FREEDOM OF INFORMATION REQUEST

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

FOI Reference number: 57/2026

Date: 18 November 2026

Request:

I wish to make a freedom of Information request (FOI) for the following information from the NIPB.

1. What is the written NIPB organisational policy towards the case referral document created for an IOD assessment/reconsideration?
2. Is it different for the other documents which form part of reassessment/reconsideration?
3. What happens to the case referral document after a reassessment/reconsideration has been carried out?
4. Is it NIPB policy for the case referral document to be removed/deleted?
5. If so, where are the written instructions for such removal/deletion?
6. If a case referral document was removed/deleted would this be a breach of NIPB policy?
7. If a document is deleted, what happens to it, is a copy still retained within a computer/hard copy storage facility?

I look forward to receiving your response.

Answer:

1. The Board does not hold a formal policy specifically relating to case referral documents. That being said, written guidance is provided to caseworkers and line managers outlining the procedures to be followed, when preparing and processing such documents.

Northern Ireland Policing Board
James House, Block D, 2-4 Cromac Avenue
Gasworks, Belfast BT7 2JA
028 9040 8500 www.nipolicingboard.org.uk

INVESTORS IN PEOPLE

Please note, initial SMP assessment and SMP Reconsiderations follow two separate processes. Please find enclosed guidance documents for each.

2. This is a request for an explanation and does not constitute a valid Freedom of Information Act request under section 8(1)(c) of the FOIA.
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7. This is a request for an explanation and does not constitute a valid Freedom of Information Act request under section 8(1)(c) of the FOIA.

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 Commission's Office (ICO). Generally, the ICO 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 Commission's Office can be contacted at the following web link –

Contact us | ICO

or in writing at:

Information Commission's Office
4th Floor, No.3 Circle Square
5 Hawkshaw Street
Manchester
M1 7BL

Helpline number: 0303 123 1113

Please be advised that our 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.

CASE REFERAL
ILL HEALTH RETIREMENT AND INJURY ON DUTY AWARD
GUIDANCE DOCUMENT

1. MEDICAL CONDITIONS

In the case of serving officers include only the conditions detailed at assessment in medical case summary provided by OHW.

Please also review OHW notes to see if solicitors and/or other appointed representatives have also outlined medical conditions to be considered.

2. BACKGROUND

In addition to the paragraphs included for completion in the template, any previous service with PSNI, any other police service or the armed services should also be included here.

3. MEDICAL INFORMATION

All medical information received should be included here and tabbed as received from OHW (leave OHW tabs on). Examples have been inserted on the template these may change depending on what is received from OHW.

4. INJURY ON DUTY REPORTS PROVIDED BY PSNI

Do not provide any synopsis of these IOD Reports. Please only provide a note of:

- the date,
- location/nature of incident – As the IOD report is available to the SMP you need only state where the incident took place and if it related to, for example, a road traffic collision, an arrest and restraint incident, public order incident etc.
- the injury sustained (ie head injury/arm injury etc) and,
- whether or not they have been accepted as an IOD.

Please insert each IOD Report at an individual Tab ie 4.1, 4.2 etc

5. FURTHER INFORMATION PROVIDED BY THE PSNI

Information to include here can be sickness and absence records, training record etc.

Serving Officer Case Referral Guidance

6. FURTHER INFORMATION PROVIDED BY THE OFFICER

Information to include here can be medical reports not provided by PSNI. If there are none available amend the section to read “the Officer provided no further information for consideration” and remove the reference to tabs.

7. MISCELLANEOUS INFORMATION

The example entries used in the template case referral are examples only and any pertinent information should be included here including, as stated above, whether or not the officer has taken a civil claim against the Chief Constable for any reason.

8. QUESTIONS FOR DETERMINATION

For Serving Officer cases ensure that the correct regulations are quoted depending on the pension scheme the officer is a member off. Please ensure these are always correctly referenced in this portion of the case referral and followed by the appropriate questions.

Serving Officer Case Referral Guidance

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.

- For serving officer cases, where PSD's views should be sought regarding outstanding misconduct or criminal proceedings, please email the DP with the following information:
  - name of the officer concerned;
  - force no; and
  - reason for going to PSD eg MRC1 has indicated.

- The DP will collate any requests and send to PSD each Friday for them to answer the standard questions. The DP will also complete an expedite if required. Once the update has been received the DP will pass the information back to the caseworker ccing in line manager. Where submissions against IHR are being made, the DP will progress with PSD.

- 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 aforementioned legislation, 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 reconsideration 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

- 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 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 by the SO to the DP in order the Resources Committee Members are aware.

- All reconsideration papers prepared for Committee must be completely anonymised and all identifying information must be removed. The SO 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.

- Once complete 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 scan all Resource Committee papers, for each case, single sided which will be received 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 SO 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, upon allocation to the AO, the case should be scanned and redacted fully. Redactions should be applied as per the Redaction Overview **520312** (you may also wish to use **557671**).

- Following this the case should be spot checked and then passed to the EO11 to prepare the remainder of the case for the DoJ.

- 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 (611687) 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.

- Doctors should be putting their clinical notes in the folder in Camber 35 in the office. Find the clinical notes, scan and put them in officers folder.

- 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 make the DP aware in order for the DP to expedite.

- If PSNI respond with 'yes' to any of the below this should be raised with the DP.

	NIPB Questions
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 CM611687 (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. CM611687 (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.