

# Business plan 2023/24

Published: June 2023

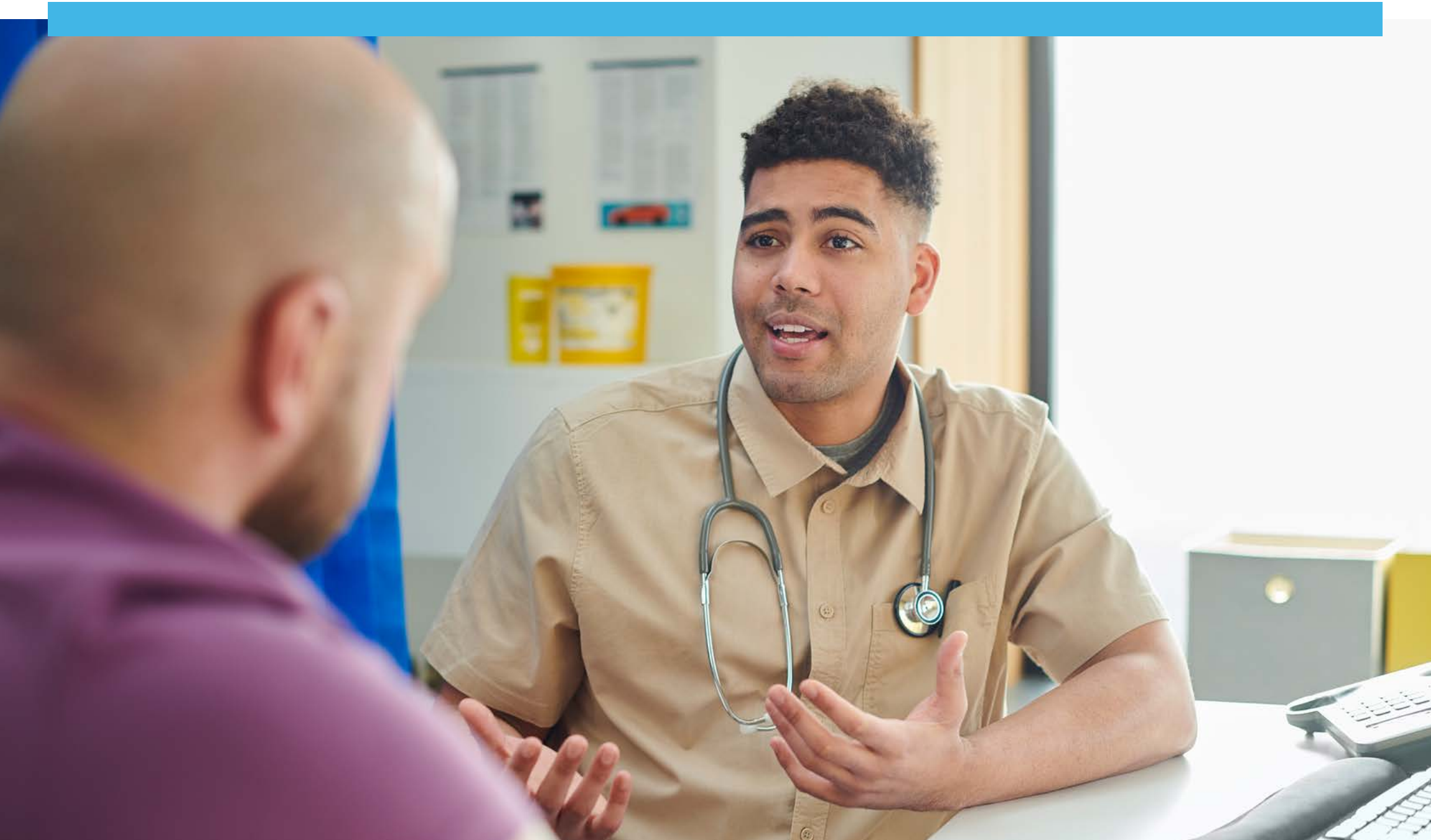
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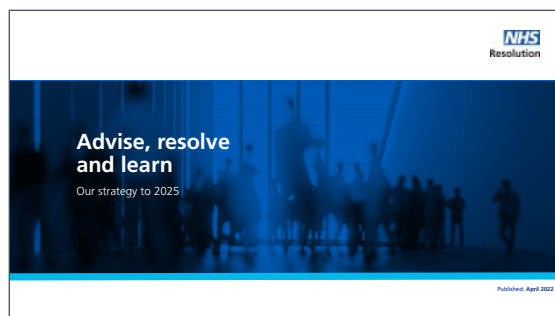
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## Part 1: Introduction



# Welcome from our Chair and Chief Executive

***Welcome to our business plan for 2023/24. This sets out our financial and delivery plans for the second year of Advise, resolve and learn: Our strategy to 2025.***



At NHS Resolution we work hand in hand with the rest of the NHS to resolve claims for compensation fairly and share learning to prevent future incidents. Through our Practitioner Performance Advice service we also play a critical role in supporting the local management of performance concerns – essential to the NHS workforce and to the safety of healthcare. At present, we work with an NHS that is recovering from the pandemic and experiencing widely acknowledged pressures alongside structural changes occasioned by the development of integrated care systems. A series of inquiry reports with important recommendations on safety show that it has never been more important to pay attention to what the issues we handle are telling us about the concerns of patients and the opportunities to improve.

Our business plan for the coming year aims to make our interactions with the NHS as easy as possible for hard-pressed NHS staff, ensuring that what we do removes additional burden, helps in a tangible way with work to improve patient care and gives the best possible return for the investment in our expertise.

The wider economic position and the demand-led nature of our services means that much of our planned work for the year is targeted at delivering savings and efficiency, such as through the development and launch of CaseHub. This will be a new, modern case management system which will make it easier to interact with NHS Resolution and will deliver efficiencies such as automation as well as significantly improved data and analysis.

Our Claims Evolution Programme moves into a crucial next phase as we start to push more cases out of litigation, reducing stress to patients and staff and tackling external legal costs through innovation in dispute resolution and doing more work in-house. This will build on a welcome shift in the legal market to a more collaborative approach to dispute resolution and technical solutions such as online mediation – a positive legacy of the pandemic.

