



## FREEDOM OF INFORMATION REQUEST

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

**FOI Reference number: FOI 23/2026**

**Date: 10 April 2026**

**Request:**

Could I please be provided with a copy of the SMP Case Referral Guidance Document.

**Answer:**

Please find enclosed SMP Case Referral Guidance Document.

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](mailto: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](http://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](mailto: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](http://www.nipolicingboard.org.uk).

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

## Case Referral Template Guidance

<b>TO</b>	(Name of SMP)
<b>FROM</b>	(Your Name)
<b>NAME OF APPLICANT AND FORCE NO.</b>	Officer's full name, service number (e.g. John Joe Bloggs, 12345)

In the first box enter name of Selected Medical Practitioner (SMP) as chosen by the applicant. This can be found on form **MRC1**. At present this will be Dr Hamilton or Dr Humphries.

**To Note** – A Selected Medical Practitioner who has treated or assessed an applicant within the previous two years cannot be used again as this may cause a conflict of interest. The two years is from the date they were last treated or assessed by that SMP. If Dr Humphries has treated or completed an OHW Assessment for PSNI he will be excluded from selection.

The applicants full name should be cross referenced with the information contained within the 'Posting History' received. The maiden name of married female officers should also be noted e.g. Josephine Joanne Bloggs (nee **Maiden Name**) Female officers

### 1. MEDICAL CONDITIONS

**Insert from PSNI OHW**

*Whilst not requested by the applicant, Hearing Loss and Tinnitus are included as a result of hearing Reports being available further to this applicants civil claim against the Chief Constable. (see explanation to Note on next page).*

It is extremely important that Medical Conditions are recorded accurately. These can be found on Page 2 of the Case Summary sent by OHW as 'Reasons for Referral to SMP'. Please also check the admin file for an additional statements submitted by the applicant in relation to medical conditions and record these if applicable. Type in the Medical Conditions exactly as worded or as close to that as possible. The Case Summary sent by OHW will usually be Tab A or B in the Medical Documents in the **red envelope**.

There may be other 'Medical Conditions of Note' that need recorded, these can be found at the bottom of Page 2 of the OHW Case Summary.

Record medical conditions in **red (bold)**, capitalize medical conditions, please see example.

**To Note** – If the Officer has made a claim for hearing loss and it has been settled, we note Tinnitus and Hearing Loss as a medical condition. We can only do this on receipt of hearing loss / ENT Reports from PSNI Legal Services. The following lines should be included –

*'Whilst not requested by the applicant, Hearing Loss and Tinnitus are included as a result of hearing Reports being available further to this applicants civil claim against the Chief Constable.'*

The 'Medical Conditions' box above has been completed above with an example.

## 2. BACKGROUND

A. [RANK] [NAME] [FORCE NUMBER] joined the [RUC/PSNI] on [DATE].

(Constable John Joe Bloggs joined the PSNI on [DATE] / joined the RUC on [DATE]. The Officer also previously served in the Army from [DATE] to [DATE]

B. The Officer reported non-effective from [DATE] because of [ILLNESS] and remains non-effective to date.

(The Officer reported non-effective from 07 July 2023 because of [ILLNESS] and remains non – effective to date)

C. The Officer is a member of the [INSERT] Police Pension Scheme.

(The Officer is a member of the 2015 Police Pension Scheme.)

- A. Enter the rank, name and service number of the Officer and record when they joined the RUC or PSNI. The PSNI was formed from 04 November 2001. The information can be found on the officers Posting History and is the date they became a student Officer. The first page of the Posting History records the officers name / DOB and most recent rank and location.

Any other previous military or police service may be noted on the rear of the MRC1 form in the Additional Comments box, see example above.

Note – When recording dates note the number, do not include th, nd or st. e.g record as 13 not 13<sup>th</sup>. When noting a single digit put a zero in front e.g. 01 etc

- B. On the Officer's OHW referral letter is the date they reported sick (non-effective). If the officer remains on duty whilst applying for Ill Health Retirement this will be recorded as 'remains effective to date'. The illness should be recorded in **bold** type and only what is noted on the letter. The

medical condition may be recorded differently from what is recorded on Page 2 the OHW Case Summary.

- C. The majority of officers are members of the 2015 Pension Scheme. This will be noted on the front of the MRC1 form at Question 7. PSNI Email correspondence confirming scheme membership should be included with Administration documents (buff file).

