**Preliminary Enquiry (PE) - Record**

A PE is not a formal investigation. It is a brief exercise to assist the Chief of Medicine (or delegated authority) to determine the direction and scope of any subsequent course of action, which may include a decision to invoke a formal investigation. The PE should be limited to gathering the basic information which will assist the Chief of Medicine in reaching this decision.

**Section 1: To be completed by the Chief of Medicine (or delegated authority) undertaking the PE**

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| **Personal Details** | |
| **Practitioner’s Name** |  |
| **Grade** |  |
| **Department** |  |
| **Sector/Directorate** |  |

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| **Brief Description of Incident/Allegation** e.g. date & nature of incident, parties involved, names of witnesses etc. | | |
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| **Evidence Gathered** e.g. brief summary of meeting with doctor including their response to allegation. It should not be necessary to interview witnesses at this stage. Attach copies of written statements, SCI Reports, case notes etc. | | |
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| **P.E Record completed by:** | | |
| **Name:** | **Chief of Medicine/Clinical Director** | **Date:** |
| **Name:** | **People & Change Manager** | **Date:** |

**Section 2: To be completed by the Chief of Medicine only advising of next step(s) following review of the information gathered above**

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| **Appropriate Course of Action** | **Y/N** | **Comments/Arrangements** |
| No action required |  | No case to answer/Insufficient evidence to proceed |
| The case is minor and can be dealt with on an informal basis within the Sector/Directorate e.g. objective setting, training |  | Identify a named medical manager who will be taking this forward  Name:  Contact Details: |
| The case is minor and warrants referral to the Clinical Support Group (CSG) e.g. external coaching, remediation |  | Refer to the NHSGGC Remediation Policy and Clinical Support Group Guidance which can be accessed through the Medical Staffing Intranet Page *(web link below)* |
| The case is **Personal Misconduct** and requires further investigation under the NHSGGC Disciplinary Policy |  | *Please complete Terms of Reference Template*  **Personal Conduct is defined as performance or behaviour of practitioners not associated with the exercise of medical or dental skills**  *NB the practitioner has 7 days to appeal this classification PCS (DD)2001/9* |
| The case is **Professional Conduct/Professional Competence** and requires further formal investigation to determine how to proceed |  | *Please complete Terms of Reference Template*  **Professional Conduct is defined as performance or behaviour of practitioners arising from the exercise of their medical or dental skills**  **Professional Competence is defined as adequacy of performance of practitioners related to the exercise of their medical or dental skills and professional judgement** |
| The case should be dealt with under the procedure for sick doctors NHS 1982 (PCS 8) |  | Arrange referral to Occupational Health |
| The doctor(s) should be suspended with immediate effect |  | Notify Responsible Officer of pending suspension  Contact People & Change Manager for advice on how to proceed. |

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| **Comments/rationale in reaching above decision (including no action)** |
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| **Authorised by Chief of Medicine:** |
| **Name:** |
| **Date:** |

**For further guidance on Managing Conduct and Competence Issues please see link below:-**

[**http://www.staffnet.ggc.scot.nhs.uk/Human%20Resources/Medical%20Staffing/Pages/ManagingConductandCompetenceIssues–ConsultantSASGrades.aspx**](http://www.staffnet.ggc.scot.nhs.uk/Human%20Resources/Medical%20Staffing/Pages/ManagingConductandCompetenceIssues–ConsultantSASGrades.aspx)