school-leaving age (17 years), the Employment Provider must retain a copy of the relevant exemption document from the attending school). The specific format of this exemption, such as a Certificate of Exemption, and</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
		who can grant this exemption will depend on the State or Territory in which the Stream Participant lives.
<p>Initial Interviews Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 85. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Eligibility, Referral and Commencement. 	<p>Employment Providers must record attendance at the Initial Interview in the Electronic Diary in the Department's IT System.</p>	<p>Once the Stream Participant has signed and agreed to the Job Plan, the Employment Provider must upload the Job Plan with a status of 'approved' in the Department's IT System.</p>
<p>Contacts Deed clause references:</p> <ul style="list-style-type: none"> • Clause 83 • Clause 84. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Eligibility, Referral and Commencement. 	<p>The Employment Provider must record each Appointment, and the result of each scheduled Appointment, in the Electronic Diary in the Department's IT System.</p> <p>The Employment Provider must ensure that the result of each Contact with the Stream Participant in the Department's IT Systems.</p>	<p>No additional Documentary Evidence is required.</p>
<p>Job Plan Deed clause reference:</p> <ul style="list-style-type: none"> • Section B4. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Job Plans. 	<p>The Employment Provider must ensure that, at all times, each Stream Participant has a current Job Plan.</p> <p>The Employment Provider must create/update a Job Plan for all Stream Participants during the Initial Interview by entering the Job Plan in the Department's IT System.</p> <p>The Employment Provider must enter into the Job Plan the activities the Stream Participant will undertake and ensure that all information required under clause 87.5 of the jobactive Deed has been included in the Job Plan.</p> <p>Employment Providers must ensure that Stream Participants enter into a Job Plan in a timely manner (within two Business Days, including 'think time'), either by signing a hard copy or by agreeing online through the Australian JobSearch (AJS) website.</p> <p>Employment Providers and Stream Participants can decide which</p>	<p>Where the Stream Participant has agreed to a Job Plan by signing a hard copy version, a copy must be retained by the Employment Provider.</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
	<p>method of execution is used.</p> <p>For Job Plans that are signed in hard copy, Employment Providers must enter into the Department's IT System the date the Job Plan was signed and that the Job Plan has been approved.</p> <p>For Job Plans that Stream Participants have agreed to online, the Job Plan will be automatically set to 'approved'.</p>	
<p>Provider Exits</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 95. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Period of Service, Suspensions and Exits. 	<p>Employment Providers must record the Provider Exit in the Department's IT Systems.</p>	<p>No additional Documentary Evidence is required.</p>
<p>Suspensions</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 93. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Period of Service, Suspensions and Exits. 	<p>Employment Providers must record reason for the Suspension, and the start and end dates for the Suspension, in the Department's IT System.</p> <p>Where a Fully Eligible Participant elects to volunteer while Suspended, the Employment Provider must record:</p> <ul style="list-style-type: none"> • the agreed Start and end dates for the volunteering period • the agreed voluntary Activities in the Job Plan • that the Stream Participant is participating as a Volunteer. <p>The Employment Provider must immediately record the end of the Suspension or volunteering period in the Department's IT Systems.</p>	<p>No additional Documentary Evidence is required.</p>
<p>Transfers Deed clause reference</p> <p>Deed clause references:</p> <ul style="list-style-type: none"> • Clause 81. 	<p>Where a Transfer by Agreement is facilitated using the online process on the Australian JobSearch website:</p> <ul style="list-style-type: none"> • the Stream Participant , the gaining Employment Provider and the relinquishing Employment Provider must complete 	<p>The Transfer by Agreement manual form (where applicable) must be signed and completed by the Stream Participant, the gaining and the relinquishing Employment Provider. This form must be retained by the relinquishing provider.</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Guideline reference:</p> <ul style="list-style-type: none"> • Transfers. 	<p>the online form on the Australian JobSearch (and including providing a reason where they decline the transfer request)</p> <ul style="list-style-type: none"> • this form is retained in the Department's IT Systems. <p>Where a Transfer by Agreement is facilitated using a manual form:</p> <ul style="list-style-type: none"> • the completed form must be retained by the relinquishing Employment Provider, who must enter the details of the transfer in the Department's IT System (the Department will then complete the process). 	<p>When a Transfer due to Relationship Failure is requested by a Provider, the Employment Provider must submit a copy of the completed form to the Department by email to the nationalcustomerservice@employment.gov.au.</p>
<p>Annual Activity Requirement (AAR)</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 106. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Mutual Obligation Requirements (including Annual Activity Requirements). 	<p>For Work for the Dole activities, Employment Providers must use the Activity Diary to record Stream Participant attendance in the Department's IT Systems. This must be done for every day that the job seeker was required to participate.</p> <p>For all other Activities, Employment Providers must record the following information in the participation hours screen on a monthly basis at minimum:</p> <ul style="list-style-type: none"> • the number of hours completed by the Stream Participant during that month • confirmation of whether the Stream Participant has completed the required hours for that month • In addition, for part-time study or training Activities, Providers must record the outcomes of the training course upon completion (for example, whether a certificate or statement of attainment was achieved). <p>For Work for the Dole activities, Providers must record results against all required participation in the Activity Diary within 10 Business Days of the job seeker's participation.</p> <p>For other Activities, Providers must record the total hours completed for each month in the Work for the Dole Phase within</p>	<p>Employment Providers must retain the following forms of evidence:</p> <ul style="list-style-type: none"> • timesheets or other records of attendance • a statement of attainment or similar (for accredited education) • payslips or Employer payroll summaries (for part-time work) • a signed training notice or signal notice (for Defence Force Reserves) • an invoice for services or a letter of acceptance into a programme (for non-vocational interventions). <p>Where Activity attendance information has been entered by the Activity Host Organisation into the Supervisor's smartphone app or directly into the Department's IT Systems, offline records are not required to be kept.</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
	<p>10 Business Days of each month of participation.</p> <p>If nothing has been entered into the system after the 10 day timeframe, the job seeker's required hours will be recorded as not met.</p>	
<p>Servicing Job Seekers with Challenging Behaviours</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 70 • Clause 73. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Servicing Job Seekers with Challenging Behaviour. 	<p>For Participants with challenging behaviours, Employment Providers must record the level of incident in the Departments IT System.</p> <p>All verbal or in writing warnings given to a Participant because of challenging behaviour must be recorded on the comments screen of the Participant's record in the Department's IT system.</p> <p>Where the option of restricting access to a site for a Participant is to be applied, Employment Providers must record in the Departments IT system all restricted service arrangements.</p>	<p>If a serious incident has occurred, the Employment Provider should create and retain a Case Management Plan.</p>

