

Assess application (SMC)

When to use

When an application has been successfully lodged and forwarded to the SMC team for assessment.

Role

Immigration Officer

Guidelines

- If the applicant has only provided a certified copy of their passport(s) at lodgement, request the original passport(s) as required (for example, to complete a passport scan, or assess the applicant's identity). Once received, complete scan if required - see [SOP Scan travel document](#)
- Assessment templates have been revised so that one standardised template can be used at all offices (see standardised Assessment templates at the end of this SOP)
- Use the SMC Visa Assessment Tool (VAT); refer to [Working with the SMC Visa Assessment Tool](#) and other [VAT SOPs](#).
- Follow the [Setting due dates guidelines](#) (on a case-by-case basis) to determine how long to allow a client to provide required information

Information being requested	Timeframe
Details missing from application form	3 working days
Additional details form	3 working days
Full employment agreement and/or job description	3 working days
IRD Summary of Earnings, payslips, bank statements	3 working days
Evidence of registration	3 working days
Evidence of English ability	3 working days
Marriage certificate or evidence of relationship	3 working days
Evidence of close family support	3 working days
Evidence of dependence	3 working days

Verification of NZ work experience	3 working days
Basic EQ to employer (questions only)	3 working days
Original or certified copies of any document	3 working days
Verification of overseas work experience	5 working days
Full EQ to employer (incl. supporting docs)	5 working days
Work reference letter or email direct from previous employer	5 working days
NZ qualification certificate	5 working days
Offshore qualification certificate	10 working days
Full birth certificate (including additional/secondary ID)	10 working days
Medical tests or evidence of appointment with specialist	10 working days
Evidence of English language test date booking	10 working days
Evidence of commencing NZQA assessment process	10 working days
Response to PPI letter	10 working days

- Follow the [SMC timeframe expectations](#) to achieve overall SMC expectations

Process step	Timeframe	Why this is standard practice
Complete initial assessment	Within 24 hours of pulling the application from the queue	Standard practice states a new application will only be pulled from the queue when an Officer has no further actionable work. The full initial assessment can therefore begin immediately, which in turn

		enables the Officer to begin verification activities and request any additional information at the earliest opportunity.
Follow-up when requested information has not been provided by due date	Within 24 hours of due date	Where information is not provided within the timeframe given, an application is at risk of remaining at one process step for longer than necessary. An Officer is expected to follow-up as soon as possible after the due date and always within 24 hours, in order to actively manage the application through the assessment process.
Assessment of further information received	Within three working days of receipt	Assessment of new information within three working days of receipt ensures the next applicable action (e.g. final case summary, PPI written, further information requested) is undertaken at the earliest opportunity. This prevents the application waiting at one process step for several processing days, while timeliness is still being measured.
Write PPI letter	Within three working days of identifying potentially prejudicial information	A PPI letter should be written as soon as possible following the identification of concerns, and always within three working days. This ensures the information put forward for comment is still relevant and the details are fresh in the Officer's mind.

- Follow the timeframes in the table below when assessing an SMC application

Action	Timeframe
Complete initial assessment	Within five working days of being assigned
Follow-up when requested information is not provided by due date (see below guidance)	Within 24 hours of being made actionable
Assessment of further information received	Within 3 working days of being made actionable
Write PPI letter	Within 3 working days of identifying potentially prejudicial information

Steps

1. Open the VAT

- a. Open the VAT/assessment template (refer to Working with the SMC Visa Assessment Tool as required).
- b. Start to complete details in the VAT as applicable, highlighting where information cannot be completed due to missing or inaccurate documents and information provided at lodgement.

2. Further information required?

- **Yes**, refer to "Requesting additional information (residence)"
- **No**, go to Step 3.

3. Advise applicant/Immigration Advisor of next steps

Compose email using 'Initial email' template.

Advise applicant/Immigration Advisor of the following:

- All documents have been received;
 - Case Officer contact details;
 - INZ will be in touch in due course.
- a. Copy initial assessment in to AMS notes.
 - b. Copy and paste initial email into AMS notes.
 - c. Send email to applicant/Immigration Advisor.

4. Consider Risk and Verification

If the application has been marked as High run the CRisM profile.

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Look at the profiling results and recommended actions.

These must be considered as part of the assessment and may lead to verification checks.

If the application file has a code that starts with ZH this will refer to a high risk rule and the risk advice is available on the [Verification Toolkit](#) to indicate a potential area of risk.

Consider others risks and verification requirements.

Consider any verification that may be required.

Follow the steps in the table below to perform Verification Checks.

If verification is by ...	Then...
External service provider	Add note in AMS outlining referral details
Email	<ul style="list-style-type: none">• Compose verification email (using email template where appropriate)• Include due date• Send email to relevant third party (employer, educational institute, previous employer, etc.)• Paste copy of the email into AMS note• Update case summary with details of verification undertaken
Phone interview and/or site visit	<ul style="list-style-type: none">• Compose interview questions using relevant template ('V187 Verification Interview' template or 'V186 Site Visit' template)• Schedule interview/site visit• conduct interview/site visit• type notes in full• save AMS template• Update case summary with details of verification undertaken

5. Information provided by due date?

Has all the information requested been provided by the due date?

- **Yes**, go to Step 8.
- **No**, go to Step 6.

6. Send reminder

- Send a reminder via email, including the original (initial) email, within 24 hours of the application being actionable.
 - a. Request that the required information be provided within 48 hours.
 - b. Follow-up with a phone call.
 - c. Create a note in AMS.
 - d. Copy and paste reminder email into note.
 - e. Make application non-actionable
 - Add an AMS Bring Up with the correct due date
 - Add the appropriate reason in AMS Workflow
 - Update the AMS Location to "Non-actionable"
 - Return the file to the Non-Actionable cabinet so that the Support Team can manage it.

Note: An application should have no more than one bring up set to the earliest due date.

7. Assess new information

- Using the [VAT](#), assess all the information provided in line with SMC instructions, outlining details of what has been received.
 - a. Include a copy of any email received.

8. Further information or verification required?

Is further information or verification required before assessment can proceed?

If...	Then...
Yes	Repeat Step 4 or Step 6 as appropriate
No	Go to Step 9

9. Instruction A4.10(b) Acceptable standard of health (applicants for residence) met?

Does the applicant meet instruction A4.10(b)?

If...	Then...
Yes	Go to Step 10
No	See SOP Assess health concerns

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10. Instruction A5.1 Requirement of good character met?

Does the applicant meet instruction A5.1?

If...	Then...
Yes	Go to Step 11
No	See SOP Assess character concerns

11. Any false or misleading information provided at EOI stage as per SM3.10.1 (SM3.5 if assessing application under SMC instructions in place before 28 August 2017)?

Does the applicant fall under SM3.10.1 (SM3.5) which relates to the provision of false or misleading information as part of an EOI or associated submission?

If...	Then...
Yes	See SOP Send Potentially Prejudicial Information (PPI) letter
No	Go to Step 12

Note: In assessing this Immigration Officers should follow guidance in Visa Pak Issue 183 (10 October 2014) 'Deciding applications under Sections SM3.5 and F4.10.5 of Immigration Instructions' The non-declaration of previous declined applications does not bring the client under instruction SM3.10.1 (SM3.5).

12. All third party checks complete?

Are all third party checks complete e.g:

- National Security Check
- NZ Police Check
- Medical Assessor referral or health status.

If...	Then...
Yes	Go to Step 13
No	Perform a Third Party Check follow up. See SOP Follow Up Third Party Check

13. Work through assessment

Continue to work through the assessment using the VAT. Progress through the following sections/instructions as applicable:

- . Partner
- a. Dependants
- b. English Language
- c. Employment
- d. Qualifications
- e. Work Experience
- f. Close family (only if assessing application under SMC instructions in place before 28 August 2017)

14. Instruction SM3.15 Approving an application met? (or Instruction SM21.5(a) Assessment of ability to settle and contribute met if assessing application under SMC instructions in place before 28 August 2017)

If...	Then...
Yes	Go to Step 15
No	Perform a Second Tier assessment See SOP Perform Second Tier assessment

15. Selection criteria met?

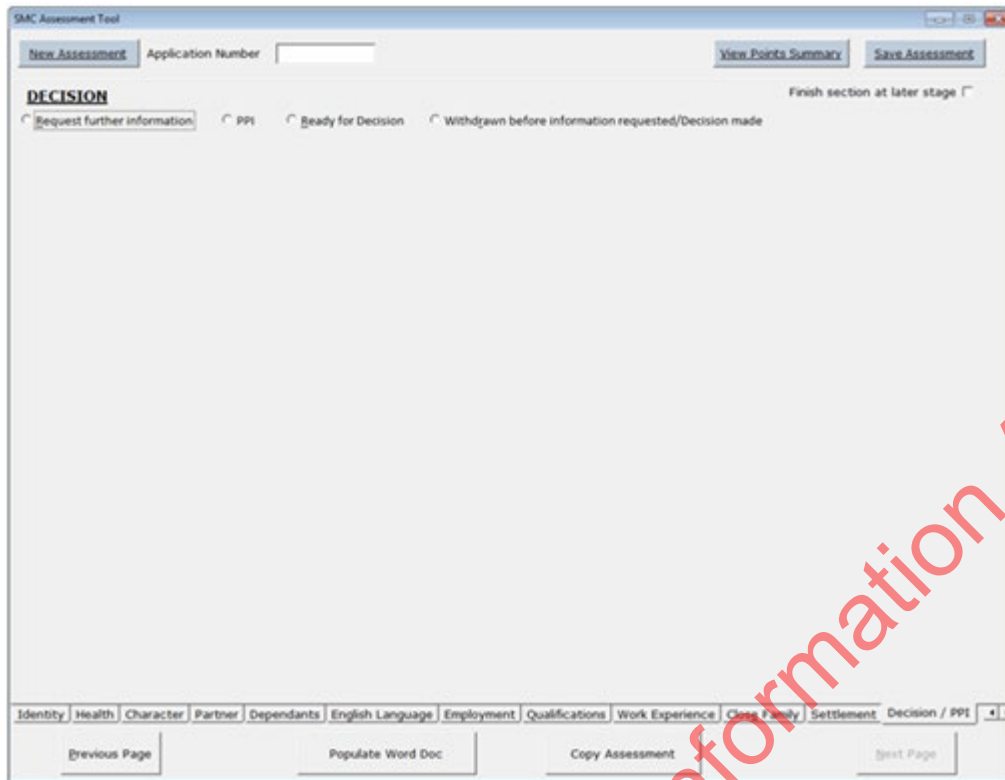
Does the applicant meet all the requirements to be granted a resident visa under SMC instructions at SM3.15 (or SM4.5? if assessing application under SMC instructions in place before 28 August 2017)

If...	Then...
Yes	Go to Step 16
No	No, send a PPI letter to the applicant See SOP Send PPI letter

16. Complete assessment using the VAT

Complete the assessment in the Decision / PPI tab of the VAT:

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- . Where a PPI letter has been sent, summarise the following in the appropriate location i.e. in the relevant section tabs within the VAT:
 - o the concern(s) put to the client for comment
 - o the response provided by the client/Immigration Advisor
 - o weighing and balancing of all factors relating to concern(s).
- a. Recommend the decision on the application.
- b. Is the recommendation to decline the application?

If...	Then...
Yes	See SOP Decline application
No	Go to the Decide and Finalise process. See SOP Decide Application in AMS

END

Working with the SMC Visa Assessment Tool

When to use

When an Immigration Officer has received a Skilled Migrant Category visa application to assess, the SMC Visa Assessment Tool (VAT) must be used to process and complete the assessment.

Role

Immigration Officer

Prerequisites

The SMC Visa Assessment Tool has been located and opened. See SOP Locating the Visa Assessment Tools and SOP Navigating the Visa Assessment Tools

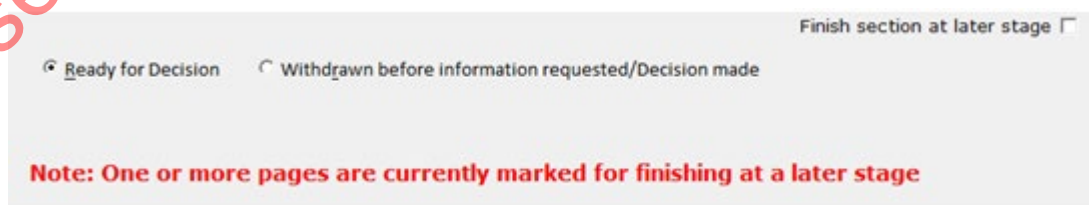
See:

- [Locating the visa assessment tools](#)
- [Navigating the visa assessment tools.](#)

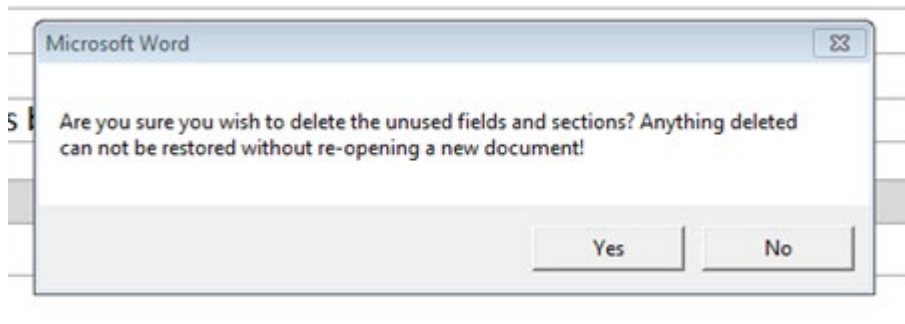
Clicking the **Load tool** button in the top left corner of the VAT will automatically take the user to the **General** page in order to begin the assessment.

