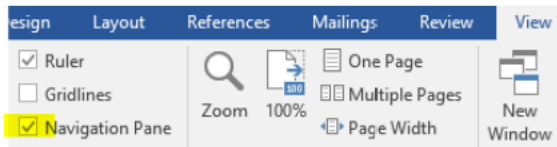


Travel Exemptions – Outwards - Process Guide

Last Updated	21 December 2020	TRIM ADD2020/4674243
Description	This document is to be used by officers processing <u>outwards requests</u> for an exemption against the current travel restrictions to depart Australia. Authorisation for decision making on outwards requests differ depending on the reason for the exemption. Assessment Officers (Departmental APS3/4/5/6 Officers) can: - determine if an individual meets an automatic exemption criteria; AND - make decisions on requests in the following category: Travel for at least three months - this process is now outlined below in the Decision Maker Process – Streamlined cases process 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.	
Terminology	<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. <i>Streamlined Decision Maker (SDM)</i>: 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	Turn on the Navigation Pane option under the View menu to use this document. 	

Policy Guidance

Policy documents	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. 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.
References	• DRAFT - COVID-19 Border Measures Procedural Instruction - Outward 09OCT2020 - ADD2020/5279517 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.

TEP Principles

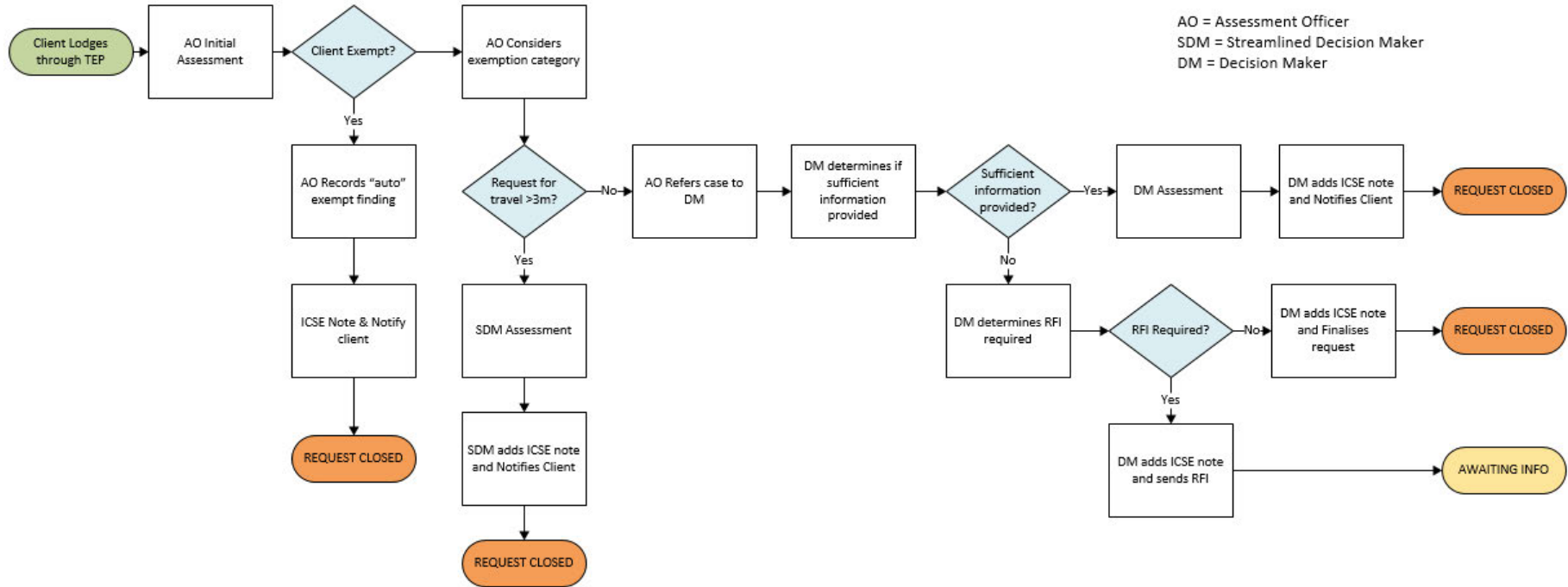
TEP Principles	There are a number of key principles that all users of the TEP are required to follow: 1. Officers are responsible for the requests that appear in their list <i>My Work > Cases Assigned to me</i>. 2. Officers must finalise all cases allocated to them at the end of a shift/day. Un-finalised 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.
Managing Groups in TEP	Each individual traveller must have his or her own TEP record and decision, noting that this can be recorded efficiently using bulk assessment functionality. Multiple travellers can be included within the same request through the lodgement process, so that the cases are considered together. Organisations who have been specifically invited will be able to submit bulk requests using an excel spreadsheet. Users with the training and access to process these requests will find them in a separate workspace list. All requests (not just those with multiple travellers) now have the option to "Bulk assess" – which combines all key details and initial assessment or decision making records for all travellers on a single screen.