Section 1B: Employment Providers- Job Seeker participation and compliance

Note: Unless otherwise specified, information in Section 1B applies to Fully Eligible Participants (Mutual Obligation) referred to as 'job seekers'.

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Job Seeker Compliance— Participation Reports Deed clause reference:</p> <ul style="list-style-type: none"> Annexure A1. <p>Guideline reference:</p> <ul style="list-style-type: none"> Job Seeker Compliance Framework. 	<p>The Employment Provider must record in the Department's IT System details of the conversation with the Stream Participant / Employer / third party regarding:</p> <ul style="list-style-type: none"> non-attendance refusal to enter into a Job Plan Refusal to accept or commence in a suitable job inappropriate behaviour The Employment Provider must record in the Department's IT System, where relevant, how the Stream Participant's personal circumstances were considered when setting the requirement and how these were taken into account when making the decision to report the non-compliance to the Department of Human Services (DHS). 	<p>If an incident of non-compliance is reported to DHS, the Employment Providers must either link pieces of evidence together within the Department's IT System or upload into the Department's IT System any associated or relevant evidence to be included within a Participation Report. Evidence could include:</p> <ul style="list-style-type: none"> prior notification of the requirement to attend, Referral to a job interview or notification of an Employment Offer prior notification of details provided to a job seeker in relation to attending an Activity with an Employment Provider or third party the format of the notification (i.e. SMS, email or letter) a record of a discussion with a job seeker where it has been recorded in the 'Comments' screen in the Department's IT System details of the incident, including dates, the parties involved and what occurred.
<p>Failure to Attend an Appointment with an Employment Provider Deed clause reference:</p> <ul style="list-style-type: none"> Annexure A1. <p>Guideline reference:</p> <ul style="list-style-type: none"> Managing and Monitoring Job Seeker 	<p>Employment Providers must record the result of the Appointment in the Electronic Diary in the Department's IT Systems by COB on the day of the Appointment. This includes recording the Stream Participant's attendance at the Appointment and, where the Stream Participant does not attend, the Employment Provider's assessment of whether the Stream Participant had a valid or invalid reason (i.e. DNAV (did not attend with a valid reason), DNAD (did not attend Employment Provider discretion not to initiate compliance action) or DNAI (did not attend with an invalid reason)) in the Electronic Diary.</p>	<p>A notification created by Department's IT System will be automatically issued to the Stream Participant if the Stream Participant has contact details recorded for SMS or email. Otherwise, Employment Providers must navigate, select and manually print and send letters upon submission of the non-attendance Report and ensure this detail is included in the Employment Provider Appointment Report.</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Appointments.</p>	<p>If DNAI is recorded, the Employment Provider must complete the automatically generated non-attendance Report for the Stream Participant or choose to create and complete an Employment Provider Appointment Report if the Employment Provider is in contact with the Stream Participant.</p> <p>If an Employment Provider Appointment Report is created, the Employment Provider must link to it evidence of notification of the original appointment. They must record details against a series of questions relating to the Employment Provider's reasons for recommending that a financial penalty be applied by DHS.</p> <p>The Employment Provider must also include within the Provider Appointment Report details of the Stream Participant's reasons for non-compliance and may include any further details that they consider relevant.</p>	
<p>Job Search—failure to meet Job Search requirements Deed clause reference:</p> <ul style="list-style-type: none"> • Section B17. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Managing and Monitoring Job Search. 	<p>Each month, Employment Providers must review the Job Search efforts of each job seeker .These can be reported by the job seeker on a hard copy form, by email or on the Australian JobSearch website (or a combination) to determine whether the job seeker has appropriately met their Job Search Requirement for that Job Search Period.</p> <p>Where the Employment Provider finds the efforts to be unsatisfactory:</p> <ul style="list-style-type: none"> • they must record the number of Job Searches that the job seeker has satisfactorily undertaken into the Department's IT System • if the Employment Provider chooses to exercise discretion in the event of an unsatisfactory Job Search, they must still record that the requirement was not met but that discretion has been applied • if the Employment Provider considers that the number or quality (i.e. applications for inappropriate jobs) of the Job Searches is unsatisfactory, they must record their reasons for 	<p>Regardless of whether the Employment Provider assesses the monthly Job Search efforts of the job seeker to be satisfactory or not, where the job seeker has chosen to report their Job Search efforts either fully or partially by completing and providing a hard copy form to their Employment Provider, this evidence must be retained by the Employment Provider and provided to the Department on request.</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
	<p>making this decision.</p> <p>Note: Job Searches may be collated using the applications in the Australian JobSearch website of a job seeker. These populate the Job Search screen automatically in the job seeker's record. In addition, if the job seeker has chosen to report to their Provider (through Australian JobSearch) other Job Searches undertaken and applied for outside Australian JobSearch, these Job Search efforts will also be pre-populated in the Department's IT System for Employment Providers.</p>	
<p>Notification to job seekers of their mutual obligation requirements</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 106. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Mutual Obligation Requirements (including Annual Activity Requirements). 	<p>The Employment Provider must issue notification of their mutual obligation requirements to the job seeker in accordance with the reasonable notice timeframes for the relevant method of notification.</p> <p>The Employment Provider must create a notification record in the Department's IT System, identifying the method of notification used (i.e. SMS, email or letter).</p> <p>If the Employment Provider is in direct contact with the job seeker, the Employment Provider must record the notification method that reflects that the appointment was booked directly with the job seeker.</p> <p>Where an activity or appointment is rescheduled by the Employment Provider, they must issue formal notification to the job seeker of their new requirements.</p> <p>Note: If the Employment Provider chooses to record the job seeker's Activity details in the Activity Diary, this will help them to issue notification of the specific details of participation in an Activity to job seeker.</p>	<p>No additional Documentary Evidence is required.</p>

