

# Workforce Australia Guidelines

## Part B: Career Transition Assistance

### Disclaimer

This Guideline is not a stand-alone document and does not contain the entirety of Provider obligations. It must be read in conjunction with Workforce Australia - Career Transition Assistance Deed 2022-2027 (the Deed), including any relevant Guidelines and reference material issued by the Department of Employment and Workplace Relations under or in connection with the Deed.

This Guideline is not legal advice, and the Commonwealth accepts no liability for any action purportedly taken in reliance upon it and assumes no responsibility for the delivery of the Services. This Guideline does not reduce the obligation of Providers to comply with their relevant legal obligations and, to the extent that this Guideline is inconsistent with obligations under the Privacy Act, Social Security Law, the WHS Laws or any other legislation or laws relevant to the respective jurisdictions in which Providers operate, the relevant legislation or laws will prevail.

### Version History

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In this version of the Guideline, the following Chapters have been amended:

- Career Transition Assistance
- Performance

A full version history of this Guideline can be found on the Archived Guidelines page on the Provider Portal.

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# Guideline Interpretation and Glossary

## Reading Notes

In this Guideline, 'must' means that compliance is mandatory and 'should' means that compliance represents best practice for Providers and is expected by the Department.

While reading this document, please note the following Icons and their meaning:



This icon represents 'System Steps' – information contained under this dot point will relate to usage of the Department's IT Systems.



This icon represents 'Work, Health and Safety Steps' – information contained under this dot point will relate to matters of Work, Health, and Safety.



This icon represents 'Documentary Evidence' – information contained under this dot point will relate to matters of Documentary Evidence.

## Glossary

All capitalised terms in this Guideline have the same meaning as in the Deed unless otherwise defined below.

**'Eligible CTA Participant'** means an individual who is eligible to undertake a Course in accordance with the Deed and Guidelines but has not yet been Referred to a Course.

**'End Date'** means the end date of a Course recorded in the Department's IT Systems.

**'Key Contacts Protocol'** means the protocol that identifies the key Departmental and Provider contacts and sets out the contact channels for a range of matters.

**'Mutual Obligation Requirement'** means any activity test, participation requirement or other requirement that a participant must meet in order to receive an income support payment, including a requirement that, if not complied with, would be:

- (a) a Mutual Obligation Failure;
- (b) a Work Refusal Failure;
- (c) an Unemployment Failure; or
- (d) a failure to meet a Reconnection Requirement,

under the Social Security Law.

**'Points Based Activation System' or 'PBAS'** means the system which allows participants to meet their Mutual Obligation Requirements by undertaking sufficient tasks and activities to meet a monthly Points Target.

**'QR Code'** means 'Quick Response' code. A machine-readable code consisting of an array of black and white squares, typically used for storing URLs or other information for reading by the camera on a smartphone.

**'Self-assessment Report'** means a report that providers complete for the Department regarding their performance against the KPIs at the end of each Performance Period.

**‘Service Offer Commitment’** means a commitment the Provider made in its response to the request for proposal for this Deed as recorded by the Department in the Department’s IT Systems.

**‘Social Security Law’** means the *Social Security Act 1991* (Cth) and the *Social Security (Administration) Act 1999* (Cth), and includes all relevant subordinate legislation and instruments, and the Guide to Social Security Law.

**‘Start Date’** means the start date of a Course recorded in the Department’s IT Systems.

**‘Supervisor App’** means the mobile application that allows Supervisors listed in the Department’s IT Systems to record the daily attendance of Participants at a Course.

**‘Workforce Australia Online for Individuals Base Service’** or **‘Online Base Service’** refers to the Department’s *Self-managing in Workforce Australia Online for Individuals* service that is available to any Australian wishing to participate in employment services who is not otherwise considered a fully eligible participant. Access is via myGov, with no referral from Services Australia required. The Online Base Service will enable users to look for jobs, develop their résumé and access complementary programs, based on the eligibility of each program.

**‘Workforce Australia Online for Individuals Full Service’** or **‘Online Full Service’** refers to the Department’s *Self-managing in Workforce Australia Online for Individuals* service available to fully eligible participants who are assessed as able to self-manage their search for work. The Online Full Service allows participants to self-manage their participation in employment services with a range of supports available such as access to the Digital Employment Fund, pre-employment pathways for eligible participant and support provided by the Digital Service Contact Centre (DSCC).

# Chapter 1: Career Transition Assistance

## Supporting Documents for this Chapter:

- [Course Management Instructions](#)
- [CTA Participant Survey - Provider Fact Sheet](#)
- [Hybrid Delivery Request Form](#)
- [Workforce Australia Online - CTA Booking Flow](#)
- [Workforce Australia Supervisor App Guide](#)

## 1.1 Chapter Overview

This Chapter outlines who is eligible to undertake Career Transition Assistance (CTA), the Service requirements, how Providers must manage Courses, and an overview of Provider Payments.

CTA is a complementary employment services program administered by the Department that provides practical assistance to individuals aged 45 years and over to increase their employability and competitiveness in the local labour market.

## 1.2 Eligibility

An Eligible CTA Participant must be aged 45 years and over, have not already completed a Course under Workforce Australia, have a myGov account or be participating in one of the following employment services:

- Workforce Australia Services
- Online Full Service or Online Base Service
- Disability Employment Services (DES) in the Employment Assistance phase
- Yarrabah Employment Services, or
- Broome Employment Services.

Eligible CTA Participants do not have to be in receipt of income support to be eligible for CTA.

### 1.2.1 Participation Requirements

CTA is voluntary for all Participants. Participants with Mutual Obligation Requirements in Workforce Australia Services, Online Full Service, Yarrabah Employment Services, and Broome Employment Services gain points under the Points Based Activation System (PBAS) through participation in CTA.

## 1.3 Service Requirements

### 1.3.1 Promoting CTA

Providers must market and promote Courses by establishing and maintaining collaborative relationships with Referring Providers in the Employment Region/s in which the Services are being delivered. Providers may consider developing promotional materials for Referring Providers to distribute to Eligible CTA Participants on their caseload.

