



FREEDOM OF INFORMATION REQUEST

Please note the text of this request has been reproduced exactly as received.

FOI Reference number: FOI 48/2025

Date: 24 November 2025

Request.

1. The paper presented at the resource committee meeting on the 14th October 2020.
2. Any and all process maps relating to reconsiderations and reassessments that were produced in 2020.
3. Internal processing guidelines used by the Police administration branch to process these cases. These should include all guidelines used between 2018 and 2025.

Answer:

1. Please find enclosed a copy of the papers dated 14th October 2020 agenda ref no 6.6.1 & 6.6.2. Annex A under agenda item 6.6.2 has been removed as it is personal information pertaining to third parties which the Board is not able to provide. Where redactions have been made under Annex C referred to in agenda no 6.6.1 this relates to personal information of a third party. This personal information is exempt from disclosure to you under section 40(2) by virtue of section 40(3)(a)(i) of the FOIA. Section 40(2) allows a public authority to withhold information from a response to a request for information under the FOIA when the information requested is personal information relating to someone other than the requester and its disclosure would contravene one of the data protection principles. The first data protection principle requires personal data to be processed fairly and lawfully.
2. See response to Q1. Process maps are enclosed under agenda item no 6.6.1 Annex A & B referenced in the paper dated 14th October 2020 HPE: 423517
3. Please find attached processing guidelines for Reassessments and Reconsiderations.

Requested Reassessment case checklist HPE: 492058 – this is the only version.

Process for Retrospective Injury on Duty Awards HPE:454870. This is the same process followed for Requested Reassessments.

Where redactions have been made this is because the following exceptions apply. As this is personal information, pertaining to third parties, the Board is not able to provide this information.

This personal information is exempt from disclosure to you under section 40(2) by virtue of section 40(3)(a)(i) of the FOIA. Section 40(2) allows a public authority to withhold information from a response to a request for information under the FOIA when the information requested is personal information relating to someone other than the requester and its disclosure would contravene one of the data protection principles. The first data protection principle requires personal data to be processed fairly and lawfully. This personal data is exempt from disclosure under section 40(2) of the FOIA as, in our view, it would be unfair to provide it to you, and therefore disclosure would be in contravention of the first principle of the UK General Data Protection Regulation. This is an absolute exemption and there is no requirement to conduct a public interest test.

Reconsideration Process Document HPE: 444887 – this is the only version.

If you have queries about this request or the decision, please contact the Board quoting the reference number above. If you are unhappy with the service, you have received and wish to make a complaint or request a review you should contact the Board's Chief Executive -

Via Email: foi@nipolicingboard.org.uk

Or in writing at the following address:

Northern Ireland Policing Board
James House
Block D
2 – 4 Cromac Avenue
The Gasworks
Belfast
BT7 2JA

You should contact the Board within 40 working days of this response.

If you are not content with the outcome of your complaint, you may apply directly to the Information Commissioner. Generally, the Information Commissioner's Office cannot investigate or make a decision on a case unless you have exhausted the complaints procedure provided by the Board. You should make complaints to the ICO within six weeks of receiving the outcome of an internal review.

The Information Commissioner can be contacted at the following web link –

www.ico.org.uk/foicomplaints

or in writing at:

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
SK9 5AF

Telephone: - 0303 1231114
Email: - ni@ico.org.uk

Please be advised that Policing Board replies under Freedom of Information may be released into the public domain via our website @ www.nipolicingboard.org.uk.

Personal details in respect of your request have, where applicable, been removed to protect confidentiality.

NORTHERN IRELAND POLICING BOARD	
RESOURCES COMMITTEE	
MEETING DATE: Wednesday 14 October 2020	
Paper Title:	Police Administration Directorate - Process Maps
Agenda Ref No:	6.6.1
Lead Official:	Aislinn McGuckin, T/Director of Police Administration
Purpose of Paper:	To provide a process map for initial SMP assessments and to agree a process for SMP & IMR reconsiderations.
Considerations:	(i) Resources: within existing staffing complement and skills. Financial implications to PSNI budget for payment of all IHR & IOD awards. (ii) Equality: None. (iii) Publication Status of paper: It is unlikely that this paper would be disclosable under Freedom of Information until the processes contained herein have been finalised and agreed. (iv) Related Corporate Plan/Business Plan measure: <u>Corporate Plan, Objective D</u>: To deliver independent, fair and transparent processes for former and serving officers in line with Police Pension, Injury Benefit and Appeal legislation.
Action Required by the Board / Committee:	1. To note the process map prepared in relation to initial SMP assessments. 2. To agree the process proposed in respect of Reconsideration requests made under Regulation 31(2) of the PSNI & PSNI Reserve 3. To make a determination in the case of [REDACTED] [REDACTED] to include the rationale for this decision.

1. BACKGROUND

- 1.1 Members have been briefed previously about the implications of the Court of Appeal judgment of *McKee & Hughes v The Charity Commission for Northern Ireland [2020] NICA 13¹* (the **CCNI Judgment**). Members will recall that Board Officials prepared a paper for Resources Committee in July 2020 which contained an overview of the judgment and the subsequent implications on the Board and, in particular, Police Administration Branch (**PAB**).
- 1.2 Members may also recall agreeing various action points and next steps to include the revision of PAB processes in light of the judgment and the subsequent sharing of revised PAB process maps.
- 1.3 The purpose of this paper is, in the first instance, to provide Members with a process map relating to initial applications to the Selected Medical Practitioner (**SMP**).
- 1.4 Members have also been provided with a proposed process map and associated documentation for Reconsideration requests in relation to the Injury on Duty (**IOD**) awards only. Members are asked to consider this process today and, if content agree this process for future use.
- 1.5 Finally, Members are asked, if they are content with the proposed process in respect of Reconsideration requests, to make a determination in the first such case brought before the Committee today being [REDACTED]

2. INITIAL SMP ASSESSMENTS

- 2.2 Members will be aware that initial Selected Medical Practitioner (**SMP**) assessments recommenced in the summer, following an initial period of suspension owing to the Covid-19 pandemic. Members will recall agreeing the revised process in respect of initial SMP appointments only at Resources Committee in July 2020.

¹ <https://www.bailii.org/nie/cases/NICA/2020/13.html>

- 2.3 Members had requested a copy of the process map for initial SMP assessments and this is attached at **ANNEX A** for review and retention by Members.
- 2.3 Separately, and by way of further update, Members are working with Department of Justice colleagues in terms of re-establishing Independent Medical Referee (**IMR**) assessments and once same has been agreed, Members will be furnished with a process map for initial assessments to the IMR. A proposed process for the re-establishment of IMR assessments was issued to the DOJ by way of email dated 8 October 2020 and Board Officials will revert to the Committee with progress on this matter at the next Committee meeting.

3. RECONSIDERATION REQUESTS TO THE BOARD

- 3.1 Members are now being asked to consider and agree a revised process relating to Reconsideration requests. This revised process is necessary further to both the CCNI Judgment and advice from the Board's legal advisors.
- 3.2 The process for consideration by Members today relates only to Reconsideration requests in respect of Injury on Duty awards made under the *PSNI & PSNI Reserve (Injury Benefit) Regulations 2006* (the **2006 Regulations**).
- 3.3 Regulation 31(2) of the 2006 Regulations provides for the following;
- “The Board and the claimant may, by agreement, refer any final decision of a medical authority who has given such a decision to him for reconsideration, and he shall accordingly reconsider his decision and, if necessary, issue a fresh report and certificate, which, subject to any further reconsideration under this paragraph or paragraph (1) or an appeal, where the claimant requests that an appeal of which he has given notice (before referral of the decision under this paragraph) be notified to the Secretary of State, under regulation 30, shall be final.*
- 3.4 In practice this means that should an applicant be able to furnish the Board with information not previously considered by the SMP or IMR, which may cause the SMP or IMR to alter their earlier decision, then by agreement this

case can be referred back to the SMP or IMR who will be given the opportunity to 'reconsider' their earlier decision.

- 3.5 Members should note that unlike in the case of 'reassessments' under Regulation 35 of the 2006 Regulations, when an applicant requests a reconsideration Board Officials put them on notice that any award may be increased, decreased or may even be removed entirely. In addition, reconsiderations can be requested in instances when a case has been refused (unlike in reassessments under Regulation 35 which can only be undertaken when an award is already in place).
- 3.6 Attached at **ANNEX B** is a process map outlining the proposed revised process for Regulation 31(2) Reconsideration requests to both the SMP and IMR.
- 3.7 Members will note from this document that this will involve these cases being brought to the Committee on two occasions. In the first instance, and per the wording outlined within Regulation 31(2), the Board must agree whether or not to permit a reconsideration in the first instance and based on the new information furnished by the applicant.
- 3.8 In order to facilitate the Board's decision making function in this respect, Officials have prepared a pro-forma spreadsheet attached at **ANNEX C** for reference. Board Officials would propose that when an initial decision becomes due on a Reconsideration request then this spreadsheet is populated and shared with the Committee. Sitting behind this spreadsheet Board Officials will prepare a case summary and a bundle of anonymised documentation to be considered by the Committee in advance of it reaching any decision on whether or not to permit a Reconsideration request under Regulation 31(2).
- 3.9 Owing to the sensitive nature of this documentation, it will not be feasible for this information to be shared widely on Decision Time. Rather, Board Officials would propose bringing this documentation to each Committee meeting in hard copy and then retrieving this documentation and disposing of same once a decision has been made in any/all cases.
- 3.10 In order to illustrate this process Board Officials have prepared a first case [REDACTED] in which we have outlined a request made by an applicant

pursuant to Regulation 31(2). Board Officials have prepared a case summary for Members and provided anonymised copies of key documentation to include the fresh information supplied by the applicant in support of this request. Members are asked to consider this case in light of the proposed process.