Section 1C: Employment Providers- Outcome Payments

Requirement	Documentary Evidence the Employment Provider must retain at the time of submitting a claim (in electronic form or hard copy)
<p>Pay slip Verified Outcome Payments (other than self-employment)</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 125. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Vacancies and Outcomes 	<p>Documentary Evidence must be in the form of a payslip or Employer payroll summary/ies and must be uploaded onto the Department's IT Systems at the time of the claim.</p> <p>The following information must be included in the Payslips or Employer payroll summary/ies:</p> <ul style="list-style-type: none"> • Employer's and Stream Participant's name • Employer's Australian Business Number (ABN) (if applicable) • Payment Period • date of payment • gross and net pay • if the Stream Participant is paid an hourly rate <ul style="list-style-type: none"> o the ordinary hourly rate o the number of hours worked at that rate o the total dollar amount of pay at that rate <p>The Payslips or Employer payroll summary report/s used to verify the Outcome Claim must only be used by the Provider to cover the period of time/fortnight in the Outcome period that cannot be verified by DHS data.</p> <p>Where the Employment Provider becomes aware of a Stream Participant's under/non-declared Employment earnings or hours, the Employment Provider must Notify DHS as described at Section 1D: Employment Providers - Notification to DHS where hours or earnings may be non-declared or under-declared</p> <p>The Employer payroll summary report must be a print-out of the Stream Participant's official payment history, not a spreadsheet/tracking tool implemented or prepared by the Employment Provider.</p> <p>For further detail please refer to the Vacancies and Outcomes Guideline.</p>
<p>Pay slip Verified Outcome Payments - Unsubsidised Self-</p>	<p>Documentary evidence must be uploaded into the Department's IT Systems at the point of claim.</p> <p>The documentary evidence must be contained in dated written evidence from the job seeker in one or more of the following forms:</p> <p>The Vacancy recorded on the department's IT system must identify that the job seeker's employment is Self-Employment and dated</p>

Requirement	Documentary Evidence the Employment Provider must retain at the time of submitting a claim (in electronic form or hard copy)
<p>Employment (Job Seekers not in receipt of income support payments and not receiving NEIS Allowance)</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 125. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Vacancies and Outcomes 	<p>documentary evidence must be obtained from the job seeker must be in one or more of the following forms:</p> <ul style="list-style-type: none"> • Sales records, contracts with clients or contracts of employment and a statement from a Certified Practising Accountant or Certified Accountant (for example a Profit and Loss Statement) relating to the job seeker’s business for 4, 12 or 26 Week Period. The statement provided should show that the job seeker has an income which proves the job seeker’s business has generated sufficient personal income (net of business expenses but include tax) to confirm the National Minimum Wage rate has been achieved when combined with evidence that the job seeker has worked the required hours each week/fortnight to achieve sufficient hours (such as a record of the Participant’s appointments or diary entries); or • Signed and dated statement of earnings from an accountant and/or registered bookkeeper for the 4, 12 or 26 Week Period. The statement provided should show that the job seeker has an income which proves the Participant’s business has generated sufficient personal income (net of business expenses but include tax) to confirm the National Minimum Wage rate has been achieved when combined with evidence that the job seeker has worked the required hours each week/fortnight to achieve sufficient hours (such as a record of the job seeker’s appointments or diary entries); or • Copy of records from the Australian Taxation Office (ATO) for the 4, 12 or 26 Week Period verifying that the job seeker has an income as self-employed. The records provided should show that the job seeker has an income which proves the job seeker’s business has generated sufficient personal income (net of business expenses but include tax) to confirm the National Minimum Wage rate has been achieved when combined with evidence that the job seeker has worked the required hours each week/fortnight to achieve sufficient hours (such as a record of the Participant’s appointments or diary entries). <p>More than one form of written evidence may be used provided that collectively, the written evidence contains all of the above information.</p> <p>Proof of business establishment alone <u>is not</u> sufficient evidence to support an Outcome Payment.</p> <p>For further detail please refer to the Vacancies and Outcomes Guideline.</p>
<p>Full Outcomes for job seekers who have a Permissible Break in Employment</p> <p>Deed clause reference:</p>	<p>In addition to the relevant requirements for an Employment Outcome, Documentary Evidence must contain information provided by the Stream Participant or Employer which confirms:</p> <ul style="list-style-type: none"> • the Permissible Break in Employment, including the reason for the Permissible Break • the duration of the Permissible Break, including the start and end dates • that the Stream Participant is employed in the same position following the Permissible Break.

