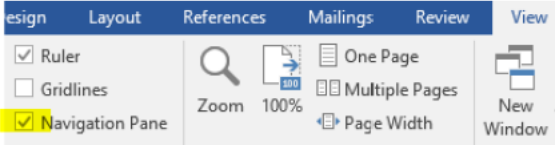


Travel Exemptions – Outwards - Process Guide

Last Updated	21 December 2020	TRIM ADD2020/4674243
Description	<p>This document is to be used by officers processing <u>outwards requests</u> for an exemption against the current travel restrictions to depart Australia.</p> <p>Authorisation for decision making on outwards requests differ depending on the reason for the exemption.</p> <p>Assessment Officers (Departmental s. 47E(d) Officers) can:</p> <ul style="list-style-type: none"> • determine if an individual meets an automatic exemption criteria; AND • make decisions on requests in the following category: <ul style="list-style-type: none"> ○ Travel for at least three months - this process is now outlined below in the s. 47E(d) process <p>An authorised Decision Maker must make decisions on <u>all other categories</u>. The <i>Initial Assessment</i> for these requests can be completed by an Assessment Officer and referred to a Decision Maker for finalisation.</p>	
Terminology	<ul style="list-style-type: none"> • <i>An individual or traveller</i> is a person seeking exemption from travel restrictions. It is possible for an <i>individual</i> to be referenced in cases submitted by multiple <i>users</i>. • <i>A user or client</i> is the person who submitted the request. A <i>user</i> may submit requests relating to any number of <i>individuals</i> for any number of exemption requests. • <i>Client Additional Information (CAI)</i>: is a location in ICSE where notes should be entered. • <i>Assessment Officer (AO)</i>: an officer who is not authorised to approve or refuse exemption requests. • s. 47E(d) an officer who is authorised to approve or refuse exemption requests for requests to travel outside Australia for at least three months. • <i>Decision Maker (DM)</i>: an officer who is authorised to make decisions to approve or refuse exemptions requests. 	
Navigation Pane	<p>Turn on the Navigation Pane option under the View menu to use this document.</p>  <p>The screenshot shows the Microsoft Word ribbon with the 'View' tab selected. The 'Navigation Pane' option is checked, and the 'Zoom' is set to 100%.</p>	

Policy Guidance

<p>Policy documents</p>	<p>The criteria for each type of exemption request is outlined on the Department’s website. AOs and DMs should regularly check the Department’s external website to maintain awareness of the exemption types and public messaging.</p> <p>Policy documentation can be found on SharePoint and in TRIM. The Border Measures SharePoint site should be used to access documents and confirm the correct TRIM reference number. Pending approval of all Procedural Instructions, the DRAFT documents in these folders should be referred to.</p>
<p>References</p>	<ul style="list-style-type: none"> • DRAFT - COVID-19 Border Measures Procedural Instruction - Outward 09OCT2020 - ADD2020/5279517 <p>Other critical documentation is available via the website <i>COVID-19 and the border</i> https://covid19.homeaffairs.gov.au/ and the Border Measures SharePoint site.</p>

TEP Principles


<p>TEP Principles</p>	<p>There are a number of key principles that all users of the TEP are required to follow:</p> <ol style="list-style-type: none"> 1. Officers are responsible for the requests that appear in their list <i>My Work > Cases Assigned to me</i>. 2. Officers must finalise all cases allocated to them at the end of a shift/day. Un-finalised requests must be unassigned to move the case back into the relevant <i>Unallocated</i> list. 3. Officers should regularly check their <i>Cases Assigned to me</i> list to ensure that outcome notifications have been correctly sent, cases closed correctly etc. Cases will be automatically removed from your list once they are finalised correctly.
<p>Managing Groups in TEP</p>	<p>Each individual traveller must have his or her own TEP record and decision, noting that this can be recorded efficiently using bulk assessment functionality.</p> <p>Multiple travellers can be included within the same request through the lodgement process, so that the cases are considered together.</p> <p>s. 47E(d) [REDACTED]. Users with the training and access to process these requests will find them in a separate workspace list.</p> <p>All requests (not just those with multiple travellers) now have the option s. 47E(d) [REDACTED].</p>

Client Notifications	Client notifications sent via the TEP are also blind copied to a group mailbox. From this mailbox, they are automatically TRIMmed. If you need to find a notification, do a title word search in TRIM using the TEP or TER reference number.
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Overview of initial assessment

