

# LPC Self Evaluation 2018-19 Assessment Status

## County Durham & Darlington LPC (Self-Evaluation)

### Business and Strategic Planning

#### Assessment Criteria

#### Status

Strategic Plan		Purple Level: Exemplary
Amber: Potential Concerns	LPC has no strategic plan for community pharmacy or has a plan that hasn't been shared with all local commissioners or has a plan that hasn't been reviewed in the last 15 months.	
Green Level: Good	LPC has a strategic plan that provides a vision for community pharmacy and for developing the local market for pharmacy services. The strategic plan has been reviewed and refreshed by the committee in the last 15 months. The strategic plan has been shared with the local commissioners and contractors.	
Purple Level: Exemplary	As Green Level, plus the plan has been reviewed and refreshed by the committee in the last 9 months within a programme of planned review.	
Work Programme		Purple Level: Exemplary
Amber: Potential Concerns	LPC has no work programme identifying workstreams and actions for officers and members of the committee or has a work programme that hasn't been reviewed in the last 4 months.	
Green Level: Good	LPC has an annual work programme to ultimately achieve the strategic plan within the lifetime of the plan. The work programme provides the basis for budget-setting and identifies workstreams and actions for officers and members of the committee.	
Purple Level: Exemplary	As Green Level, plus the programme is typically reviewed formally at each committee meeting with areas showing lack of progress highlighted and contingencies prepared together with budgetary controls.	

### Governance

#### Assessment Criteria

#### Status

Written Governance Arrangements		Purple Level: Exemplary
Amber: Potential Concerns	LPC members may be aware of the LPC governance requirements but any written arrangements do not fully meet the standards set out in the PSNC Governance Guide for LPCs.	
Green Level: Good	LPC has written governance in place in accordance with the PSNC Governance Guide for LPCs together with written details of procedures to follow in the event of a failure of governance	
Purple Level: Exemplary	As Green Level, plus the LPC also has either: a lead LPC member for governance; or a governance overview and scrutiny subcommittee who have the confidence and competencies to respond effectively to sensitive governance issues. There are regular reports provided to the main committee.	
Declarations of Interest		Purple Level: Exemplary
Amber: Potential Concerns	LPC has declarations of interest but completion rate is less than 100% or has not been refreshed within the last 15 months.	
Green Level: Good	All LPC members and the LPC Chief Officer have signed declarations of interest and these have all been updated within the last 15 months.	
Purple Level: Exemplary	As Green Level, plus the declarations of interest are published on the website.	
Chief Officer		Green Level: Good

Amber: Potential Concerns	LPC does not yet have an agreed job description for the role written. Employed Role - There is no signed contract of employment. Self-employed or limited company arrangement - Contractual arrangements have not been reviewed for HMRC compliance regarding freelance/self-employed agreement or appropriate use of a service company within the last 15 months. No Employed or Contracted Chief Officer - A clear plan is not in place to ensure that the statutory and constitutional obligations of the LPC are met and maintained together with key Strategic Plan outcomes.
Green Level: Good	LPC has a job description written for the role and agreed. Employed Contract - There is a signed contract of employment in place. Annual reviews/appraisals are linked to LPC priorities and personal development plan in place with measurable personal performance management targets set. Non-employed Contract - A contract is in place that has been reviewed for HMRC compliance within the last 15 months. There is a regular review of service delivery against the contract for services and LPC Work Programme. No Employed or Contracted Chief Officer - A clear plan is in place to ensure that the statutory and constitutional obligations of the LPC and members are met and maintained together with key Strategic Plan outcomes. A recruitment process is underway.
Purple Level: Exemplary	As Green Level, plus there is a Chief Officer in post who has structured meetings at least twice a year with at least one nominated committee member that includes: Employed Contract - A review of performance against targets. Non-employed Contract - A review that the terms of the contract are being fulfilled

LPC Reporting	Purple Level: Exemplary
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Amber: Potential Concerns	Chair or Chief Officer provide verbal reports on LPC activities to the Committee.
Green Level: Good	Chair, Chief Officer and members provide written reports on LPC activities, including meetings attended on behalf of the LPC, to the Committee at each LPC meeting. These are discussed as an agenda item at each LPC meeting.
Purple Level: Exemplary	As Green Level, plus the meetings together with the names of the individuals attending on behalf of the LPC for the planned period up to the next LPC meeting are on the agenda as a matter of report.

LPC Agendas and Minutes	Purple Level: Exemplary
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Amber: Potential Concerns	Agendas and minutes of meetings of the LPC are not routinely made available to contractors.
Green Level: Good	Contractors can view the LPC meeting agenda before each meeting and minutes via the LPC website within 3 working days of them being accepted, except parts of the meeting held in camera.
Purple Level: Exemplary	As Green Level, plus parts of the meeting held in camera are described within the minutes sufficient for readers to understand that a matter was discussed.