# Welcome from our Chair and Chief Executive

Having attained Investors in People Gold accreditation in 2022/23 we are benefitting from the investment we have made in the expertise and skills of our staff. We will continue to prioritise this as well as building our external relationships and partnerships. Our strategy has a stand-alone maternity priority which means that while we will of course work across all speciality areas, maternity care and in particular doing all that we can to inform and incentivise work to prevent brain injury at birth remain a priority. We will evaluate initiatives such as the Early Notification Scheme and Maternity Incentive Scheme to help us improve and build on both schemes, working with our Maternity Voices Partnership and others to ensure an effective and compassionate response to families affected by maternity incidents, within the current legal frameworks.

This year, more than ever, our plans will need to be flexible so we can respond quickly to any unforeseen requirements of our organisation. Our ability to deliver solutions rapidly when asked is due to the hard work and creativity of our staff and partners and the excellent support we receive from our departmental sponsorship team. We look forward to continuing to respond to the challenges which will inevitably come our way throughout the year ahead and to delivering the best possible service.



*S Cheshire*

Sally Cheshire

Chair



*Helen Vernon*

Helen Vernon

Chief Executive

# Who we are and what we do

## We are an arm's length body of the Department of Health and Social Care (DHSC), tasked with:

- administering a range of indemnity schemes to cover the risks involved in delivering general practice and secondary healthcare services in England;
- delivering expert advice and support on the management of concerns about the performance of doctors, dentists and pharmacists;
- resolving contracting disputes between primary care contractors and commissioners of primary care, operating independently and transparently; and
- using our unique perspective across the causes of claims, performance concerns and contracting disputes to provide insights back to the NHS to help to improve safety and manage risk.

Administering indemnity schemes involves more than just claims management. It also includes: accurately accounting for our schemes and setting member contributions supported by actuarial analysis; processing all claims-related payments to ensure patients receive their compensation safely; engaging with scheme members on their contribution to the schemes and the causes of their claims; and proactively managing governance and policy issues to ensure that our schemes remain fit for purpose for the changing needs of the NHS.

## New strategic priorities



### Deliver fair resolution



### Share data and insights as a catalyst for improvement



### Collaborate to improve maternity outcomes



### Invest in our people and systems to transform our business

## Our services

### Claims Management

Delivers expertise in handling both clinical and non-clinical claims through our indemnity schemes.

### Primary Care Appeals

Offers an impartial resolution service for the fair handling of primary care contracting disputes.

### Practitioner Performance Advice

Delivering expert advice, support and interventions on the fair management of concerns about the performance of doctors, dentists and pharmacists.

### Safety and Learning

Supports the NHS, our members and beneficiaries to better understand their claims risk profiles, to target their safety activity while sharing learning across the system to improve patient care.

## Enabled by

### Finance and Corporate Planning

### Digital, Data and Technology

### Membership and Stakeholder Engagement

### Policy, Strategy and Transformation

## Our values

**Professional:** we are dedicated to providing a professional, high quality service.

**Expert:** we bring unique skills, knowledge and expertise to everything we do.

**Ethical:** we are committed to acting with honesty, integrity and fairness.

**Respectful:** we treat people with consideration and respect and encourage supportive, collaborative and inclusive team working.

# Strategy on a page



**Priority 1.**  
**Deliver fair resolution**

All of our services will focus on achieving fair and timely resolution, wherever possible keeping patients and healthcare staff out of formal processes to minimise distress and cost.



**Priority 2.**  
**Share data and insights as a catalyst for improvement**

Ensuring that our unique datasets help derive usable insights that benefit patients and the healthcare and justice systems.



**Priority 3.**  
**Collaborate to improve maternity outcomes**

Bringing together key parties to determine what further improvements can be made within our areas of expertise to support the government's maternity safety ambition.



**Priority 4.**  
**Invest in our people and systems to transform our business**

Develop our people, systems and services so that we can continue to deliver best value for public funds.

**We believe that successful delivery of our strategy will see us contribute to:**

A **reduction in harm** to patients.

A **reduction in distress** caused to both patients and healthcare staff involved when a claim or concern arises.

A **reduction in the cost** required to deliver fair resolution, thereby releasing public funds for other priorities, including healthcare.

Ensuring indemnity arrangements are a **driver for positive change** across the healthcare system.

# Some of our achievements in 2022/23



## Resolution

Continued to reduce the volume of claims entering a formal process, thereby saving costs and providing earlier resolution for patients and healthcare staff.

Resolved the first cases under new directions to handle Covid-19 pharmacy payments appeals.

Trained over 300 delegates through our Practitioner Performance Advice education programmes to increase local capacity and capability, including through the promotion of compassionate responses to performance concerns.

Launched our new legal panel framework, procuring the services of specialist law firms at competitive rates to support the effective administration of our indemnity schemes.



## Insights

Published a range of Insight products, including resources to help organisations manage exclusions, six thematic reviews and our Claims scorecards.

Produced a range of digital products including a duty of candour animation, facilitating a clinically-focussed forum on duty of candour.

Commissioned 'lived experience' research on the experience of ethnic minority and international medical graduates of the management of concerns about their medical practice.

Shared learning with and delivered training events to NHS England and integrated care board staff on primary care contracting, including the launch of a monthly Primary Care Appeals update.

Continued to share our data and expertise to inform policy, responding to various consultations throughout the year.

Started to collect demographic data to see how we could contribute to wider discussions on issues of equality, diversity and inclusion.

# Some of our achievements in 2022/23



## Maternity

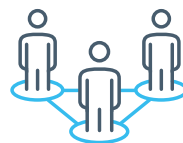
Demonstrated early successes through our Early Notification Scheme with evidence of process improvements, savings in NHS legal costs and positive feedback from families and legal representatives at the same time as identifying opportunities for safety improvements.

Commenced work to improve the process and pathway for families who are entitled to access compensation for serious maternity harm.

Agreed the approach to be taken to evaluation of our Maternity Incentive and Early Notification Schemes in 2023/24.

Held a national maternity conference aimed at sharing the experiences of families, maternity units and maternity safety experts to explore where we can drive improvements in care.

Commenced development of a maternity team review service, with support from NHS England's Maternity Safety Support Programme.



## Transformation

Achieved Gold Investors in People accreditation.

Launched our Core Systems Programme (named CaseHub), delivering the first release for our Practitioner Performance Advice service.