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	All requests require Initial Assessment. This process includes considering the individual's claims and determining one of the following: 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. 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. The below map outlines the Initial Assessment and Decision Making process.
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Outward Travel Exemption Process Map



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.

Lists TER0002916

Details

Compelling or Compassionate - [REDACTED] - 43 travellers travelling on 22-12-2020

Number: TER000 Client: [REDACTED] State: On-Hold External Status: Under consideration

Details Travellers (43) Other Requests Task SLAs (1)

Assign to me Request Information Save ...

Download Attachments Generate Traveller Records Export Travellers

TEP Request

Enquiry Type: Compelling or Compassionate

Assignment group: [REDACTED]

Assigned to: [REDACTED]

Priority: 4 - Low

State: On-Hold

Background Details

Explanation: [REDACTED]

Intended Travel Date: 22-12-2020 Address in Australia: [REDACTED]

Flight Details: [REDACTED]

Australian Contact Number: [REDACTED]

Compose

Work notes (Private)

Type your Work notes (Private) here

Post Work notes (Private)

Activity

AC [REDACTED]

Request [REDACTED]

AC [REDACTED]

30-11-2020 15:23:58 • Work notes

[REDACTED]

AC [REDACTED]

30-11-2020 15:23:59 • Work notes

[REDACTED]

Attachments

2. Review each individual's details

1. Review the *Traveller* information.
2. Locate each individual in ICSE or CSP.
3. If you cannot positively identify the individual from ICSE/CSP*, the individual should be assessed as '*Not Referred*' due to '*Insufficient Information*' in the *Traveller* record.

*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](#).

Details

Event - Mandoria Pty Ltd - 8 travellers travelling on 16-12-2020
Bulk Assess
Finalise Initial Assessn

Number: TER0114096
Organisation: Mandoria Pty Ltd
Organisation Contact: Sophie Fasishous
State: Initial Assessment
External Status: Under consideration

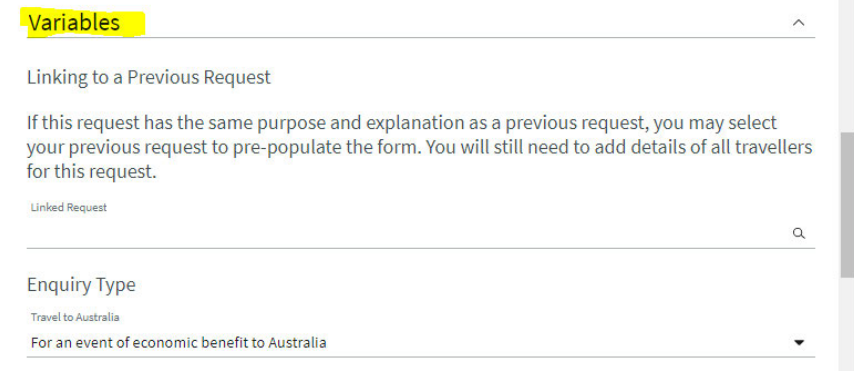
Details
Travellers (8)
Other Requests (19)
Task SLAs (1)