Chief Officer and Treasurer Roles	Green Level: Good
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Amber: Potential Concerns	A single individual undertakes the role of both Chief Officer and Treasurer, although the LPC may be working to separate the roles; or the LPC has not reviewed the appointment of the Treasurer within the last 15 months.
Green Level: Good	LPC has clearly separated the roles of Chief Officer and Treasurer. LPC has reviewed the appointment of the Treasurer within the last 15 months.
Purple Level: Exemplary	As Green Level, plus the LPC has assured itself of the personal independence of the Treasurer within the last 15 months. The assurance is documented so that, if challenged, it can be called upon as evidence.

## LPC Management and Structure

### Assessment Criteria

### Status

Operational Capacity	Purple Level: Exemplary
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Amber: Potential Concerns	LPC has not formally considered or adjusted where necessary operational capacity against needs within the last 12 months.
Green Level: Good	LPC regularly reviews at least twice a year the annual Work Programme to deliver the Strategic Plan. On each occasion operational capacity is considered. Any adjustments made to increase or decrease capacity are implemented within 6 months of that decision.
Purple Level: Exemplary	As Green Level, but the review of the Work Programme is undertaken at each LPC Meeting.

Capability and Expertise	Amber: Potential Concerns
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Amber: Potential Concerns	LPC has not formally identified or reviewed the additional capability and expertise needed by the LPC to work successfully in the current commissioning environment within the last 15 months.
Green Level: Good	LPC has formally identified capability and expertise needed by the LPC to work successfully in the current commissioning environment within the last 15 months and, where necessary, has secured access to those identified resources and expertise to draw on when required.
Purple Level: Exemplary	As Green Level, plus the LPC reviews progress and cost at each meeting, taking action as appropriate.

Size and Structure	Purple Level: Exemplary
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Amber: Potential Concerns	LPC has not discussed both within the committee and at Regional level the fitness for purpose of the existing structures when evaluating the needs of representativeness and efficiency of the committee and adjusted, where appropriate, to meet those needs at least once within the last four years.
Green Level: Good	LPC has discussed both within the committee and at Regional level the fitness for purpose of the existing structures when evaluating the needs of representativeness and efficiency of the committee and adjusted, where appropriate, to meet those needs at least once within the last four years.
Purple Level: Exemplary	As Green Level, but there are discussions at both committee and at Regional level and these were within the last 15 months.

Working Together to Support Capacity	Purple Level: Exemplary
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Amber: Potential Concerns	LPC has not discussed within either the committee or at Regional level to evaluate possible joint working, collaboration, sharing resources or potential mergers with other LPCs once within the last 15 months.
Green Level: Good	LPC has discussed both within the committee or at Regional level to evaluate possible joint working, collaboration, sharing resources or potential mergers with other LPCs once within the last 15 months.
Purple Level: Exemplary	As Green Level, plus this discussion has led to either maintenance or development of joint working, collaboration or sharing of resources between LPCs or a merging of LPCs. If a merger has been decided then a clear plan and timeframe has been agreed.

Members' Competence	Amber: Potential Concerns
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Amber: Potential Concerns	LPC has not formally considered member training needs in the last 15 months.
Green Level: Good	LPC has formally considered member training needs in the last 15 months and members have attended appropriate training events where necessary to ensure the Committee has the skills to carry out its work
Purple Level: Exemplary	As Green Level, plus a formal Skills Gap Analysis of members of the LPC has been carried out and reviewed within the last 15 months. Formal consideration made for succession planning. A programme of relevant activity drafted to meet any skills needs identified has been agreed.

PSNC Regional Representative	Purple Level: Exemplary
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Amber: Potential Concerns	There is no regular invitation for the elected PSNC Regional Representative to attend LPC meetings and no representatives are sent to Regional LPC meetings.
Green Level: Good	There are regular Regional meetings to which the elected PSNC Regional Representative is invited.
Purple Level: Exemplary	As Green Level, plus the elected PSNC Regional Representative has a regular invitation together with agenda and papers to attend all LPC meetings and there is an agenda item available for them to speak to or provide a written report.

Sharing Innovation	Purple Level: Exemplary
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Amber: Potential Concerns	There is no sharing of innovation in areas such as ways of working, service development and relationship building.
Green Level: Good	Innovation is shared locally with contractors or neighbouring LPCs.
Purple Level: Exemplary	Innovation is shared locally with contractors and shared at national or regional level.