- 3.11 Finally Members should note that reconsideration requests are not made as frequently in the course of PAB business however, at the moment, there are currently 35 SMP and IMR reconsideration requests awaiting decision by the Committee.

4. DECISION

- 4.1 Members are asked to note the contents of this paper, and in particular the proposed process outlined at Section 3, together with the corresponding attachments.
- 4.2 If content, Members are asked **to agree the revised process** for Reconsiderations pursuant to Regulation 31(2) of the 2006 Regulations.
- 4.3 If Members are in agreement in respect of this revised process, Members are asked to apply same to the case presented today and **confirm if the reconsideration request ([REDACTED]) should be approved or refused. Members should also outline the rationale for same.**

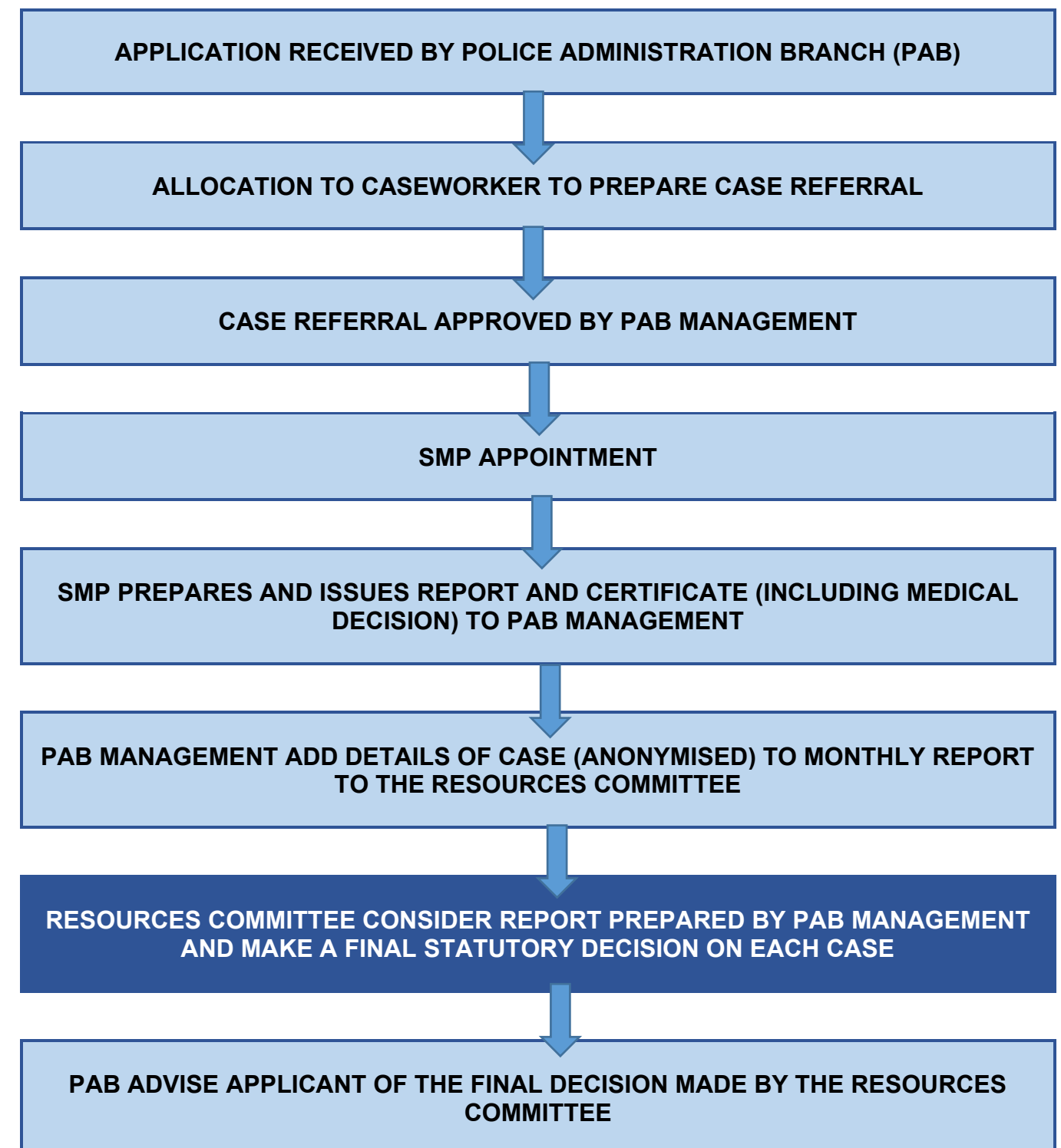
POLICE ADMINISTRATION DIRECTORATE

OCTOBER 2020

ANNEX A

INITIAL APPLICATION TO THE SELECTED MEDICAL PRACTITIONER

- 1.1 Board Officials have prepared the attached flowchart being the process overview for **initial applications to the Selected Medical Practitioner (SMP)**. This document is for the review and retention of Members of the Board's Resources Committee owing to its role in considering and approving all such applications.
- 1.2 The attached process relates to initial applications to the SMP in respect of the following:
- Ill Health Retirement (Serving Officer)
 - Injury on Duty (Serving Officer)
 - Retrospective Ill Health Retirement (Retired Officer)
 - Retrospective Injury on Duty (Retired Officer)
 - Deferred Pension (Serving or Retired Officer)
- 1.3 Members should note that all correspondence and communication relating to any **Serving Officer** shall only be exchanged between Board Officials and PSNI HR.
- 1.4 Members should note that all correspondence and communication relating to any **Retired Officer** shall only be exchanged between Board Officials and **one of the following**:
- Applicant; or
 - The Applicant's Appointed Representative (e.g. solicitor, MLA, relative, friend, staff association group).