Travellers 8
Last refreshed just now

Number	Previous Requests	State	Last Name	First Name	Date of Birth	Passport Number	Australian Visa Status	Visa Subclass
TEP0195888	0	Initial Assessment	Maraschino	Vinnie "The Mouth"	17-06-1992	A8648648	Visa Applied	405 - Investor Retirement
TEP0195889	0	Initial Assessment	Euphemism	Rufus	04-06-1993	L546813115	Visa Applied	407 - Training

Open Request
Move to a different request
Save and Close
Save
On Hold
...

4. If any information is incorrect, open the traveller record, make the necessary corrections and click *Save* in the Action Bar buttons.

	<i>Do not make any changes to the section of the TEP Request form titled “variables” as this is the record of exactly what the client provided in their request and is visible to the client when they use the portal.</i>  5. In ICSE/CSP: - Check the Client Additional Information (CAI) for a current approval OR previous exemption request. - Check for any <u>relevant</u> COI notes. 6. Check any previous requests submitted by the individual (<i>Other Cases for this Traveller</i>) in TEP.
3. Review the claims	- Use all information available to you to assess the individual’s circumstances against the exemption criteria, including information recorded in Departmental systems. - Consider also any other travellers in the request and how they contribute to the claims. - Determine if the individual meets any automatic exemption criteria or if they need to be referred to a DM.
4. Change Enquiry type (if necessary)	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. 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.

= 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

NOTE: Using 'bulk' processing functionality is the most efficient way to record an assessment in TEP, even when assessing an individual traveller. These processing steps should be followed for all TEP cases.

Read in conjunction with steps 6 to 11.

1. Click on Bulk Assess

Bulk Assess

Finalise Initial Assessment

Request Information

Save

...

The following screen appears:

Travel Exemption Cases

Record Assessment for selected Cases

Return to workspace

All > Request = TER0181759

	☐	Number	Full Name	Date of Birth	Passport Number	Passport Country	PAL/DAL	Onshore/Offshore	Initial Assessment Outcome	Assessed Exempt Lookup	Not Required Reason	Not Referred Reason	Discretionary Category	Determination Outcome	Determination Notes
	☐						(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)
	☐						(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)
	☐						(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)	(Empty)

2. Travellers with identical border check and initial assessment outcomes can be processed as follows:

a. Tick the check box on each traveller that has identical border check and initial assessment outcomes

b. Click on: Record Assessment for selected Cases to display the Bulk Assessment window

c. Complete all applicable fields, including initial assessment notes, then click *Save*

Bulk Assessment ×

TEP0233922 

Assessment

Initial Assessment Outcome

Not Referred ▼

* Not Referred Reason

Does not meet guidelines ▼

Initial Assessment Notes

PAL/DAL

-- None -- ▼

Onshore/Offshore

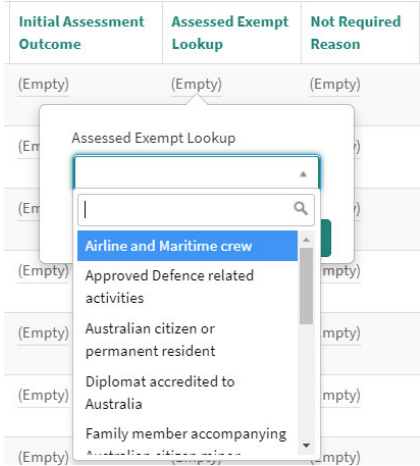
-- None -- ▼

Related Lists

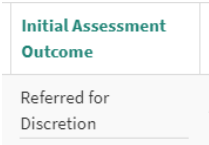
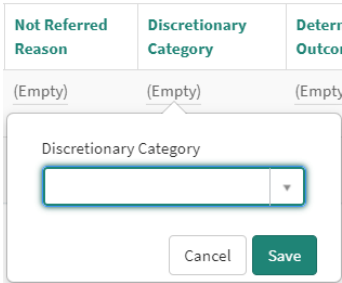
[Task Activities](#) | [Task SLAs](#) 1