## Financial Management

### Assessment Criteria

### Status

Budget	Green Level: Good
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Amber: Potential Concerns	LPC does not link the budget expenditure to the Work Programme or has no formal budgeting.
Green Level: Good	LPC has a budget in place, including key areas of expenditure linked to the Work Programme and which has been set within the last 15 months.
Purple Level: Exemplary	LPC has a budget in place, including key areas of expenditure explicitly linked in detail to the Work Programme and which has been set within the last 15 months.

Expenditure	Green Level: Good
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Amber: Potential Concerns	Accounts are not published in the annual report or a copy is not sent to PSNC.
Green Level: Good	Expenditure is monitored regularly against budget throughout the year and accounts are published in the annual report and a copy sent to PSNC.
Purple Level: Exemplary	As Green Level, plus the Annual Report and Accounts are on the LPC website. The Annual Report provides a 'value for money' evaluation outlining the support, resources and business development opportunities it has delivered in the previous year.

Reserves	Amber: Potential Concerns
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Amber: Potential Concerns	LPC holds significantly more than the six months reserve advised by PSNC (unless there are minuted justifications for forward investment as part of the strategic plan) or there are insufficient reserves to meet the financial commitments of the committee
Green Level: Good	There are appropriate reserves to meet the financial commitments of the committee, including the six months reserve advised by PSNC.
Purple Level: Exemplary	As Green Level, plus the LPC proactively manages the reserves including formally reviewing and adjusting where necessary the levy within the last 15 months to either reduce the excess or maintain reserves as advised by PSNC or reasonable reserves as approved by the committee, and set the levy annually (including holidays) to maintain this position

Expenses	Green Level: Good
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Amber: Potential Concerns	There is an informal policy
Green Level: Good	There is a written expenses policy agreed and understood by LPC members and officers. Expense claims forms are provided and expenses are signed off by the Treasurer or other authorised person as set out in the LPC expenses policy with receipts required for all expenses. Where a person works for two or more LPCs, a policy on expenses has been agreed with all LPCs involved for where costs are to be shared.
Purple Level: Exemplary	As Green Level, plus all expenses for Chief Officer are approved by an unrelated third party. An expenses management report is presented to the LPC by the Treasurer at least 6 monthly

## Communication

### Assessment Criteria

### Status

Communications Plan	Purple Level: Exemplary
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Amber: Potential Concerns	The LPC does not have any structured communications plan or ambitions for engagement with contractors and stakeholders.
Green Level: Good	The LPC has a communications plan which sets out how it will engage with contractors, e.g. through meetings, the LPC website and email newsletters. The plan also identifies key stakeholders.
Purple Level: Exemplary	As Green Level, plus the LPC has reviewed progress on the plan at least once in the past 12 months.

Communication Mechanisms	Purple Level: Exemplary
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Amber: Potential Concerns	There has been no direct communication to contractors within the last four months; any website presence has only contact details with essential news and information.
Green Level: Good	LPC has contacted all contractors, either by email, fax or post within the last four months; the LPC website provides further basic information beyond Amber Level. The website may contain out of date information, e.g. details of members that have resigned, historic training events or out of data SLAs or PGDs.
Purple Level: Exemplary	LPC has a website that is well maintained, publicised and kept up to date with information for contractors on LPC business, LPC resources together with other local issues and news. LPC has considered a case for the use of social media as a way of communicating with contractors.

Informing Contractors about Commissioning Matters	Purple Level: Exemplary
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Amber: Potential Concerns	LPC has not directly informed contractors of commissioning matters within the last four months.
Green Level: Good	LPC has routinely informed contractors of commissioning matters including local commissioning plans, targets and opportunities together with reports of the LPC's work on behalf of contractors to promote community pharmacy to commissioners.
Purple Level: Exemplary	As Green Level, plus there are clearly identified links to the LPC Strategic Plan and Work Programme within the communications.

Press Relations	Amber: Potential Concerns
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Amber: Potential Concerns	Appropriate LPC Officers have not had training to respond to queries from the press when asked.
Green Level: Good	Appropriate LPC Officers have had training to respond to queries from the press when asked. There is an LPC member or Officer who is responsible for media relations and suitably trained to meet the requirements of the Work Programme.
Purple Level: Exemplary	As Green Level, plus the LPC proactively represent views through the media and issue press releases to promote local pharmacy when appropriate and has done so at least twice in the last 15 months.

