# Claims Policy
Clinical Negligence, Liabilities to Third Parties and Property Expenses Scheme Claims

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<thead>
<tr>
<th>Document Reference</th>
<th>POL074</th>
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<tr>
<td>Document Status</td>
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</tr>
<tr>
<td>Version:</td>
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## DOCUMENT CHANGE HISTORY

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<th>Initiated by</th>
<th>Date</th>
<th>Author (s)</th>
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<td>Integrated Governance Committee</td>
<td>June 2009</td>
<td>Information Governance Manager</td>
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<th>Date</th>
<th>Comments (i.e. viewed, or reviewed, amended approved by person or committee)</th>
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<td>Draft V1.1</td>
<td>August 2010</td>
<td>Emma Sears and Bob Durbin</td>
</tr>
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<td>1.2</td>
<td>March 2011</td>
<td>Reviewed by Emma Sears for NHSLA compliance</td>
</tr>
<tr>
<td>1.2</td>
<td>13 July 2011</td>
<td>Approved by Risk Management Group</td>
</tr>
<tr>
<td>1.2</td>
<td>15 August 2011</td>
<td>Approved by Executive Management Team</td>
</tr>
<tr>
<td>2.0</td>
<td>August 2014</td>
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<tr>
<td>2.0</td>
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</tr>
<tr>
<td>3.0</td>
<td>April 2019</td>
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The East of England Ambulance Service NHS Trust has made every effort to ensure this policy does not have the effect of unlawful discrimination on the grounds of the protected characteristics of: age, disability, gender reassignment, race, religion/belief, gender, sexual orientation, marriage/civil partnership, pregnancy/maternity. The Trust will not tolerate unfair discrimination on the basis of spent criminal convictions, Trade Union membership or non-membership. In addition, the Trust will have due regard to advancing equality of opportunity between people from different groups and foster good relations between people from different groups. This policy applies to all individuals working at all levels and grades for the Trust, including senior managers, officers, directors, non-executive directors, employees (whether permanent, fixed-term or temporary), consultants, governors, contractors, trainees, seconded staff, homeworkers, casual workers and agency staff, volunteers, interns, agents, sponsors, or any other person associated with the Trust.

All Trust policies can be provided in alternative formats.
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1. **Introduction**
This document sets out a systematic procedure for handling claims and seeks to ensure that any healthcare governance issues that arise are dealt with openly, sensitively, promptly and efficiently so that the cost of further investigation, if and/or when handled by a panel of solicitors, is minimised. The Trust’s audit programmes and reviews of clinical activities will recognise and apply lessons to be learnt from claims/risk management experience locally and beyond. This policy, therefore, forms an integral part of the Trust's arrangements for risk management and clinical governance.

This guidance will be reviewed every two years or sooner, if the relevant legislation or guidelines change.

2. **Purpose**
The Trust recognises that effective risk management, complaints handling and clinical monitoring arrangements are essential to minimise the potential for claims against the Trust and to minimise the financial impact on the Trust from such litigation. Therefore this document sets out a systematic procedure for handling claims involving third parties such as the National Health Service Resolution (NHSR), solicitors, claimants and the coroner. This procedure is in line with best practice, Liabilities to Third Parties Scheme (LTPS) and Clinical Negligence Scheme for Trusts (CNST) reporting guidelines issued by the National Health Service Resolution (NHSR).

All future claims (excluding vehicle insurance claims) fall within this policy and NHSR authorisation is required before admissions may be made and monetary compensation may be offered. In the absence of such authorisation, the NHS Resolution will not reimburse Trusts either for the compensation awarded or for any of the costs generated.

3. **Duties**

3.1 **Trust Board**
The Board will receive assurance, based on sufficient evidence, that internal controls are in place, operating effectively and objectives are being achieved through the Audit Committee and the Quality Risk Assurance Committee together with the minutes of both committees.

3.2 **Chief Executive**
The Chief Executive has overall responsibility for ensuring that all claims are dealt with effectively and efficiently. The Chief Executive has delegated day to day responsibility for claims management to the Director of Finance.

