

Deans Case Management Referral Guidance

August 2025 - V1

Deans Case Management Overview

Deans Case Management (DCM) was established by Professor Haslett as Postgraduate Dean and Responsible Officer for NHS England North West. The purpose of Deans Case Management is to uphold professional and educational standards and to support postgraduate doctors, dentists, pharmacists and public health clinicians (referred to as multiprofessional trainees in this document) and their trainers.

Members of Deans Case Management are the Postgraduate Dean, Deputy and Associate Deans for Hospital and Community Care, Foundation and Primary Care and senior Deanery staff.

Deans Case Management consider referrals from Deputy Deans, Associate Deans, Training Programme Directors or the Specialty School Programme Support Managers of multiprofessional trainees where significant concerns have been raised.

Concerns may relate to performance, conduct, criminality, health issues or any combination of these. Where appropriate, factors that impact on training and welfare in learning environments will also be considered.

A multiprofessional trainee who may benefit from being referred to Deans Case Management could be defined as:

“Any multiprofessional trainee who has caused concern to their Educational Supervisor about the ability to carry out their duties, and which has required unusual measures to be put into place. This would mean anything outside the normal trainer - trainee processes where the Training Programme Director has been called upon to take or recommend action”.

Support for Multiprofessional Trainees when a Concern is Raised

Prior to a referral being made, an initial fact-finding review should take place to gather all relevant information, refer to the [Guide to Supporting Multiprofessional Trainees when a Concern is Raised](#) for more details.

Referral Guidance

Each Specialty School should have a clearly defined escalation pathway to ensure that

information regarding multiprofessional trainees is shared appropriately to ensure support can be provided in a timely manner.

Multiprofessional trainees requiring extra support should be discussed at the monthly TRES meeting, and while not all cases will need to be escalated to Deans Case Management (see Appendix B), the Patch / Specialty Associate Dean must be made aware of cases where:

- There are level 2 and / or 3 concerns (see Appendix A).
- A multiprofessional trainee is under enhanced supervision.
- A multiprofessional trainee is subject to an MHPS or other investigation.
- A multiprofessional trainee has been involved in a significant event, complaint or other investigation.
- A multiprofessional trainee has been arrested or is under investigation by the police.
- There are health concerns that may impact fitness to practice or long-term sickness (12 months +).
- A multiprofessional trainee requires an exceptional extension to training.
- A multiprofessional trainee has been issued or is heading towards being issued an outcome 4.
- There is consideration of a GMC / GDC / NCAS referral.

The above list is not exhaustive, should you have concerns regarding a multiprofessional trainee, please discuss with the Patch / Specialty Associate Dean.

Where there are concern(s) raised regarding a multiprofessional trainee for reasons other than level 2 or 3 concerns, please discuss with the Patch / Specialty Associate Dean will consider whether a referral to Deans Case Management is required.

Referral Forms

Referrals to Deans Case Management should be made using the forms below:

- Form D1 - Dental
- Form F1 - Foundation
- Form S1 - Specialty - Hospital
- Form S1 - Specialty - General Practice

Deans Case Management: Other Referrals

Deans Case Management need to be notified by the Specialty Schools for the following:

- Exceptional extensions
- Non-statutory deferrals
- Supernumerary funding
- OOP:
 - OOPR exceeding 3-years

- OOPC exceeding 1-year
- Consecutive OOPs
- Additional paid work when OOPT/E/P

Exceptional Extension

To request an exceptional extension to training (over the 6-months permitted for Core or the 12-months permitted for Higher* and Run-through), you should liaise with the Programme Support Manager for the specialty who will complete the [Exceptional Extension Request form](#).

*If in an un-coupled specialty and there has been a 6-month extension in Core Training, an exceptional extension will need to be requested following a 6-month extension in Higher Training.

Non-Statutory Deferrals

When a multiprofessional trainee requests a deferral for non-statutory reasons (any reason other than maternity/paternity/adoption leave or personal ill health), the Programme Support Manager for the specialty is to e-mail england.nwcasemanagement@nhs.net with the details for review at Deans Case Management.

Supernumerary Funding

Once it has been deemed supernumerary funding is required, the Training Programme Director or Head of School is to liaise with the Programme Support Manager for the Specialty who will complete the [Exceptional Circumstance Form](#) and e-mail a copy to england.nwcasemanagement@nhs.net for review at Deans Case Management.