Save (Ctrl + s)

3. Travellers with different border check and/or initial assessment outcomes can be processed directly in the main Bulk Assess screen. Each field is completed individually by clicking on the relevant (Empty) cell to display a drop-down menu or text box as applicable:

	
6. Conduct Initial Assessment for each traveller	Determine the appropriate <i>Initial Assessment Outcome</i> for your assessment of the individual's circumstances: ○ 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: 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 <u>should</u> be used if the request needs to be Referred to a Decision Maker
7. Select the reason for the decision	Choose the relevant reason for your decision from the options provided in the drop down list. Assessed Exempt: select the appropriate exempt category Not Referred: *To be used in VERY limited circumstances and only after consultation with a Team Lead. ○ 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.

	Initial Assessment ^ Initial Assessment Outcome Not Referred ▾ Not Referred Reason * -- None -- ▾ ✓ -- None -- Does not meet guidelines Insufficient Information 3. Referred for discretion Initial Assessment ^ Initial Assessment Outcome Referred for Discretion ▾ Discretionary Category * 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
8. Complete MAL and Movement Checks for each traveller	If a traveller is assessed as exempt, referred for discretion or approved, using ICSE or CSP, complete a MAL and Movement Check for the individual. NOTES: - CMAL checks are not relevant for Australian Citizens. There is one exception: if the narrative refers to 'Notify ASIC', refer the case to CMAL@border.gov.au. Otherwise, if the client is a citizen, add a note 'Australian citizen, check not relevant'. Do not record any PAL or DAL narratives in TEP. Only enter the alert ID number in the narrative. C: AOs must discuss the case with a supervisor before approving an exemption for a permanent resident with a CMAL alert. D: Amber Alerts for permanent residents: email CMAL@border.gov.au for resolution of Amber alerts.

9. If applicable: Complete Referral to an Decision Maker	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. 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: - Select <i>Referred for Discretion</i> from the <i>Initial Assessment Outcome</i> options  - Choose the appropriate <i>Discretionary Category</i>. NOTE: It is important to select this correctly to enable streamlined allocation processes and accurate reporting. 
10. Return to the request and save the record	- 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 
11. Finalise Initial Assessment	In the Request Details screen: 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 need to record a summary of the case for the DM. Include only key elements of the request and circumstance such as key information from any attached documents. Do not copy and paste any of the client's narrative into this section. NB: notes for

requests relating to travelling overseas for at least three months can be brief AND notes for requests relating to business travel can also be brief with reference to the document provided by the client.

Note: for DMs who have made a determination for some travellers but assessed others as duplicates or not required. The system may stop you from saving the record without completing the *Summary for Decision Makers*. Place a full stop in this field to satisfy mandatory criteria and continue.

- Click *Finalise Initial Assessment*.

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.
- **Streamlined Decision Makers:** If one or more travellers have been referred for discretion and the reason for the request is *Travelling for three months or more*, skip to [Decision Maker Process – Streamlined cases](#) *you must have the right access to complete the remainder of these process steps
- **Decision Makers:** if one or more travellers have been referred for discretion and the request is not able to be decided by a Streamlined 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.

The screenshot shows the 'Outbound' request for 4 travellers on 29-01-2021. The 'Travellers' tab is selected, showing a table of 4 travellers. The 'Passport Number' column is highlighted with a red box. On the right, the 'Response Templates' panel is open, showing a search for 'CAI' and a list of templates. The 'Copy to clipboard' button is highlighted with a red box.

