



Australian Government

Department of Education, Employment and Workplace Relations



Structured Training and Employment Project Employment and Related Services (STEP ERS)

Guidelines for Panel Members

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STEP ERS Guidelines for Panel Members v1.3

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1. Purpose

These Guidelines are for Structured Training and Employment Project (STEP) Employment and Related Services (ERS) Panel Members seeking background and guidance on the operation of the STEP ERS Panel. Please note that these Guidelines will be updated periodically and that this version was updated on 18 March 2008 with an effective date of 7 April 2008. If you are uncertain you are working with the latest version, please contact your Department of Education, Employment and Workplace Relations (DEEWR) Contract Manager.

The Guidelines aim to provide STEP ERS Panel Members with an introduction to how the STEP ERS Panel operates and the key groups with which contracted Panel Members will interact in developing and delivering STEP ERS services to assist employers to take on more Indigenous Australians.

This third version of the Guidelines replaces the earlier version issued to organisations in July 2007. This version provides new and updated information and should be read in its entirety.

2. STEP ERS Projects

A panel of 63 organisations was established through an open tender process (2006/22) in 2006, to deliver STEP ERS to employers in labour market regions throughout Australia to provide sustainable employment for Indigenous Australians, particularly in the private sector.

In 2007, with the reforms to delivery of Indigenous employment services involving the ceasing of Community Development Employment Projects (CDEPs) funding in urban and major regional centres and the closure of Indigenous Employment Centres in urban and major regional centres from 1 July 2007, the Government decided to expand the Panel through a second tender process (2007/04). This brought the total number of Panel Member organisations to 172. A third tender round (2007/27) has since been conducted in October 2007 to expand the number of organisations able to provide services in the Northern Territory. It is expected that up to 34 additional organisations will be appointed to the Panel to provide services in the Northern Territory. The current STEP ERS Panel arrangements stand in place until 30 June 2009.

The Panel comprises organisations (Panel Members) with expertise which represent value for money for DEEWR in the provision of three service streams:

- **pre-employment support services** that may include the provision of training to potential employees and the development and implementation of recruitment strategies for potential employers;
- **employment placement services** to assist employers place and retain Indigenous Australians in their workplace; and
- **mentoring services** to help employers retain their Indigenous employees.

3. The Deed of Standing Offer

Successful tenderers must enter into a Deed of Standing Offer (the Deed) with DEEWR. The Deed is the legal document which establishes the STEP ERS Panel and appoints your organisation to the STEP ERS Panel. There are a number of documents which are part of your contractual agreement with DEEWR. These are:

- The Deed of Standing Offer;
- Terms and Conditions Applicable When A Contract Is Created – *Appendix 1 to the Deed*. This document outlines the general contract conditions that will apply with each Official Order (specific services contract);
- Service Details under the Deed – *Appendix 2 to the Deed*;
- Addresses for Notices under the Deed – *Appendix 3 to the Deed*. This document contains the names and addresses for both the STEP ERS Panel Member's and DEEWR's contacts;

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- Official Order/Contract – *Appendix 4 to the Deed*. The content of the Official Order focuses on the details of the specific services to be provided under that individual contract and the related milestones, performance measures and payment arrangements; and
- STEP ERS Code of Practice – *Appendix 5 to the Deed* (see Section 7 for further information).

You should familiarise yourselves with these documents and seek legal advice, if required, to understand aspects of the Deed.

Upon completion of the signing of the Deed, your organisation's name and service details and the areas in which you may operate under their Deed of Standing Offer are added to the list STEP ERS Panel Members on the DEEWR employment website at workplace.gov.au/step together with details of the service streams and Labour Market Regions (LMRs) for which your organisation successfully tendered to deliver services.

Services may be purchased from Panel Members by DEEWR through the use of Official Orders (service contracts) under the Deed. Panel Members which enter into Official Orders under their Deed are called 'STEP ERS providers' throughout this document.

4. How the Panel operates

The Panel is a group of organisations from which DEEWR may order STEP ERS. DEEWR will generally initiate negotiations about the development of new STEP ERS Projects.

In considering whether services are required, DEEWR staff will take into account a number of factors including employer demand and job seeker availability. As labour market needs are identified, DEEWR will determine which Panel Members (if any) to approach to discuss the required services.

DEEWR staff may approach Panel Members informally to discuss a proposal or may do so more formally through a letter requesting a written quote or proposal for the required services.

DEEWR may make a specific service request where it has identified a need for a particular service or services to be provided by a Panel Member, or may make a general service request where it has identified a general need for a service or services. For example, the service request may specify an industry where job seekers are to be placed or may simply specify a number of jobs in a Labour Market Region (LMR) or location.

Panel Members may approach DEEWR directly with suggestions for services but they should be aware that DEEWR is not required to respond to service proposals received from Panel Members where DEEWR has not requested the proposal.

Following the selection of a particular Panel Member and consultation with them on the services required, DEEWR will prepare and send an Official Order for the required services to the Panel Member in accordance with their Deed. The draft Official Order is Appendix 4 to the Deed of Standing Offer. The Official Order together with the Terms and Conditions Applicable when a Contract is Created (Appendix 1 to the Deed), form the contract for services purchased by DEEWR under the Deed.

The Official Order does not become effective until DEEWR executes it.

A Panel Member is not required to accept all Official Orders from DEEWR, however, where a Panel Member does not accept an Official Order it must provide DEEWR with a written explanation of its reasons for not doing so.

5. Entering into an Official Order

DEEWR and the Panel Member may consult on a number of matters in the formulation of the Official Order including the precise service to be performed and the fee for the performance of the services. Details of the services to be delivered and performance requirements will be written into each Official Order. This may include Key Performance Indicators (KPIs).

6. DEEWR's contract management model for STEP ERS

DEEWR and each Panel Member will each nominate representatives who are responsible for overall liaison and coordination in relation to the Panel arrangements.

Where a Panel Member with a national presence is contracted for STEP ERS projects in more than one state, the DEEWR representative specified in the Deed will be the DEEWR 'Account Manager'. The Account Manager will usually be located in the State, Territory or District Office servicing the STEP ERS Panel Member's head office.