Features

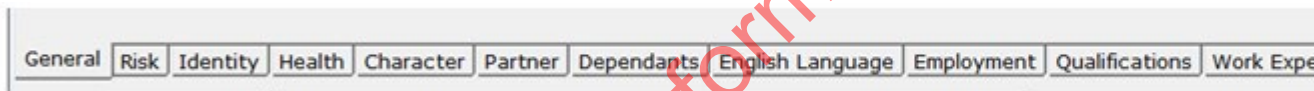
- Selections made (i.e. boxes checked) on the **General** page set the foundation for the rest of the assessment and drive what is displayed in other areas of the tool e.g. checking Partner included under Secondary Applicants in the **Application Summary** prompts the Partner options to appear under **Points Claimed**. Options will vary (and update) throughout the assessment.
- The Lodgement Date defines the calculation of all subsequent dates entered into the VAT e.g. dependent child dates
- The **Finish section at later stage** option identifies (by asterisk) which sections of the assessment remain incomplete e.g. Identity, Health, Settlement. It can be activated at any stage of the process. It also prompts a final reminder once the **Ready for Decision** option has been checked at the end of the assessment:



- The **Delete Unused Fields** button deletes unused or irrelevant assessment fields when copied into AMS i.e. it abbreviates the Application Summary. A pop-up will appear to remind the user that deleted fields cannot be restored into the same document.



- An automated Points Summary display runs alongside the assessment process if desired. Click on the **View Points Summary** button in the top right corner of the **General** page to view.
- Assessment categories should be worked through in 'section' tab order as order selections made early in the tool drive subsequent options. However, order can vary according to preference if necessary i.e. progression is not restricted by the order in which the section tabs appear:



- Verification is not a stand-alone section within the VAT. It has been incorporated into relevant categories e.g. qualification, partner, employment etc.
- The VAT has a technical limitation of:
 - no more than six children
 - five countries for foreign PCs per applicant.

Note: Details and comments can be written in the Comments field when assessment details exceed VAT technical capacity.

Guidelines

- The VAT is not the official record of the assessment. AMS remains the official assessment record. The assessment tool is not stored or saved after an assessment is completed.
- Avoid duplication of data which already exists in AMS. Do not capture data in the VAT unless it is essential to assessment. Data is captured and held within AMS.
- Assessments should only be copied from the VAT into AMS a maximum of two times:
 - Initial assessment notes
 - Final assessment notes.

Note: Any updates to the application between initial and final assessment should be copied directly to AMS (reducing information from the VAT being duplicated each time).

See [Copying and saving visa assessments](#)

- Ensuring assessments are finished and all fields are completed as required remains the responsibility of the Immigration Officer
- The naming convention for partially-saved assessments is the Application Number i.e. save assessments by application number into a shared folder
- Applications transferred from offshore offices for assessment must be accompanied by a partially-saved assessment
- Dates are to be entered in the following standard format throughout the assessment: (DD/MM/YYYY).

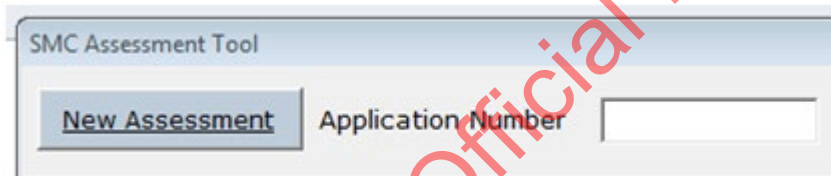
Note: Errors in date entry can be corrected by holding the backspace key down.

- If error occurs report to MBIE Service Desk.
- Refer to relevant SMC SOPs throughout the assessment process for BAU instructions.

Steps

1. Enter Application Number

In the upper left corner of the tool (on the General page) enter the visa application number in the **Application Number** field:

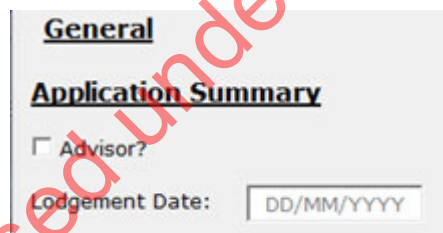


The screenshot shows the 'SMC Assessment Tool' window. On the left, there is a button labeled 'New Assessment'. To its right, the text 'Application Number' is followed by an empty text input field.

Note: The application number field's primary purpose is used as the file name when saving an assessment.

2. Enter lodgement date

Under the **Application Summary** heading, enter the lodgement date:



The screenshot shows the 'General' section of the tool. Under the heading 'Application Summary', there is a checkbox labeled 'Advisor?'. Below that, the text 'Lodgement Date:' is followed by a text input field containing the placeholder 'DD/MM/YYYY'.

Note: All subsequent dates entered e.g. date of birth, will automatically align with this Lodgement Date.

3. Complete Application Summary section

Work through the **Application Summary** requirements (on the left of the **General** page).

Skilled Migrant Category Visa Assessment Tool

Application Number

General Finish section at later stage

Application Summary

Advisor?

Lodgement Date:

PRINCIPAL APPLICANT

Name: (First, Last)

DOB:

Citizenship:

Country of Birth:

Application signed by all (over 17) Yes No

Contact Tab (Advisor/Employer) Yes No

SECONDARY APPLICANTS All applicants are onshore

Partner included

Child included

Points Claimed

Skilled Employment

Qualification

Work Experience

Close Family in New Zealand

Complete:

- **Principal Applicant** section, then
- **Secondary Applicants** section (if applicable).

Complete the Points Claimed section:

- Skilled Employment
- Qualification
- Work Experience
- Partner's skilled employment
- Partner's qualification
- Close family in New Zealand.

Notes:

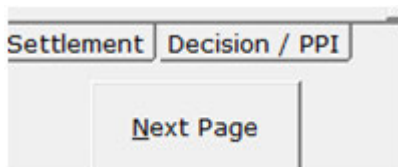
- There may be a five second delay when the Skilled Employment (and Partner's skilled employment) options are checked (due to ANZSCO reference data loading)

- Selections made in the **Application Summary** and **Points Claimed** sections drive what is displayed in subsequent areas of the form e.g. ticking Work Experience, then In New Zealand prompts the Work Experience and the WE Bonus tabs to be added to the tab option bar.

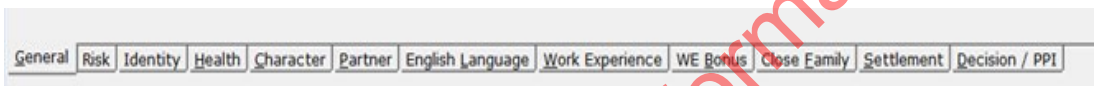
4. Progress through the assessment using the VAT

When the **Application Summary** is complete, begin to move through the tool by using one of the following three options:

- Clicking the Next Page button (on the bottom right):



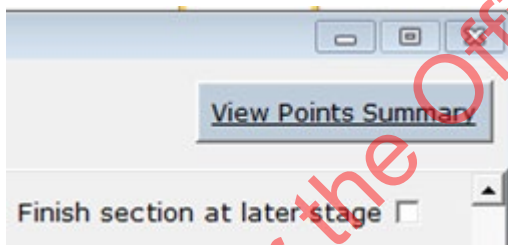
- Progressing through the section tabs by choosing an option from the row of section tabs at bottom right:



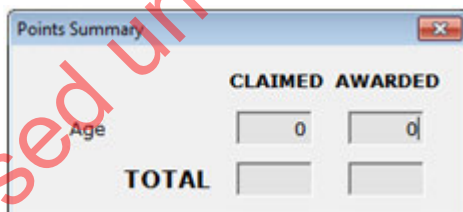
- Using options: Alt N (next) or Alt P (previous) or Alt 123 (relevant pages).

5. Activate Points Summary view

Activate the **Points Summary** view (if desired) by clicking on the **View Points Summary** button:



Result: A running calculation of points will appear for the duration of the assessment, which can be opened and closed as required:



6. Complete CRisM and SM3.5 section

On the **Risk** section, work through the **CRisM** and **SM3.5** requirements.

Note: Risk and verification has been incorporated into relevant assessment categories e.g. qualification, partner, employment etc.

Go to the Next Page (or the relevant next section).

7. Complete Identity section

Work through the **Identity** requirements:

The screenshot shows the 'Skilled Migrant Category Visa Assessment Tool' interface. At the top, there are buttons for 'Begin New Assessment', 'Application Number' (with an input field), 'Save Assessment', and 'View Points Summary'. The main section is titled 'Identity' and includes a checkbox for 'Finish section at later stage'. Below this, there are three sections: 'PA', 'Partner', and 'Child 1'. Each section contains four columns of radio button options: 'Birth Certificate Sighted', 'Passport Scanned', 'Passport Sighted', and 'Satisfied identity confirmed?'. The 'Satisfied identity confirmed?' option for the 'PA' section is selected. At the bottom, there is a 'Comments' text area and a navigation bar with tabs for 'General', 'Risk', 'Identity', 'Health', 'Character', 'Partner', 'Dependants', 'English Language', 'Employment', 'Qualifications', 'Work Experience', 'Settlement', and 'Decision / PPI'. Below the navigation bar are buttons for 'Previous Page', 'Populate and Copy', and 'Next Page'.

Repeat per applicant as required.

8. Activate Finish section at later stage option

Activate the **Finish section at later stage** option at any stage of the assessment as required. Unfinished categories will be identified by an asterisk:

The screenshot shows a portion of the assessment tool's navigation bar. The tabs are 'Health', '* Character', and 'Dependants'. The asterisk next to 'Character' indicates it is an unfinished section.

Also, a final reminder to complete unfinished sections will be prompted once the Ready for Decision option has been checked on completion of assessment.

9. Complete Health section

Work through the **Health** requirements:

Skilled Migrant Category Visa Assessment Tool

[Begin New Assessment](#)
 Application Number
[Save Assessment](#)
[View Points Summary](#)

HEALTH REQUIREMENTS [IHS Portal](#) Finish section at later stage

PA

Applicant Meets Health Requirements?

Satisfied with Health? Yes No

Partner

Applicant Meets Health Requirements?

Satisfied with Health? Yes No

Medical Comments:

[General](#)
[Risk](#)
[Identity](#)
[Health](#)
[Character](#)
[Partner](#)
[English Language](#)
[Settlement](#)
[Decision / PPI](#)

[Previous Page](#)
[Populate and Copy](#)
[Next Page](#)

Note: Medical and x-ray dates are not included as this information is already in AMS and IHS.

Repeat per applicant as appropriate.

10. **Complete Character section**

Work through the **Character** requirements:

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Skilled Migrant Category Visa Assessment Tool

Begin New Assessment Application Number Save Assessment View Points Summary

CHARACTER REQUIREMENTS NZPC Portal NSC Portal Finish section at later stage

PA

PC from NZ

PC Status

Requested

Required - Total time spent in NZ is greater than 12 months
 Not Required - Total time spent in NZ is less than 12 months
 Not Required - Previous NZ PC requested less than 6 months ago.
 Received and clear
 Received and not clear

Character issues declared? Yes No

Satisfied character requirements met? Yes No

NSC Not Required
 Required and Requested
 Response received with comment
 Response received with no comment

PC from NZ

PC Status

Requested

Character issues declared? Yes No

Satisfied character requirements met? Yes No

NSC Not Required
 Required and Requested
 Response received with comment
 Response received with no comment

Foreign PC(s)

Country	PC Status
Afghanistan	Required but not submitted. Requested. (A5.5)
Bahamas	Not required - Applicant has not spent more than 12 months in New Zealand
Taiwan	Received with previous application (Less than 6 months old). Clear and still valid
Kazakhstan	Received with previous application (Less than 6 months old). Not clear or valid.
Ecuador	Required but not submitted. Requested. (A5.5)

Comments

General Risk Identity Health Character Partner English Language Settlement Decision / PPI

Previous Page Populate and Copy Next Page

Note: PC dates are not included as this information should be created as a character note in AMS.

Repeat per applicant as appropriate.

11. Complete Partner section

Work through the **Partner** requirements (if applicable):

Skilled Migrant Category Visa Assessment Tool

Application Number

PARTNER Finish section at later stage

Brief history of partnership:

Date of Marriage

Country of Marriage

Genuine and Stable / Living Together

Evidence Provided:

- A marriage certificate for the parties
- A civil union certificate for the parties
- Birth certificates of any children of the parties
- Evidence of communication between the parties
- Photographs of the parties together
- Documents indicating public recognition of the partnership
- Evidence of being financially interdependent, such as shared income, joint bank accounts, shared assets
- Joint ownership of residential property
- Joint tenancy agreement or rent book or rental receipts
- Correspondence (including postmarked envelopes) addressed to both principal applicant and partner at the same address

Other evidence provided and/or comments regarding evidence provided:

Satisfied PA and partner are living together, based on the evidence provided. Yes No

Satisfied PA and partner are in a genuine and stable relationship. Yes No

Verification

Required? Yes No

Activities/Comments

Note: If a partner is to be deferred, capture the details e.g. relationship dates and note them in the Comments field.

12. Complete Dependants section

Work through the **Dependants** requirements (if applicable):

SMC Assessment Tool

[New Assessment](#) Application Number [View Points Summary](#) [Save Assessment](#)

Dependants Finish section at later stage

Alice (2 years old)
 Family relationship: Birth cert shows PA is child's biological parent.
 Custody: No issues. Both parents named on birth certificate are included in this application.
 Dependency: 17 or under and single. Dependency is presumed in absence of evidence to the contrary.