Because Providers cannot make direct contact with Eligible CTA Participants in Online Full Service or Online Base Service, Providers must market Courses through accurate, informative, and engaging Course names and descriptions in the Department's IT Systems.

(Deed Reference(s): Clause 61.2)

### 1.3.2 General Course Requirements

Courses must include one-on-one sessions with each participant as well as a minimum of 50 hours in a small group setting. Courses must be delivered in an interactive and collaborative manner to encourage Participants to share their expertise and encourage peer support.

While delivering Courses, Providers must ensure Participants have access to the required devices and internet connectivity.

Course content must be tailored to meet the needs of each Participant.

### 1.3.3 Core Course Components

Each Course must include the following core components:

- **Develop a Career Pathway Assessment** – See [Career Pathway Assessment](#).
- **Identify Goals and Motivations** – Support Participants to explore their goals, motivations, and expectations for a change in career or lifestyle. Introduce wellbeing and resilience strategies, such as building confidence to apply for jobs and coping with knock-backs.
- **Explore and Translate Transferable Skills** – Support Participants to identify and articulate their skills and experience and how these relate to the current labour market. Discuss pathways for re-skilling, further training, and formal recognition of prior learning or qualifications.
- **Understand the Local Labour Market and Identify Suitable Opportunities** – Explore local job and industry opportunities and the requirements for these roles. Describe how the local labour market has changed over time and is projected to change in the future. Help Participants identify suitable occupations in local growth industries where employment opportunities are likely to be available.
- **Experience Different Industries** – See [Employer Visits](#).
- **Improve and Tailor Résumés** – See [Résumé Update](#).
- **Navigate the Job Application Process** – Discuss different job application processes and how to manage expectations in relation to receiving responses and feedback. Describe how the application process has changed over time, and the relative competitiveness of applying for positions, particularly online.
- **Practise and Enhance Interview Skills** – Support Participants to practise mock job interviews for a range of different Employers and industries, including building confidence to sell their skills and experience during an interview. Discuss the differences between in-person, phone, and video conference interviews.
- **Develop Functional Digital Literacy** – Providers must provide one-on-one support, as required, to ensure Participants achieve the following competencies (noting that each Participant will have varying levels of digital literacy):
  - use different devices (such as smart phones, tablets, and desktop computers), both in the workplace and to apply for jobs
  - search for jobs, including via social media
  - set up (if required) and use an email account to apply for jobs
  - set up (if required) and use a myGov account, and the Workforce Australia Online for Individuals website and apps

- apply for jobs online, including uploading attachments, such as a résumé and a response to selection criteria, and complete online forms
- understand how to manage one's online presence.
- **Prepare a Career Pathway Plan** – See [Career Pathway Plan](#).
- **Access Ongoing Support** – See [Personal Handover Meeting](#). In addition, the Provider must supply information on locally available resources to support health and wellbeing.

Providers may rename or combine Course core components provided each component is delivered.

### 1.3.4 Initial Meeting

Providers must make efforts to contact the Referred individual to arrange an Initial Meeting, no later than close of business the Business Day after a Referral is received.

If, during the Initial Meeting, the Provider believes the Course is not suitable for the Referred individual, the Provider must not Commence them. For more information, see [Rejecting a Referral](#).

If a Referred individual indicates they need assistance with costs associated with the Course, Providers should encourage them to seek support from the Digital Service Contact Centre (DSCC) or Referring Provider, as relevant (see [Assistance with Costs](#)).

At the Initial Meeting, the Provider must complete an assessment for each Referred individual for whom the Course is deemed suitable, as detailed in the [Career Pathway Assessment](#) section.

For Participants in Online Base Service, the Provider must complete the [Career Transition Assistance Eligibility](#) Form during the Initial Meeting.

(Deed Reference(s): Clauses 85.1, 85.3, 85.4)

### 1.3.5 Career Pathway Assessment

The Career Pathway Assessment is an assessment of the Participant's current circumstances that will inform how the Course is then tailored to address the Participant's goals and needs.

The Career Pathway Assessment must document the Participant's:

- Job Seeker ID and name
- Course ID
- Employment status
- recent Employment/training experience
- Employment, education, or training goals
- main barriers to securing Employment
- training needs
- confidence and capability in using digital technology and key areas in which the Participant requires assistance
- signature, confirming that the information captured is accurate.

The Career Pathway Assessment must be completed before Commencing a Participant – See [Commencing a Participant](#).

(Deed Reference(s): Clauses 85.3, 86.1(c))

### 1.3.6 Employer Visits

Providers must ensure that each Participant can participate in at least one Inbound or Outbound Employer Visit.

In arranging Employer Visits, Providers should:

- consider the major industries and Employers in the local area
- engage with a range of Employers
- tailor the visits to the interests and skills of Participants.

(Deed reference(s): Clause 94.1)

### Managing Inbound Employer Visits

If an Inbound Employer Visit is being arranged, Providers must ensure the visit is as experiential as possible. Providers should consider innovative approaches to allow Participants to get a 'feel' for the Employer's industry.

(Deed Reference(s): Clauses 94.1(b)(c))

### Managing Outbound Employer Visits

Providers are required to meet additional obligations when arranging and conducting Outbound Employer Visits, see [Risk Assessments for Outbound Employer Visits](#) for more information.

This includes arranging, at the Provider's own expense, appropriate and safe transport for Participants when going on an Outbound Employer Visit.

(Deed Reference(s): Clauses 94.3, 105.1, 105.2, 105.3, 105.5)

### Employer Visit Prohibitions

Providers must consider the nature of the work conducted by an Employer when assessing its suitability for an Employer Visit.

Providers must not arrange an Employer Visit hosted by an Employer that:

- has engaged in illegal operations or promotes or condones any form of unlawful conduct
- promotes or condones any form of discrimination, including on the grounds of race, ethnic group, language, sex, religion or disability
- promotes or condones any form of violence, self-harm or suicide
- has been or is associated with the sex industry
- promotes or condones gambling that the Department deems inappropriate
- provides any other service or conducts themselves in a manner that is likely to bring the Participant, the Provider or the Department into disrepute
- uses the Employer Visit as a stop-gap measure while the Employer is undertaking recruitment exercises or as a way of meeting ad hoc needs in lieu of creating paid Employment opportunities
- provides the Participant with extra hours of paid or unpaid work outside the agreed hours
- pays the Participant during the Employer Visit.