DEEWR State Offices will continue to develop and contract with Panel Members around local service requirements. The STEP ERS Official Orders may be negotiated and written at the local or national level depending on the protocol arranged with the Panel Member. The DEEWR Contract Manager for individual Official Orders may vary depending on the location of the STEP ERS Project.

7. The STEP ERS Code of Practice

The STEP ERS Code of Practice (Appendix 5 to the Deed) sets out the professional standards that Panel Members commit to observe in the delivery of their services under the Deed. DEEWR may monitor, measure and evaluate the STEP ERS provider's compliance with the Code of Practice.

Once an Official Order has been signed you must establish and publicise to participants and employers the existence and details of your Complaints process. This process needs to be consistent with the Deed and the Official Order. You must also advise participants that they may provide direct feedback to DEEWR through either the Customer Service Line (1800 805 260) or through completing a Complaints, Compliments and Suggestions form available on the DEEWR website www.workplace.gov.au and sending it to a Customer Service Officer in their nearest DEEWR State Office.

8. STEP ERS administration

8.1 Forms

A number of forms are used by DEEWR in administering the Panel:

- **Request for Quotation for the Provision of Services Form** – may be used by DEEWR in seeking a quotation for the provision of STEP ERS services. See Attachment A1.
- **STEP ERS Project Details Form** – used by DEEWR for providing information to employment service providers by posting the information on the DEEWR Employment & Community Services Network (ECSN) secure sites used by employment service providers. See Attachment A2.
- **Participant Referral Form** – Sent by an employment service provider to the STEP ERS Provider when referring a job seeker to a STEP ERS Project. This form is available to employment service providers on the ECSN secure sites. See Attachment A3.
- **STEP ERS Participant Advice Form** - a Participant Advice Form must be completed by the STEP ERS Provider for each STEP ERS participant and provided to DEEWR in hard copy format. Information on the participant will be entered into DEEWR's payments system and is required for monitoring of recruitment and for processing of outcomes payments. See Attachment A4.
- **Activity Reporting Form** - to be completed by a STEP ERS Provider and forwarded to the relevant job seeker's employment service provider if a participant is not meeting their STEP ERS participation requirements. See Attachment A5.

8.2 Records and Documentary Evidence

Section 18 of the *Terms and Conditions applicable when a contract is created* (Appendix 1 to the Deed of Standing Offer) outlines what is required of STEP ERS providers in relation to record and account keeping.

STEP ERS providers are also required to maintain sufficient records and documentary evidence to support invoices submitted to DEEWR in relation to service fees and outcome payments. All payments for STEP ERS have to meet general requirements for the expenditure of public funds as well as the specific requirements of the contract (Official Order) between DEEWR and the STEP ERS provider. Attachment A6 sets out DEEWR's documentary evidence requirements for claims for payment of outcomes, particularly participant outcomes.

8.3 Payments and Claims

How you claim for payment will depend on the type of service being delivered and the arrangements set out in the Official Order. In most cases this will be in the form of a correctly rendered tax invoice that you must provide to DEEWR.

Please note that payments will not be triggered through the submission of a STEP ERS Participant Advice Form and that this form must be accompanied by a correctly rendered tax invoice. Your DEEWR Contract Manager can provide you with a sample tax invoice if required.

When a job seeker ceases to participate in your STEP ERS Project at any time prior to the Contract end date, you must advise your DEEWR Contract Manager. This can be done by email or letter and must include the following details for verification:

- The Official Order number;
- The participant's surname and given name;
- The participant's date of birth;
- The date the participant ceased in the Project; and
- The reason for ceasing to participate in the Project.

8.4 Monitoring progress

DEEWR may undertake regular monitoring to ensure that STEP ERS providers are fulfilling the requirements of the Official Order and to check progress. Monitoring can include site visits, meetings or requests for written reports.

Feedback may be sought from your STEP ERS participants as part of DEEWR's Post Program Monitoring survey.

9 Who can participate in STEP ERS projects?

9.1 Eligibility

To be eligible for assistance under STEP ERS, a participant must:

- be of Aboriginal or Torres Strait Islander descent;
- identify as an Aboriginal or Torres Strait Islander; and

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- be accepted as an Aboriginal or Torres Strait Islander by the community in which s/he lives or has lived.

Note: A participant is asked to confirm that they are of Aboriginal or Torres Strait Islander descent when completing a Participant Advice Form (Attachment A4) on commencing in a STEP ERS Project.

It is preferable that STEP ERS provides employment opportunities for unemployed Indigenous people. However, those who are already employed may participate in STEP ERS activities to achieve an improved employment outcome. This would include moving from casual or part-time work to increased hours, or accessing training and employment that will improve their skills and ongoing employment prospects.

9.1.1 Additional eligibility requirements

There may be additional eligibility requirements for some projects. DEEWR will discuss these when negotiating an Official Order with a Panel Member. The additional eligibility requirements could be that a person is also a former CDEP participant or within a particular age group.

CDEP participants can also take part in a STEP ERS project where the objective is for the person to move off CDEP wages.

As with STEP, a participant who has previously been supported under STEP ERS is usually not eligible to participate in another project within a two year period unless DEEWR approves the second placement. Thus, DEEWR may not be obligated to pay an outcome claim (without prior agreement) for a participant where the participant has previously participated in another STEP ERS project within two years of commencing in this project. If you have a prospective participant whom you think may have already participated in another STEP or STEP ERS project within the last two years, please contact your DEEWR Contract Manager to check their eligibility and an assessment as to whether DEEWR will give approval for them to participate in your project.

10 What makes a STEP ERS project successful?

STEP ERS has been designed so that it can be tailored flexibly to meet the specific needs of employers and participants. This means that there is not a set list of activities which must be included in a STEP ERS Project, however DEEWR has identified a number of activities common to many successful Projects:

- working with employers to satisfy their demands for assistance;
- working with local organisations, particularly employment service providers, to find a source or supply of Indigenous Australian job seekers to train (where necessary) and place into employment; and
- working with job seekers to help them prepare for work and remain in employment when they find a job.