Bob (17 years old)
 Family relationship: Birth cert shows PA is child's biological parent.
 Custody: Not relevant as child is 16 years or older.
 Dependency: 17 or under and single. Dependency is presumed in absence of evidence to the contrary.

Charles (20 years old)
 Family relationship: Birth cert shows PA is child's biological parent.
 Custody: Not relevant as child is 16 years or older.
 Dependency: 18 - 20 and single with no children. Dependency is presumed.

Comments

General Risk Identity Health Character **Dependants** English Language Settlement Decision / PPI

[Previous Page](#) [Populate Word Doc](#) [Copy Word Doc](#) [Next Page](#)

Repeat per dependant as required.

Note: The VAT has a technical limitation of no more than six children. Record details and write comments in the **Comments** field if assessment details exceed VAT capacity.

13. Complete English Language section

Work through the **English Language** requirements:

Skilled Migrant Category Visa Assessment Tool

Begin New Assessment Application Number Save Assessment View Points Summary

ENGLISH LANGUAGE REQUIREMENTS Finish section at later stage

PA	Evidence is a competent user of English SMS.5(c)
(SMS.5)	IELTS cert Less than 24 months old showing overall band score of at least 6.5 SMS.5b NZ Bachelor's Degree (or post-grad with recognised undergrad qual) 24 months duration SMS.5c Recognized qual gained from course taught in English SMS.5c Current recognised skilled employment for at least 12 months SMS.5c
Partner	Evidence is a competent user of English SMS.5c
(SMS.10)	Does not meet requirements - Insufficient evidence provided. Does not meet requirements - IELTS below 6.5

General Risk Identity Health Character Partner English Language Settlement Decision / PPT

Previous Page Populate and Copy Next Page

14. **Complete the Employment section**

Work through the **Employment** requirements (if applicable). The 6-digit ANZCO code can be entered directly, if known, and the relevant sections will auto-complete:

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Skilled Migrant Category Visa Assessment Tool

Application Number

Job
 Title: Employer:
 Location: Payrate:
 Full time: EA states at least 30 hours per week Market Rate:
 Start Date: DD/MM/YYYY Employment: Permanent

Full and signed IEA/JD has been provided

ANZSCO Classification
 Occupation: Skills Shortages? Skill Level ANZSCO Code

Occupational Registration Required? Yes No
 SM7.10.1 Appendix 6 Part A Appendix 6 Part B Appendix 6 Part C
 SM7.10.3 Appendix 7
 ANZSCO Requirements

Skilled employment conclusion
 Employment Sustainable Yes No

Skilled employment 12 months or less
 Skilled employment more than 12 months
 Does not meet requirements for award of points

Whether meets SM7.10 requirements
 Meets SM7.10 by: Please select an occupation first

General Risk Identity Health Character Partner English Language Employment Qualifications Work Experience WE Bonus Close Family Settlement Dev

ANZCO #
here

Otherwise select from the **Occupation** dropdown menu.

Manually select where the occupation falls under SM7.10

15. Complete the Qualifications section

Work through the **Qualifications** requirements (if applicable):

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Skilled Migrant Category Visa Assessment Tool

Begin New Assessment Application Number [] Save Assessment View Points Summary

Points for recognised qualification: Finish section at later stage

Qualification: []
 Name of Education Provider: [] Country: [] Date Awarded []/[/]/[]

Copy of PA's qualification certificate and academic transcript on file?

Recognised because:

- Assessed by NZQA
- Recognised through registration
- On list of qualifications exempt from assessment (appendix 3)
- On list of qualifications recognised as an exception (appendix 8) (LQEA)
- Not recognised

NZQF Level: []

Points: []

Bonus points for New Zealand Qualifications SM15.5

- Bachelor's Degree (level 7) that took at least 4 semesters and 16 months of study.
- Post-graduate qualification:
- Eligible for bonus points under new provisions, however completed or started studying before 25 July 2011; grandparenting applies

Comments

[]

Bonus points for qualifications in an Identified Future Growth Area or an Area of Absolute Skills Shortage SM16

- AASS Qual SM16.20 Claimed, but does not meet requirements.
- Future Growth Area Qual SM16.10 Claimed, but does not meet requirements.

General Risk Identity Health Character Partner English Language Employment Qualifications Work Experience WE Bonus Close Family Settlement Dep

Previous Page Populate and Copy Next Page

Reminder: The selections available will depend on options checked in the Application Summary:

Qualification Level 7-8

- Identified future growth area
- Area of absolute skills shortage
- NZ basic qualification []
- NZ post graduate qualification []
- NZ qual 2 years+ (grandparented)
- Work Experience []
- Close Family in New Zealand

16. Complete the Work Experience section
 Work through the Work Experience requirements (if applicable):

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Skilled Migrant Category Visa Assessment Tool

Begin New Assessment Application Number Save Assessment View Points Summary

Recognised Work Experience Finish section at later stage

Job Title	Employer	Country	Contact Details?	Start date	Finish date	Part time	Duration (years)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text" value="DD/MM/YYYY"/>	<input type="text" value="DD/MM/YYYY"/>	<input type="checkbox"/>	<input type="text" value="0"/>

Comparable labour market:

Total: years which qualifies for points for years recognised work experience.

Calculate Hours

Comments

Microsoft Word

Recognised work experience:

1. Relevant to PA's skilled employment in NZ.
2. Relevant to PA's recognised qualification
3. Skilled because it enabled PA to gain specialist, technical or management experience relevant to an occupation in Appx 6 or 7

OK

General Risk Identity Health Character Partner English Language Employment Qualifications Work Experience WE Bonus Close Family Settlement Dev

Previous Page Populate and Copy Next Page

Make sure you record only work experience that is recognised, as points are only calculated on the basis of recognised hours.

Note: If any examples of work experience are not recognised, then enter 'not recognised' and the relevant details in the **Comments** field.

17. Complete the Work Experience Bonus section

Work through the **Work Experience Bonus** requirements.

Reminder: The selections available will depend on options checked in the **Application Summary:**

<input checked="" type="checkbox"/> Work Experience	<input type="text" value="2 years"/>
<input checked="" type="checkbox"/> In New Zealand	<input type="text" value="1 year"/>
<input checked="" type="checkbox"/> Identified future growth area	<input type="text" value="2-5 years"/>
<input checked="" type="checkbox"/> Area of absolute skills shortage	<input type="text" value="2-5 years"/>

18. Complete the Close Family section

Work through the **Close Family** requirements (if applicable):

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Skilled Migrant Category Visa Assessment Tool

Application Number

CLOSE FAMILY IN NEW ZEALAND SM20 Finish section at later stage

Relation to: Principle Applicant
 Partner

Name of family member:

Status NZ Resident
 NZ Citizen

Relationship:

Parents are named on birth certificate. This proves the family link.
 AMS shows (name) is in New Zealand
 Satisfied that NZ was the primary place of established residence at the time the application was made.

Comments

19. **Complete the Settlement section**

Work through the **Settlement and Contribution** requirements (including the **Second Tier Assessment/Interview requirements**) as applicable:

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Skilled Migrant Category Visa Assessment Tool

Begin New Assessment Application Number Save Assessment View Points Summary

SETTLEMENT AND CONTRIBUTION SM21 Finish section at later stage

PA has not already demonstrated ability to settle and contribute, so an interview is required (doesn't meet SM21.5)

Second Tier Assessment / Interview required? Yes No [Second Tier Matrix Link](#)

Second Tier Interview (if Applicable)

Employment Prospects <Provide a summary of the assessment of the PA's skilled employment prospects, including matrix score>

Familiarity & Preparedness <Provide a summary of the assessment of the PA's (and family, where relevant) familiarity with NZ and preparedness for settlement, including matrix score>

Linkages & Support <Provide a summary of the assessment of the linkages and support in NZ, including matrix score>

Comments <Provide a summary of general comments and/or any PPI>

General Risk Identity Health Character Partner English Language Employment Qualifications Work Experience WE Bonus Close Family Settlement Dec

Previous Page Populate and Copy Next Page

Second Tier Matrix

possible remove interview is required

Use the **Second Tier Matrix Link** as required.

20. Review assessment

Ensure all the information required to be in the VAT is present.

Confirm all applicable sections have been completed.

Note: Ensuring assessments are finished and all fields are completed as required remains the responsibility of the Immigration Officer.

21. Complete the Decision/PPI section

Work through the **Decision/PPI** section by checking the relevant option:

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There are four options to select from:

- Request further information
- PPI
- Ready for decision
- Withdrawn before information requested/Decision made.

Note: All options result in a decision (**Recommended Approval** or **Recommended Decline**) being prompted. **Request further information** and **PPI** options will prompt a **Satisfied with response/ready for a recommendation** option before a decision is possible:

- Satisfied with response / Ready for a recommendation
- Recommend Approval
- Recommend Decline
- Withdrawn

Select the appropriate **Decision** option after working through the relevant selection.

e. If the **Request further information** option is checked, then work through the following screen:

Skilled Migrant Category Visa Assessment Tool

Application Number

DECISION Finish section at later stage

Request further information
 PPI
 Ready for Decision
 Withdrawn before information requested/Decision made

Information Requested

Information Received / Response

Satisfied with response / Ready for decision
 Recommend Approval
 Recommend Decline
 Withdrawn

Note: If you have a partially-completed assessment refer to [Copying and saving visa assessments](#)

If a decision is reached, the VAT Word document is ready to be populated with assessment notes. Go to Step 22.

- f. If the **PPI** option is checked, then work through the following screen:

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Skilled Migrant Category Visa Assessment Tool

[Begin New Assessment](#) Application Number [Save Assessment](#) [View Points Summary](#)

DECISION Finish section at later stage

Request further information PPI Ready for Decision Withdrawn before information requested/Decision made

PPI Summary / Letter Sent

PPI Response Summary / Letter

Satisfied with response / Ready for decision

Recommend Approval

Recommend Decline

Withdrawn

Identity | Health | Character | Partner | English Language | Employment | Qualifications | Work Experience | WE Bonus | Close Family | Settlement | Decision / PPI

[Previous Page](#) [Populate and Copy](#) [Next Page](#)

If a decision is reached, the VAT Word document is ready to be populated with assessment notes. Go to Step 22.

- g. If the **Ready for Decision** option is checked, then work through the following screen:

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Skilled Migrant Category Visa Assessment Tool

Begin New Assessment Application Number Save Assessment View Points Summary

DECISION Finish section at later stage

Request further information PPI Ready for Decision Withdrawn before information requested/Decision made

Recommend Approval
 Recommend Decline

Identity Health Character Partner English Language Employment Qualifications Work Experience WE Bonus Close Family Settlement Decision / PPI

Previous Page Populate and Copy Next Page

If a decision is reached, the VAT Word document is ready to be populated with assessment notes. Go to Step 22.

- h. If the **Withdrawn before information requested/Decision made** option is checked, then work through the following screen:

Skilled Migrant Category Visa Assessment Tool

Begin New Assessment Application Number Save Assessment View Points Summary

DECISION Finish section at later stage

Request further information PPI Ready for Decision Withdrawn before information requested/Decision made

Recommend Approval
 Recommend Decline

Identity | Health | Character | Partner | English Language | Employment | Qualifications | Work Experience | WE Bonus | Close Family | Settlement | Decision / PPI

Previous Page Repopulate and Copy Next Page

Once a decision is reached, the VAT Word document is ready to be populated with assessment notes. Paste Application Summary into AMS. Go to Step 22.

22. Copy and save VAT assessment notes

Refer to [Copying and saving visa assessments](#)

END

Assess character concerns (SMC)

When to use

When an applicant does not meet [A5.1](#) Requirement of good character.

Role

Immigration Officer

Guidelines

- If the applicant has only provided a certified copy of their passport(s) at lodgement, request the original passport(s) as required (for example, to complete a passport scan, or assess the applicant's identity). Once received, complete scan if required - see [SOP Scan travel document](#)
- Assessment templates have been revised so that one standardised template can be used at all offices (see standardised Assessment templates at the end of this SOP)
- Use the SMC Visa Assessment Tool (VAT); refer to [Working with the SMC Visa Assessment Tool](#) and other [VAT SOPs](#).
- Follow the [Setting due dates guidelines](#) (on a case-by-case basis) to determine how long to allow a client to provide required information

Information being requested	Timeframe
Details missing from application form	3 working days
Additional details form	3 working days
Full employment agreement and/or job description	3 working days
IRD Summary of Earnings, payslips, bank statements	3 working days
Evidence of registration	3 working days
Evidence of English ability	3 working days
Marriage certificate or evidence of relationship	3 working days
Evidence of close family support	3 working days
Evidence of dependence	3 working days

Verification of NZ work experience	3 working days
Basic EQ to employer (questions only)	3 working days
Original or certified copies of any document	3 working days
Verification of overseas work experience	5 working days
Full EQ to employer (incl. supporting docs)	5 working days
Work reference letter or email direct from previous employer	5 working days
NZ qualification certificate	5 working days
Offshore qualification certificate	10 working days
Full birth certificate (including additional/secondary ID)	10 working days
Medical tests or evidence of appointment with specialist	10 working days
Evidence of English language test date booking	10 working days
Evidence of commencing NZQA assessment process	10 working days
Response to PPI letter	10 working days

- Follow the guidelines below when determining how long to allow a client to provide required information. Apply on a case-by-case basis.