Out of Programme (OOP)

For any OOP requests that meet the criteria below, the Programme Support Manager for the specialty is to e-mail england.nwcasemanagement@nhs.net with the details for review at Deans Case Management:

- OOPR exceeding 3-years
- OOPC exceeding 1-year
- Consecutive OOPs
- Additional paid work when OOPT/E/P

Appendix A: Levels of Concern

Adapted from the Revalidation Support Team, 2011.

Level 1	Level 2	Level 3
<p>Is a concern raised to an educator by any colleague that poses:</p> <ul style="list-style-type: none"> No harm to patients, multiprofessional trainee or staff. No risk to patients, multiprofessional trainee, staff or their reputations. 	<p>Is a concern raised to an educator by any colleague with:</p> <ul style="list-style-type: none"> Potential or actual harm to patients, multiprofessional trainee or staff. Potential or actual risk to patients, multiprofessional trainee, staff or their reputations. 	<p>Is a concern raised to an educator by any colleague where:</p> <ul style="list-style-type: none"> Harm has occurred to patients, multiprofessional trainee or staff. Reputations (personal / corporate) are at serious risk.
<p>Examples:</p> <ul style="list-style-type: none"> Incidents. Complaints. Failure to attain expected training goals. Self-limiting or well controlled chronic illness. 	<p>Examples - As level 1 plus:</p> <ul style="list-style-type: none"> Recurrent or persistent behavioural issues. Any issue requiring an extension of training e.g. health. 	<p>Examples - As level 2 plus:</p> <ul style="list-style-type: none"> Serious Untoward Incident. Formal complaint. Death. Criminal act e.g. theft, assault. Consideration of a GMC / GDC / NCAS referral. * <p>*The Postgraduate Dean must be informed of the likely referral via DCM</p>
<p>Actions:</p> <ul style="list-style-type: none"> Minor investigation / gather information (examples of observed specific behaviours) which can be fed back to the multiprofessional trainee to give them the opportunity to respond. 	<p>Actions - As level 1 plus:</p> <ul style="list-style-type: none"> Formal investigation HR involvement via Lead Employer OH involvement via Lead Employer Action plan with defined objectives Special interventions 	<p>Actions - As level 2 plus:</p> <ul style="list-style-type: none"> Formal investigation. Situation dependent but including consideration of cessation, or restriction of, clinical practice.

<ul style="list-style-type: none"> ○ Feedback and discussion with multiprofessional trainee. ○ Offer pastoral support. ○ Action plan with SMART* educational outcomes. ○ Resolution over short period of time. <p>*SMART = Specific, Measurable, Achievable, Realistic, Timely</p>		
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Appendix B: Concern Management

A level 1 concern should be dealt with locally, documented by the Educational Supervisor and the Training Programme Director is to be informed.

If a level 1 type incident recurs the Educational Supervisor should treat as a level 2 concern and refer to Deans Case Management.

A level 2 concern should be referred to Deans Case Management using the local referral protocol (see below).

A level 3 concern requires direct referral to the Postgraduate Dean and the Lead Employer (see below).

In the event of an emergency, direct referral to the Postgraduate Dean / local Responsible Officer is advised.

Foundation

Level 1 concerns: Inform the Foundation School and Patch Associate Dean to enable appropriate support and advice to be provided. Referral to local HR and / or OH may be appropriate.

Level 2 and 3 concerns: The Foundation Programme Director or Director of Medical Education should refer to the Patch Associate Dean and Associate Dean for Foundation using Form F1. Local Trust HR and / or OH should be notified of the concerns.

The Associate Dean for Foundation will refer to Deans Case Management and ensure the Postgraduate Dean is aware.

Specialty - Hospital

Level 1 concerns: Consider informing the Lead Employer who may wish to involve OH.

Level 2 and 3 concerns: The Training Programme Director or Head of School should refer to the Specialty Associate Dean and Deputy Dean for Hospital and Community Care using Form S1.

The Deputy Dean for Hospital and Community Care will refer to Deans Case Management and ensure the Postgraduate Dean and the Lead Employer are aware.

Specialty - General Practice

Level 1 concerns: Inform the Patch Associate Dean to ensure appropriate support is being provided.

Level 2 and 3 concerns: The Patch Associate Dean and Head of School should be made aware the Head of School will complete the Form S1.

The Head of School will refer to Deans Case Management and ensure the Postgraduate Dean and the Lead Employer are aware of the concerns.

Dental

Level 2 and 3 concerns: The Training Programme Director should refer to the Dental Dean using Form D1.

The Dental Dean will refer to Deans Case Management and ensure the Postgraduate Dean and the Lead Employer are aware of the concerns.