3.3 **Designated Board Member**
The Director of Finance is the designated board member responsible for compliance with the claims procedure(s). The Director of Finance is responsible for managing effective claims handling on behalf of the Board and the Chief Executive.

3.4 **Quality Governance Committee**
The Quality Governance Committee is authorised by the Board to review risk and governance strategies, review and approve policies and procedures associated with risk and governance and recommend them to the Board for approval. The Committee has overall
responsibility for the claims management and will receive a summary report every six months. The Committee will also receive reports from:

- organisation groups established to review and manage risk and governance issues
- authors of any reports summarising identified risks with the action taken to mitigate them.

3.5 Clinical Quality and Safety Group
The Clinical Quality and Safety Group will receive a monthly clip report with information pertaining to claims, themes and trends.

3.6 Operational Management
Operational managers are responsible for ensuring robust investigation of claims and timely communications with the Claims and Inquest Facilitator to ensure claims resolution is efficient.

3.7 Compliance and Standards Lead
The Compliance and Standards Lead is ultimately responsible for the claims management and this is delegated to this role on behalf of the Chief Executive.

3.8 Information Governance Manager
The Information Governance Manager is responsible for ensuring the timely management of the claims referred to in this policy and for ensuring admissions and denials are made appropriately and in line with relevant legislation and guidance.

3.9 Claims and Inquests Facilitator
The Claims and Inquest Facilitator will be responsible for the co-ordination and administration of all CNST and RPST claims across the Trust. The Claims and Inquest Facilitator will participate in the assessment of potential claims as revealed by the incident reporting system and requests for access to medical records, in accordance with the requirements of the NHS Resolution.

3.10 Role of Clinicians/Specialist Advisors
The role and the investigation to be undertaken by the appointed clinicians/specialist advisors are described within Investigations Guidance - Investigation of incidents, complaints and claims.

4. Definitions

Definition of a claim and the NHS Resolution Schemes relevant to the organisation
A clinical negligence claim is defined as:-
'Allegations of clinical negligence and / or a demand for compensation made following an adverse clinical incident resulting in personal injury, or any clinical incident which carries significant litigation risk for the Trust.'
Such claims are covered by the Clinical Negligence Scheme for Trusts (CNST).

A non-clinical or property claim is defined as:-
‘A demand for compensation made following an adverse incident resulting in damage to property and / or personal injury’
Such claims are covered by the Liabilities Third Parties Scheme (LTPS) and Property Expenses Scheme (PES).
These definitions include complaints leading to claims, notification of serious adverse events, incident reports generated by risk management processes, any incidents of which represent a significant litigation risk and requests for disclosure of medical records. Claims involving vehicles leased/owned by the Trust are covered separately by the Trust’s Motor Vehicle insurers.

5. Claim Handling

5.1. Who may make a claim?
Any person (this includes their next of kin, guardian, executor or legal representative) who has incurred personal injury or financial loss as a result of an adverse incident involving the Trust may make a claim against the Trust.

5.2. Triggers for invoking the claims procedure
The claims procedure may be invoked by any one of the following four possible situations:

1. Potential claims arising from an incident or complaint investigation where the response indicates the possibility of a claim with a significant litigation risk, regardless of value. The Patient Experience Department will refer the file to the Claims and Inquest Facilitator Services. All letters which state that legal action is being taken, or that include a claim for compensation, must be forwarded immediately to the Claims and Inquest Facilitator who will be the responsible officer.

2. Requests for disclosure of records where such records indicate the possibility of a claim with a significant litigation risk, regardless of value.

3. Letters of claim as the first indication of any action. The following time limitations apply: (See Section 3.11 for limitation for Human Rights claims)
   • It is received within 3 years of the date of the adverse incident.
   • In the case of a minor within 3 years of the date of the adverse incident or 3 years from their 18th Birthday whichever is the later.
   • In the case of a death (or ‘patient’ becoming corpus mentus) within 3 years of the date of the adverse incident or 3 years from the date of decease (or ‘patient’ becoming corpus mentus) whichever is the later.