Initiated our Claims Evolution Programme to move to a new target-operating model, creating regionally-facing claims teams and launching the Claims Support service.

Established our Change Management Office while strengthening our project governance framework, in line with the Government Functional Standards, to deliver successful change.

Secured re-certification of our Cyber Essentials Plus and ISO 27001 accreditations.

# Things that didn't progress as originally planned in 2022/23

## We were unable to progress the following initiatives as planned:



We will not publish research into the readability of complaints correspondence undertaken jointly with VoiceAbility and Browne Jacobson. This is because we did not feel the conclusions from the research would add value for staff managing complaints on behalf of the NHS. We will instead continue to focus on our support to the Parliamentary Health Services Ombudsman's work on the Complaints Standards Framework.



We held back on some of our planned engagement activity to take into account the operational priorities within the health system.



We were unable to launch our pilot of Early Neutral Evaluation as planned in 2022/23. The required procurement activity has now completed with launch planned for Q1, 2023/24.



We were unable to launch our maternity e-learning module as planned but plan to do so in 2023/24.

## Part 2: Our focus for 2023/2024



**In this section we set out our areas of focus for 2023/24 against each strategic priority, identifying what will be different by the end of the financial year.**

Oversight of the activity detailed in this plan is through the governance framework detailed in Part 3: Our governance.



# Strategic priority 1:

## Deliver fair resolution

All of our services will focus on achieving fair and timely resolution, keeping patients and healthcare staff out of formal processes wherever possible to minimise distress and cost.

Impact by 2025	Key deliverables in 2023/24
<b>Improve consistency in the management of complaints, concerns, incidents and claims.</b>	Support the Parliamentary Health Services Ombudsman with the development and rollout of the Complaints Standards Framework. This includes helping with the development and dissemination of supporting training materials to improve the local handling of complaints.
	Continue the promotion of Being fair 2, building upon our previous <a href="#">Being fair</a> work to support the important task of embedding a just and learning culture within the NHS. Being fair 2 has a particular focus on addressing bullying and promoting both civility and staff health and wellbeing.
	Review our Claims Management member charter with a view to identifying efficiencies and removing any unnecessary duplication and variation in how we manage claims in partnership with our members and other stakeholders.
	Review the Covid-19 claims management protocol, embedding good practice learned from our experience to date while working with stakeholders in considering next steps. The aim of the protocol is to continue to support our ambition of keeping patients and healthcare staff out of court, thereby reducing costs.
	Deliver education programmes to help the NHS workforce respond effectively following an incident while upskilling them in managing and resolving concerns.

## Strategic priority 1: Deliver fair resolution

Impact by 2025		Key deliverables in 2023/24	
Aim to reduce the cost of delivering fair resolution with claims only entering litigation after all other avenues to resolve the dispute have been exhausted.		Leverage our buying power to re-procure expert legal costs advisers by Q3 through a robust, competitive tender exercise.	
		Continue to work with other UK and international partners in learning from and sharing best practice with other jurisdictions to ensure we are delivering the most effective and efficient claims management processes.	
		Expand our range of dispute resolution initiatives to a wider range of claimant law firms while also piloting the use of other methods such as Early Neutral Evaluation (planned for launch in Q1 2023/24). Earlier resolution should deliver cost savings while also bringing closure to patients and their families in a timely manner.	
Improve the experience of our processes for both patients and healthcare staff, directly informed by their unique perspectives.		Continue to listen to key stakeholders (such as Action against Medical Accidents and the Society for Clinical Injury Lawyers) to ensure the needs of patients help inform and improve our Claims Management service.	
		Take forward areas of service development directly informed by our research An exploration of the experiences of ethnic minority practitioners and international medical graduates of the management of concerns about their medical practice to guide the continuous improvement of the Practitioner Performance Advice service by helping to improve the management of cases and to interact with practitioners in a more compassionate way by ensuring they feel heard, supported, and understood.	
Reduce formal performance management processes across the NHS with issues addressed at an earlier stage through a fair process.		Build more robust intelligence gathering through a regional model of working where our Practitioner Performance advisers are able to gain a better understanding of performance concerns across a geographical area.	
		Use the benefits from the new CaseHub system to drive efficiency in how we deliver Practitioner Performance Advice services.	

## Strategic priority 1: Deliver fair resolution

Impact by 2025	Key deliverables in 2023/24
<b>Reduce formal performance management processes across the NHS with issues addressed at an earlier stage through a fair process.</b>	Build on the learning from our <a href="#">in-depth analysis</a> into behavioural concerns to refine and strengthen our approach to managing often complex cases to achieve sustained resolution.
	Review our professional services remediation model to enhance our assessment and remediation services.
<b>Improve local decision making around primary care contracting through access to training, resources and timely publication of Primary Care Appeals decisions.</b>	Deliver timely, impartial, transparent and robust management of routine Primary Care Appeals casework as well as new work streams, including increasingly complex disputes.
	Maintain engagement across all four primary care functions at NHS England, using our expertise and data to identify emerging issues, given the changing primary care environment, and deliver education that will improve the quality of local decision making and reduce the number of cases that come to the Primary Care Appeals service.

# Strategic priority 2: Share data and insights as a catalyst for improvement

Ensure that our unique datasets help derive usable insights that benefit patients and the healthcare and justice systems.

Impact by 2025	Key deliverables in 2023/24
<b>Key stakeholders understand the unique value that we bring to the healthcare and justice systems and we are sought out for our expertise and input.</b>	Continue working with key partners, including the General Medical Council, Care Quality Commission and NHS England to support the earlier identification of concerns and address the disproportionate referral of Black and minority ethnic and international medical graduate doctors to local and regulatory performance processes.
	Work with integrated care boards to help understand how we can best support integrated care systems to manage risk.
	Ongoing partnership working with the Getting It Right First Time programme to produce and promote best practice documentation to help clinical staff reduce variation while considering how standards for expert witnesses could reduce variation in expert testimony.
	Continue the Recommendation to Implementation project, developing a methodology to track progress against recommendations from our thematic reviews.
	Continue to support Government in our national role as experts in compensation claims against the NHS in England.
	Continue work with partners to assess the implications of the increased use of artificial intelligence (AI) and healthcare technology to ensure the NHS can capitalise fully on the opportunities this presents.
	Continue preparations for the public inquiry into the Covid-19 pandemic. We will fully engage with and respond to the inquiry, as required.