<b>Contractor Passive Engagement</b>		<b>Purple Level: Exemplary</b>
Amber: Potential Concerns	LPC holds at least one contractor meeting a year, which may be the Annual General Meeting.	
Green Level: Good	LPC has a mechanism by which views expressed by contractors can be considered by the committee and a response made to the contractor. LPC holds at least one contractor meeting a year, which may be the Annual General Meeting.	
Purple Level: Exemplary	As Green Level, plus LPC regularly reminds contractors of methods by which their views can be considered by the LPC.	

<b>Contractor Proactive Engagement</b>		<b>Purple Level: Exemplary</b>
Amber: Potential Concerns	LPC cannot demonstrate proactively seeking views of non-LPC contractors in advance of at least one meeting (which is not the Annual General Meeting) within the last 15 months.	
Green Level: Good	LPC can demonstrate proactively seeking views of non-LPC contractors in advance of at least one meeting (which is not the Annual General Meeting) within the last 15 months.	
Purple Level: Exemplary	LPC can demonstrate proactively seeking views of non-LPC contractors in advance of at least three meetings (one of which can be the Annual General Meeting but is not the views on the Annual Report or Accounts) within the last 15 months.	

<b>Local MPs</b>		<b>Purple Level: Exemplary</b>
Amber: Potential Concerns	The LPC know who the local MPs are but have not had any contact with them in the past 15 months.	
Green Level: Good	The LPC has contacted at least one MP in their area via email; or has hosted a visit to a community pharmacy; or has met directly with an MP within the last 15 months.	
Purple Level: Exemplary	As Green Level, plus the LPC has engaged with all local MPs in some form within the last 15 months and has an ongoing relationship with at least one supportive MP.	

## Contract Development

### Assessment Criteria

### Status

<b>Essential Services</b>		<b>Green Level: Good</b>
Amber: Potential Concerns	LPC is supporting contractors where requested with difficulties complying with the contract requirements to support implementation.	
Green Level: Good	LPC is involved as appropriate with monitoring visits with the NHS England local team and monitoring the visits to ensure they are reasonable and in accordance with the NHS England powers. LPC is supporting contractors where requested with difficulties complying with the contract requirements to support implementation.	
Purple Level: Exemplary	As Green Level, plus the LPC is pro-actively identifying contractors with difficulties complying with the contract requirements and supporting implementation where appropriate.	

<b>Advanced Services</b>		<b>Green Level: Good</b>
Amber: Potential Concerns	LPC has no Work Programme to regularly review or encourage uptake of Advanced Services.	
Green Level: Good	LPC has reviewed within the last 15 months how many contractors are providing Advanced services in the LPC area. LPC is proactively encouraging uptake of Advanced Services, advising contractors to inform GPs when starting Advanced Services and provide a briefing on the services and arrangements appropriate to local circumstances.	
Purple Level: Exemplary	As Green Level, plus the LPC reviews at least every 4 months both the number of contractors providing Advanced Services together with the level of delivery and reviewing the Work Programme accordingly.	

<b>Commissioning Environment for Local Services</b>	<b>Green Level: Good</b>
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Amber: Potential Concerns	Whilst LPC Members and Officers may be familiar with procurement and commissioning rules, information is only provided to contractors upon request
Green Level: Good	LPC has provided guidance to all contractors explaining the local commissioning landscape and arrangements to contractors.
Purple Level: Exemplary	LPC has implemented an ongoing communications plan to all contractors explaining the local commissioning landscape and arrangements to contractors together with relevant changes.

<b>Negotiation of Local services</b>	<b>Purple Level: Exemplary</b>
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Amber: Potential Concerns	LPC has no Work Programme to regularly review or encourage the LPC's local service negotiation.
Green Level: Good	LPC can demonstrate that they are pro-actively working with local commissioners to negotiate new Local Services provision and maintain or develop current local services. A proactive programme of review of current arrangements has been undertaken within the last 15 months to ensure that continuation and development of Local Services takes place.
Purple Level: Exemplary	As Green Level, plus where LPC has successfully negotiated a new Local Service, this is for a period approved by the LPC to ensure successful implementation, sustainability and return on investment and LPC has highlighted to contractors any significant changes or key requirements of new contractual arrangements. If no new services have been negotiated within the last 15 months, then the Work Programme has these actions explicitly stated.

<b>Supporting Delivery of Local Services</b>	<b>Purple Level: Exemplary</b>
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Amber: Potential Concerns	LPC provides reactive support to all contractors, or individual contractors, to maintain and develop Local Service income.
Green Level: Good	LPC Strategic Plan and Work Programme both identify a workstream to maintain and develop Local Service income for contractors. This workstream can be demonstrated to be active.
Purple Level: Exemplary	As Green Level, plus the LPC can demonstrate that they have proactively provided support to contractors to engage and deliver Local Services.

