

Minimum standards for referrals guide

March 2024

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Introduction

This document is to be used as a guide when making a referral to the IOPC. We ask that when making a referral you consult this document, decide which category best fits the nature of the referral you are making and that you provide the relevant details and documents, as outlined below, as a minimum in the referral submission. This information is needed to assess the complexity of the case and the appropriate level of investigation needed.

A mandatory referral must be made without delay and in any case not later than the end of the day after the day it first becomes clear that it is a matter which must be referred. As such, **please do not delay submitting a referral if all of the listed details or documents are not available at the time** as the need to provide information should be balanced against the timeliness of making the referral. Instead, please note any missing information and inform us at the time of referral if further information is likely to become available shortly afterwards. We appreciate that not all of the listed documents will be available, or applicable, for every case.

Please note that the below list is not exhaustive and is intended as a guide for minimum standards to avoid delays in processing referrals. If this information is not provided with the referral we are likely to come back to you to ask for it. If you have any information or documentation that you feel is relevant that is not detailed below, please provide this with the referral submission.

The Assessment Unit inbox, assessmentteam@policeconduct.gov.uk, is monitored between the hours of 9am and 5pm – Monday to Friday. Any urgent matters should be flagged to the team during these hours via email or telephone, 0161 246 8504. Any urgent matters outside of these hours should be flagged to our out of hours team by contacting 0845 300 1972.

All referrals

- A completed 7.1 form must be provided for us to assess a referral. Please include as much relevant detail as possible.
- Full officer details – when including a police officer's details on the 7.1 form, please provide their full name, rank and collar number. Details of all officers involved in the referral matter/incident/complaint should be provided within the 7.1 form.
- Welsh Language – please notify us if any officers or members of the public detailed in the 7.1 form prefer to communicate in Welsh.

All complaints referrals

- Complaint reference number e.g. C/CO (the complaint should be recorded prior to referral).
- Original complaint form and/or document(s) – including any IOPC online complaint forms or any complaint correspondence sent to IOPC (the IOPC do not have automatic access to online complaints made via our website so please include this if applicable). **Please note, if the original complaint is not provided we may have to invalidate the referral and ask for it to be re-referred once it is provided as we cannot make an MOI decision without it.**
- What allegations/heads of complaint have been recorded from the original complaint?
- Has this complaint, or a similar complaint, been made and handled before? If so, please provide details.
- If the complaint has been made on someone else's behalf please provide the written consent of the person on whose behalf they are acting (if over the age of 16). **Please note, if consent is required and has not been provided, we may have to invalidate the referral and ask for it to be re-referred once it is provided as we cannot make an MOI decision without it.**

Desirable: Please provide full relevant officer case history – has the officer been complained about before? Have they been subject to previous referrals? Please provide relevant details.

All conduct referrals

- Conduct reference number e.g. C/CM (the conduct should be recorded prior to referral).
- Severity assessment (if completed).
- Conduct recording/assessment document – please provide details of the specifics of the alleged conduct including what standard(s) of professional behaviour are considered to have been breached against each individual officer.

Desirable: Please provide full relevant officer case history – has previous conduct been recorded against the officer? Have they been subject to previous referrals? Please provide relevant details.

Conduct / complaint referrals involving former or retired officers

- Please provide the date the conduct matter / complaint came to the attention of the AA.
- Please provide the date the officer started serving as a police officer / staff member, and the date they left / retired.
- Please provide the date the alleged conduct / matter being complaint about occurred.
- Is the officer already on the barred list?

Desirable: Would the alleged amount to Gross Misconduct, if admitted or proven?

Below is the information required for case specific matters which will include DSIs, complaints or conduct matters. These should be considered in addition to the requirements for complaints and conduct above.

Abuse of position for a sexual purpose (APSP)

Detail required in 7.1 form summary:

- Details of the victim and any vulnerability.
- Details regarding the extent, and any evidence, of officer communication with the victim.
- Any relevant lawful business monitoring information - including GPS location information (if relevant).
- Is there any evidence that the officer has come into contact with victim for a lawful policing purpose?
- Was the contact via work and/or personal devices?
- Has the officer used policing systems to search for the victim or any of their relations/friends when there was no policing purpose?
- Is there any relevant conduct or complaint history for the officer?

Required Documentation:

- Evidence of communication between the officer and victim.
- Account(s) from the victim or witness/informant (if obtained prior to MOI).

Road traffic incidents

Detail required in 7.1 form summary:

- Timings of pursuit – when did it start? When did it end? Approximate duration?
- Type of police vehicle – was it marked or unmarked?
- Was the officer pursuit trained?
- Details of any contact with control room – was authorisation sought? Risk assessments conducted?
- Was the police vehicles emergency equipment activated? If so, when?
- Was the pursuit called off prior to the collision/injury?