## Strategic priority 2: Share data and insights as a catalyst for improvement

Impact by 2025	Key deliverables in 2023/24
<b>We can demonstrate how our Insights add value to our target audiences.</b>	Increase access and feedback of impact for all of our learning resources, using e-learning platforms and broadening our reach to both undergraduates and postgraduates.
	Continue with our Insights programme, which will include our first annual update of exclusions in Q3, sharing insights in terms of practitioner characteristics.
	Organisations that our Practitioner Performance Advice team work with will have the opportunity to engage in a deep-dive analysis with their allocated adviser on the cases opened and any associated activity over a five-year period. This will allow organisations to reflect on themes and trends over time and consider any improvement action in relation to managing performance concerns and remediation.
	Issue updated Claims scorecards by end of Q2, supported by a programme of engagement at a local, regional and national level to help members better understand their claims profiles.
	Use the findings from key stakeholder deep-dive interviews undertaken in March 2023 to assess how we are adding unique value and what we can do to increase our impact.
<b>Contribute to the work to promote equality, diversity and inclusion and reduce healthcare-related inequalities.</b>	Identify and implement methods of supporting insight and research relating to health inequalities, leveraging data held across the system.
	Take forward areas of service development informed by Practitioner Performance Advice's lived experience research, strengthening our data collection, analysis and insights.

## Strategic priority 2: Share data and insights as a catalyst for improvement

Impact by 2025	Key deliverables in 2023/24
Contribute to the work to promote equality, diversity and inclusion and reduce healthcare-related inequalities.	Analyse and publish demographic data from cases dealt with by our Primary Care Appeals service, specifically looking at ethnicity and case outcomes, to ascertain if certain groups are over- or under-represented in appeals and disputes when compared with national data, and identify any trends over time.
Routinely use data to inform our decision making and ensure we are operating in the most efficient way.	Broaden the functionality of our AI search tool to search our casework documentation across all service areas. This will help to assist in identifying new Insights as well as evaluating potential significant concerns.
	Establish an internal research governance group to help ensure that research undertaken or commissioned by NHS Resolution is of high quality and makes best use of our data and expertise.
	Build skill-sets in the finance team to improve the strategic insight that finance can bring, particularly in respect of our indemnity schemes.
	Continue to embed and improve our corporate planning and performance framework, supporting our governance committees to effectively assess performance and manage associated risks.
Have embedded knowledge management processes to retain expertise within the organisation.	Continue our programme for improving knowledge and records management at NHS Resolution and delivery of our Knowledge Information Management Strategy including the migration of our corporate records to SharePoint.

# Strategic priority 3: Collaborate to improve maternity outcomes

Build on our role as a system integrator in maternity, bringing together key parties to determine what further improvements can be made within our areas of expertise to support the system's plans in the area of maternity safety.

Impact by 2025	Key deliverables in 2023/24
<b>Have a better understanding of the impacts following a serious maternity incident so that we can deliver support that helps preserve a relationship of trust and open communication.</b>	Continue to develop our processes in the Early Notification Scheme to optimise the time required to reach a decision on entitlement to compensation.
	Support the work of the Maternity Investigations Programme, that will be hosted by the Care Quality Commission from October 2023.
	Appoint a dedicated family liaison officer to help manage the relationships with patients, their families and maternity providers through our Early Notification Scheme, taking into account our work around improving the response to harm and Being fair 2.
	Develop our Practitioner Performance Advice service in respect of maternity, exploring how team-based interventions could help maintain effective working relationships across multi-skilled teams.
<b>Have a better understanding of why families pursue compensation, enabling us to respond more effectively and in real time.</b>	Continue to liaise with affected families to establish their needs following an Early Notification incident while exploring alternative methods of providing financial assistance to families who are entitled to compensation.
	Continue to work with the Maternity Voices Advisory Group to inform the continued development of the organisation's Early Notification Scheme.

## Strategic priority 3: Collaborate to improve maternity outcomes

Impact by 2025	Key deliverables in 2023/24
<b>Make continuous improvements to our Early Notification and Maternity Incentive Schemes.</b>	Continue to progress the internal and commissioned external evaluations of both the Early Notification and Maternity Incentive Schemes and progress any identified in-year actions.
	Launch Year 5 of our Maternity Incentive Scheme in line with the principles agreed through our Collaborative Advisory Group made up of maternity leaders from across the system.
<b>Share insights that add value to our target audiences.</b>	Provide ongoing support to the national surveillance of possible trusts of concern by attending national meetings and regional perinatal quality oversight meetings.
	Continue to deliver innovative training and case stories to support maternity and neonatal services.
	Continue to promote safer maternity care through our related campaign work, deploying a range of engagement metrics to measure the effectiveness of this.

# Strategic priority 4: Invest in our people and systems to transform our business

Develop our services to support the changing needs of the NHS by investing in our people, systems and services to continue delivering best value for public funds.

Impact by 2025	Key deliverables in 2023/24
<b>Progress activity detailed in our People Strategy to build an engaged, developed, diverse and representative workforce that is capable of embracing change, resulting in improvements to our staff survey results and other metrics in key areas around equality, diversity and inclusion, dignity at work and staff wellbeing.</b>	Embed a strategic approach to recruitment, developing a forward look to in-year resource requirements and using a range of routes to market to ensure we are attracting the right talent into the organisation, minimising the use of contingent labour and recruitment agencies.
	Continue work to embed cultural and behavioural frameworks into our human resources policies and ways of working, ensuring equity, consistency and fairness across all aspects of the business.
	Continue to support the development of our staff inclusion networks. Achieve Disability Confident Scheme Level 3: Disability Confident Leader and develop an action plan in respect of our internal ethnicity pay gap.
	Deliver against our talent management and succession planning strategy, equipping managers to have effective talent conversations, using tools such as 360° feedback and coaching conversations.
	Continue the targeted leadership development programmes for our senior leadership teams alongside developing leadership interventions for all staff.
	Embedding the Change Management Office, bringing together a multidisciplinary team of human resources, training and communications experts to better support managers and staff through our planned transformational change.