<b>PSNC Services Database</b>	<b>Green Level: Good</b>
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Amber: Potential Concerns	LPC does not use the services database.
Green Level: Good	LPC uses but does not contribute to the services database.
Purple Level: Exemplary	LPC uses and has contributed to the services database in the last 9 months.

## Stakeholder Relationships

### Assessment Criteria

### Status

<b>Needs Assessments and Strategic Plans</b>	<b>Purple Level: Exemplary</b>
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Amber: Potential Concerns	LPC may be familiar with the local needs assessments (JSNA, PNA), public health report, LDP and commissioning strategic plan but does not yet have regular dialogue to influence.
Green Level: Good	LPC has identified the key individuals who influence planning and strategic decisions at Local Authorities and Clinical Commissioning Groups and has discussed Community Pharmacy's role in implementation of the commissioner's Strategic Plans within three months of publication.
Purple Level: Exemplary	As Green Level, plus the LPC discusses the role of Community Pharmacy with those key individuals before the publication of the commissioner's Strategic Plans with the aim to embed that role within those plans.

<b>Patients and Representatives</b>	<b>Purple Level: Exemplary</b>
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Amber: Potential Concerns	LPC may be aware of the key individuals who represent patients view locally but does not yet have regular dialogue.
Green Level: Good	LPC has identified the key individuals within local patient representative organisations and elected representatives (local councillors and MPs) who influence planning and strategic decisions and has taken the opportunity to discuss the role that Community Pharmacy can and does play in local service delivery within the last 15 months, when the opportunity arose.
Purple Level: Exemplary	As Green Level, plus the LPC has sought to proactive engage with those key individuals at least once within the last 15 months.

General Practitioners	Amber: Potential Concerns
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Amber: Potential Concerns	LPC has no formal plans for engaging with GPs.
Green Level: Good	LPC representatives meet at least twice a year with LMC colleagues to keep GPs informed and discuss any inter-professional issues.
Purple Level: Exemplary	As Green Level, plus the LPC has actively promoted using the PSNC 'Walk in my Shoes' toolkit to bring together community pharmacy teams and GP practice teams to help each other understand their roles and improve working relationships.

Other Professionals	Purple Level: Exemplary
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Amber: Potential Concerns	LPC may be aware of the key individuals who represent other professionals, such as other Local Representative Committees and Locality Groups but does not yet have regular dialogue
Green Level: Good	LPC has identified the key individuals who represent and influence other professionals and has taken the opportunity to discuss the role that Community Pharmacy does and can play in local service delivery within the last 15 months, when the opportunity arose.
Purple Level: Exemplary	As Green Level, plus the LPC has sought to proactive engage with those key individuals at least once within the last 15 months.

NHS England Local Team	Purple Level: Exemplary
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Amber: Potential Concerns	LPC may know the key individuals who influence commissioning decisions but does not yet have regular dialogue
Green Level: Good	Administration of pharmacy applications, fitness to practise and monitoring are always reviewed. LPC has identified the key individuals who represent and influence commissioning decisions and has taken the opportunity to discuss the role that Community Pharmacy does and can play in local service delivery within the last 15 months, when the opportunity arose.
Purple Level: Exemplary	As Green Level, plus the LPC has sought to proactive engage with those key individuals at least once within the last 15 months.

Local Authorities	Purple Level: Exemplary
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Amber: Potential Concerns	LPC may know the key individuals who influence commissioning decisions but does not yet have regular dialogue.
Green Level: Good	LPC has identified the key individuals who represent and influence commissioning decisions and has taken the opportunity to discuss the current and future role that Community Pharmacy does and can play in local service delivery together with local public health priorities within the last 15 months, when the opportunity arose.
Purple Level: Exemplary	As Green Level, plus the LPC has sought to proactive engage with those key individuals at least once within the last 6 months.

Clinical Commissioning Groups	Purple Level: Exemplary
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Amber: Potential Concerns	LPC may know the key individuals who influence commissioning decisions but does not yet have regular dialogue
Green Level: Good	LPC has identified the key individuals who influence commissioning decisions and has taken the opportunity to discuss current and future local services together with the medicines optimisation agenda within the last 15 months, when the opportunity arose.
Purple Level: Exemplary	As Green Level, plus the LPC has sought to proactive engage with those key individuals at least once within the last 15 months.

Strategic Health Partnerships	Purple Level: Exemplary
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Amber: Potential Concerns	LPC has no work plan to engage with STPs and the emerging care systems.
Green Level: Good	LPC has a work and communication plan to engage with STPs and the emerging care systems.
Purple Level: Exemplary	As Green Level, plus the LPC or contractors have secured involvement at Board level or in workstreams.