



## **PROCESS FOR EMPLOYER BASED CLINICAL EXCELLENCE AWARDS IN THE 2017/18 ROUND**

This document sets out the process that will be followed by PHE in relation to applications for Employer Based Clinical Excellence Awards (EBA) in the 2017/18 round.

This process aims to be open, fair and transparent and has been agreed by the Local Negotiating Committee. It is run under the framework of the ACCEA Guidance which should be read alongside this document by all applicants. Please note that PHE deals with EBAs levels 1 – 9, and ACCEA deals with national awards (Bronze, Silver, Gold and Platinum). ACCEA guidance has been written for national awards and so some of the information, such as the process for applying and ACCEA participation in EBA appeals will not be relevant. Where there are differences to this internal process from the ACCEA guide, this document takes precedence.

### **The Awards**

Clinical Excellence Awards (CEAs) are given to recognise and reward contribution to the NHS<sup>1</sup> which is 'over and above' that normally expected. They are awarded for quality and excellence, rather than for 'quantum' of work, which is linked to job planning and is reimbursed through programmed activity payments.

The CEA Scheme is intended to fully support the NHS. It aims to ensure recognition of exceptional personal contributions made by individual consultants who show a commitment to achieving the delivery of high quality care and service, and also to the continuous improvement of the NHS.

EBAs are designed to measure achievement within the parameters of an individual's employment and recognise excellent service over and above the normal delivery of job plans, including the quality of delivery of contractual duties. In essence EBAs are performance related pay awards for medical and dental consultant staff, linked to personal achievements and achievements for the employing organisation. They are funded by the employer.

### **PHE's role in administering the awards for 2017/18**

PHE will be administering both the local and national parts of the CEA scheme on behalf of all medical and dental consultants employed by PHE, and public health consultants employed by local authorities and universities (where the individual holds an honorary contract with PHE). This involves making recommendations for new 'employer based' or 'local awards' as well as ranking applications for national awards which will ultimately be assessed by ACCEA.

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<sup>1</sup> For these purposes the definition of what constitutes NHS is as defined by the Health Service Act 2006 i.e. it includes public health



## Public Health England

For local authorities and universities PHE is undertaking this role to support and enable these bodies to fulfil their statutory obligation in continuing this condition of service for their medical consultants affected by the Health and Social Care Act 2012. This also forms part of PHE's professional support to remove barriers for medically and dentally qualified public health professionals to move between the NHS, PHE, local government and academia as well as encouraging high professional standards.

### **EBA funding**

EBAs cover awards at levels 1 – 9. The values range from £3,016 to £36,192 and are funded by the employer.

PHE will fund all EBAs, awarded in the 2013 round to present, including those consultants working in universities (where there is an agreed liability on PHE) and local authorities.

### **Investment Criteria**

PHE will operate under the investment criteria previously set by ACCEA i.e. 0.2 new EBAs per eligible consultant.

### **Eligibility**

PHE will use the same eligibility criteria described in the ACCEA guidance. All applicants are expected to have undergone a professional (not management) appraisal in the year in which the application is made.

### **Application Form**

Each section of the application form must be completed.

Applicants can choose to complete one extended form for domain 3 or 4 or 5 if they feel they have been particularly active in any of these domains. This is completed instead of the relevant field in the main application form A and must be submitted at the same time as the main application form.

### **Citations**

Citations from external bodies will be accepted if the job is split between two main employers. These will need to be submitted to PHE together with the application form and employer statement.

### **Additional Information on application for Level 9 renewal of awards:**

Unlike levels 1 – 8, level 9 awards are subject to five-yearly renewals process. Renewals are competitive against the standard for new Level 9 successful applications. It is mandatory that



all level 9 holders who are interested in renewing their level 9 award should make a renewal application within four years of receiving the level 9 award.

Existing ACCEA guidance indicates that all medical and dental consultants applying for a Bronze renewal application should consider applying for a new Employer Based Award (EBA) from their employer in the renewal year so that if they are unsuccessful in the national application, they have the opportunity to achieve a local award thereby not incurring significant financial loss.

It is recommended by PHE that all unsuccessful bronze/EBA level 9 renewal applicants should receive an automatic local award and thereafter a graduated reduction in the award level as follows:

- I. A Level 8 local award for one year from the date of the loss of the bronze/EBA level 9 award. (This is to reflect that the individual was not deemed to merit a national bronze or EBA Level 9 award so to continue paying at level 9 would run counter to this decision).
- II. In the next year, drop to a level half way between level 8 and the EBA level of award held before the applicant first gained the national bronze or EBA level 9 award. If the difference between the original level and level 8 is an odd number of awards then the second year award will be rounded up to the next award level e.g. if the original award was at level 5 the award in the second year would be rounded up to level 7 and then drop to level 5 in the third year.
- III. In the following year, drop to the EBA award at which they were before they gained the national bronze or EBA level 9 award. Payment at this level would be on a substantive basis.

The consultant will be entitled to compete with other colleagues for a higher award at any time during the above process and will be subject, as other award holders, to the outcome of any review of EBA that PHE undertakes.