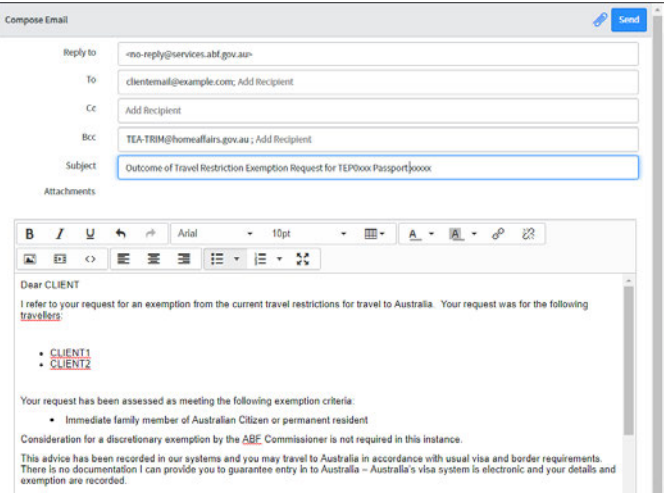
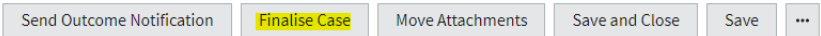
	State	Assigned to	Outcome status	Last Name	First Name	Passport Number	Proposed Travel Date	Parent	Child Cases
i1@gmail.com	Closed	(empty)	Not exempt			PB1 272		TER000	0
i1@gmail.com	Closed	(empty)	Not exempt					TER000	0
i1@gmail.com	Closed	(empty)	Exempt			ECs 655		TER000	0
i1@gmail.com	Closed	(empty)	Not exempt			P76 39A		TER000	0

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 pre-existing CAI notes relevant to previous travel exemption requests, ensure that you make it clear which note takes precedent if there are multiple notes.
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.

Hint: the ICSE client enquiry screen includes a "recently accessed clients" tab to save you searching for individuals again.

Client Enquiry

The screenshot shows the 'Client Enquiry' screen with the 'Recently Accessed Clients' tab selected. Below the tab, there are search fields for 'Name Search', 'Family or Organisation Name', and 'Given Names'. There are also input fields for 'Visa Evidence Number' and 'Visa Grant Number'.

13.If request finalised, send notification	Once the Initial assessment is finalised the state will change to <i>Outcome Notification</i>. 1. In the Request select <i>Send Outcome Notification</i> and the system will display the <i>Select Template</i> screen. Choose the appropriate template. 2. The system will display the <i>Compose Email</i> screen. Check that the pre-populated details contain the correct details for all persons you expect to notify.  3. Click <i>Send</i>. The system will send the correspondence and close the <i>Compose Email</i> screen. NOTE: You should confirm the correspondence was sent before finalising the request by checking the <i>Activity</i> 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 <i>Finalise Case</i> 