Where a ‘Letter of Claim’ relates to an incident that has not been previously recorded and / or internally investigated and evaluated by the Trust, the Claims and Inquest Facilitator will instigate immediate action for the incident to be investigated and an incident report to be produced (see Section 8 – Investigation and Root Cause Analysis). The legal timescales applied under the Pre-Action Protocols endorse the urgency of the incident investigation.
Contentious inquests that may indicate a serious litigation risk for the Trust. Claims and Inquest Facilitator and Information Governance Manager to consider whether the Trust should apply for inquest funding and notify NHS Resolution of the litigation risk.

5.3. Delegation limits

No Delegation limits apply as all claims are the direct responsibility of the Director of Finance.

5.4. Timescales and procedures for the exchange of information with other parties

- Requests for disclosure of medical records to be processed within 1 month of receiving a properly authorised request.

- Report relevant cases to the NHS Resolution within 2 months of request for records or sooner if event is serious.

- All Part 36 offers and proceedings to be reported to the NHS Resolution within 24 hours of receipt with completed documentation to follow within 2 weeks.

- All Letters of Claim relating to the Clinical Negligence Scheme for Trusts or the Property Expense Scheme to be notified to the NHSR within 24 hours of receipt.

In relation to the Liability to Third Parties Scheme for Trusts (PORTAL ONLY CLAIMS):

- If a claim notification form is received and covering letter confirms that NHS Resolution have not been made aware of the claim via the Portal, then this should be reported within 24 hours of receipt.

- If a claim notification form is received from the claimant solicitor and no NHS Resolution contact received within 3 working days, then the claim should be reported to the NHS Resolution no more than 3 working days after receipt of the notification form.

In relation to the Liability to Third Parties Scheme for Trusts (NON-PORTAL claims):

- The Trust should acknowledge Letters of Claim within 21 days, indicating that the matter will be dealt with by NHS Resolution.

In relation to the Clinical Negligence Scheme for Trusts -

- Acknowledge Letters of Claim for Clinical Negligence Scheme for Trusts within 14 days.

- Detailed response (produced by NHS Resolution) to the claim due within 3 months from formal acknowledgement of Letter of Claim.

All legal proceedings to be notified immediately to NHS Resolution.
5.5. Confidentiality and Requests for Disclosure of Records
When a case for disclosure is made without a claim, the Claims and Inquest Facilitator may seek the reasons for the request and should process this with the Legal Services Team in line with the Data Protection Act 2018. The Claims and Inquests Facilitator should complete a preliminary analysis (see Section 3.8.1 – Preliminary Analysis).

The records of deceased patients are governed by the Access to Health Records Act 1990. Applications for copies should only be granted to personal representatives of the estate or to someone having a claim arising out of the death. There are additional provisions for withholding disclosure, e.g. where the deceased specifically prohibited this or when information was provided in the expectation that it would not be disclosed to the applicant.

These cases may be referred to the Claims and Inquest Facilitator who may seek legal advice if required.

The Claims and Inquest Facilitator will continue to share information emerging from claims but this will be limited to staff directly involved in the case including supporting staff and former staff in the litigation process. All such distribution of records will be recorded in the appropriate file.

5.6. Support mechanisms for patients/carers and staff
The Trust recognises that help and support are required by those involved in any allegations in line with Duty of Candour obligations, outlined in the Trust’s Management of Incident Policy/Serious Incidents Policy. Staff should be signposted to the internal support processes e.g. through Wellbeing by the local management team.

5.7. Clinical Negligence Scheme for Trusts (CNST)
Indication of potential claims may be in various forms and tend to fall into the following categories:

1. Where relevant, the report of the investigation of any adverse incident, or the formal response by the Chief Executive to a letter of complaint
2. Any relevant Trust policy or protocols

5.7.1 Inquest funding
From 1 April 2013, benefit of the CNST scheme includes discretionary funding of Trust’s legal representation at inquests, NHSR will provide funding where there is a clear risk of a claim arising out of the subject matter of the Inquest hearing. Legal representation will be provided by a nominated CNST panel firm to represent the Trust’s interests in connection with the Inquest hearing. Funding will not be provided if a Trust opts to instruct a different firm to represent them at inquest

5.8. Liabilities to Third Parties Scheme (LTPS)
NHSR have introduced a portal (Web claims system) to deal with low value personal injury and public liability claims.