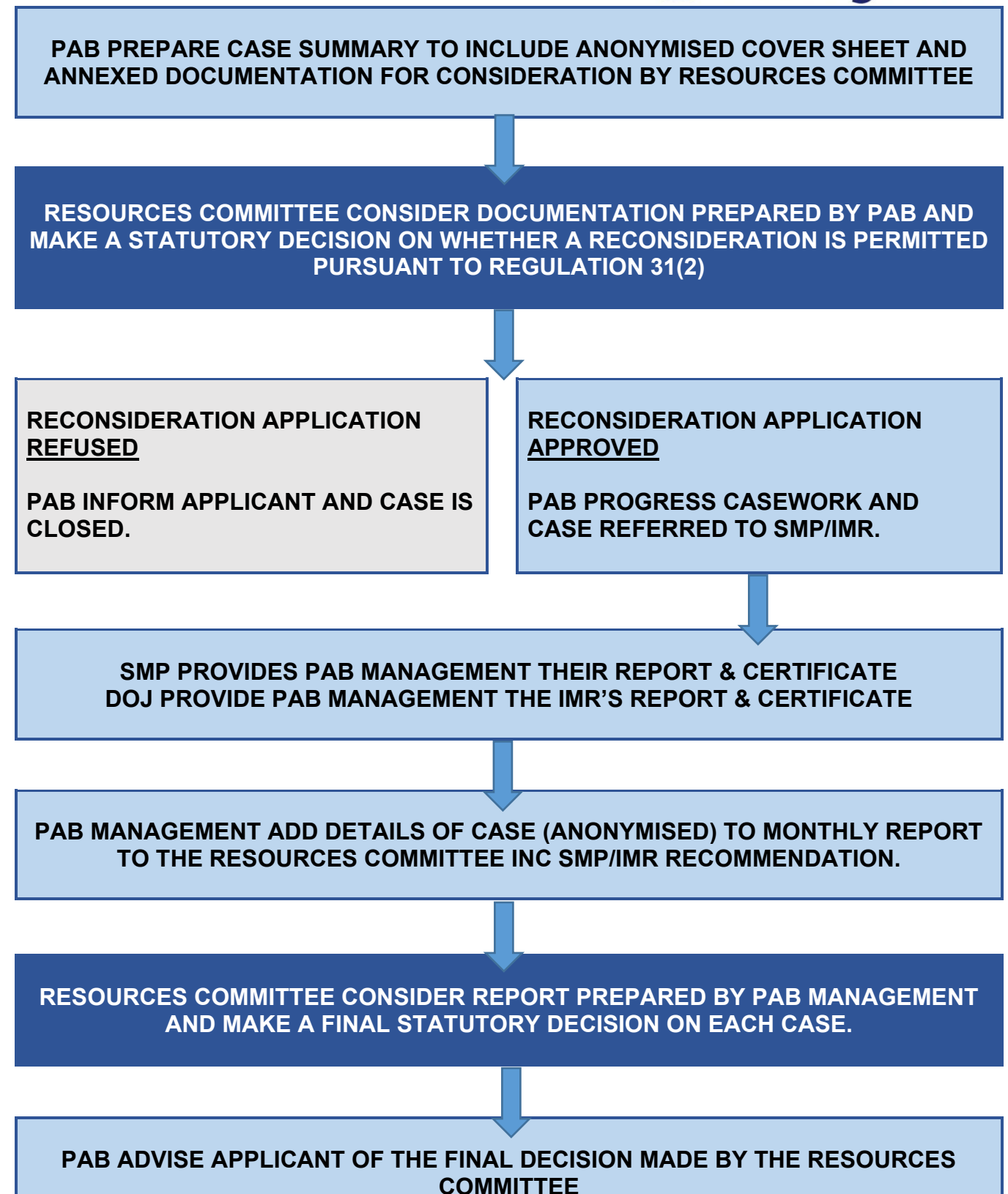


ANNEX B

RECONSIDERATION PROCESS INJURY ON DUTY ONLY REGULATION 31(2) PSNI & PSNI RESERVE (INJURY BENEFIT) REGULATIONS 2006

- 1.1 Board Officials have prepared the attached flowchart being the proposed process for reconsiderations to both the Selected Medical Practitioner (**SMP**) and the Independent Medical Referee (**IMR**).
- 1.2 This process relates to reconsiderations of Injury on Duty (**IOD**) awards only which have been made under *Regulation 31(2) of the PSNI & PSNI Reserve (Injury Benefit) Regulations 2006*. This regulation states that, in relation to IOD awards only,

“The Board and the claimant may, by agreement, refer any final decision of a medical authority who has given such a decision to him for reconsideration, and he shall accordingly reconsider his decision and, if necessary, issue a fresh report and certificate, which, subject to any further reconsideration under this paragraph or paragraph 31(1) or an appeal, where the claimant requests that an appeal of which he has given notice (before referral of the decision under this paragraph) be notified to the Secretary of State, under regulation 30, shall be final.”
- 1.3 The attached process relates to reconsiderations to the SMP and IMR by both serving and retired officers.
- 1.4 Members should note that all correspondence and communication relating to any Serving Officer shall only be exchanged between Board Officials and PSNI HR.
- 1.5 Members should note that all correspondence and communication relating to any Retired Officer shall only be exchanged between Board Officials and one of the following:
 - Applicant; or
 - The Applicant’s Appointed Representative (e.g. solicitor, MLA, relative, friend, staff association group).
- 1.6 Members should note that any/all communications relating to the arrangement of the IMR reconsideration will be facilitated by the Department of Justice. The only further communication the Board will have with the Applicant is confirmation of the Resources Committee’s final decision.



RESOURCES COMMITTEE
POLICE ADMINISTRATION DIRECTORATE
RECONSIDERATION APPLICATIONS

CASE CODE	REGULATIONS	RECONSIDERATION REQUEST	INFORMATION PROVIDED TO COMMITTEE	COMMITTEE DATE	COMMITTEE DECISION (Approved/Rejected)	RATIONALE FOR COMMITTEE DECISION
OCTOBER 2020						
██████████	PSNI & PSNI Reserve (Injury Benefit) Regulations 2006	Regulation 31(2) Reconsideration of SMP refusal.	██ ██ ██ ██ ██	14/10/2020		

NORTHERN IRELAND POLICING BOARD	
RESOURCES COMMITTEE	
Meeting Date: 14 October 2020	
Paper Title:	Police Administration Directorate - Cases for Committee Decision
Agenda Ref No:	6.6.2
Lead Official:	Aislinn McGuckin, T/Director of Police Administration
Purpose of Paper:	For Members to review and make decisions on the eligibility of awards further to the opinions provided by Selected Medical Practitioners in each case.
Considerations:	(i) Resources: within existing staffing complement and skills. Financial implications to PSNI budget for payment of all IHR & IOD awards. (ii) Equality: None. (iii) Publication Status of paper: This paper is likely to be disclosable under Freedom of Information. (iv) Related Corporate Plan/Business Plan measure: <u>Corporate Plan, Objective D</u>: To deliver independent, fair and transparent processes for former and serving officers in line with Police Pension, Injury Benefit and Appeal legislation.
Action Required by the Board / Committee:	The Committee should consider and provide a final decision in relation to all cases outlined in ANNEX A.

1. BACKGROUND

- 1.1 The Northern Ireland Policing Board (the **Board**) has various statutory responsibilities and obligations in light of a specific suite of police pension and injury on duty regulations (the **Regulations**).¹
- 1.2 Members will be aware, from recent briefings, that under the Regulations the Board is the key decision making-authority as to whether an officer is entitled to any award.

2. CURRENT PROCESS

- 2.1 Selected Medical Practitioners (**SMP**) and Independent Medical Referees (**IMR**) provide an opinion on the medical questions referred to them under the various Regulations, however, the ultimate decision in terms of eligibility of any award rests with the Board.
- 2.2 Members will further note that responsibility for any final decision on an application under the Regulations is delegated to the Resources Committee by virtue of the Committee's Terms of Reference.
- 2.3 Currently only initial SMP assessments are being undertaken at Waterside Tower. This is owing to a combination of the ongoing effects of the Covid-19 pandemic as well as the requirement for Board Officials to revise its own processes relating to IMR appeals, reconsiderations and reassessments.
- 2.4 As such, Members are being asked today to consider 15 cases, being initial SMP assessments undertaken between 11 September 2020 – 6 October 2020.
- 2.5 Attached at **ANNEX A** is an anonymised list of these 15 SMP assessments.

¹ *Royal Ulster Constabulary Pensions Regulations 1988, Police Pension (Northern Ireland) Regulations 2009, Police Pension Regulations (Northern Ireland) 2015 and PSNI and PSNI Reserve (Injury Benefit) Regulations 2006.*

3. DECISION

- 3.1 Members are asked to consider the contents of Annex A and provide a final decision in respect of the cases outlined therein.

POLICE ADMINISTRATION DIRECTORATE

October 2020

REQUESTED REASSESSMENT CASE CHECKLIST

OFFICER'S NAME	
SERVICE/FORCE NUMBER	
CASEWORKER	
SMP SELECTION	
PENSION SCHEME	
PREVIOUSLY AWARDED CONDITIONS	
NEW CONDITION(S) IF ANY	

**1. ALLOCATION OF REQUESTED REASSESSMENT (RR)
APPLICATION**

	ACTION	LOCATION / HPE	COMMENT	COMPLETED
1.	Email received from SO/EO1 allocating new case	NB the person responsible for post will have retrieved previous file(s).		
2.	Copy name and force number to stage 1 on RR portion of branch stats, enter allocation comment	542376		
3.	Complete columns A-F on SMP Case Referral Checklist	510804		
4.	Add to own records and if not already done so open new yellow file and mark this as requested reassessment and the year of application			
5.	Check contents of application:	Yellow file		

REQUESTED REASSESSMENT CASE CHECKLIST

	a) Completed and signed application b) Completed and signed Appendix A c) Completed and signed APP DEC and MED DISC If any of the above are missing or incomplete these must be requested and received before proceeding with the application d) Two appropriate forms of ID – NB the referral can proceed to case referral preparation stage without this, however an appointment cannot be arranged until they have been received. e) If the applicant has provided medical evidence this should be added to the referral file. If this has not been received this must be requested.	Orange file Yellow file Yellow file Orange file	NB: the applicant will need provide medical evidence from a GP/Specialist to confirm that their disablement has worsen before the case is progressed.	
6.	Check the previous file(s).		Refer to Appendix A for cases processed by	

REQUESTED REASSESSMENT CASE CHECKLIST

	NB. If the previous application was prior to 2012 (i.e. Blackwell's, CAPITA or BMI) check the yellow/orange files and transfer all previous referral information into the orange file(s) and TAB. (see attached Appendixes A & B) NB: any files marked 'Appeal Submission' must be kept together. If any documents are required from the submission they should be copied and not removed. a) Check previous MRC1 or 2 and supporting documentation. If anything is missing request from File Management. b) Request any additional information not previously provided by PSNI c) Request verification of any new incidents provided as part of the application		Blackwell etc. and Appendix B for those cases completed by the Branch.	
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REQUESTED REASSESSMENT CASE CHECKLIST

	d) Check if previous SMP is still available. NB: if the claimant was medically retired or granted an Injury Award before 1997 request original file from PSNI Pensions Branch	279599		
7.	Draft research letters: • Request SMP selection if previous SMP is no longer available • File management research letter. Print a copy of the applicants APP Dec and MRC2 • Research letter to legal services for hearing loss or PTSD. Print a copy of the applicants APPDEC to enclose with this letter Pass draft letters and envelopes to line manager for checking	449512 456159 or 456161 (new condition) (MRC2)303751 456160		
8.	Remove draft water mark and print letters on headed paper.			