## Strategic priority 4: Invest in our people and systems to transform our business

Impact by 2025	Key deliverables in 2023/24
<b>Empower staff to work collaboratively across the healthcare system using open channels of communication, modern equipment and effective workplaces.</b>	Deliver a refreshed NHS Resolution website by March 2024 which will be informed by user research in terms of both content and potential functionality improvements.
	Continue our journey towards providing better, streamlined services to internal and external users. This will include expanding the use of single sign on so users can access multiple systems with one password.
<b>Improve the effectiveness and efficiency of our services with measurable financial benefits delivered through our Claims Evolution Programme.</b>	Embed the Claims Management service regional model, capitalising on opportunities to deliver more effective support to the NHS from both a claims management and a learning perspective.
	Develop the roadmap for how we will do more pre-litigation work in-house, including how we will bring the instruction of medical experts in-house.
	Develop the Claims Support service, building an expert support function that will free up case managers' time to focus on more value-adding activity.
<b>Launch CaseHub with measurable benefits seen across all our services, a reduced reliance on legacy systems and the enhanced ability to improve our systems in future.</b>	Learn from CaseHub releases taking place for the Practitioner Performance Advice service in 2022/23.
	Proceed with further CaseHub releases in 2023/24 covering General Practice Indemnity schemes and clinical negligence claims.

# Strategic priority 4: Invest in our people and systems to transform our business

Impact by 2025	Key deliverables in 2023/24
Continue with other continuous improvement activity to ensure we are delivering best value for public funds.	Increase our use of digital products to streamline our internal processes and make better use of data, with specific digital initiatives underway for our human resources and corporate governance teams.
	Maintain our ISO 27001 Information Security Certification and deliver and embed a sustainable Data Governance, Security and Protection Programme.
	Strengthen our corporate governance frameworks with ongoing work to mature our approach to risk and incident management as well as aligning our assurance frameworks, where applicable, with the relevant Government Functional Standards.
	Progress activity to improve effectiveness and efficiency across the organisation, including embedding our approach to business partnering.

## Part 3: Our governance



### Governance framework and structures

We report on the organisation's performance to the Board and to DHSC on a regular basis in accordance with the Framework Agreement with DHSC.

Our Chief Executive, as NHS Resolution's Accounting Officer, is supported by NHS Resolution's Senior Management Team, internal audit, and Audit and Risk Committee to provide assurance to the Board on the matters as they relate to effective governance.

You can find out more about our governance structures at: [resolution.nhs.uk/about/governance/governance-structures](https://resolution.nhs.uk/about/governance/governance-structures)



## Part 3: Our governance

### Executive leadership

The Senior Management Team (SMT) includes all directors of the operating areas in the organisation. The SMT meet most weeks and discusses issues concerned with the activity of NHS Resolution for which SMT oversight or approval is required, including resource management and planning, governance arrangements, complaints and stakeholder management. The SMT reviews particular areas of our activity or areas of development and considers any changes in the external environment that may have an impact on NHS Resolution and its services.

The work of the SMT is reported to the Board and members of the SMT are held to account by the Chief Executive for delivering against agreed objectives which are linked to delivery of our strategy and business plan.

### Governance and accountability

We have in place a system of internal controls/governance which includes policies, procedures, practices and organisational structures designed to provide reasonable assurance that objectives will be achieved and any risks are eliminated where possible.

#### What we currently have in place:

##### Capacity to handle risk

Through our risk management framework we regularly consider the risks and issues that could have an impact on the achievement of our business objectives. This includes consideration of the controls we have in place to mitigate those risks and, where required, developing plans to bring those risks within appetite.

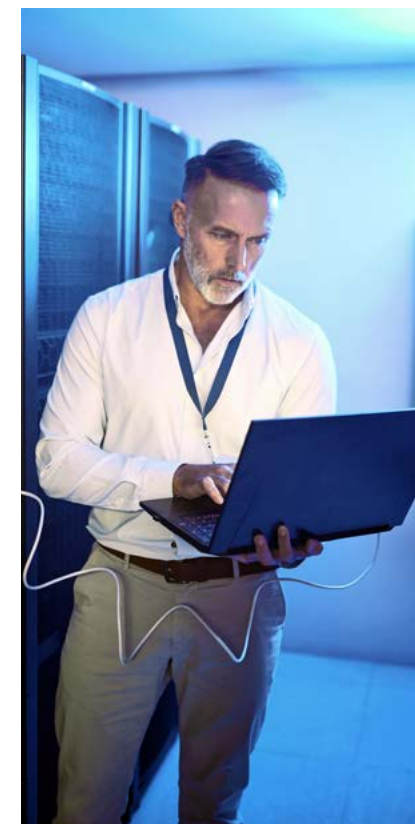
##### Management assurance

Our assurance framework brings together governance and quality linked to our strategic objectives. Its purpose is to ensure that systems and information are available to provide assurance on identified strategic and operational risks and that such risks are being controlled and objectives achieved.

##### Internal audit

Our internal audit plan is developed in conjunction with management and the Audit and Risk Committee to focus on the areas of risk, and provide insight, advice and assurance on our internal controls.

Further information on our assurance and controls can be found in the Governance section of our Annual Report and Accounts which can be found at: [resolution.nhs.uk/corporate-reports](https://resolution.nhs.uk/corporate-reports).



# Part 4: Our performance



## Part 4: Our performance

**We review our performance metrics annually to ensure they continue to reflect our strategic priorities and the external environment.**

These metrics are monitored through our internal performance framework, including bimonthly performance reporting to NHS Resolution's Board as well as through quarterly accountability meetings with the Department of Health and Social Care.

We will be taking forward work in 2023/24 to review our corporate planning, performance reporting and risk management frameworks to ensure we are effectively tracking performance against delivery of our strategy and managing associated issues and risks.

Please note that Claims Management key performance indicator targets are not published as this information could affect our ability to manage claims effectively.