<b>3. MEDICAL INFORMATION</b>	
<b>TAB</b>	<b>ITEM</b>
<b>3.1</b>	Referral letter from PSNI HR including Police Medical Advisers comments.
<b>3.2</b>	<p><b>OHW Records – tabbed as received from PSNI</b></p> <p>A - Case Summary            B - Clinical Notes            C – GP Notes            D – Mental Health            E – Physiotherapy            F –Medical Reports            G – Health Screening            H – Reports to Line Management            I – ASRA            J – Critical Incidents            K – Recruitment</p> <p style="color: red;">Check first page of OHW Records tabs maybe different and will need changed to reflect paper copy in medical folders.</p>
<b>3.3</b>	Medical Report by Dr xxx, dated Date Month Year

### Tab 3.1.

This is the OHW referral letter sent by the PSNI. The contents of this letter will have been noted in Box 2 (see 2B above). **To note** - If the letter has been signed by Dr Humphries he cannot be selected as SMP for our Case Referral.

### Tab 3.2

This is the **red envelope** contents. The Medical Notes should already be tabbed by PSNI, check the tabbed contents against the cover letter.

Update and amend our Case Referral Template to match the red envelope contents as per the OHW cover letter.

Tab 3.2A may occasionally be 'Information Provided by the Officer' and can include correspondence between PSNI / Solicitors.

If information is missing we must contact PSNI Attendance Team, for example, a document is noted on bottom as 50 pages but we only have up to page 24/50.

### Tab 3.3

This records any Further Medical Evidence (FME) submitted after the application has been received, remember you may be working on an application received more than 3 months ago. Check the officers folder on Content Manager for emails recorded as, for example, 'FME Received'. Each medical report should be tabbed separately (3.3, 3.4 etc) and in chronological order from earliest to latest. Medical reports should be recorded as type of report, author and the date report signed off, if no date given with signature, then the date of the report.

If the officers claim against the Chief Constable for hearing loss has been successful the ENT Reports should be recorded at Tab 3.3 onwards. (See also 1:Medical Conditions and 7:Miscellaneous Informaton)

### Tab 4 – Injury on Duty Reports

**Please be aware that Injury on Duty Reports (IOD's) can contain very specific details of a graphic / disturbing nature that some may find distressful to read. These reports record the situation and the officers' actions in their own words that led to the injury being sustained.**

4. INJURY ON DUTY REPORTS				
PSNI has provided the following Injury on Duty reports:				
TAB	DATE	LOCATION/NATURE OF INCIDENT	INJURY SUSTAINED	ACCEPTED AS IOD (Yes/No)
4.1				

<b>4.2</b>				

**See 576160 and 576519 for examples of Tab 4 format and wording.**

Each Injury on Duty (IOD) is recorded on a form known as a '23/10'. These should be recorded in chronological order, starting from earliest to the latest in an individual tab for each 23/10 submitted (e.g. 4.1, 4.2, 4.3 etc).

**Injury on Duty Guidance –**

Pre October 1995 - all incidents accepted as IOD's unless an officer was negligent in causing their injury (e.g. moving furniture on their own)

From 01 October 1995 – form 23/10 includes a section to state whether the incident was accepted, decided by Line Management. If no sick leave taken then pay aspect not considered.

From 01 January 2013 – all incidents accepted as IOD automatically except if the officer was negligent in causing their injury. Pay issue only considered if, due to an IOD, the officer on sick leave for over 6 months.

All IOD reports that record any **Mental Health** condition as the reason are noted as 'No comment made'. This also Injuries from falls at station, equipment also no comment made.

**4.1 column A** - Record the date of the incident, this can be found on page 1 of the 23/10 form.

An officer may submit an Injury on Duty report retrospectively e.g. submitting a report today for an incident that occurred [DATE]. We still record the incident in chronological date order ([DATE]) as at Tab 4.2 above but note in red underneath e.g. 'Reported on [DATE]'. Continue to record the incident in as per instructions below.

**4.1 column B** – The location of the incident should be noted in **bold** type, town first and street second if known. If no specific location given use the officers station at the time of the report. The incident location may also be a police station, hospital, court or custody suite. Provide a brief description of the incident, condensing what is reported in form 23/10 (**See 576160, 576519 and 578586 for examples**)

**4.1 column C** - Record the officers injuries as reported in form 23/10, this can be found at Part E and also at Part H. Ensure that the wording accurately records injuries sustained.

**4.1 column D** - Record if the officers injury was accepted as IOD, see IOD Guidance above.

**To Note** – If in doubt regarding whether an IOD was accepted, in the first instance speak to PPIB Manager, you may be instructed to email PSNI Attendance to seek further clarification.