If a Provider suspects or becomes aware that an Employer has engaged in any conduct described in the list above, the Provider must:

- ensure that no Participant starts or continues to participate in the Employer Visit that the Employer hosts
- Notify the Department immediately and provide information as requested by the Department
- if requested by the Department, cease, or vary the Employer Visit.

Where the Department determines that an Employer has engaged in any conduct described above, the Department may give a direction to the Provider that the Provider must not arrange, and/or must not Refer any Participants to, Employer Visits hosted by that Employer. If the Department gives such a direction, the Provider must immediately comply with the direction.

(Deed Reference(s): Clauses 94.2, 108)

### 1.3.7 Résumé Update

Providers must work with Participants to develop an updated résumé during the Course.

Providers must ensure that Participants have the skills to edit and tailor their résumé to specific jobs and industries.

The résumé must:

- include the Participant's identified skills and experience
- be professionally presented
- not contain spelling or grammatical errors.

The résumé must be uploaded to the Department's IT Systems before Exiting a Participant – See [Conducting an Exit](#).

(Deed Reference(s): Clause 88.1(b))

### 1.3.8 Career Pathway Plan

Providers must work with Participants to develop a Career Pathway Plan during the Course.

The Career Pathway Plan is a plan of action for the Participant to pursue Employment and/or training opportunities based on their goals, transferable skills, and the local labour market.

The Career Pathway Plan must document, at a minimum:

- the Participant's Employment goals
- the locally available occupations and industries the Participant is interested in working in
- the Participant's transferable skills, strengths, and experience relevant to the identified occupations and industries
- work experience and/or training options relevant to the identified occupations and industries
- a self-marketing plan with practical steps the Participant can take to market themselves to potential Employers
- a commitment to provide two future support Contacts within 3 months of Course completion

- a commitment from the Provider that the Career Pathway Plan has been developed specifically for, and in consultation with, the Participant.

If the Provider is unable to complete a comprehensive Career Pathway Plan due to insufficient attendance by the Participant, the Provider must complete the Career Pathway Plan to the best of its ability.

The Career Pathway Plan must be signed and dated by the Participant. Where the Participant is unable to sign and date the Career Pathway Plan, the Provider must note the reason for this in the plan.

The Career Pathway Plan must be completed before Exiting a Participant – See [Conducting an Exit](#).

(Deed Reference(s): Clauses 79.1, 88.1(b)(d))

### 1.3.9 Personal Handover Meeting

For all Participants that have attended 80% or more of the minimum Course hours (i.e., at least 60 hours) Providers must hold the Personal Handover Meeting within 5 Business Days after the final scheduled day of the relevant Course.

If the Participant has a Referring Provider, they must be included in the Personal Handover Meeting. If the Participant is in Online Full Service or Online Base Service, the meeting will only include the Provider and the Participant.

Where possible, Personal Handover Meetings should be conducted in person.

During the Personal Handover Meeting, the Provider must:

- discuss the Participant's next steps for pursuing the Employment or work experience opportunities identified in their Career Pathway Plan
- discuss the date, time, and location of the first of the two future support Contacts
- supply the Participant and where relevant, the Referring Provider, with an electronic copy of the Participant's Career Pathway Plan and updated résumé
- give the Participant an opportunity to complete a feedback form.

(Deed Reference(s): Clause 92)

### 1.3.10 Assistance with Costs

Participants must not be charged for any part of a Course.

Participants will generally be expected to source their own transport to and from a Course, but Providers may choose to arrange transport for Participants to and from Courses (including Outbound Employer Visits).

If a Course has requirements that have costs associated with them, for example travel costs, police checks, or personal protective equipment, Providers should encourage the Participant to seek support from the DSCC or Referring Provider.

Referring Providers may be able to fund support for Course participation via the [Employment Fund](#), and the DSCC may be able to fund support via the Digital Employment Fund. The support must be discussed and agreed to. Providers should, where relevant, make it clear to the Participant the Referring Provider or DSCC has discretion over whether to cover the costs.

Providers may also cover the costs, noting they are not eligible to claim a reimbursement from the Department.

### 1.3.11 CTA Participant Survey Requirements

The Department's IT Systems sends all Participants a short, voluntary online survey on the second last day of their Course.

Participants receive instructions on how to access the survey via their Workforce Australia Online for Individuals inbox, and to their email account (where one has been provided). Providers are encouraged to allow time during the Course for Participants to complete the survey, noting completion is voluntary.

The [CTA Participant Survey - Provider Fact Sheet](#) provides further information about the survey, including the purpose, the questions asked, and how and when it is distributed to Participants.

## 1.4 Course Management

### 1.4.1 Course Schedule

Courses must be scheduled:

- for at least 75 hours, excluding breaks, but must not exceed 25 hours per week
- for between 3 and 8 weeks
- over consecutive weeks (exceptions may apply for Courses scheduled over the Department's shutdown period).

Courses must not be scheduled:

- on a public holiday
- for more than 8 hours per day.

Providers must deliver Courses using a standard block style of training with a defined Start Date and End Date, with all Referred individuals expected to start and finish the Course at the same time. Individuals Referred to Courses with different Start Dates cannot be 'rolled' together for Course delivery.

(Deed Reference(s): Clauses 87, 89)

### 1.4.2 Delivery Mode

In person delivery is a key CTA servicing principle and Courses must be delivered in person, in a classroom setting unless otherwise directed or approved by the Department.

Providers can seek Departmental approval to deliver hybrid Courses in limited circumstances, for example, where Eligible CTA Participants:

- have transportation barriers that make it difficult to travel to the location of the Course
- have health conditions that make it difficult to participate in person.

Providers must complete the [Hybrid Delivery Request Form](#) and submit it to the Department in accordance with the Key Contacts Protocol. Hybrid Courses cannot be scheduled until Departmental approval has been obtained in writing.