Assessment and triage	<p>All requests require Initial Assessment. This process includes considering the individual's claims and determining one of the following:</p> <ol style="list-style-type: none"> 1. Whether the individual meets one of the automatic exemption criteria and, if so, finalising the request; 2. If the request is for a category that an AO can decide; or 3. That the request needs to be referred to an authorised DM for consideration. <p>AOs only make decisions for some categories, otherwise they complete the Initial Assessment and refer the request. DMs can complete both an Initial Assessment and make a decision. DMs can determine if further information should be requested from the client in exceptional circumstances.</p> <p>The below map outlines the Initial Assessment and Decision Making process.</p>
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s. 47E(d)



Initial Assessment Process

1. Review Request details

1. Assign the request to yourself (click *Assign to me*).
2. Read the *Background Details* provided in the request and the relevant supporting attachments. Review all requests (*Other Requests*) submitted by the same client account (if applicable)
3. You can download all attachments as a zip file by clicking in the “...” menu in top right corner.

s. 47E(d)



2. Review each individual's details

1. Review the *Traveller* information.
2. Locate each individual in ICSE or CSP.
3. s. 47E(d)

*Occasionally, an individual may not have an ICSE record. In this instance, an ICSE record may need to be created. Refer to *Border Measures COVID-19 Fact Sheet – Creating a new client record in ICSE (ADD2020/4628519)* in the Processing Toolbox on [the Border Measures SharePoint site](#).

s. 47E(d)

	s. 47E(d)
3. Review the claims	<p>3. Determine if the individual meets any automatic exemption criteria or if they need to be referred to a DM.</p>
4. Change Enquiry type (if necessary)	<p>If the request needs to be redirected for assessment by a different team, the enquiry type can be changed. See Change Enquiry Type for policy guidance.</p> <p>This must be changed before the initial assessment is recorded, as some options may change. To change the enquiry type, use the drop down menu in the TEP Request details. Select the appropriate request type and delete your name from the “assigned to”, then save.</p>

TEP Request

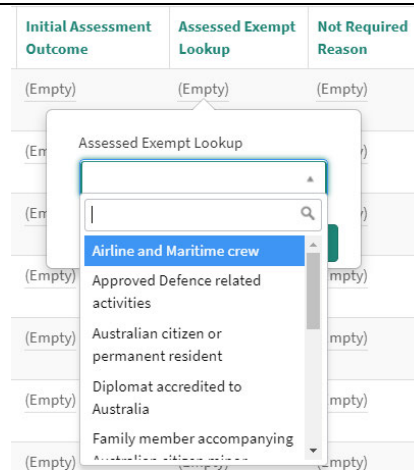
Enquiry Type

- Compelling or Compassionate
- None --
- New Zealand citizen usually resident i...
- Immediate Family
- ✓ Compelling or Compassionate
- Outbound
- Urgent Medical Treatment or Evacuation
- Critical Skills
- Event

5. Record Initial Assessment for all travellers

s. 47E(d)

s. 47E(d)



<p>6. Conduct Initial Assessment for each traveller</p>	<p>Determine the appropriate <i>Initial Assessment Outcome</i> for your assessment of the individual’s circumstances:</p> <ul style="list-style-type: none"> ○ Not Referred: the individual has not provided sufficient information to be considered further. *To be used in VERY limited circumstances and only after consultation with a Team Lead. ○ Assessed Exempt: Individual clearly meets any of the outward automatic exemption criteria, for example, usually resident in a country other than Australia (temporary visa holders are also included here). ○ Not Required: request not required because: <ul style="list-style-type: none"> a. client has an existing approval (use <i>Duplicate Request</i> reason); OR b. Duplicate Request: request is the <u>exact</u> duplicate of another request received for this individual; or c. Withdrawn: individual has requested a withdrawal. *Individuals can withdraw requests through the portal. ○ Referred for Discretion: this option should be used if the request needs to be Referred to a Decision Maker
<p>7. Select the reason for the decision</p>	<p>Choose the relevant reason for your decision from the options provided in the drop down list.</p> <ol style="list-style-type: none"> 1. Assessed Exempt: select the appropriate exempt category 2. Not Referred: *To be used in VERY limited circumstances and only after consultation with a Team Lead. <ul style="list-style-type: none"> ○ Does not meet guidelines: there is clear evidence that the individual does not meet any of the exemption criteria. ○ Insufficient information: the client has not provided sufficient information to determine an automatic exemption or to refer the case for consideration by a Decision Maker.