10.1 Working with employers

Your relationship with local employers and employer networks is critical because:

- they are the primary source of local jobs;
- to be successful, you need to find out the type of assistance local employers require. This information allows you to design activities and services to suit them. For example, whether employers have particular skills shortages or problems retaining staff; and
- if you can demonstrate to employers that your services are worthwhile and can address their needs, you are more likely to secure a contract with DEEWR.

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Working with employers helps you to identify and then satisfy their demands for a source of appropriately motivated and skilled employees. The type of assistance employers need could include:

- helping identify their recruitment needs;
- providing assistance in recruiting Indigenous participants;
- delivering pre-employment training;
- delivering cross cultural awareness training to existing employees;
- providing placement support;
- passing on wage subsidies to employers (for example where this is stipulated in the contract with DEEWR) or assisting employers to apply directly to DEEWR for Indigenous Wage Assistance (where they are not receiving wage subsidies from any other source). For more information on Wage Assistance see www.workplace.gov.au; and
- mentoring new Indigenous employees, their supervisors and colleagues.

10.2 Working in partnership with local organisations

Having a good relationship with your local employment service providers is an effective way of accessing participants and a range of related assistance. Linking with local community networks (including CDEP organisations) can also assist you in sourcing and recruiting participants for your project.

10.2.1 How you can work with Employment Service Providers

The employment and related services administered by DEEWR are delivered through a national network of community and private organisations known as employment service providers. The main employment service provider is Job Network which is the primary employment service for Indigenous job seekers throughout Australia. Job Network has a well established history of successfully assisting Indigenous people, and Job Network members (JNMs) operate under a performance management framework that includes strong incentives for placing Indigenous Australians into long term jobs.

Other employment service providers deliver specialist employment services. The Personal Support Programme (PSP), Jobs Placement, Education and Training Programme (JPET), Vocational Rehabilitation Services (VRS) and the Disability Employment Network (DEN), provide valuable services to job seekers with particularly high barriers to employment and play a key role in assisting them into work.

Further information about providers of Australian Government employment services is available on the DEEWR employment website, www.workplace.gov.au.

DEEWR expects you to work with local employment service providers as an essential part of a successful project. There are several ways that the services provided by the Job Network and the other employment service providers can be of assistance in finding participants for a STEP ERS Project:

- A pool of 'job ready' Indigenous job seekers; and
- Employment service providers can help you to match your services to the needs of the local labour market; these organisations may wish to discuss with you the type of assistance they see STEP ERS providing to their Indigenous job seekers, as well as the services those job seekers are already receiving. This can assist you to tailor your project and services you deliver to the needs of the pool of job seekers in order to achieve better employment outcomes.

10.2.2 How can Employment Services Providers find out about you?

DEEWR will provide employment services providers such as Job Network members with some of the details of each Official Order it enters into with Panel Members. A sample of the Project Details Form is at Attachment A2. DEEWR will also provide you with a copy of the completed form that employment service providers will be able to access. The employment service providers may then contact you to discuss the services that you can provide to their caseload of job seekers and to local employers.

You can talk to DEEWR about arranging an introduction between you and your local employment service providers if you haven't met them already.

However, it is still critical for you to be active in developing and maintaining good working relationships with local employment service provider in your area. The better these relationships are, the more likely it is that employment service provider will refer the job seekers on their caseload to you for assistance. This might involve regular meetings with employment service provider staff or visiting the local employment service provider's office to meet with staff and job seekers to talk about your project and the services you will be delivering.

10.2.3 Working with job seekers

The services you provide to job seekers are aimed at helping them build their skills and find work. This may mean:

- helping them to prepare for work by providing them with industry skills (e.g. use of industry specific machinery, occupational health and safety awareness);
- providing them with more formal vocational training;
- finding them a job and providing them with ongoing support once they start work (and further training in some cases); or
- providing them with mentoring support to help them maintain their employment.

10.2.4 How will job seekers access your service?

There are two ways a job seeker might access your Service:

- referral from an employment service provider; and
- self referral, which may be as a result of your marketing or links with the community.

Where the job seeker 'self refers', you will need to ask whether the job seeker is registered with an employment service provider and if they have activity requirements. If registered with an employment service provider, the job seeker will need to discuss participation in STEP ERS with their employment service provider before commencing the Project. If the employment service provider agrees that participation in your Project is an appropriate activity, the job seeker will need to update their Activity Agreement with their employment service provider to include participation in STEP ERS.

Where an employment service provider decides your STEP ERS Project has an appropriate activity for their job seeker, they will contact you to arrange for their job seeker to attend an interview with you so you can decide whether to accept the job seeker as a participant in the Project.

In referring a job seeker, the employment service provider will provide you with a Participant Referral Form (see Attachment A3) – either by fax or by giving it to the job seeker to bring to their interview with you.

The diagrams at Appendix B provide a 'walk-through' for each of these processes and what you, the job seeker and your local employment service provider need to do to commence suitable participants in your Project. From the diagrams you can see that employment service providers play a critical role and that you need to work closely with the employment service provider while you are assisting job seekers.

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It is important that you follow these steps carefully – there are a number of possible consequences if the steps are not followed:

- most importantly, a job seeker's entitlement to income support could be affected; and
- it could also have a negative impact on your relationship with the employment service provider, which could in turn affect the number of job seekers referred to you for assistance.

Employment service providers need to be kept informed about progress of their registered job seekers participating in a STEP ERS Project. This is particularly important for working with job seekers who have activity requirements. You need to have ongoing communication with participants' employment service provider throughout their involvement in your project.

10.2.5 Job seekers referred by employment service providers

While it is the participant's responsibility to ensure they are meeting any requirements the employment service providers may have of them, as a STEP service provider contracted to DEEWR, you are expected to be aware of the activity requirements of individual participants and to liaise with their relevant employment service provider on a regular basis. Employment service providers need to be notified if a participant they have referred to you has failed to: (a) attend an appointment with you; or (b) fully participate in your STEP ERS Project, in order to be able to meet their own contractual obligations.

Employment service providers are required by DEEWR to report participation failures of activity tested job seekers to Centrelink, as failure to satisfy their activity requirements may directly impact on their income support payments.