- Such claims will be reported directly to the portal by the Claimant Solicitors, the Trust does not need to report claim.
- Any claims with an expected value of up to £25,000 damages will be reported via the portal.
- If the Trust admits liability whilst the claim is in the portal, legal costs are capped.
- Employer liability claims - 30 days to make a liability decision
- Public liability claims - 40 days to make a liability decision
- NHS Resolution will acknowledge claim in 1 working day.
- NHS Resolution will contact the Trust claims handler via the NHS Resolution Document Transfer System (DTS) to notify them of claim. the Trust will not have to acknowledge claim with solicitor.

All claims that are reported to the NHS Resolution, must include the following documentation:

- Covering letter indicating a new claim is enclosed
- Completed Preliminary Analysis
- Any prior correspondence
- Any reports or copies of comments made during investigation of the incident
- A completed NHS Resolution Disclosure List, indicating which documents are enclosed by means in the appropriate box. For every Workplace claim the first page of the ‘NHS Resolution Disclosure List’ must be completed, together with the appropriate page relating to the specific type of Workplace claim.

Claims will not be accepted into the Scheme without the necessary documents. Where no ‘List’ and documents are attached the NHS Resolution will ‘hold’ the claim pending receipt of these papers. If papers are not forthcoming within one month of the first receipt of papers the NHS Resolution will reserve the right to reject the claim.

The Claims and Inquest Facilitator should also report any serious adverse incidents resulting in a significant litigation risk that are flagged up through the incident reporting system, complaints process or risk management process.

5.9. Property Expenses Scheme (PES)

The Trust is required, immediately, to report incidents or claims where the total cost of the claim will approach or exceed the Scheme deductible, or the Trust's excess.

The Claims and Inquest Facilitator should take into account an assessment for the claimants’ legal costs and any defence costs, when deciding whether a claim is likely to result in a total expense approaching or exceeding the applicable excess.

Where court hearings are likely to generate media interest, NHS Resolution will agree with the Trust beforehand a press release or position to be adopted.

NHS Resolution will issue a closure document to Trusts at the end of each

5.10. Claims under the Human Rights Act 1998

On receipt of a Letter of Claim under the Human Rights Act 1998 the Trust is required to report this to the NHS Resolution NHS Resolution together with the following documentation:
- Completed CNST Form
- Details of any previous correspondence with the solicitors
- Details of any incident/complaint file

The Trust will liaise with NHS Resolution to provide them with the information required and will inform the Communications Department due to the potential for media interest

### 5.11. General points

NHS Resolution must be informed with an early notification where the following features arise once a claim has been submitted:

- MP involvement
- Media attention
- Human Rights issues
- Multi-party actions
- Multiple claims from a single cause
- Novel, contentious or repercussive claims

NHS Resolution or their solicitors will continue to advise the Trust in advance of conferences with Counsel and court hearings. Trust managers will continue to sign Defences and other relevant pleadings because the Trust, and not NHS Resolution will remain the legal Defendants to litigation.

NHS Resolution will liaise with the Trust regarding the information submitted and any subsequent investigation required. The NHS Resolution may decide to instruct solicitors and will do so directly but in collaboration with the Trust.

NHS Resolution or their solicitors will continue to advise the Trust in advance of conferences with Counsel and court hearings. Trust managers will continue to sign Defences and other relevant pleadings because the Trust, and not NHS Resolution, will remain the legal Defendants to litigation.

Where court hearings are likely to generate media interest, NHS Resolution will agree with the Trust beforehand a press release or position to be adopted.

NHS Resolution will issue a closure document to Trusts at the end of each claim which will include inter alia a breakdown between damages, claimant costs and defence costs. Risk management lessons to be learned will be advised as and when such issues are identified during the course of a claim.