Requirement	Documentary Evidence the Employment Provider must retain at the time of submitting a claim (in electronic form or hard copy)
<ul style="list-style-type: none"> • Clause 125. Guideline reference: <ul style="list-style-type: none"> • Vacancies and Outcomes. 	<p>All of the above information must be contained in a signed and dated written statement or in an email from the Employer or Stream Participant.</p>
<p>Education Outcomes based on attainment or participation</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 125. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Vacancies and Outcomes. 	<p>For an Education Outcome based on the completion of a Qualifying Training Course, Documentary Evidence must be in the form of either an electronic or a hard copy of the qualification or a statement of attainment issued by the Registered Training Organisation together with the course code or unit code from training.gov.au.</p> <p>The qualification, including the date of the qualification or statement of attainment, must clearly show the qualification achieved, the Stream Participant’s name, details of the Registered Training Organisation and the course code or unit code identified on training.gov.au.</p> <p>For an Education Outcome based on participation in a Qualifying Education Course, Documentary Evidence must include:</p> <ul style="list-style-type: none"> • confirmation that the Stream Participant is still participating in the course six (6) months after commencement • whether the course is full-time study or part-time study as defined by the Registered Training Organisation • the study periods (i.e. term, trimester or semester) and the start and end dates. <p>All of the above information must be contained in an acceptable form of dated evidence. Acceptable forms of dated evidence are:</p> <ul style="list-style-type: none"> • a certificate of attainment / academic transcript issued by the Registered Training Organisation confirming that the Stream Participant is participating or has participated in the course for six (6) months or more or • a signed and dated written statement or an email from the Registered Training Organisation or Stream Participant.

Section 1D: Employment Providers- Notification to DHS where hours or earnings may be non-declared or under- declared

In accordance with clause 11.6 of the Deed, the Employment Provider **must** notify DHS within five Business Days of becoming aware that a Stream Participant may not accurately be declaring hours or earnings.

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Notification to DHS where Employment hours or earnings may be under / non-declared</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 11.6. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Vacancies and Outcomes. 	<p>DHS will be notified automatically of Employment hours and Earnings when lodging a Pay Slip Verified Outcome Payment. The pay slips or payroll summary must be uploaded at the time of claiming a Pay Slip Verified Outcome Payment.</p>	<p>The Employment Provider must sight and retain evidence of a Stream Participant's earnings where an Employment Provider notifies DHS of a Stream Participant's under-declaration or non-declaration of Employment. Notification can occur by lodging a Pay Slip Verified Outcome claim, using the DHS Reporting Fraud form (available on the DHS website) or calling the Australian Government Services Fraud Tip-off Line on 131 524.</p> <p>Evidence must include one of the following acceptable forms of evidence:</p> <ul style="list-style-type: none"> • where the Stream Participant is being paid a salary, a payslip that details gross and net pay • where the Stream Participant is paid by the hour, a payslip that details: <ul style="list-style-type: none"> ○ the standard hourly rate ○ the number of hours worked at that rate ○ the total dollar amount of pay at that rate. <p>In the absence of payslips, Employment Providers may provide a payroll summary report at the time of claiming or notification. The payroll summary report must show:</p> <ul style="list-style-type: none"> • the employer's name (and ABN if applicable) • the date/s of payment and gross/net pay • the hourly rate and number of hours worked at that rate if employment is paid on an hourly rate. <p>The payroll summary report must be a print-out of the Stream Participant official payment history, not a spreadsheet/tracking</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
		tool implemented by the Employment Provider.

Section 1E: Employment Providers - Employment Fund Reimbursements

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>All Employment Fund General Account Reimbursements</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Employment Fund General Account. 	<p>For all Employment Fund: General Account purchases, the following must be recorded in the Department's IT System:</p> <ul style="list-style-type: none"> • where applicable, whether the payment was made to a Related Entity or Own Organisation • the Stream Participant's Identification Number (JSID) except for batch purchases that do not require attribution to the individual Stream Participant • the category of service • a supplier for all purchases • the date that the service was provided or the good was purchased (for services covering multiple days, this is the date the service began) • whether the purchase was a batch purchase. 	<p>For all Employment Fund: General Account purchases, as evidence of prior payment:</p> <ul style="list-style-type: none"> • Tax Invoices or receipts that distinguish between individual item costs, where applicable. For example, where a claim is for <ul style="list-style-type: none"> ○ accredited training, the Tax Invoice or receipt must identify the course being undertaken ○ a work-related licence, the name of the licence must be identified on the Tax Invoice or receipt ○ post placement support or professional services, the Tax Invoice or receipt must identify the service delivered (also see specific requirements below for Post Placement Support and professional services). • Employment Providers should refer to the ATO website (www.ato.gov.au/) to determine what a valid Tax Invoice is. <p>Note: Where goods or Services are delivered in-house and the organisation does not have internal billing arrangements for these goods or Services (or where a supplier is not registered for GST), the Employment Provider must maintain Documentary Evidence that sets out the information that would typically be contained in a Tax Invoice.</p>
<p>Batch Purchase Attribution</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Employment Fund General Account. 	<p>The following batch purchases must attribute the associated cost to individual Stream Participant :</p> <ul style="list-style-type: none"> • all purchases of \$300 or more in total • all purchases for 'Accredited training', 'Cards or Vouchers for Food, Phone Calls or Petrol' and 'Tools, Books, Equipment and Mobile Phones' categories (regardless of 	<ul style="list-style-type: none"> • No additional Documentary Evidence is required.