To help to streamline this notification process, you must complete the STEP ERS Activity Report (see Attachment A5) and provide it to the employment service provider within 5 working days of the event.

Things to consider when completing the Activity Report include:

- How has the participant failed to meet the terms of their STEP ERS participation?
 - Did not attend the initial interview with your organisation as arranged by their employment service provider
 - Has not attended several days of the project without providing an acceptable reason
 - Refused to undertake a particular activity that is necessary to successfully complete the project
- Did you discuss the event with the job seeker?
 - If they provided a reason that you do not consider acceptable, include details
- Are there any other factors that you believe may have impacted on their capacity to fully participate in your project?

It is important that you provide as much information as possible in the Activity Report so that the employment service provider can make an informed decision about the participant's level of engagement.

10.2.6 Job seekers' activity requirements

The terms "participation requirements" or "activity requirements" refer to the activities a job seeker is required to undertake to receive certain Centrelink income support payments. This is consistent with the principle of "Mutual Obligation" (MO). Under this principle, in order to continue to receive payments, job seekers are expected to look for work and/or undertake activities to improve their employment prospects. This may include activities such as training, voluntary work or Work for the Dole (WfD). In some cases, participation in STEP ERS may satisfy a job seeker's MO requirements.

The activities that a job seeker has agreed to do to improve their employment opportunities are negotiated between the job seeker and Centrelink or their employment service provider and written into an Activity Agreement. If a job seeker fails to comply with an activity requirement without a valid reason, their income support payment may be stopped until they do comply. Serious or repeated failures to

comply with their activity requirements may result in a job seeker's payments being suspended for an 8 week period.

If you have any concerns about a participant's activity requirements, you are advised to speak to your DEEWR Contract Manager.

11 What else do I need to know?

11.1 Conflict of Interest

A conflict of interest occurs when there is a situation where a person has a personal interest in a matter, either direct or indirect which will result in a financial or non-financial benefit outside of the Contract. Any concerns raised about conflict of interest should be directed to the DEEWR Contract Manager.

DEEWR seeks to ensure that there is no actual conflict of interest, or a perception of a conflict of interest, when employers are negotiating a STEP contract with DEEWR staff.

You have an obligation as a Provider to avoid conflicts of interest, and to make full disclosure of any actual or perceived conflicts of interest to DEEWR.

11.2 Privacy and Disclosing Personal Information

Once your organisation signs a STEP ERS Deed of Standing Offer, all of its staff are required to comply with:

- the Information Privacy Principles set out in section 14 of the Privacy Act 1988 and specified in Schedule 4 [Information Privacy Principles]; and
- policy guidelines issued by the Commonwealth Privacy Commissioner.

The Deed, the Terms and Conditions Applicable when a Contract is created (Appendix 1 to the Deed) and Official Order provide all relevant details relating to protection of personal information and access to an organisation's business records. It is your responsibility to ensure that all participants are made aware that information about their participation in STEP ERS may be made available to DEEWR for monitoring and evaluation purposes.

11.3 Ministerial announcements, launches

In some cases the Minister for Employment and Workplace Relations or Minister for Employment Participation may want to make a public announcement or be involved in the launches of particular projects. (You may be asked to assist in these activities where it is your STEP ERS project.)

Project details are also posted on the Department's employment internet site shortly after their announcement. Recently approved STEP and STEP ERS projects can be viewed at www.workplace.gov.au/step.

Where you intend to have a function to launch a project or celebrate completion of a project, your organisation is expected to advise your DEEWR Contract Manager of the event. If you wish to make a public announcement or launch of a project, you must give DEEWR four weeks' notice.

It is not appropriate for you to invite a dignitary such as a local Member of Parliament to attend functions without prior approval from the office of the Minister for Employment and Workplace Relations or Minister for Employment Participation –you should discuss this with your DEEWR Contract Manager.

11.4 Acknowledging Government funding

You are contractually obligated to acknowledge the STEP ERS funding from DEEWR when promoting or speaking about STEP ERS projects.

11.5 Publicity consent by participants

Information about individual participants in publicity material or media coverage, for example newspaper articles, cannot be used without the written consent of individual participants. Similarly, if a participant is to be contacted or interviewed by the media about their participation in the STEP ERS Project, you must obtain written consent from the participant. A DEEWR Publicity Consent Form is available through your DEEWR Contract Manager.

Participants are free to speak to the media or other third parties.

Appendix A Forms

- A1 Request for Quotation for the Provision of Services Form
- A2 Project Details Form
- A3 Participant Referral Form
- A4 STEP ERS Participant Advice Form
- A5 Activity Report Form
- A6 Documentary Evidence Requirements

Attachment A1

Request for Quotation for the Provision of Services Form

Note: this form will be sent to Panel Members by DEEWR accompanied by a cover letter which will include the date by which the quote is to be submitted and any specific aspects of the service being sought.

Quotation for Services

This Quotation is requested by (State/Territory Manager):

Office address: _____

(Departmental representative): _____

Telephone number: _____

Facsimile number: _____

E-mail address: _____

This Quotation is provided by: (Organisation - specify business or trading name)

Office address: _____

Contact Person: _____

Telephone number: _____

Facsimile number: _____

E-mail address: _____

A. Description of the Services required

- **Service description** (describe the project)
- **Service Type/s** (eg pre-employment support, employment placement an/or mentoring services).
- **Period of contract:**
 - **from:** DD/MMM/20??
 - **to:** DD/MMM/20??
 - **recruitment period from:** DD/MMM/20??
 - **recruitment period to:** DD/MMM/20??
- **Industry or sector the services will be provided to:**
- **Number of recipients of the services:**
- **Can the Panel Member deliver the services within the proposed timeframe?**
 - **Yes** (please complete Project Quotation Form attached)

Request for Quotation for the Provision of Services Form

- **No** (please state reason, eg personnel already committed, prevailing labour market conditions)

Where necessary, attach additional documentation which accurately and comprehensively describes the Services to be performed by the Panel Member.

B. Other costs

[Allowances in accordance with clause 5 of the Deed of the Standing Offer.]