Note that ex-gratia settlements offered by the Trust are, by definition, not payments based upon legal liability and are therefore not reimbursable under LTPS. Therefore, in the event of the Trust making such a payment the total cost of the settlement will be borne by the Trust.

### 6. Internal Consultation, Approval and Ratification Process

#### 6.1 Policy Approval Process and Ratification Process

The Trust's Claims Policy, in accordance with the Policy for the Development and Management of Procedural Documents, will be reviewed and approved by the Quality Governance Committee.
7. **Liaison with third parties**

The importance of external agencies in the claims investigation and handling process is recognised by the Trust. The Claims and Inquest Facilitator, Information Governance Manager and Appropriate Director(s) and senior manager(s) to the claim, will ensure that all relevant external agencies are contacted and briefed on their required involvement in a timely and appropriate manner during the claims investigation and handling process.

Agencies that will become involved in claims investigation and handling process are the National Health Service Resolution, solicitors acting on delegated authority from the National Health Service Resolution and the claimant’s solicitors.

Agencies that may become involved in the process, whilst not exhaustive, will include, recognised experts in the testing of any associated equipment and/or substance, Local Counter Fraud Specialist, Special Health Authorities, other NHS Trust’s, other local emergency services, local authorities or the Trusts clinical / non-clinical solicitors and may include communication with the Coroner.

It is particularly important to consider the involvement of these agencies at each stage of the investigation process and especially when preparing to make recommendations for the outcome of the claims investigation.

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<td>Medicine contra-indications \ Suspected adverse reactions to any therapeutic medication</td>
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<td>Information Governance Manager</td>
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<td>Incidents leading to legal claims</td>
<td>NHS Resolution</td>
<td>Deputy Director of Operations</td>
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<tr>
<td>Fire incidents, buildings and non-medical equipment defect and failure</td>
<td>DH Estates and Facilities Management</td>
<td>Deputy Director of Operations</td>
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<td>Serious injury or homicide of a child</td>
<td>Local Safeguarding Children Boards</td>
<td>Director of Clinical Quality And Improvement</td>
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<td>Notifiable diseases</td>
<td>Health Protection Agency Centre for Infection</td>
<td>Medical Director</td>
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<td>Serious Untoward Incidents</td>
<td>Local Primary Care Trust and copied to the Strategic Health Authority</td>
<td>Patient Safety lead</td>
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<td>“Catastrophic /major client incidents”</td>
<td>National Patient Safety Agency</td>
<td>Patient Safety Lead</td>
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8. Investigation and root cause analysis

Following a serious incident or a Letter of Claim (where this is the first indication of an incident occurring), a full investigation into the circumstances, causal factors and outcome should be undertaken.

It should be noted that care must be taken to ensure that reports created during investigations that do not have actual or prospective litigation as their sole or dominant purpose are used with caution, as they are likely to be disclosable in law. Therefore, extreme care must be taken to ensure that content is factual and all opinion / supposition must be avoided as far as practically possible. Insofar as the facts speak for themselves, their interpretation may amount to an admission of liability but this should not inhibit the Trust from dealing properly and effectively with the remedial action which may be indicated.

The Investigation Guidance – Investigation of incidents, complaints and claims identifies the investigation process to be followed and the identification of causal factors for incidents, complaints and claims. Additional guidance on supporting clinicians can be found in the Trust’s Being Open policy.

The Claims and Inquest Facilitator, in conjunction with the Information Governance Manager, will ensure that a detailed investigation is undertaken where claims arise from either:-

- An incident likely to generate substantial compensation
- Publicly or media sensitive cases
- Obstetric and paediatric cases
- Fatal incidents including unexplained deaths
- Misdiagnosis of life threatening illness
- Serious professional misconduct

Or where the risk rating of the incident is significant or high or the litigation risk identifies the need for further investigation.

9. Claims data collection and analysis

The Information Governance Manager is responsible for ensuring that all matters relating to claims are reported at regular Quality Governance Committee meetings which may include a summary of all new claims, details of recently settled claims, trends in causal factors and any emergent risk management issues. Reports will be submitted to the Committee at least twice a year with the
exception that if a significant risk is identified during the claims process, the Committee will be informed of this.
Any clinical issues that are identified will be fed through the Quality Governance Committee for inclusion on the Clinical Risk Register.