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
	<p>their value).</p> <p>For batch purchases less than \$300 in total, items will be required to be attributed to individual Stream Participants if they are part of a random sample identified by the Department's IT System. In the first instance, the random sample will be set at 10 per cent of transactions under \$300. The size of the random sample may be increased in accordance with the criteria stipulated in any Guidelines.</p> <p>Where batch purchases are used, the Employment Provider must also enter into the Department's IT Systems the number of items purchased.</p> <p>Note: Employment Providers must claim Reimbursement no more than 56 calendar days from the date of purchase and must attribute items to individual Stream Participants s (where required) no more than 91 calendar days from the date of reimbursement.</p>	
<p>Post Placement Support</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Employment Fund General Account. 	<p>When claiming Post Placement Support Costs through the Employment Fund, the duration of the Service provided (in minutes) must be recorded in the Department's IT System for each claim.</p>	<p>Post placement support Reimbursements must be supported by a Tax Invoice or receipt that details the service delivered (for example, mentoring for a Stream Participant on an employment placement to address issues that may affect their capacity to keep the job).</p>
<p>Professional services</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Employment Fund General Account. 	<p>When claiming professional services costs through the Employment Fund, the following information must be recorded in the Department's IT System for each claim:</p> <ul style="list-style-type: none"> • the type of professional providing the service (for example a psychologist or other allied health professional) • whether the service is being provided as an individual or group-based session • duration (in minutes) 	<p>Professional services Reimbursements must be supported by a Tax Invoice or receipt which details the service delivered, for example, a group anger management session delivered by a qualified professional.</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
	<ul style="list-style-type: none"> confirmation of whether the Stream Participants attended the Appointment where the supplier for the professional service is the Employment Provider's Own Organisation or a Related Entity, the staff member providing the Service must be recorded in the Department's IT Systems. <p>The Employment Provider must enter into and maintain updated in the Department's IT Systems a listing of the staff members in the Employment Provider's Own Organisation or a Related Entity of the Employment Provider (either psychologists or other allied health professionals) who will deliver professional services.</p>	
<p>Accredited Training Deed clause reference:</p> <ul style="list-style-type: none"> Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> Employment Fund General Account. 	<p>When claiming Accredited Training costs through the Employment Fund, the following information must be recorded by the Employment Provider in the Department's IT System:</p> <ul style="list-style-type: none"> the course code or unit code identified on training.gov.au and the Registered Training Organisation in the Activity details screen the Activity ID (to provide details of the course and the supplier) against each claim for Reimbursement. 	<p>The Registered Training Organisation must be identified on the Tax Invoice together with the course or unit codes from training.gov.au.</p>
<p>Employer Required Training (non-accredited) Deed clause reference:</p> <ul style="list-style-type: none"> Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> Employment Fund General Account. 	<p>When claiming Employer Required Training (non-accredited) Costs through the Employment Fund, the following information must be recorded in the Department's IT System for each claim:</p> <ul style="list-style-type: none"> Training is linked to a registered Vacancy in the Department's IT System The Activity ID must be recorded (to provide links to details of the course and the supplier). 	<p>No additional Documentary Evidence is required.</p>
<p>Non-Work for the Dole</p>	<p>When claiming non-Work for the Dole activity costs through the</p>	<p>Where reimbursement is being sought for costs of supervision of</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Activity Costs Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Employment Fund General Account. 	<p>Employment Fund, the Activity identifier for which the claim is being made must be recorded in the Department's IT System.</p>	<p>non-Work for the Dole activity/ies, dated and signed timesheets or written evidence (for example an email) showing the hours completed by the Supervisor in their role as the Supervisor (only) must be retained by the Employment Provider.</p>
<p>Work Trials Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 88. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Employment Fund General Account. 	<p>When claiming Work Trials Costs through the Employment Fund, the claim must be linked to a registered Vacancy in the Department's IT System.</p>	<p>Evidence that no more than 100 per cent of Stream Participant's wages for the period of the Work Trial has been claimed. This will be one of the following:</p> <ul style="list-style-type: none"> • a statutory declaration, email or other correspondence from the Employer containing the name of the Stream Participant • payslips or • a print-out from the Employer's payroll software.
<p>Wage Subsidies (i.e. Restart, Tasmanian Jobs Programme, Youth and Long Term Unemployed) Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 89. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Employment Fund Wage Subsidies. 	<p>For all Wage Subsidies an approved Wage Subsidy Agreement, linking Vacancy, Employer and placement details (information will be pre-populated from other parts of the Department's IT System) must be entered into the Department's IT system.</p> <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>Wage Subsidy Agreements:</p> <ul style="list-style-type: none"> • For Wage Subsidy Agreements signed by the Employer online through Australian JobSearch, no additional evidence is required • For Wage Subsidy Agreements that are not processed through Australian JobSearch, a copy of the Wage Subsidy Agreement, signed by both the Employment Provider and Employer, must be retained by the Provider. <p>Claims</p> <p>When claims for payments are made, the following Documentary Evidence must be retained by the Employment Provider:</p> <ul style="list-style-type: none"> • Evidence that the Stream Participant was Employed as per the Wage Subsidy Agreement. This evidence must be one of the following:

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
		<ul style="list-style-type: none"> ○ a declaration by the Employer through Australian JobSearch ○ payslips (last payslip for the period) or a print-out from the Employer's payroll software ○ a statutory declaration, email or other correspondence from the Employer ● Evidence of hours worked over the Wage Subsidy period (for the Restart Programme, Long Term Unemployed Wage Subsidy and Youth Wage Subsidy only). This evidence must be one of the following: <ul style="list-style-type: none"> ○ hours worked and a declaration by the Employer through Australian JobSearch ○ payslips (must be sufficient payslips to demonstrate hours worked) or a print-out from the Employer's payroll software ○ a statutory declaration, email or other correspondence from the Employer ● Evidence of prior payment from the Provider to the Employer (e.g. record of transaction, Tax Invoice/receipt) must be kept offline by the Employment Provider.