REQUESTED REASSESSMENT CASE CHECKLIST

9.	Sign letters and copy for the file. Scan signed letters and attachments onto the Former Officer's HPE container.			
10.	Move Former Officer's details to stage 2 on the branch stats	444373		
11.	BF file for 6 – 8 weeks, set outlook calendar reminder, update comments on branch stats and Access with action and location of file. NB: Former Officers details remain at stage two until responses are received from all requested PSNI departments. Update comments on branch stats as responses are received.	BF & own calendar on outlook 444373 ACCESS		
12.	Expedite if responses have not been received. (NB this may be a telephone call with a record of the call placed onto the Former Officer's file and saved onto HPE). BF for a further 4 weeks or alternative timescale if indicated			

REQUESTED REASSESSMENT CASE CHECKLIST

	absence data), Injury on Duty forms (23/10)			
16.	Open Red Envelope and add to orange file. Organise and TAB content of orange file(s). NB: these files are numbered from the bottom up			
17.	Complete CR. Check if the applicant intends to provide FME. If yes hold referral until this arrives, then update CR and print draft copy for the file If no , print a draft copy of the CR for the file.			
18.	Update SMP Case Referral Checklist columns G – J and N (if known at this time)	510804		
19.	If SMP is known populated certificate and report into g-drive	147\18		
20.	Print relevant clinical notes (do not save on HPE)	330940 316066 316063		
21.	Move applicant details to stage 5a on branch stats and update comments	542376		
22.	Email EO1 to include CR tracking template,	461765		

REQUESTED REASSESSMENT CASE CHECKLIST

	place file onto the relevant SMP portion of the shelf.			
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3. CHECKING/APPROVAL OF CASE REFERRAL

	ACTION	LOCATION / HPE	COMMENT	COMPLETED
23.	Complete any amendments requested by EO1, return to EO1			
24.	On receipt of approval email, save into HPE folder and print for file.			
25.	Print clean copy of Case referral and shred draft copy.			

4. BOOK APPOINTMENT

	ACTION	LOCATION / HPE	COMMENT	COMPLETED
26.	Select two free appointment dates with the relevant SMP. annotate these as provisional appointments – details to include: • Provisional appointment • Drs name • Type of application • Full name of applicant • Conditions NB: categorise with SMP colour	SMP calendar on outlook		
27.	Contact the applicant, solicitor or			

REQUESTED REASSESSMENT CASE CHECKLIST

	representative to officer the appointment choice. Move to stage 5b of branch stats and update comments	542376		
28.	Save a copy of the appointment letter template onto HPE	363573 (solicitor) 315466 (applicant)		
29.	Update the following with the appointment date: • SMP Checklist • Branch statistics (add appointment details to comments) and move to stage 6a • Invoice tracker • ACCESS • Own records	510804 542376 480062		
30.	Update SMP Calendar changing appointment date to confirmed and removing alternative provisional date(s)	SMP calendar on outlook		
31.	Send email to SMP with details of the confirmed appointment (using standard wording)	458182		
32.	Populate SMP Certificate and Report, if not completed at point 20. Update appointment date on Certificates and Report			
33.	Print clinical notes if not completed at point 21			
34.	Prepare draft appointment letter and envelopes. Print a copy	363573 (solicitor)	NB: change application type to Requested Reassessment (ass 'with New Condition' if applicable)	

REQUESTED REASSESSMENT CASE CHECKLIST

	of the Waterside Tower map and pass with the file to EO1, for approval.	315466 (applicant) 419225 (map)		
35.	Remove draft watermark and print letter on headed paper Sign the letter and scan this onto the Officer's container on HPE (including map). Photocopy the signed letter and mark as copy, file this and the draft copy in the Officer's file			
36.	Place the file on the SMP shelf with a note of the appointment date.			
37.	On the week before the appointment, ensure the file is on the shelf for the SMP.			
38.	After appointment move to stage 6b on branch stats, also update the invoice tracker to 'awaiting invoice'	542376 480062		

5. ISSUE RESULT				
	ACTION	LOCATION / HPE	COMMENT	COMPLETED
39	Once stage 1 of the DP's result checklist has been completed: • Prepare the result letter(s). NB: if successful prepare a result letter for pensions branch • Print 2/3 (see note below) x Certificates and 2 x reports. • Prepare envelopes* • Pass to line manager with files for checking and hold on results trolley until committee approval is received. NB: If there is a change to the award a 3rd certificate is required for pensions branch	290\18 or 289\18 with new condition	Check the DP's checklist has been signed off before preparing results NB: not all scenarios have updated template letters yet. If in doubt the check with your line manager.	
40	On receipt of email confirming/refusing committee approval, print a copy for each case, redact and save into each Officer's container.			
41	Move DP checklist and the old copies of the			

REQUESTED REASSESSMENT CASE CHECKLIST

	certificate and report into the Admin file.			
42	Remove draft watermark from letter(s) and print on headed paper. Sign letter(s), scan onto Officer's HPE container and copy. File copy and draft on the file			
43	Update SMP checklist	510804		
44.	Update branch stats	542376		
45.	Update ACCESS – complete reassessment box on ACCESS. Add comment with date result issued, BF date and location of file.			
46.	B/F for 3 months in case of appeal (add the BF date to front of file)	B/F and own outlook calendar		
47.	B/F until invoice arrives			
48.	Update own records			
49.	If no Appeal or reconsideration received, put the file away (PA) by dating it and putting in relevant box. Results with a recommended reassessment should be left in the run.			

REQUESTED REASSESSMENT CASE CHECKLIST

*Prepare the following envelopes:

A) If successful without a representative –

1 x special delivery envelope addressed to the applicant and 1 x official sensitive envelope – issue result letter, and a copy of the certificate and report.

1 x police courier and 1 x official sensitive envelope. Issue pensions result letter and a copy of the certificate

NB: if unsuccessful do not issue a letter to pensions branch.

B) If successful with a representative –

1 x official sensitive envelope marked private and confidential to the claimant with a copy of the certificate and report in a sealed & marked Private & Confidential. (Note reps. reference on the envelope)

1 x official sensitive with the result letter and above sealed envelope. (Note reps. reference on the envelope)

1 x special delivery envelope addressed to the representative, issue above sealed envelope.

1 x police courier, 1 x official sensitive envelope. Issue letter pensions result letter and a copy of the certificate

NB: if unsuccessful do not issue a letter to pensions branch.

APPENDIX A- PRIOR TO 2012			
	ACTION	COMMENT	COMPLETED
1.	The following process will be completed before any referral letters are completed as you will need to include some of this information within these letters e.g. dates of IOD reports. A research letter to Legal Services is required if the new conditions include PTSD or Hearing Loss and Tinnitus. NB: you may also need to contact Legal Services if a previous request was not made for PTSD.		
2.	It is important to note when working with files before 2012 that files marked as appeal submissions should be kept intact. These will have a coversheet indicating that it is the submission and the last page will be a purple sheet. These also could be part way through a file, adding a coloured tab to these will highlight the submission.		
3.	Check the original files and retrieve the SMP(s) and IMR(s): • Certificates • Reports • Clinical notes • Original case summary NB: there may only be the original SMP referral/result, however there could be	Keep these in date order starting with the original application.	

REQUESTED REASSESSMENT CASE CHECKLIST

	multiple applications, reconsiderations, appeals and previous reassessments. Each of these must be transferred into the new reassessment case referral (with or without a new condition).		
4.	These will be placed at the start of the new case referral, listed under section 2 background and TAB as 2.1, 2.2 etc. Each document should be listed A, B, C etc.	NB: at this time IMRs would be a specialist consultant in the required field for the condition. If there are multiple conditions you may have multiple IMR consultant reports with one acting as Primary IMR. These reports should be listed (A, B, C etc) as part of the relevant TAB under section 2.	
5.	A. with a new medical condition there will be an Appendix A, this will be TAB 3. B. If there is no new medical condition details of the request will be found at TAB 3.1		
6.	New medical evidence not previously seen by the SMP is listed in date order		
7.	Check the previous files and remove anything relevant i.e. • OHW notes and records • Injury on Duty reports (excluding any 3rd party statements as we do not have the required consent to share these under GDPR) • Posting history	• The OWH notes are listed at TAB 5.1. • Any previous medical evidence is listed in date order following this. • Any new medical evidence will be listed in date order • The next TAB will be the heading for	

REQUESTED REASSESSMENT CASE CHECKLIST

	• Qualifications/training records • Sick leave record • Any previous medical reports or statements previously seen by the SMP or IMR	IOD reports previously considered and will be detailed in the table below and marked as the TAB number in section 5 and listed as A, B, C etc	
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APPENDIX B - AFTER 2012			
	ACTION	COMMENT	COMPLETED
1.	As these cases were prepared in Branch the original referrals can be used. Check the information held in these files before completing any research letters and only request anything new or not previously provided.	NB: check with file management there is nothing further to provide.	
2.	If there are any new medical conditions, an Appendix A must be provided and the incidents verified with File Management.		
3.	From the referral files remove the copies of the SMP and IMR(s) • Certificates • Reports • Clinical notes • Original case summary NB: there may only be the original SMP referral/result, however there could be multiple applications, reconsiderations, appeals and previous reassessments. Each of these must be transferred into the new reassessment case referral (with or without a new condition).		
4.	These will be placed at the start of the new case referral, listed under section 2 background and TAB as 2.1, 2.2 etc. Each document should be listed A, B, C etc.		