## Part 4: Our performance

Strategic priority 1: Deliver fair resolution	Area	Target
Reduction in volume of cases that enter litigation before appropriate dispute resolution	Claims Management	Internal
Time to resolution from claims decision to agreement of damages	Claims Management	Internal
Volume of cases repudiated initially with a subsequent payment agreed	Claims Management	Internal
The movement in financial reserves is managed within target range	Claims Management	Internal
Undertake the scheduled contract performance meetings with our legal and costs suppliers to review their performance against their KPIs	Claims Management	95%
We can demonstrate we have obtained relevant stakeholder input to inform our external products, services and/or service improvements	Claims Management Practitioner Performance Advice Primary Care Appeals Safety and Learning	Evidence of stakeholder input
90% of requests for advice responded to within 2 working days (or within an alternative timeframe requested by the employing/contracting organisation)	Practitioner Performance Advice	90%
100% of Healthcare Professional Alert Notices (HPANs) issued/ released or revoked (where justified) within 7 working days	Practitioner Performance Advice	100%

## Part 4: Our performance



Strategic priority 1: Deliver fair resolution	Area	Target
90% of all exclusions/suspensions critically reviewed (where due)	Practitioner Performance Advice	90%
90% of assessment and other intervention reports produced/issued within target timeframe	Practitioner Performance Advice	90%
80% of pharmacy appeals where Decision Maker agrees with recommendation of Case Manager and 90% outcome of quality audits for appeals and dispute files	Primary Care Appeals	80%
Before and after education metrics are applied to 100% of training events provided (including to primary care contracting commissioning teams)	Primary Care Appeals	100%

## Part 4: Our performance



Strategic priority 2: Share data and insights as a catalyst for improvement	Area	Target
We can demonstrate that, in 100% of concerns raised through our Significant Concerns Group, we have included relevant appropriate qualitative information and appropriate steps have been taken in a timely way	Organisation-wide	100%
We have actively sought and obtained feedback for 100% of the e-learning modules launched in 2023/24	Safety and Learning	100%
We have actively sought and obtained an update on progress from all national level stakeholders tasked with delivering actions arising from national thematic review recommendations	Safety and Learning	100%
Before and after education metrics are applied to 100% of events related to compassionate conversations and non-executive director training	Practitioner Performance Advice	100%
Publication of six Insight products by end of Q4	Practitioner Performance Advice	Delivery of products in year
Percentage of external data requests meeting service levels	Digital, Data and Technology	90% of Freedom of Information Act data provided within 5 working days from the criteria being set
Percentage of member data requests meeting agreed service levels	Digital, Data and Technology	80% of member requests solved within 5 working days from receipt

# Part 4: Our performance

Strategic priority 3: Collaborate to improve maternity outcomes	Area	Target
Reduction in the time from notification to a decision on entitlement to compensation on an Early Notification Scheme case compared to a similar cerebral palsy case received via the traditional claims route	Claims Management	Internal
Percentage of successful contested applications for an interim payment on Early Notification Scheme cases where we have refused to make one	Claims Management	Internal
We will share 100% of concerns derived from Early Notification and Maternity Incentive Scheme cases with the national maternity safety group at least quarterly	Safety and Learning	100%

## Part 4: Our performance

Strategic priority 4: Invest in our people and systems to transform our business		
Strategic priority 4: Invest in our people and systems to transform our business	Area	Target
Staff who have new working practices have been provided with the appropriate training to undertake the new ways of working	Claims Management	90% of staff have received the appropriate training
General Practice Indemnity schemes and Clinical Negligence Scheme for Trust claims being managed on CaseHub by the end of the financial year	Digital, Data and Technology	Delivery in year
Monthly vacancy rate	Human Resources and Organisational Development	<10% by year end
Employee retention rate	Human Resources and Organisational Development	>85%
Improvement in our gender pay gap	Human Resources and Organisational Development	Improvement on the reported 2022 figures
Improvement in our ethnicity pay gap	Human Resources and Organisational Development	Improvement on the reported 2022 figures
Engagement with the annual performance and development review process	Human Resources and Organisational Development	>95%
We have actively sought and obtained formal feedback from our top strategic stakeholders at least annually through a variety of methods	Membership and Stakeholder Engagement	Evidence of engagement at least annually
Retention of our ISO 27001 accreditation	Finance and Corporate Planning	Accreditation retained
Management of budgets within net Departmental Expenditure Limits (between 95% and 100% of the in-year target for indemnity scheme spend)	Finance and Corporate Planning	Between 95% and 100%
95% of undisputed invoices are paid within 30 days	Finance and Corporate Planning	95%

## Part 5: Our people



### People strategy

We launched our People Strategy in 2022/23, setting out the people-related activity required to support implementation of Our Strategy to 2025.

All of the existing or planned interventions under the strategy are aligned to the Investors in People (IiP) indicators, demonstrating our ongoing commitment to best practice and continuous improvement as we look to consolidate on our recent achievement of the Gold IiP standard.



Our People strategy consists of five pillars, all of equal importance, built upon foundations of organisational culture, communication and engagement and human resources and organisational development digitalisation as illustrated to the right.