Conflict of Interest

“To the best of my knowledge, there is no conflict of interest that would prevent my organisation from proceeding with the Services specified in this Order,”

OR

“I have identified circumstances which may give rise to actual, potential or perceived conflicts of interest regarding the provision of the Services described in this Order, and have provided a separate statement describing in detail procedures for identifying and dealing with any conflicts of interest.”

Request for Quotation for the Provision of Services Form

Project Costs

Pre-employment Support Services

Outcome	Number of participants	X Unit Cost	Full Time	Part Time	Total Cost \$ (GST Incl.)
Commencement in Work Preparation					
Commencement in structured training					
Successful completion					
Other (please specify)					
Totals					

Employment Placement Services

Outcome	Number of participants	X Unit Cost	Full Time	Part Time	Total Cost \$ (GST Incl.)
Commencement in employment					
13 weeks					
26 weeks					
39 weeks					
52 weeks					
Other (please specify)					
Totals					

Mentoring Services

Outcome	Number of participants	X Unit Cost	Full Time	Part Time	Total Cost \$ (GST Incl.)
Contact hours					
Specific sessions					
Other (please specify)					
Totals					

OR

If the proposal includes an hourly rate for Mentoring

Unit Cost	Number of Hours	Total

Total Funding

Add the figures from the previous tables where relevant to this proposal.

	Total Number of Participants	Total Unit Costs	Total Costs Project
Pre-Employment Services			
Employment Placement			
Mentoring Services			
Totals			

Attachment A2**STEP ERS Project Details Form**

Provider	
Project name	
Project location/coverage	
Service Stream(s)	
Project description – <i>include details of each service stream to be provided</i>	
Number of participants – <i>include details for each service stream to be provided</i>	
Specific Participant or Job Seeker Eligibility	
Project start date	
Recruitment period – <i>include details for each service stream to be provided</i>	
Project completion date	
Provider Contact:	
Title	
Address:	
Phone:	
Facsimile:	
Mobile:	
Email:	
DEEWR Contract Manager	
DEEWR Office:	
Phone:	
Facsimile:	
Email:	

Note: This form is to be completed by the DEEWR Contract Manager and forwarded to [insert name] at [insert email] for loading onto the ECSN Employment Service Providers' Secure Site to provide the employment service providers with details of STEP ERS projects active in their area.

Attachment A3 Participant Referral Form

Referral of job seekers to Structured Training and Employment Projects Employment and Related Services (STEP ERS) provider

1. Details of Provider of Australian Government Employment Services (employment service provider)

Organisation: Site Code:
Address: Suburb & Post Code.....
Contact: Telephone:
Fax: Email Address:

2. Job Seeker Details

Name: Job Seeker ID:
Address: Suburb & Post Code.....
Telephone: Email Address:
Status: Fully Job Network Eligible Former CDEP participant*

3. STEP ERS Provider / STEP Employer's Details

Organisation:
Address: Suburb & Post Code.....
Contact: Telephone:
Fax: Email Address:

4. Job Seeker's Initial Appointment

Contact: Phone:
Date and Time: Place:

* "Former CDEP participant" refers to a job seeker who participated in the CDEP program in 2007.

The information collected on this form may be given to providers of STEP Employment and Related Services, STEP employers, the Department of Education, Employment and Workplace Relations, the Department of Human Services, Centrelink and other Australian Government agencies for the purposes of administering the STEP Program. It may also be disclosed where authorised or required by law.

Signature of Job Seeker: Date / /

Signature of employment service provider representative: Date: / /



Australian Government

Department of Education, Employment and Workplace Relations



**Structured Training and Employment Projects (STEP)
STEP ERS Participant Advice Form - Commencement**

STEP ERS Provider:		Official Order Number:	
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Participant Details:

Surname:		First Name:	
DOB:		Gender (M/F):	
Street Address		Telephone Number(s):	
Town - Postcode			

Commencement Details:

Commencement Date:		Employment Status: (FT/PT etc)	
Position Description and Location:			

Participant declaration (Participant must sign at commencement)

I certify that:

- The information supplied in Commencement Details is correct; and
- I am of Australian Aboriginal descent and/or Torres Strait Islander descent; and
- I identify as an Australian Aboriginal or Torres Strait Islander; and
- I am accepted as an Australian Aboriginal or Torres Strait Islander in the community in which I live or have lived; and
- I understand that giving false or misleading information is a serious offence.

Signature:

Name:

--

Date:

STEP ERS provider declaration:

I certify that:

- Where the Participant is commencing, I have witnessed the Participant sign the Participant Declaration above; and
- the Participant has been made aware that any Personal Information collected by the STEP ERS provider in connection with the Official Order may be provided to the Department and the Participant has consented to that disclosure; and
- the individual records of the Participant will be held and produced if required by the Department; and
- I understand that giving false or misleading information is a serious offence.

Signature:

Name:

--

Position:

Date:

--

Use of the Participant's Personal Information – Information Privacy Principle 2 Notice

The Department of Education, Employment and Workplace Relations is collecting the Personal Information on this form to be used for the purposes of monitoring the STEP ERS provider's performance of its obligations under the Structured Training and Employment Project Employment and Related Services Official Order, verifying claims for payment, program evaluation and/or statistical analysis. In some instances this may entail sending the Personal Information on this form to the Department of Human Services, Centrelink, and the Department of Families, Housing, Community Services and Indigenous Affairs.

Attachment A5

STEP ERS Activity Report

(To be completed if a participant fails to attend their STEP/STEP ERS activities/employment)

Name of STEP ERS provider:

Participant Name: Job Seeker ID:

Service Type:

1. How has the participant failed to meet the terms of his/ her STEP ERS participation?

.....
.....
.....
.....

2. Has the participant been contacted?

Yes. Please provide details of outcome.

.....
.....
.....

No. Please provide details.

.....
.....
.....

3. Other relevant information.

.....
.....
.....

4. Your Details (Contact Person):

Name: Phone: Email:

Address:

FOR ANY ADDITIONAL COMMENTS OR SUPPORTING MATERIALS PLEASE ATTACH A SEPARATE SHEET.