In making a renewal Level 9 application, the following points are to be considered:

- Focus on activity within the five-year period leading up to the renewal application. Applicants should only include information on earlier activity to demonstrate how their contributions have evolved and/or shown a sustained commitment to the continuous improvement of the NHS within the renewal period.
- To be successful, a renewal application must demonstrate that the contribution is at least as good as applications for new awards in that region.
- The renewal applications will be scored using the same scoring methods as the applications for new awards. Where an application does not score as highly as the panel would expect of an application for a level 9 award, it will be considered for a lower level or would be subject to the automatic award process as briefed above.



- If the award is considered at a lower level than level 9, the applicant will receive financial remuneration at the level of the new award from 1 April 2018, bearing in mind the point above.
- If applicants who received a level 9 award in 2013 or before are due to submit a renewal application in the 2017/18 round fail to submit an application, their award and all pay associated with it will be terminated on 31 March 2018.
- Consultants who fail to renew an award in the 2017/18 round will not be able to submit a renewal application in a subsequent round.
- It should be noted that the Scheme is currently under review and may therefore change. Applicants who submit a successful renewal application in the 2017/18 round will have their award renewed subject to any transitional provisions that may be issued as a result of these changes.

## **Submitting applications to PHE for consideration**

Applications for consideration by PHE will need to be submitted to [cea@phe.gov.uk](mailto:cea@phe.gov.uk) by 15 November 2017. Applications received after this date will not be considered.

The application form must be submitted fully completed including the employer statement. This employer statement should be provided by the line manager in the employing organisation and include their assessment of the applicants contribution in each of the domains.

Failure to have the form fully completed will mean that the application cannot be progressed further.

## **Panels: Set up, recruitment and meetings**

PHE will divide the work into the four regional boundaries; London, Midlands and East, North of England, South of England. This approach has been approved by ACCEA.

Each panel will consist of 12 members including the Regional Directors (RD) for the relevant region acting as the Chair. Panel members will break down evenly into the groups which ACCEA recommend should make up a panel;

- Four lay members (persons with an interest but no qualifications in healthcare)  
Four professional members (Medically qualified consultants and academics), including one nominated by the BMA/BDA
- Four employer members (Trust or Local Authority Chief Executives, University Principals, Public Health Directors, Medical Directors or HR Directors)
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- Recruitment to the panel will be held in conjunction with the BMA/BDA, RD, PHE's Medical Director, the Local Government Association (LGA), the Medical Schools Council (MSC) and Responsible Officer.

Panel members come from a wide range of backgrounds, with experience and expertise in numerous areas and professional members are not representative of their specialty but of all medical colleagues. The panel will come to a collective decision on which applicants to recommend to PHE's Medical Director and Responsible Officer for awards.

All 12 panel members are required to complete the scoring. Further information on scoring can be found later in the document.

Consideration of the application forms will take place in a half-day meeting. All panel members are invited to and welcome to attend. However, there may be many reasons why not all panel members can attend. *PHE will consider a panel quorate if six (which must include two representatives from each of the member groups) of the 12 panel members are present.*

### Scoring

The role of the committee will be to consider the applications put before them. They will score each domain within the application form using the 0, 2, 6, 10 system as described by ACCEA.

- 0 = No commitment in this domain
- 2 = Delivers contractual expectations
- 6 = Some aspects of delivery are over and above contractual expectations
- 10 = Excellent

These scores will be collated by PHE and made available to all members on the day of the considerations.

### Allocation of points

Unless there are exceptional circumstances;

- no applicant will be awarded more than two points from their current award
- no applicant will be awarded further points if they received an award last year

This does not preclude individuals from applying for more than two points or in consecutive years but they would need to make a clear case in their application as to how their evidence demonstrates a step up worthy of more than two points or year on year progression.

### Notification of results



Results of the 2016 Round will be made available by April/May 2018 at the latest.

All candidates will be contacted and notified of the outcome of their own application and a list of successful candidates will also be made available on phe.net

### **Appeals process**

An appeal can only be raised for individual applications.

Applicants will have four weeks from the results being announced to appeal. This is in line with ACCEA guidance. Further information on grounds for appeal can be found in the Part 6 of the 2016 Guide for: National Awards Applicants (new and renewal); Existing Award Holders.

PHE (not ACCEA) will undertake to investigate and respond to the appellant within four weeks of the appeal being received. Where this is not possible, appellants will be kept informed of progress throughout the process.

Every attempt will be made to resolve the appeal informally. Where this is not possible a panel of people previously uninvolved in the case will be set up to review the appeal. This panel will consist of three members, one from each of the types of panel members namely chair, lay member and a professional member.

The panel would proceed on the basis of paperwork but any requests for an oral hearing will be considered.

An appeal which is upheld will not automatically translate into an award being made. Where an appeal is upheld, a further process for determining whether an award should be made or not will be needed. This will normally be some form of rescoring exercise.

Where the appeal is not upheld, there is no further right to appeal. ACCEA play no part in appeals relating to Employer Based Awards.

In all appeal cases, the chair's decision is final.