- Follow the [SMC timeframe expectations](#) to achieve overall SMC expectations

Process step	Timeframe	Why this is standard practice
Complete initial assessment	Within 24 hours of pulling the application from the queue	Standard practice states a new application will only be pulled from the queue when an Officer has no further actionable work. The full initial

		assessment can therefore begin immediately, which in turn enables the Officer to begin verification activities and request any additional information at the earliest opportunity.
Follow-up when requested information has not been provided by due date	Within 24 hours of due date	Where information is not provided within the timeframe given, an application is at risk of remaining at one process step for longer than necessary. An Officer is expected to follow-up as soon as possible after the due date and always within 24 hours, in order to actively manage the application through the assessment process.
Assessment of further information received	Within three working days of receipt	Assessment of new information within three working days of receipt ensures the next applicable action (e.g. final case summary, PPI written, further information requested) is undertaken at the earliest opportunity. This prevents the application waiting at one process step for several processing days, while timeliness is still being measured.
Write PPI letter	Within three working days of identifying potentially prejudicial information	A PPI letter should be written as soon as possible following the identification of concerns, and always within three working days. This ensures the information put forward for comment is still relevant and the details are fresh in the

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		Officer's mind.
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- Follow these guidelines to achieve overall SMC timeframe expectations.
- Follow the timeframes in the table below when assessing an SMC application.

Action	Timeframe
Complete initial assessment	Within five working days of being assigned
Follow-up when requested information is not provided by due date (see below guidance)	Within 24 hours of being made actionable
Assessment of further information received	Within 3 working days of being made actionable
Write PPI letter	Within 3 working days of identifying potentially prejudicial information

Steps

1. Create PPI letter

- Select relevant template via AMS TLS

Note: Use V319a Conceded character issue Residence if the client/their representative has conceded in their application documentation that they do not meet character requirements at A5.25, otherwise use V319 Character issue PPI Residence.

- Write the PPI letter following the template prompts.

Include a due date in line with timeframe guidelines.

- Save as a draft in TLS.

2. Send PPI letter

Email the PPI letter to the applicant.

3. Create AMS note

Create a note in AMS stating the PPI letter has been sent

Include the due date for applicant's response.

4. Print PPI letter and place it on the applicant's file

- Print the PPI letter and place on applicant's file.
- Return the file to the Non-Actionable section of caseload cabinet.

5. Make application non-actionable

- a. Add an AMS Bring Up with the correct due date
- b. Add the “NA – PPI Response” reason in AMS Workflow
- c. Update the AMS Location to “Non-actionable”
- d. Return the file to the Non-Actionable cabinet so that the Support Team can manage it.

6. Await response

Await applicant’s response and assess.

7. Is a character waiver required?

Does the information provided by the applicant indicate that a character waiver will be required?

If...	Then...
Yes, and they have been sent V319 Character issue PPI Residence	Go to Step 10
Yes, and they have been sent V319a Conceded character issue Residence	Go to Step 11

8. Create PPI letter

- a. Select the relevant template via AMS TLS (AMS V320 Character waiver PPI Residence).
- b. Write the PPI letter following the template prompts.
Include a due date in line with timeframe guidelines.
- c. Save as a draft in TLS.

Repeat Steps 2-8 above.

9. Draft waiver

- a. Select the relevant template via AMS TLS [V317 Character waiver assessment Residence]
- b. Complete the template content up to the Conclusion section.
- c. Save as a draft in TLS.

10. 2PC waiver

- a. Update the AMS Location to "Waivers"
- b. Forward the waiver recommendation to a Technical Advisor (TA) or Immigration Manager (IM) for Waiver review.

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- c. The TA/IM will complete the remaining sections; make a final decision on the character waiver, and return

They will complete the remaining sections and return.

Return from Waiver Queue

After the waiver has been reviewed and is now being returned

Receive waiver from TA/IM

- a. Print out waiver.
- b. Place on file.
- c. Complete assessment using the VAT.

END

Assess health concerns (SMC)

When to use

When an applicant does not meet instruction [A4.10\(b\)](#) Acceptable standard of health (applicants for residence). IHS has been checked and any medicals have been referred to the Medical Assessor.

Role

Immigration Officer

Guidelines

- If the applicant has only provided a certified copy of their passport(s) at lodgement, request the original passport(s) as required (for example, to complete a passport scan, or assess the applicant's identity). Once received, complete scan if required - see [SOP Scan travel document](#)
- Assessment templates have been revised so that one standardised template can be used at all offices (see standardised Assessment templates at the end of this SOP)
- Use the SMC Visa Assessment Tool (VAT); refer to [Working with the SMC Visa Assessment Tool](#) and other [VAT SOPs](#).
- Follow the [Setting due dates guidelines](#) (on a case-by-case basis) to determine how long to allow a client to provide required information

Information being requested	Timeframe
Details missing from application form	3 working days

Additional details form	3 working days
Full employment agreement and/or job description	3 working days
IRD Summary of Earnings, payslips, bank statements	3 working days
Evidence of registration	3 working days
Evidence of English ability	3 working days
Marriage certificate or evidence of relationship	3 working days
Evidence of close family support	3 working days
Evidence of dependence	3 working days
Verification of NZ work experience	3 working days
Basic EQ to employer (questions only)	3 working days
Original or certified copies of any document	3 working days
Verification of overseas work experience	5 working days
Full EQ to employer (incl. supporting docs)	5 working days
Work reference letter or email direct from previous employer	5 working days
NZ qualification certificate	5 working days
Offshore qualification certificate	10 working days
Full birth certificate (including additional/secondary ID)	10 working days
Medical tests or evidence of appointment with specialist	10 working days
Evidence of English language test date booking	10 working days
Evidence of commencing NZQA assessment process	10 working

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	days
Response to PPI letter	10 working days

- Follow the [▶ SMC timeframe expectations](#) to achieve overall SMC expectations

Process step	Timeframe	Why this is standard practice
Complete initial assessment	Within 24 hours of pulling the application from the queue	Standard practice states a new application will only be pulled from the queue when an Officer has no further actionable work. The full initial assessment can therefore begin immediately, which in turn enables the Officer to begin verification activities and request any additional information at the earliest opportunity.
Follow-up when requested information has not been provided by due date	Within 24 hours of due date	Where information is not provided within the timeframe given, an application is at risk of remaining at one process step for longer than necessary. An Officer is expected to follow-up as soon as possible after the due date and always within 24 hours, in order to actively manage the application through the assessment process.
Assessment of further information received	Within three working days of receipt	Assessment of new information within three working days of receipt ensures the next applicable action (e.g. final case summary, PPI written, further information requested) is undertaken at the earliest opportunity. This prevents the application waiting at one

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		process step for several processing days, while timeliness is still being measured.
Write PPI letter	Within three working days of identifying potentially prejudicial information	A PPI letter should be written as soon as possible following the identification of concerns, and always within three working days. This ensures the information put forward for comment is still relevant and the details are fresh in the Officer's mind.

- Follow the timeframes in the table below when assessing an SMC application.

Action	Timeframe
Complete initial assessment	Within five working days of being assigned
Follow-up when requested information is not provided by due date (see below guidance)	Within 24 hours of being made actionable
Assessment of further information received	Within 3 working days of being made actionable
Write PPI letter	Within 3 working days of identifying potentially prejudicial information

Steps

1. Create PPI letter

- Select the relevant template via AMS TLS (AMS V156 PPI Medical Assessor/MoE Assessor).
- Write the PPI letter following the template prompts.
Include a due date in line with timeframe guidelines.
- Save as a draft in TLS.

2. Send PPI letter

Email the PPI letter to the applicant.

3. Create AMS note

Create a note in AMS stating the PPI letter has been sent.

Include the due date for a client response.

4. Print the PPI letter and place it on the applicant's file

5. Make application non-actionable

- a. Add an AMS Bring Up with the correct due date
- b. Add the "NA – PPI Response" reason in AMS Workflow
- c. Update the AMS Location to "Non-actionable"
- d. Return the file to the Non-Actionable cabinet for the Support Team to manage.

6. Original concerns disputed?

Has the applicant's response disputed the original concerns?

Yes, go to Step 7

No, go to Step 10.

7. Re-open health case or send request to Health Assessment Team (HAT)

Refer to the [SOP Request a reconfirmation for a disputed 'NOT ASH' medical opinion](#).

Check that all disputing information is correct, health related and is complete.

Check if the 'Not ASH' health outcome is final or not, and which visa category is was assessed under. This will determine if you need to re-open the health case. Refer to the table in Step 2 of [SOP Request a reconfirmation for a disputed 'NOT ASH' medical opinion](#).

- If required, re-open the health case and update the identifiers and visa details in the health case. (Refer to [SOP Re-open a health case in IHS](#) and Update the visa details in a health case in IHS).
 - Upload any supporting information provided by the applicant into the health case.
 - Add a 'Referral Note' to advise HAT what you need done next e.g. "Disputing information attached. Please refer for reconfirmation of 'Not ASH' health decision for Residence application."
- If you have determined that you should not re-open the health case, send an email request to HAT asking them to refer the applicant's health case to a Medical Assessor (MA) for reconfirmation of the decision. Refer to [SOP Sending communications to HAT](#).
 - Include any supporting information provided by the applicant in the email.

Send a request to HAT asking them to refer the applicant's health case to the original Medical Assessor (MA).

Include any supporting information provided by the applicant.

8. Await response from HAT.

You will need to wait for a response from the HAT team indicating an opinion on the applicant's Acceptable Standard of Health (ASH), i.e. whether the applicant's 'Not ASH' opinion has been maintained.

Regularly check in IHS for any updates to the health case(s) you have queried.

Track the status of the health case to check when it has been reassessed. Check the Health Status Report for updates. Refer to [SOP Managing the Health Status report for the Office](#). Follow up with HAT as required if you cannot understand what's happening to the health case in IHS.

9. Has the 'Not ASH' opinion been maintained?

If...	Then...
Yes	Go to Step 11
No	See SOP Assess SMC application Complete assessment using the VAT .

10. Create PPI letter

- . Select the relevant template via AMS TLS (AMS V325 Medical Waiver PPI).
- a. Write the PPI letter following the template prompts.

Include a due date in line with timeframe guidelines.

- b. Save as a draft in TLS.

11. Send PPI

- . Email the PPI letter to the applicant.
- a. Create a note in AMS stating PPI letter has been sent.

Include the due date for applicant's response.

- b. Print the PPI letter and place on applicant's file
- c. Add an AMS Bring Up with the correct due date
- d. Add the "NA - PPI Response" reason in AMS Workflow
- e. Update the AMS Location to "Non-actionable"
- f. Return the file to the Non-Actionable cabinet for the Support Team to manage
- g. Set a reminder for the due date in Outlook Calendar, AMS Bring Ups or other method.
- h. Print the PPI letter and place on applicant's file.
- i. Return the file to the Non-Actionable section of caseload cabinet.

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- j. Await applicant's response and assess.
12. **Draft waiver**
 - . Select the relevant template via AMS TLS [V60 Medical waiver assessment]
 - a. Complete the template content up to the 'Weighing and balancing of factors' section.
 - b. Save as a draft in TLS.
13. **2PC waiver**
 - . Update the AMS Location to "Waivers"
 - a. Forward the waiver recommendation to a Technical Advisor (TA) or Immigration Manager (IM) for Waiver review.
 - b. The TA/IM will complete the remaining sections, make a final decision on the character waiver, and return.

Return from Waiver queue

14. Receive waiver from TA/IM

- a. Print out waiver.
- b. Place on file.
- c. Complete assessment using the [VAT](#).

End

Assess skilled employment following a JSV Deferral (SMC)

When to use

When an applicant has obtained an offer of employment within the deferral period.

Role

Immigration Officer

Guidelines

- If the applicant has only provided a certified copy of their passport(s) at lodgement, request the original passport(s) as required (for example, to complete a passport scan, or assess the applicant's identity). Once received, complete scan if required - see SOP Scan travel document

- Assessment templates have been revised so that one standardised template can be used at all offices (see standardised Assessment templates at the end of this SOP)
- Use the SMC Visa Assessment Tool (VAT); refer to [Working with the SMC Visa Assessment Tool](#) and other [VAT SOPs](#).
- Follow the [Setting due dates guidelines](#) (on a case-by-case basis) to determine how long to allow a client to provide required information

Information being requested	Timeframe
Details missing from application form	3 working days
Additional details form	3 working days
Full employment agreement and/or job description	3 working days
IRD Summary of Earnings, payslips, bank statements	3 working days
Evidence of registration	3 working days
Evidence of English ability	3 working days
Marriage certificate or evidence of relationship	3 working days
Evidence of close family support	3 working days
Evidence of dependence	3 working days
Verification of NZ work experience	3 working days
Basic EQ to employer (questions only)	3 working days
Original or certified copies of any document	3 working days
Verification of overseas work experience	5 working days
Full EQ to employer (incl. supporting docs)	5 working days
Work reference letter or email direct from previous employer	5 working days
NZ qualification certificate	5 working days
Offshore qualification certificate	10 working days

Full birth certificate (including additional/secondary ID)	10 working days
Medical tests or evidence of appointment with specialist	10 working days
Evidence of English language test date booking	10 working days
Evidence of commencing NZQA assessment process	10 working days
Response to PPI letter	10 working days

- Follow the [SMC timeframe expectations](#) to achieve overall SMC expectations

Process step	Timeframe	Why this is standard practice
Complete initial assessment	Within 24 hours of pulling the application from the queue	Standard practice states a new application will only be pulled from the queue when an Officer has no further actionable work. The full initial assessment can therefore begin immediately, which in turn enables the Officer to begin verification activities and request any additional information at the earliest opportunity.
Follow-up when requested information has not been provided by due date	Within 24 hours of due date	Where information is not provided within the timeframe given, an application is at risk of remaining at one process step for longer than necessary. An Officer is expected to follow-up as soon as possible after the due date and always within 24 hours, in order to actively manage the application through the assessment

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		process.
Assessment of further information received	Within three working days of receipt	Assessment of new information within three working days of receipt ensures the next applicable action (e.g. final case summary, PPI written, further information requested) is undertaken at the earliest opportunity. This prevents the application waiting at one process step for several processing days, while timeliness is still being measured.
Write PPI letter	Within three working days of identifying potentially prejudicial information	A PPI letter should be written as soon as possible following the identification of concerns, and always within three working days. This ensures the information put forward for comment is still relevant and the details are fresh in the Officer's mind.