3. Referred for discretion

Initial Assessment ^

Initial Assessment Outcome

Not Referred ▼

Not Referred Reason *

-- None -- ▼

✓ -- None --

Does not meet guidelines

Insufficient Information

Initial Assessment ^

Initial Assessment Outcome

Referred for Discretion ▼

Discretionary Category *

Q

Recent Selections

Compassionate and compelling

National interest / Australian Government invitation

Showing 1-4 of 4


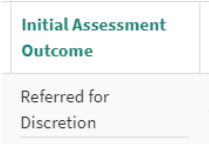
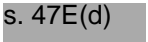
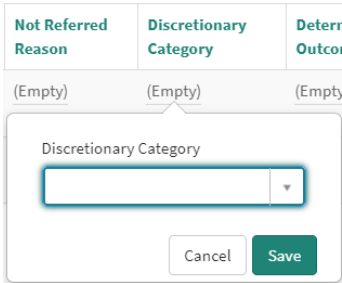



Critical medical services

Critical Skills

Refugee and Humanitarian (Class XB) visa holders

Urgent medical treatment / evacuation

s. 47E(d)

<p>9. If applicable: Complete Referral to an Decision Maker</p>	<p>IMPORTANT: if required, ensure you change the <i>Enquiry type</i> in the Request record prior to completing the Initial Assessment. Refer to Change Enquiry Type.</p> <p>If any travellers are initially assessed as Referred for Discretion, the request must be assessed by a DM. If multiple travellers are to be referred for discretion you can use the  button - the relevant fields will become available in the Bulk Assessment window to complete. To process individual travellers from the main Bulk Assess screen:</p> <ol style="list-style-type: none"> Select <i>Referred for Discretion</i> from the <i>Initial Assessment Outcome</i> options  <ol style="list-style-type: none"> Choose the appropriate <i>Discretionary Category</i>. NOTE: It is important to select this correctly to enable  allocation processes and accurate reporting. 
<p>10. Return to the request and save the record</p>	<ol style="list-style-type: none"> Once an initial assessment has been recorded for all travellers, click  to return to the request. Click <i>Save</i> to update the Traveller records 
<p>11. Finalise Initial Assessment</p>	<p>In the Request Details screen:</p> <p>If any Travellers have been referred for discretion and you are not a DM, the <i>Has Discretion Referral</i> box will be ticked and you will </p>

s. 47E(d)

From this point, the process will change depending on the initial assessment outcome and your delegation level.

- **Assessment Officers:** If one or more travellers have been referred for discretion, no further action is required.
- **All users:** If no travellers in the request have been referred for discretion, follow steps 12 - 14 to finalise the request.
- s. 47E(d)
- **Decision Makers:** if one or more travellers have been referred for discretion and the request is not able to be decided by a s. 47E(d) Decision Maker, move straight to the required steps for [Decision Maker Process –Decision Maker](#)

**12. Add Client
Additional**

Record a CAI note so that the status of the request is clear to other departmental users.

**Information
(CAI) note/s**

1. On the far right of the screen are a series of buttons, select the Response Templates button and search for "CAI" to find all templates relevant to the request.

s. 47E(d)

2. From the list displayed select the relevant note for your assessment; and then click the note then click *Copy to Clipboard*

3. Paste the note into a Note in the CAI. If there are s. 47E(d)

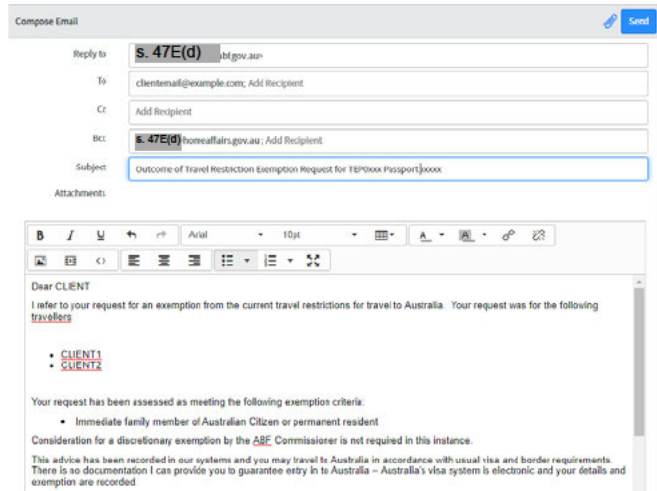
4. Double check against the outcomes for each traveller in the Travellers tab of the Request, to ensure you paste the correct note into each client record.

s. 47E(d)

13.If request finalised, send notification

Once the Initial assessment is finalised the state will change to *Outcome Notification*.

1. In the Request select *Send Outcome Notification* and the system will display the *Select Template* screen. Choose the appropriate template.
2. The system will display the *Compose Email* screen. Check that the pre-populated details contain the correct details for all persons you expect to notify.