Structured Training & Employment Projects (STEP) Employment and Related Services (ERS) DOCUMENTARY EVIDENCE REQUIREMENTS

DEEWR is committed to streamlining administrative processes while maintaining necessary accountability for publicly funded services and payments.

This document sets out the minimum documentary evidence requirements for STEP ERS payments under the Official Order and Clause 2.3 of Appendix 1 to the STEP ERS Deed of Standing Offer (Terms and Conditions applicable when a contract is created).

- Under Schedule 1 – Statement of Requirement of the Structured Training and Employment Projects Employment and Related Services (**STEP ERS**) Request for Tender (RFT) Clause 9 (d) and (e), STEP ERS providers are required to maintain and submit to the department materials requested by DEEWR. Clause 2.3 of Appendix 1 to the STEP ERS Deed of Standing Offer (Terms and Conditions applicable when a Contract is Created) clearly states that sufficient documentary evidence is a precondition of the Contractor's entitlement to the payments under the Contract.

These requirements cover the following key aspects of the program:

- establishment funding;
- participant commencement in the program;
- achievement of participant outcomes;
- assistance provided to participants i.e.: mentoring;
- participation reporting; and
- participant cessation.

The Deed of Standing Offer, Appendix 1 to the STEP ERS Deed of Standing Offer (Terms and Conditions applicable when a Contract is Created) and Official Orders entered into under the Deed ('primary documents') remain the primary documents to which all organisations and their staff must refer and adhere to in delivering STEP ERS. In the event of any contradiction between the primary documents and these guidelines, the terms and conditions of the primary documents prevail.

The minimum evidence set out in this document will be acceptable to DEEWR as sufficient documentary evidence. This does not limit the Commonwealth's rights as outlined below:

1. DEEWR reserves the right to require a STEP ERS provider to retain different or additional documentary evidence. For example, this may be due to the provider's history of contractual compliance or overpayments. If this occurs, DEEWR will advise the provider in writing.
2. Nothing in this document limits the Commonwealth's rights regarding public expenditure or any other rights under the contract or at law. If concerns arise, DEEWR may make additional enquiries. However, should this arise, DEEWR will have due regard that providers and employers are not required to retain evidence above the minimum specified at the time.

1 PRINCIPLES UNDERPINNING EVIDENTIARY REQUIREMENTS

All payments to providers for the delivery of STEP ERS services must meet general requirements for the expenditure of public funds as well as the specific requirements of the Deed.

DEEWR has developed principles to support requirements for evidence:

- The proof and substantiation requirements are to ensure accountability for expenditure of public monies in STEP ERS while maintaining flexibility for providers;
- The effective and efficient operation of STEP ERS will not be limited by unnecessary administrative requirements;

- The privacy of individual participants and employers will be protected, in accordance with clause 16 of Appendix 1 of the Deed;
- The extent of evidence required should reflect the amount and type of the payment and the overall record of compliance of the provider; and
- Where possible, DEEWR will indicate the type of evidence that is acceptable.

2 DEEWR REQUIREMENTS FOR DOCUMENTARY EVIDENCE

Each STEP ERS provider needs to ensure it has practices and procedures to meet its obligations under the Deed and contracts entered into under the Deed. This includes the requirement to provide evidence of service delivery, milestones achieved or outcome claims when requested by DEEWR. The evidence outlined in this document should be read in light of the relevant terms and conditions under the following documents where they apply:

- Deed of Standing Offer;
- Appendix 1 to the Deed of Standing Offer: Terms and Conditions applicable when a contract is created;
- Official Order;
- STEP ERS Panel Member Guidelines; and
- STEP ERS Code of Practice.

Evidence may be electronic or paper based.

DEEWR, as part of monitoring a STEP ERS provider's delivery and quality of services, will assess the extent to which a provider has appropriate practices to ensure quality and individualised services are delivered to participants and employers.

3 PROVISION OF DOCUMENTARY EVIDENCE TO DEEWR ON REQUEST

STEP ERS providers are required to maintain sufficient documentary evidence to verify:

- The delivery of services;
- Recording of participant outcomes; and
- To support invoices submitted to DEEWR for payments as per the Official Order.

Reference: STEP ERS: Clause 2.3 (a) of Appendix 1 to the Deed of Standing Offer (Terms and Conditions applicable when a Contract is Created) and the Official Order.

Providers must ensure that they possess this documentary evidence at the time a claim for payment is made.

Providers are able to adopt administratively sensible filing practices so long as evidence can be retrieved and made available to DEEWR.

4 DEEWR RECORDS MANAGEMENT

STEP ERS providers should be aware of the relevant terms and conditions relating to DEEWR's records management requirements and the retention of participant activity records.

References:

- Clause 3.4, 14.4 and 18 of Appendix 1 to the Deed of Standing Offer (Terms and Conditions applicable when a Contract is Created); and
- STEP ERS Guidelines for Panel Members: section 11.2: Privacy and Disclosing Personal Information.

STEP ERS DOCUMENTARY EVIDENCE REQUIREMENTS

Milestone	Description	Evidence Required to be held on File	Send to DEEWR
Establishment Funding	Any amount or amounts (in cash or kind) as payable by DEEWR specified as Establishment Funding.	Acquittal of Establishment Funding as outlined in the: <ul style="list-style-type: none"> • Official Order and • Financial Records as outlined in clause 3 of Appendix 1 to STEP ERS Deed of Standing Offer (terms and conditions applicable when a contract is created) 	Yes Only if requested
Commencement in the project	Unless alternative arrangements have been made with your contract manager, providers are required to submit the relevant commencement form to DEEWR.	STEP ERS Participant Advice Form: Commencement <i>(Attachment A4 to the Structured Training and Employment Project Employment and Related Services (STEP ERS) Guidelines)</i>	Yes
Participation Reports	Where a participant does not attend the agreed compulsory activities, or behaves inappropriately, STEP ERS providers must advise the relevant the participant's employment service provider – eg Job Network member (JNM), Disability Employment Network (DEN) member, Vocational Rehabilitation Services (VRS) provider, Job Placement Education and Training (JPET) provider or Personal Support Program (PSP) provider (provider). Refer to STEP ERS Guidelines for Panel Members - Section 10.2.5 for more information	Complete the STEP ERS Activity Report, Attachment A5 to STEP ERS Guidelines and provide it to the employment services provider within 5 working days of the event.	No - Form must be provided to the participant's employment service provider

Please Note: Where email is used as written evidence, the employer, participant or institution must be clearly identifiable as the sender in the email address and signature block (the signature block should state the person's name, position and organisation where relevant).