- Follow the timeframes in the table below when assessing an SMC application.

Action	Timeframe
Complete initial assessment	Within five working days of being assigned
Follow-up when requested information is not provided by due date (see below guidance)	Within 24 hours of being made actionable
Assessment of further information received	Within 3 working days of being made actionable
Write PPI letter	Within 3 working days of identifying potentially prejudicial information

Steps

1. ▶ Select ANZSCO code ▶

Contact the applicant and request them to select the ANZSCO code they want their employment assessed against.

2. ▶ Required documents provided? ▶

Have the following required documents been provided?

- Full employment agreement
- Job description
- Employer's contact details
- Any other relevant supporting documents

If	Then ...
Yes	Go to Step 3
No	Contact applicant and request documents Give timeframe Await response

3. ▶ Verify employment ▶

Verify and assess the applicant's employment.

Does employment meet [SM6](#) Skilled Employment?

▶ If ▶	▶ Then ... ▶
Yes	Add details of verified skilled employment using the VAT Go to the ▶ <i>Decide and Finalise</i> ▶ process
No	Go to Step 4

4. ▶ Create PPI letter ▶

- Select relevant template from AMS TLS (AMS V68 Letter requesting comment on potentially prejudicial information or V71 Letter requesting comment on potentially prejudicial information Skilled Employment.)
- Write the PPI letter following the template prompts.

Outline concerns regarding employment. Outline the date by which they are required to obtain an offer of skilled employment (end of deferral period).

- Save as a draft in TLS.

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d. Email the letter to the applicant.

5. ▶ Create AMS note ▶

Note any remaining time on applicant's deferral period.

Note the date by which they are required to obtain an offer of skilled employment.

- . Update the AMS Location to "Non-Actionable"
- a. Update the AMS workflow reason to "NA – PPI response", and wait for a response from the applicant.
- b. Create an AMS Bring Up with the due date.
- c. Place the physical file in the non-actionable cabinet for the Support Team to monitor.

6. ▶ Evidence of skilled employment provided? ▶

Has the applicant provided evidence of obtaining an offer of skilled employment before end of deferral period?

If	Then ...
Yes	Use the VAT to add details of verified skilled employment. Go to the Decide and Finalise process
No	Use the VAT to add a summary of concerns put to the client for comment, their comment and weighing and balancing of all factors. Go to the Decide and Finalise process

Perform Second Tier Assessment (for SMC applications assessed under instructions in place before 28 August 2017)

When to use

When you are assessing an application under SMC instructions in place before 28 August 2017 and an applicant does not meet [SM21.5\(a\)](#) Assessment of ability to settle and contribute but they meet the selection criteria as applicable.

Role

Immigration Officer

Guidelines

- If the applicant has only provided a certified copy of their passport(s) at lodgement, request the original passport(s) as required (for example, to complete a passport scan, or assess the applicant's identity). Once received, complete scan if required - see SOP Scan travel document
- Assessment templates have been revised so that one standardised template can be used at all offices (see standardised Assessment templates at the end of this SOP)
- Use the SMC Visa Assessment Tool (VAT); refer to [Working with the SMC Visa Assessment Tool](#) and other [VAT SOPs](#).
- Follow the [_Setting due dates guidelines](#) (on a case-by-case basis) to determine how long to allow a client to provide required information

Information being requested	Timeframe
Details missing from application form	3 working days
Additional details form	3 working days
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Evidence of close family support	3 working days
Evidence of dependence	3 working days
Verification of NZ work experience	3 working days
Basic EQ to employer (questions only)	3 working days
Original or certified copies of any document	3 working days
Verification of overseas work experience	5 working days

Full EQ to employer (incl. supporting docs)	5 working days
Work reference letter or email direct from previous employer	5 working days
NZ qualification certificate	5 working days
Offshore qualification certificate	10 working days
Full birth certificate (including additional/secondary ID)	10 working days
Medical tests or evidence of appointment with specialist	10 working days
Evidence of English language test date booking	10 working days
Evidence of commencing NZQA assessment process	10 working days
Response to PPI letter	10 working days

- Follow the [SMC timeframe expectations](#) to achieve overall SMC expectations

Process step	Timeframe	Why this is standard practice
Complete initial assessment	Within 24 hours of pulling the application from the queue	Standard practice states a new application will only be pulled from the queue when an Officer has no further actionable work. The full initial assessment can therefore begin immediately, which in turn enables the Officer to begin verification activities and request any additional information at the earliest opportunity.
Follow-up when requested information has not been provided by due date	Within 24 hours of due date	Where information is not provided within the timeframe given, an application is at risk of remaining at one process step for longer than necessary. An Officer is expected to follow-up as soon as possible after the due date and always within 24 hours, in order to

		actively manage the application through the assessment process.
Assessment of further information received	Within three working days of receipt	Assessment of new information within three working days of receipt ensures the next applicable action (e.g. final case summary, PPI written, further information requested) is undertaken at the earliest opportunity. This prevents the application waiting at one process step for several processing days, while timeliness is still being measured.
Write PPI letter	Within three working days of identifying potentially prejudicial information	A PPI letter should be written as soon as possible following the identification of concerns, and always within three working days. This ensures the information put forward for comment is still relevant and the details are fresh in the Officer's mind.
Process step	Timeframe	Why this is standard practice
Complete initial assessment	Within 24 hours of pulling the application from the queue	Standard practice states a new application will only be pulled from the queue when an Officer has no further actionable work. The full initial assessment can therefore begin immediately, which in turn enables the Officer to begin verification activities and request any additional information at the earliest opportunity.

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Follow-up when requested information has not been provided by due date	Within 24 hours of due date	Where information is not provided within the timeframe given, an application is at risk of remaining at one process step for longer than necessary. An Officer is expected to follow-up as soon as possible after the due date and always within 24 hours, in order to actively manage the application through the assessment process.
Assessment of further information received	Within three working days of receipt	Assessment of new information within three working days of receipt ensures the next applicable action (e.g. final case summary, PPI written, further information requested) is undertaken at the earliest opportunity. This prevents the application waiting at one process step for several processing days, while timeliness is still being measured.
Write PPI letter	Within three working days of identifying potentially prejudicial information	A PPI letter should be written as soon as possible following the identification of concerns, and always within three working days. This ensures the information put forward for comment is still relevant and the details are fresh in the Officer's mind.

• Follow the timeframes in the table below when assessing an SMC application.

Action	Timeframe
Complete initial assessment	Within 24 hours of pulling the application from the queue
Follow-up when requested	Within 24 hours of due date

information is not provided by due date (see below guidance)	
Assessment of further information received	Within 5 working days of receipt
Write PPI letter	Within 5 working days of identifying potentially prejudicial information
Check application and add relevant note to AMS	At least once every 15 calendar days

Steps

1. Arrange interview

Arrange for the applicant to come into the local INZ office for a Second Tier Assessment interview.

Note: If the applicant is offshore then arrange an interview by phone.

Schedule a date and time for the interview.

2. Create invitation

- a. Select the relevant template via AMS TLS (AMS V10 Invitation to Second Tier Interview).
- b. Draft invitation following the template prompts.
- c. Save as a draft in TLS.

3. Send invitation

Email the invitation to the applicant.

4. Compose interview questions

Compose the Second Tier interview questions using 'V188 Second Tier Interview' template.

5. Conduct interview

- a. Conduct the interview with the applicant.
- b. Take accurate notes throughout the interview.
- c. Use the Second Tier Matrix to determine settlement and contribution factors.

6. Record interview summary

- a. Type up hand-written notes.
- b. Review the transcript of the interview.
- c. Perform the final assessment of the settlement and contribution factors.

7. Complete VAT

- a. Complete application details using the VAT, including assessment of settlement and contribution factors and matrix scores.
- b. Decide assessment outcome.
- c. Act on the assessment outcome based on the options in the table below:

If the applicant ...	Then...
Has not demonstrated that they can realise their potential to settle in and contribute to NZ	Go to Step 8
Can realise their potential to successfully settle in and contribute to NZ	Go to Step 10
Has a high potential to readily obtain skilled employment in NZ	Go to Decide & Finalise process

8. Create a PPI Letter

Refer to SOP for [Send Potentially Prejudicial Information \(PPI\) letter](#)

9. Await applicant response

Wait for the applicant's response and assess.

10. Response outcome?

Does the response to the PPI demonstrate that the applicant can realise their potential to successfully settle in and contribute to NZ?

If...	Then...
Yes	The applicant will be offered a Job Search Visa Go to Step 11
No	Complete remaining details of the case summary Go to the Decide & Finalise process

11. Advise applicant of outcome

- a. Advise the applicant of the outcome i.e. the offer of a Job Search Visa (JSV).
- b. Write the 'V225 ITA for WTR visa for SMC app received after 10 April 2007' letter.
- c. Access the 'V384 Skilled Migrant Job Search Visa' application form for client to complete.
- d. Email letter and form to applicant.
- e. Await applicant's response to offer i.e. they must apply for a visa within three months.

- f. Place alert.
- g. Set a reminder for the due date using AMS Bring Ups.

12. Job Search Visa

Has the applicant applied for the JSV within the timeframe and meets all JSV application criteria (evidence of funds etc.)?

If...	Then...
Yes	Go to Step 13
No	Go to Decide and Finalise process

13. Defer application

Defer the application for residence.

14. Create new application

Create a new JSV application in AMS.

15. Issue Job Search eVisa

- a. Issue JSV label.
- b. Write 'V224 WTR visa approved for SMC app received after 10 April 2007' letter.
- c. Return passport to applicant by courier; include letter.
- d. Create a note in AMS. Include the courier tracking number and address.

Note: In some offices this is done by the Support Team.

16. Create AMS notes

- a. Create notes to AMS under both numbers:
 - o SMC application number and
 - o JSV application number.
- b. State when the deferral period ends.

17. File application

- a. File the physical application in the appropriate location.
- b. Set a reminder for contact to be made with applicant every 3 months during their deferral period.

18. Offer of employment obtained?

Has the applicant obtained an offer of employment within the deferral period?

If...	Then...

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Yes	See SOP Assess skilled employment following JSV Deferral
No	Go to Step 20

19. Create PPI letter

Write a PPI letter outlining concerns as per SM21.5(a) Assessment of ability to settle and contribute

Email the letter to the applicant.

20. Await response

Await the applicant's response and assess.

Go to the [Decide and Finalise process](#).

End

Follow up Third Party Check (SMC)

When to use

When a Third Party Check is incomplete or outstanding and an application is ready to be finalised.

Role

Immigration Officer

Steps

1. Ensure check requested

Ensure the required Third Party Checks have been correctly requested.

If the outstanding check is ...	Then ...
National Security Check (NSC)	Go to Step 2
MA referral or health status determination	Go to Step 6
New Zealand Police Check (NZPC)	Go to Step 9

Section 6(c)

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Section 6(c)

c. Check that no further information is required. If so, upload as appropriate.

3. Check timeframe

Has more than 6 months passed since the original NSC request was made?

If...	Then...
Yes	Refer to the Section 6(c) User Guide (available in the Section 6(c)) for further information on the process as required
No	Go to Step 5

4. Issue resolved?

Has the issue been resolved by consulting the **Section 6(c)** User Guide?

If...	Then...
Yes	Go to Step 5
No	Notify TA. TA will escalate to the Operations Support (INZ-Ops Residence and Work) relevant team mailbox Out of scope

5. Note in AMS

Create a note in AMS outlining the follow-up which has occurred.

6. Check Immigration Health System (IHS) portal

- a. Go to the IHS portal
- b. Search applicant by name and date of birth.
- c. Include additional applicant information e.g. application number or applicant ID.
- d. Check that no further information is required. If so, upload as appropriate.
- e. If applicant status is ASH in IHS, then update AMS accordingly.

7. Check timeframe

Has more than 6 weeks passed since the original referral to the MA was made?

If...	Then...
Yes	Notify the Health Assessment Team (HAT) Out of scope

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No	Go to Step 8
----	--------------

8. Is the health status determination outstanding?

- a. In IHS, check what notes have been made against the health case by the HAT. If still unsure, then contact the HAT **Out of scope**
- b. If the referral was paper-based, contact the HAT for follow-up.
- c. Create a note in AMS outlining the follow-up which has occurred.

9. Check Police Check (PIC) Portal

- a. Go to the [NZPC Portal](#)
- b. Enter the client ID number.
- c. Ensure request is in progress as per applicant details.

10. Check timeframe

Has more than 30 working days passed since the original PC request was made?

If...	Then...
Yes	Go to Step 11
No	Go to Step 12

11. Is the request 'in progress'?

Is the request showing as 'in progress' in the portal?

If...	Then...
Yes	Contact Ops Support Out of scope
No	Contact the Help Desk

12. Note in AMS

Create a note in AMS outlining the follow-up which has occurred.

Note: If there are substantial changes to the case summary, then note in [VAT](#).

13. Are all Third Party Checks complete?

- Yes, go to SOP [Assess SMC application](#)
- No, go to step 14.

