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Mode of Investigation Recommendation Minute		
CTMS case number:	Name:	
Appropriate authority:	Casework Manager:	
Decision maker		
Date of the incident:	Date of the referral:	
Date of the complaint:	Does Art 2 of the ECHR appear to be engaged?	
Death or Serious Injury Matter?	Does Art 3 of the ECHR appear to be engaged?	
Part 1: Determining the MOI – Known Factors		
AUTOMATIC FACTORS		
Fatal Shooting	Independent Investigation	
Article 2 engaged	Independent/External Force Investigation	
POINTS	POINT FACTORS	SCORE
3 Points		
	Torture	
	Inhuman or degrading treatment	
	Corruption	
	Death in Custody	
	Firearm Discharged - Conventional	
	Allegations against ACPO rank officers	
	Perjury	
	Terrorism related	
	Total:	
2 Points		
	Assault Using Assigned Equipment or Other (e.g. dog bites)	
	Allegations against Superintending/Inspector rank officer	
	Cause of Serious Injury Indicates Police Fault/Negligence	
	Discrimination	
	Linked With Other Criminal Investigations	
	Mental Health (e.g. Mental Health Act s135/6)	
	Previous Similar Allegations Against Force or Officer	
	Self harm or near miss in custody	
	Serious Injury from RTI or Assault	
	Sexual Assault	
	Significant disagreement between force and IPCC	
	Vulnerable complainant	
	Total:	
1 Point		
	Death Following Police Contact	
	Distress/Minor Injury From RTA or Assault	
	Domestic Violence	
	Excessive Force	
	Failures in Duty	
	Involvement of Alcohol or Drugs	
	Missing Person	
	Multiple Officers/Multiple Complainants	
	Stop and Search	
	Supervising Officer	

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Total:	
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POINTS KEY	INDICATIVE MOI	TOTAL POINT SCORE:	
<6	Local/Supervised		
6 to 12	Supervised/Managed		
>12	Managed/Independent		

EVIDENCE AVAILABLE (tick as applicable):

Independent	<input type="checkbox"/>	Medical	<input type="checkbox"/>
CCTV	<input type="checkbox"/>	Other	<input type="checkbox"/>

Part 2 – Determining the MOI Risk Consideration Grid - Core Risks					
CORE RISKS	Impact Score (a)	Probability Score (b)	RISK SCORE (a)x(b)	Red(R) Amber(A) Green(G)	Particular Case Issues
Public and community interest and concern					
Media interest					
MP Interest					
Confidence issues with the IPCC					
Confidence issues with the Police					
Confidence issues with the complaints system					
Force Profile Factor					

Part 3 – Intelligence

Subjects of allegation:

Officer Name	Collar Number	Rank/Role	
PLEASE CAN THE CASEWORK MANAGER ENSURE THIS INFORMATION IS POPULATED ON CTMS			

Part 4 – Assessment and recommendations

Does the incident need to be investigated? If so, what level of investigation is recommended?

Summary

Assessment

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i) Article 2 engagement

Does the referral indicate police may potentially bear responsibility for the death of, or life threatening injuries to, an individual?

ii) Article 3 engagement

Does the referral include a credible allegation that an individual has suffered torture or inhuman or degrading treatment as a result of the actions or inaction of police?

If yes, provide assessment of i) the seriousness of the allegation, and ii) any evidence of justification for the action alleged to have breached the individual's Article 3 rights.

Does it appear criminal proceedings would be available? Yes No

Recommendation

Signature:

Date:

**LOCAL or SUPERVISED
recommendation pass to HOC to
complete parts 8 and 9**

**SCENE ASSESSMENT or MANAGED or
INDEPENDENT recommendation, pass to local
SI to arrange completion of parts 5 and 6**

Part 5 – Scene Assessment (completed by investigator, sent to DoI and CC CWM)

Summary

Recommendation

Signature:

Date:

Part 6 – Director of Investigations Recommendation

RESOURCES

Y/N/NA

COMMENTS

Have we adequate resources to investigate under the desired

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MOI?		
Are we able to reassign workloads to undertake this investigation at the desired MOI?		
Do we require specialist resources e.g. forensics, specialists, reconstruction etc?		
Other resource issues?		

What is the risk assessment for this matter?

Please provide an appropriate rationale for the assessment.

Is Article 2 of the ECHR engaged?

All referrals where Article 2 may be relevant should be referred to the DLS by the Director of Investigations. If DLS advice is not sought on a DSI matter, explain why not.

[Yes / No]

Does Article 3 of the ECHR appear to be engaged?

Consider whether legal advice would assist in determining Article 3 engagement. If DLS advice is not sought, explain why not.

[Yes/No]

Please include rationale.

Recommended Mode of Investigation

Does the incident need to be investigated? If so, what level of investigation is decided?

Rationale for the Mode of Investigation

Please also include consideration of risks and appropriate reasons with respect to the seriousness of the case and the public interest involved.

Where DLS advice was sought on DSI matters explain if followed. If not, give reason why.

Signature:

Date:

Time decision made:

hrs

Recommendation falls within COM delegated authority, DoI completes part 10

Recommendation falls outside the DoI's delegated authority, COM completes part 10

Part 7 – DLS Advice on DSI Matters

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Lawyer:	Date:
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Part 8 – HOC Risk Grid for Local and Supervised cases			
CORE RISKS	Present(Y/N)	If 'yes' consult with commissioner	Comments
Especially Vulnerable complainant			
Voluntary referrals			
Significant media interest			
Specific community concerns			
DSI after contact where Art 2 is not engaged			
Issues on which the Commission, or the particular Commissioner, had identified a concern and asked to be engaged			

<p>Part 9 – HOC Recommendation</p> <p>What is the risk assessment for this matter? Please provide an appropriate rationale for the assessment.</p> <p>Is Article 2 of the ECHR engaged? All referrals where Article 2 may be relevant should be referred to the DLS by the Head of Casework. If DLS advice is not sought on a DSI matter, explain why not.</p> <p>[Yes / No]</p> <p>Does Article 3 of the ECHR appear to be engaged? Consider whether legal advice would assist in determining Article 3 engagement. If DLS advice is not sought, explain why not.</p> <p>[Yes/No] Please include rationale.</p> <p>Recommended Mode of Investigation Does the incident need to be investigated? If so, what level of investigation is decided?</p>
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Rationale for the Mode of Investigation

Please also include consideration of risks and appropriate reasons with respect to the seriousness of the case and the public interest involved.

Where DLS advice was sought on DSI matters explain if followed. If not, give reason why.

Signature:

Date:

Time decision made:

hrs

Risk factors present, HOC to consult with COM and complete part 10. If COM wishes to take the decision they complete part 10.

Risk factor NOT present, HOC to complete part 10. COM to be copied into the decision.

Part 10 – Mode of Investigation Decision

Decided Mode of Investigation

Rationale for the Mode of Investigation

Signature:
(Commissioner / Director of Investigations / Head of Casework)

Date

Managing Terrorism Related Referrals

If a referral relates to the issue of terrorism in any way (either directly in terms of exercise of powers under terrorism legislation or the treatment of a person detained under those powers), the Director of Investigation must be told about it.

When the Casework Manager receives a terrorism related referral, they should fill in the **case alert** facility in CTMS.

Terrorism Assessment

Only to be filled in for referrals relating to terrorism. When the decision maker receives a referral identifying terrorism issues, he will carry out a risk assessment and contact the Chair, Nick Hardwick.

Risk Assessment

Please provide appropriate reasons for the assessment.

Following the meeting between Nick Hardwick and the decision maker, the course of

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action agreed should be identified below.

Signature:

Date:

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