10. Learning from experience
The Trust recognises that the proper management of risk is essential to the provision of quality health care within accepted standards of medical/professional care. It will also provide for safe delivery of this care to all who may be affected by the Trust activities, including the protection of its employees.

This integrated approach for the learning from incident reporting, complaints management and claims is covered in the Trust’s Clinical Quality and Safety Strategy.

The Claims and Inquest Facilitator will complete a form for closed claims, highlighting any lessons learnt and key points. If any learning is necessary, the form will be sent to the Local Operations Team to be implemented.

11. Dissemination and Implementation

11.1 Dissemination of the Claims Policy
The Claims Policy will be disseminated to all managers and staff by email and the intranet by the information Governance Manager in line with the Trust’s Policy for the Development and Management of Procedural Documents.

11.2 Implementation of the Claims Policy
It is important that all managers and staff familiarise themselves with their responsibilities in the prevention, notification, investigation and participation in claims for damages arising from incidents of clinical negligence and non-clinical accidents. Training regarding these matters should be arranged by the Human Resources Department or the Claims and Inquest Facilitator if required.

Staff should be encouraged to seek advice in any areas which they may be unfamiliar with or where they have some concern about their legal position. Any enquiries should be channelled through the Claims and Inquest Facilitator.

Appendices
A Monitoring Table
B References
C Associated Documentation
D Equality Impact Assessment
E Claims Process
## A Monitoring Effectiveness of the Claims Policy

<table>
<thead>
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<th>What</th>
<th>Who</th>
<th>How</th>
<th>Frequency</th>
<th>Evidence</th>
<th>Reporting arrangements</th>
<th>Acting on recommendations</th>
<th>Change in practice and lessons to be shared</th>
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<tr>
<td>Duties</td>
<td>Quality Governance Committee</td>
<td>In line with best practice policy</td>
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<td>Minutes</td>
<td>Trust Board minutes</td>
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<td>NHS Resolution schemes relevant to the organisation</td>
<td>Information Governance Manager</td>
<td>Trust’s incident reporting system can be interrogated to extract claims data and communication with NHS Resolution</td>
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<td>Reports including compliance.</td>
<td>QGC minutes</td>
<td>Information Governance Manager</td>
<td>Required changes to practice will be identified and actioned within a specific time frame. A lead member of the team will be identified to take each change forward where appropriate. Lessons will be shared with all the relevant stakeholders.</td>
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<td>Trust’s incident reporting system can be interrogated to extract claims data and audit</td>
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<td>On a case by case basis</td>
<td>Quarterly report from NHS Resolution compared to monthly report</td>
<td>Information Governance Manager</td>
<td>Information Governance Manager</td>
<td>Required changes will be notified to the Information Governance Manager and completed in the timescales set.</td>
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B References


LTPS reporting guidelines Available from www.resolution.nhs.uk (Publications - Claims)

C  Associated Documentation

Policy for the Development of Procedural Documents
Management of Incident policy
Clinical Quality and Safety Strategy
Complaints Policy
Quality Governance Committee Terms of Reference
Investigation Guidance – Investigation of incidents, complaints and claims
## EIA Cover Sheet

<table>
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<td>Is the process new or existing? If existing, state policy reference number</td>
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</tr>
<tr>
<td>Person responsible for process/policy</td>
<td>Legal Services Manager</td>
</tr>
<tr>
<td>Directorate and department/section</td>
<td>Clinical Quality/Compliance and Standards</td>
</tr>
<tr>
<td>Name of assessment lead or EIA assessment team members</td>
<td>Emma Sears, Legal Services Manager</td>
</tr>
<tr>
<td>Has consultation taken place? Was consultation internal or external? (please state below):</td>
<td>Internal</td>
</tr>
</tbody>
</table>

### The assessment is being made on:

- Guidelines
- Written policy involving staff and patients patients
- Strategy
- Changes in practice
- Department changes
- Project plan
- Action plan
- Other (please state)
- Training programme.