REQUESTED REASSESSMENT CASE CHECKLIST

5.	Place a plain coloured dividing sheet in front of the original referral and TAB this 5.1. As the SMP will have the original case referral you will only have this tab listed on the new case referral.		
6.	New medical evidence not previously see by the SMP is listed in date order		

PROCESS FOR RETROSPECTIVE INJURY ON DUTY AWARD APPLICATIONS [RETRO IOD]

Version Number	Version Date	Summary of Changes	Changes processed by:	Changes approved by:
6	March 2021	- SMP selection moved to Stage 2 (update to claimant letter includes SMP selection); Stage 3 now by exception (if SMP choice not received); - Stage 2 – update to PSNI encloses redacted copy of Appendix A - Stages 5 & 6 separated into parts 'a' & 'b' to track case progress; stage 6b updates Result to Resources Committee; - Final Stage updated with Post Resources Committee Process; - Notes to clarify allocation of duties / template selection & capture of relevant criminal / disciplinary proceedings;		 Aislinn McGuckin (T/Director)
	May 2021	References to Covid Triage Questionnaire removed		A McGuckin (T/Director)
	Jul 2021	Preparation of SMP templates moved to Appointment setting stage		A McGuckin (T/Director)

Number of this Version	7
Date of this Version	July 2021
Document Location	HPE 454870 (folder 155~21)

Application Received – Preliminary Stage

For both Request in form of a Letter or Completed Downloaded Application Forms:

On receipt the person responsible for processing post will date stamp and check the BF filing system, ACCESS Database, spreadsheets and Referral (orange) files in the Secure Store to ascertain if this is a second application and we already hold a file in storage.

If a second application, reassessment, reconsideration etc then the case file is taken out of storage with new paperwork added with a divider separating this application from the previous. Then continue as below.

HPE: 454870

[Retro IOD Guide –Updated July 2021]

*If **brand new** application and there is **no file** they will:*

- Open a new Administrative (yellow) case file which will hold all correspondence, expedites and all documents that will not be needed by the SMP for assessment. Complete the ex-officers name and force number where indicated on the front of the file.
- Input the details onto the Access Database. Set up a new Access record for each new application that the claimant makes. This is except for the reassessments which don't have a separate record sheet on Access but are recorded under the relevant approved IOD/Retro IOD record
- Add name and force number to new Case folder in appropriate area (Retro/Defpen/Reassessment etc) on HPE
- Scan application letter and (if provided) completed forms into the person's HPE folder
- **Send acknowledgement letter (Template:362114) [along with the appropriate set of forms (eg R-IOD, App-Dec and Med-Disc) if not provided]**
- Put case file in 'New applications' tray 1 on *postal* shelf for the attention of EO1/SO

-
- The EO1/SO will e mail PSNI HR Service Centre for confirmation of all service details. Place file in 'New Applications' tray 2.
 - EO1/SO will add the case to 'new applications' section of the Monthly Stats Tracker (484718: April 2022 – March 2023)
 - On receipt - a copy of the e mail is taken for each case file (redacting any other names) and the file is placed in 'New Application tray 3' for EO1/SO. The SO may instruct caseworker directly to redact names from the email.
 - EO1/SO to allocate to a case worker and add to monthly statistics spreadsheet under caseworker name at Stage 1

STAGE 1 – Application passed to Caseworker

Awaiting information from Claimant or their appointed representative (includes receipt of forms/further evidence or clarification)

1. Update Administrative file cover with details (including reason for leaving) received from File Management Team.

2. Open a Referral (orange) file completing the ex-officers name and force number where indicated. Do not put the reason for leaving on the front of this file as the SMP does not need to know. **Ensure Appendix A is clearly legible** and put Appendix A into orange file. **If Appendix A is not clearly legible, request an updated Appendix A from applicant.**
3. Complete Data Protection Housekeeping Sheet (5960) for 3 years from the date application received and staple to the inside front cover of the first Admin file – **no longer used**
4. Input the weeding date¹ on Weeding Database (6375) for 3 years from the date received – **no longer used**
5. Bf for 4 weeks if awaiting completed forms or clarification from claimant
6. **Ensure on correct stage on monthly statistics**
7. Set up case on SMP Case Referral Checklist 2022/23 (510804– complete columns: **Name, Service Number, Caseworker, Serving / Retro, Type of Case, Medical Conditions to be assessed**)

STAGE 2

Information is requested and awaited from PSNI (MRC2 or clarification on MRC1/MRC2)

1. Save all correspondence (except medical evidence) into claimant's HPE folder on HPE - Write to PSNI HR Service Centre for relevant service records, OHW records and to corroborate incidents listed using template letters (279595). **A full description of the incident should be included as listed by the applicant on Appendix A (or in their statement/letter). Don't** mention condition on which application is based. **Please avoid investing time in transcribing information provided on Appendix A. Please copy Appendix A, review the information thereon & redact details of any other officers / medical conditions / any surplus information from the copy which is then attached to PSNI HR.**

Please refer to your EO1 for direction as required (before investing any time in transcribing information provided).

2. If the claimant was medically retired or granted an Injury Award before 1997 write to PSNI Pensions Branch and request their original medical retirement file. The files were sent there for storage at that time. Template letter (279599)
3. Where condition includes Hearing Loss/Tinnitus issue letter to Legal Services for ENT reports (279598). When the Legal Services letter is received place it on

¹ NIPB Compliance Branch is currently revising the NIPB retention and disposal process and will confirm the new process in due course. Until this is received do not weed a file.

the Admin file (redact settlement figure if stated). The ENT Reports are placed in the Referral file separately *after the OHW documents*. If claimant cites PTSD write to PSNI Legal Services requesting if he/she has submitted a claim and if so repeat actions as above. NB: If *class action* should be no reports – if *personal action* then ask for the medical report(s) generated by this

4. Update claimant (442882) or representative (442889) to include request for SMP selection. Also include Med-Disc form if old format consents on file. (Template letters: Claimant = 442897 and Representative = 442911 – Both template letters updated with revised arrangements re Covid 19)
5. **Update Access** – fields and 'Notes' section
6. Place the file in the BF diary on Outlook for 6 weeks for a response from PSNI branches
7. Ensure on correct stage on monthly statistics.

STAGE 3

MRC2 received, confirm SMP selection held or issue reminder letter

1. Following receipt of all requested documentation from PSNI, place completed MRC2 sheet on Admin file. Personnel records (Posting History/ Sick Absence/ Qualifications and Training/ Injury on Duty Report forms etc); OHW Notes and Records and ENT reports (from Legal Services) (both opened) should be placed on the Referral file. NB: All medical reports including OHW records should be located at the back of the Referral file.
2. Confirm whether claimant has returned SMP selection choice. If this has not been received (within 4 weeks of issue), chase up.
3. Set up a Case Referral (**template 406552**) in the claimant's HPE folder. (This can be worked on or completed, checked and approved in advance of receipt of the list of SMPs). Ensure all relevant criminal/disciplinary proceedings are advised to EO1 and SO and recorded in the Case Referral checklist (510804) – column H (ie 'Disc' / 'Crim' / 'Both' / 'None')
4. Ensure on correct stage on monthly statistics
5. BF for 3 weeks if SMP selection form has not been received and has been requested at Stage 3.

[See Appendix below on how to complete Case Referral]

STAGE 4

HPE: 454870

[Retro IOD Guide –Updated July 2021]

Selection received and appointment made/to be made (Case Referral started, progressed or completed)

1. Once selection of SMPs is received complete Case Referral (if not already completed)
2. Update status on case referral checklist (510804) columns **Date all information received** and **Date case referral completed**.
3. Pass to EO11/EO1 for checking
4. Ensure on correct stage on monthly statistics

STAGE 5a & 5b

STAGE 5A: Case Referral in progress or sent for review (pending signoff)

It's at this point that the Case Referral must be completed as all necessary information has been received and the SMP appointment made

[See Appendix below on how to complete Case Referral]

1. EO1 checks Case Referral and completes column **Date Case Referral Checked** on (510804). Case may be passed to SO for approval at which point they will complete **Date Case referral approved** on (510804), otherwise the EO1 will complete both columns.