Milestone	Description	Evidence Required to be held on File	Send to DEEWR
Approved Breaks	<p>For more information refer to your relevant:</p> <ul style="list-style-type: none"> ▪ Official Order (STEP ERS) 	<p>STEP ERS providers will need to hold at the time of claim and provide (if requested) documentary evidence to support claims for cases involving an approved break, for example:</p> <ul style="list-style-type: none"> ▪ a signed statement from the participant or employer, AND/OR ▪ a copy of the participant's medical certificate if available will be accepted as supporting evidence in the case of the break in employment due to participant's illness. <p>OR</p> <ul style="list-style-type: none"> ▪ a file note of a STEP ERS provider's conversations with the employer which includes details of: <ul style="list-style-type: none"> • who in the employer organisation confirmed the break in employment, • the date the provider spoke to them, • how the participant can be contacted (ie. their contact details) and • the form of 'approved break' taken. 	<p>Only if requested</p>
Participant Cessation	<p>When a job seeker ceases to participate in your STEP ERS project at any time prior to the expected end date (i.e. before completing all participant milestones), you must advise your DEEWR Contract Manager.</p>	<p>A dated email or letter (from the STEP ERS provider) which must include the following details for verification:</p> <ul style="list-style-type: none"> ▪ The Official Order number (Contract ID); ▪ The participant's surname and given name; ▪ the participant's Job Seeker ID (JSID) number, where available, (OR the participant's date of birth if the provider does not have the participant's JSID); ▪ The date the participant ceased in the Project; and ▪ The reason for ceasing to participate in the Project. <p>Where the activity was Employment Placement:</p> <ul style="list-style-type: none"> ▪ a dated file note of conversation with employer or participant or copy of email or letter from employer or participant informing the STEP ERS provider that the participant has ceased should also be retained on file. 	<p>Yes</p> <p>Only if requested</p>

Milestone	Description	Evidence Required	Send to DEEWR
		<p>gained),</p> <ul style="list-style-type: none"> ▪ The start date and length of the proposed training, and ▪ Evidence of participation in the training activity eg attendance register, completed modules register. 	
<p>Accredited Education and Training (Skills training)</p>	<p>Targeted training featuring accredited skills development relevant to the employer/industry needs of the group.</p>	<p>A file note (paper or electronic) confirming the relevant education/training details with the institution. The file note must include as a minimum:</p> <ul style="list-style-type: none"> ▪ the name of the institution and course, ▪ whether the course is full time or part time, ▪ length of the course and qualification to be gained, ▪ length of engagement in the course by the participant, ▪ the name of the person who confirmed the education details within the institution and their contact details, ▪ date of phone call/contact with the institution, ▪ the name of the person recording the information and ▪ copy of invoice from the institution and evidence of payment. <p>AND</p> <p>For ongoing progress, the file note must include:</p> <ul style="list-style-type: none"> ▪ a statement from the education/training institution confirming the participant's on-going participation or progress report. 	<p>Only if requested</p>

Employment Services

Milestone	Description	Evidence Required	Send to DEEWR
<p>Employment</p>	<p>Placement of participants into employment.</p> <p>See Official Order</p> <p><i>For the STEP ERS provider to be eligible for an employment placement outcome payment, the participant needs to have worked the relevant hours specified in the Official Order (the contract) for the duration of the outcome period (eg 35+ hours per week for two weeks, 13 weeks, 26 weeks)</i></p>	<p>A file note (paper or electronic) with the following information including evidence gained from the employer confirming the relevant employment details. The file note must include as a minimum:</p> <ul style="list-style-type: none"> ▪ the name of the job seeker ▪ the job seeker's Job Seeker ID number, (if known) or the job seeker's date of birth ▪ the name of the employer ▪ the period of employment, including the start date ▪ whether the job seeker has been employed as a permanent or casual ▪ the average number of paid hours worked each fortnight ▪ the name of the person within the employer organisation (not the participant) who confirmed the employment details, their position and contact details ▪ date of phone call/contact with the employer ▪ The position to which the job seeker has been engaged, eg sales assistant, machine operator, apprentice mechanic, etc ▪ the name of the person recording the information <p>AND</p> <ul style="list-style-type: none"> ▪ Evidence that the job seeker is being paid an income from this employment (eg payslips, payroll printout or employment certificate). <i>This may be provided by either the job seeker or the employer.</i> 	<p style="text-align: center;">Only if requested</p>

Milestone	Description	Evidence Required	Send to DEEWR
Traineeships/ Apprenticeships	<p>Employment under Australian Apprenticeship or Traineeship arrangements involving accredited training and the achievement of nationally recognised qualifications.</p>	<p>As a minimum, the form of evidence for participants engaging in an apprenticeship or traineeship should include one of the following:</p> <ul style="list-style-type: none"> ▪ Copy of Apprenticeship/Traineeship Training Contract (or such other form of agreement for an Apprenticeships or Traineeships as is approved by the relevant State/Territory Training Authority) that has been signed by both parties. ▪ If this is not possible, (with the agreement of the Contract Manager) a file note stating that a signed copy of the Contract has been sighted will suffice. The file note must include the date signed, and the names of the parties to the Contract. It will not be necessary for this agreement to be approved by the relevant State Training Authority as this process can take some time. The Apprenticeship Contract will detail if the New Apprenticeship is full time (both the employer and participant will have a copy of this document). The file note must include all of the following: <ul style="list-style-type: none"> • the name of the RTO or employer; • the name of the person in the RTO or employer who confirmed the information; • the date the Contract was signed; • confirmation the Apprenticeship or Traineeship is full-time; • the date of the phone call with the RTO or employer; and • the name of the person recording the information. ▪ In exceptional circumstances where the STEP ERS provider is unable to sight a copy of the signed Contract, (e.g. where remoteness is an issue) then with the agreement of the Contract Manager, a file note documenting the relevant Registered Training Organisation's (RTO) or employer's confirmation of the job seeker's full-time Apprenticeship or Traineeship will be accepted. The file note must include all of the information outlined in the dot points above. ▪ 	<p>Only if requested</p> <p>Only if requested</p>