14. Set reminder for due date in AMS Bring Ups, and add the appropriate workflow reason(s) for making the file non-actionable. You may select more than one option. However, if more than one type of document has been requested, then do not

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make more than one bring up because this will create duplicates; simply add another reason.

Note: if you are requesting multiple items, the due date that you use for AMS will be when the soonest document is due.

15. **Change the AMS Location on the application to “Non-actionable**
16. **Place the physical file in the non-actionable cabinet for the Support Officers to monitor**
17. **Await a response to be received or for the due date to pass.**

End

Send potentially prejudicial information (PPI) letter

When to use

When an applicant does not appear to meet all applicable immigration instructions.

Role

Immigration Officer

Steps

1. Open AMS

Go to the Application Details screen.

2. Open PPI template.

In the AMS Application Details screen, click the **Template** icon to open the Template Letter System (TLS).

3. Create PPI letter

- a. Select relevant template via AMS TLS.
- b. Write the PPI letter following the template prompts.
 - Include any verification notes e.g. interview transcripts, site visit notes, employer questionnaire responses etc.
 - Include a due date in line with timeframe guidelines.

Note: Follow the ► [Setting due dates guidelines](#) (on a case-by-case basis) to determine how long to allow a client to provide required information. Save as final in TLS.

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Information being requested	Timeframe
Details missing from application form	3 working days
Additional details form	3 working days
Full employment agreement and/or job description	3 working days
IRD Summary of Earnings, payslips, bank statements	3 working days
Evidence of registration	3 working days
Evidence of English ability	3 working days
Marriage certificate or evidence of relationship	3 working days
Evidence of close family support	3 working days
Evidence of dependence	3 working days
Verification of NZ work experience	3 working days
Basic EQ to employer (questions only)	3 working days
Original or certified copies of any document	3 working days
Verification of overseas work experience	5 working days
Full EQ to employer (incl. supporting docs)	5 working days
Work reference letter or email direct from previous employer	5 working days
NZ qualification certificate	5 working days
Offshore qualification certificate	10 working days
Full birth certificate (including additional/secondary ID)	10 working days
Medical tests or evidence of appointment with specialist	10 working days

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Evidence of English language test date booking	10 working days
Evidence of commencing NZQA assessment process	10 working days
Response to PPI letter	10 working days

- c. Save as final in TLS.
- d. For an Immigration Online application, save the letter in DMS.

4. Send PPI letter

Send a PDF copy of the PPI letter to the applicant or adviser through email.

5. Create AMS note

Create an AMS note, copying the email from your Sent Items folder.

6. For paper applications, print the PPI letter and place it on the applicant's file

7. Make application non-actionable

- a. Add an AMS Bring Up with the correct due date
- b. Add the "NA – PPI Response" reason in AMS Workflow
- c. Update the AMS Location to "Non-actionable"
- d. For paper applications, return the file to the Non-Actionable cabinet so that the Support Team can manage it.

8. Await response

Await the application to be made actionable.

9. Has a request for information been made (for example, under the Official Information Act)?

If...	Then...
Yes	See SOP Respond to an information request
No	Go to Step 10

10. PPI Response received by due date?

- Yes, go to Step 12.
- No, go to Step 11.

11. Follow up with the applicant/Immigration Adviser

Advise that a response is due within 24 hours and that a decision will be made based on all information held on file the following day.

12. **Assess response**

- . Make an assessment of the applicant's response.
- a. Continue to work through the assessment using the [VAT](#), if applicable.

END

Defer decision (SMC applications accepted before 28 August 2017)

When to use

When you are assessing an application under SMC instructions in place on and after 28 August 2017 and an applicant does not have skilled employment in New Zealand or a Master's degree or PhD gained after two years study in New Zealand, but otherwise meets all requirements for approval.

Role

Immigration Officer

Guidelines

- Use the SMC Visa Assessment Tool (VAT); refer to [Working with the SMC Visa Assessment Tool](#) and other [VAT SOPs](#).
- Follow the [Setting due dates guidelines](#) (on a case-by-case basis) to determine how long to allow a client to provide required information
- Follow the [guidelines below](#) when determining how long to allow a client to provide required information. Apply on a case-by-case basis.
- Follow the [SMC timeframe expectations](#) to achieve overall SMC expectations

Process step	Timeframe	Why this is standard practice
Complete initial assessment	Within 24 hours of pulling the application from the queue	Standard practice states a new application will only be pulled from the queue when an Officer has no further actionable work. The full initial assessment can therefore begin immediately, which in

		turn enables the Officer to begin verification activities and request any additional information at the earliest opportunity.
Follow-up when requested information has not been provided by due date	Within 24 hours of due date	Where information is not provided within the timeframe given, an application is at risk of remaining at one process step for longer than necessary. An Officer is expected to follow-up as soon as possible after the due date and always within 24 hours, in order to actively manage the application through the assessment process.
Assessment of further information received	Within three working days of receipt	Assessment of new information within three working days of receipt ensures the next applicable action (e.g. final case summary, PPI written, further information requested) is undertaken at the earliest opportunity. This prevents the application waiting at one process step for several processing days, while timeliness is still being measured.
Write PPI letter	Within three working days of identifying	A PPI letter should be written as soon as possible following the

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	potentially prejudicial information	identification of concerns, and always within three working days. This ensures the information put forward for comment is still relevant and the details are fresh in the Officer's mind.
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Steps

1. Invite applicant to apply for a Job search visa

- Write the 'V225 ITA for WTR visa for SMC application received after 10 April 2007' letter.
- Access the 'V384 Skilled Migrant Job Search Visa' application form for client to complete.
- Email letter and form to applicant.

2. Await response

- Update the AMS Location to "Non-Actionable"
- Update the AMS workflow reason to "NA – Deferred", and create an AMS Bring Up with the due date.
- Place the physical file in the non-actionable cabinet for the Support Team to monitor.

3. Job Search Visa

Has the applicant applied for the JSV within the timeframe and meets all JSV application criteria (evidence of funds etc.)?

If...	Then...
Yes	Go to Step 4
No	Go to Decide and Finalise process

4. Defer application

Defer the application for residence.

5. Create new application

Create a new JSV application in AMS.

6. Issue Job Search visa label

- Issue JSV label.

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- b. Write 'V224 WTR visa approved for SMC app received after 10 April 2007' letter.
- c. Return passport and letter to applicant by courier.

7. Create a note in AMS. Include the courier tracking number and address.

Note: In some offices this is done by the Support Team.

8. Create AMS notes

- a. Create notes in AMS under both application numbers:
 - o SMC application number and
 - o JSV application number.
- b. State when the deferral period ends.

9. File application

- a. Update the AMS Location to "Non-Actionable"
- b. Update the AMS workflow reason to "NA – Deferred"
- c. Create an AMS Bring Up with the due date (every three months during deferral period).
- d. Place the physical file in the non-actionable cabinet for the Support Team to monitor.

10. Offer of employment obtained?

Has the applicant obtained an offer of employment within the deferral period?

If...	Then...
Yes	See SOP Assess skilled employment following JSV Deferral
No	Go to Step 11

11. Create PPI letter

- a. Write a PPI letter outlining concerns as per SM21.5(a) Assessment of ability to settle and contribute
- b. Email the letter to the applicant.
- c. Update AMS location to "Non-Actionable", AMS workflow reason to "NA – PPI response" and set a AMS Bring Up date.

12. Await response

- a. Await the applicant's response and assess.
- b. Go to the Decide and Finalise process.

END

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Request additional information (resident)

When to use

When the application is at the assessment stage but requires additional information from the applicant before a decision can be made.

Note: if you are requesting information electronically, and are expecting a quick response, you may leave the application actionable for up to 24 hours. If you do not receive a response within 24 hours, follow it up with the applicant and then make the file non-actionable following the process below.

Role

- Immigration Officer

Steps

1. Compose and send request.

If...	Then...
Paper-based application	<ul style="list-style-type: none">• Compose an email using the 'Initial email' template• Outline what further information is required by INZ• Include a due date in line with timeframe guidelines.• Send email to applicant/Immigration Advisor <p>Note: If an applicant is represented by a Licenced Immigration Adviser then all correspondence must be sent to the adviser. If the applicant does not have an adviser then correspondence can be sent to the applicant directly.</p>
Online application	Complete appropriate template letter in AMS, amending as necessary to request the client upload the correct documentation. See: IGMS Toolkit - Request additional information (resident,

<p>online)</p> <p>AMS manual – Template letter help</p> <p>Save the template letter as 'Final'</p> <p>Save file to an appropriate location, using this name format: [application number], SURNAME, First names, [resident] Request for additional information</p> <p>See the System Step Upload file to client's DMS record and use the following metadata:</p>	
Field	Entry
<p>Document category</p> <p>Document type</p> <p>Document Classification</p>	<p>Correspondence</p> <p>Additional info</p> <p>In confidence</p>
<p>If online application is submitted by the client or their representative (and the contact person has not changed) i.e.:</p> <ul style="list-style-type: none"> • Licensed adviser • Lawyer • Other person exempt from licensing 	<p>Then:</p> <p>Set the Client View field to 'Yes'</p> <ul style="list-style-type: none"> • Email a copy of the letter to the client or there representative.
<p>If the application was completed online by someone assisting the client or the client has changed contact person during the processing of the application i.e.:</p> <ul style="list-style-type: none"> • Employer • Education provider • Sponsor • Other person who has assisted the client • A new immigration 	<p>Then:</p> <ul style="list-style-type: none"> • Set the Client View to 'No' (default) • Email the letter to the client/new immigration adviser

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	adviser who did not lodge the online application	
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Note: Follow the Setting due dates guidelines (on a case-by-case basis) to determine how long to allow a client to provide required information

2. Record the request for additional information.

If	Then
A paper application	Copy your e-mail into AMS, including 'from', 'sent', 'subject', and 'to' fields. You must also record a blurb of the e-mail subject at the top of the note and the applicable due dates. Note: If you open the sent email from your sent items and click reply you can copy the header information as well as the email.
An online application	Create an AMS note with the information requested and the due date.

3. Create an AMS Bring Up with the due date, and add the appropriate reason(s) in AMS workflow for making the file non-actionable.

You may select more than one option. However, if more than one type of document has been requested, then do not make more than one bring up because this will create duplicates; simply add another 'reason'.

Note: if you are requesting multiple items, the due date that you use for your AMS Bring Up will be when the earliest document is due.

4. Change the AMS Location on the application to "Non-actionable"

5. For paper applications, place the physical file in the non-actionable cabinet for the Support Team to monitor.

6. Await a response to be received or for the due date to pass.

Note: For paper applications, additional information requested must be the original documents or certified copies as per [Immigration Instructions A13.1](#)

List of non-actionable reasons

NA - Client information	Supporting information requested from the applicant (e.g. employment history, medical information, proof of
-------------------------	---

	funds)
NA - Deferred	The application has been deferred
NA - Employer information	An employer questionnaire has been requested
NA - Files requested	Previous application files have been requested
NA - Foreign PC	A foreign police certificate has been requested
NA - Internal advice	Internal advice has been requested (e.g. legal advice, no surprises process)
NA - Medical assessment	The applicant has a medical that is either under assessment by the HAT team or referred to a Medical Assessor
NA - NSC	A National Security Check has been requested
NA - NZ Police Check	A New Zealand Police Check has been requested
NA - PPI response	A Potentially Prejudicial Information request has been made and we are waiting for a response
NA - Unlawful	The application cannot be processed because the client is currently unlawful
NA - Verification (IO)	The Immigration Officer is performing verification on the application that has a long lead time (e.g. an interview or site visit has been scheduled). Further detail will be recorded in bring-up notes if necessary.
NA - Verification (referred)	A verification request has been made

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	to either the Verification Support Team, another office, or a third party
--	---

End

Decide application in AMS (resident)

When to use

When an application has been assessed and a decision needs to be finalised.

Role

Immigration Officer

Guidelines

- Follow the timeframes in the table below when deciding and finalising an application.

Action	Timeframe
Complete quality control check	<ul style="list-style-type: none"> • Within 3 days of decision being made
Send AIP letter (if required)	<ul style="list-style-type: none"> • Within 2 days of quality control check being completed
Send Decline letter	<ul style="list-style-type: none"> • Within 1 day of quality control check being completed
Issue eVisa and advise applicant	<ul style="list-style-type: none"> • Within 2 days of quality control check being completed (if no AIP requirements); or • Within 2 days of AIP requirements being met

Steps

1. Finalise application in AMS

Note: Check the **Resolution Status** column on the **Applicant(s)** screen, as there may be an identity resolution pending. Decisions must not be made with outstanding identity resolutions. See [SOP Waiting for Identity Resolution](#).

- a. In AMS complete the **English** tab
- b. Complete **Determination** tab

Result: AMS automatically calculates total points (if applicable).

- c. Click **Decide** button

Result: A decision is prompted based on what was entered in the determination tab (Decline or Approve).

- d. Click **Record Decision Only** button

The screenshot shows a web form titled "AMS - Format Label For Principal Applicant" with a sub-section "Enter Visa Details". The form contains the following elements:

- Start Date of Visa: 17/Apr/2018
- Travel Conditions:
- Single Entry Visa:
- Multiple Entry Visa:
- First Entry Before: [Empty text box]
- Expiry Date Travel: [Empty text box]
- Expiry Date Stay: [Empty text box] 'dd/mm/yyyy' or months
- Indefinite:
- Record Decision Only ?
 - Record Decision Only

At the bottom of the form, there are four buttons: Cancel, <Back, Next>, and Finish.

- e. Click **Finish**

2. Are AIP conditions applicable?

If **Yes**, go to Step 3

If **No**, go to Step 4.