Section 1F: Employment Providers - Work for the Dole

Requirement	Information that must be entered into the Department's IT Systems	Additional evidence that must be retained (in electronic form, uploaded into ESS or hard copy)
<p>Work for the Dole Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 108. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Work for the Dole. 	<p>The Employment Provider must record the amount of funding that was paid to the Activity Host Organisation in the Department's IT System.</p> <p>In addition, the Provider must record in the Activity Diary the Hours spent participating in the Work for the Dole activity for each Fully Eligible Participant with an Annual Activity Requirement.</p>	<ul style="list-style-type: none"> • To obtain funding for Group Based Activities, the Lead Provider must either: <ul style="list-style-type: none"> ○ claim funds in advance or ○ seek Reimbursement at the end of the activity • Employment Provider must keep all Tax Invoices and receipts relevant to the Activity • The Employment Provider must retain written evidence of any changes agreed with the Activity Host Organisation to the cost of a Work for the Dole Place.
<p>Work for the Dole Activity Creation and Closure (Employment Provider) Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 108. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Work for the Dole. 	<p>Where the Employment Provider sources Work for the Dole Places, the Employment Provider must record details of the Work for the Dole Place in the Department's IT System including:</p> <ul style="list-style-type: none"> • details of the Work for the Dole Activity Host Organisation, including contact details • a description of the Individual Hosted Activity or Group Based Activity, including information on the specific materials or equipment, such as special clothing or any checks (National Police Checks and/or Working with Vulnerable People Checks), if relevant • the cost, duration and location of the Work for the Dole Place • the number of available Work for the Dole Places • any other Department's IT System fields, as required. <p>For Work for the Dole Places sourced by either the Employment Provider or the Work for the Dole Coordinator, where the Provider is the Lead Provider, the Provider must:</p> <ul style="list-style-type: none"> • complete an acquittal/Reimbursement report for the 	<p>For Work for the Dole Places sourced by either the Employment Provider or the Work for the Dole Coordinator, the Employment Provider must retain:</p> <ul style="list-style-type: none"> • copies of the Activity Host Agreement and risk assessment (job seeker) • the Activity Host Agreement must be completed, signed and dated by the Activity Host Organisation and the Employment Provider • written evidence of any agreed changes with the Activity Host Organisation to the cost of a Work for the Dole Place • evidence of checks (such as police checks for Stream Participant and Supervisors), as specified in the Deed • for Group Based Activities, the Group Based Activity budget documentation, the Group Based Activity acquittal report, Asset register and Disposal plan. <p>In addition, where the Employment Provider sources Work for the Dole Places, the Employment Provider must:</p> <ul style="list-style-type: none"> • upload, at the Activity level, the risk assessment (Place)

Requirement	Information that must be entered into the Department's IT Systems	Additional evidence that must be retained (in electronic form, uploaded into ESS or hard copy)
	Group Based Activity within 56 calendar days of the Activity end date.	<p>which includes the assessment checklist as the cover page</p> <ul style="list-style-type: none"> • keep a separate hard copy of each version of the risk assessment (Place) as the Department's IT System will only record (upload) the current version of a risk assessment (Place).

Section 1G: Employment Providers-Relocation Assistance to Take Up a Job

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Relocation Assistance to Take Up a Job</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 90. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Relocation Assistance to Take Up a Job. 	<p>The Provider must record the following details in the Department's IT System:</p> <ul style="list-style-type: none"> • the approved Relocation Assistance to Take Up a Job Agreement • Vacancy details • Employer details • Placement details. <p>When submitting an overrides and special claim request, Employment Provider must include the linked Agreement identifier and/or the Vacancy Identifier.</p>	<p>The following Documentary Evidence must be retained or uploaded into Department's IT System:</p> <ul style="list-style-type: none"> • a Relocation Assistance to Take Up a Job Agreement signed by the Employment Provider and Stream Participant that also confirms: <ul style="list-style-type: none"> ○ that the Employer has attempted to employ local job seekers ○ the Employment Provider has sighted evidence (if applicable) that the Stream Participant is a biological parent or legal guardian of a Child or Children ○ the Stream Participant has declared that the dependent Child or Children will be moving with the Stream Participant (if applicable) • a copy of the offer and acceptance of the Placement that shows: <ul style="list-style-type: none"> ○ the Employer ○ the Employer's location ○ the Stream Participant's hours of employment per week ○ that the position is for longer than six months • evidence of dependent Child or Children (if applicable), including: <ul style="list-style-type: none"> ○ the identity of the Child or Children ○ where the child or children are not an SPI Participants, evidence that the relocation Participant is receiving government payment related to the Child or Children, including: <ul style="list-style-type: none"> ▪ Newstart Allowance (parent rate)