Delivery mode	Description
In person	Delivered in person to all Participants.
Hybrid – type 1	<p>Courses offer the choice of two possible delivery modes:</p> <ul style="list-style-type: none"> <li>• Participants can attend in person, or</li> <li>• Participants can attend online.</li> </ul> <p>For example, a Course has 20 Participants – 15 attend in person while the remaining 5 Participants attend online.</p>
Hybrid – type 2	<p>Courses comprise both in person and online components for each Participant.</p> <p>For example, some of the Course modules are only delivered online, while the remaining modules are only delivered in person.</p>

When Participants undertake any component of a Course online, Providers must ensure that:

- each Participant receives content that is relevant to the local labour market in their Employment Region
- information on ergonomic setup is issued to Participants before starting online delivery
- information on wellbeing and links to supports (if needed) is given to Participants, using resources available from Safe Work Australia.



When creating a hybrid Course in the Department's IT Systems, Providers must ensure the Course description clearly communicates the Course delivery mode and any essential devices Participants require to undertake training, in accordance with the [Course Management Instructions](#).



Providers must retain the Department's written approval for hybrid delivery, unless otherwise directed by the Department.



For Participants who undertake any component of a Course online, Providers must retain the Participant's confirmation that they have received, read, and understood the information on ergonomic setup and wellbeing issued by the Provider.

(Deed Reference(s): Clauses 87.5, 95.2(b))

### 1.4.3 Course Creation

Providers must create each Course in the Department's IT Systems to facilitate Referrals of Eligible CTA Participants and Payments.

Providers should create Courses no later than 2 weeks before the Course State Date to allow sufficient time to receive Referrals unless there are exceptional circumstances.

Providers must ensure the location of the Course is within a contracted Employment Region.



Providers must create Courses in the Department's IT Systems in accordance with the [Course Management Instructions](#).



Course names and descriptions are the primary way for Providers to market their Services to Online Full Service and Online Base Service Participants, so Course names and descriptions must

be accurate, informative, and engaging. Providers should refer to the [Workforce Australia Online - CTA Booking Flow](#) to better target Course names and descriptions.

(Deed Reference(s): Clauses 61.2, 87.2)

### 1.4.4 Course Changes

The Department's IT Systems allow Providers to make minor changes to Course details after a Course has been created. The [Course Management Instructions](#) detail the changes that can be made to a Course and the changes that require a Course to be withdrawn and a new Course created.

Providers must notify Referred individuals and Referring Providers of any Course changes in accordance with the [Course Management Instructions](#).

The Department recommends changes be made no later than one week before the Course Start Date to allow sufficient time for prospective Participants to be notified and take any necessary action.



Providers must update the Department's IT Systems to reflect any changes to Course details in accordance with the [Course Management Instructions](#).

**Note:** Course session dates, including the Course Start Date, **cannot** be changed if the Course has Referrals of any type, including Referrals with a placement status of 'Expected to Start', 'Created in Error', or 'Did Not Start'. If a Course cannot proceed on the scheduled days, the Provider must cancel the Course prior to the Course Start Date as outlined under [Course Cancellation](#) in this Guideline.

### 1.4.5 Course Cancellations

Providers may cancel a Course at any time if the Course has no Referrals.

Providers must not cancel a Course that has Referrals and has commenced unless approval has been obtained from the Department.

A Course yet to commence that has Referrals can be cancelled. However, Providers must consider the impacts of cancelling the Course on Referred individuals. The Department recommends cancellations be made no later than one week before the Course Start Date to allow sufficient time for Referred individuals to be notified and take any necessary action.

When cancelling a Course, the Provider must:

- end all Referrals by entering a result of 'Created in Error'
- record that the Referral was ended due to Course cancellation in each Referred individual's 'Edit activity placement details' screen of the Department's IT Systems
- suspend or close the Course in the Department's IT Systems
- notify Referred individuals and where relevant, the Referring Providers, of the cancellation

in accordance with the [Course Management Instructions](#).

### 1.4.6 Referrals

All Referrals, except for Eligible CTA Participants in Online Base Service, must be made through the Department's IT Systems. Eligible CTA Participants in Online Full Service generally self-refer to a

Course through the Department's website, but the DSCC can also Refer them to a Course if required. Other Eligible CTA Participants will be Referred by their Referring Provider.

Eligible CTA Participants in Online Base Service will not have an IT system record / referral, Providers must complete the Career Transition Assistance Eligibility Form.



For Online Base Service Participants, the Provider must retain a copy of the [Career Transition Assistance Eligibility Form](#) and upload the document when claiming the CTA Commencement Payment and / or CTA Final Payment.

(Deed Reference(s): Clause 84.1)

## Monitoring Referrals

Providers must monitor Referrals to ensure that an Initial Meeting is arranged with the Referred individual on the same or the next Business Day a Referral is received.

Providers must also monitor Referrals to determine if there are sufficient Referrals to deliver the Course, or whether to cancel the Course as outlined under [Course Cancellations](#). Providers will generally have discretion over the feasibility of delivering the Course, but the Department may direct a Provider to make a Course available.

## Rejecting Referrals

If, during the [Initial Meeting](#), the Provider believes there is a reason to not Commence a Referred individual, the Provider must reject the Referral.

Where a Provider rejects a Referral, the Provider:

- must advise the Referred individual of the decision, including why the Course is not considered suitable
- must not complete a Career Pathway Assessment for the Referred individual
- will not be paid the CTA Commencement Payment for the Referred individual.



To reject a Referral for a Participant who is Referred by a Referring Provider, the Provider must:

- update the Referral status to 'Created in Error' in the Department's IT Systems
- on the same Business Day, advise the Referring Provider they have not accepted the Referred individual into CTA and the reasons for the decision.



To reject a Referral for an Online Full Service Participant, the Provider must:

- update the Referral status to 'Created in Error' in the Department's IT Systems
- encourage the Referred Individual to contact the DSCC to discuss alternative servicing options
- record the reason the Course is deemed unsuitable for the Referred individual in the 'Edit activity placement details' screen of the Department's IT Systems to help the DSCC assess the Participant's options.