Decision Maker Process – Streamlined cases

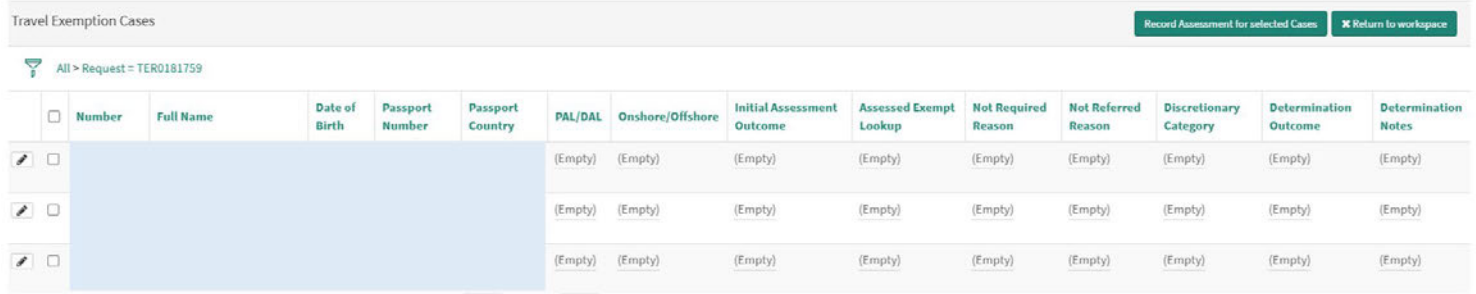
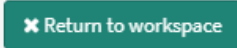
Description	Requests for an exemption for <i>Travelling overseas for at least three months</i> can be decided by APS3/4/5/6 officers who have the appropriate TEP access. These requests are currently managed by the STEC team in Hobart who process the request from end to end using the below process.
15. Record Initial Assessment and determination	Consider the claims made by the individual against the guidance provided in the policy documents to determine if the individual meets grounds for an exemption. 1. Open the <i>Bulk Assess</i> screen 2. Select all travellers within the case you wish to make the same assessment for and click on <i>Record assessment for selected cases</i> 3. Record the appropriate <i>Initial Assessment Outcome</i> for your assessment of the individual's circumstances: ○ Referred for Discretion and Discretionary Category Travelling overseas for at least three months. 4. IMPORTANT: if you are an AO with system access that allows you to finalise <i>Streamlined Unallocated</i> cases but the case needs to be considered by an APS6 Decision maker, refer to the Refer to Decision Maker process to complete the referral ensuring you select the appropriate Discretionary Category and that your note indicates the reason it has been referred.

The screenshot shows a web interface for recording an initial assessment outcome. It features three columns: 'Initial Referred Reason', 'Discretionary Category', and 'Determination Outcome'. The 'Discretionary Category' column is active, showing a dropdown menu with the following options: 'Critically ill immediate family', 'Death / funeral of immediate family', and 'Travelling overseas for at least three months'. The 'Travelling overseas for at least three months' option is highlighted in blue. The 'Initial Referred Reason' column shows '(Empty)' and the 'Determination Outcome' column shows '(Empty)'.

	- Record your <i>Determination Outcome</i> - Record your <i>Determination Notes</i> IMPORTANT: Check the <i>Reason for exemption field</i> in the request record to ensure <i>Travelling overseas for at least three months</i> has been selected
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	- Select a request from this list and assign it to yourself (<i>DRAFT TEP Task Card 1 – Assigning cases - ADD2020/4408799</i>). - In the request record review the <i>Summary for decision makers</i> provided by the AO. - Assess the claims against the policy guidelines. - If you are satisfied to either approve or refuse the exemption request, move to Step 18 below. - If you decide that the request requires assessment by a senior DM, follow these steps: - Add a note to the <i>Summary for decision makers</i> section explaining why it needs to be assessed by a Senior DM (EL2). - Allocate the case to a Senior DM (EL2). - Save and exit.
18.Record your decision	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. Once you have reached a decision, record a Determination Outcome and Determination Notes for each traveller in the Bulk Assess screen. Click on Bulk Assess: Bulk Assess Finalise Initial Assessment Request Information Save ...

	The following screen appears:  ○ To record the same Determination Outcome and Determination Notes for multiple travellers, refer to 8.2 ○ To record a Determination Outcome and Determination Notes for one traveller, refer to 8.3
19.Return to the request and save the record	1. Once a Determination Outcome has been recorded for all applicable travellers, click  to return to the request. 2. Click Save to update the Traveller records 
20.Complete request processing	Follow steps 12 to 14 to complete the initial assessment and finalise the request.

Change Exemption Reason

Description	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.
Process steps	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. Work notes (Private) Type your Work notes (Private) here 3. Remove your name from the <i>Assigned to</i> field. 4. <i>Save</i> the case.

Change Enquiry Type

TEP Principles	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: 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. Work notes (Private) Type your Work notes (Private) here Post Work notes (Private) 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 <i>Assigned to</i> field and <i>Save</i> 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.
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