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
		<ul style="list-style-type: none"> ▪ Family Tax Benefit ▪ Childcare Rebate. <p>Documentary Evidence for claiming Reimbursements must include:</p> <ul style="list-style-type: none"> • Tax invoices that distinguish between individual item costs • evidence that the Relocation Assistance to Take Up a Job Payment has been paid to the Stream Participant • at least two (2) quotes (unless there is only one supplier) for the Reimbursement of items that require quotes as per the Relocation Assistance to Take Up a Job Guideline • where the dependent Child or Children does not / do not meet the eligibility requirements in the Relocation Assistance to Take Up a Job Guidelines, a file note outlining the Employment Provider's assessment that the Child or Children is/are dependent on the Stream Participant and eligible for additional funding for relocation assistance. An example would be where the Stream Participant's ward has a disability and relies upon the Stream Participant's care (Dependents do not include the Stream Participant's sibling/s or parent/s). <p>Where up-front advance payments are made directly to the Stream Participant, Tax invoices do not need to be retained. Employment Providers must obtain and retain quotes, as above.</p>

Section 2: Work for the Dole Coordinators

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Work for the Dole Activity Creation Deed clause references: jobactive Deed - Work for the Dole Coordinator:</p> <ul style="list-style-type: none"> • Schedule 1 B.3.6 • Schedule 1 B.3.11. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Work for the Dole. 	<p>The Work for the Dole Coordinator must record details of the Work for the Dole Place, including:</p> <ul style="list-style-type: none"> • details of the Work for the Dole Activity Host Organisation, including contact details • a description of the Individual Hosted Activity or Group Based Activity, including information on the specific materials or equipment, such as special clothing or any checks (National Police Checks and/or Working with Vulnerable People Checks), if relevant • the cost, duration and location of the Work for the Dole Place, including the amount of funding that is to be paid to the Activity Host Organisation • the number of available Work for the Dole Places • any other Department's IT System fields, as required. 	<p>The Work for the Dole Coordinator must upload the risk assessment (of the Work for the Dole Place) that provides risk assessment information about the Activity, for Employment Providers to assess if the Work for the Dole Place is suitable for their Stream Participants.</p> <p>The Work for the Dole Coordinator must keep a copy of each version of the risk assessment (of the Work for the Dole Place), including assessment checklist (for the Work for the Dole Place) as the cover page, as the Department's IT System will only record (upload) the current version of a risk assessment (of the Work for the Dole Place).</p>
<p>Work for the Dole Service Fees Deed clause references: jobactive Deed -Work for the Dole Coordinator:</p> <ul style="list-style-type: none"> • Schedule 1 C.3 • Schedule 2. AA. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Work for the Dole. 	<p>The Work for the Dole Coordinator must submit a correct Tax Invoice to the Department (not via the IT System) for payment of Service Fees.</p>	<p>Work for the Dole Coordinators must retain a copy of the Tax Invoices submitted.</p>

Section 3: New Enterprise Incentive Scheme (NEIS) Providers

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Accepting or rejecting a Job Seeker for New Enterprise Incentive Scheme (NEIS) Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 127. <p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Referral and Eligibility. 	<p>Where a NEIS Provider accepts or rejects a Stream Participant or DES Participant for participation in NEIS, the NEIS Provider must advise the Employment Provider or Disability Employment Services (DES) Provider of the outcome by accepting or rejecting the contract Referral in the Department's IT System.</p>	<p>No additional Documentary Evidence is required.</p>
<p>Arranging NEIS Training Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 128. <p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Training. 	<p>The NEIS Provider must enter the following details into the Department's IT Systems:</p> <ul style="list-style-type: none"> • details of the certificate to be undertaken (Certificate IV or III) • the NEIS Training start and end dates • whether there is recognised prior learning. 	<p>If the NEIS Prospective Participant has commenced NEIS Training, the following Documentary Evidence must be retained:</p> <ul style="list-style-type: none"> • confirmation of the NEIS Prospective Participant's enrolment with a relevant Registered Training Organisation • evidence that the NEIS Prospective Participant has participated in NEIS training—for example: <ul style="list-style-type: none"> ○ the NEIS Prospective Participant's attendance records ○ sign-in sheets with the NEIS Prospective Participant's signature ○ electronic correspondence showing participation • assessment records for the competencies assessed • a copy of the NEIS Prospective Participant's statement of attainment • a copy of the NEIS Prospective Participant's certificate, where successfully completed • a draft copy of the NEIS Business Plan.

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>NEIS Business Plan approval or rejection Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 128. <p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Referral and Eligibility. 	<p>The NEIS Provider must record the following information in the Department's IT Systems:</p> <ul style="list-style-type: none"> • the outcome and date of the decision to approve or reject the NEIS Business Plan • the NEIS Business identifier • the proposed start date of the NEIS Business. 	<p>The following Documentary Evidence must be retained:</p> <ul style="list-style-type: none"> • where the NEIS Provider rejects a NEIS Business Plan, the decision and the reasons for the decision and the NEIS Participant's right to have the decision reviewed • where the NEIS Business Plan is approved, written correspondence to the NEIS Participant regarding the approval of the NEIS Business Plan.
<p>Advising DHS and referring Employment or DES Provider of NEIS Participants commencement in NEIS Assistance Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 129. <p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Assistance and NEIS Business Mentoring. 	<p>The NEIS Provider must record in the Department's IT Systems that the NEIS Participant has commenced NEIS Assistance and whether he or she is receiving a NEIS Allowance.</p> <p>Note: The Department's IT System advises DHS and Exits the NEIS Participant from the Employment Provider's caseload.</p>	<p>No additional Documentary Evidence is required.</p>
<p>Entering into a NEIS Participant Agreement Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 128. <p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Referral and Eligibility. 	<p>The NEIS Provider must enter the following details into the Department's IT System:</p> <ul style="list-style-type: none"> • the date the NEIS Participant Agreement was received • the NEIS Allowance and, where applicable, NEIS Rental Assistance start dates • the participant's bank account details • the participant's Tax File Number declaration details • confirmation that the NEIS Participant is NEIS eligible. 	<p>A NEIS Participant must complete and sign a NEIS Participant Agreement before commencing NEIS Assistance.</p> <p>The NEIS Provider must provide the Department in relation to the NEIS Participant:</p> <ul style="list-style-type: none"> • the signed NEIS Participant Agreement for the Department's signature • a completed and signed NEIS Eligibility Certification Form • a completed and signed Tax File Number Declaration Form • confirmation of eligibility for NEIS Rental Assistance Form,