To reject a Referral for an Online Base Service Participant, the Provider must:

- encourage the Referred Individual to contact the DSCC to discuss alternative servicing options.

## Out of Employment Region Referrals

Providers can accept Referrals of individuals in Online Base Service and Online Full Service residing in an Employment Region outside the Provider's contracted Employment Region, where the Course is deemed suitable for the individual in the [Initial Meeting](#).

Providers cannot accept Referring Provider Referrals from an Employment Region in which the Provider is not contracted to deliver Services, unless otherwise directed by the Department.

Providers must not solicit Referrals of Eligible CTA Participants in Workforce Australia Services, Yarrabah Employment Services, Broome Employment Services, or DES where the individual resides in an Employment Region outside the Provider's contracted Employment Regions, unless otherwise directed by the Department.

(Deed Reference(s): Clause 5.2)

## Funding Source

The participation of all Participants in Workforce Australia Services, Online Full Service, Online Base Service, Yarrabah Employment Services, and Broome Employment Services in CTA is fully funded by the Department. Participants must not be charged for any part of a Course.

The participation of DES Participants in CTA is fully funded by the DES Provider.

## Referral Cap

Because the participation of Workforce Australia Services Participants and Broome Employment Services Participants in CTA is fully funded by the Department, Workforce Australia Employment Services Providers and Broome Providers that are also a Provider (as their Own Organisation, Related Entity or Subcontractor) in the same Employment Region are subject to a referral cap. The referral cap does not apply to DES Providers.

The referral cap requires that no more than 50 per cent of Referrals by a Workforce Australia Employment Services Provider or Broome Provider that resulted in the Commencement of a Participant, are to one or more Providers that are its Own Organisation, a Related Entity, or a Subcontractor.

The referral cap applies at Employment Region level.

The referral cap will not apply if all Providers in an Employment Region are Own Organisations, Related Entities or Subcontractors of the Workforce Australia Employment Services Provider or Broome Provider.

### 1.4.7 Participant Attendance

#### Commencing a Participant

Providers must Commence Participants in the Department's IT Systems on the first day they attend the Course (with exception of Online Base Service Participants).



To Commence a Participant, the Provider must do the following in the Department's IT Systems:

- upload a signed and dated copy of the [Career Pathway Assessment](#) against the Participant's activity placement.
- update the Referral to 'Placement Confirmed'.



For Online Base Service Participants, the Provider must retain a Record of the Participant's attendance and a copy of the signed and dated Career Pathway Assessment and provide these to Department when claiming the CTA Commencement Payment.

**Note:** Online Base Service Participants cannot be Commenced in the Department's IT Systems because Referrals are managed outside the Department's IT Systems.

(Deed Reference(s): Clause 86)

## Delayed Commencement

As part of the [Initial Meeting](#), Providers should consider the impact of a delayed Start Date on Referred individuals who do not attend the first 3 days of a Course, and whether they will be able to achieve the Course core components. However, Referred individuals can Commence in a Course up to 7 Business Days from the Course Start Date (including the Course Start Date).

If a Provider deems a Course unsuitable for a Referred individual due to a delayed start, the Provider must not Commence them and must action the Referral in accordance with [Rejecting Referrals](#).



If a Referred individual does not attend a Course on the Course Start Date (or the following 6 Business Days), the Provider must record a result of 'Did Not Attend' for each day they did not attend. Providers must not end Referrals within 7 Business Days of the Course Start Date.



If a Referred individual has not Commenced the Course within 7 Business Days of the Course Start Date (including the Course Start Date), the Provider must end the Referral by updating the status to 'Did Not Start' and notify the Referred individual and where relevant, the Referring Provider.

## Recording Attendance

Providers must record the daily attendance or non-attendance of Participants on the same day as the expected attendance.

Providers must record the daily attendance or non-attendance of Participants (excluding Online Base Service Participants) using the Department's Supervisor App in accordance with the [Workforce Australia Supervisor App Guide](#).



If the Provider is unable to use the Department's Supervisor App due to technical issues, and for all Online Base Service Participants (whose Referral is managed outside the Department's IT Systems), the Provider must document each Participant's attendance or non-attendance by an alternative method and retain those Records. Records must include the:

- Course ID and name
- Participant's Job Seeker ID and name, *noting that an Online Base Service Participant does not have a JSID*
- date of the expected attendance
- Participant's attendance or non-attendance
- user ID and name of the person creating the Record.



## Providing QR Codes

Providers may provide the daily QR code(s) generated by the Department's IT Systems to the Participants in attendance to self-report attendance (excluding Online Base Service Participants). There is one QR code if the Course session is scheduled for 4 hours or less that day, and there are two QR codes if the Course session is scheduled for more than 4 hours that day. Participants are required to scan a QR code via the Workforce Australia App or record a passcode through Workforce Australia Online for Individuals to record their attendance at a Course.

If the Provider does not receive the daily QR code(s) due to technical issues, the Provider can access the code(s) via the Department's IT Systems.



To manually access the daily QR code(s), Providers should refer to the [Course Management Instructions](#).

## Managing Non-attendance

If a Participant fails to attend the Course on a day the Participant was scheduled to attend and does not contact the Provider, the Provider must attempt to contact the Participant to re-engage them in the program.

Providers are encouraged to remind Participants to contact the DSCC or Referring Provider, as relevant, to give prior notice if they are unable to attend any scheduled Course days. If the DSCC or Referring Provider is satisfied the Participant has an acceptable reason for not attending a scheduled Course day, the DSCC or Referring Provider can update the requirement to 'No Longer Required'.

Providers are also encouraged to remind Participants to contact the DSCC or Referring Provider, as relevant, on the day of any unplanned non-attendance at a Course. If the DSCC or Referring Provider is satisfied the Participant had a valid reason for not attending a scheduled Course day, the DSCC or Referring Provider has 5 days to update the attendance result from 'Did Not Attend' to 'Did Not Attend (Valid Reason)'.