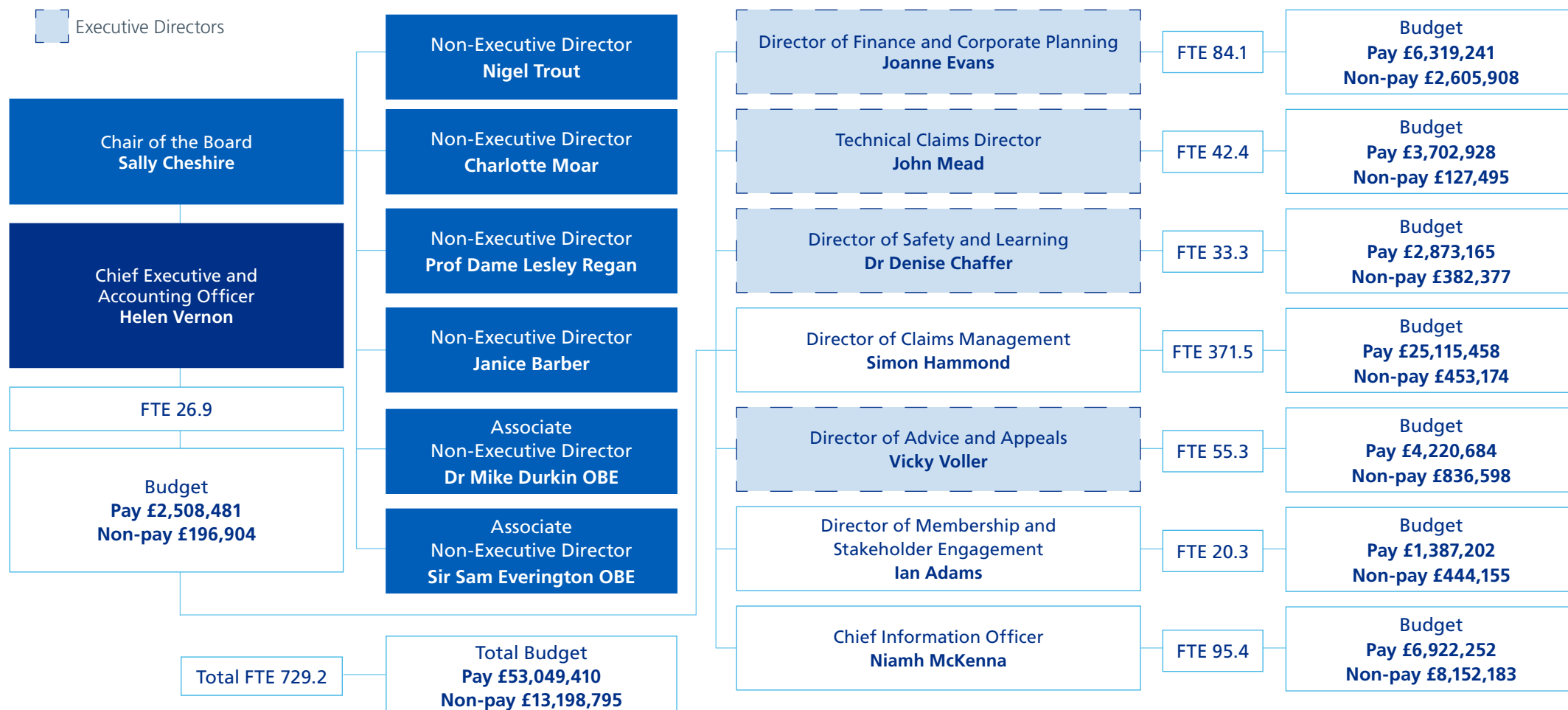
In addition to our annual report and accounts, we will develop regular progress reporting through our liP survey and report, staff surveys and other relevant human resources and organisational development metrics such as Workforce Race Equality Standard, Workforce Disability Equality Standard and Gender Pay Gap reporting.



## Part 5: Our people

### Overview of our resource and FTE requirements for 2023/24

Please note the below does not include an average of 42.6 FTE within the Core Systems Programme which will be capitalised as part of the project.



**The second year of our new strategy will see our cost and resource base continue to grow when assessed against our expected 2022/23 out-turn position. The primary drivers of this planned growth are as follows:**



The next phase of the Claims Evolution Programme where, using a test, prove and build approach, we will identify opportunities to in-source more work while improving the effectiveness and efficiency of our services. This will allow us to continue driving forward the earlier resolution of claims without the need for formal process, while reducing the medium to longer term expenditure on external lawyers and ensuring our own resources are being effectively deployed. The programme aims to address the overall cost of indemnity to our members, to ensure that clinical time is not unnecessarily diverted to legal proceedings and to improve the experience of a compensation claim for both patients and healthcare staff.



Updating our systems through our Core Systems and Insights programmes, both of which are primarily focused on ensuring our systems are fit for purpose and will enable us to fully exploit the power of our data to influence positive change for patients and those who care for them. CaseHub will provide users with a simpler, safer and faster platform, make it easier to work with us, remove our reliance on legacy software and open up a range of opportunities to further improve the efficiency and efficacy of our core services, such as through enhanced use of robotic process automation. Both initiatives will involve temporary growth as we secure specialist expertise and backfill resource so that subject-matter experts can directly inform system development.