Required Documentation:

- Incident Log(s).
- Officer/witness statements and any PIP accounts (if obtained prior to MOI).
- Collision Report/Road Policing Supervisor Report.
- In-car dash cam footage and/or Body Worn Video (if it shows the incident/pursuit).
- Radio Waves Audio.

Domestic abuse

Detail required in 7.1 form summary:

Dates and details of any previous domestic related police contact:

- What was the outcome of these incidents?
- Were any criminal charges brought against the perpetrator?
- Any CPS involvement?

Suspect:

- Were they subject to any bail conditions at the time of the incident?
- Do they have any warning markers?
- Were they wanted by police at the time of the incident? Please provide details.

Victim:

- What, if any, safeguarding was in place at time of the incident? Was a DASH/risk assessment completed? If so, please provide details.
- Were there any orders or conditions in place to protect victim (eg non-molestation orders, harassment warnings)?
- Were there any MASH/MARAC referrals from previous matters or at the time of the incident?
- Current assessment of risk and how this is being managed (for example, does the victim live with the suspect? Do they have children?)

Desirable: Full relevant officer case history – have the officers involved been subject to any complaint/conduct/DSI matters in relation to a domestic/VAWG related matter? Have they been subject to previous referrals? Please provide relevant details.

Required Documentation:

- Crime Reports - any live or uncompleted domestic case reports involving the victim and suspect.
- Officer Statements (if obtained prior to MOI).
- Risk Assessments.
- Incident Log.
- Body Worn Video (officer attendance).

Right Care Right Person (RCRP)

Detail required in 7.1 form summary:

- Full details of the call/incident that was dealt with by the RCRP policy – what concerns were raised? What information was known to the call handler?
- What advice was given to the caller/informant? Were they advised to pass the matter to ambulance/medical professionals themselves? Did police notify the appropriate services directly?
- Was the call THRIVE risk assessed?
- What was the outcome of the incident? Did the ambulance service accept responsibility for the matter? Did they attend?
- Were police aware of a delay in ambulance attendance? Were police asked for assistance to attend despite the ambulance service taking responsibility?
- Has your force fully, partially, or not yet implemented, RCRP policy? Is there a multi-agency policy in place?
- Initial view on whether the RCRP has been followed correctly and rationale.

Required Documentation:

- Local / force policy on RCRP.
- Incident Log(s).

Use of force

Detail required in 7.1 form summary:

- Details and extent of the injury sustained.
- Any relevant complaint/conduct history of the officer(s) using force.
- Details of the force used (for example handcuffs, restraints, physical force, Taser, PAVA).
- For Taser related referrals - please provide details of number and length of discharges.

Required Documentation:

- Incident Log(s).
- Use of Force forms.
- Body Worn Video/CCTV (if it shows the incident or anything of relevance).
- Statements from officers/witnesses and any PIP accounts (if obtained prior to MOI).
- For dog bite referrals - please provide the dog bite report.
- For Taser related referrals - please provide the supervisor review.

Missing person

Detail required in 7.1 form summary:

Timeline of events:

Initial reporting:

- Details of when they were first reported to police and why.
- What risk information was provided – please include as much detail as possible including age of missing person, any physical or mental vulnerabilities, any drugs/alcohol misuse, any imminent threats, is the behaviour out of character, any previous or historic threats of self-harm or suicide, when they were last seen?

Police action:

- Initial actions.
 - When they were first considered missing?
 - What was the initial risk assessment and rationale?
 - Did the risk assessment change? If so when and why?
 - What actions were taken and when including details of searches, phone and financial checks, CCTV and other enquires.
 - If graded high risk, when where POLSA engaged?
-
- Please provide details of when and where the missing person was located.
 - Was this location previously searched?
 - Has the missing person search involved another force? If so, have you informed the other force of this referral?

Required Documentation:

- Missing Person Report.
- Incident Log(s).

Incident in or following police custody

Detail required in 7.1 form summary:

- Risk assessment information on entry and pre-release.
- Details of any relevant warning markers.
- Observation levels, including initial rationale and any changes.
- Were any searches conducted on the individual?
- Did they see the HCP during their detention? If so when and why?
- Details of any hospital admissions/assessments.
- If the incident occurred after custody release – when were they released from custody? When did the DSI occur? Was there any safeguarding whilst in custody (i.e. any support documentation or onwards referrals?) Were they taken home by officers?

Required Documentation:

- Entire custody record/log (including risk assessments).
- Adverse Incident in Custody form/report.
- Custody CCTV/Body Worn Video (if it shows the incident/is relevant).

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We welcome telephone calls in Welsh
Rydym yn croesawu galwadau ffôn yn y Gymraeg