3. Create AMS note

Create a note in AMS with the heading 'AIP conditions.'

Record the exact wording required to be included in the AIP letter, outlining what the client needs to provide in order to meet the AIP conditions

4. Forward for quality control check

Change AMS location to "Quality Control" and forward the application for a quality control check. See [SOP Undertaking a Quality Control \(QC\) Check on an application](#).

End

Undertaking a Quality Control (QC) check on an application

When to use

When completing a QC on an application

Role

- Senior Immigration Officer
- Technical Advisor
- Immigration Manager

Operations Managers have discretion to nominate who is capable of performing QC checks in an office, this may include Immigration Officers.

Prerequisite

The Quality Checker (QCer) has received the application for QC check

Follows on from the following applicable SOP:

- [Select a Sample of Temporary Entry Applications for QC check](#)
- [Submit an application for QC Check](#)

Context

QC checks are intended to:

- Identify and rectify any errors in a timely manner before communicating decision to the applicant
- Ensure that quality performance is sustained or improved over time
- Determine if training, coaching and mentoring is required

Steps

1. Locate the QC template

- Open the application in AMS and click on the template button

AMS - [Client Details]

File Edit Special Window Help

Client Number: 70005940 PIN NEWC Update

Identity: Test, Sop, 2 21/Mar/2017 Russia

Client Details | ID References

Surname: Test

Given Name 1: Sop

Given Name 2: 2

Given Name 3:

Salutation:

Sex: Unknown

Date of Birth: 21/Mar/2017 Current Age: 0

Country of Birth: Bahamas

Citizenship: Russia

Marital Status:

Client Details | Travel Docs | Address | Cit Alert | Applications | Client Cases | Client Files | Movements | Family | Visa

Ready Audit Trail is OFF DB = amsbranch

- The following screen will appear, click on the 'New Letter'

70005940 (Sop Test) - Template Letters System

File Help

Maintain Letters New Letter Help

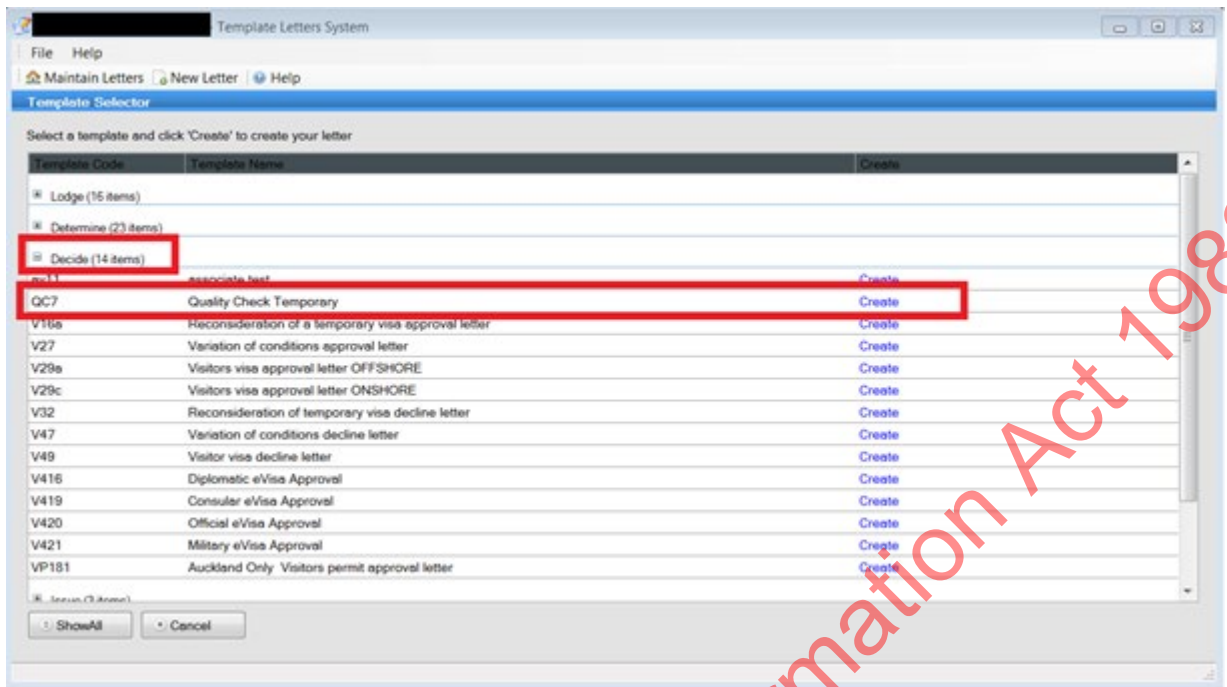
Maintain Letters

The following is a list of letters that have been created and printed to the client

Template Code	Template Name	Date Last Updated	Status	Email Sent	Sent To DMS	View / Update
---------------	---------------	-------------------	--------	------------	-------------	---------------

New Letter...

- Click 'Decide' and select 'Quality Check' template from the dropdown list (ensure you select the correct QC template for the application category i.e. Temporary or Residence).



Category	Template
<ul style="list-style-type: none"> • Temporary applications • WTR 	QC7
<ul style="list-style-type: none"> • Residence application • Family category • LTSSL • SMC • Other 	QC3 QC4 QC5 QC6

2. Review the application

Following the QC check template, review the AMS notes and all the relevant documents. Refer to the attached guide 'Areas to focus on while undertaking QC'.

3. Complete the details in the QC check template

Fill the appropriate QC template sections that are relevant to the visa type being checked. If rework is required, indicate in the 'comments' section what exactly is required and why.

Notes:

- Templates have structured questions, you only need to indicate 'No' where applicable and leave the other questions blank. In addition, there are comments sections available where the Quality Checker can capture any changes that may be required.
- 'No' answer is an indication that rework is likely to be required.

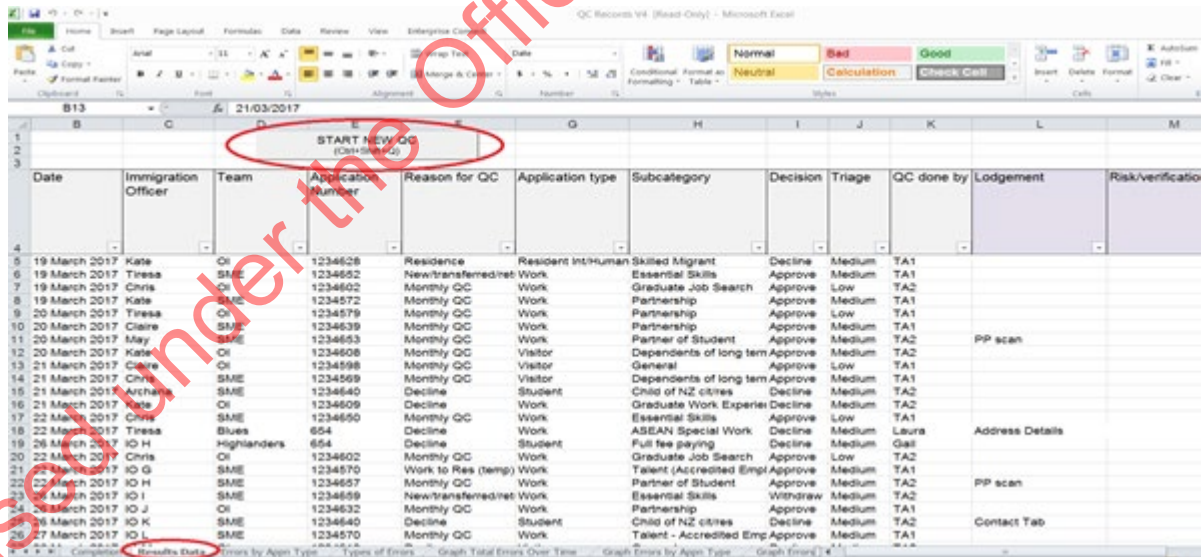
- In all cases the 'Quality Check Results' section must be completed. This provides evidence that the quality check has been completed.

4. Visa category

If the visa category is	Then
Temporary entry or WTR	Go to Step 5
Residence	Go to Step 6 Note: Recording outcomes in the 'QC Records Excel Spreadsheet' is optional for Residence, follow step 5 if the decision is made to utilise the QC Records excel spreadsheet

5. Record the outcome in the 'QC Records' excel spreadsheet

- Open the 'QC Records Excel Spreadsheet' (saved in a designated branch folder). The following screen will appear
- On the Result Data sheet, click on 'START NEW QC' button



- Complete the form to record the QC check outcome and click submit

QC Record

Immigration Officer: [Dropdown] Team: [Dropdown] QCer: [Dropdown]

Application Number: [Text] Application type: [Dropdown] Decision: [Dropdown] QC Reason: [Dropdown] Subcategory: [Dropdown] Triage Level: [Dropdown]

If there's an issue record it here. No need to fill it out if there are no comments to make / issues identified.

Lodgement: [Dropdown] Risk / Verification: [Dropdown] Health: [Dropdown] Character: [Dropdown] PPI: [Dropdown] Bona Fides: [Dropdown] Specific Requirements: [Dropdown] Rationale: [Dropdown] Visa Conditions: [Dropdown]

[SUBMIT]

- Check the error rate

Go to the 'AL', 'AO' and 'AQ' column of the 'Result Data' sheet to check the error rate.

	Q	R	S	T	U	V	W	AL	AO	AQ	AR
1											
2											
3											
	Bonafides	Specific Requirements	Rationale	Visa Conditions	Errors?	Was there a major error?	Comments	Count of appns of same type & subcategory by same IO	How many with errors	Error Rate (last 10 appns same IO same appn type and subcat)	
4											
41		Instructions not followed			Yes	Yes		1	1	100%	
42						No		1	0	0%	
43						No		14	0	#DIV/0!	
44					Yes	No		16	0	#DIV/0!	
45						No		2	0		
46						No		4	0		
47					Yes	No		2	0	0%	
48					Yes	Yes		23	1	20%	
49					Yes	No		1	0	0%	
50					Yes	Yes		12	1	20%	
51											
52											
53											
54											
55											
56											
57											
58											
59											

INTRO | Complete | Results Data | Errors by Appn Type | Types of Errors | Graphs | Lists

The QCer is responsible for monitoring a staff's error rate. If progress or poor performance is identified, the QCer must immediately inform the Immigration Manager.

If....	Then...
<10% error rate	<ul style="list-style-type: none"> Consider whether the individual still requires 100% QC for this application type Check that there are no other training needs identified (other application categories) Discuss the possibility of upskilling to other categories.
>10% error rate and on existing 100% QC regime	<ul style="list-style-type: none"> Continue 100% QC
>10% error rate and not currently on 100% QC regime	<ul style="list-style-type: none"> Refer to the appropriate Immigration Manager

6. Check if any further work/re-work required

Is further work/ rework required ...	Then complete the following ...
Yes	<ul style="list-style-type: none"> Ensure the reason for rework is documented in the QC template Save the QC template as draft Go to step 7
No	<ul style="list-style-type: none"> Save the QC template as final Go to step 9

7. Provide feedback to the IO

- Update the AMS Location to "Actionable" (residence applications only)
- Inform IO about the QC outcome
- Advise the IO to roll back the decision from 'Recommended/Decided' to 'Accepted' (residence applications only)
- Return the file (physical/online) and
- Add a note in AMS 'File returned for re-work'

Note: The timeframe to action the rework on an application is 3 working days.

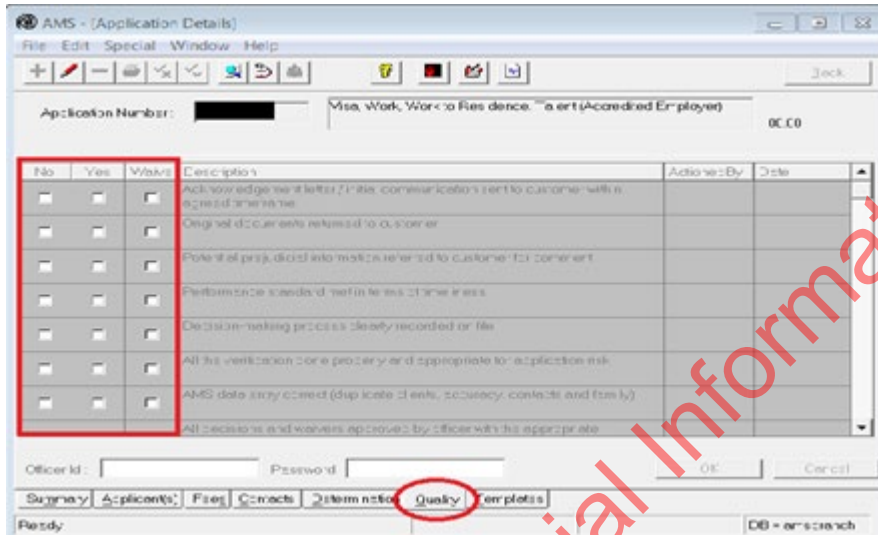
8. Review returned application

Once the application returns after rework:

- check that the correct action has been taken on the application (refer to the QC template for details)
- Document that the rework has been satisfactorily completed in the QC template.

9. Record the outcome in AMS

Depending upon the visa category, record the outcome in AMS



10. Notify the IO to proceed with finalising the application

If the application is being...	Then complete the following ...
Approved (residence)	<ul style="list-style-type: none"> • Update the AMS Location to "Issue AIP" • Place the application in the physical queue for the Support Team to AIP
Declined (residence)	<ul style="list-style-type: none"> • Update the AMS Location to "Actionable" • Return the application to the IO for finalisation
Approved or declined (temporary entry)	<ul style="list-style-type: none"> • Return to the Immigration Officer or Support Team for finalisation

END

Decline application (resident)

When to use

When an applicant fails to meet instructions and their response for further comment does not alleviate the concerns identified.