---

**Note:** The content above is a screenshot of a document titled "POL074 – Claims Policy" and includes a section titled "D Equality Impact Assessment." The section contains a table labeled "EIA Cover Sheet" with the following details:

- **Name of process/policy:** Claims Policy
- **Is the process new or existing? If existing, state policy reference number:** Existing
- **Person responsible for process/policy:** Legal Services Manager
- **Directorate and department/section:** Clinical Quality/Compliance and Standards
- **Name of assessment lead or EIA assessment team members:** Emma Sears, Legal Services Manager
- **Has consultation taken place? Was consultation internal or external? (please state below):** Internal

The table also includes a column labeled "The assessment is being made on," with options such as Guidelines, Written policy involving staff and patients patients, Strategy, Changes in practice, Department changes, Project plan, Action plan, Other (please state), and Training programme.
### Equality Analysis

What is the aim of the policy/procedure/practice/event?

The purpose of this policy is to set out the Trust's arrangements for claims handling.

Who does the policy/procedure/practice/event impact on?

<table>
<thead>
<tr>
<th>Race</th>
<th>Religion/belief</th>
<th>Marriage/Civil Partnership</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gender</td>
<td>Disability</td>
<td>Sexual orientation</td>
</tr>
<tr>
<td>Age</td>
<td>Gender re-assignment</td>
<td>Pregnancy/maternity</td>
</tr>
</tbody>
</table>

Who is responsible for monitoring the policy/procedure/practice/event?

Legal Services Manager

What information is currently available on the impact of this policy/procedure/practice/event?

None, the impact of the policy is not currently monitored by EEAST. Any issues would be identified through patient or staff feedback and logged as a patient experience or incident on the Trust's DATIX system. This information will be used to inform future policy reviews.

Do you need more guidance before you can make an assessment about this policy/procedure/practice/event?

No.

Do you have any examples that show that this policy/procedure/practice/event is having a positive impact on any of the following protected characteristics? No

If yes please provide evidence/examples:

<table>
<thead>
<tr>
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</tr>
</tbody>
</table>

Please provide evidence:
Are there any concerns that this policy/procedure/practice/event could have a negative impact on any of the following characteristics? No, the policy is consistent in its approach regardless of these protected characteristics.

If so please provide evidence/examples:

- Race
- Religion/belief
- Marriage/Civil Partnership
- Gender
- Disability
- Sexual orientation
- Age
- Gender re-assignment
- Pregnancy/maternity

Please provide evidence:

**Action Plan/Plans – SMART**

Equality and Diversity Training for the Legal Services Manager, Claims and Inquests Facilitator and Assistant Claims and Inquests Facilitator to ensure they are able to identify any negative impact on groups of people. To be completed by 30.04.2020

- **Specific**
- **Measurable**
- **Achievable**
- **Relevant**
- **Time Limited**

**Evaluation Monitoring Plan/how will this be monitored?**

Who – Claims and Inquests Facilitator and Assistance Claims and Inquests Facilitator

How - Each instance will have to be considered on a case-by-case basis but the expectation is that measures will be taken to ensure there are no negative impacts on any member of staff or public involved in the claim. The ACIF and C&IF will monitor new claims and inform the Legal Services Manager as required and adjustments will be made to ensure no individual is negatively impacted.

By – Annually

Reported to – Compliance and Standards Lead
E  Claims process

Claim received through portal or if LOC received directly, sent to NHSR within 24 hours.

Log on DATIX and check for corresponding individual/complaints/incidents. Link if necessary and open file on S Drive.

Request relevant documentation (see policy and claims process for more information).

Once all information received, discuss with Information Governance Manager. IG Manager will discuss with senior team if required or decision not clear. For clinical claims, discussion between IG Manager and Consultant Paramedic. Convey decision to NHSR/instructed solicitors.

If admission and settlement made, arrange for costs requisitions to be processed by creditors.

If defended, close file if repudiation not received within 3 months.

Close file on DATIX and I Drive, ensure learning disseminated to Trust managers.