(Deed Reference(s): Clause 90.4)

### 1.4.8 Exiting Participants

#### Exits before the Course End Date

There are a range of reasons a Participant may Exit from a Course before the Course End Date, including if:

- they wish to withdraw from the Course
- they start Employment
- they have attended 75 hours and completed the core components of CTA
- they are displaying violent, threatening, aggressive or other inappropriate behaviour
- the Provider considers they are not benefiting in CTA because they are facing non-vocational barriers
- their Referring Provider withdraws them from the Course.

If an Exit is requested, the Provider should discuss the reason for the Exit to determine whether any issues can be addressed so the Participant can continue their participation in the Course.

For Participants who are Referred by a Referring Provider, the Provider must not exit them before discussing the requested Exit with the Referring Provider.

## Exits when the Course End Date is reached

When the Course End Date is reached, the Provider must Exit all remaining Participants (those who did not Exit the Course before the End Date), within 5 business days.

## Conducting an Exit

Providers must Exit Participants in the Department's IT Systems in accordance with the Guideline and the [Course Management Instructions](#).



Before conducting an Exit, Providers must upload the completed résumé and Career Pathway Plan against the Participant's activity placement in the Department's IT Systems (except for Online Base Service Participants). In cases where the Participant Exits a Course before the Career Pathway Plan is completed, Providers must upload the incomplete document that shows the progression of the plan until time of Exit.



For Online Base Service Participants, the Provider must retain:

- a copy of the Career Transition Assistance Eligibility Form
- a copy of the Participant's updated résumé and signed and dated Career Pathway Plan
- a Record of the Participant's attendance
- where the Participant Exited the Course due to finding Employment, details of the Employment

and provide to the Department when claiming the CTA Final Payment.

(Deed Reference(s): 88.1(a)(d), 91.1)

## 1.5 Payments

### 1.5.1 Commencement Payment

To be eligible for the CTA Commencement Payment, Providers must have conducted an Initial Meeting with the Participant.

The Department automatically pays Providers the applicable CTA Commencement Payment for Participants in Workforce Australia Services, Online Full Service, Yarrabah Employment Services, and Broome Employment Services when the Provider has done the following in the Department's IT Systems:

- uploaded a completed Career Pathway Assessment
- updated the Referral to Placement Confirmed.



For CTA Commencement Payments for Online Base Service Participants, and any other instances where the CTA Commencement Payment is not automatically processed, Providers must create a Payment in the Department's IT Systems in accordance with the [Manual Payment Task Cards](#).

(Deed Reference(s): Clauses 97.1(a), 97.2(a), 98)

## 1.5.2 Final Payment

To be eligible for the CTA Final Payment, Providers must have:

- delivered the Course to the Participant in accordance with the Deed and Guideline, including the requirements for scheduling a Personal Handover Meeting and two future support Contacts
- met the requirements for recording daily attendance and non-attendance for the Participant.

The Department automatically pays Providers the applicable CTA Final Payment for Participants in Workforce Australia Services, Online Full Service, Yarrabah Employment Services, and Broome Employment Services when:

- the Provider uploads a completed Career Pathway Plan and updated résumé to the Department's IT Systems
- the Provider ends the Referral in the Department's IT Systems
- the Participant meets the eligibility requirement for a CTA Final Payment, either:
  - attended at least 80% of the total Course hours, noting that the hours where a Participant had a valid reason for non-attendance are counted towards attendance
  - unless otherwise Notified by the Department, the Participant has met the alternative measure for Course completion by Exiting the Course due to finding Employment.



For Participants Exiting the Course due to finding Employment, the Provider must document the information advised by the Participant about their Employment in the Department's IT Systems in accordance with the [Course Management Instructions](#).



For CTA Final Payments for Online Base Service Participants, and any other instances where the CTA Final Payment is not automatically processed, Providers must create a Payment in the Department's IT Systems in accordance with the [Manual Payment Task Cards](#).

**Note:** The Department monitors the claiming of CTA Final Payments for Participants who Exit a Course due to finding Employment against income declaration data. If the Department determines that a CTA Provider has claimed CTA Final Payments in circumstances where the relevant Participant has Exited a Course, but it was not due to finding Employment, the Department may at its discretion notify the CTA Provider that Exiting a Course due to finding Employment will no longer be available to the CTA Provider as an alternative measure for Course completion. Where this occurs, the CTA Provider will be prevented from claiming any further CTA Final Payments in relation to Participants Exiting a Course due to finding Employment.

(Deed Reference(s): Clauses 97.1(b), 97.2(b), 98)

## 1.5.3 Ineligible Payments

If Providers are paid a Payment for which they have not met the Deed and Guideline requirements, the Provider must Notify the Department, in accordance with the Key Contacts Protocol, to initiate a recovery.

(Deed Reference(s): Clauses 18.2, 18.5)

## Chapter 2: Reserved

# Chapter 3: WHS, Supervision and Incidents

## Supporting Documents for this Chapter:

- [Competent Person Register Template](#)
- [Public and Products Liability Incident Report](#)
- [WHS Employment Assistance Program Incident Report](#)
- [WHS Incidents and Insurance Readers Guide – Providers](#)
- [Workforce Australia Guidelines – Part A: Universal Guidelines](#)

## 3.1 Chapter Overview

This Chapter outlines the Work, Health and Safety, Supervision and Incident requirements while delivering the Services.

## 3.2 Conducting Risk Assessments

The purpose of the Risk Assessment process is to:

- determine whether an Outbound Employer Visit is suitable to proceed (an Activity Risk Assessment)
- identify if the Outbound Employer Visit is suitable for the relevant Participant(s) who will be attending, including identifying any risks that may arise from a Participant's personal circumstances (a Participant Risk Assessment).

The Provider must ensure a Competent Person conducts and documents the Risk Assessment **before** an Outbound Employer Visit commences.

If Providers do not have a Competent Person, they must engage a Competent Person to undertake Risk Assessments.

Providers have discretion over how Risk Assessments are documented, including whether the Activity Risk Assessment and Participant Risk Assessment components are combined in one document.

Risk Assessments must include:

- details of the activity and/or tasks to be undertaken by Participants
- the risks of the activity and/or tasks and the appropriate actions to mitigate the identified risks
- the risks for each Participant and the appropriate actions to mitigate the identified risks
- the name and signature of the Competent Person who undertook the Risk Assessment
- the date the Risk Assessment was undertaken.