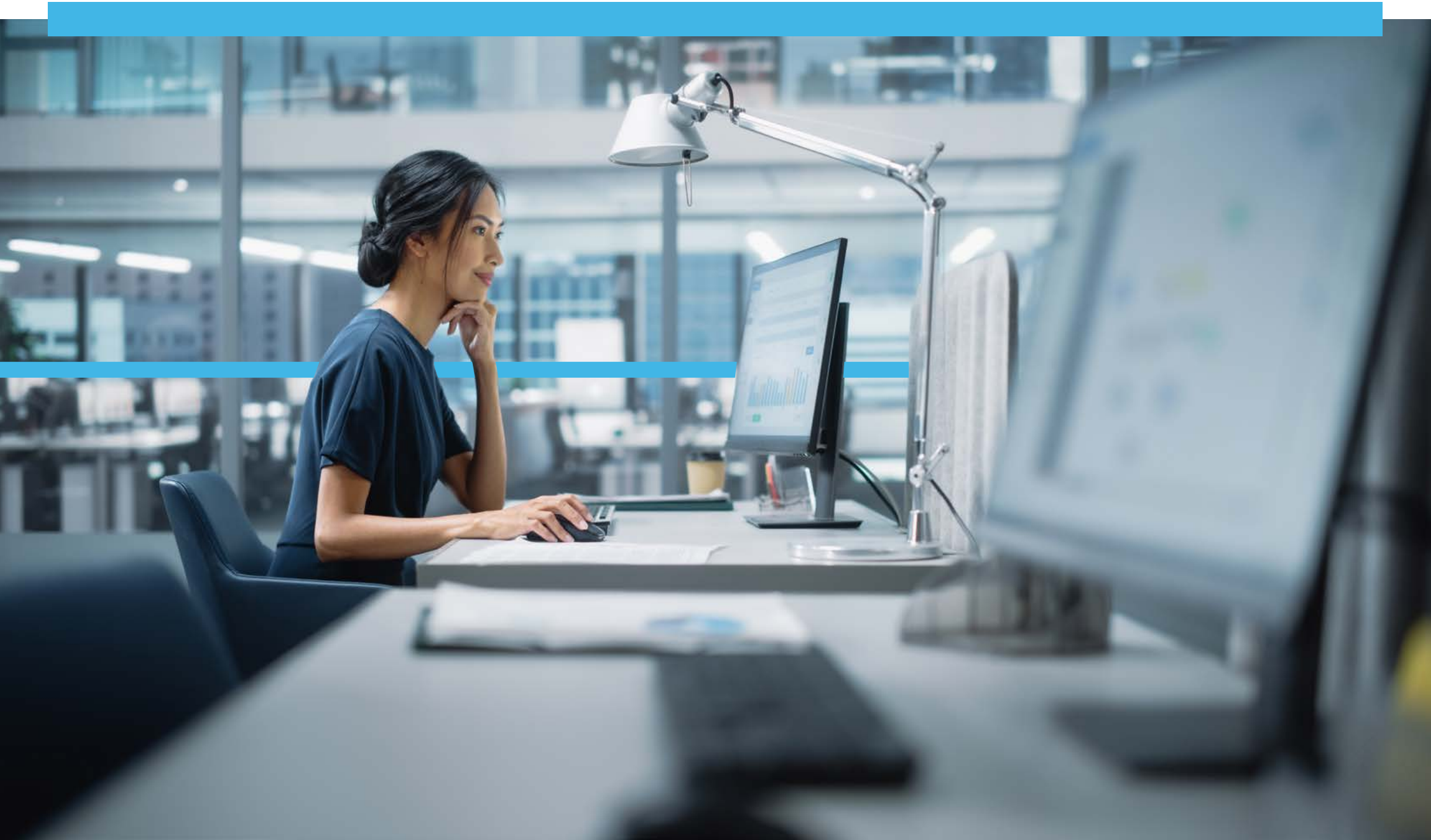


Continued development of the Clinical Negligence Scheme for General Practice (CNSGP) following its launch in April 2019 as the scheme matures, continuing to improve the service for General Practice.



Progressing initiatives, such as the Early Notification Scheme, that are focused on reducing harm, accelerating the learning from serious maternity incidents and improving the process and pathway for accessing compensation in such cases.

## Part 6: Our resources



**In this section we set out the revenue funding streams and planned expenditure against them. The relative size of the various schemes we operate are shown visually in the graphs and highlight the scale of the Clinical Negligence Scheme for Trusts (CNST) relative to our other activities.**

**NHS Resolution receives funding in two ways:**

- Income from members of CNST, Liabilities for Third Parties Scheme, and Property Expenses Scheme, and from customers of training and other services offered by our Practitioner Performance Advice service.
- Grant-in-aid funding (cash financing) for services determined by DHSC, e.g. Practitioner Performance Advice, Primary Care Appeals, indemnity schemes for legacy health bodies and for general practice and coronavirus indemnity scheme arrangements. In addition, income, grant-in-aid funding and expenditure are subject to a number of budgetary classifications within which we are required to manage. The key dimensions are programme (relating to frontline expenditure, i.e. NHS), and administration (relating to Departmental requirements).

The tables show the various elements of the budgetary framework within which we are managing. The Revenue Resource Limit is the budget total for our revenue expenditure net of income.

Our total expenditure budget for 2023/24 is currently **£2,995m**. The majority of this, **£2,928m**, is spent on resolving claims.

Our total net administration costs are **£65.4m** and represent less than **2.2%** of our overall expenditure.

Note that budgets for the costs of resolving general practice and coronavirus indemnity scheme claims will be confirmed in-year.

## Part 6: Our resources

### Funding: Current annual budget 2023/24

Grant-in-aid funding: Programme	£000
Department of Health and Social Care clinical liabilities	85,599
Existing Liabilities Scheme	31,855
Department of Health and Social Care non-clinical liabilities	7,185
Ex-Regional Health Authority	1,279
Clinical Negligence Scheme for General Practice	33,000
Existing Liabilities Scheme for General Practice	96,000
Clinical Negligence Scheme for Coronavirus	TBC
Coronavirus Temporary Indemnity Scheme	TBC
Administration of General Practice Indemnity arrangements	12,783
Administration of Clinical Negligence Scheme for Coronavirus	464
Administration of Coronavirus Temporary Indemnity Scheme	154
Lease costs under IFRS16 Leases	118
<b>Total grant-in-aid funding – programme</b>	<b>268,437</b>

Administration	£000
Administration	6,278
<b>Total grant-in-aid funding – programme</b>	<b>6,278</b>

<b>Other funding - depreciation and impairments</b>	<b>TBC</b>
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<b>Total Revenue Resource Limit</b>	<b>TBC</b>
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Income and expenditure	£000
Clinical Negligence Scheme for Trusts	2,659,000
Liabilities for Third Parties Scheme	51,900
Property Expenses Scheme	8,000
Practitioner Performance Advice service	948
<b>Total income – programme</b>	<b>2,719,848</b>

## Part 6: Our resources

### Funding: Current expenditure budget 2023/24

Expenditure – programme	£000
Clinical Negligence Scheme for Trusts	2,620,893
Liabilities for Third Parties Scheme	44,521
Property Expenses Scheme	7,859
Department of Health and Social Care clinical liabilities	85,599
Existing Liabilities Scheme	31,855
Department of Health and Social Care non-clinical liabilities	7,185
Ex-Regional Health Authority	1,279
Clinical Negligence Scheme for General Practice	33,000
Existing Liabilities Scheme for General Practice	96,000
Clinical Negligence Scheme for Coronavirus	TBC
Coronavirus Temporary Indemnity Scheme	TBC
NHS Resolution administration costs	59,146
Practitioner Performance Advice service	948
<b>Total expenditure – programme</b>	<b>2,994,563</b>

Expenditure - administration	£6,278
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<b>Total expenditure</b>	<b>£2,994,563</b>
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Ring-fenced depreciation and impairments	£000
Depreciation	TBC
Impairments	TBC
<b>Total ring-fenced depreciation and impairments</b>	<b>TBC</b>
<b>Net expenditure (expenditure less income)</b>	<b>TBC</b>
<b>Revenue Resource Limit less net expenditure</b>	<b>-</b>



Capital expenditure

Capital expenditure relates primarily to IT equipment and software replacement and development and is still subject to DHSC agreement.

Capital Funding	£000
Capital expenditure plan 2023/24	TBC
Total Capital Expenditure	TBC

Glossary

<https://resolution.nhs.uk/glossary/>

8th Floor, 10 South Colonnade,  
Canary Wharf, London, E14 4PU  
Telephone 020 7811 2700  
Fax 020 7821 0029

7&8 Wellington Place  
Leeds LS1 4AP  
Telephone 0113 866 5500  
Fax: 020 7821 0029

[www.resolution.nhs.uk](http://www.resolution.nhs.uk)

Published: June 2023



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