Milestone	Description	Evidence Required	Send to DEEWR
Wage Subsidy	Where a provision for wage subsidies has been included in the contract.	Evidence should include: <ul style="list-style-type: none"> ▪ the proposed payment regime to the employer, ▪ evidence that appropriate payments at the appropriate dates have been made to the employer, such as bank records, or copies of invoices to host employers deducting the STEP ERS wage subsidy 	Only if requested

Mentoring Services

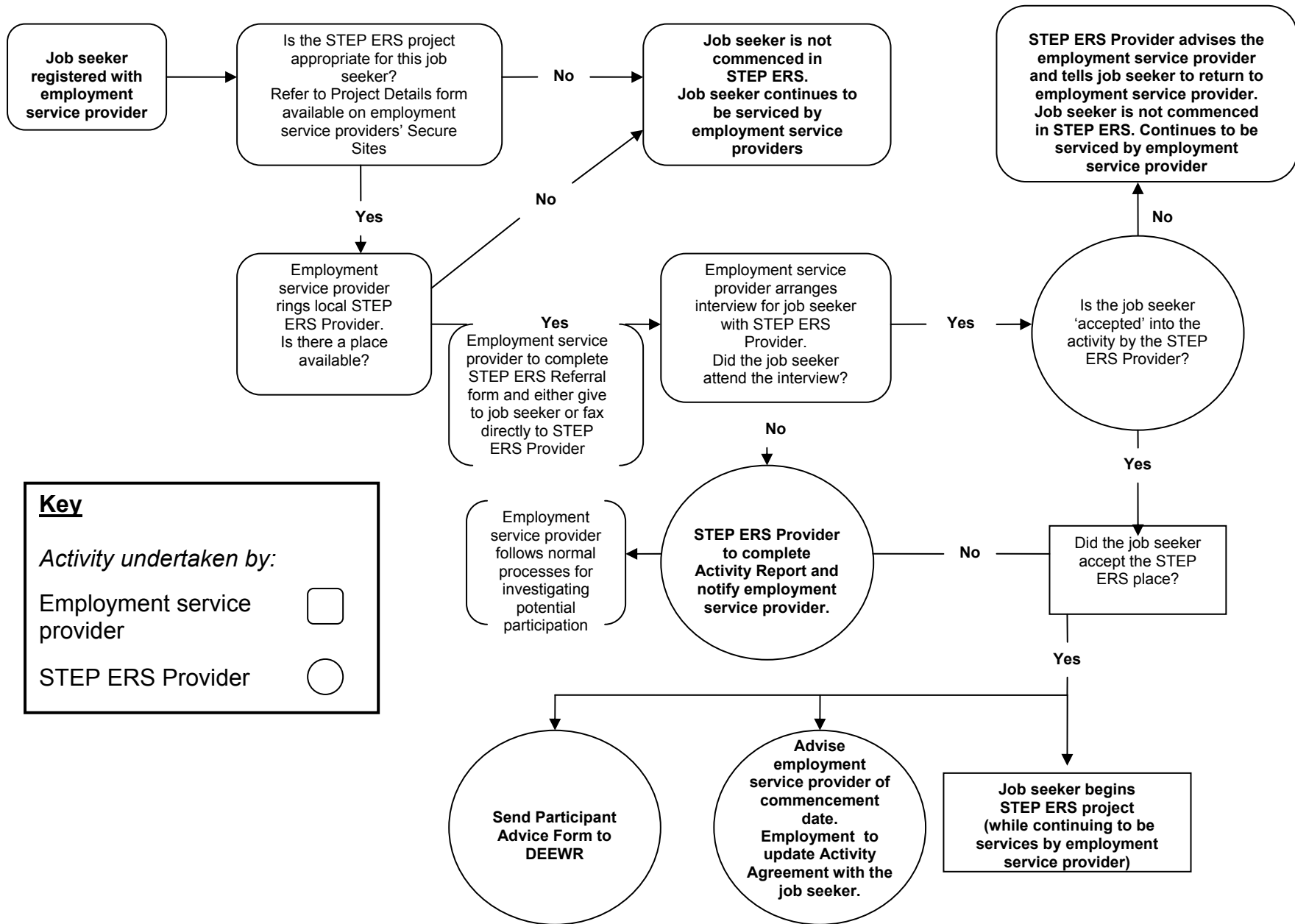
Milestone	Description	Evidence Required	Send to DEEWR
Mentoring Services	See the Official Order	<p>The provider or employer will need to ensure that the information recorded outlines the assistance provided to the participant in sufficient detail. This includes information on other forms of specialist assistance accessed by the participant which may be delivered in-house or require referral to another agency or service. This information must be sufficiently detailed to allow DEEWR to verify the nature and quality of the services being provided to participants.</p> <p>The information recorded must include, but is not limited to, the following:</p> <ul style="list-style-type: none"> ▪ Name of mentor ▪ Details of the mentor's position and qualifications ▪ Name of participant(s) receiving mentoring ▪ Details of the minimum frequency of mentoring ▪ Date and length of each mentoring session ▪ What form the mentoring sessions have taken (or will take – eg group, individual, face-to-face, phone conference or individual phone calls) <p>Evidence may also include:</p> <ul style="list-style-type: none"> ▪ file notes of any contact or attempts at contact with the participant. 	Only if requested

Appendix B Referral Processes for STEP ERS

Attachment B1 Job Seeker referred by employment service provider

Attachment B2 Job Seeker Self Referral

Job seeker referred by employment service provider [Job Network, DEN, VRS, PSP, JPET]



Key

Activity undertaken by:

Employment service provider

STEP ERS Provider

Job seeker directly approaches STEP ERS Provider

