Non-refoulement Screening Quality Control and Assurance Framework

Onshore Protection Branch, February 2015

Contents

PURPOSE

The purpose of this document is to set out the quality control and assurance framework for *non-refoulement* screening to operate within. The quality control and assurance measures and tools for reporting that will be used to implement this framework are detailed in this plan.

Background

Coinciding with the operational transition of (the previously named, enhanced) screening from Headquarters to the Service Delivery Network (SDN) in 2013, a quality control framework was implemented in three stages:

- **Initial operation stage** – occurred during the introduction of enhanced screening's operational responsibility being transitioned to the SDN.
- **Operation transition stage** –occurred when operational responsibility was transitioned to the SDN.
- **BAU stage** –operational responsibility was fully transitioned to the SDN.

. This framework has been fully implemented by those with operational responsibility in the SDN and exists in two core parts; systems and non-systems quality control and assurance.

SYSTEMS

Information Required by *Non-Refoulement* Screening Operational Areas

Arrival and bio-data collection

A range of information relating to a person's interception or actual arrival and bio-data details are required to be collected and stored in departmental systems; ICSE and TRIM .

Select information is also required to be entered into the *Non-refoulement* screening Access database for specific interview management, reporting and quality assurance purposes.

The information required for the *non-refoulement* screening operational areas by those performing the arrival and bio-data collection administration is as follows:

Arrival / Interception Date	Country of Birth
SIEV number	Preferred language
Boat ID	Ethnicity
Client ID	Family composition indicator
Surname	Client TRIM file (from Nomroll)
Given names	Eligibility flag (refers to eligibility to interview)
Date of Birth	Citizenship

Access database rules should allow for the import of all above data and an eligible to interview filter to ensure that all records entered into the system fall within all relevant categories.

s. 33(a)(i), s. 47E(d)

Information required is as follows:

Interview notification date	Interviewer
Interview date	Transcriber
Interview location	Interview comments

Responsibility for the provision of this data rests with the local Senior Officer with import by the database management team within Detention Operations Branch or the ESO Unit, depending on the circumstances of the exercise.

s. 33(a)(i), s. 47E(d)

Information required is as follows:

|	
Interviewer's view	LSO notes to consider
Name of Local Senior Officer	Date of referral
Information derived from end of day ESO outcome report	
Name of ESO Senior Officer	ESO SO2 Recommendation
ESO SO Recommendation	Outcome comments (if required)
Name of second ESO SO (if required)	Date outcome advised to RLO/Det Ops

Responsibility for the provision of this data rests with the local Senior Officer and ESO Senior Officer with import by the database management team within Detention Operations Branch.

s. 33(a)(i), s. 47E(d)

Information required is as follows:

Date client exempted	Consideration of additional info**
Exemption submission number	Date client removed
Date client notified of removal	Removal comments (including SitReps and comments by Post)
Additional information field*	

s. 33(a)(i), s. 47E(d)
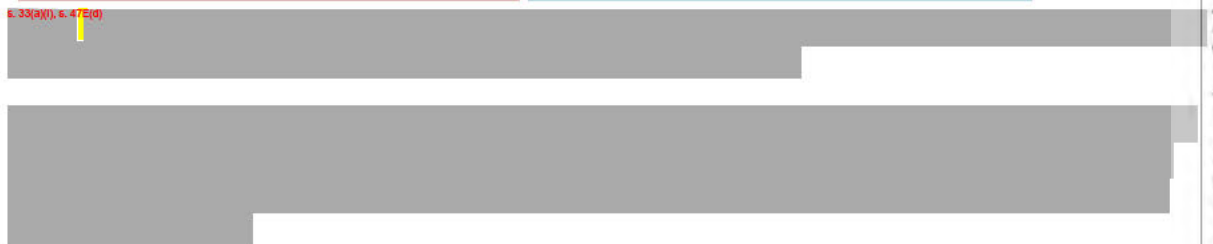
Responsibility for the provision of this data rests with the local Transfer Operations team with import by the database management team within Detention Operations Branch or the ESO Unit depending on the circumstances of the exercise.