STAGE 5B: Case Referral has been approved & SMP appointment is pending

2. When Case Referral approved – it is returned to Caseworker to make SMP appointment. Check in EO1/SO/DP approval e mail into claimant's HPE folder

Please refer to the SMP appointment process document (361108) for complete & updated information.

3. Check availability of **all the** ranked SMPs on SMP Calendar (giving 2 weeks notice where possible to the SMP) and make provisional bookings on this calendar – add claimant's name and force/service number/details of medical conditions and type of case request provisional appointment. Confirm one of these appointments - see below for wording)

Example email:

I would be grateful if [insert officer's name] can be advised of the appointment arrangements at NIPB's Waterside Tower.

Prepare Appointment Letter (HPE 315466) for issue with directions map (HPE 0704). Pass the Appointment Letter for approval to the EO1 once G-drive and medical notes have been updated as below:

The template certificate/report should be populated in the folder of their confirmed SMP (G drive). Select the appropriate template from HPE 147\18 and ensure all details and appointment date are completed accurately. Populate the claimant's details (name, force/service number, DOB etc). Complete and print off the Clinical Notes for that particular SMP. (HPE reference given in SMP Appointment Process – additional notes). Ensure the Certificate and Report are included in the final / correct SMP's G Drive location.

Please ensure the chosen SMP is recorded correctly on relevant branch records – including the case referral, case referral checklist (2022-23 Case Referral Checklist and Case Tracker HPE510804) and branch invoice tracker (2022-23 HPE 480062).

NB: the EO1 will review the G-drive SMP Report/Certificate(s) and medical notes when approving the Appointment Letter for issue.

4. E mail confirmed scheduled appointment to relevant SMP. Check into claimant's HPE folder. Update SMP as follows in the email; *Please note we will **only** contact you if it is necessary to cancel this appointment.*
5. Enter confirmed appointment date and SMP's name in columns **Date of appointment, SMP** on (411200).
6. Update Branch Invoice Tracker 2022-23 (HPE 480062 - appointments from April 2022 onwards).
Appointments up to/including 31 Mar 2021 saved in 2021-22 Invoice Tracker HPE 444350)
7. Note appointment date on **ACCESS**. (For both serving and Retro cases)
8. Ensure on correct stage on monthly statistics

STAGE 6a & 6b

STAGE 6A: Referred to SMP (has an appointment with a checked and approved Case Referral):

1. Caseworker Bf's file for 1 week before appointment when they check that the Certificate, Report and Clinical Notes are all in place. Casefile is left on caseworkers Shelf until the day prior to the applicant's appointment.
- 2. Update Access**
3. Ensure on correct stage on monthly statistics
4. On the day before the applicant's appointment, (or the last day you are in the office before the appointment), the file should be pulled from the store (to include details included of anyone accompanying the applicant where relevant).

5. Place file on the SMP shelf in the secure store by close of play the day before the appointment.

STAGE 6b: SMP appointment complete – result to go to Resources Committee

6. Once the SMP appointment has taken place and the SMP has issued the final Certificate and Report, AO should move the case to Stage 6b, awaiting Resources Committee

Please note AOs will be asked, on occasion to scan case documentation for Resources Committee & Save documentation onto the system (to include G drive).

FINAL STAGE - Result received from SMP – signed off by SO/DP & to Committee

1. EO1/SMP Liaison prints off copy of Certificate and Report from G Drive; places in Referral file and leaves on SMP Shelf & emails DP/SO & EO1 that file is ready for SO/DP quality check and approval. EO1 should highlight to SO/DP if all information (including that which relates to relevant criminal/disciplinary proceedings) is now included to allow case to progress to Resources Committee for consideration.
2. If Interim report has been received rather than a Final Report – if FME is required from somewhere else (GP, Specialist etc) SO/DP will e mail Caseworker (Cc to Line Manager) to write to GP etc asking for this and also advise claimant in writing. Caseworker to expedite if necessary.
3. SO/DP reviews Certificate & Report completing SMP Results Checklist and Signoff sheet – Stage 1. At this point the PAB Directorate – Decisions for Committee Approval document is also completed – HPE 420460 (for relevant month). SO/DP moves Certificate and Report from G Drive into Completed SMP Reports/Certificates 2020/2021 folder (424\20). Completes columns **Date Result approved, Date result issued** (510804).
4. Case pending review at Resources Committee – caseworker moves case to Stage 6b on Branch Caseload Statistics.
5. Once Committee has approved the decision SO/T/DP will:
 - a. Complete the outstanding steps on the SMP results checklist (Stage 2) & signoff SMP results checklist
 - b. Email caseworker/EO1 to process result
 - c. Complete the relevant columns on both the Case Referral Checklist and Tracker (2022-23 HPE 510804) and Decisions for Committee Approval tracker (420460 – for relevant month)
6. As soon as signed off result is received from DP, AO to prepare and send confirmation letters to both:
 - a. Claimant or Solicitor/Appointed Representative;
 - b. PSNI Pensions Branch (if successful)
7. If Final report is issued – Caseworker prints off fresh Certificate and Report for Referral file and claimant (If successful a copy of the Certificate for PSNI Pensions Branch). Moves the SMP Checklist, Sign Off Sheet and quality checked Certificate and Report into the Admin file
8. Copies the Certificate and Report from SMP Certificate and Reports 2020/2021 folder (424\20) into claimant's folder [don't put HPE number on as original will be kept centrally in 152\19]

9. Completes result letters to the claimant and to PSNI Pensions Branch (the latter only if award is granted) (Templates: 597~05-Retro result letters 292\18). Pass for approval and following due process, send out result.
10. AO to ensure the Case Referral Tracker and Branch Invoice Tracker are updated following the completion of the appointment process. ACCESS database to be updated with file's location. Caseworker completes column **date result issued** on SMP case referral checklist (Case Referral Checklist and Tracker (2022-23 HPE 510804))
11. If Invoice has been received from SMP – follow 'SMP Invoice Process'. If not make sure noted on Access Bf
12. Move to results section on monthly statistics
13. Update the Housekeeping Sheet (5960) [inside front cover of first Admin file] and spreadsheet (6375) for further 3 years – NO LONGER USED
14. Update **ACCESS** – filling in all relevant sections including ratification date (second Thursday of the month). Include location of file in Notes Section.
15. Bf for 3 months in normal run in case of an appeal. If no appeal or query has been received after 3 months then Caseworker closes file and archives it in appropriate location. Update relevant spreadsheet (Refusal, Band 1, Band 2 etc).
16. If there is a recommended Reassessment then PA case file and return to normal run in secure store
17. If result was a Refusal; Band 1 permanent; Band 2 and above permanent; Ill Health only or Deferred Pension brought into payment early due to Ill Health only – these case files are stored separately. Add to appropriate spreadsheet:
 - a. 312584 Refusals
 - b. 316619 Band 1 permanent
 - c. 316620 Medical retirement only or Deferred Pension after Ill Health only awarded
 - d. 270905 Band 2 and above permanent

APPENDIX

Completing the Case Referral

- 1) Create a copy of the relevant Case Referral template (Retro IOD -406552) and save it into the claimant's HPE folder. Imbed "NIPB Case Referral" and type of application for all applications in 'header'; imbed page number and HPE number at footer and watermark as "DRAFT".
- 2) See Retro case referral guidance document for detailed process/information – **(408114)** Outline as follows:
- 3) **Medical Conditions:** First enter the medical conditions for consideration by the SMP in the text box.
- 4) **Background:** In "Background" detail the claimant's Rank, full name, Force/Service number, the date on which they joined and left the police, any other police service and which pension scheme they are in. Previous employment details.
- 5) **Application Form:** Include at **tab3** the officer's appendix A from their application for a Retro Injury on duty award. This will detail the various incidents which caused their disablement. Include any incident information in the table format provided and insert applicable sentence in respect of PSNI confirmation of the incidents. Full wording is detailed on the case referral template **(406552)**.
NB: if an applicant has provided a substantive submission, please refer to your line manager for guidance. In this case, you should refer the SMP to the appropriate tab. Please do not reproduce a verbatim narrative of a multi-page document. Your line manager will provide appropriate guidance.
- 6) **Medical Information:** All medical information received should be included here and tabbed accordingly. Note if information is received from PSNI or applicant.
- 7) **Further Information provided by the former officer:** This will be any further information provided by the former officer to include statements, press cuttings etc that is above and beyond any medical information provided and listed under medical information.
- 8) **Further Injury on duty reports:** Include only information as detailed in the table format provided. Information to include only ***Date, location /nature of incident, injury sustained, Accepted and an IOD.*** Insert each IOD report at an individual tab i.e. 6.1, 6.2 etc.
- 9) **Further information provided by the PSNI:** Information to include here can be sickness and absence records, training record etc. see full information on guidance document 408114.