5. FURTHER INFORMATION PROVIDED BY THE PSNI	
PSNI has provided the following further information for consideration:	
TAB	ITEM
5.1	The Officer's posting history
5.2	The Officer's qualifications/training record
5.3	The Officer's sick leave record
5.4	Duty Restrictions [if applicable only]

Information can be found in the brown 'Admin Folder' that is sent by PSNI, tab each section accordingly making sure all pages are present and place them in an orange Folder. If the Officer has provided no Duty Restrictions then remove this tab.

Full or Part Time Reserve service records should also be included under the tabs noted above together with Full Time service.

An Injury on Duty may occasionally be noted confirmed / accepted on the officers sick leave record.

6. FURTHER INFORMATION PROVIDED BY THE OFFICER
The Officer provided the following further information for consideration: [if none provided remove "the following" and replace with "no further" and remove the below reference to Tabs].

Check if the Officer has provided any other information, if not change accordingly to highlighted instructions.

7. MISCELLANEOUS INFORMATION
On [DATE] PSNI Legal Services confirmed that the Officer's civil claim against the Chief Constable for damages relating to hearing loss or PTSD

had been settled on a without prejudice basis/withdrawn. [if applicable only]

(On [DATE], PSNI Legal Services confirmed that the Officer's civil claim against the Chief Constable for damages relating to hearing loss had been settled on a without prejudice basis.)

This information can be found in the brown Admin File and will be an email from PSNI Legal Services confirming if a hearing loss claim has been made or not. Make note of date the email was sent confirming this information. Please see above example. See also 'Medical Conditions' above.

If no claim made and wording to reflect i.e On [DATE] PSNI Legal Services confirmed that the Officer **has not** made a civil claim against the Chief Constable for damages relating to hearing loss.

## 8. QUESTIONS FOR DETERMINATION

Below covers all regulations for ill health retirement only **plus** the different combinations of regulations for all ill health retirement and injury on duty applications. (Remove)

### 1. **IHR only – 2015 regulations(Remove Heading) (Remove)**

*Under Police Pensions Regulations (NI) 2015 please address -*

- (1) Whether the member is medically unfit for performing the ordinary duties of a member of the police service;
- (2) Whether that medical unfitness is likely to be permanent;
- (3) Whether the member is medically unfit for engaging in any regular employment; and
- (4) Whether that medical unfitness is likely to be permanent

### 2. **IOD - 2006 regulations (remove heading) (Remove)**

Under the PSNI and PSNI Reserve (Injury Benefits) Regulations 2006 please address the following questions:

1. Whether the member is disabled;
2. Whether the disablement is likely to be permanent;
3. Whether the disablement is a result of an injury received in the execution of duty; and

4. The degree of the member's disablement (i.e. degree of loss of earning capacity).

Finally, and to assist Board officials please advise if applicable when you consider the degree of disablement should be reassessed.

Remove the highlighted areas and remove any wasted space for neatness.

	<b>DRAFTED BY</b>	<b>FIRST CHECK BY</b>	<b>SIGNED OFF BY</b>
<b>NAME</b>	(Your Name)		
<b>DATE</b>	(Date you completed referral)		

**Remember to 'Save' your Draft Case Referral into the CM folder.**

Once completed fill in the box with your name and the date referral was completed. Then email PPIB E01 notifying them so that First Check can be completed.

Place the completed Draft Case Referral inside the top orange folder

An example of a draft email is as follows –

Dear (NAME)

I have completed this Officer's Case Referral – **CMXXXXXX** (CM number for Case Referral Draft)

<b>Name</b>	Full Name of Officer
<b>Rank</b>	Rank of Officer
<b>Service/Force Number</b>	Service Number of Officer
<b>SMP Selected (if known)</b>	<b>SMP on case referral</b>
<b>Serving/Retro</b>	Serving
<b>Nature of Application</b>	IHR and IOD Award
<b>Medical Conditions</b>	Copy and Paste medical conditions from Case Referral
<b>Any known PSD/PONI issues</b>	Check admin file (brown file) for email from PSD answer yes/no
<b>Any likely delay factors such as FME to be provided.</b>	Check if any indication for FME, answer yes/no
<b>SMP Checklist updated</b>	Complete SMP checklist can be found in HPE 475466, answer yes/no

The files will be passed to you for checking.

Kind Regards,

(NAME)

<b>Name</b>	John Joe Bloggs
<b>Rank</b>	Constable
<b>Service/Force Number</b>	12345
<b>SMP Selected (if known)</b>	SMP's name
<b>Serving/Retro</b>	Serving
<b>Nature of Application</b>	IHR and IOD Award
<b>Medical Conditions</b>	
<b>Any known PSD/PONI issues</b>	No
<b>Any likely delay factors such as FME to be provided.</b>	No
<b>SMP Checklist updated</b>	Yes