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
		<p>if applicable.</p> <p>A copy of the signed NEIS Participant Agreement must be retained by the NEIS Provider and kept on the NEIS Participant's file.</p>
<p>NEIS Business Monthly Contacts and Mentoring Visits</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 129. <p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Assistance and NEIS Business Mentoring. 	<p>The NEIS Provider must record monthly Contacts and NEIS Business mentoring visits in the Department's IT System.</p> <p>At a minimum, the Records must indicate:</p> <ul style="list-style-type: none"> • when the Contact took place (if the Contact is deferred due to timing in financial quarter, the NEIS Provider should record 'Visit not conducted this quarter' in the Department's IT System) • if appropriate insurance has been maintained • a summary of the business advice provided by the NEIS Provider • receipt of financial information (i.e. Income Statements, NEIS External Income Test) • assessment of Commercial Viability • any issues that have been identified. • When NEIS Providers, as outlined in their tender response or otherwise with approval from the Department, conduct Contacts and or Mentoring Visits via alternative means (i.e. Skype, video conferencing) they must record the method of communication in the Department's IT Systems. 	<p>The NEIS Provider must retain the following documentary evidence on the NEIS Participant's File:</p> <ul style="list-style-type: none"> • financial information • assessment of Commercial Viability • any additional NEIS Business Mentoring reports • proof of insurance.
<p>Collection of NEIS Financial Information and NEIS Participants' Income Statements</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 129. 	<p>The NEIS Provider must ensure that relevant financial information related to the NEIS Participants NEIS Business is updated after each Mentoring Visit, in the Department's IT Systems.</p>	<p>Documentary Evidence includes retaining records provided by the NEIS Participant that relate to:</p> <ul style="list-style-type: none"> • financial information • income statements • external income tests • assessment of commercial viability.

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Assistance and NEIS Business Mentoring. 		<p>The Department provides a NEIS income statement form available on the Provider Portal for NEIS Participants to use when providing the required financial information.</p>
<p>NEIS Participant or NEIS Business change of circumstances</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 129. <p>Guideline reference:</p> <ul style="list-style-type: none"> • NEIS Assistance and NEIS Business Mentoring. 	<p>The NEIS Provider must make a record in the Department's IT Systems if a NEIS Participant's circumstances or NEIS Business changes or if they are not complying with the terms of their NEIS Participant Agreement. This is done by entering a Suspension, recommencement or termination recommendation.</p>	<p>Examples of Documentary Evidence that must be retained on the NEIS Participant's file include:</p> <ul style="list-style-type: none"> • medical certificates • external income test assessment • death certificate • written correspondence regarding changes in circumstances • suspension or termination recommendations.
<p>Servicing Job Seekers with Challenging Behaviours</p> <p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 70 • Clause 73. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Servicing Job Seekers with Challenging Behaviour. 	<p>If NEIS Participants are suspended from servicing, any relevant information must be recorded in the Department's IT system.</p>	<p>All verbal or in writing warnings given to NEIS Prospective Participants and NEIS Participants with challenging behaviours must be recorded and maintained.</p>

Section 4: Harvest Labour Services (HLS) Providers

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Direct Registration Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 134 <p>Guideline reference:</p> <ul style="list-style-type: none"> • Harvest Labour Services. 	<p>Harvest Labour Services (HLS) providers must record the Harvest Worker's registration information in the Department's IT System.</p>	<p>HLS Providers must retain a copy of the completed and signed Direct Registration form or Harvest Worker Participation Form that contains a range of Personal Information used to determine Harvest Worker's eligibility for Direct Registration.</p>
<p>Harvest Service Fees Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 135 <p>Guideline reference:</p> <ul style="list-style-type: none"> • Harvest Labour Services. 	<p>A claim for Harvest Service Fees is accessed by the HLS Provider after the Department has received either a quarterly Report or an annual Report.</p> <p>The Department's IT System will auto generate a claim at the start of each financial quarter. This can only be paid after the Account Manager has approved the claim in the system.</p> <p>Payment of the first quarterly Report is provided for in the jobactive Deed upon execution.</p>	<p>A copy of the Report(s) must be retained by the Harvest Labour Service Provider.</p>
<p>Harvest Placement Fees Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 135 <p>Guideline reference:</p> <ul style="list-style-type: none"> • Harvest Labour Services. 	<p>The following Documentary Evidence must be entered into the Department's IT System:</p> <ul style="list-style-type: none"> • the date of the confirmation of harvest employment with the Harvest Placement • a description of the confirmation method • details of the Harvest Employer's staff member who confirmed the Harvest Placement • comments if the referral and/or placement occurred on a weekend. 	<p>No additional Documentary Evidence is required.</p>
<p>Servicing Job Seekers with Challenging Behaviours</p>	<p>Nil.</p>	<p>HLS Providers must record and retain file notes of any instances of Participants exhibiting challenging behaviours.</p>

Requirement	Information that must be entered into the Department's IT Systems	Additional Documentary Evidence that must be retained
<p>Deed clause reference:</p> <ul style="list-style-type: none"> • Clause 70 • Clause 73. <p>Guideline reference:</p> <ul style="list-style-type: none"> • Servicing Job Seekers with Challenging Behaviour. 		