10) Miscellaneous Information: Include information re Police Pension scheme, any civil claims against the Chief Constable in relation to hearing loss and or PTSD and

11) Once a Case Referral is completed the Caseworker types their name and date in the “Office Use” section and passes it to the (EO1) for checking. If there are any mistakes the file is passed back for amendments. If not it is signed and dated as being checked; update column ***Date case referral checked*** (510804) and Access Notes updated to show passed for approval. The file may then be passed to the SO to fill in the “Authorised by” section, update column ***Date case referral approved*** (510804) and return the file to the Caseworker.

12) All staff should ensure ACCESS is updated at every stage – including keeping track of where the case file is by using the ‘Notes’ box

13) All letters issued from Admin Branch follow this procedure:

- a) HPE number included in footer
- b) Draft watermark
- c) Printed double-sided
- d) Approved
- e) Watermark removed
- f) Printed single-sided on headed paper
- g) Quality checked
- h) Scanned into claimant’s HPE folder
- i) Sent either by special delivery or police/secure courier

RECONSIDERATION PROCESS DOCUMENT

Both serving and retired officers can request a reconsideration of a medical practitioner's Selected Medical Practitioner (**SMP**) or an Independent Medical Referee's (**IMR**) decision.

The applicable statutory basis for a reconsideration will be dependent on whether the applicant is appealing an Injury on Duty (**IOD**) only and/or if the applicant wishes to appeal a pensions related matter.

All reconsiderations will be progressed under *at least* one of the following:

Regulation H3 (2)	Royal Ulster Constabulary Pensions Regulations 1988
Regulation 31(2)	PSNI and PSNI Reserve (Injury Benefit) Regulations 2006
Regulation 69	Police Pension (Northern Ireland) Regulations 2009
Schedule 1 Paragraph 4 (3) & (4)	Police Pension Regulations (Northern Ireland) 2015

RECONSIDERATION STAGE 1 – NOTIFICATION OF RECONSIDERATION REQUEST

Notification of reconsideration may be received by way of letter/email from retired officers or their representatives and from PSNI HR in the case of serving officers.

Upon receipt of notification of reconsideration:

- Consider if any complaints, Subject Access Requests and/or FOI requests have been raised in conjunction or simultaneous to the reconsideration.
- Consider if the claimant has submitted any new conditions. **New conditions cannot be introduced through a reconsideration** as the SMP/ IMR are only permitted to consider the original conditions assessed. If new conditions have been introduced, please notify Staff Officer (**SO**).
- Open new hard copy file and lodge hard copy notification of reconsideration on file and write type of Reconsideration in red on the file front. Communications should be put in the yellow file and any accompanying medical evidence/ further information should be put in the orange (referral) file.

- Each Applicant has their own folder set up on CM. A new sub-folder should be set up for reconsiderations in 158-22. In order to do so use an empty folder and rename it with the Applicant's name and service number and reconsideration (by right clicking > properties > amend the name). Note SERVING if applicable.
- Notify SO by email of reconsideration and pass file to same.

RECONSIDERATION STAGE 2- PREPARATION FOR RESOURCES COMMITTEE

- As per the relevant legislation mentioned at the beginning, each reconsideration request must be placed before Resources Committee for approval, before being presented to the SMP or IMR.
- Resources Committee runs on a monthly basis.
- The deadline for papers to Committee is always the Wednesday before, and the deadline for PPIB staff to bring papers for approval to the SO is two days before that.
- It is the role of the SO to manage the reconsiderations process which involves:
 - managing the reconsideration tracker (523815);
 - instructing the EO2 on the preparation of cover papers and results to Resources Committee;
 - approving each cover and result for Resources Committee; and
 - allocating approved reconsiderations to caseworkers for preparing cases for the SMP/IMR.

Reconsiderations notification

- Upon receiving notification of a reconsideration, the SO will establish if it is an SMP reconsideration or an IMR reconsideration and input the required information onto the relevant tab on the reconsideration tracker (523815). Reconsiderations are recorded in chronological order. With the exception of serving officers who will be prioritised throughout the process.
- Upon receiving notification of a reconsideration request the SO will instruct the AO to issue the initial correspondence to the claimant advising of the reconsideration process; that their case is on a list awaiting preparation to Resources Committee; and they will be informed when it is to be placed in front of Resources Committee (464935).

Preparation for Committee

- The SO should begin by establishing a realistic number of cases (in chronological order) to present to Committee each month.
- In order to prepare a reconsideration for Resources Committee the SO will select the first case at the top of the list either SMP/IMR and instruct the

EO2 to begin preparing the cover paper for Resources Committee. A cover paper (template cover paper can be found at 437867). If the claimant has not included any further medical evidence a copy of their reconsideration request only should be appended to the cover letter. This type of case should be flagged to the SO in order that it can be highlighted by the Grade 7 to Resources Committee.

- All reconsideration papers prepared for Committee must be completely anonymised and all identifying information must be removed. The EO2 should ensure that the following information is redacted from the cover paper, any correspondence and further medical evidence enclosed in the accompanying bundle:
 - Officer/ former officer name, force number, family members, address, date of birth and contact information; and
 - Medical professionals and solicitors/ representatives, their place of work and contact information.
- The cover paper should be attached to the claimant's file for approval by the SO. An email should be sent advising the SO that the bundle requires approval.
- Once approved the SO should update the Reconsideration tracker.

Preparation for CJSM

Approved papers are uploaded unto CJSM (a system which allows criminal justice organisations to exchange both '*sensitive*' and '*official sensitive*' information securely). This system is used by Board staff to circulate the relevant redacted reconsideration papers to Board members securely.

- The SO should instruct an AO to scan all Resource Committee papers, for each case, single sided. The AO will receive the scanned PDF papers for each case to their email account.
- Each paper will have its own unique code. The item number it has been allocated on the Committee agenda, followed by RECON, then 1,2,3,4 dependent on which month it goes to Committee. The first set of committee papers went on December therefore they were batch 1. Each month will follow on from that i.e. January will be 2, February 3 etc, followed by the year i.e. 20/21. An example is:
 - Item [INSERT ITEM NO]-RECON {INSERT NO} -24/25
- Scanned papers should be saved to the relevant officer/ former officer's CM folder and renamed (as above). Go to properties, left click and change the title to the relevant case number (see above).
- The pdf'd paper should be copied from the relevant CM folder into the G drive. The file path is as follows:
 - NI Policing Board – PSNI Pay and Conditions – Administration Branch – Appeal and Reconsideration Cases – Resources Committee Papers – relevant year – relevant month.

- Once copied to the G Drive the AO should inform the SO who will proceed to upload the papers to CJSM.

Uploading onto CJSM

- Log into CJSM and select Mailbox.
- Elect to send from 'resources committee papers mailbox'.
- Compose email and send to the staff member necessary within the Strategic Planning and Governance Directorate.
- Drag and drop pdf files from the G Drive into the email and send email.
- Send a further email on Outlook to the staff member within the Strategic Planning and Governance Directorate advising that the papers have been sent on CJSM.

RECONSIDERATION STAGE 3- DECISION FROM RESOURCES COMMITTEE

Rejection of reconsideration request

- If Resources Committee rejects a reconsideration request correspondence should be issued to the claimant advising of the Resources Committee's decision and the reasons why it has been rejected (445040).
- The decision should be recorded on the reconsideration tracker (523815).

Approval of reconsideration request

- Following approval by Resources Committee of a reconsideration request the below actions should be carried out by the SO:
 - Update the reconsideration tracker (523815);
 - Issue a letter advising the claimant that Resources Committee has approved their reconsideration request and their case will now progress to the next stage of the process (437909); and
 - Allocate the case to the EO2 (IMR Reconsiderations) or AO (SMP Reconsiderations).

RECONSIDERATION STAGE 4 – PREPARATION OF CASE REFERRAL

Preparation of SMP reconsideration case referral

- The case should be input onto the SMP case referral checklist (526917).
- As per the legislation reconsiderations must be conducted by the Doctor who conducted the initial assessment. The only exception to this is if the Doctor is no longer available to conduct the assessment. The caseworker should establish who the original SMP was. If they are still employed by

the Board the caseworker should begin to prepare the SMP case referral on the basis of the SMP reconsideration template (499192) and in conjunction with the SMP reconsideration case referral guidance document (408166).