ICSE entry

Relevant Risks and Controls

The key data management risks are as outlined below:

Incorrect data being manually entered

Likelihood	Low	Impact	Moderate	Rating	Medium

Control/s:

Use of a specialised Access database for collating and recording information by the ESO Unit

Building logic formulas into the database to improve quality of data entry

Using standard reporting rules and templates for the supply of data

Using automatic data input where possible and minimizing the extent to which data is entered manually

Regular review of the database including interrogation and cross-checking against other departmental systems

Report production on data to stakeholders, on request

List of Systems Required Fields

Required information	Source	Details
	Access - System built	Is based on the filters created on the database that limit the records that are automatically imported into the database on updates. The flag and filters are important to manage the size of the database
	Access direct import from ICSE	
	Access direct import from ICSE	Used for data matching purposes.
	Access direct import from ICSE	Used for data matching purposes.
	Access direct import from ICSE	Used for data matching purposes.
	Access direct import from ICSE	
	Access direct import from ICSE	
	Access direct import from ICSE	
	Access direct import from ICSE	
	Access direct import from ICSE	
	Access direct import from ICSE	

Manual input into Access database from information provided from Nomroll

Manual input into Access database

Manual input into Access database from Interview and referral report

Manual input into Access database from Interview and referral report

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Manual input into Access database from Interview and referral report

Manual input into Access database from Interview and referral report

Manual input into Access database from Outcome report

s. 33(a)(i), s. 47E(d)

Manual input into Access database from Outcome report

Manual input into Access database from Outcome report

Manual input into Access database from deployment (ACBPS) or Removal reporting

Manual input into Access database from deployment (ACBPS) or Removal reporting

Manual input into Access database from deployment (ACBPS) or Removal reporting

Manual input into Access database based on Removal reporting, Case Management advice, SLO, interviewing officer or ACBPS.		
Manual input into Access database based on ESO Unit advice.		
Manual input into Access database from deployment (ACBPS) or Removal reporting		
Manual input into Access database from deployment (ACBPS) or Removal reporting		

NON SYSTEMS

Quality Control and Assurance to be Conducted on *Non-refoulement* Screening Assessments

The overall goals of this framework are consistent with the Department's key themes of:

- making the department more open and accountable,

- ensuring fair and reasonable dealings with our clients, and

- ensuring that staff are well trained and supported.

Embedding quality
A quality product or process is one that meets legislative and policy requirements and quality performance measures, such as timeliness and accuracy.

Quality controls promoted within the *Non-refoulement* screening process are the mechanisms or support tools that are in place to ensure compliance with business requirements/objectives. Quality controls are designed to mitigate. Quality control mechanisms occur prior to finalisation.

Quality assurance within the *Non-refoulement* screening process is an internal and independent review of processing activities and outcomes to verify that quality controls in place are operating effectively and that key risks are being mitigated. Quality assurance also helps in identify where new quality controls are needed.

Quality control and assurance in the *Non-refoulement* screening process
Within the *Non-refoulement* screening process, quality control and assurance is conducted at a number of milestones. This covers *Non-refoulement* screening interviews digital recordings, interviewing officer's transcribed record of the interview, interviewing officer's view as written in the protection file note and the first (and second, if applicable) senior officer's recommendation as written in the protection file note. A series of quality checks are embedded within the process to ensure that the process is robust and risks of error are mitigated.

Officers with quality control and assurance responsibilities include the Local Senior Officer (LSO), Protection Support Officer (in the ESO Unit and/or Onshore Protection Branch) and at least two Senior Officers (SOs).

All cases are considered and reviewed by at least three experienced officers before a screening recommendation is made. One of these three officers has interviewed the person and one is a senior officer of the Department (the Local Senior Officer) and the other is a Senior Officer either from the ESO Unit or from the Onshore Protection Branch.

This framework has been constructed to ensure that the person making the recommendation which will inform removal is not doing so in a high pressure environment with limited access to specialist advice and support. The senior officers have support staff available to them, to provide specific country information and to undertake research where required.

Quality Control Checklist
s. 33(a)(i), s. 47E(d)