Providers must seek all relevant information from a Participant for a Competent Person to undertake a Risk Assessment. If a Participant was Referred by a Referring Provider, Providers must also seek all relevant information from the Participant's Referring Provider for a Competent Person to undertake a Risk Assessment.


Providers must work with Employers to ensure appropriate actions are applied to mitigate the identified risks, including ensuring Participants are provided with any necessary tools and resources


required to undertake the activity and/or tasks safely, for example, Supervision, training and/or personal protective equipment.


If Providers identify significant risks with the Outbound Employer Visit that cannot be mitigated to ensure Participants can undertake the activity and/or tasks in a safe environment, Providers must not allow the Outbound Employer Visit to proceed.

Similarly, if Providers identify significant risks for a Participant in an Outbound Employer Visit that cannot be mitigated to ensure the Participant can undertake the activity and/or tasks safely, Providers must not allow the Participant to participate in the Outbound Employer Visit.

Providers must review risks regularly and take appropriate actions to address any changes. If there are any changes to an Outbound Employer Visit, and/or if there are any changes to the risks for a Participant, Providers must use a Competent Person to update the Risk Assessment as required and take appropriate actions to address any changes.

 If Providers are transporting Participants to or from Outbound Employer Visits, the transport must be included in the relevant Risk Assessment.

 Providers must retain copies of Activity Risk Assessments, Participant Risk Assessments and Records of the controls applied to mitigate the identified risks. Risk Assessments for Outbound Employer Visits must include the ID and name of the Course that is offering the Outbound Employer Experience.

 The Provider must retain Records identifying any Competent Person(s) that it engages to conduct any Risk Assessment. The Records must include the name of the Competent Person, and a description of their relevant training, qualification, or experience. A [Competent Person\(s\) Register template](#) is available on the Provider Portal, however, use of this template is not mandatory. The Provider must provide these Records to the Department upon request.

(Deed Reference(s): Clause 105)

## Multiple Location Outbound Employer Visits

Separate Activity Risk Assessments are not required where a single Outbound Employer Visit has multiple locations but only involves one Employer. In these cases, the Activity Risk Assessment must clearly identify the multiple locations and corresponding hazards and risks at each of the different locations.

Separate Activity Risk Assessments are also not required where an Outbound Employer Visit is re-occurring and is of the same or similar nature.

## 3.3 Supervision Requirements

Providers must ensure:

- they or the Employer, as relevant, provide adequate and appropriate Supervision so that Participants are undertaking appropriate tasks and operating in a healthy and safe environment
- the Supervision provided is continuous over the entire duration of the Services where:
  - the Services include engagement with people who are elderly, disabled or otherwise vulnerable, or Children (excluding other Participants)

- the Provider otherwise considers that Supervision should be continuous having regard to the nature of the tasks to be undertaken, the potential Participants in the Services, and any risks identified in the relevant Risk Assessments
- all Supervisors:
  - are fit and proper persons to be involved in the Services
  - have a high level of skill/knowledge, training and/or experience in:
    - the part of the Services in which they are engaged
    - working with, training and supervising individuals in such activities.

(Deed Reference(s): Clauses 72, 107)

### 3.4 Background checks

Before arranging for any Personnel, potential Supervisors and/or Participants to be involved in the Services, Providers must confirm any relevant background checks have been conducted to ensure contractual and legislative requirements, as well as industry standards are met.

**Example:** Police checks must be conducted for activities that require individuals to not have been convicted of particular crimes, and Working With Children Checks must be conducted for activities that require individuals to have regular or unsupervised contact with Children.

The results of checks are personal and confidential. Providers must not disclose the results to other parties unless given permission by the individual for whom the check was undertaken. Additional information regarding disclosure of information and privacy considerations can be found in [Part A Guidelines: Privacy Chapter](#).

If a relevant check shows that a Participant must not be involved in an Outbound Employer Visit, Providers should arrange an alternative Outbound Employer Visit for the Participant.

(Deed Reference(s): Clauses 72.1, 72.2, 72.8, 72.9)

### 3.5 Reporting and Managing Incidents

Providers must Notify the Department and where relevant, the Referring Provider, as soon as possible, and on the same day, of any incident involving the Services, including direct travel to and from the Services, for example:

- any accident, injury or death occurring during or as a result of the Services, including in relation to Personnel, Supervisors, Participants or members of the public
- any incident or near miss which relates to a WHS issue
- any incident that may negatively impact upon the Department or bring the Provider or the Services into disrepute.

Providers must Notify the Department of any incident that may result in a liability claim by completing the [Public and Products Liability Incident Report](#) and submitting it to the Department in accordance with the [WHS Incidents and Insurance Readers' Guide - Providers](#), regardless of whether a claim is being made at the time.

Providers must ensure Personnel, Supervisors, Employers and Participants:

- understand their obligations to report incidents and near misses

- have access to reporting mechanisms.



Providers must retain copies of Public and Products Liability Incident Reports.

(Deed Reference(s): Clauses 83.1, 106.1)

### 3.5.1 Challenging Behaviour Incidents

Providers must manage incidents involving Participants demonstrating challenging behaviour in accordance with [Part A Guidelines: Servicing Participants with Challenging Behaviours Chapter](#).

### 3.5.2 WHS Incidents

Providers must Notify the Department and where relevant, the Referring Provider, as soon as possible and on the same day of any WHS incident or near miss involving the Services.



If an incident or near miss relating to a WHS issue involves a Participant, Providers must create a WHS Incident in the Department's IT Systems as soon as possible and on the same day of the incident or near miss.

If Providers are unable to create a WHS Incident in the Department's IT Systems due to technical issues, Providers must complete the [WHS Employment Assistance Program Incident Report](#) and submit it to the Department and where relevant, the Referring Provider, in accordance with the [WHS Incidents and Insurance Readers' Guide - Providers](#) and the Key Contacts Protocol, and create a WHS Incident in the Department's IT Systems at the earliest opportunity.



Providers must retain copies of WHS Employment Assistance Program Incident Reports.