- If the SMP is longer employed by the Board the caseworker should draft a letter to the claimant advising of this and offer them the choice of existing SMPs (477192).
- The SMP report and certificate (templates in 147\18) should be populated and saved to the relevant SMP's folder in the G Drive with title changed in footer to 'Reconsideration Certificate (IOD only) – block letters.
- SMP clinical notes completed with claimant's details, printed and placed on the front of the claimant's orange folder.
- Following preparation of the SMP case referral the folder should be passed back to the SO for approval.
- Following approval of the SMP case referral, certificate and report, the case should be passed back to the caseworker in order to schedule an SMP paper-based appointment.
- Following confirmation of SMP appointment, correspondence should be issued to the claimant confirming the date of their paper-based reconsideration (437917).
- The paper-based SMP appointment should be recorded on Outlook, the reconsiderations tracker (523815), the branch invoice tracker (569776) the reference changes each financial year.

Preparation of **IMR** reconsideration case referral

- The caseworker should prepare the IMR reconsideration cover letter to the DOJ (445743) and the appropriate bundle of information [request letter, Resources Committee decision letter, previous IMR's certificate, report, clinical notes (if any), previous IMR Submission, new medical information etc]. The bundle should contain all tabbing referred to in the letter to the DOJ.
- Scan on tabbed medical bundle as above. **(See User Guide Scanning PDF Files for Submission to DOJ (IMR/Appeal & Reconsiderations) - CM557671).**
- Please note, a page turn of the hardcopy files against the scanned on PDF file should be carried out by the person redacting the PDF file and again by the person carrying out a 100% check of those redactions to ensure all pages are accounted for.

- Redact scanned PDF file as per the **Redaction Overview CM520312 (you may also wish to use CM557671 at this stage).**
- EO11 to carry out 100% check of redactions.
- When satisfied that all is in order – the caseworker updates the submission cover letter and drafts an update letter to the appellant advising that their case will be passed to the DOJ (437921). This letter should be held until the case has been approved.
- Upon completion of all of the above the submission is passed to the SO for approval.
- The SO spot checks redactions and approves the submission, returning it to the caseworker to complete the process and submit it to the DOJ in same way as appeals i.e. by placing the approved Submission cover letter (CM445743) to the DOJ under the title page of the final redacted, tabbed PDF Submission on G-Drive, save the final approved PDF submission into the Officer's CM folder and sends to the DOJ by secure email. **(Please note that the DOJ must confirm by receipt that they have received case).**
- The caseworker then drags the final approved PDF file submission from G-Drive into the appellant's CM folder and deletes the temporary working folder from the G-Drive once they are sure it has saved correctly to CM.
- The approved update letter is issued to the appellant and/or Rep (437921). The case is given a three-month Bf on the Outlook calendar. Status is updated on 523815. SO is notified by email. Copy letters and the email trail (including the DOJ receipt) are saved into the claimant's CM folder. The hard-copy file is returned to the Reconsideration Shelf.
- When the DOJ email notification of an IMR appointment - the caseworker (or AO):
 - Checks the SMP calendar to ensure the date is available.
 - If available, the confirmed appointment is added to the Outlook calendar (highlighted in olive green).
 - The person responsible for NIPB James House parking is contacted to arrange parking spaces and given the name of the IMR and claimant. If a disabled space is requested, then the DOJ need to provide the vehicle details of the claimant as this space is arranged through James House.
 - 523815 and the Invoice Tracker should be updated.

FURTHER MEDICAL EVIDENCE (FME) RECEIVED FROM THE DOJ FOLLOWING IMR RECON ASSESSMENT

When a submission has been issued to the DOJ the appellant is advised that the DOJ take ownership of their case, and if they have FME it should be sent directly to the DOJ in support of their case. On occasions where the appellant has sent FME directly to the DOJ, the DOJ will then share this FME with us prior to and/or when sending the IMR result through.

As the initial electronic PDF submission will not include this FME it is the responsibility of the Appeals/Recons team to ensure it is filed as necessary in the hardcopy and electronic file that was sent to the DOJ previously and under the relevant section.

Please note, prior to electronic submission cases to the DOJ, two redacted copy submission bundles were prepared. One copy was issued to the DOJ and the second copy submission was stored with the original hardcopy file for our records. you should firstly assess how the case was originally sent to the DOJ and action as below:

FME RECEIVED FROM THE DOJ FOR PAPER COPY SUBMISSIONS

1. Save FME email update to CM (and admin folder of hardcopy files) noting that it was sent to us by the DOJ after the original submission was sent to them.
2. Add an unredacted copy of the FME to the necessary section of the original hardcopy medical submission.
3. Add a redacted copy of the FME to the copy submission originally send to the DOJ for our records.

FME RECEIVED FROM THE DOJ FOR ELECTRONIC SUBMISSIONS

1. The FME update from the DOJ should be saved to CM with a copy of the FME placed in the necessary section of the original hardcopy medical submission (unredacted version).
2. The FME should be scanned on, redacted and added to the final redacted PDF which was issued to the DOJ and saved back into CM (any earlier version of the PDF should be deleted as the original copy will be retained on the email submission to the DOJ for our records).
3. Once the FME has been tabbed and added into the final appeal submission PDF a comment should be added to each area of FME to note that it was passed to us by the DOJ following the assessment and that it has been added to the final appeal electronic file for completeness.
4. Email line manager to confirm once complete and save to file for audit purposes.

Receipt of SMP/ IMR reconsideration result

- IMR Recons - DOJ will issue IMR report and/or certificate to SO by email and cc in EO11.
- SMP Recons – SO should retrieve the report and/or certificate from the G-Drive.
- Prior to Resources Committee, the SO must first check factual accuracy of each result. This should be done in line with the SMP checklist – CM: 487480 and IMR checklist – CM: 487473. *Please note, If the report and/or certificate require amendments by the SMP/ IMR you should retain a copy of the report and/or certificate prior to any amendments also for audit purposes clearly marking it as such.*
- For Serving Officer's with ongoing disciplinary investigations the below questions should be sent to PSNI OHW: Please note, if these questions were already sent under the original application and there has been nothing further you should expedite and update DP.
- If PSNI respond with 'yes' to any of the below this should be raised with the DP.

	<u>NIPB Questions</u>
1	Please confirm if there are any disciplinary and/or criminal investigations outstanding against this officer.
2	Please confirm the nature of any/all live disciplinary and/or criminal investigations.
3	Please confirm the current status of any/all live disciplinary and/or criminal investigations.
4	Do the PSNI intend to make any submission in opposition to this application?
5	If the answer to (4) is YES please confirm when this submission will be supplied. If the answer to (4) is NO please provide a narrative explaining why PSNI do not intend to make a submission whilst any/all live disciplinary and/or criminal investigations have not yet concluded.

- Following SO approval of each result, the SO will then update that month's Annex A and Resources Committee paper with the result which will then be sent to Resources Committee for decision. (Annex A and Resources Committee papers are held in CM62-19).

Result letters

- The AO will prepare a draft result letter on CM for each case (global result letter CM536330) with the report and/or certificate from (IMR Recons 487~19) or (SMP Recons 424\20) for approval. Please note, there is only one global result letter for all cases.
- If it has been more than 12 months since correspondence was issued to Appellant, check the up-to-date address with PSNI Pensions.

When sending out results please note below.

To Appellant - Result letter, report and/or certificates.

To PSNI Pensions - Copy result letter and certificates only.

To OHW - certificates only.

Please note, updates should only be sent to PSNI Pensions and OHW if an award is granted and or changed. If an award has been refused you will only need to issue the result to the appellant only.

- Once the result letter has been approved the AO will hold the results until management give the go ahead to issue them after Resources Committee.

Following decision by Resources Committee

- DP will update all staff on Resources Committee outcome.
- SO can sign off second stage of result checklist as necessary.
- AO will print, sign and scan on approved result letters and save to Appellant's CM folder and print off hard copies (including a copy of the SO result checklist) for Appellant's paper folder.
- For serving officer cases – Email EO1 responsible for updating PSNI HR after Resources Committee – of name, force number and result

Invoice received

- SO checks that results for the cases on the invoice have all been received and are ready for issue/have been issued.
- SO checks that the invoice amount and dates match that which is recorded on the invoice tracker CM569776 (this reference changes each financial year).

- SO passes invoice to AO for processing as follows and saves email trail to (585~19 IMR Invoices 19). Please liaise with SMP section for SMP recon invoicing.
- Complete Payment Voucher CM336721 [SMP/IMR Supplier Number and Nominal Codes CM 341040 [Remittance Advice Narrative = SMP/IMR name + invoice number (+ date of invoice + surname, force number]
- Update Invoice tracker with details of invoice. CM569776 (this reference changes each financial year).
- Pass to SO/DP for budget holder signature [invoice attached to payment voucher]
- Take payment voucher to Finance – ensure get a copy of stamped payment voucher and invoice. Sometimes the approved invoice is sent as an email to Finance with the SO and DP cc'd in. (SO to save approved email invoice into 585~19 [IMR Invoices 19] when sent by email. Please liaise with SMP section for SMP recon invoicing storage.
- Once invoice has been passed to Finance update Invoice tracker again to complete the remaining columns.
- Place a scanned copy of the Invoice and payment voucher into each Appellant's CM folder. If there is more than one case on the invoice redact the other names.