Role

Immigration Officer

Guidelines

Action	Timeframe
Complete quality control check	Within 3 days of decision being made
Send decline letter	Within 1 day of quality control check being completed

Steps

1. Complete assessment

Finalise the assessment template. This should include:

- summary of concerns put to client for comment
- summary of client's response
- weighing and balancing of all factors.

2. Create Decline letter

- a. Select the relevant template via AMS TLS.
- b. Write the decline letter following the template prompts.
- c. Save as a draft in TLS.

Note: The rationale for the recommendation may be used in the decline letter, but not the other way around i.e. decline letters should not be written first and then copied as the case summary.

3. Complete determination

Complete the determination in AMS.

4. Forward to quality control check

Change AMS location to "Quality Control" and forward the application and draft decline letter for a quality control check (this includes completing the AMS Quality

tab. A prompt to add a new AMS note will also be generated. Record that the quality check has been completed).

On return from quality control check

5. Finalise the decline letter in AMS.

Check that the date in the decline letter is correct then finalise the letter.

6. Send letter

If	Then
A paper application	a. Courier the decline letter to the applicant. b. Include all original documents. c. Put a copy on file
An online resident application	Email letter and upload a copy in DMS.

7. Create AMS note

If	Then
A paper application	Create a note in AMS stating: a. the delivery address b. the courier tracking number
An online resident application	Create a note in AMS stating the method of delivery, email address (and paste the email)

8. File application

Forward application for filing if applicable.

End

Withdraw application (resident)

When to use

When an application needs to be withdrawn (on client request).

Role

Immigration Officer

Guidelines

Action	Timeframe
Complete quality control check	Within 3 days of decision being made
Send withdrawal letter	Within 1 day of quality control check being completed

Step

1. Complete Withdrawal Summary

- Create a new note in AMS and add a copy of the request to withdraw.
- Write a comprehensive withdrawal summary (refer to [How to Write a Withdrawal Summary](#)).
- Complete AMS determination (Determination screen) with all questions the principal applicant has been assessed for.
- From the **Decision** button, select **Withdrawn**, either fee refunded or fee not refunded. See [IAC 16/04](#) for guidelines on fee payments and refunds.

2. Create withdrawal letter

- Select the relevant template via AMS TLS.
- Write the withdrawal letter following the template prompts.
- Save as a draft in TLS.

3. Complete determination

Complete the determination in AMS for those parts of the assessment that have been completed.

4. Forward to quality control check

Change AMS location to "Quality Control" and forward the application and draft decline letter for a quality control check (this includes completing the AMS Quality tab. A prompt to add a new AMS note will also be generated. Record that the quality check has been completed).

On return from quality control check

5. Finalise the withdrawal letter in AMS

Check that the date in the withdrawal letter is correct then finalise the letter.

6. Send letter

If	Then
----	------

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A paper application	Email the letter to the applicant. Post the letter if there are any original documents to return.
An online application	Email the letter to the applicant. Upload a copy of the email to DMS. See Communications to clients with an Immigration ONLINE account .

7. Create AMS note

Create a note in AMS stating the method of delivery and delivery address (and paste the email if applicable).

8. File application

Forward applicant for filing if applicable.

End

Decline application - AIP conditions not met (resident)

When to use

When an applicant meets all requirements and has been approved in principle (AIP), but hasn't met the AIP conditions within the six month timeframe.

Role

- Immigration Officer, or
- Support Officer.

Guidelines

- Follow the relevant specified timeframe. See [Standard timeframes](#) for response

Steps

1. Update AMS Location to "Actionable" and provide application to Immigration Officer
2. Contact applicant

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- Send a PPI to the client outlining concerns within the AIP that have not been met within the six month timeframe. Refer to [SOP Send Potentially Prejudicial Information \(PPI\) Letter](#).

3. Await response

Await the application to be made actionable.

4. PPI response received by due date?

- No, go to Step 5.
- Yes, go to Step 6.

5. Follow up with the applicant/Immigration Adviser

Advise that a response is due within 24 hours and that a decision will be made based on all information held on file the following day.

6. Assess response

Does the applicant have a satisfactory explanation which justifies a further opportunity to meet AIP conditions?

If...	Then...
Yes	Go to Step 7
No	Go to Step 9

7. If applicable, re-request AIP requirements

- Request that they provide the outstanding AIP requirements within a timeframe appropriate to their circumstances.
 - Create a note in AMS outlining when the requirements will be provided.
 - Add an AMS Bring-up with the due date for response.
 - Update AMS Location to "AIP Response" and provide application to Support Team for filing.

8. Passports received?

Has the applicant provided the passport(s)?

If...	Then...
Yes	Go to the Issue visa step in SOP Write AIP letter and issue visa
No	Go to Step 9

9. Decide application in AMS

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Decide application in AMS as **Declined failed instructions** using [SOP Decline application](#).

End

Write AIP Letter and issue visa (resident)

When to use

When an application meets all requirements.

Role

Support Officer

Guidelines

- Follow the timeframes in the table below when deciding and finalising an application.

Action	Timeframe
Send Approval in Principle (AIP) letter (if required)	<ul style="list-style-type: none">• Within 2 days of quality control check being completed
Issue eVisa and advise applicant	<ul style="list-style-type: none">• Within 2 days of quality control check being completed (if no AIP requirements); or• Within 2 days of AIP requirements being met

Steps

1. Receive request for AIP letter

For paper applications, retrieve application from relevant queue.

2. Review coversheet and AMS notes

Review the coversheet and AMS notes to determine if AIP is required and for any conditions relating to the AIP letter.

Is AIP required?	Then...
------------------	---------

Yes	Go to step 3
No	Go to Step 7

Note: AIP subject to passport is **not** required if;

- the passport was successfully scanned during lodgement of the Residence application; and
- has not been replaced; and
- an image of the applicant is held in AMS; and
- there are no other outstanding AIP requirements.

3. Create AIP Letter

- Select the relevant template via AMS TLS.
- Write the AIP letter following the template prompts.
- Save as a draft in TLS.
- Copy and paste any AIP conditions into the letter where appropriate, as per the AMS note made by the Immigration Officer.

4. Email letter

- Email the AIP letter to the applicant.
- For online applications, upload the letter to DMS. See [SOP Upload file to client's DMS record](#).
- Create a note in AMS.

5. Await response

- Wait for a response from the applicant.
- Place the file in the appropriate queue.
- Create an AMS Bring Up with the due date

6. Passport(s) provided?

Has the applicant provided the passport(s) within six months of the AIP letter?

If...	Then...
Yes	Go to Step 7
No	See SOP Decline Residence - AIP conditions not met

NOTE: AIP required documents will be received by INZ through various channels depending on the location of the applicant. Please refer to the Residence eVisa process maps at the end of this SOP for more information

7. Issue visa

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Issue eVisa(s), with conditions as appropriate (refer to [SOP Approve an application and notify the client](#))

8. Create Final Approval letter

- a. Select the relevant template via AMS TLS.
- b. Write letter following the template prompts.
- c. Save as a draft in TLS.

9. Advise Applicant

- a. Courier passport(s), receipt, any original documents and Final Approval letter to applicant; or
- b. E-mail final approval letter if there are no passports or original documents to be returned; or
- c. For online applications, upload Final Approval letter to DMS. See [SOP Upload file to client's DMS record](#).

10. Create AMS note

Add note to AMS, stating the address couriered to and the courier tracking number, or the e-mail address the letter was sent to.

11. File application

File application as complete.

[Residence eVisa Onshore](#)

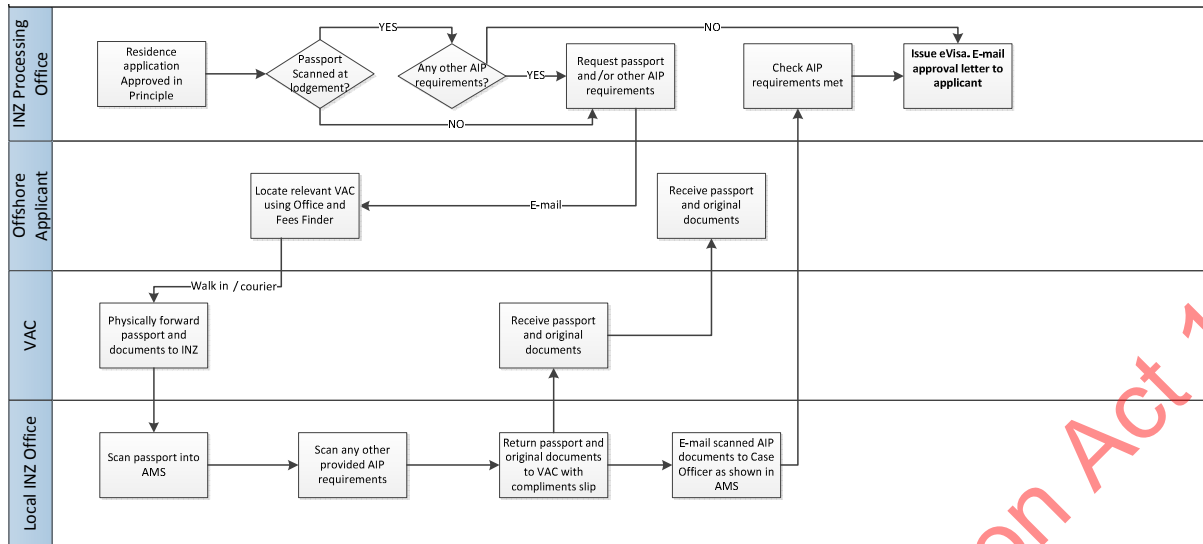
[Residence eVisa VAC Digital](#)

[Residence eVisa non-VAC Digital](#)

End

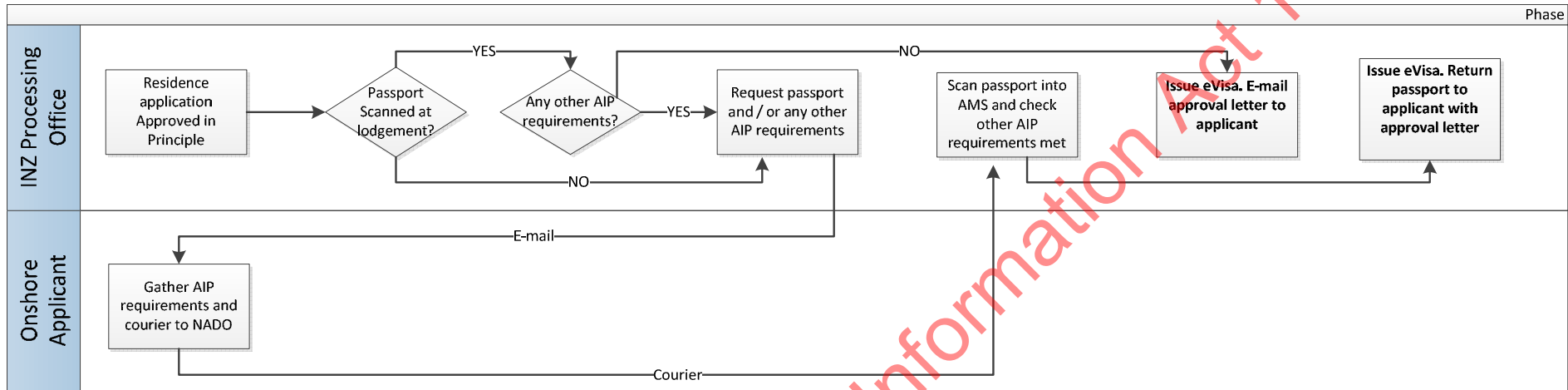
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Residence eVisa: OFFSHORE Non-VAC Digital



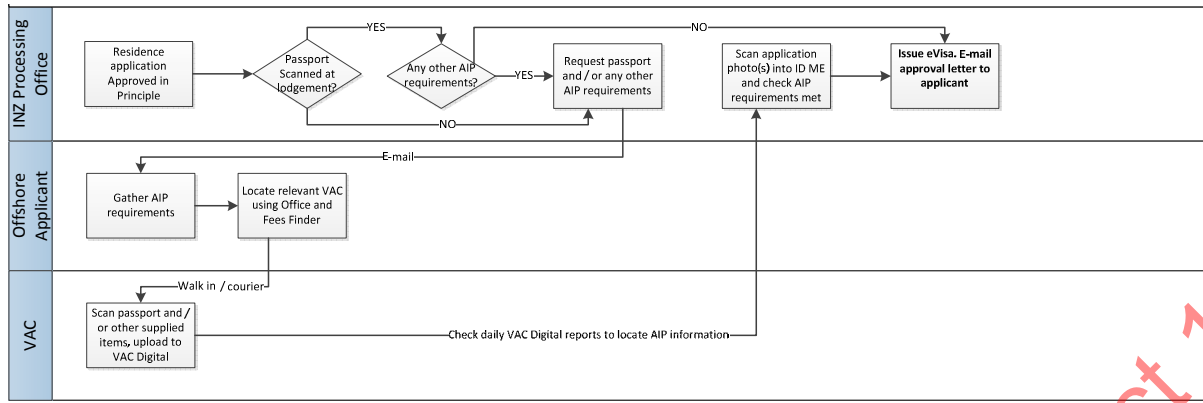
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Residence eVisa: ONSHORE



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Residence eVisa: OFFSHORE VAC Digital



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