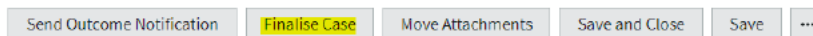


3. Click *Send*. The system will send the correspondence and close the *Compose Email* screen.

NOTE: You should confirm the correspondence was sent before finalising the request by checking the *Activity* history in the Request Details screen. The last item should be an email that you just sent. You may need to wait a few minutes and manually refresh your view (Keyboard shortcut: F5)

14.Finalise Case

Click *Finalise Case*



Decision Maker Process – s. 47E(d) cases



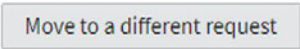
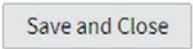

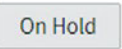

Description	s. 47E(d)
15. Record Initial Assessment and determination	

Released by Department of Home Affairs
under the *Freedom of Information Act 1982*

	s. 47E(d)
16. Complete request processing	Follow steps 12 to 14 to complete the initial assessment and finalise the request.

Assessment by Decision Maker

Description	Requests for an exemption that have travellers who are Initially Assessed as requiring for consideration by a DM will appear in the <i>Queued for Consideration</i> list.
17. Decision Maker assesses a referred request	<ol style="list-style-type: none"> 1. Select a request from this list and assign it to yourself (<i>DRAFT TEP Task Card 1 – Assigning cases - ADD2020/4408799</i>). 2. In the request record review the <i>Summary for decision makers</i> provided by the AO. 3. Assess the claims against the policy guidelines. 4. If you are satisfied to either approve or refuse the exemption request, move to Step 18 below. 5. If you decide that the request requires assessment by a senior DM, follow these steps: <ol style="list-style-type: none"> a. Add a note to the <i>Summary for decision makers</i> section explaining why it needs to be assessed by a Senior DM (EL2). b. Allocate the case to a Senior DM (EL2). c. <i>Save</i> and exit.
18. Record your decision	<p>Consider the claims against the guidance provided in the policy documents to determine if the referred travellers in the request meet grounds for an exemption.</p> <p>Once you have reached a decision, record a Determination Outcome and Determination Notes for each traveller in the s. 47E(d) screen.</p> <p>Click on s. 47E(d)</p> <div style="display: flex; justify-content: space-around; align-items: center;"> s. 47E(d) Finalise Initial Assessment Request Information Save ... </div>

	s. 47E(d)
19. Return to the request and save the record	<p>1. Once a Determination Outcome has been recorded for all applicable travellers, click  to return to the request.</p> <p>2. Click <i>Save</i> to update the Traveller records</p> <div style="text-align: center;">       </div>
20. Complete request processing	<p>Follow steps 12 to 14 to complete the initial assessment and finalise the request.</p>

Change Exemption Reason

Description	<p>If the request has been lodged for the reason <i>Travelling overseas for at least three months</i> but information provided by the client indicates that this is not the case, the reason for exemption needs to be changed to a more appropriate option so that it can be assessed by the appropriate DM.</p>
Process steps	<ol style="list-style-type: none"> 1. Go to the <i>Reason for exemption</i> field in the TEP and choose a more appropriate option. 2. Add a <i>Work note</i> indicating why the request does not meet the <i>Travelling overseas for at least three months</i> reason. <div data-bbox="533 459 1798 563" style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;"> <p style="font-size: small; color: #666;">Work notes (Private)</p> <p style="color: #666;">Type your Work notes (Private) here</p> </div> 3. Remove your name from the <i>Assigned to</i> field. 4. <i>Save</i> the case.

Change Enquiry Type

TEP Principles	<p>If you are not trained in assessing the enquiry type that a request should be considered under, OR you are going to finalise the request under a different enquiry type to which it was lodged, follow these steps:</p> <ol style="list-style-type: none"> 1. Make a note in the Request <i>Work Notes (Private)</i> space explaining why the request should be/has been considered under the different Enquiry type. Choose to <i>Post the Work notes (Private)</i> so that other internal users can see it. <div data-bbox="779 1018 1955 1230" style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;"> <p style="font-size: small; color: #666;">Work notes (Private)</p> <p style="color: #666;">Type your Work notes (Private) here</p> <div style="text-align: right; margin-top: 10px;"> Post Work notes (Private) </div> </div> 2. In the Request record, use the drop down in the Enquiry Type* field to select the new enquiry type.
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Enquiry Type *

Compelling or Compassionate ▼

3. Remove your name from the *Assigned to* field and *Save* the request.
4. All travellers within the request will change to the new enquiry type and the case will flow to the appropriate processing area for consideration.