For Critical WHS Incidents, Providers must notify the Department via telephone as soon as possible and within one hour of the critical WHS incident, in addition to providing written Notification to the Department, in accordance with the [WHS Incidents and Insurance Readers' Guide - Providers](#) and the Key Contacts Protocol. A Critical WHS Incident has the same definition as a Notifiable Incident under the WHS Act and means an incident that results in the death of a person, a serious injury or illness of a person, or a dangerous incident.

A dangerous incident is an incident that exposes a person to a serious risk to health or safety due to an immediate or imminent exposure to electric shock, spillage or leakage of a substance, uncontrolled implosion, explosion, or fire.

Examples of critical WHS incidents include:

- injuries requiring immediate treatment as an in-patient in a hospital
- a serious head or eye injury
- a serious burn
- a spinal injury
- an amputation of any part of the body.

Providers must support affected individuals and manage WHS incidents in accordance with the [WHS Incidents and Insurance Readers' Guide – Providers](#).

For Participants who are Referred by a Referring Provider, Providers must work with the Referring Provider to support the affected Participant after a WHS incident.



Providers must update the Risk Assessment as required.

(Deed Reference(s): Clause 106)

### 3.6 Insurance

The insurance policies purchased by the Department are detailed in the [WHS Incidents and Insurance Readers' Guide – Providers](#), and copies of the insurance policies are available on the Provider Portal.

If an activity and/or task is excluded from the Department's insurance policies, Participants may only undertake the activity and/or task if additional insurance that covers the activity and/or task is in place. Alternatively, Providers should modify the activity and/or task so that it is not excluded from the Department's insurance policies.



Providers must retain copies of the insurance policies relied upon by the Provider to be compliant with the requirements for additional insurance.

(Deed Reference(s): Clauses 44, 105.5(e), 106.3)

## Chapter 4: Service Offer Commitments

### 4.1 Chapter Overview

This Chapter sets out the requirements for Service Offer Commitments, which capture all commitments made by Providers in their response to the request for proposal for this Deed that have a material impact on the Services delivered by each Provider.

### 4.2 Service Offer Commitments

Key commitments made by Providers in their response to the request for proposal for this Deed that have a material impact on the Services delivered are recorded in the Department's IT Systems as Service Offer Commitments. Providers' compliance with the Service Offer Commitments must be measurable or supported by evidence.

Service Offer Commitments include:

- Services that are above the minimum standards of the Service Guarantee, Deed and Guidelines, for example:
  - The Provider will include at least one Outbound Visit in all Courses
  - The Provider will deliver Courses at a ratio of no more than 15 Participants per Facilitator
  - The Provider will extend their hours of operation beyond standard business hours, by opening from 8 am to 7 pm.
- specific strategies to deliver the Services, for example:
  - The Provider will use the [Name] strengths test for all Participants as part of their Career Pathway Assessment
  - The Provider will make at least 8 successful contacts per month with local Employers to source quality Inbound and Outbound Visits for Participants.

The Department will provide the Provider with the list of Service Offer Commitments as recorded in the Department's IT Systems.

If a Provider is not complying with a Service Offer Commitment, the Provider must, to the Department's satisfaction, either:

- develop strategies to rectify its non-compliance within an agreed timeframe, or
- change the Service Offer Commitment if it is no longer meeting the Objectives.

If a Provider does not rectify its non-compliance, the Department will address this as part of its assessment of the Provider's performance.

(Deed Reference(s): Clauses 5.1, 81, 82.1)

### 4.3 Changes to Service Offer Commitments

Providers should routinely review their servicing strategies to ensure they meet the changing labour market and needs of stakeholders.

Providers may submit requests for changes to Service Offer Commitments to the Department in accordance with the Key Contacts Protocol.

**Example:** A Provider may wish to update its servicing strategies in response to stakeholder feedback.

The Department will assess whether:

- there is evidence to support the changes
- the changes materially alter the commitments the Provider made in its response to the request for proposal for this Deed.

If a Provider requests removal of a servicing strategy, an alternative should be proposed to ensure that key stakeholders continue to have access to a similar range and level of Services. Alternatively, details must be provided to substantiate why an alternative is not required.

If the Department approves the changes, the Department will update the Provider's Service Offer Commitments in the Department's IT Systems and provide the Provider with an updated list.

Providers must have written approval from the Department prior to making changes to Service Offer Commitments.

The Department may recommend changes to the Provider's Service Offer Commitments. This will be done in consultation with the Provider.

(Deed Reference(s): Clause 5.1)

# Chapter 5: Performance

## Supporting Documents for this Chapter:

- [Performance Framework](#)

### 5.1 Chapter Overview

This Chapter sets out the modules and measures that Provider performance is monitored and assessed against, and the self-assessment report requirements.

The Department assesses Provider performance at the times specified in the [Performance Framework](#) and at such other times as the Department determines.

### 5.2 Performance Modules and Measures

The Department will measure provider performance against 3 performance modules:

- Efficiency of service
- Quality of service
- Deed compliance and contract management.

Performance is assessed using administrative data from the Department's IT Systems, stakeholder feedback, including Participants, Employers, and Referring Providers, evidence from the Provider in the self-assessment report, and through ongoing contract management and assurance activities.

As more administrative data becomes available and program norms under the contract are established, additional performance measures may be defined.

The [Performance Framework](#) provides more detailed information on the performance measures.

(Deed Reference(s): Clauses 5.1, 28)

### 5.3 Self-Assessment Report

The self-assessment report seeks information from Providers about how they have engaged stakeholders, including Participants, Employers, and Referring Providers, and used their feedback to tailor and improve the delivery of Services. It is also an opportunity for Providers to demonstrate how they are meeting the Service Offer Commitments.

Providers must complete and submit to the Department, in accordance with the Key Contacts Protocol, a self-assessment report after the end of each Performance Period and or at such other times as the Department determines.

The Department will provide relevant performance data information to each Provider after the end of each Performance Period. The data and information will support Providers to complete their self-assessment report and to submit it within the required timeframe.

The use of the Self-Assessment Report Template is mandatory.



Providers must retain the completed self-assessment report.

(Deed Reference(s): Clauses 5.1, 28, 95.1)